

## Chapter 4B. Fund Transfers

Fund transfers are the process of requesting a shift of funds among/between projects. Fund transfers can be initiated at any level, from Management Unit to National Program Staff.

There are two types of fund transfers: **Permanent and Temporary**. A **temporary** fund transfer is one that is received on a one-time only basis for that specific fiscal year. At the beginning of the next fiscal year, the funds are automatically put back on the original giving project. A **permanent** fund transfer is one that once the funding is transferred to a project, it stays in the receiving project year after year.

There are many reasons to do fund transfers. Temporary transfers may be done to receive Administrator funded post-doc funds, transfers across management unit lines or Area lines to fund cooperative research between ARS Laboratories. Permanent fund transfers may be done for replacement projects, budget increases, or redirection of funding.

### *Procedures for Fund Transfers*

The Research Leader/Management Unit will initiate a request in the same manner as any other change in a project via modification of the 416 electronically. The request is forwarded electronically through ARIS through the approval levels to the Area Director. The request will be reviewed and approved/disapproved by the Area Director and forwarded to NPS and BPMS for approval and implementation, or disapproved and sent back to the Management Unit.

Requests for fund transfers MUST be sent through ARIS to NPS for approval. A good explanation of why the fund transfer is being done must be stated in the Remarks section of the AD-416. If additional information is required, a note should be sent to the Area Program Analyst explaining the situation.

**NOTE:** If the fund transfer is across Area lines, notification MUST be given to the Area Program Analyst in which the funding is being transferred from.

### *ARS CRIS Accountability Policy for Year-End Expenditures*

Year-end reported expenditures for each CRIS will be allowed to vary from the allocated amount by +/- 5% or \$50,000, whichever is less. Total expenditures within a management unit cannot exceed the total allocated amount for all CRIS' within the management unit. Expenditures may exceed the +/- 50% or \$50,000 limitation only if a request is submitted electronically through program approval lines.

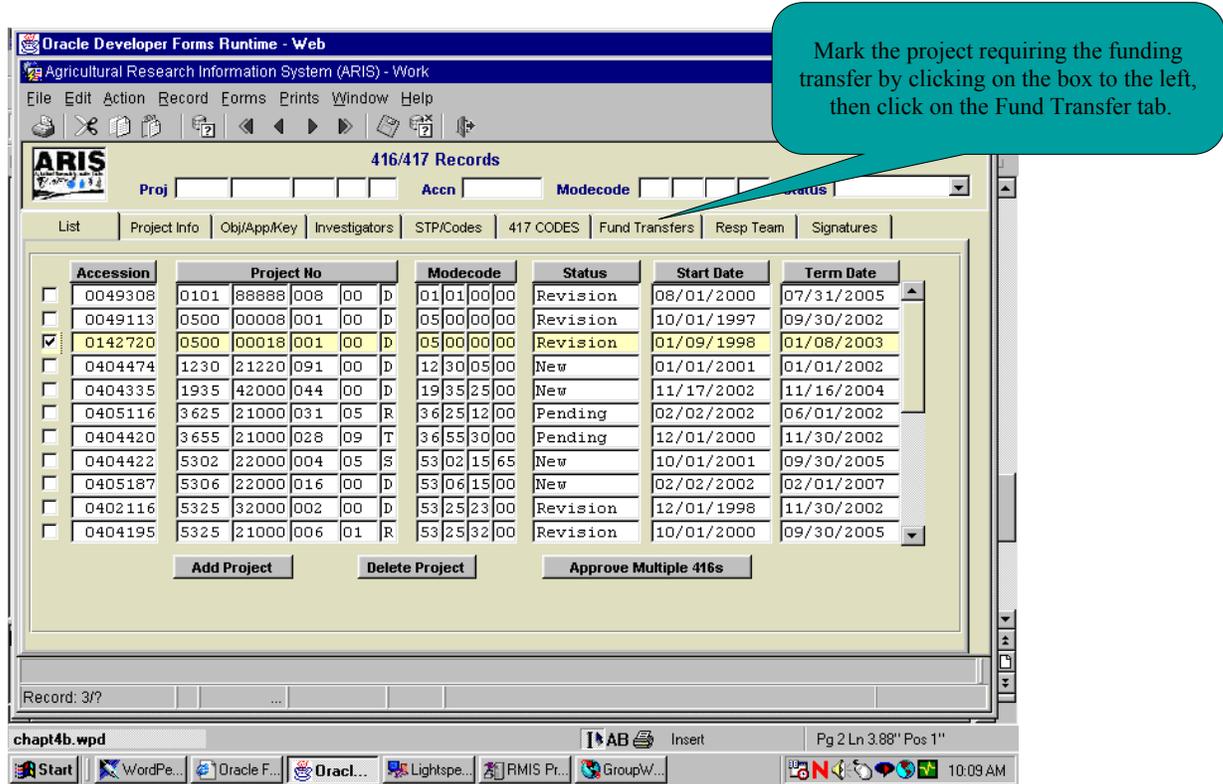
**Procedures:**

A fund transfer is required to move funds from one inhouse project to another. This occurs for any of the reasons stated above. **The initiation of the fund transfer is the responsibility of the Management Unit receiving the funds.**

Fund transfers are a continuation of the 416/417 process. The project receiving the funding must be in the work file in order to complete a fund transfer process. Fund transfers are only done between in-house/appropriated projects.

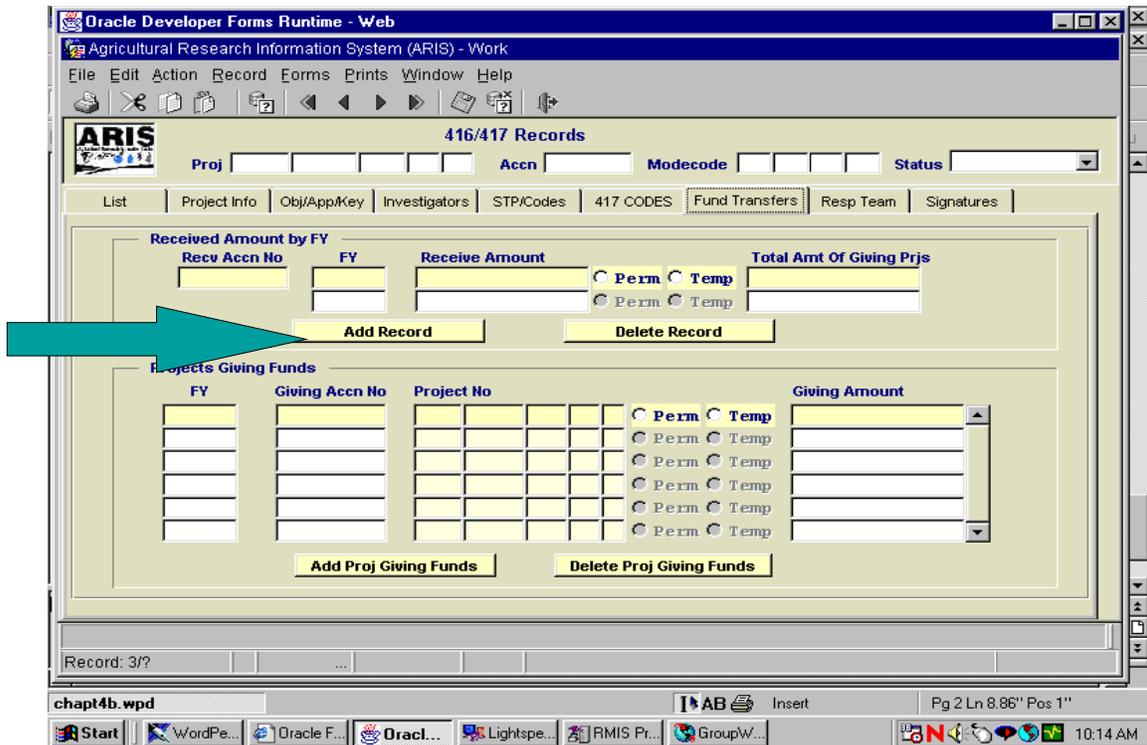
To complete a Fund Transfer on an existing project, create a work record as described in Chapter 4A, and follow the steps below. In order to complete a Fund Transfer on a new project follow Chapter 4A for completing a new 416/417, then follow the steps below to add the fund transfer.

From the List Screen within the Work 416/417 425 550A option (fig. 1), mark the project that requires the fund transfer, and then click on the “Fund Transfer” tab.



(Fig. 1 - List Screen - to create a fund transfer)

The Fund Transfer screen will be displayed (fig. 2). In order to add a fund transfer, click on the “Add Record” button in the “Received Amount by FY” section. The accession number and FY will automatically be entered by the system for the receiving project.

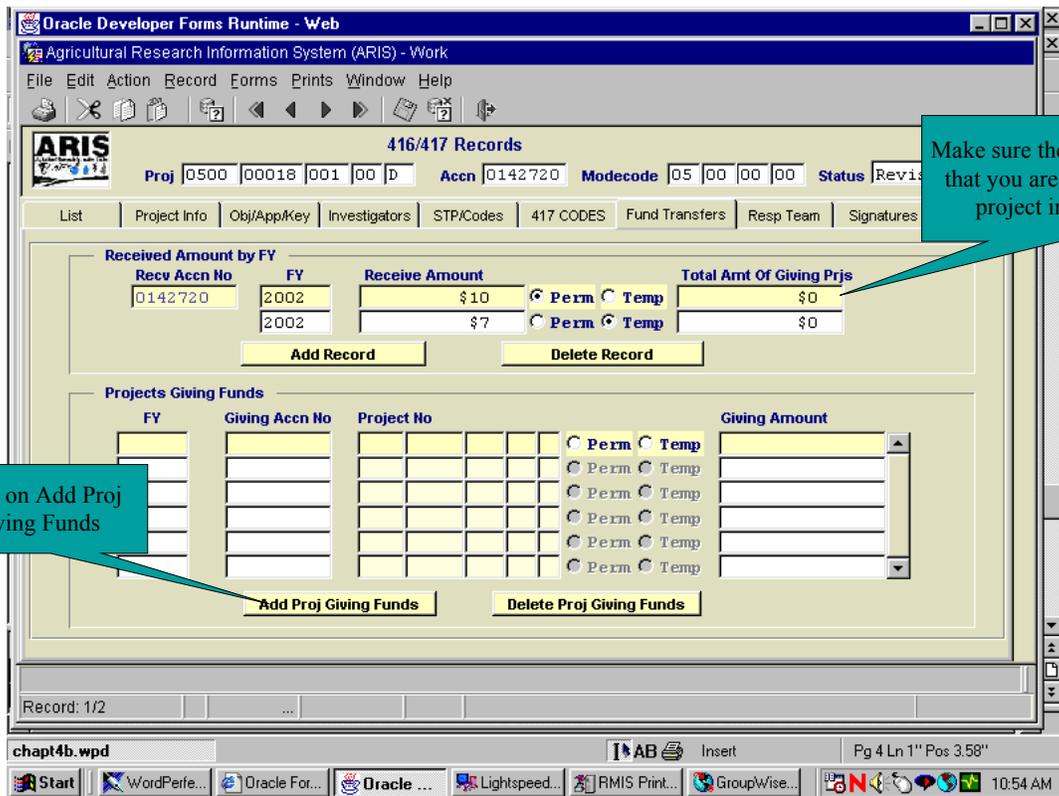


(Fig. 2 - fund transfer screen)

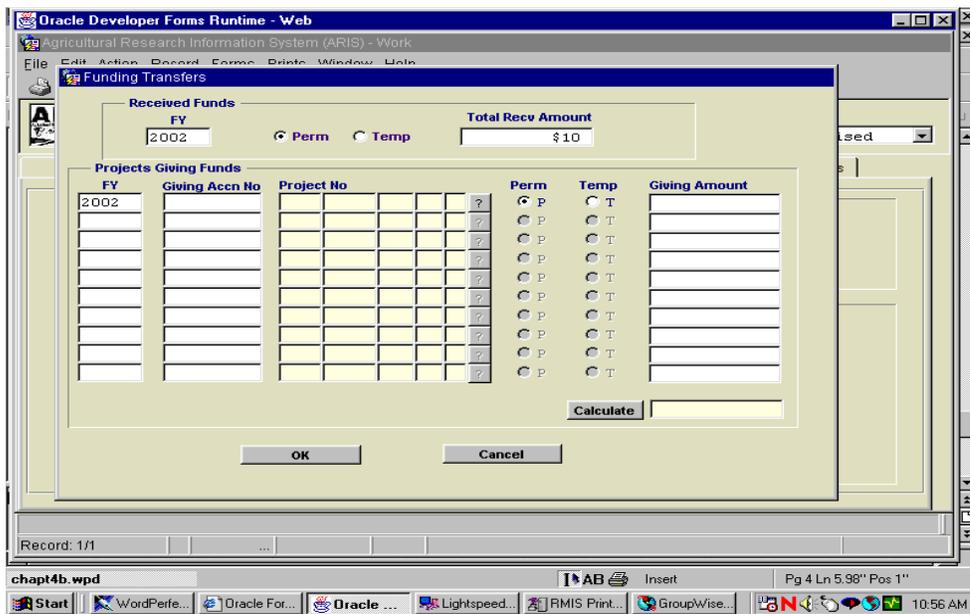
*You can now enter a temporary fund transfer at the same time you enter a permanent fund transfer. However, be very careful that the correct project is funding the correct transfer. If possible, it is best to wait and do these transfers separately.*

After the accession number and FY are automatically entered, enter the amount to be transferred to the project and then indicate if it is a temporary or permanent transfer. The total amount of giving project column will be filled in by the system. If you would like to do another transfer at the same time, click on “Add Record” again, and the second line will be highlighted. Add the dollar amount to be transferred and indicate if it is temporary or permanent. (**NOTE:** There can only be one temporary and one permanent fund transfer at the same time).

Once the receiving information is complete, the next step is entering the Giving project(s) information. Before clicking on the “Add Project Giving Funds” button, make sure that the receiving amount line is highlighted at the top of the screen for the associated project you are going to fund it with (fig. 3). Once the appropriate line is highlighted, click on “Add Project Giving Funds” at the bottom of the screen.

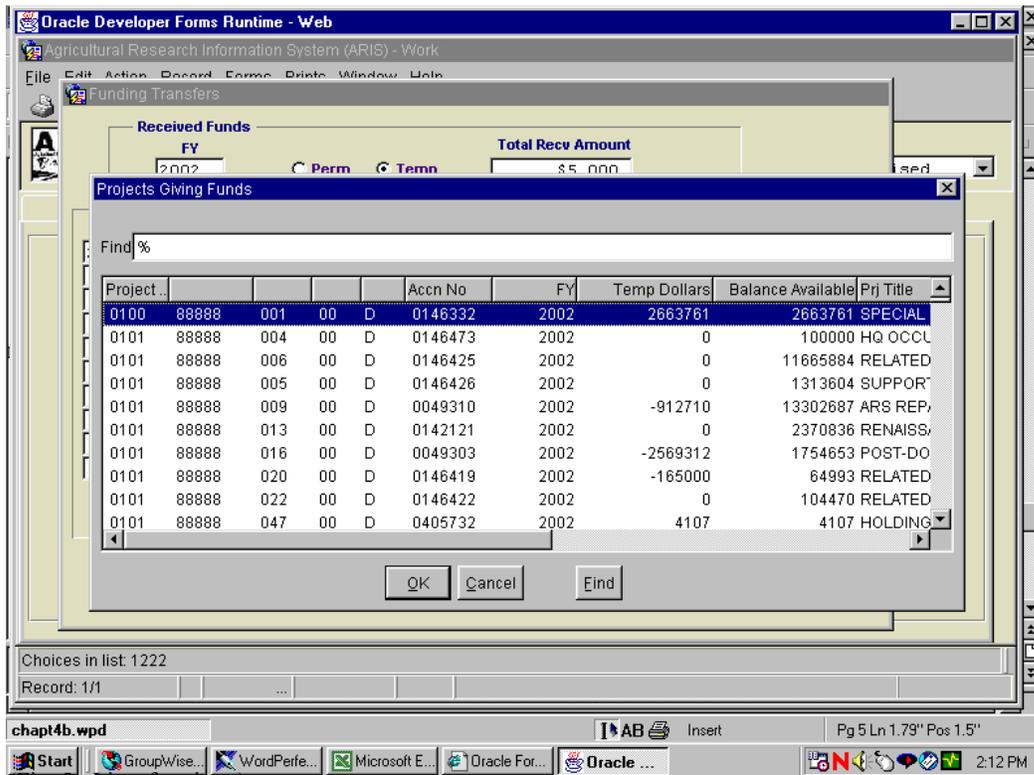


(Fig. 3 - Adding fund transfer information)



(Fig. 4 - Adding project giving funds information)

You must click on the “?” (fig. 4) and choose the giving project from the list provided. You cannot type the funding project directly in. When you click on the “?” a list of projects is provided (fig. 5). Either scroll down the list or search for the appropriate project. Once found, highlight the giving project and click on “OK.” The funding project will automatically be inserted in the giving project screen (fig. 4).



(Fig. 5 - List of projects)

Enter the dollar amount and click on “OK.” If more than one project is giving funds, continue adding the giving projects in the same manner until the giving amount equals the receiving amount. **NOTE:** You must click on the FY box below the last project entered in order to add additional giving projects.

Once complete, click on the List tab and you will return to the List screen. **NOTE:** You are prompted to save throughout the fund transfer process, therefore, when clicking on List, you will not receive a prompt to save.

The fund transfer is now complete. Continue with your normal Area approval process.

## Two Fund Transfers:

If two separate fund transfer actions (permanent and temporary) are being done at the same time, to add the giving project for the second action, make sure the correct receiving line is highlighted in the “Receiving Amount” section. Then click on the “Add project giving funds” button.

Again, you must choose the project giving the funds by clicking on the “?”. Once the correct project is highlighted, click on OK and the project will be inserted on the fund transfer screen. Add the dollar amount and click on OK.

**NOTE:** The giving project will only show on the screen for the action that is highlighted in the “received amount section.” It looks like the other action disappears, but it is still really there!

**NOTE:** If adding a temporary and permanent action at the same time, check your work carefully before obtaining signatures and sending it through for approval.

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Forms Prints Window Help  
416/417 Records  
Proj 0500 00018 001 00 D Accn 0142720 Modecode 05 00 00 00 Status Revised  
List Project Info Obj/App/Key Investigators STP/Codes 417 CODES Fund Transfers Resp Team Signatures  
Received Amount by FY  
Recv Accn No FY Receive Amount Total Amt Of Giving Prjs  
0142720 2002 \$10  Perm  Temp \$10  
2002 \$7  Perm  Temp \$7  
Add Record Delete Record  
Projects Giving Funds  
FY Giving Accn No Project No Giving Amount  
2002 0049117 0500000700100D  Perm  Temp \$10  
 Perm  Temp  
 Perm  Temp  
 Perm  Temp  
 Perm  Temp  
Add Proj Giving Funds Delete Proj Giving Funds  
Record: 1/2 Selected: 1 Total: 302  
Start GroupWise - M... WordPerfect 3... Microsoft Excel Oracle Forms... Oracle Dev... 2:53 PM

(Fig. 6 - Two fund transfers at the same time)

*Other Helpful Information:*

- The project number providing funds for all Administrator funded post-docs is:  
**0101-88888-016-00D**
- The project number providing funds for FY Program Increases is: **0101-88888-028-00D**  
**(ONLY USED FOR BEGINNING OF FY PROGRAM INCREASES)**
- Fund transfers across Area lines requires a note be sent to the Area Program Analysts of the project the funds are being taken from.