

Research Admin 101

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Objectives – for today’s training

Training Section:	By the end of this section, you will:
Section 1: Overview of VA ORD Funding Cycle, Budget Process and Navigating Continuing Resolution (CR)	<ul style="list-style-type: none">• Understand the Funding Cycle for Research• Understand a Continuing Resolution• Understand what activities need to continue during a CR
Section 2: Allocating funds (ITAs and TDAs)	<ul style="list-style-type: none">• Understand key terms• Understand where Research funding is distributed• Understand the roadmap of ITA and TDA processing for FY 23• Understand key reports in RAFT and AACs
Section 3: Setting up and Managing Fund Control Points (FCPs)	<ul style="list-style-type: none">• Understand how FCPs work• Understand how the running balances are utilized• Understand the key activities for FY 22 and FY 23
Q&A	

Section 1: Overview of Funding Cycle for Research (FY 23)

- The FY 23 President's Budget Request is **\$916 Million** for the Medical and Prosthetic Research Appropriation (released on March 28, 2022).
- Congress must act by 9/30/22 to pass an appropriation for our FY 23 Budget. This has not occurred since FY 2018.
- To date, the following Congressional Action has occurred:
 - **House:** The House Appropriations committee released and passed [House Report 117-391](#) with an appropriation amount of \$926 Million on 6/23/22. The full house later passed the bill on 7/20/22.
 - **Senate:** The Senate has not come to an agreement yet on funding amounts for FY 23.
- If Congress, fails to enact a full-year appropriation by 9/30/22, Congress will likely pass a **continuing resolution (CR)**.

Section 1: How likely is a CR?

- In the last five fiscal years, we have received our enactment only in FY 2019. Thus, it is essentially 100% certain we will start FY 2023 under a Continuing Resolution (CR).

Fiscal Year	Date of Enactment	CRs Enacted for VA
FY 2018	3/23/18	5
FY 2019	9/21/18	0
FY 2020	12/20/19	2
FY 2021	12/27/20	5
FY 2022	3/15/22	4
FY 2023	?	?

Section 1: What is a Continuing Resolution (CR)?

- When annual appropriations acts are not enacted by the beginning of the fiscal year (i.e., by October 1), one or more continuing appropriations acts (commonly known as continuing resolutions or CRs) may be enacted to provide temporary funding to continue certain programs and activities until action on the regular appropriations acts is completed.
- **Continuing Resolutions have three main features:**
 - Provide funding for certain activities (coverage), which are typically specified with reference to the prior or current fiscal year's appropriations acts.
 - Provide budget authority for a specified duration of time.
 - Provide funds based on an overall funding rate.

Section 1: What can we fund during the CR period?

- Typically, a CR can fund “**continuing projects or activities**” that were performed the previous year. These are part of the ITA and are available for you to view by Mid September.
- ORD cannot undertake new initiatives (**New Starts**) during the CR Period.
- Effective 10/1, ORD may provide funding for research projects that were reviewed in FY 22, cleared JIT, but are not yet listed on the ITA.
- Specifically, Congress appropriated funds in the CR for “continuing projects or activities” and specifically Since the Medical Research account was legally available to fund programs of medical and prosthetic research and development as authorized by chapter 73 of title 38 in the prior FY, Medical Research appropriations provided by the CR are also available to fund such programs. It is not a new activity or “**new start**”.

Section 1: What does CR funding look like?

- The CR fund amount is typically based on the previous year's appropriations act, for Research in FY 23 this will likely be \$882 Million.
- Congress will pass a CR for a certain number of day which will provide a daily rate of operations.
- The table below depicts how this process will generally work:

FY 2022 Appropriation	FY 2023 Full-Year CR Amount	CR through December 11 Example (62 days or 17% of FY 23)
\$882 M	\$882 Million	= $\$882 \text{ M} \times 17\%$ = \$149.8 M

Section 1: What needs be done during a CR?

Research Appropriations	Key Activities
Prior Year (0161 22-23)	<ul style="list-style-type: none">• Utilized as much 22/23 funding by performing cost transfers.• Prior year dollars should not be used for credit card purchases or contracts (unless funds sent as ShEEP or LAMb or contracts were moved by RPO from 22 to 23).• Close monitoring of balances in the Status of Allowance is key to ensure that any remaining balances or de-obligation of funding are addressed prior to 1/15/22.
Current Year (0161 23-24)	<ul style="list-style-type: none">• A late enactment of FY 23 does not mean we cannot fund research earlier in the FY, thus we must continue to fund new studies ensuring new projects can start as early as possible.• All Research Stations still need to aggressively obligate funding as soon as the FY start, lower obligation rates earlier in the year lead to large carryover late in the year (that exceed the 4% carryover target).• Prepare and submit contracts so that they are ready to obligate once full-year funding is received. Continue to hire for open vacancies during a CR.

Section 1: What happens if Congress fails to pass a CR?

- If Congress fails to pass another CR or a full-year enactment, a Lapse in Funding (government shutdown) would occur.
- **If this occurred for the Research appropriation, we would still operate due to the following factors:**
 - Utilize Prior Year Funding (0161A1 22-23) to obligate while we wait for Congress to act.
 - Most of the Research program is classified as “excepted” and meet the legal requirements to continue performing their designated duties. This is because VA believes that certain key functions that support VHA’s research operations are justifiable exceptions for protecting life and property.
- More information can be found about the VA contingency plan on the VA website: [Contingency Planning - Office of the Chief Human Capital Officer \(va.gov\)](#)

Section 1: Take Home Message on CR

- No matter what happens you need to plan for 3 things:
 - ✓ **Spend your money** as if it were a normal year – Do Not Hold Back
 - ✓ Make sure that July 1st and October 1st project starts **get going by hiring staff and purchasing supplies**
 - ✓ MOST Importantly – Get your acquisition packages into RPO East as early as possible
 - If you have equipment purchases or service contracts **enter them into IFCAP and FORCE**
 - **Request Fiscal to allow you to overcommit (VISTA)** by showing them the ITA or funding sheets
 - This is critical to **flattening the purchasing curve**

Section 2: Allocating funds (ITAs and TDAs)

- First, we must review a few key terms to help you understand the allocation process:

Term	Definition
Allocation	An amount or portion of a resource assigned to a particular recipient i.e.: Investigator Award
Pink Sheet	The document that shows the amount or portion of a resource assigned to a particular recipient i.e.: Investigator Award. Pink Sheet shows the award amount per fiscal year
ITA - Initial Target Allowance	The amount of your ITA depends on the level of federal funding allocated to the facility research program at the beginning of each fiscal year and the amount of funding the VA received from Congress. For FY 23 the ITA will be set for the annual CR amount of \$882 Million. The ITA does not send fund but informs stations, programs, and investigators the initial funding target for the year.
TDAs - Transfer of Disbursement Authority	This is the document that sends and removes money to and from your station. The money arrives and is placed in the Research Program as undistributed until you work with your fiscal department to move to the most appropriate fund control points.
AACS - Automated Allotment Control System	The program in which to pull a list of TDAs used to track the budget and allocations to Program Offices and VHA facilities. Read Only Access is requested through fiscal service. If there are problems, contact ORD Finance.
RAFT - Research Analysis Forecasting Tool	This is a web-based software program that will help track all ORD allocated funds distributed to your facility. This is where you can access your pink sheets and ITA Budget Memo

Section 2: Research Program Funding

- Second, we must review the programs that receive this funding:

Program Code	Program
820	ORD, Research Administration (CC 101), Fellows, ShEEP, LAMb
821	Biomedical Laboratory Research (BLRD), Veterinary Medical Unit, Research Career Scientist, Career Development Awards, and Reimbursables
822	Rehabilitation R&D
824	Health Services R&D, COIN/VINCI
825	Cooperative Studies Programs
826	Million Veteran Program (MVP)
829	CSR&D (Clinical Sciences)

Section 2: Fiscal Year 23 Funding Roadmap (ITA/TDA)

Time Frame	September	October/Each New CR	FY 23 Enactment	Ad-Hoc
Activity	ITA Processing	TDA Processing	TDA Processing	TDA Processing
Description	<ul style="list-style-type: none"> • ORD's Office of Finance (Program Budget Analyst) input ITAs in September in RAFT. • The ITA contains funding for all ongoing projects based on the multi-year project budget. 	<ul style="list-style-type: none"> • ORD Office of Finance will process TDAs • Investigator accounts: Review on amount received and available amounts for spending • They are broken out by Salary and All other (The plan is for Travel to not be sent out separately in FY23. If you receive, travel funds it can still be placed in All Other). • Need to determine What Fund Control Points need to receive these? • Link TDAs with ledger 	<ul style="list-style-type: none"> • ORD Office of Finance will process final full-year TDAs reflecting the full-year enactment. 	<p>ORD Office of Finance will process ad-hoc TDAs as requested by ORD Services to meet on-going pragmatic needs during the fiscal year.</p>
How do I find?	RAFT	RAFT, Budget Memo Report, AACS (Program, Investigator, Ledger)		

Section 2: How to Access ITA Report in RAFT

https://raft.research.va.gov/RAFT/getFrame.go?time=1660852659293

UNITED STATES DEPARTMENT OF VETERANS AFFAIRS VA OFFICE OF RESEARCH & DEVELOPMENT RAFT

User Points, Kari logged in. File Reports Modules

Report List (click to toggle)

Monthly Budget Reports

Field Office Cutoff Date: 12/01/2022

Budget Allocation Detailed

Budget Allocation Summary

Budget Memo List (Year to Date)

Medical Center Quarterly Allocation

Project Quarterly Allocation (Detail)

Project Quarterly Allocation (Invstgr)

Project Quarterly Allocation (Project)

Project Quarterly Allocation (System)

Service ID Report

Budget Reports

ITA Reports

1. Select Reports
2. Select ITA Report

Section 2: ITA Report in RAFT

The screenshot displays the RAFT ITA Budget Memo List interface. The top navigation bar includes 'Program Limits', 'Project Tracking', 'Round Analysis', 'Forecasting', and 'ITA Reports'. The user is logged in as 'User Berkow, Jason'. The main content area features a search filter for 'Fiscal Year' (2022) and 'Medical Center' (590 Hampton, VA). Below the filters, a table lists two records:

Med Center	Program	Account Type	Budget Type	Project ID	Cost Center	Name	Memo No	Remarks	Memo Date	Qtr 1	Qtr 2	Qtr 3	Qtr 4	T001	Travel	
590 Hampton, VA	820 ORD	CURRENT	.001	ADMIN	101A	Administrative Support	MC, Allocation	7	ADMIN MC ITA	10/14/2021	\$160,118.00	\$0.00	\$0.00	\$0.00	\$160,118.00	\$0.00
590 Hampton, VA	826 Million Veteran Program	CURRENT	.001	MVP0001	160	MVP	Iruvanti, Pran R	15	MVP000 Iruvanti ITA	09/24/2021	\$132,488.00	\$0.00	\$0.00	\$0.00	\$132,488.00	\$0.00

1. Select ITA Budget Memo
2. Select Fiscal Year
3. Select Program (You can leave the selection blank and it will bring up ALL options on the printout OR you can select the program you wish to pull up specifically)
4. Select your Medical Center
5. You can export the information to read better (in CSV, XLS, or PDF).

Section 2: ITA Report in RAFT (in CSV format)

DEPARTMENT OF VETERANS AFFAIRS
 RESEARCH AND DEVELOPMENT INFORMATION SYSTEM
 FY 2022 ITA BUDGET MEMO LIST

Total Records: 2

Med Center	Program	Account Type	Budget Type	Project ID	Cost Center	Name	Memo No	Remarks	Memo Date	Qtr 1	Qtr 2	Qtr 3	Qtr 4	T001	Travel	
590 Hampton, VA	820 ORD	CURRENT	0.001	ADMIN	101A	Administrative Support	MC, Allocation	7	ADMIN MC ITA	10/14/2021	160,118.00	0	0	0	160,118.00	0
590 Hampton, VA	826 Million Veteran Program	CURRENT	0.001	MVP0001	160	MVP	Iruvanti, Pran R	15	MVP000 Iruvanti ITA	9/24/2021	132,488.00	0	0	0	132,488.00	0

Section 2: RAFT Budget Memo Report

DEPARTMENT OF VETERANS AFFAIRS
RESEARCH DEVELOPMENT INFORMATION SYSTEMS
BUDGET MEMO LIST

From Month: Q-1 October Program Code: 820 ORD Medical Center: 584 Iowa City, IA
Fiscal Year: 2022 To Month: Q-4 August 821 Medical Research

Submit Reset

Total Records: 65

Program	Account Type	Inv	Inv CID	Cost Center	BM#	Remark	Crt'd. Date	Dist. Date	QTR1	QTR2	QTR3	QTR4	Total 001	Trav
820 ORD	CURRENT	MC Allocation		102 Common Resources	220	Distributing remainder CC101 funds, lyvonne.lawson@va.gov	03/29/2022	03/29/2022	\$0.00	\$730,142.88	\$0.00	\$0.00	\$730,142.88	\$0.00
820 ORD	CURRENT	MC Allocation		102 Common Resources	309	Pull back CC101 funds per John Verwiel, lyvonne.lawson@va.gov	08/05/2022	08/05/2022	\$0.00	\$0.00	\$0.00	\$-300,000.00	\$-300,000.00	\$0.00
820 ORD	CURRENT	MC Allocation		102 Common Resources	328	CC-101 return pulled funds, John Verwiel	08/08/2022	08/08/2022	\$0.00	\$0.00	\$0.00	\$300,000.00	\$300,000.00	\$0.00
820 ORD	PRIOR	MC Allocation		REIM0161R1 Reimbursable - 0161R1 Fund	8	Royalty Distribution for the ACOS of Research from University of Iowa, Lyvonne Lawson 202-443-6829.	01/05/2022	01/05/2022	\$0.00	\$310.38	\$0.00	\$0.00	\$310.38	\$0.00
821 Medical Research	CURRENT	Bodine Sue C	SCBODINE	103M MRS Merit Review	1354	CAMM-002-21S Bodine 1 qtr sara.clark@va.gov	01/11/2022	01/12/2022	\$0.00	\$57,917.00	\$0.00	\$0.00	\$57,917.00	\$0.00
821 Medical Research	CURRENT	Bodine Sue C	SCBODINE	103M MRS Merit Review	1471	CAMM-002-21S Bodine sara.clark@va.gov	04/13/2022	04/14/2022	\$0.00	\$0.00	\$115,833.00	\$0.00	\$115,833.00	\$0.00

1. Select Reports
2. Select Budget Reports
3. Select Budget Memo List
4. Select Fiscal Year
5. Select Month to Month
6. Select All Programs
7. Select Medical Center
8. You can export the information to read better (in CSV, XLS, or PDF).

Section 2: Budget Reconciling: RAFT to AACCS

Automated Allotment Control System

VHA's Office of Finance
and
VA's Office of Information Technology

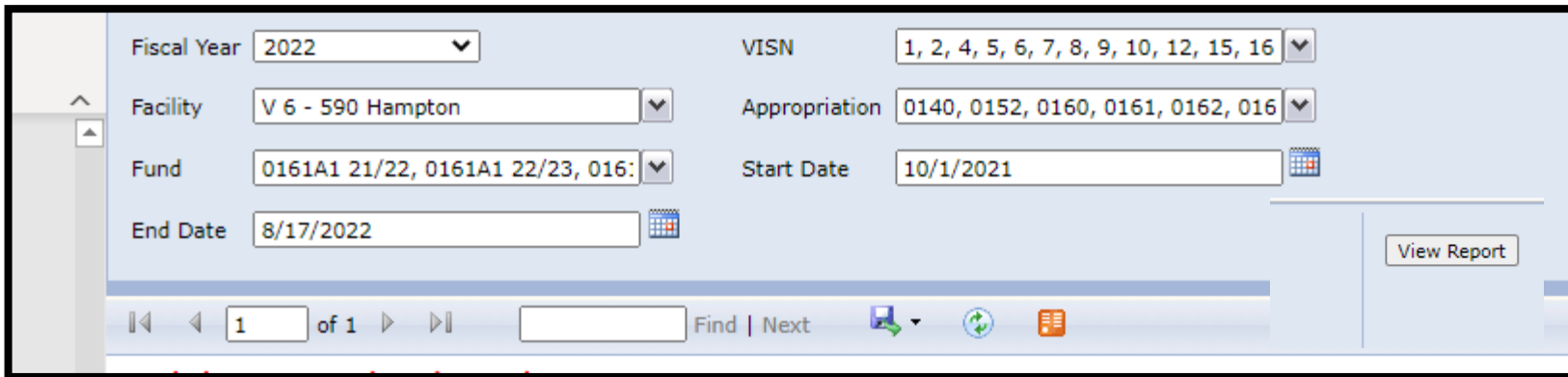
Implemented October 2012, AACCS is used to track the Budget and Allocations to Program Offices and VHA Facilities as well as VA OIT Data Centers and Business Offices.

VHA AACCS Reports	VISNs	TDA Listing
VA OIT AACCS Reports	Stations	VISN/Facility Detail Ledger
AACCS Contacts	Program Offices	VISN/Facility Ledger for Special Programs
	Daily Allocations & Obligations	

1. Click on VHA AACCS Reports and:
2. the first dropdown pops up;
3. move your cursor over that dropdown to the stations and the second dropdown pops up;
4. move your cursor over to the TDA listing and click on that tab.
5. That will take you to the page where you will be able to enter the needed info to pull up your TDAs

Note: to obtain access, contact your finance office. If there are problems, contact ORD Finance.

Section 2: Budget Reconciling: RAFT to AACS



The screenshot displays a web-based interface for budget reconciling. It features several filter fields: Fiscal Year (2022), Facility (V 6 - 590 Hampton), Fund (0161A1 21/22, 0161A1 22/23, 016:), End Date (8/17/2022), VISN (1, 2, 4, 5, 6, 7, 8, 9, 10, 12, 15, 16), and Appropriation (0140, 0152, 0160, 0161, 0162, 016). A Start Date field is set to 10/1/2021. A 'View Report' button is located on the right side of the filter area. Below the filters, there is a navigation bar with a '1 of 1' indicator and 'Find | Next' options.

1. Select Fiscal Year
2. Facility
3. Select VISN
4. Select Fund (Select 0161A1, 0161R1, 0161X2)
5. Select Appropriation (all can be selected, since the Fund narrows the filter)
6. Select Start Date (First day of fiscal year)
7. Select End Date
8. Click View Report

Section 2: Budget Reconciling: RAFT to AACS

[Click Here to Subscribe to this report](#)

FY 2022 TDA Listing as of 8/17/2022

Facility	Facility TDA	TDA#	Fund	BFY	EFY	Prog Office	Prog Code	Mnemonic	Mnemonic Name	Date	Ledger	TDA Initiator	Analyst	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Total
590 Hampton	17	254604	0161A1	2022	2023	0161	8600	GPAA-826012261	MILLION VETERAN PROGRAM 22-23	10/27/21	MVP000 IRUVANTI ITA	john.verwiel@va.gov	TBAKER	22,082.00	-	-	-	22,082.00
590 Hampton	216	105531	0161A1	2022	2023	0161	8600	GPAA-826012261	MILLION VETERAN PROGRAM 22-23	12/8/21	MVP000 IRUVANTI ITA	john.verwiel@va.gov	MIACKSON	22,523.00	-	-	-	22,523.00
590 Hampton	221	60616	0161A1	2022	2023	0161	8600	GPAA-826012261	MILLION VETERAN PROGRAM 22-23	12/16/21	MVP000 - IRUVANTI - PULLBACK EXCESS FUNDS. MH	deborah.allen8@va.gov	LBELL	-44,605.00	-	-	-	-44,605.00
590 Hampton	248	62781	0161A1	2022	2023	0161	8100	GPAA-821012261	BIO MED LAB SCIENCE 22-23	1/11/22	CC101 DISTRIBUTION, LYVONNE.LAWSON@VA.GOV	deborah.allen8@va.gov	LBELL	-	20,014.75	-	-	20,014.75
590 Hampton	257	267971	0161A1	2021	2022	0161	8600	GPAA-STACO2161	MILLION VETERAN PROGRAM	1/18/22	MVP PY PULLBACK EMAIL FROM GPAA-STACO2161 TO NRAA-RSRVE2161	JOHN VERWEIL	TBAKER	-	-109,011.31	-	-	-109,011.31
590 Hampton	280	64086	0161A1	2021	2022	0161	8100	GPAA-STACO2161	8100 PY STATION CARRYOVER	1/21/22	PY PULLBACK EMAIL FROM GPAA-STACO2161 TO NRAA-RSRVE2161	JOHN VERWEIL	LBELL	-	-128,255.90	-	-	-128,255.90
590 Hampton	285	269458	0161A1	2022	2023	0161	8600	GPAA-826012261	MILLION VETERAN PROGRAM 22-23	2/2/22	MVP000 - IRUVANTI - RESTORE PREVIOUS FUNDING. MH	deborah.allen8@va.gov	TBAKER	-	44,605.00	-	-	44,605.00
590 Hampton	310	71214	0161A1	2022	2023	0161	8600	GPAA-826012261	MILLION VETERAN PROGRAM 22-23	3/1/22	MVP000 IRUVANTI ITA	john.verwiel@va.gov	LBELL	-	7,260.00	-	-	7,260.00
590 Hampton	428	82803	0161A1	2022	2023	0161	8100	GPAA-821012261	BIO MED LAB SCIENCE 22-23	5/29/22	DISTRIBUTING REMAINDER CC101 FUNDS, LYVONNE.LAWSON@VA.GOV	deborah.allen8@va.gov	LBELL	-	140,103.25	-	-	140,103.25
590 Hampton	450	284357	0161A1	2022	2023	0161	8600	GPAA-826012261	MILLION VETERAN PROGRAM 22-23	4/13/22	MVP000 IRUVANTI ITA	john.verwiel@va.gov	TBAKER	-	-	80,623.00	-	80,623.00
590 Hampton	462	86810	0161A1	2022	2023	0161	8100	GPAA-821012261	BIO MED LAB SCIENCE 22-23	4/22/22	SALARY FOR THE REGISTRY PROGRAM DIRECTOR, LYVONNE.LAWSON@VA.GOV SENT 1/19/22022	john.verwiel@va.gov	LBELL	-	-	124,864.00	-	124,864.00
590 Hampton	465	287789	0161A1	2022	2023	0161	8100	GPAA-821012261	BIO MED LAB SCIENCE 22-23	4/27/22	PULL BUCK FUNDS SENT IN ERROR, LYVONNE.LAWSON@VA.GOV	deborah.allen8@va.gov	TBAKER	-	-	-124,864.00	-	-124,864.00
590 Hampton	487	88248	0161A1	2022	2023	0161	8600	GPAA-826012261	MILLION VETERAN PROGRAM 22-23	5/5/22	MVP000 - IRUVANTI - RECOUP FUNDING. MH	deborah.allen8@va.gov	LBELL	-	-	-35,004.00	-	-35,004.00
590 Hampton	495	89234	0161A1	2022	2023	0161	8500	GPAD-825012261	CLINICAL SCIENCE RESRCH 22-23	5/13/22	CSP-2014;MANHAPRA, AJAY;FUNDING REQUEST FOR UFR FY22;TANYA BYFIELD	deborah.allen8@va.gov	LBELL	-	-	39,998.00	-	39,998.00



Choose VA

VA



U.S. Department of Veterans Affairs

Section 2: Budget Reconciling: RAFT to AACS

- After funds are allocated to the facility, Station Finance should reach out with a list of TDAs on station and ask where they need to be distributed. Until answered, the funds remain in the program undistributed on the SOA. If your Finance does not reach out, you can check the SOA for undistributed items and the AACS website to see the TDA and notify your Fiscal to process.
- After the FCP(s) are selected, the funds are then distributed to the FCP and account. This can be tracked through emails, through IFCAP running balances, as well as transaction listings in VSSC. You may also ask your finance department for monthly activity by account classification code reports.

Section 2: Allocating and Appropriating funds (ITAs and TDAs)

- Field Level Processing of ITAs and TDAs
 - Operate on the ITA amount.
 - Investigators do not need to know the breakdown of the CR. Put the ITA amount in their account and let them operate as if all funding has been received. It is confusing to them if you are only entering the funding in their account as the CRs are processed. For example, in WinRMS, salaries are projected for the whole year. If you only enter the CR amount, it will show them as negative and they will not know what to spend.
 - Monitor your appropriation as a whole to ensure you do not go into the negative. Go ahead and enter large contracts but do not obligate unless you are sure you have the funds.
 - Meet with Investigators early in the year to determine a spend plan.

Section 2: Allocating and Appropriating funds (ITAs and TDAs)

Field Level Processing of ITAs and TDAs:

- When you receive your ITA go ahead and plan what should go into your Salary FCPs vs. All Other FCPs. This will make it much easier to process the TDAs as they come in as you already have a plan.
- Track the TDA's that come in so you know the amount that you have received for each ITA.
- Next slide shows an example spreadsheet that you can use as a tool.

Section 2: ITAs and TDAs

- Example: Organizing and setting up your allocations in EXCEL:

	E	G	H	I	J	K	L	M	N	O	P	Q	R
1	Name	Remarks	Original allocation				TDA Allocation 1				Remaining		
2			Sal	All other	total		Sal	All other	Total		Sal	All other	Total
3	Bishop, Gail	RCSR-001-20S Bishop ITA	121,408.00		121,408.00		20235		20235		101,173.00	0.00	101,173.00
4	Burnett, Andrean	ONCB-009-19S Burnett ITA	78,558.00	165,000.00	243,558.00		40593		40593		37,965.00	165,000.00	202,965.00
5	Elliott, David E	IMMA-006-19F Elliott ITA		165,000.00	165,000.00			27334	27334		0.00	137,666.00	137,666.00
6	Grumbach, Isabella	CARB-008-20F Grumbach ITA		215,000.00	215,000.00			35834	35834		0.00	179,166.00	179,166.00
7	Harwani, Sailesh	CARB-014-20F Harwani ITA		215,000.00	215,000.00			35500	35500		0.00	179,500.00	179,500.00
8	Imai, Yumi	ENDA-001-20S Imai ITA		165,000.00	165,000.00			27167	27167		0.00	137,833.00	137,833.00
9	Ince, Mirac N	IMMA-006-20F Ince ITA		215,000.00	215,000.00			35667	35667		0.00	179,333.00	179,333.00
10	Irani, kaikobad	CARB-003-19F Irani ITA		165,000.00	165,000.00			27167	27167		0.00	137,833.00	137,833.00
11	Jabbari, Ali	IMMA-009-19F Jabbari ITA		165,000.00	165,000.00			27417	27417		0.00	137,583.00	137,583.00
12	Karandikar, Nitin	NURB-004-20F Karandikar ITA		215,000.00	215,000.00			35500	35500		0.00	179,500.00	179,500.00
13	Luo, Jia	NURA-010-18S Luo ITA	119,760.00	165,000.00	284,760.00		47294		47294		72,466.00	165,000.00	237,466.00
14	MC, Allocation	ARF-105 MC ITA	311,218.00		311,218.00		51870		51870		259,348.00	0.00	259,348.00
15	McGowan, Stephen E	PULM-014-17F McGowan ITA		173,200.00	173,200.00			28867	28867		0.00	144,333.00	144,333.00
16	Meier, Jeffery L	INFA-007-18S Meier ITA		173,200.00	173,200.00			28700	28700		0.00	144,500.00	144,500.00
17	Mokadem, Mohamad	ENDA-010-19S Mokadem ITA		165,000.00	165,000.00			27167	27167		0.00	137,833.00	137,833.00
18	Morita, Craig T	IMMA-012-18F Morita ITA		165,000.00	165,000.00			27334	27334		0.00	137,666.00	137,666.00
19	O'Neill, Brian	ENDA-011-19S O'Neill ITA		165,000.00	165,000.00			27167	27167		0.00	137,833.00	137,833.00
20	Parlet, Corey	INFB-024-18S Parlet ITA	110,499.00	75,000.00	185,499.00		30584		30584		79,915.00	75,000.00	154,915.00
21	Potthoff, Matthew	ENDA-021-18F Potthoff ITA	78,558.00	165,000.00	243,558.00		40260		40260		38,298.00	165,000.00	203,298.00
22	Rahmouni, Kamal	CARB-005-18S Rahmouni ITA	81,081.00	165,000.00	246,081.00		40681		40681		40,400.00	165,000.00	205,400.00
23	Snyder, Peter	NEPH-020-17S Snyder ITA		49,450.00	49,450.00			8159	8159		0.00	41,291.00	41,291.00
24	Song, Long-Sheng	CARA-002-19S Song ITA	89,833.00	165,000.00	254,833.00		42139		42139		47,694.00	165,000.00	212,694.00
25	Wemmie, John A	NURA-008-19S Wemmie ITA		165,000.00	165,000.00			27500	27500		0.00	137,500.00	137,500.00
26	Wilson, Mary E	INFB-018-19S Wilson ITA		300,000.00	300,000.00			48917	48917		0.00	251,083.00	251,083.00
27	Wilson, Mary E	INFB-021-17F Wilson ITA		173,200.00	173,200.00			28867	28867		0.00	144,333.00	144,333.00
28	Yorek, Mark	CAMM-001-18S		165,000.00	165,000.00			27500	27500		0.00	137,500.00	137,500.00
29	Zingman, Leonid	CARA-009-19S Zingman ITA		165,000.00	165,000.00			27500	27500		0.00	137,500.00	137,500.00

Section 3: Setting up and Managing Fund Control Points (FCPs)

- Fund Control Points are where ORD Funds are placed at your facility for utilization.
- FCPs work like a checking account. VISTA tracks them via the Running Balances:
 - Deposits increase the available balance.
 - Expenditures decrease the available balance.
- By regularly reviewing the FCPs within your service you will be able to:
 - View FYTD expenditures (purchases, 1358s, 2237s and contract costs).
 - Verify you are operating within your approved budget.
 - Analyze spending to make any necessary adjustments to purchases for the remainder of the fiscal year.
 - Be prepared for special circumstances/needs that will impact the current budget situation. (e.g. unexpected replacement product(s)/ service(s), contract price variations due to unforeseen circumstances, new regulations/mandates that create new or inflated costs.)

Section 3: Setting up and Managing Fund Control Points (FCPs)

- You should have at least one FCP for Salary and one FCP for All other in each program.
- Depending on the site (CSP Centers, Other special programs), you may have more than two per program.
- A travel FCP is no longer required except if it is mapped into concur, then you should consider maintaining a travel FCP.
- A lot of sites have many FCPs in each program. This complicates things, makes it harder for your purchase card agents, and makes it harder for you to balance your FCPs to the SOA.
- Now is the time to simplify things with your Fiscal Office as they are setting up FCPs for next year. See if you can reduce the amount of FCPs that you have.

Section 3: Setting up and Managing Fund Control Points (FCPs)

- Use the Status of Allowance (SOA) and your Running Balance in VISTA to monitor your spending. While the SOA tells your unobligated balances for each FCP, it is critical to monitor your Running Balance as that will give you what amount is pending for each FCP that you need to account for.
- At the end of the Running Balance report, it shows you your Balance Summary. It is important to note the Total Committed, not Obligated column. In this example there is \$1,114,703.50 in total committed, but not obligated. This amount needs to be factored in when looking at what is remaining in the FCP to spend. You can't just look at what is obligated when budgeting, you also must look at what is pending.

<u>BALANCE SUMMARY</u>	<u>1ST QUARTER</u>	<u>2ND QUARTER</u>	<u>3RD QUARTER</u>	<u>4TH QUARTER</u>
<u>ACTUAL CP BALANCE</u>	0.00	0.00	0.00	\$734,649.91
<u>ACTUAL FISCAL BALANCE</u>	0.00	0.00	0.00	\$1,879,353.41
<u>TOTAL COMMITTED, NOT OBLIGATED</u>	0.00	0.00	0.00	\$1,144,703.50



Section 3: Setting up and Managing Fund Control Points (FCPs)

- While it is important to **monitor your budget at the FCP level**, it is also critical to look at the data at the **Program and Research Appropriation levels**.
- If you have a FCP in a deficit but you have a surplus in another FCP within that same Program, you can simply ask Fiscal to move ceilings between the two FCPs correcting the deficit/surplus. This **only works at the Program level**. **You cannot move ceilings amongst different Programs**.
- If you have a Program with a deficit and there is a legitimate expense within that Program that can be moved to another Program, you can **request a cost transfer to correct that deficit**. For example: salary costs that are split between two programs, core charges that are being used by multiple programs, etc. Cost transfers are the only way you can move funds between programs.

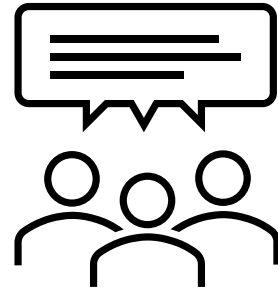
Section 3: Setting up and Managing Fund Control Points (FCPs)

- It is critical that the research appropriation to not go into a deficit. This needs to especially be monitored during a CR. While you should spend like normal during a CR, large purchases should be monitored to ensure the appropriation does not go into a deficit. You should still submit these purchase to contracting at the beginning of the year, just don't have them obligate unless you are sure you have the funds on station.
- Communicate any significant potential excess or shortage that cannot be corrected on station via outlook email message to FISCAL MANAGEMENT- RESEARCH (ORD)
 - *NOTE: If a funding deficit is identified the email must provide all the following information:
 - Estimated dollar amount needed
 - Justification for the budget variance

Key Activities for closing FY 22 and beginning FY 23

- Operate on the ITA amounts available from RAFT.
- Only use cost transfers to spend prior year dollars.
 - Certain circumstances do allow for contracts.
- Submit contracts early in the year, this will allow for flattening the contracting curve.
- Spend your ITA allocation so you do not build up funds throughout the year.

Questions



Useful Resources

- [Past ORD Finance Training \(sharepoint.com\)](#)