

ARS □ CSREES □ ERS □ NASS

Policies and Procedures

Title: Resource Management

Number: 320.1-ARS

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This Replaces: ARS 320.1 dated 8/5/94

Distribution: ARS Offices in Headquarters, Area, and Field Locations

This P&P provides policy and responsibilities for the accomplishment of Resource Management in ARS.

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1. Authorities

31 United States Code (U.S.C.) 3521
Public Law (PL) 97-255

2. Policy

Resource management is the responsibility of all managers, especially those managers designated as fundholders. All ARS employees are responsible for the effective use of resources.

Resource planning must be conducted so that the scope of the program/project is proper for the approved level of funding. The scope of the current program/project should not be contingent upon future program increases or funding assistance from the Area or Headquarters. For the assigned level of funding, an optimum mix of resources (personnel, equipment, facilities, and “all other” funds) must be achieved to accomplish the mission of the unit.

Resource management is a year-round continuous process. Long-term planning is necessary to ensure that equipment, buildings, and grounds are adequately maintained, and that up-to-date equipment is available for research. Managers should have contingency plans to address potential program increases, decreases, or absorptions which may occur.

3. Funding

Funds are assigned to Areas, locations, and fundholders for specific research projects. These projects will be described by Current Research Information System (CRIS) project number, title, and dollar amount. Funds are to be used only for those projects unless exemptions are granted by the Deputy Administrator, National Program Staff (NPS).

Funds must be obligated up to the assigned funding level without exceeding it.

Exemption: A tolerance is allowed for yearend CRIS expenditures to vary from the allocated amount of plus or minus 5 percent or \$50,000 whichever is less, from the assigned funding level for individual CRIS projects within the Management Unit (MU), as long as the total assigned funding level for the MU is not exceeded. The assigned funding level for CRIS projects is shown in the current allocation. For the MU, the assigned funding level is the financial plan amount.

Research activities conducted at other ARS locations must be properly accounted for. In cases where ARS employees perform work for other locations, fundholders must use the Research

Management Information System (RMIS) to request temporary fund transfers which, upon approval, will result in a temporary reallocation of funds between the ARS locations.

Funding arrangements with cooperating universities must be properly maintained. Fundholders occasionally receive allocations for research that need to be conducted at universities where ARS locations are co-located. ARS employees may **not** perform ARS-funded work for universities or make expenditures of funds from university accounts when those accounts are funded by ARS. (This does not preclude ARS employees from benefitting from accounts maintained for them by universities so long as those accounts are **not funded by ARS**, expenditures are consistent with an ARS Memorandum of Understanding with the university, and the expenditures are authorized **by a university official** and not by an ARS employee.)

In **no** case may ARS employees represent themselves as university employees.

Funds which cannot be obligated by the management unit by yearend must be identified and reported to the appropriate management level. There must be sufficient time to temporarily redistribute the funds to other high priority Agency needs according to existing Agency policy on temporary shifts between CRIS projects.

Unforeseen needs for additional funds must be identified and properly justified as early as possible to the appropriate management level.

A cooperative effort between fundholders and the Location Administrative Officer/Technician (LAO/T) in planning and tracking obligations must be achieved.

A system of allocations and financial plans to clearly assign financial management accountability should be utilized in accordance with the allocation structure identified in the Exhibit to this P&P.

4. Summary of Responsibilities

Administrator

- . Manage all ARS funds according to the mandates and constraints of Congress and the Administration.

Area Directors (AD) and Headquarters Allocation Holders

- . Manage the allocated level of funds.

- . Use the funds for the purposes that the Agency intends. (For example, the Area research allocations are specifically identified by CRIS projects and must be spent accordingly.)
- . Designate the fundholders within their allocations.

Fundholders

- . Manage CRIS projects and MU funds. (The fundholder is the individual indicated on the ARS-437, Annual Operating Plan, which is automated in the Annual Resource Management Plan System.)

Budget and Program Management Staff (BPMS)

- . Issue allocations within the limits of funds appropriated to the Agency.

Financial Management Division (FMD)

- . Establish Agency financial policy and maintain the Agency's financial systems, including the Central Accounting System (CAS), the Location Obligation Tracking System (LOTS), the Salary Management System (SAMS), and related supporting financial systems. (FMD will report to the Administrator on funds management performance.)

LAO/T

- . Utilize Agency mandated software systems, establishing local procedures for financial document flow, maintaining local funds control records, including CRIS subaccounts, and issuing accurate status of funds reports in a timely manner.

Area Budget and Fiscal Officer (ABFO)/(FMD-Fiscal Operations Branch (FOB) for Headquarters)

- . Ensure that the provisions of this P&P are carried out in their respective Areas by review and analysis of CAS, LOTS, and SAMS reports.

5. Glossary

ABFO. Area Budget and Fiscal Officer.

AD. Area Director.

BPMS. Budget and Program Management Staff .

CAS. Central Accounting System.

CRIS. Current Research Information System.

FMD. Financial Management Division, Administrative and Financial Management (AFM).

FOB. Fiscal Operations Branch., FMD.

LAO/T. Location Administrative Officer/Technician.

LOTS. Location Obligation Tracking System.

MU. Management Unit.

SAMS. Salary Management System.

/s/

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Deputy Administrator
Administrative and Financial Management

Exhibit

ALLOCATION STRUCTURE

Title of Allocation	Description	Allocation Holder
Program Management	Administrator and Immediate Staff Headquarters Staff Offices such as Information, NPS, BPMS AD's and Immediate Staff Temporarily Unassigned Program Funds Agency Central Charges and Special Projects	Administrator (supported by FMD-FOB)
Administrative and Financial Management	Office of DAAFM AFM Divisions Area Administrative Offices	DAAFM (supported by FMD-FOB)
Research	All funds for research, including CRIS-linked research accounts, location support (indirect research) accounts, etc.	AD's (supported by ABFO) Director, International Research Programs (supported by FMD-FOB)