



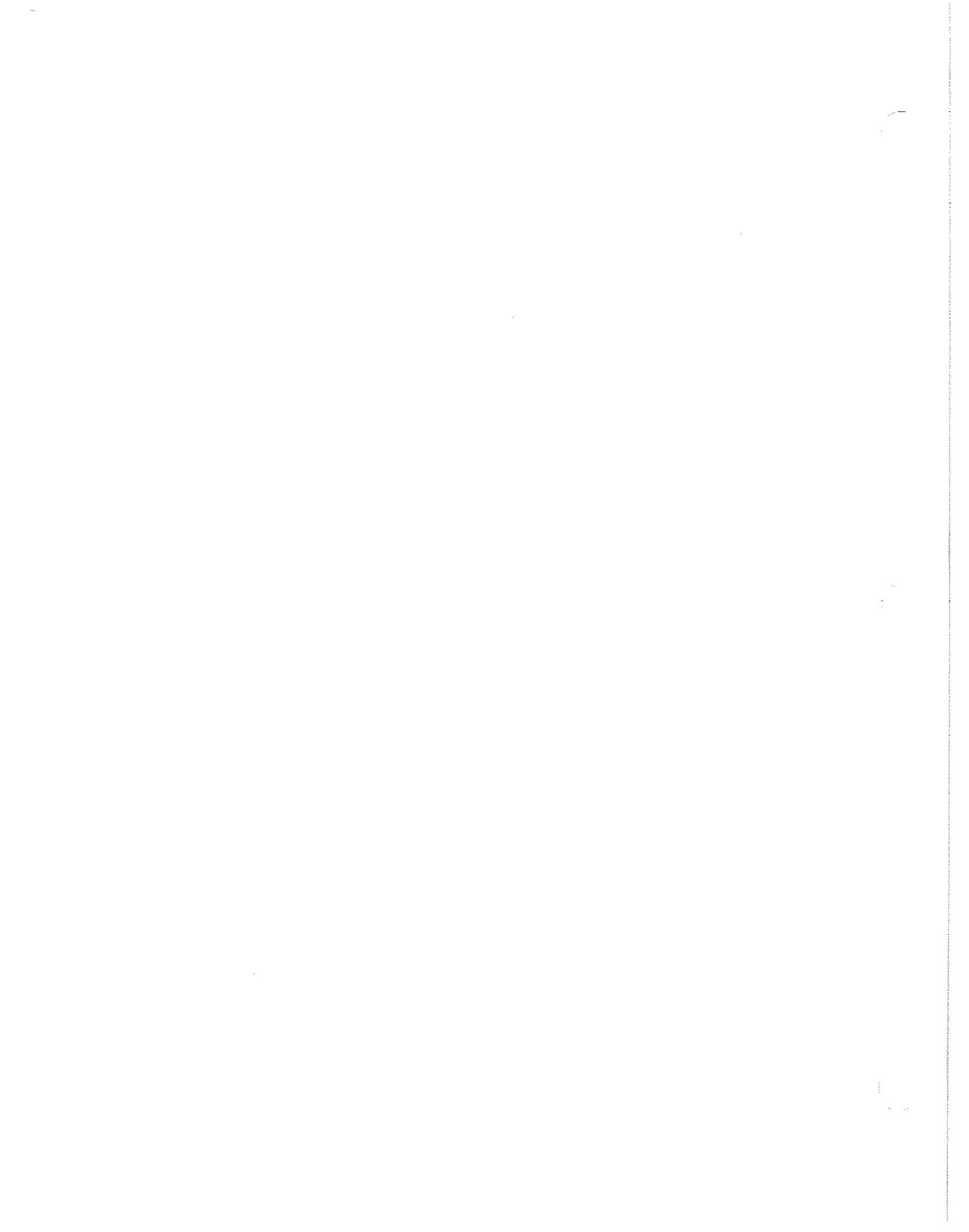
United States  
Department of  
Agriculture

Agricultural  
Research  
Service

June 1989

# The ARS Resource Management System (ARMS)

- Concepts
- Policies
- Responsibilities
- Interactions



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## I. INTRODUCTION

This Manual is designed as a comprehensive reference document for administering the ARS Resource Management System (ARMS). It sets forth the Agency policies established in support of the ARMS and also describes the interactions and relationships of key participants and their respective functional roles and responsibilities. In this context, it is important to note the distinction between ARMS and the ARMP. ARMS is the system, the ARMP is its principal (though not sole) component, i.e., the engine that drives the system. The discussion of ARMS outlines the various phases and activities encompassed by the annual budgeting cycle. In contrast, the discussion of the ARMP development, which constitutes the preponderant part of this Manual, is a detailed explanation of each ARMP component and their respective purpose as well as roles, responsibilities, and interactions that are crucial to the accomplishment of the various requirements.

The content of this Manual is oriented toward the processes applicable to the Areas of ARS and specifically the Research Management Units (RMU's). These processes are essentially identical with respect to field and Headquarters Administrative Management (AM) and Program Management (PM) units (i.e., Area Administrative Office, AM Divisions, Area Director's Office, and Administrator's Staffs). In preference to adding a special section for statements or procedures applicable to AM and PM units, the AM and PM equivalents are shown in parenthesis in bold-faced letters where applicable, e.g., (**AM, PM**).

Effective with the planning cycle for FY-87, the ARMP development has been automated on the ARS personal computer (PC). Technical details and instructions for using the automated ARMP System to prepare each ARMP component are contained in the Automated ARMP System User's Manual.

It is essential that all personnel participating in the annual planning cycle have a working knowledge of the overall ARMS process. Not only should participants know their own respective role and responsibilities, but they should also be aware of how they impact the function of others and how others impact their own function. The content of this Manual will provide all participants in the process the tools and knowledge necessary to accomplish this goal. The relatively complex framework of interactions requires an integrated and cooperative effort on the part of every participant in the system.

## II. REFERENCES

- A. Agricultural Acquisition Regulations (AGAR), Part 407, Acquisition Planning
- B. AM 100.2, Organization Changes
- C. AM 101.2, Establishment, Relocation, or Closing of ARS Offices and Facilities
- D. Appendix, "ARS Objectives, Approaches, and Approach Elements," to the ARS 6-Year Implementation Plan
- E. Central Accounting System (CAS) User's Manual
- F. Directive 210.2, Advance Acquisition Planning System
- G. Directive 212.10, Construction Appropriation, Authorities and Limitations

- H. Directive 281.1, Extramural Research - Grants
- I. Directive 282.1, Extramural Research - Cooperative Agreements
- J. Directive 282.2, Research Support Agreements
- K. Directive 284.1, Extramural Research - Research & Development Contracts
- L. Directives of the 300 series
- M. Directive 411.2, Preparing and Approving Requests for Personnel Actions, SF-52
- N. Directive 432.1, Position Descriptions
- O. Financial Management Manual
- P. Organizational Coding Guide (for the MODE System)
- Q. Federal Acquisition Regulations (FAR), Part 7, Acquisition Planning
- <R. Federal Procurement Data System, Product and Service Codes Manual>
- S. 7 U.S.C. 427, 427i, 450b, 1624, 3318
- T. Salary Table published by U.S. Office of Personnel Management

### III. ABBREVIATIONS

AA	Associate Administrator
AAO	Area Administrative Officer
ABFO	Area Budget and Fiscal Officer
AC	Administrator's Council
AD	Area Director
ADP	Automated Data Processing
A-E	Architectural - Engineering (Services)
AEC	Approach Element Code (Third level of the "Strategic Plan Code" from 6-Year Implementation Plan)
AM	Administrative Management
AOE	Area Office Engineer
AOP	Annual Operating Plan
ARMP	Annual Resource Management Plan
ARMS	ARS Resource Management System
ARS	Agricultural Research Service
ASHM	Area Safety & Health Manager
BPMS	Budget and Program Management Staff
C/A	Cooperative Agreement
CAD	Contracting and Assistance Division
CAS	Central Accounting System
CD	Center Director
CRIS	Current Research Information System
DAAM	Deputy Administrator, Administrative Management
DA-NPS	Deputy Administrator, National Program Staff
DAD	Deputy Area Director
DD	Division Director
EOD	Entrance on Duty
ER	Energy Retrofit
FCMD	Facilities Construction Management Division
FDC	Facility Deficiency Code (Repair and Maintenance)
FMD	Financial Management Division
FP	Facilities Plan
FTE	Full-Time Equivalency
FY	Fiscal Year
G&A	General and Administrative (Costs)
GSD	General Services Division
HPRL	High Priority Requirements List
HQ	Headquarters
IPA	Intergovernmental Personnel Act

IPSC	Indirect Program Support Cost
IRC	Indirect Research Cost
LAO/T	Location Administrative Officer/Technician
LC	Location Coordinator
LD	Laboratory Director
MU	Management Unit
NFC	National Finance Center
NPS	National Program Staff
OA	Office of the Administrator
PAO	Procurement Assistance Officer
PD	Personnel Division (now HRD - Human Resources Division)
PDL	Payroll Detail Listing
PM	Program Management
PROP	Procurement Plan
PSC	Product/Service Code
PSP	Position Staffing Plan
QSI	Quality Step Increase
RAP	Research Agreements Plan
R&D	Research & Development
R&M	Repair & Maintenance
RMU	Research Management Unit
RSA	Research Support Agreement
SD	Staff Director
S&H	Safety and Health
SPOT	Salary Projection on Telex (now SAMS - Salary Management System)
<b>SRC</b>	<b>Shared Research Cost</b>
SY	Scientific Year
TUPF	Temporarily Unassigned Program Funds
U.S.C.	United States Code
WGI	Within Grade Increase

IV. MANAGEMENT CRITERIA RATIOS (as shown on the AOP and Executive Reports).

A. Terms and Definitions.

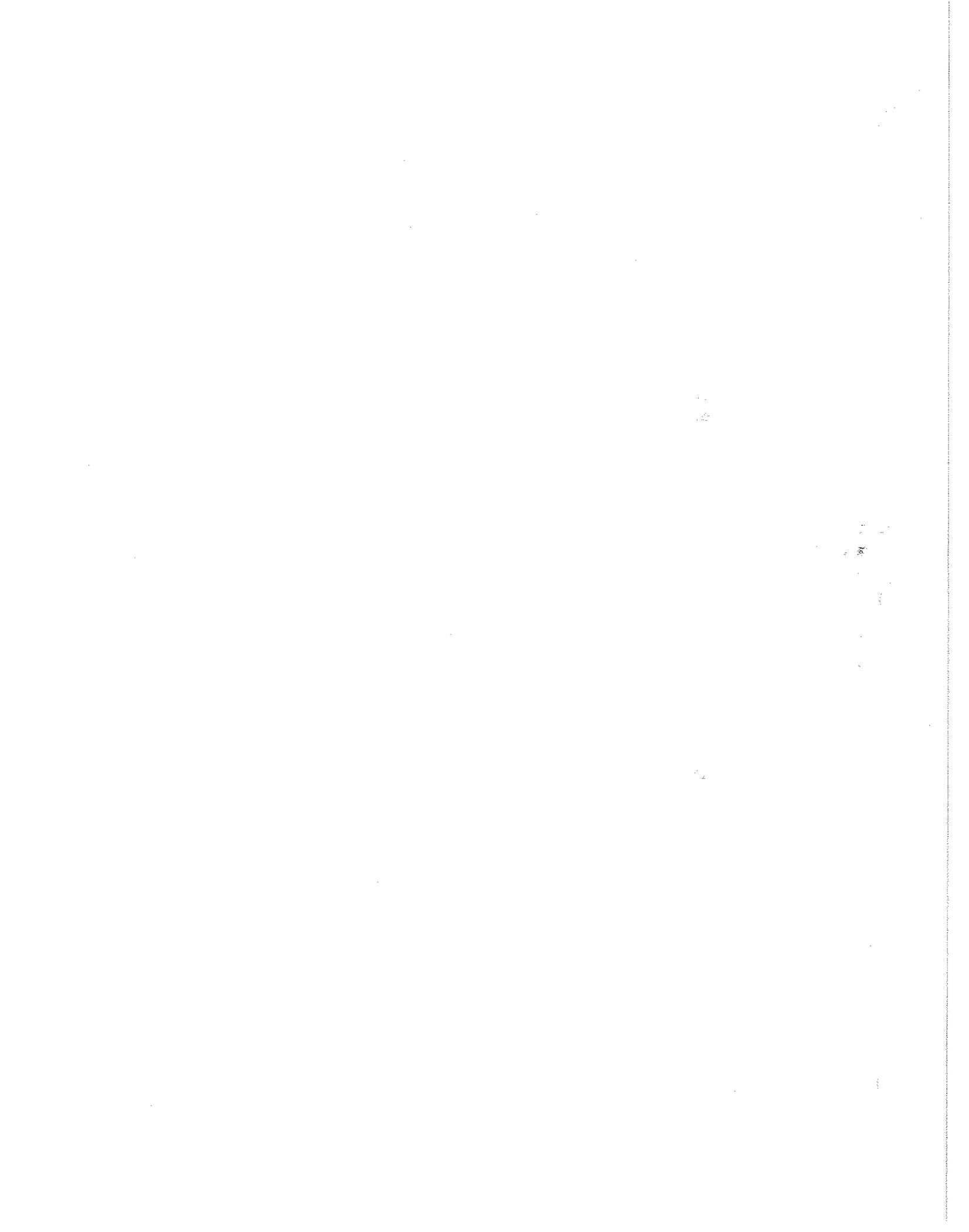
1. Fixed costs: Federal salaries, Merit Pay, lump sum leave, promotions, RSA salaries, RSA utilities, support service contracts with FTE identified, rent and utilities, repair and maintenance, extramurals, and IRC.
2. Discretionary Costs: Overtime/premium pay, travel of persons, transportation, printing and reproduction, other services, RSA other, supplies and materials, miscellaneous services, equipment, and land & structures.



3. Total Salaries: All Federal salaries, RSA salaries, lump sum leave, Merit Pay, and promotions; excludes overtime and premium pay
4. Net to Location Dollars: Permanent and temporary funds available to the RMU or CRIS prior to the IRC assessment.

B. Formulas (for RMU or CRIS unit)

1. Percent in Salaries =  $\frac{\text{Total Salaries}}{\text{Net to Location \$'s}}$
2. Percent Discretionary =  $\frac{\text{Discretionary Costs}}{\text{Net to Location \$'s}}$
3. Total \$'s per SY =  $\frac{\text{Net to Location \$'s}}{\text{Cat. 1 and 4 FTE's (excluding Research Associates FTE's)}}$
4. Discretionary \$'s per SY =  $\frac{\text{Discretionary Costs}}{\text{Cat. 1 and 4 FTE's (excluding Research Associates FTE's)}}$
5. Percent in IRC =  $\frac{\text{IRC Assessment (as shown on the CRAS)}}{\text{Net to Location \$'s}}$
6. Support Years per SY =  $\frac{\text{Cat. 2, 3, 5-9 and "Other" FTE's}}{\text{Cat. 1 and 4 (excluding Research Associates FTE's)}}$
7. **Bench Dollars per SY =  $\frac{\text{Total Dollars Net to Location less IRC costs}}{\text{Number of SY's in MU}}$**
8. **Percent in Soft Funds =  $\frac{\text{Total Soft Funds}}{\text{Net to Location \$'s}}$**
9. **Percent in Outgoing Funds =  $\frac{\text{Total Extramural Funds (Object Class 4000) (excluding Congressionally mandated pass thru funds)}}{\text{Net to Location \$'s}}$**



## V. DEFINITIONS

Acquisition - The acquiring by procurement contract (including small purchase contracts) of supplies, equipment, services, or construction by and for the use of the Federal Government through purchase or lease. (Excluded are lease or purchase of real property and the sale of surplus property.)

Assistance - The support or stimulation of the activities of another organization when such action furthers an authorized ARS mission. May be a grants or specific agreement (as defined below).

Contract Support Services - Both personal and non-personal program and administrative contract services provided (generally) onsite that are recurring and intended to augment and supplement the workforce to accomplish such work as facilities and grounds maintenance, ADP support, word processing, office support services, animal herd care and maintenance, and maintenance of warehouses/storerooms. This does not include routine, on-call periodic services for repair and maintenance of vehicles/ equipment (such as elevator inspection and repair, typewriter repair, or service calls on scientific instrumentation), For the Jobs contracts (such as preparation of plots, installation of equipment, cleaning of grounds, projects for development of specific ADP systems, or mechanical trades), consulting, or medical examinations.

Demonstration Project - A joint ARS/Forest Service personnel hiring authority which provides streamlined recruitment and hiring procedures.

Direct Costs - All research costs which are not in an IRC account and can be directly associated with CRIS projects and RMU's. They are controlled by the fundholder of the RMU.

Extramural Agreement - An R&D contract, grant, or specific cooperative agreement between ARS and another party (ies) for research performed by the outside party that supplements or correlates with ARS programs.

Financial Plan - A document which identifies expenditure plans by budget object classes for incurring obligations for research, support and other management units. This plan is reflected in the Central Accounting System

Grant - An extramural research agreement whereby ARS funds the proposal of an extramural organization.

Indirect Research Costs - **Costs that are associated with the basic operations of the location and are distributed to CRIS's. They can be characterized as things needed to "open the doors" of the location - utilities, facility operations, janitorial, communications, administrative support, EAP, OHMP, copiers, facility R&M, etc. These are assigned to an IRC account with costs spread to CRIS's on a formula, weighted factor or actual cost basis.**



Management Units - An organizational entity, cost center (e.g., indirect research cost account), project (e.g., R&M, ER), or reimbursable/trust fund agreement which is given a discrete accounting code for the purpose of assigning program accountability and fund management responsibilities in accordance with established program and financial plans.

Position Management - The continuous and systematic management process of assuring that organizations, positions, and functions are structured efficiently and economically. It is the process which managers go through to determine how many positions are needed, how jobs should be designed, and the type of organizational structure that is required to accomplish the functional assignment of their organizational unit.

Research & Development Contract (Assistance) - An extramural research contract based on a written statement of work setting forth a research program or project to be performed by an extramural organization.

Research Support Agreement - A cost reimbursement agreement reflecting a legal relationship between ARS and a state cooperating institution for the acquisition of goods and/or services, including limited personal services, to carry out agricultural research activities of documented mutual interest.

**Shared Research Cost - Costs that are associated with direct research, but may be shared by more than one MU/CRIS and therefore may be jointly controlled or funded. They can be characterized as direct research support such as livestock operations and shared research equipment, distinguishing them from IRC costs. These costs must be excluded from the IRC development.**

Scientific Year (SY) - An ARS scientific professional position that satisfies either of the following criteria:

- a. The highest level of work involves, for a major portion of the time, the personal conduct and/or leadership of theoretical and experimental investigations primarily of a basic or applied nature (i.e., "Category 1").



Demonstration Project - A joint ARS/Forest Service experiment under the authority of the Office of Personnel Management, to test streamlined recruitment and hiring procedures for a 5-year period (1990-1995)..}

Direct Costs - All research costs which are not in an IRC account and can be directly associated with CRIS projects and RMU's. They are controlled by the fundholder of the RMU.

Extramural Agreement - An R&D contract, grant, or specific cooperative agreement between ARS and another party(ies) for research performed by the outside party that supplements or correlates with ARS programs.

Financial Plan - A document which identifies expenditure plans by budget object classes for incurring obligations for research, support and other management units. This plan is reflected in the Central Accounting System.

Grant - An extramural research agreement whereby ARS funds the proposal of an extramural organization.

Indirect Research Costs - Research costs which benefit more than one RMU and cannot be effectively charged directly to the respective RMU's. These costs are accumulated and controlled in separate IRC accounts.

Management Unit - An organizational entity, cost center (e.g., indirect research cost account), project (e.g., R&M, ER), or reimbursable/trust fund agreement which is given a discrete accounting code for the purpose of assigning program accountability and fund management responsibilities in accordance with established program and financial plans.

Position Management - The continuous and systematic management process of assuring that organizations, positions, and functions are structured efficiently and economically. It is the process which managers go through to determine how many positions are needed, how jobs should be designed, and the type of organizational structure that is required to accomplish the functional assignment of their organizational unit.

Research & Development Contract (Assistance) - An extramural research contract based on a written statement of work setting forth a research program or project to be performed by an extramural organization.

Research Support Agreement - A cost reimbursement agreement reflecting a legal relationship between ARS and a state cooperating institution for the acquisition of goods and/or services, including limited personal services, to carry out agricultural research activities of documented mutual interest; formerly called Broad Form Cooperative Agreement (BFCA).

Scientific Year (SY) - An ARS scientific professional position that satisfies either of the following criteria:

- a. The highest level of work involves (for a major portion of the time) the personal conduct and/or leadership of theoretical and experimental investigations primarily of a basic or applied nature (i.e., "Category 1").

- b. The work entails serving as project or program leader (or personally performing work) assigned to ARS which involves professional scientific services to the public or to other Government agencies (i.e., "Category 4").

Specific Cooperative Agreement - An extramural research agreement wherein the objectives of the agreement will serve a mutual interest of the parties to the agreement, and all parties contribute resources to the accomplishment of those objectives.

## VI. OVERVIEW OF THE ARMS PROCESS

### A. Concept Highlights

To assure national leadership and direction of ARS research, the Agency has embarked on a strategy of enhancing program accountability through the management of such resource assets as salary lapse, construction, repair and maintenance (R&M) and energy retrofit (ER) funds, full-time equivalency (FTE), etc. The ARMS process described in the following pages represents a structured, disciplined approach to establish the framework for integrated resource planning. The following are abstracts of the significant aspects underlying the ARMS process.

1. As mentioned, a cornerstone of ARMS is the improvement of program and resource accountability, the attainment of which is made possible by the assignment of the following responsibilities to key Agency staffs and officials:
  - a. The National Program Staff (NPS), in setting and selecting research priorities and allocating resources, is guided by policies of the Secretary of Agriculture, Office of Management and Budget, and the directives of the U.S. Congress. NPS considers needs of research users and is aware of the amount and kind of research being conducted by other research organizations. Exercising program oversight, review, and evaluation, NPS assesses progress toward objectives, ensures that resource use and research efforts continue to be relevant to priority program areas, specifies necessary changes in direction, determines when the end point is reached, and recommends reallocation of resources to other problem or program areas.
  - b. The Deputy Administrator, National Program Staff (DA-NPS) has the delegated responsibility for planning, setting priorities, allocating resources, and evaluating research programs. NPS Program Leaders support the DA-NPS in carrying out these responsibilities. The NPS selects research programs to be

implemented and recommends allocation of Agency resources accordingly. This includes distribution of base funds, Agency discretionary funds, and program increases to research units.

- c. Area Directors (AD's) are responsible for implementing the research programs and managing the expenditure of funds and deployment of other resources to support and carry out research in accordance with priorities and allocations established by NPS. To assure continuous observance of program accountability, program managers are expected to conduct program and financial reviews to assess the accuracy of reported expenditures at the CRIS project level.
  - d. Program accountability rests ultimately with the Research Leader (RL), who is provided funds through the formal allocation process in accordance with approved program plans. These fund allocations are made on the basis of CRIS projects and cannot be deviated from unless approved according to Agency policy.
  - e. Area, Center, and Laboratory Directors, Deputy Area Directors, or RL's have no authority for shifting funds among research units or program areas. As circumstances warrant during the planning process, program managers may request fund shifts, but the change cannot take effect until cleared and approved by the NPS acting on behalf of the Administrator.
2. Financial accountability for assigned program funds rests with the person who is the authorized fundholder, as evidenced on the Annual Operating Plan (AOP) -- ordinarily the RL, but in some cases a higher level manager, e.g., Laboratory Director (LD). The fact that the LD may be the official fundholder in no way relieves subordinate Research Leaders of the responsibility for knowing the resources assigned to their respective CRIS projects and to expend funds accordingly.
  3. Based on established Agency salary lapse policy, <60% of reportable> salary lapse funds accrue to the Administrator. The funds together with other discretionary resources available to the Administrator i.e., special R&M and ER, and temporarily unassigned program funds (TUPF), can be redistributed to satisfy programmatic requirements on the basis of national priorities, goals and objectives consistent with the ARS Program Plan.
  4. Redistribution of discretionary resources occurs soon after the start of the new fiscal year based on high priority funding needs <(\$30,000 or greater in value)> expressed by the AD's (DAAM, OA) and national priorities and objectives established by the Administrator. Projects funded by special appropriated dollars (e.g., R&M, ER, and Hazardous Waste Cleanup) can exceed the \$30,000 threshold. Early redistribution of the pooled Agency resources is designed to facilitate the operational planning of program managers and avoid high yearend spending.

5. All vacancies, except for certain positions listed under "Exceptions to Full Year Position Funding," Chapter VII, Section B, Step 3, Project Salary Costs, Attachment 1, will be budgeted at full year cost regardless of entrance-on-duty (EOD) date. That portion of the salary which accrues from the beginning of the new fiscal year, i.e., October 1 to the EOD date, is <considered reportable salary lapse, of which 60%> accrues to the Administrator. The Area Director receives 20% of the reportable salary lapse. The remaining 20% of the lapse remains in the MU/CRIS. The Administrator's and Area Director's share of the lapse is removed from the fund availability of the Management Unit (MU) for the fiscal year in which the vacancy was established. This "lapsed" amount will be restored to that unit's fund availability in the subsequent year when the full year salary cost is actually needed.
  
6. AD's must obtain NPS approval for proposed deviations from existing approved Position Staffing Plans (PSP's) involving: 1) organizational changes within the MU which affect CRIS base fund allocations, or 2) establishment or deletion of one or more <permanent> Scientific Year (SY) positions which impact the use of CRIS resources.
  
7. AD's will also annually receive a reserve allocation for discretionary funding based on 0.8% of Area research base funds with a floor of \$200,000 and a ceiling of \$400,000 <reduced by any general reduction levied across the board on Agency funding levels.> The use of these funds without Administrator/NPS concurrence is subject to the following limitations: they may be used for general support items that cross program lines, such as energy costs, animal feed, maintenance and emergency repair (under \$30,000) of buildings, purchase of equipment, emergency safety and health abatement requirements, unforeseen needs such as relocation costs; and other nonrecurring needs such as absorption of pay act increases and unforeseen shortfalls in "All Other" funding. Area reserves cannot be used for: recurring purposes; extramural projects without an approved CRIS; or establishment of a new permanent position. The AD's are required to provide quarterly feeder reports to the Financial Management Division (FMD) concerning the use of their reserves <both AD reserve and Retention of Salary Lapse.> FMD will administratively process these reports for distribution to Headquarters staff.
  
8. The Agency has embarked on a three-pronged funding approach for managing the upkeep and upgrading of ARS facilities. First, MU's are expected to earmark 4% of base funds as a minimum contribution toward the accomplishment of R&M and ER projects. This percentage may be reduced for: 1) facilities that are less than 5 years old, <(2) facilities older than 5 years that have recently been renovated,> and 3) for leased or free space where little or no funds are needed for facility maintenance. In these cases, AD's may grant exceptions to the mandated base funded requirement. For any other exception, the AD will need to justify circumstances for the Administrator's consideration during the Headquarter's ARMP review sessions. MU's are encouraged to voluntarily exceed the minimum percentage from the base funding

allocation for facilities which require more maintenance due to their age and state of repair, or the MU Head's unique requirements. AD's may vary the 4% mandate (for R&M and ER) among MU's at a given location providing they are prepared to justify such a course of action for consideration by the Administrator during the Headquarters ARMP review sessions. At Centers and Laboratories headed by a Director, the respective Director has the authority to vary the percentage among MU's providing the 4% mandate is met on a Center/Laboratory basis.

Secondly, parallel with the specified base funded contribution from the MU's, the Agency will set aside funds, comprised of the Agency's annual R&M and ER appropriation and other discretionary resources, to undertake major facility renovation at a few selected facilities each year (determined by the Administrator).

Thirdly, the Agency will retain the balance of the Agency's annual special appropriation for R&M and ER to support Area funding requests (Unfunded Facilities Plans) via the HPRL process.

9. Paralleling the facilities maintenance and improvement program described above, the Agency has an equipment upgrade program in support of its research activities. MU's with equipment needs are expected to cover such needs from their base funds (net to location) <which includes 20 percent of reportable salary lapse earned in the fiscal year for the MU.> Funding requests for proposed equipment acquisitions will be accepted when a reasonable portion of the base funds is contributed toward the acquisition of equipment.

In addition to the base funded contribution from the MU's, some portion of the <AD's 20% share of reportable salary lapse will be set aside for equipment needs less than \$30,000 in value.> The Agency will set aside funds comprised of the Administrator's salary lapse funds and other discretionary resources to acquire additional equipment items for high priority research programs. These items will be funded through the HPRL process. AD's will be asked to recommend funding for a certain percentage of their HPRL requests for equipment of which a portion will be earmarked for items <with a value of 30,000 or more.> These parameters will be announced annually before the ARMS process begins.

10. Final approval authority to conduct extramural research rests with the Administrator or the NPS acting for the Administrator. Any change to an existing extramural research agreement that entails the addition of funds or material changes in research emphasis requires prior Administrator/NPS approval. By definition, the RSA is not considered an extramural research document, and the approval rests with the Area Director.
11. A number of MU's at various ARS locations benefit from manpower, supplies, and material contributions provided by State or industry cooperators. Augmentation of financial resources through arrangements with cooperators, such as revolving funds and other means of financial support that are additive to the MU's funding:

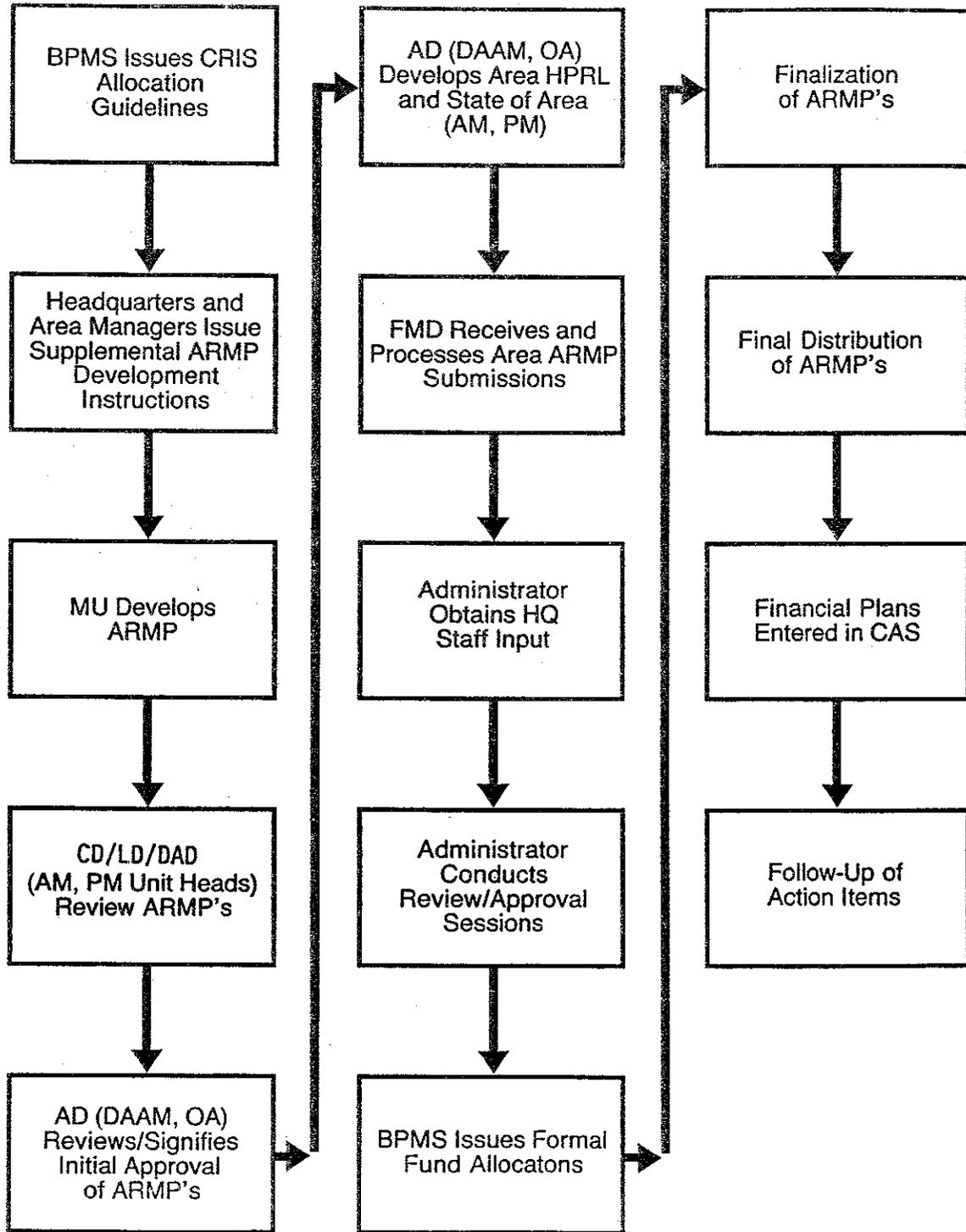
base, but do not run through the CAS, must be identified on the unit's basic Annual Operating Plan (AOP) and the corresponding level of contributed FTE's indicated on the Position Staffing Plan. Refer to the individual discussions of these plans that follow for more details on actual requirements.

12. The Agency has initiated a "cost-labeling" concept to distinguish between fixed and discretionary costs -- criteria that will be useful for early program planning and funding decisions. While no costs are absolutely fixed or absolutely discretionary, a capability for automatically making such distinction is programmed into the software of the Automated ARMP System. See Section IV.A. for a description of these terms.
- <13. A Target Percent in Salaries (TPS) will be established for every MU and will serve as the primary benchmark for evaluating the financial condition of the MU. The TPS is defined as the optimum relationship between salaries and all other resources at the net to location level which will allow the most efficient and effective use of the available resources to accomplish the research mission now and in the future. It may be achievable in the near term or may take several years depending on the staffing levels/skill mixes required, expected attrition, fixed vs. discretionary costs, equipment needs, etc. In developing the TPS, assume that no program increases or Agency discretionary funds will be received. Additionally, the following should be considered:
- a. Planned increases or decreases in staffing levels.
  - b. Changes in skill mix which would impact cost; i.e., the same number of FTE, but higher or lower rates of pay.
  - c. Upgrade of equipment needed over a period of time.
  - d. Renovation and upgrade of facilities in accordance with Agency guidance.
  - e. Re-evaluation of Research Support Agreements and Specific Cooperative Agreements.
  - f. The need for greater flexibility in "All Other" funds for travel, supplies, etc.

*optional  
as of 5-14-91*

The RL has the major role in determining the TPS, but the decision as to the exact TPS for the MU will be made by the Area Director based upon staff work performed by the Area Administrative Office. If the unit has not yet achieved the TPS level, the "Funding" section of the State of the MU must address the rationale for the TPS and give plans and dates as to when the TPS will be achieved. The TPS will be reflected on the Annual Operating Plan for comparison to the actual "Percent in Salaries" indicator.>

### THE ARMS PLANNING PROCESS



B. ARMS Planning Sequence

The following represents a generalized portrayal of the sequence relative to the annual ARMS planning cycle.

BPMS Issues CRIS  
Allocation  
Guidelines

Based on program direction by NPS, BPMS issues CRIS allocation guidelines to the field. These encompass CRIS base funds on a "CRIS net to location" basis and temporary i.e., one-time releases, such as Pilot-Test, Integrated Pest Management (IPM), etc. The allocation guidelines are usually transmitted via memorandum from the Administrator to the allocation holder, i.e., AD's, (DAAM) and Office of the Administrator. Allocation guidelines for AM and PM are provided as lump sum amounts.

Headquarters and  
Area Managers Issue  
Supplemental ARMP  
Development  
Instructions

OA promulgates annually guidance/instructions to the ARS community to supplement or modify the standing instructions contained in this Manual. These instructional supplements are designed to explain special requirements and to augment the general or specific provisions of this Manual, including <annual salary projection instructions>, deadlines, copy requirements, etc. Area Managers (e.g., Area, Center, Laboratory Director) and Headquarters Managers further supplement the OA's guidance, as required, for emphasis and special requirements to meet their unique needs.

MU Develops  
ARMP

In accordance with the procedures outlined in Chapter VII, Section B, and supplemental guidance received, the Head of the MU, with assistance from the Location Administrative Officer/Technician (LAO/T), proceeds with the development of the ARMP.

CD/LD/DAD  
(AM, PM Unit Heads)  
Review ARMP's

Intermediate level supervisors [e.g., Center Director (CD), Laboratory Director (LD), Deputy Area Director (DAD)] review the MU ARMP for technical and programmatic content and overall quality control to ensure that the submission is in conformance with the provisions of this Manual and the supplemental guidance received from Headquarters and/or the field.

AD (DAAM, OA)  
Reviews/Signifies  
Initial Approval  
of ARMP's

AD, in coordination with the Area Administrative Officer (AAO) and his/her staff [and in consultation with the appropriate Personnel Division (PD) servicing personnel specialist (s)], analyzes submitted plans, and studies findings and recommendations from the staff as a prelude to meeting with the MU Head and other line managers directly concerned with that MU (e.g., CD, LD, DAD). As applicable, AD (DAAM, OA) negotiates changes and requires ARMP

revisions. When AD (DAAM, OA) signifies "recommend approval" by initialing the AOP (the Administrator has ultimate approval authority), he/she gives tentative approval for execution of the funded Procurement and Facilities Plans since these require immediate attention and are not likely to be altered substantially. By initialing the AOP, the Area Director also gives tentative approval to proceed with only the RSA items on the RAP, as the other types of agreements are subject to NPS approval. The review process is fully described in Chapter VII, Section C.

AD (DAAM, OA)  
Develops Area HPRL  
and State of Area  
(AM, PM)

The development of the Area High Priority Requirements List (HPRL) and State of the Area (AM, PM) completes the Area's (AM's, PM's) ARMP submission, which is then forwarded to the FMD. The development of the Area HPRL and State of the Area (AM, PM) is outlined in Chapter VII, Section C, (Steps 6 and 7).

FMD Receives and  
Processes Area ARMP  
Submissions

FMD has been designated as the collecting point for all ARMP's of the Agency to administratively process the Area ARMP submissions. Upon receipt from the Area (AM, PM), FMD screens submissions for completeness (not validity of content) of component documentation and distributes copies to the Headquarters Divisions and Staffs concerned for their review and analysis.

Administrator  
Obtains HQ  
Staff Input

Headquarters Divisions and Staffs concentrate their review and analysis of the Area ARMP submission to validate, amplify, and resolve issues and concerns raised by the AD's (DAAM, OA) in their State of the Area (AM, PM) presentation, and to surface problem areas not otherwise covered. The results of the staff review and analysis are discussed with the Administrator in special meetings, with each staff official covering the functional topic of his/her assigned responsibilities. The Administrator, NPS, and DAAM provide guidance each year to focus the analysis on issues of particular interest or concern.

Administrator  
Conducts  
Review/Approval  
Sessions

Based on an announced schedule, the Administrator, supported by his immediate staff and DAAM's staff, reviews Area (AM, PM) ARMP submissions with the AD's (DAAM, OA). The ensuing dialogue focuses on critical or sensitive issues requiring resolution. To the extent that final determinations can be made, they will result in resolution at this time; other issues may require further study and result in the assignment of action items and response due dates. Following the location-by-location discussions, decisions are made relative to the funding requests of the Area HPRL to approve, put on hold, or disapprove. A major element of this decision process is the approval of equipment, construction, R&M, and ER projects. The outcome of each

review meeting is made a matter of record in the form of an issuance detailing decisions reached (program, funding, personnel, etc.), and action items assigned by functional area together with due dates.

BPMS Issues Formal  
Fund Allocatons

BPMS translates all funding decisions to this point (including CRIS base funds, releases for approved Area HPRL items/projects and other temporary fund releases) into the first formal allocation advice to AD's, DAAM, and Administrator's Office. The formal allocation advice to the Areas includes: 1) a listing of authorized CRIS permanent (base) funding levels, which is an update of the CRIS allocation guidelines that triggered the annual planning process; 2) a transaction listing of permanent and temporary program increases, which is an itemization of all changes since the issuance of the allocation guidelines; 3) a listing of permanent and temporary funds by location; 4) specific references to the appropriation language having to do with Executive and Congressional intent and direction, such as program and building limitations; and 5) other instructions of a financial management nature.

Finalization  
of ARMP's

AD, (DAAM, OA) based on decisions reached during the Headquarters review meetings, causes component plans of the ARMP to be updated for final approval certification, and affixes signature in the "Approving Official" block of the AOP. Forward all changes to FMD for distribution to the Headquarters Divisions and Staffs no later than 30 days after the Area HQ review meeting. <This is particularly important when changes to the PSP are required. The Servicing Personnel Office must have the final approved PSP in order to efficiently execute recruitment plans. The final approved PSP data also serves as initial source data in automated personnel systems for requesting and tracking recruitment actions.> [AD's (DAAM, OA) have delegated authority to approve ARMP's following the final review by the Administrator.]

Final Distribution  
of ARMP's

Following signature approval by the AD, the AAO ensures that finalized plans are distributed to the appropriate locations <reflecting all changes required as a result of the ARMP review meeting with the Administrator.> FMD ensures that AM and PM ARMP's (once signed by DAAM, OA) are distributed to the respective offices, divisions, and staffs.

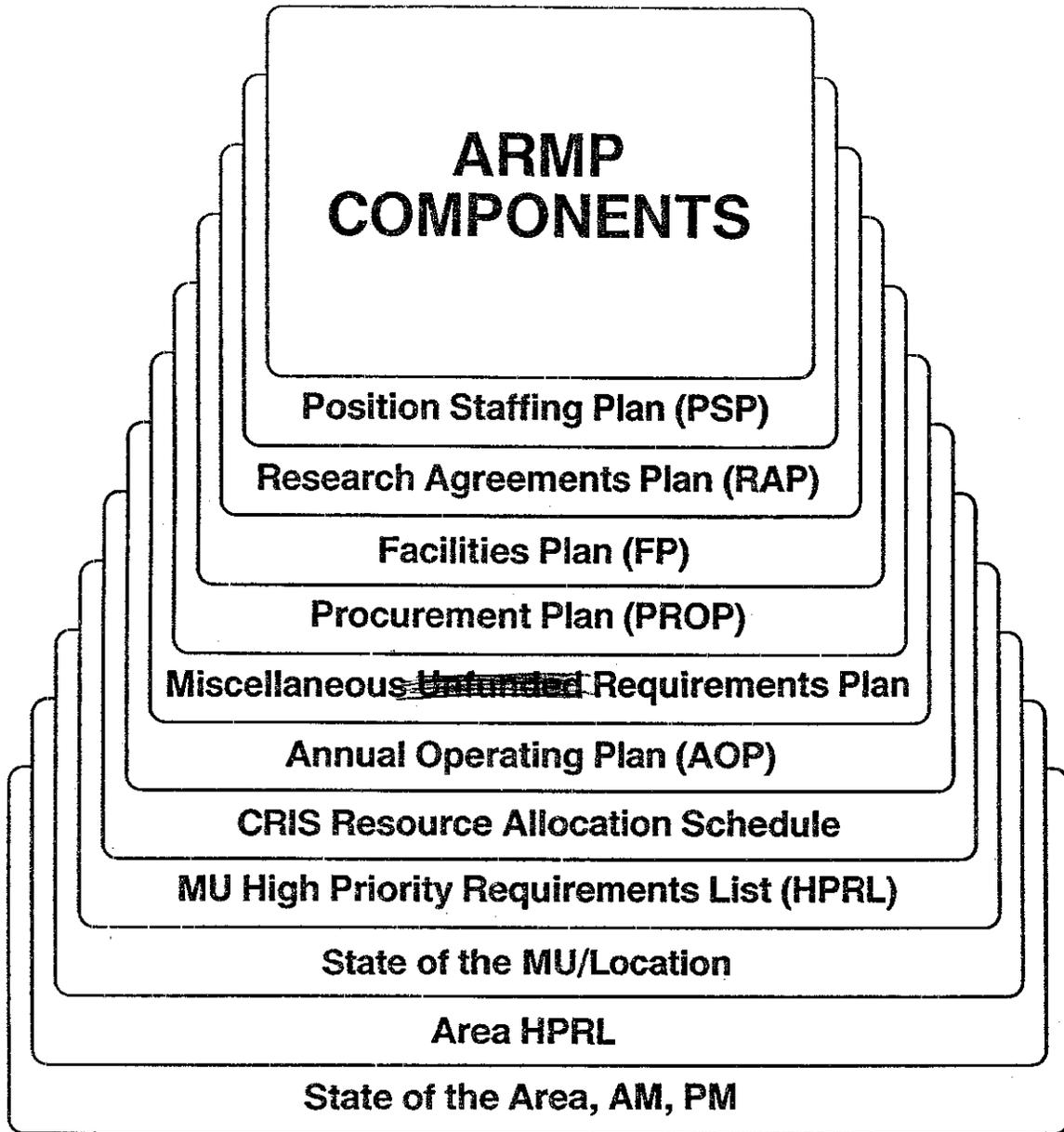
Financial Plans  
Entered in CAS

The Financial Plan, which contains the source data for entry in the Central Accounting System (CAS) of the National Finance Center (NFC), is derived from the AOP. The principal differences between the two are that: 1) the AOP is a planning document which requires updating only in exceptional circumstances as opposed to the Financial Plan which must be updated dynamically; and 2) the AOP contains more detail in

its Full Year Cost Projection breakout than the CAS can accept or than the fundholder wishes reflected in the monthly accounting reports. A further discussion of financial plan details can be found in the <Automated Location Planning System (ALPS) Manual>. It is mentioned in the context of the ARMS process solely because it effectively closes the loop of the planning processes.

Follow-Up of  
Action Items

The DA-NPS and DAAM brief the Administrator on the status/ progress of action items resulting from the Administrator's formal review meetings with program principals. These briefings may be made spontaneously, or <may be in the form of a midyear review to include the Administrator and each Area Director, with Headquarters staff, as applicable. The discussions may include briefings on the status of action items assigned at the initial ARMP meetings with the Administrator, implementation plans related to current year Program increases, the use of Area resources; i.e., Area Director Reserve and Area Retention of Salary Lapse, and any new major issues surfaced since the initial ARMP review.>



C. The ARMP and Associated Documentation Components

The ARMP is the vehicle which brings together a unit's major planning and resource allocation components into a single resource management tool that will enable Agency managers to make knowledgeable program and resource decisions and track those decisions through implementation. It integrates into one system, national CRIS allocation decisions, position management planning, financial planning, and acquisition and assistance planning; and, through its component plans (i.e., PSP, RAP, FP, PROP and AOP), it provides detailed documentation of resource allocation intent and programmatic funding decisions which are subject to review, challenge, and ultimate approval and implementation.

## 1. ARMP Components - MU Level

The following is a brief discussion of the various items of documentation required for the MU's ARMP development and submission.

a.

<p style="text-align: center;"><b>Position Staffing Plan (PSP)</b></p>
--

### (1) Purpose

- Provides a structured approach for supervisors and managers to plan and express their intentions for expanding or reducing their work-force needs for the upcoming fiscal year consistent with assigned funding levels and CRIS allocations through the establishment, continuance, abolishment, and/or change of positions.
- Enables AD's, DAAM, and the Administrator to review position and workforce proposals from subordinate MU's, negotiate changes, and approve the overall PSP for implementation.
- Enables various levels of ARS management to review the position and employee structure of subordinate organizations, and to gauge potential impact of planned program/funding decisions.

### (2) Description

The PSP is essentially a graphic portrayal of the personnel data in the "Full Year Cost Projection" column of the AOP. The PSP must include all existing filled and vacant positions in the MU that will continue in the upcoming fiscal year (FY) and, all new positions being approved/established. In addition, FTE's received via RSA's, contributed or donated from a non-Federal source are reflected on the plan.

b.

<p style="text-align: center;"><b>Research Agreements Plan (RAP)</b></p>
--

(1) Purpose

- Provides a structured, disciplined approach to plan for obtaining resources through Extramural Research Agreements and Research Support Agreements.
- Provides information to program and administrative management officials on the planned expenditures for extramural research.
- Provides data to the AD needed to approve level of efforts under Research Support Agreements.
- Identifies funded and unfunded items and in regard to the latter, serves as input to the AD's formulation of the Area HPRL.

(2) Description

The Plan reflects all Research Agreements except Trust Fund, <incoming> Reimbursable, Standard Cooperative Agreements, and Memoranda of Understanding. The Plan includes grants, specific cooperative agreements, research support agreements, R&D contracts, and <outgoing reimbursable agreements>. Reflected are the applicable research agreements regardless of dollar value and status, i.e., new, ongoing, or amendments. Further breakdown of information is required for RSA's to show FTE, salaries, utilities (defined as utilities and other fixed costs), and other (non-salary discretionary costs). The RAP is only a planning document for the ARMS process and is not intended to serve the dual purpose of approving individual agreements. Approval is accomplished in separate processes.

c.

<b>Facilities Plan (FP)</b>
-------------------------------------

(1) Purpose

- Provides a structured, disciplined approach to plan for the acquisition of construction and architectural-engineering (A-E) services consistent with the achievement of programmatic objectives.
- Enables the Director, Facilities Construction Management Division (FCMD), to project design and construction activities in each facilities program and recommend allocation of funds and resources to: 1) manage Agency priority projects, and 2) effectively plan, schedule, and implement design and construction activities consistent with mandated lead times and cut-off dates.
- Identifies funded and unfunded items, and, in regard to the latter, serves as input to the AD's formulation of the Area HPRL.
- Enables AD's, NPS, BPMS, DAAM, and other approving officials to review subordinate supervisors' and managers' planned expenditures of funds for facilities management and improvement, and negotiate changes in accordance with the ARS Program Plan.
- Provides for early involvement of location, Area, and the FCMD in the scheduling of actions required to meet mandated lead times, cut off dates and legal requirements, and avoid yearend spending.
- Enables the Director, General Services Division (GSD), to: 1) <determine the level of real and personal property/~~motor vehicle acquisition and disposal~~ and schedule the appropriate actions in support of Agency programs;> 2) determine if appropriate recognition has been given by the MU to the need for safety and health deficiency corrections (R&M, Hazardous Waste Disposal, etc.); and 3) <assess ADPE and communications needs for the facility.>

(2) Description

The Plan covers (base) funded and unfunded facility requirements, including A-E services, in accordance with the Agency's annual Congressional construction authorizations and limitations, and budget line items. The Agency's annual Congressional construction authorizations and limitations encompass the following programs (see Directive 212.10): 10 Small Buildings, Unlimited Small Buildings, 10% Alteration and Headhouse/Greenhouse.

The funded Plan includes the Agency required 4% minimum level of R&M and ER projects that will be funded from location level CRIS base fund allocations ("CRIS net to location"), as well as the MU's expenditure plans for buildings and alterations. The unfunded list includes high priority R&M and ER projects and the needs of the MU for buildings and alterations for which funding requests are made and decisions reached via the HPRL process. For a discussion of the underlying facility maintenance/enhancement concept see Chapter VI, Section A, Paragraph 8.

d.

<b>Procurement Plan (PROP)</b>
--

(1) Purpose

- Provides a structured, disciplined approach to plan for the acquisition of services, supplies, and equipment (including ADP) through acquisition programs consistent with the achievement of programmatic objectives.
- Identifies funded and unfunded items, and, in regard to the latter, serves as input to the AD's formulation of the HPRL.
- Enables AD's, NPS, BPMS, DAAM, and other approving officials to review subordinate supervisors' and managers' planned expenditures of funds for outside resources and commodities, and negotiate changes in accordance with the ARS Program Plan.

- Provides for early involvement of location, Area, and the Procurement and Assistance Division (PPD) in the scheduling of procurement actions to meet mandated lead times, cut off dates and legal requirements, and avoid yearend spending. Enables PPD to determine if appropriate recognition has been given by the MU to excess personal property lists as a source for acquisition including motor vehicles.
- Enables the Director, Facilities Division (FD), to determine if appropriate recognition has been given by the MU to rental payments in support of lease agreements; to boundary survey/appraisal/title insurance contracts in support of land acquisition.
- Enables the Director, Administrative Information and Technology Division (AITD) to review planned ADP acquisitions in accordance with Agency and Departmental regulations.

(2) Description

The Plan covers funded equipment, supplies, and services (including lease, rental, and maintenance). It includes all anticipated annually recurring and one-time requirements of \$25,000 or more; all ADP and other equipment acquisitions, motor vehicles, and safety and health requirements costing \$1,000 or more; and the following high-waste vulnerability requirements estimated to exceed \$10,000: 1) consulting services (including ADP programming and systems design), 2) audio-visual products and services, 3) furniture, 4) noncompetitive procurements (sole source) and 5) personal services. MU's will be expected to designate a reasonable level of base funds for equipment. The Plan covers unfunded procurement requirements of \$5,000 or more for consideration via the HPRL process or AD reserves. The Procurement Plan also contains source data for the Information Resources Management Plan (IRMP). ADP acquisitions that exceed the Agency's threshold levels (\$500,000 Competitive and \$50,000 Sole Source) require departmental approval and must be reflected on the IRMP.



- Provides for early involvement of location, Area, and the Contracting and Assistance Division (CAD) in the scheduling of procurement actions to meet mandated lead times, cut off dates and legal requirements, and avoid yearend spending.
- Enables the Director, General Services Division (GSD), to determine if appropriate recognition has been given by the MU to <rental payments in support of lease agreements; to boundary survey/appraisal/title insurance contracts in support of land acquisition; {motor vehicle and disposal;} to excess personal property lists as a source for acquisition.>

(2) Description

The Plan covers funded equipment, supplies, and services (including lease, rental, and maintenance). It includes all anticipated annually recurring and one-time requirements of \$25,000 or more; all equipment acquisitions (including ADP {and motor vehicles}) costing \$1,000 or more; all safety and health requirements costing \$1,000 or more; and the following high-waste vulnerability requirements estimated to exceed \$10,000: 1) consulting services (including ADP programming and systems design), 2) audio-visual products and services, 3) furniture, 4) noncompetitive procurements (sole source) and 5) personal services. MU's will be expected to designate a reasonable level of base funds for equipment. The Plan covers unfunded procurement requirements of \$5,000 or more for consideration via the HPRL process <or AD reserves>. The Procurement Plan also contains source data for the Information Resources Management Plan (IRMP). ADP expenditures of more than \$100,000 cannot be made unless they appear on the IRMP.

e.

**Miscellaneous  
Requirements  
Plan**

(1) Purpose

-- Provides additional source data for the development of the Area (AM, PM) HPRL and for AD's funding consideration from AD reserves.

(2) Description

-- The Plan is intended to cover any {funded or unfunded requirements that could not be expressed in the Research Agreements Plan, Facilities Plan, or Procurement Plan because of the dollar limitation or} object class limitations inherent in these plans. Therefore, the Plan is designed to capture funding requests which go beyond those limitations, such as requests for real property lease/purchase, travel, training, and recruitment for special employment programs, etc.

{The funded Plan includes any requirement of \$1,000 or more. The unfunded Plan includes any requirement at any funding level.}

f.

**CRIS Resource  
Allocation  
Schedule**

(1) Purpose

-- Enables fundholders to assign the available resources across the component CRIS's of a MU.

(2) Description

The Schedule constitutes written documentation of the level of effort (resources) assigned to each CRIS in accordance with approved plans of the NPS and corresponding CRIS base fund allocations issued by BPMS. It shows net base dollars available for each CRIS in the MU, non-permanent (temporary) releases, as well as each CRIS' dollar contribution to indirect research cost to arrive at a "CRIS net to location."

g.

<p style="text-align: center;"><b>Annual Operating Plan (AOP)</b></p>
---

(1) Purpose

- Provides a mechanism for program and fund accountability.
- Assures integrity of fund allocations.
- Measures the financial health and viability of MU's.
- Details the distribution of resources.
- Reflects the level of funds received from outside, non-Federal sources which augment the MU base funds.
- Provides source data for the submission of the Financial plan to the accounting system for obligation tracking and periodic or special fund status reporting.
- Permits comparison with the prior year's planned expenditures.

(2) Description

The AOP is the end product of a financial planning process which was triggered by the receipt of dollar guidelines by CRIS and moved through various stages of discussions, decisionmaking, and refinements to the point where it represents the aggregate dollar translation of all planning and associated resource allocation for a given MU. It constitutes the basis on which financial plan data is entered in the CAS for fund tracking and fund status reporting.

h.

**MU  
High Priority  
Requirements  
List (HPRL)**

(1) Purpose

- Provides MU Heads the opportunity to prioritize unfunded requirements shown on the RAP, FP, PROP and Miscellaneous ~~Unfunded~~ Requirements Plan.
- Provides the Area Director with a prospective of the MU Head's concerns and priorities for additional funding needs.

(2) Description

The MU HPRL is a consolidated and prioritized list of funding requests for non-recurring items with a value of at least \$5,000 or more. The list cuts across all of the object classes.

i.

**State  
of the MU**

(1) Purpose

- Provides MU Heads the opportunity to brief the AD on critical program and operational problems.
- Surfaces critical problems in need of resolution.
- Facilitates the review and decisions reached by the AD.

(2) Description

The State of the MU is a narrative statement which addresses pertinent issues, problems, concerns and opportunities not readily documented in the ARMP components. It highlights aspects which further or impede operations and programs from the standpoint of manpower, facilities, acquisitions (including short- and long-range ADP requirements), funding, and major issues. The State of the MU, as submitted, must

&lt;j.

<p style="text-align: center;"><b>State of the Location</b></p>
---

(1) Purpose

- Provides the Location Coordinator the opportunity to brief the AD on critical issues affecting the whole Location.
- Summarizes key Location problems that need resolution.
- Facilitate the review from a Location perspective and decisions to be made by the AD and Headquarters.

(2) Description

The State of the Location is a narrative statement which summarizes pertinent issues, problems, concerns and opportunities for the Location that may or may not be readily documented in the individual RMU or IRC ARMP's at the Location. NOTE: If there is only one RMU at the Location, this can be omitted.>

## 2. ARMP Associated Components - Area (AM, PM) Level

The following is a brief discussion of the documentation to be developed by the AD (DAAM, OA) for inclusion in the total Area (AM, PM) ARMP submission.

a.

(1) Purpose

- Provides the Administrator with a perspective of the AD's (DAAM, OA) concerns and priorities for additional funding needs.
- Permits major funding decisions to be made by ARS top management for (re)distribution of Agency discretionary resources early in the new fiscal year.

(2) Description

The Area HPRL is a consolidated and prioritized list of funding requests for nonrecurring items based on input provided by the MU's, with final determination of which items will go forward to the Administrator being reserved to the AD (DAAM, OA). <The final list will be composed of items with a value of \$30,000 or more (except for R&M, ER, and Hazardous Waste Cleanup which can exceed this level)> which cut across all of the object classes, from personal services, awards, training, and assistance/agreements to supplies, equipment, travel, and building maintenance and construction. All of these are integrated into one single ordering of priorities.

b.

<p style="text-align: center;"><b>State of the Area (AM, PM)</b></p>
--

(1) Purpose

- Provides AD's (DAAM, OA) the opportunity to brief the Administrator on critical program and operational subjects.
- Surfaces critical problems in need of resolution.
- Facilitates the ARMP reviews by the Headquarters Staff and ultimate decisions by the Administrator.

(2) Description

The State of the Area (AM, PM) is a narrative statement prepared by the AD (DAAM, OA) which is oriented toward a description of actions taken or planned to adhere to the ARS Program Plan, and should include recommendations for expanding or reducing programs. It should also focus on problems, issues, concerns, and opportunities confronting the Area (AM, PM), including the identification of unfavorable conditions or trends such as unfavorable salary-to-all other ratios, deterioration of facilities, safety and health issues, short- and long-range ADP plans, <land/long-term lease acquisitions, land disposals, historic preservation issues,> and other conditions which, over the short- or long-term, may threaten the viability of programs.

<An excerpt of the State of the Area, called the "Area Director's Comments," will be prepared by the AD and included in each MU and/or Location ARMP for the purpose of Headquarters Executive Reporting. The Area Director's most critical facts and issues relative to the MU/Location will be addressed in this short, concise narrative.>

## VII. ARMP DEVELOPMENT, REVIEW, AND APPROVAL

A. Supplementary Guidance from Headquarters and Area Managers to MU

The following are examples of the kind of topics that might be covered in the AD's (DAAM, OA) or intermediate level supervisor's (e.g., LD, CD, DAD) instructions to supplement/complement the provisions of this Manual. Obviously, the actual content has to be tailored selectively to meet the unique requirements of the issuing official.

1. Position Staffing Plan

- a. Guidance, emphasis, restrictions (etc.) on special employment program activity, such as:

- Second-year funding obligations for postdoctoral research associate positions (that received their first-year funding from the Administrator).
- Area-funded postdoctoral research associate positions.

- b. Guidance on use of incentive awards, training/development, etc.

- c. Guidance on whether to expand/restrict the use of RSA's or procurement contracts for mission accomplishment.

- d. Instructions to Location Administrative Officers/Technicians specifying various coordinative and screening responsibilities for ARMP's prior to forwarding to the Area.

2. Research Agreements Plan

Guidance on:

- Processing of extramural agreements and RSA's requiring early approval.
- Explanations/limitations on stating unfunded requirements.

3. Facilities Plan

Guidance on:

- Identifying and proceeding with construction projects based on prior or current year completed design.
- The procedure for designating the mandated minimum 4% of each MU's base funds for R&M and ER to assure that each ARS-owned facility will be self-sufficient for meeting normal/routine repair and maintenance.
- Identifying deficient safety and health conditions and situations (protection of life) that may apply to correction through the facility programs.

-- Identify the degree of realty interest held by ARS for the site where construction is planned; <identify if historic property is being proposed for alteration, renovation, etc.; identify the building number proposed for alteration renovation; identify where construction is to take place>.

-- Explanations/limitations on stating unfunded requirements.

#### 4. Procurement Plan

Guidance on:

-- Special acquisition programs (i.e., A-76 conversions).

-- The acquisition of ADP equipment (PC's).

-- <The acquisition of boundary survey/appraisal/title insurance services in support of a land acquisition.>

-- <Identifying if/how excess personal property lists were reviewed as a source of acquisition.>

-- The acquisition of safety and health equipment <(i.e., personal protective equipment, fire protection equipment, equipment guarding/shielding)> and services <(i.e., EAP, Hazardous Waste Disposal, Asbestos Removal)>.

{ -- The acquisition of motor vehicle requirements (e.g., replacement/addition; type, i.e., truck/passenger vehicle). }

-- Explanations/limitations on stating unfunded requirements.

#### { 5. Miscellaneous Requirements Plan

-- Reminder that only those requirements should be listed which were not expressed in other parts of the ARMP. }

-- Explanations/limitations on stating unfunded requirements.

#### 6. CRIS Resource Allocation Schedule

Guidance on:

-- Distinction between "MU/CRIS Net to Location" and "Net to MU/CRIS."

-- Calculating IRC costs and assignment.

#### 7. Annual Operating Plan

Guidance on:

-- Need for preparing an AOP and other appropriate ARMP documentation for every account having its own unique accounting code regardless of source of funds (e.g., reimbursable or trust fund agreement, competitive grant, etc.).

- Need for budgeting overtime, promotions, premium pay, and awards.
- Full year salary cost projection of appropriate vacancies.
- Providing best estimates for EOD dates of vacancies.
- Identification of FTE in RSA's.
- Distinction between Total (fund availability) and Base Funds.

#### 8. Safety and Health

Reminder that:

- a. It is the MU Head's responsibility (in coordination with the Location Safety Committee) to provide from the MU's resources the funds necessary to correct identified safety and health deficiencies and carry on with required programs.
- b. All safety and health program requirements will be reviewed with the Area Safety and Health Manager (ASHM) to ensure that all mandatory programs are considered in the MU's budget development, including the unfunded requirements listings.
- c. R&M and Inspection and Abatement Program related safety and health items will be reviewed with the ASHM to ensure that 1) the appropriate deficiency code is used and 2) the Facilities and Procurement Plans present all deficiencies noted.

#### 9. Administrative Matters

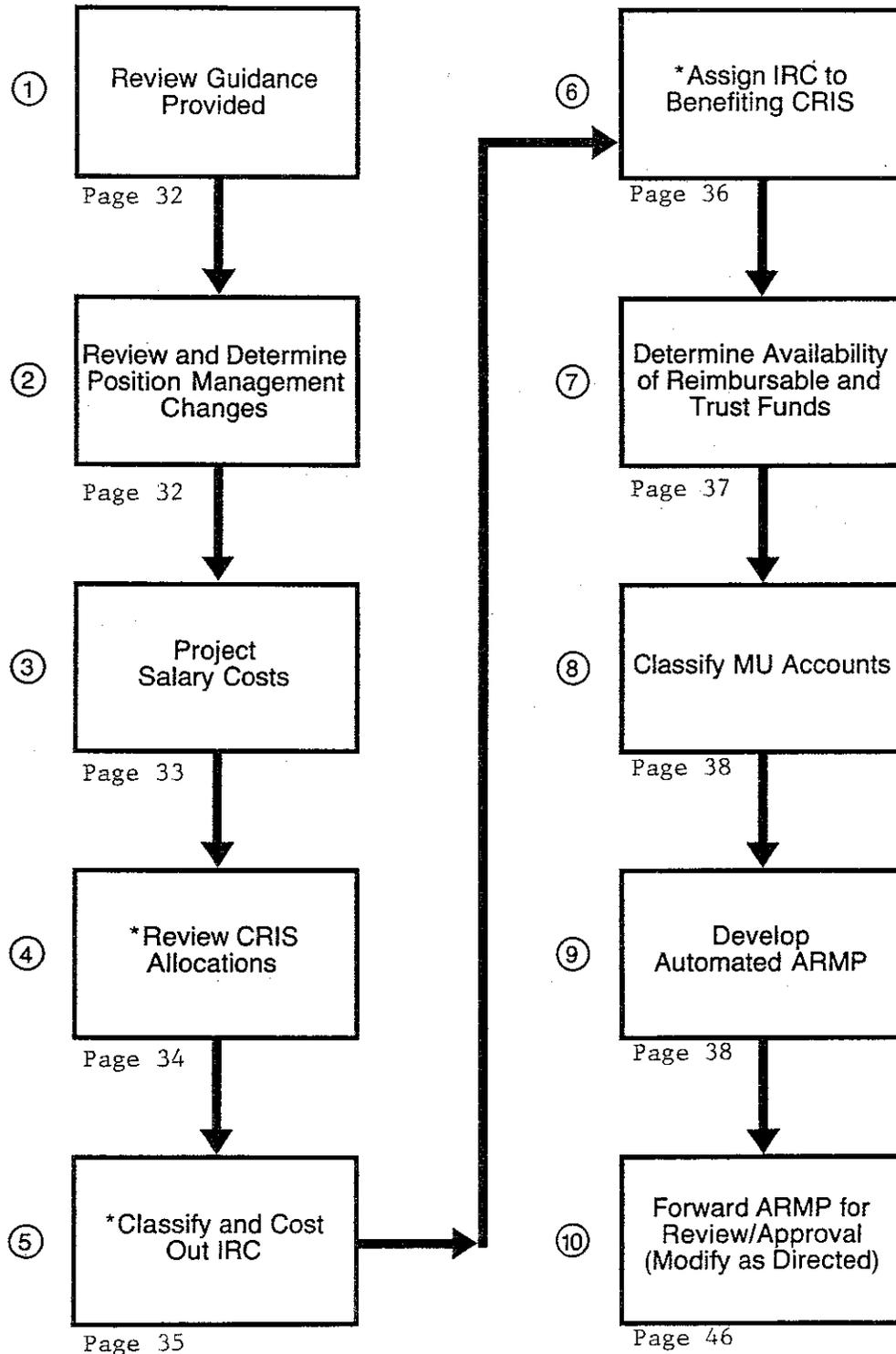
- a. Copy requirements.
- b. Submission deadlines.

#### B. Sequential Steps for MU

The flowchart on the next page provides an overview of the steps established for the development of the ARMP at the MU level. To assist in locating the discussion of a specific step, each block of the flowchart shows the page number where the respective information can be found.

It is strongly suggested that, for the accomplishment of each required documentation contained in this section, the reader review the respective description of the documentation component in Chapter VI, Section C.

# ARMP PREPARATION — SEQUENTIAL STEPS FOR MU



\*Does not apply to AM and PM units

①

**Review Guidance  
Provided**

This Manual contains principally policies and concepts whose understanding is essential for the development of the ARMP and its associated documentation requirements. Detailed procedural instructions are provided in the ARMP System User's Manual. Review the contents of this policy Manual, the ARMP System User's Manual, and any supplementary instructions that may have been provided by Headquarters and Area officials before commencing actual development of the various requirements. As appropriate, make notations to assure that all requirements in the ARMP development are met completely and correctly, thereby minimizing the need for time-consuming (and delay-causing) revisions.

②

**Review and Determine  
Position Management  
Changes**

Prior to developing and documenting the ARMP, consideration must be given to any changes/enhancements needed in the new fiscal year to the position, personnel, and organizational aspects of the MU. Any such changes will directly impact the financial resource level required to maintain operating efficiency and to achieve the unit's mission.

Using Appendix 1, "Position Management Checklist," the MU Head must fully assess the current organizational structure, functional assignments of the unit's positions, staffing arrangements, and other personnel resource features and determine what (if any) changes are necessary in the new fiscal year. Changes/enhancements may be necessary to meet new assigned programs or to adjust to program redirections, workload shifts, or funding reductions.

Once the above analysis has been completed, the resulting information and plans can then be used in developing the actual PSP via the Automated ARMP System.

③

<p style="text-align: center;"><b>Project Salary Costs</b></p>
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Most of the MU's resources are utilized for salary costs. Because of this, the accurate projection of these costs is imperative to ensure better planning and management of available resources. The changes that take place every year, such as pay cost increases and the costs associated with Performance Management Recognition System (PMRS), and the establishment of the Federal Employees Retirement System (FERS), require more detailed guidance in projecting these costs. Changes in rates and eligibility criteria make it difficult to establish set procedures without the yearly revision to accommodate these changes. Therefore, only basic guidance for projecting salary costs will be outlined in this manual. The specific fiscal year instructions, including the percentages for vacancy benefits, FERS cost, and pay cost increases, if any, will be provided each year in a separate issuance.

The basic guidance is as follows:

1. Review the information provided in the separate issuance referred to above.
2. All incumbered and vacant positions will be projected on a full year cost basis "according to their full year FTE effort", except those positions listed in Appendix 2, "Exceptions to Full Year Position Funding."
3. Based on position management decisions made in Step ②, establish realistic "Entrance on Duty" (EOD) dates for all vacancies taking into consideration the date the SF-52, Request for Personnel Action, will be submitted to PD. All newly proposed vacancies awaiting approval must have an official position number. Contact the Area Personnel Assistant, who will coordinate with PD, (AM/PM units contact their servicing personnel section of PD) to request and obtain official position numbers.
4. Determine estimates for overtime, premium pay, promotions, quality step increases (QSI's), lump sum leave payments, PMRS awards, <and any cash "recruitment incentives" under the USDA Demonstration Project,> as applicable.
5. If advised to budget for the cost of an anticipated pay increase, add the respective percentage increase to those positions affected.
6. Consult with the Location Administrative Officer/Technician or Area Personnel Assistant to determine who will receive within-grade increases (WGI's) in the upcoming fiscal year and their effective dates in order to factor this information into the salary projection.

④

**\*Review CRIS  
Allocations**

Review CRIS allocations to ensure that they are consistent with amounts anticipated. Particular attention should be paid to amounts received as "CRIS base funds" as distinguished from one-year (nonrecurring or temporary, e.g., Pilot Test funds). Funding problems should be brought to the attention of the Area Budget and Fiscal Officer (ABFO), who, as necessary, should consult with the AD and/or BPMS to resolve the matter. In exceptional circumstances, it may be necessary for the AD to clarify the issue with the NPS. CRIS allocations should be viewed as the Agency's specific intention concerning the funds it wants to spend on the research defined by that CRIS. Field managers should align personnel and material resources to fit CRIS guidelines instead of shifting funds to support some other program level and alignment of resources. In the assignment of resources to CRIS during the ARMP, there are no allowable levels of variance without advance NPS approval of the fund shifts consistent with program priorities.

\* Does not pertain to AM and PM units.

(5)

**Classify and Cost Out IRC/SRC\***

To ensure accurate accountability of all resources in the Agency, it is imperative that indirect research costs (IRC) and shared research costs (SRC) be scrutinized as to the types of costs that are included in these two categories and the dollar magnitude of such costs. Both categories of cost are considered to be integral parts of the research program at the location and adequate funds must be available to ensure a proper level of support to benefitting research programs.

All costs at locations are funded from CRIS allocations made to AD's. In theory, every cost incurred at the location could be assigned directly to an RMU or CRIS project. Some costs are more easily attributed to research activities and should be charged directly to research accounts. However, nearly all locations have some common service activities that benefit all research programs at the location and are difficult to charge directly to the RMU's. At least one IRC should be established for each location. In large organizations or centers, it may be necessary to establish more than one IRC accounting code to facilitate improved funds management and accountability. With regard to SRC costs, these costs can be managed in the individual benefitting RMU's or jointly managed in a separate account if they cannot be easily charged directly to the RMU/CRIS.

1. Classification of Costs. Review all costs at the location and, based on the definitions given for direct, indirect, and shared research costs in Chapter V, Definitions, distinguish those costs directly related to the RMU and those that are common services, i.e., IRC or SRC type costs. See Appendix 3 for a listing of the types of costs that fall in each category.
2. Projecting Costs. Once the decision for IRC/SRC accounts has been made, the annual dollar costs must be determined. Sufficient funds must be assessed against the RMU's in order to adequately support the benefitting research programs. Use historical data and current projections based on information from utility and telephone companies, service vendors, etc., to project these high cost annual requirements which could adversely impact the research programs if the estimates are too high or too low. The impact will be apparent when all IRC/SRC costs are assigned to benefitting CRIS units in Step 6, Assigning IRC/SRC to Benefitting CRIS.

NOTE: \* Does not pertain to AFM and PM units



(6)

**Assign IRC/SRC to Benefitting  
CRIS\***

Proper assignment of IRC/SRC is important in order to make these costs visible and relevant as program costs. There are various methodologies and approaches for assigning IRC/SRC to benefitting CRIS Units. Follow these general rules.

1. Whenever possible, costs should be assigned based on actual usage of resources (e.g., salary and benefits, supplies, travel, and other operating costs associated with the personnel assigned directly in support of a CRIS unit)
2. Certain costs should be assigned using cost-accounting techniques based on usage factors, such as space occupied, number of telephones, etc.
3. The Rules 1 or 2 are not possible, estimates of resources usage may be used with appropriate rationale.
4. Cost-accounting prorations based on FTE, SY's, or dollars are acceptable but should be used only after ruling out other more precise methods of assigning these costs.

A general ground rule is, whenever possible, to link costs directly to the CRIS project. When this is not possible, it may be necessary, as an intermediate step, to link costs to the RMU using 1, 2, or 3 above, then prorate to the CRIS unit, or perform some other estimate of the cost for each CRIS. Although documentation detailing the methods of assigning IRC/SRC to CRIS is not required as part of the ARMP submission, it must be maintained at the Area/location and be made available for review by Headquarters upon request. Please note that detailed documentation on facilities operations costs may be requested at any time by the Facilities Division in order to prepare justifications for modernization projects. Therefore, please maintain these records separately.

Appendix 4 provides a listing of the various IRC/SRC costs with suggested alternative methods for assigning these costs to CRIS. Appendix 5 gives a location sample of how to assign IRC/SRC costs to individual CRIS projects.

**NOTE:** \* Does not pertain to AFM and PM units.

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7  
Determine Availability  
of Reimbursable and  
Trust Funds

Define, to the extent possible, the fund availability for any new or renewable reimbursement, trust fund agreement (including cooperative R&D agreements), competitive or other grants. These resources are commonly referred to as "soft funds." A consolidated ARMP for reimbursable agreements (Appropriation symbol X08) and one for all trust fund agreements (Appropriation symbol X91, X92, X93) should be submitted for each Management Unit, as applicable ("X" equals the fiscal year). Specific accounting codes will have to be established as agreements are actually approved and executed. The ARMP documentation requirements for each consolidated plan are as follows:

a. an Annual Operating Plan reflecting the total of all resources potentially available to the MU for the budget year.

b. a Position Staffing Plan, as applicable, reflecting positions partially or fully supported by the respective soft funds. Note: Personnel reflected on this PSP must also be reflected on the primary PSP (X01) for the MU, footnoted with a Standard Footnote C.

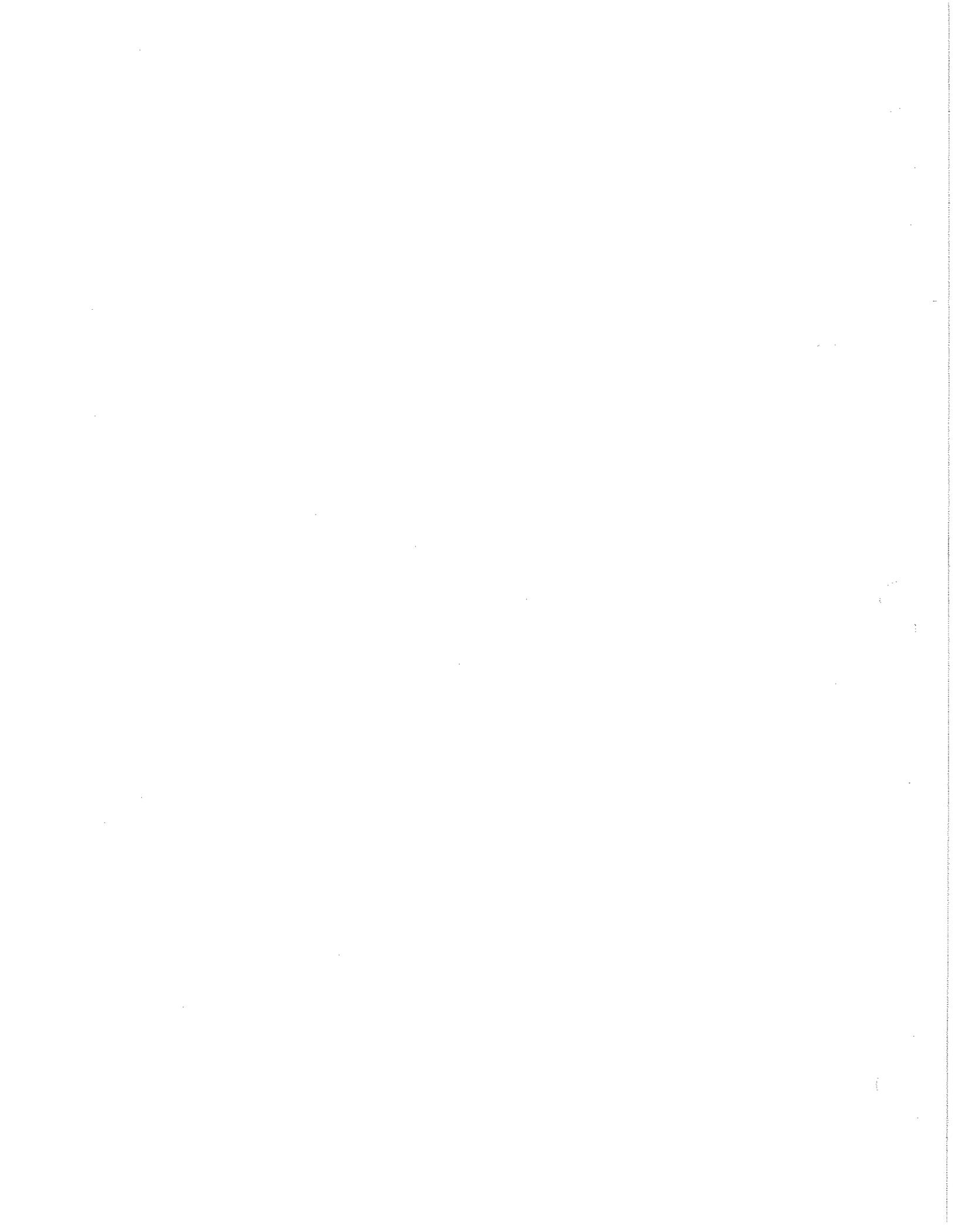
c. a CRIS Resource Allocation Schedule reflecting all agreements in the ARS-425 system and distribution of funding by object class, as applicable.

d. a State of the MU funding paragraph which lists the individual contributor's name and the corresponding funding level.

All agreements with a high probability of being executed should be reflected in the ARMP's, even though they have not yet been formally approved via the 425 process. Include carryover balances for multi-year grants and agreements in the current year ARMP's, as applicable.

Include only those reimbursable and trust fund agreements where ARS is the performing (as opposed to requesting) agency. Failure to evidence these agreements as part of the ARMP process could have a detrimental effect on the unit's planning assumptions. This could occur when an initially undisclosed and subsequently implemented agreement involves salaries which could be considered as salary lapse. The following rules apply:

1. Where salaries funded by outside agencies or organizations were not documented on a soft funds Position



Staffing Plan, as part of the ARMP process and assuming that the salaries were budgeted on the primary ARMP (X01), salary lapse will be reported for these positions.

2. Where multi-year arrangements are involved and salaries were not reflected on the soft funds PSP, the salaries for the budget year only will be subject to salary lapse reporting. The reason is that the subsequent years of the agreement will be documented and approved during the next year's ARMP process.

3. Grants obtained through truly competitive processes (such as BARD and competitive grants) are exempt from salary lapse reporting.



⑦

**Determine Availability  
of Reimbursable and  
Trust Funds**

Define, to the extent possible, the fund availability for any new or renewable reimbursement, trust fund agreement (including cooperative R&D agreements), competitive, or other grant. Each of these requires the preparation of a separate AOP, and other associated ARMP documentation. A separate Position Staffing Plan (PSP) is not necessary if the amount of time spent by an individual (on the project agreement) is properly footnoted and referenced on the primary PSP. A separate CRIS Resource Allocation Schedule is not needed either as long as the respective CRIS data is treated as a stand-alone module and is not commingled with the regular appropriation (01) CRIS units. Include only those reimbursable and trust fund agreements where ARS is the performing (as opposed to requesting) agency. Failure to evidence reimbursable or trust fund agreements as part of the ARMP process could have a detrimental effect on the unit's planning assumptions. This could occur when an initially undisclosed and subsequently implemented agreement involves salaries which will be considered as salary lapse.

The following rules apply:

1. Where preplanning of the use of salaries funded by outside agencies or organizations was documented on a separate Annual Operating Plan, as part of the ARMP process, there will be no salary lapse impact. Hence, the salary money is available to the fundholder as budgeted.
2. If reimbursable and trust fund agreements or grants are received which were not specifically documented for the ARMP process on a separate AOP, the salaries funded under the agreement or grant will be reported as salary lapse, the assumption being that the salaries are already covered on regular appropriated funds.
3. Where multiyear arrangements are involved, the salaries for the budget year only will be subject to salary lapse reporting. The reason is that the subsequent year of the agreement will be documented and approved during the subsequent year's ARMP process.
4. Grants obtained through truly competitive processes (such as BARD and S&E competitive grants) are exempt from salary lapse reporting.
5. The above salary lapse policy pertains only to funds provided for salaries and does not affect funds provided for "All Other" expenditures under the terms of an agreement or grant.

Therefore, even though not yet formally cleared via the Form AD-425 approval process, you list all those agreements which have a high probability of being executed should be planned. For competitive grants and trust fund agreements, it is necessary to retain the fiscal year identity. Any residual amount available for a particular agreement in the budget year from previous fiscal years must be shown on a separate ARMP.

⑧

**Classify MU Accounts**

Formulate, in coordination with the unit's administrative/accounting/budget and fiscal staff, the number and types of accounts needed based on the IRC classification, the fund allocation received from the ABFO, and an assessment of anticipated reimbursable and trust fund agreements as determined in Steps ④ through ⑦. This lays the foundation for establishing the MU's account structure and the eventual establishment of accounting codes in the CAS. Details on the latter subject can be found in the CAS User's Manual. <Separate accounting codes should not be established for Headquarters CRIS's (0500). They should be included within the assigned RMU accounting code where the funds are allocated.>

⑨

**Develop  
Automated ARMP**

Up to this point, basic resource management planning has taken place relative to funds availability and staffing requirements. Now that this phase has been completed, the actual development of the ARMP can commence. Before actually developing each component via the Automated ARMP System (refer to the Automated ARMP Systems User's Manual for detailed instructions for using the system), the following information should be noted and fully understood:

a. Position Staffing Plan (PSP)

1. A PSP must be prepared for each official organizational structure (MODE) level as follows:

-- Immediate Offices of the DA-NPS and DAAM.

-- Other staffs reporting directly to the Administrator, ARS.

- Units at the first echelon below DA-NPS and DAAM (i.e., NPS Science Staffs, Management Divisions/Staffs and AAO's).
- Immediate offices of AD's.
- Units at the first echelon below the Area level (i.e., immediate offices of CD's, LD's, DAD's; separate research units and support staffs at locations).
- Units at the first echelon below the office of CD, LD, DAD (i.e., separate research units and administrative support units). In these situations, use the "Master" and "Component" PSP approach discussed in Item 4 below.

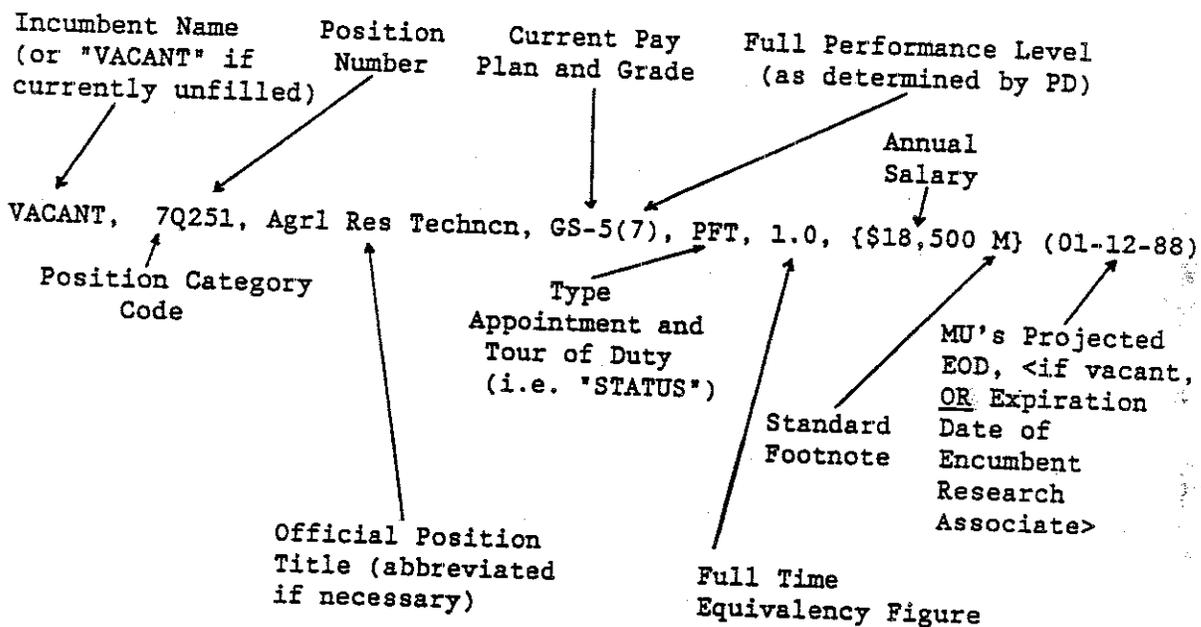
2. Key points to consider:

- a) Formatting/Footnoting - The individual employee data shown on the PSP will be produced in the format depicted in Item 3 below. The footnote conventions must be strictly adhered to. {For all permanent vacancies where incentives are budgeted the standard footnote "X" MUST be used by the experimental sites participating in the USDA Demonstration project.} If certain conditions or circumstances surrounding personnel management issues cannot be readily displayed via standard footnotes, these items should be highlighted by using footnote "Z", and/or discussed in the State of the MU.
- b) Supervisory Relationship - The existence of official/formal supervisory responsibility over other positions will be displayed by all subordinate positions being indented and listed below the official supervisor's position.
- c) Positions - Based on determinations made in Step 2, include all existing filled and vacant {Federal} positions in the unit that will continue in the upcoming FY and all new positions being requested, even those with "0.0" FTE <and \$-0-> funded within the MU.
  - 1) Each Federal position must be shown on the PSP {within the MU's "X01" ARMP package. If there are more than one "X01" accounts, the MU must decide which one is primary, and insure all Federal positions are shown.} (This includes Federal Junior Fellow and Student Aid positions.)
  - 2) Vacant positions being proposed and awaiting approval/funding for the new FY must reflect an official position number obtained from the Area Personnel Assistant (who will coordinate the request with PD).
  - 3) All existing and approved Research Associate/Post Doctoral positions must be displayed on the PSP, whether funds are provided locally or by the OA. Newly proposed Research Associate/Post Doctoral positions which the MU plans to

submit to the OA for review and funding consideration, MUST NOT be included on the initial PSP for the upcoming FY.

- <4) In situations where an official mode code has not been set up for a cost center (e.g., location support staff), these positions must be reflected on a single PSP for the MU ARMP with the official mode code, even though salaries are not budgeted in the MU. The same instructions should be followed when a position is partially or totally covered by reimbursable dollars.>

3. Basic format structure of individual employee record:



4. The Master/Component PSP approach for large organizational units with several subordinate MU's consists of:

- a) A Master Plan, showing only the positions within the MU Head's immediate office, and the major subordinate organizational components.
- b) Component PSP's reflecting each subordinate organizational unit, with a detailed depiction of positions using the established format, and footnote conventions.

5. When FTE support is received from outside, non-Federal organizations at no cost to ARS, reflect associated total FTE by "Revolving," "Donated," or "Other." The RSA-related FTE will be automatically shown from data entered on the RAP.

b. Determining "All Other" Fund Availability

After deduction of IRC, and the salary liability from the total funds net to the MU, the remaining balance represents the funds available for "All Other" expenditures.

c. Determining "All Other" Needs

Define "All Other" needs for the MU in terms of major expense components using the object class breakout of AOP as a guide. Special attention must also be given to costs for R&M, ER, safety and health improvements, and equipment. The MU should consider internal priorities and a realistic assessment of what items/projects might receive favorable consideration for discretionary funding from Administrator's resources. Based on the "All Other" fund availability derived in b. above, distribute the mandatory needs between the object classes, and show any eligible unfunded requirements on the unfunded RAP, FP, PROP or the Miscellaneous Unfunded Requirements Plan.

d. Research Agreements Plan (RAP)

The Research Agreements Plan includes all planned research support agreements, grants, specific cooperative agreements, research and development contracts, and <outgoing reimbursable agreements> even if not yet approved through the established approval processes. To provide the information in support of the requirement to distinguish fixed from discretionary costs, the "All Other" costs of RSA's must be broken down between "Utilities" <(Utilities and Other Fixed Costs)> and Other. All non-salary costs determined to be relatively fixed should be reflected in the "Utilities" column. These costs would include utilities, telephones, space-related costs, etc.

e. Facilities Plan (FP)

1. A base funded facilities project represents a commitment to complete the project with base funds regardless of whether the completion (design and construction) will take one or two years (therefore, second year funding requests for HPRL consideration will be denied when the project was base funded in the first year).
2. The Base Funded Plan, will include facility improvement projects other than R&M/ER (e.g., 10% Alteration, 10 Small Buildings), but such projects do not count against the minimum 4% of base funds set aside for R&M and ER.
3. R&M and ER projects performed by in-house resources or contract (e.g., support contracts, facility maintenance contracts) do count toward the 4% set-aside for base funded R&M and ER projects.
4. <To ensure the most accurate description of each project (funded or unfunded) reflected on the FP, a special formatting approach using acronyms and keywords has been developed. Appendix 8 provides the details for using these special descriptors.>
5. <As indicated in Section VI. A.#8, under certain circumstances, waivers may be granted by the AD for all or part of the 4% R&M requirement. If a waiver is granted by the AD, indicate this as the first entry on the FP.>

6. The Unfunded Plan covers additional needs over and above the 4% the MU must set aside from base funds for R&M and ER projects. The Unfunded Plan should list R&M and ER projects totaling approximately 3% of the MU's base fund allocation in order for the AD to prepare the Area HPRL. (AD's may assign a higher percentage if warranted.)
  7. The Unfunded Plan will also include facility design and construction projects related to 10% Alteration, 10 Small Buildings, Unlimited Buildings, and Headhouse/Greenhouse authorizations needed by the MU to accomplish its mission over a 1- or 2-year period. The projects listed on the Unfunded Plan will be considered by the AD for inclusion on the HPRL. The Administrator, in turn, will consider the HPRL requests for approval/disapproval during the Headquarters ARMP review sessions.
- f. Procurement Plan (PROP)
1. In developing the Procurement Plan, the MU must give consideration to recurring needs, such as equipment maintenance or rental, contract support services, and supplies (i.e., feed, fertilizer, hay, straw, glassware, etc.). In addition, the MU needs to work closely with Location, Area, and CAD Procurement/Contracting personnel to obtain information on estimated costs, Federal procurement programs, clearance/approvals, and procurement lead times/cut-off dates to properly prepare the PROP.
  2. The Funded Plan covers requirements for supplies and services both of a recurring and one-time nature with an anticipated cost of \$25,000 or more; all equipment acquisitions (including ADP) of \$1,000 or more; {all motor vehicle acquisitions (include with the description whether the requirement is a passenger vehicle or truck and whether it is a replacement or an addition)}; all safety and health requirements of \$1,000 or more; and any high-waste vulnerability items [consulting services (including ADP programming and systems design), personal services, audio-visual products and services, furniture, and non-competitive (sole source) procurements] with an estimated cost in excess of \$10,000. The level of FTE obtained from each recurring standing support services contract must be identified on this plan.
  3. MU's will be expected to earmark a reasonable portion of their base funds (net to location) for regular and recurring equipment acquisitions before listing unfunded equipment requirements for possible inclusion by the AD on the Area's HPRL.
  4. Planning efforts and priorities must also recognize and include the full costs associated with equipment acquisition such as salaries for dedicated operators, peripheral equipment, maintenance, and facilities modification. When such costs are applicable, the MU Heads should indicate on the PROP that such costs have been recognized and budgeted in their base allocations.

5. Unfunded requirements should be limited to items costing \$5,000 and above. Special consideration for funding "big ticket" equipment items on the HPRL will be given to those MU's which have covered a substantial portion of their regular and recurring equipment requirements from base funds.

g. {Miscellaneous Requirements Plan

This Plan is only applicable if there remain any funded or unfunded requirements that could not be stated on the RAP, FP, or PROP, because of the dollar thresholds or object class limitation associated with these plans. Include any funded requirements of \$1,000 or more. There is no dollar threshold for unfunded items. Such requests could include needs of salary costs, relocations, travel, training, real property lease/purchase, telephone system upgrade, utility hook-up, etc. (IF THERE ARE NO FUNDED OR UNFUNDED REQUIREMENTS TO BE REFLECTED ON THESE PLANS, NO ENTRIES SHOULD BE MADE. THEREFORE OMITTING THE PLANS TOTALLY.)}

h. CRIS Resource Allocation Schedule (N/A to AM/PM units and IRC)

The CRIS Resource Allocation Schedule reflects the assignment of MU resources (including IRC) to benefiting CRIS by cost category (salaries and "All Other"), which becomes the basis for computing the percent of total resources to CRIS units. The schedule must include all CRIS units in the MU. Any planned extramural projects should be reflected on the in-house CRIS, which is the source of its funding.

The direct costs of the MU must first be assigned to CRIS units before the schedule can be completed. There are alternative methods of distributing the direct cost categories, as follows:

<u>Cost</u>	<u>Alternative Method of Distribution</u>
1. Salaries & Benefits	Distribution based on projected or actual work assignments.
2. All Other Costs	<ul style="list-style-type: none"> <li>a. Assign to benefiting CRIS.</li> <li>b. Distribute to the Strategic Plan Code, then to CRIS.</li> <li>c. Distribute based on percent of total dollars to each CRIS.</li> </ul>
3. Support Equipment	For specific pieces of equipment planned, assign to benefiting CRIS. Charge the remainder using one of the options for "All Other" Costs above.
4. Extramural Support	Assign to benefiting in-house CRIS.

The cost assignment to CRIS, including IRC, is subject to review and approval by Headquarters. It is suggested that data be maintained at the local level to provide background information on methodologies and rationales used in the assignment of MU resources.

i. Annual Operating Plan (AOP)

An Annual Operating Plan (AOP) is required for each MU, cost center e.g., indirect research account), project (R&M, ER) and reimbursable or trust fund agreement that requires the assignment of a discrete accounting code for program accountability, fund tracking, and fund status reporting. As previously mentioned, any financial augmentation of the MU base funds from outside, non-Federal organizations must be identified in "Remarks" showing the organization name and associated dollars. Approval of the entire ARMP is indicated by the Fundholder and Area Director signing the AOP after the Headquarters review of the Area ARMP is complete. Appendix 6 and 7, respectively, provide further description of each type of resource reflected on the AOP including the position category codes shown in the "Personal Services and Benefits" section and the basic budget object classifications shown under "All Other" on the AOP.

j. MU HPRL

The consolidation and prioritization by the MU of unfunded requirements shown on the RAP, FP, PROP and the Miscellaneous Unfunded Requirements Plan aids the AD (DAAM, OA) in formulating the Area (AM, PM) HPRL. The MU HPRL provides the opportunity to reflect the fundholders priorities that cut across the types of unfunded requirements.

k. State of the MU

The State of the MU is a narrative which serves as a resource document to the AD (DAAM, OA) in developing the State of the Area (AM, PM). The State of the MU should address programmatic issues, financial condition, personnel matters, R&M, ER, safety and health, procurement, research agreements, ADP, and other important aspects which should be brought to the attention of the AD (DAAM, OA). It should not be written based on optimistic plans for increased funding and program expansion unless such information is available to the RL/LD/CD/DAD. Although needs for additional SY and professional support personnel may be identified based on research priorities as viewed by the RL, his/her plans should be based on existing resource allocations and known increases. It should be noted that when finalized for submission to Headquarters, the State of the MU must reflect all changes required by the AD.

<Specifically:

The "Major Issues" section is the most critical of all sections in the State of the MU. Its purpose is to concisely summarize the major concerns of the MU regardless of the function (funding, personnel, facilities, etc.). The first five lines of this section will be aggregated onto Executive Level reports given to the Area Director, Administrator, and other Headquarters Staff for the Management Unit. Therefore, it is imperative that the information be as "to the point" as possible.>

For personnel/position management issues, refer to the PSP in describing circumstances, conditions, or actions surrounding planned changes. The following are the kinds of information that might be included (to facilitate cross-reference, key the discussion to the position number):

- { -- permanent movement of positions from one MU to another to be effective at the beginning of the FY. }
- anticipated or impending vacancies and plans to restructure the position prior to recruitment, or plans to abolish the position.
- explanation of the need to establish new positions, change the nature or status of existing positions, add more staff reporting to certain positions, etc.
- plans to acquire or terminate additional "work support" through research support agreements with state cooperative institutions or through other non-Federal means (and any related problems anticipated).
- needs for/plans to divide the work effort of a position in the MU with a different MU (and any related problems anticipated).
- rationale for planned adjustments of work schedules (e.g., FT to PT, or PT to FT).

Safety and Health (S&H) program requirements that cannot be shown on the PROP due to dollar thresholds, i.e., items having a unit cost of less than \$1,000 shall be identified in the State of the MU by S&H program (e.g., Personal Protective Equipment, Hazardous Waste Disposal, etc.). The sum total of these items for a certain program may exceed \$1,000. For example, such items for the Personal Protective Equipment Program may include oxygen breathing apparatus, \$600; 10 pairs of safety shoes, \$500; and respirators, \$400; totaling \$1,500 for the program. None of these items would be shown individually on the PROP.

Any short- or long-range ADP plans should be fully described by the MU fundholder.

{If the criteria is used,} the Funding Section should include an explanation of the MU Target Percent in Salaries, if not already achieved, giving rationale and plans/dates as to when the TPS will be achieved. The discussion in the funding section should be consistent with the TPS and the actual Percent in Salaries. For example, if the Percent in Salaries is lower than the TPS, there should be no references to "lack of funds," etc.>

#### <1. State of the Location

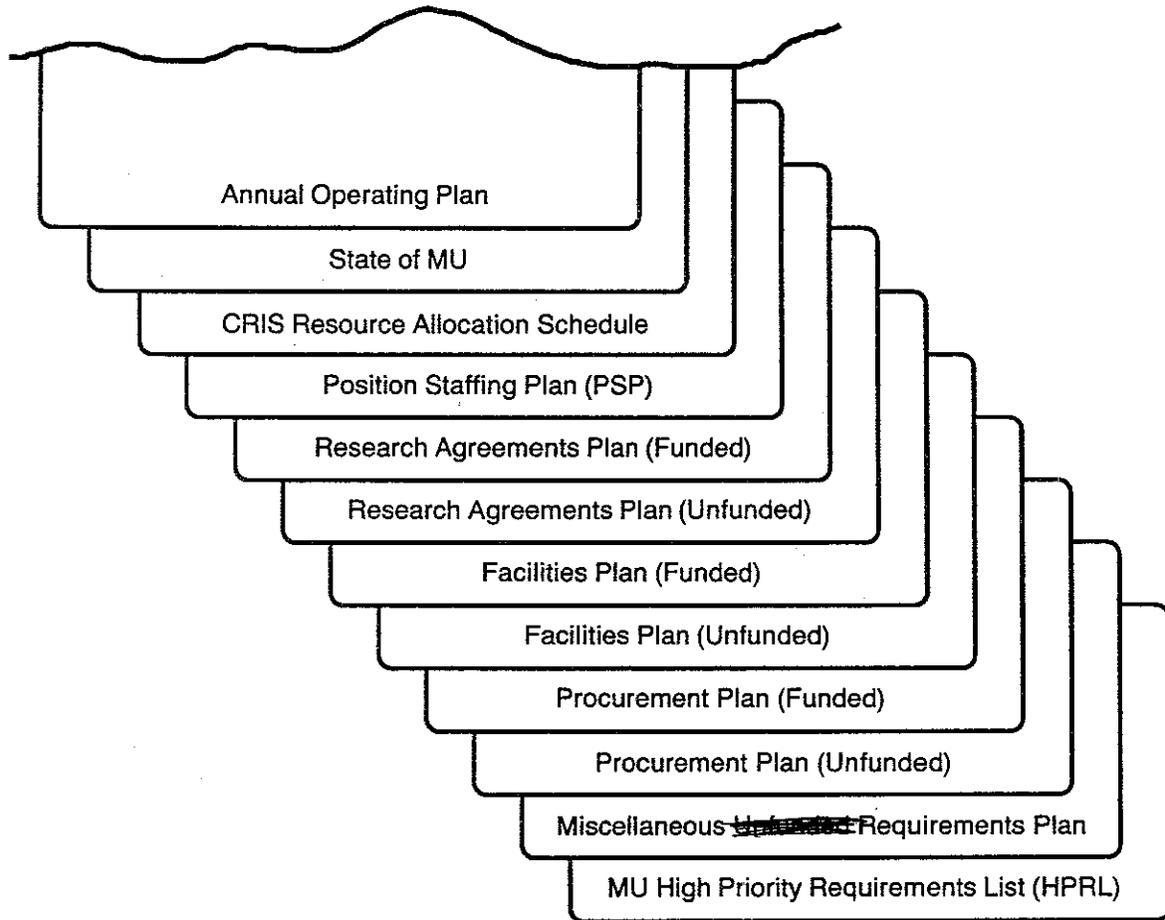
The State of the Location provides the AD a summarization of the RMU's programmatic issues, financial concerns, facilities needs, etc., that are best discussed from a Location perspective. The same functional paragraphs required for the State of the MU are required for the State of the Location. The "Major Issues" paragraph should be constructed whereby the most critical or important facts reside in the first five lines in the automated Annual Resource Management Plan System so that Executive level reports provided to the Administrator can reflect these concerns in total. NOTE: if the Location has only one RMU, the State of the Location can be omitted.>

⑩

Forward ARMP for  
Review/Approval  
(Modify as Directed)

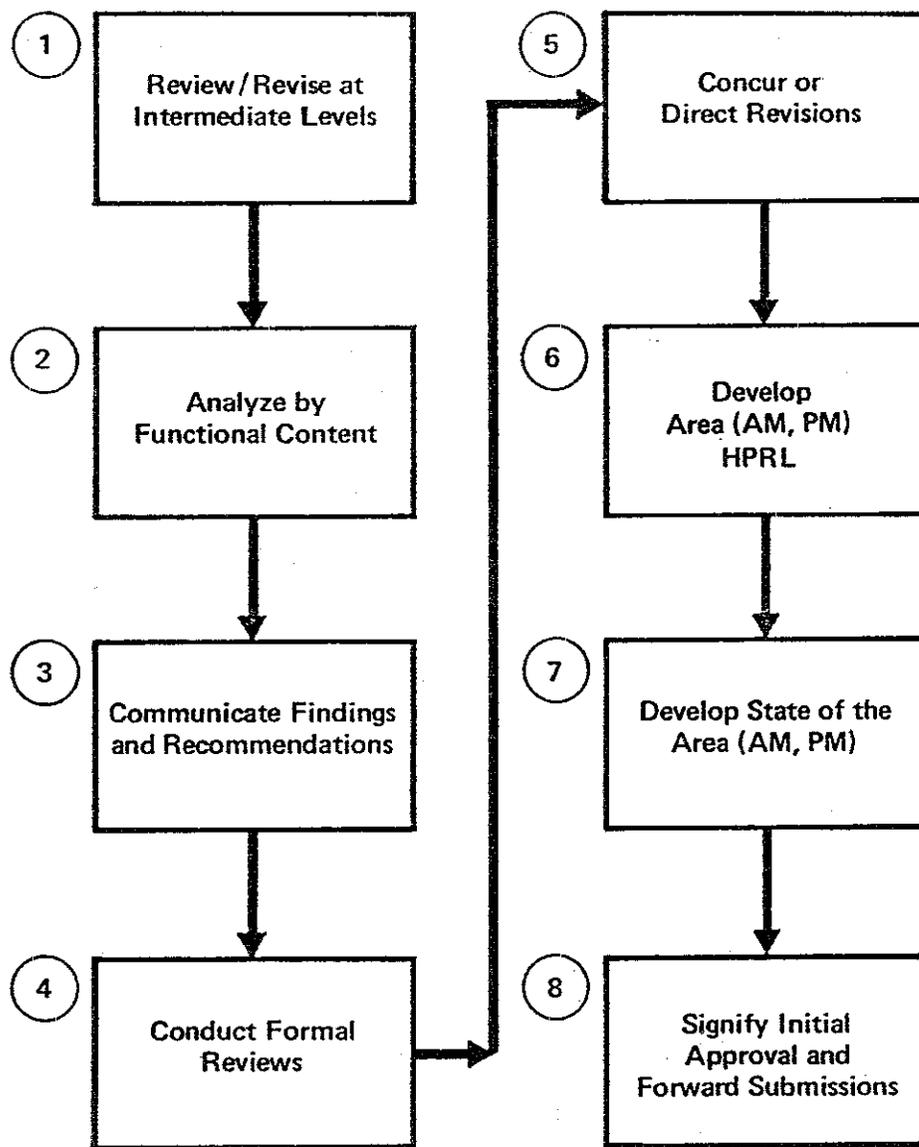
Submit the MU ARMP to the Area per instructions. Assemble the MU ARMP submission in the order shown on the next page. Observe deadlines, copy requirements, and office to which it is to be sent. The ARMP is subject to review and concurrence by intermediate level supervisors (e.g., CD, LD, DAD), and may have to be modified to their satisfaction before forwarding to the Area. Similarly, the ARMP may have to undergo further revision to reflect Area level decisions before resubmitting per Area instructions.

## COMPOSITION OF MU ARMP SUBMISSION



The above sketch shows the various pieces of documentation which form the MU ARMP package in the order in which it will be assembled by the Automated ARMP System for submission to the Area.

**ARMP REVIEW AND INITIAL APPROVAL—  
SEQUENTIAL STEPS FOR AREA (AM, PM)**



C. ARMP REVIEW AND INITIAL APPROVAL - SEQUENTIAL STEPS FOR AREA (AM, PM)

1

Review/Revise at  
Intermediate Levels

Where there is an intermediate line supervisor between the MU head and the AD, the ARMP's are subject to being revised at that level. Intermediate level supervisors, therefore, have the important function of approving the quality of the ARMP submission by correcting inaccuracies and resolving controversial or conflicting issues before forwarding to the next major review level. In addition, they have an opportunity to identify items/requirements subject to location management control, such as equipment for referral to equipment review committee requirements subject to consolidation, use of equipment pools, etc.

2

Analyze by  
Functional Content

This step involves the review and analysis of the ARMP by the Area Staff (with input/advice from servicing personnel specialist, PD <and engineering staff, FCMD>) to adequately prepare the AD for the forthcoming formal ARMP review process with the originator of the plan and other key officials. Staff attention should focus on the following:

1. Area Budget and Fiscal Officer

- a. Review and Analysis of Annual Operating Plan for: consistency with funds assigned to the MU; realistic budgeting for overtime, awards, promotions, premium pay; consistency with details on CRIS Resource Allocation Schedule; questionable allocation of "All Other" resources; unfavorable percent in salary and target percent in salary ratios; excessive dependence on reimbursable or trust funds; identification of all anticipated reimbursable and trust fund agreements; indication of FTE for RSA; and review of indirect research accounts.

- b. Review of CRIS Resource Allocation Schedule for: accuracy of full-year cost display of salaries; program specificity of "All Other"; inclusion of IRC attributable to each CRIS; inclusion of CRIS for reimbursements; derivation of CRIS percentages; and reconciliation of assigned resources against CRIS allocations.
  - c. Review of PSP for: consistency with financial and FTE data on the AOP; unfunded positions; and identification of non-Federal FTE by type of revolving, donated, or other non-ARS staff years.
  - d. Review of MU HPRL (to assist AD in the formulation of the Area HPRL), for: potential recurring funding requests; large dollar value items; and duplicative requests (e.g., when an identical request is pending).
  - e. Review of RAP, FP and PROP for: funding implications, notably source of funds; and compatibility with financial and FTE data shown on the AOP.
  - f. Review of the State of the MU for: pertinent funding deficiencies which impact the program; make recommendations for financial management improvements.
2. Procurement Assistance Officer
- a. Review of PSP for: inclusion of administrative support employees to meet procurement workload; and planned changes based on field review and recommendations.
  - b. Review and Analysis of Procurement Plans for: completeness of data; <correct use of product service codes;> adherence to established lead times and cut-off dates; impact on workload and resources; unusual anticipated acquisition problems; opportunities for consolidation and cost savings; inclusion of known recurring requirements (equipment lease, feed, etc.); high waste vulnerability requirements; and planned equipment acquisitions which are subject to review by equipment review committees.
  - c. Review and Analysis of Research Agreements Plans for: specific cooperative agreements, contracts or grants requiring early approval; identification of entries deserving special attention/consideration; and certification for adherence to ARS policy.
  - d. Review of Miscellaneous Unfunded Requirements Plan for: identification of procurement training (note needs).
  - e. Review of the State of the MU for: pertinent procurement information that clarifies or explains unfunded requirements.

- f. Written Report of Findings and Recommendations concerning a. through d. above; and recommendations for improving the Acquisition/Assistance Planning process. (Note: This report is not part of the ARMP, but is required by CAD for the Headquarters ARMP reviews. Forward a copy of the report to the Director, CAD.)

3. Area Office Engineer

- a. Review and Verification of Facilities Plans (in accordance with Appendix 9) for: MU's priority, description, and cost estimate of projects on the base funded and unfunded Facilities Plans; determining consistency of submitted projects from facility deficiency surveys, if available, or general knowledge of facility deficiency from site visits or inspections; correctly identifying projects as defined by Agency facility programs; collaborating and coordinating priority, scope, and cost of facility projects related to safety and health deficiencies with ASHM; and the possible omission of projects requiring immediate attention and accomplishment.
- b. Review of the State of the MU for: facilities issues.
- c. Review of MU HPRL for: re-ordering of MU priorities, as necessary, and document recommendations in writing to AD through AAO.
- d. Prepare HPRL Preliminary Project Scope Identification and Budget Cost Estimate Worksheets: Appendix 9 provides two worksheets that must be prepared by the AOE for identifying project scope features and formulating a budget cost estimate. It is composed of the (1) "Project Scope Identification" which is a checklist of possible engineering construction features that define the preliminary scope of the project, and (2) the "Budget Cost Estimate," a worksheet to calculate the project budget. Other important factors such as cost escalation; (i.e., today's cost plus 1/2 percent per month to mid-point of construction) and anticipated method of acquisition [e.g., 8(a)] must also be included during the formulation of the project cost. Budget cost estimate sheets will be prepared by the AOE for all HPRL {design and} construction requests and will be utilized as the primary source document for verifying and substantiating cost validity {during the preliminary and final review process}.

<4. Engineering Staff, Facility Construction Management Division

In order to eliminate numerous past HPRL construction program revisions by Headquarters after Area submissions, FCMD will be involved with reviewing Area HPRL requests before submission to Headquarters. Upon completion of the AAO and AOE assessment of facilities plans including budget formulation, FCMD will review the requests before they are submitted to the Area Director for final decisions. {FCMD will only review cost estimate sheets for (1) Headhouse, Greenhouse, Unlimited Small Buildings, Ten Small Buildings and Ten Percent Alteration regardless of dollar amount as well as (2) all other design and construction requests above \$300K.} This review will take place during the Area Review cycle. FCMD will require 2 weeks for this process.

5. Personnel Assistant
  - a. Review State of the MU to determine key issues/concerns that focus upon the unit's position and personnel resources; ensure that the MU has provided a rationale for significant changes proposed for the new FY; and highlight for the AD's attention any open issues upon which the MU is seeking guidance or needing resolution during the AD's formal review sessions.
  - b. Review of PSP for: proper notation of official position numbers for newly proposed vacant positions; adherence to prescribed methodology in general (and compliance with footnote conventions in particular); and accuracy of position-related information (vis-a-vis most recent personnel actions).
  - c. Coordination with PD as needed; contact PD servicing specialists to advise them of proposed reorganizations; forward copy of PSP and State of the MU to servicing personnel specialists to prepare for their input to AD during (or participation in) formal review/approval sessions.
6. Area Safety and Health Manager
  - a. Review and Analysis of Facilities Plan for: consistency with inspection results, and consequent development of safety abatement plans/associated costs; and the determination of appropriate Facility Deficiency Codes.
  - b. Review and Analysis of Procurement Plans for: the determination of the extent of funds budgeted for Hazardous Waste Disposal, Employee Assistance Program, Occupational Health Maintenance Program, Safety and Health Training, Personal Protective Equipment, Safety and Health Equipment, and other safety and health related program items.
  - c. Review of the State of the MU for: safety and health deficiencies and budgeted amounts for the individual safety and health programs not reflected on the Procurement Plan.
7. Area Property Management Specialist
  - a. Review and Analysis of Procurement Plans for: <identification of excess property as an alternative source for acquisition of new equipment/personal property; identification of motor vehicle acquisitions; identification of vehicle being replaced through acquisition; identification of improvements to non-Federal property for which a realty interest may need to be acquired; assuring entry of data or plans per instructions as they apply to the Procurement Plan.>

- b. Review and Analysis of Facilities Plans for: <identification of realty interest held where construction is proposed; identification of number of building to be altered/renovated; identification of site where construction is to occur; identification if property is listed on the National Register of Historic Places; and entry of data per instructions as they apply to the Facilities Plan.>

8. Area Computer Specialist

- a. Review and Analysis of Procurement Plans for: completeness and accuracy of data pertaining to ADP requirements. Review of plans should determine whether they are consistent with the Area's short- and long-range ADP plans and the overall Agency ADP goals.
- b. Review of the State of the MU for: pertinent ADP issues or concerns that impact the short or long range goals for the MU/Location/Area.

9. Program Assistant

Review and Analysis of CRIS Resource Allocation Schedules for: accuracy of CRIS dollar allocations (base and temporary funds) and assignment of resources, including indirect research costs; and conformance with Area program priorities consistent with the ARS Program Plan.

Summarization of data by functional area will be required for the Headquarters review of Area ARMP's using the Automated ARMP System, Area Aggregated Reports software. Specific instructions regarding generation of these reports can be found in the Automated ARMP System User's Manual.

3

**Communicate Findings  
and Recommendations**

The results of the analysis and appropriate recommendations must be communicated to the AAO in preparation for the AD's formal ARMP reviews. This staff support represents primary input to the review process.

④

**Conduct Formal  
Reviews**

AD's (DAAM, OA) , supported by Area level (Headquarters AM, PM) staff resources (including participation of PD's servicing personnel specialist) meet with program officials responsible for the ARMP development to discuss the plan submissions. The ensuing deliberations will address administrative, technical, and programmatic aspects. These reviews may be scheduled as part of ongoing program assessments, as special meetings in the form of on-site reviews, or at other designated locations, or via telephone conference calls.

⑤

**Concur or  
Direct Revisions**

Depending on the staff review and formal meetings held with AD (DAAM, OA), ARMP's may require modifications to correct procedural deficiencies and to reflect decisions reached. To assure that required changes are correctly reflected in the ARMP revisions, it will be necessary to maintain a record of such changes against which the resubmissions can be verified.

6

Develop  
Area (AM, PM)  
HPRL

From input obtained from the locations and their respective staffs, AD's (**DAAM, OA**) develop an Area HPRL which represents a total prioritized listing of all funding requests of the Area (**AM, PM**) regardless of the nature of the items/projects. The dollar threshold per item/project requested should be no less than <\$30,000> (except for R&M, ER, and Hazardous Waste Cleanup which can exceed this level). AD's should base the magnitude of their total funding request on the prescribed percentage of Area (research) base funds that is identified each fiscal year by Headquarters. This guideline is necessary to limit the magnitude of the total Area requests, although, in requesting input from their locations, AD's need not be bound by this percentage criterion. About one-half, of the prescribed percentage guideline should be reserved for R&M and ER requests, and the balance should be for equipment items costing <\$30,000> or more. Actual funding will depend on program considerations from a national perspective.

7

Develop State of the  
Area (AM, PM)

The State of the Area is a location-by-location narrative which addresses (but should not be limited to) problems, issues, concerns, initiatives, and opportunities related to funding, personnel matters, program planning, facilities, acquisition and assistance, and safety and health. It should be in sufficient depth and breadth to serve as a keynote presentation to initiate the formal Headquarters ARMP reviews. This document is to be prepared outside the Automated ARMP System; i.e., normal word processing methods. See Appendix 10 for an example of a State of the Area.

<For executive reporting purposes, a synopsis from the State of the Area for each MU and/or Location will be prepared by the AD called "Area Director's Comments." These comments will be added to the MU/Location data and will be reflected on the reports provided to the Administrator and his staff at the Headquarters ARMP meetings.>

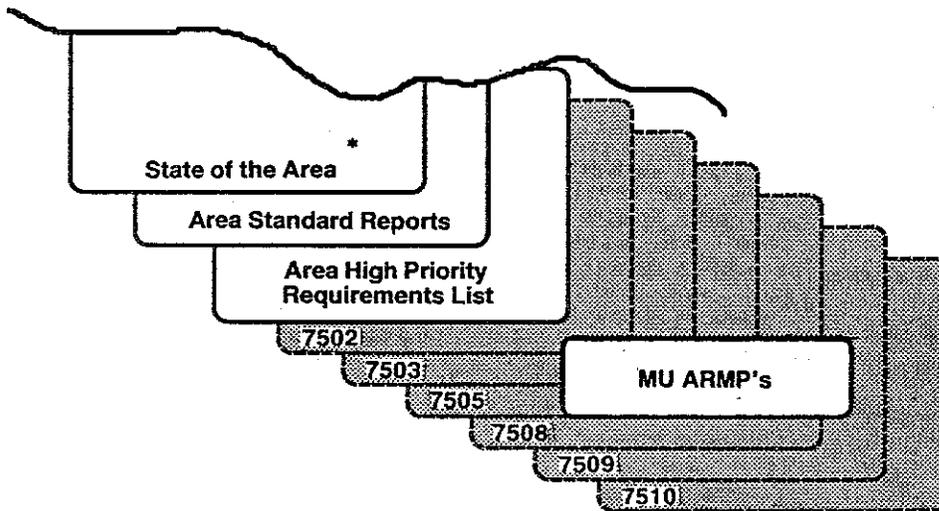
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**Signify Initial  
Approval and  
Forward Submissions**

When the ARMP's are completed to the AD's (DAAM's, OA's) satisfaction, he/she signifies initial approval (i.e., "recommend approval") by initialing the approval block of the Annual Operating Plans. At this point, the AD (DAAM, OA) gives de facto tentative approval to the execution of the funded Research Agreements, Procurement and Facilities Plans, which should now be forwarded to program and administrative support personnel for action. Of the items shown on the funded RAP, this tentative approval allows the MU's to proceed with the RSA items only, as all other types of agreements are subject to NPS approval. By initialing the RAP for the RSA items, certification is given that the intended use of the RSA's is in accordance with the policies promulgated in Directive 282.2.

When assembled as shown in the sketch below, the Area ARMP submission is ready for forwarding to FMD.

**Composition of Area (AM, PM) ARMP Submission**



The above sketch depicts the order in which the ARMP components should be assembled for forwarding to the FMD. Arrange MU ARMP's by ascending fourth level MODE Codes; e.g., X01 7502 101, X01 7503 210, X01 7505 108, X01 7508 310, etc. as shown above.

## VIII. ARMP APPLICATION

Once the ARMP's are approved and in place, the ARMP application phase begins. This refers to the process of implementing the planning data inherent in the budgeting process, i.e., translating planning strategies into actions. Therefore, ARMP "application" is synonymous with the commonly used term "budget execution," referring to the process of "proceeding as planned." Actually, the application phase begins with the entry of Financial Plan data in the CAS and terminates on the last day of the fiscal year. This section is weighted toward the application provisions of the PSP, RAP, FP and PROP since financial application aspects relevant to the ARMP are represented by accounting and fund status mechanisms which are covered in detail in other Agency issuances.

### A. Position Staffing Plan

#### 1. MU Head (with assistance from LAO/T)

- When the PSP does not entail any organizational changes, submit SF-52's, "Requests for Personnel Actions" (see Directive 411.2), directly to PD if MU Head has been delegated approval authority, or to the AD [**Division Director (DD)**, **Staff Director (SD)**, **DA-NPS**, **DAAM**, **OA**] if MU Head does not have such authority. (Area MU Heads must advise AD of "back-fill" actions on SY positions becoming vacant during the FY so that NPS concurrence can be obtained prior to submission of the SF-52 to PD.)

Note: For any SF-52 submitted to PD, the proper official position number must be reflected.

- When the PSP does entail an organizational change, contact the AAO (**DD**, **SD**) to learn the new MODE organizational codes that have been assigned by PD and the effective date of any Departmental clearances/approvals that may have been necessary (depending upon the nature and extent of the reorganization). Once this step has been completed, the related personnel documentation can be submitted as discussed immediately above.

#### 2. PD

- Aggregate data from approved PSP's for all ARS organizations (including recruitment activities and projected attrition) to ascertain the Agency's present and projected FTE status.
- Gather information needed in order to adjust the personnel data base to more accurately reflect the planned and approved ARS position structure.
- Analyze PSP's for "planning" purposes: to identify any need to revise recruitment policies/procedures, and to project classification and recruitment workload for the upcoming FY (and to plan necessary adjustments to meet anticipated workload).

- Analyze PSP's for "operational" position and personnel management: to better understand the organizations serviced and their related program activities; to more effectively review, analyze, and process various personnel and position action requests; and to advise management and supervisors on alternate ways to structure positions and organizations to avoid potential classification, pay, and/or recruitment problems.
- Gather information needed in order to provide special and periodic analysis and feedback (written and/or oral) to NPS and various management officials as requested or needed [e.g., monthly ceiling reports in terms of FTE; FTE projections given current attrition rate; SY recruitment priority reports; number of SY's leaving ARS by location, discipline and program emphasis area (via Approach Element Code), etc.].

### 3. AAO (DD, SD)

- Maintain a copy of the approved PSP for all subordinate MU's for such purposes as: planning and advisory discussions with the AD (DAAM, OA) and other appropriate program managers; tracking of various pending personnel actions; comparison with revisions of PSP's being requested by MU's during the FY, etc.
- When the PSP entails an organizational change, contact the Personnel ~~Management~~ Branch, PD, in sufficient time prior to desired implementation so that appropriate MODE organizational codes can be assigned and established at the National Finance Center, and a determination can be made as to whether the nature/extent of the reorganization will require Departmental clearance and approval before implementation.

(Note: Provide PD with 4 weeks lead time for changes not requiring Departmental approval, and 8 weeks for changes that do require Departmental approval.)

### B. Research Agreements, Facilities and Procurement Plans

Application of the RAP, FP and PROP Plans actually begins prior to the formal approval process. Those needs which are recurring and require action for their continuation as of October 1 must be initiated in advance of the formal approval process. Requisitions for such actions as recompetition of support service contracts, renewal of equipment maintenance or rental, and the exercise of renewal options must be submitted in accordance with mandated lead times. These actions will be processed contingent upon funds being made available.

The second stage of application begins at the time the AD (DAAM, OA) initials the Annual Operating Plans (AOP). As previously stated regarding the funded RAP, only the RSA items can be acted upon. The main purpose of this stage is to initiate action early in the fiscal year.

The third stage of application begins at the time the HPRL is approved and the original funded Facilities and Procurement Plans are revised. Once revisions are made and approvals received, requisitions must be promptly prepared and submitted for action.

The fourth stage of application occurs throughout the year as salary lapse and other discretionary funds are made available. Release of these funds will require additional revision and approval of funded Facilities and Procurement Plans. Once revisions are made and approval is received, requisitions must be promptly prepared and submitted for action. (Note: Expenditure of such additional funds under the procurement process is limited by mandatory lead times and cut-off dates.) Before planning expenditure of these funds, Area, CAD or FCMD staffs, as applicable, should be contacted to ensure that the procurement can be effected within the time constraints.

1. MU Head

- Promptly initiate procurement requests for FP and PROP items and RSA's, including: 1) preparing necessary statements of work/purchase description/specifications; 2) obtaining any required approvals/clearances; and 3) submitting AD-700, Requisition for Supplies, Equipment, or Services," as applicable.

2. Location Administrative Officer/Technician

- Aggregate data from approved Facilities and Procurement Plans for location to ascertain potential for scheduling procurements and consolidation.
- Provide advice and assistance to requisitioners on obtaining approvals/clearance, planning individual procurement/research agreement actions, preparation of statements of work/purchase descriptions/specifications and lead times.
- Process procurement actions within delegated authority.
- Gather information needed to provide special and periodic analysis and feedback to management officials as requested.

- Verify approved plans prior to procurement action where applicable.
- Assist in ensuring prompt submission of complete procurement/research agreement request to Areas, CAD or FCMD.

### 3. PAO

- Aggregate data from the Procurement Plans and Research Agreements Plans according to CAD supplemental instructions.
- Based on the Facilities and Procurement Plans, identify requirements suitable for Procurement Preference Program and establish goals for: 1) 8(a) contracting, 2) Small Business set-aside, and 3) Labor Surplus Area set-aside. (Promptly report these goals to CAD.)
- Develop individual transaction plans for acquisitions of \$25,000 or more that are within the authority.
- Gather information needs for special and periodic analysis and feedback to management officials and outside concerns as requested.
- Support the award of acquisition contracts and research agreements.

### 4. CAD

- Aggregate data from the Procurement Plans for the Agency to ascertain: 1) state of ARS for upgrade/replacement of equipment; 2) potential for scheduling procurements and consolidation; 3) potential for establishing sources and compatibility; and 4) Procurement Preference Program potential and goals.
- Gather information needed to provide special and periodic analysis and feedback to management officials and outside concerns as requested.
- Process acquisition and research agreement actions within authority.
- Consolidate Facilities and Procurement Plans and submit to the Office of Small and Disadvantaged Business Utilization on behalf of the Administrator.
- Develop individual transaction plans for acquisitions of \$25,000 or more that are within the authority.
- Provide the Administrator a statistical analysis of ARS's use of research agreements.

5. FCMD

- Aggregate data from the funded Facilities Plans for the Agency to ascertain the percentage of R&M/ER contribution.
- Aggregate data from the HPRL's for the Agency to ascertain:
  - 1) potential for scheduling procurements and consolidation;
  - 2) Procurement Preference Program opportunities; and 3) assessment of projected construction program activity, i.e., Repair and Maintenance, Energy Retrofit, 10 Small Buildings, Unlimited Small Buildings, Headhouse/Greenhouse, and 10% Alteration.
- Gather information needed to provide special and periodic analysis and feedback to management officials and outside concerns as requested.
- Process A-E and construction contracting actions within authority.
- Continually review and evaluate design and construction activities, and routinely report progress to Headquarters and Areas.
- Monitor contracting actions, identify sources of funds, and coordinate transfer and/or allocation of unused funds.

<6. GSD

- For funded Facilities Plans, process long-term lease acquisitions for construction projects where the Agency has no realty interest.
- For approved land acquisitions, process (if estimated cost exceeds \$100) the appropriate legislative authority. For approved land acquisitions where estimated cost is less than or equal to \$100, process activities in support of the acquisition.
- Aggregate data from the HPRL's for the Agency to ascertain potential for scheduling long-term lease acquisitions for construction projects.
- Gather information needed to provide special and periodic analysis and feedback to management officials and outside concerns as requested.
- Continually review and evaluate realty acquisitions, development of new ADP programs, ARS use of excess personal

property as a source of acquisition, and state of ARS motor vehicle fleet and routinely report progress to the Administrator, other Headquarters units, and Area offices.

- Continually review and evaluate design and construction activities.
- Monitor hazardous waste disposal activities and routinely report progress to the Administrator, other Headquarters units, and Area offices.
- Continually review and evaluate abatement activities identified by the Annual Inspection and Abatement Program.
- Continually review and evaluate the activities of the Occupational Health Maintenance and the Employee Assistance Programs.>

#### 7. NPS

- Support the approval of CRIS documentation related to the Agency research agreements.

#### C. Miscellaneous ~~Unfunded~~ Requirements Plan

##### 1. MU Head (with assistance from LAO)

- Submit for reconsideration by AD (DAAM, OA) urgent requests previously rejected.
- Weigh urgency of requests for funding reconsideration against priorities of similar reconsideration requests of RAP, FP, and PROP.

##### 2. AD

- Periodically review Plan to aid in the formulation of subsequent HPRL requests.

#### D. Annual Operating Plan

##### 1. MU Head (with assistance from LAO)

- Derive Financial Plan data for entry in CAS.

- Update as required or directed, notably when there has been a major change in resource availability or distribution.
- Analyze resource assignment in terms of fixed (i.e., relatively uncontrollable) costs; discretionary funds; and funds to be spent on extramural projects and research agreements.
- Periodically review whether reimbursements materialize in the amount anticipated.

2. AAO

- Refer to AOP as a resource document that may be useful in decisions involving redirection of programs or resources, or requests for funding assistance from Area reserves or Administrator's resources.
- Review salary cost estimates when developing Area Salary Lapse Reports.

3. FMD

- Gather information needed to provide special and periodic analysis and feedback (written and/or oral) to various management officials as requested or needed.

E. CRIS Resource Allocation Schedule

1. MU Head (with assistance from LAO/T)

- Review the distribution of salary resources across the component CRIS's of the MU and adjust as necessary during the fiscal year.
- Aggregate the data required for Salary Lapse Reports and prorate reportable salary lapse across the respective CRIS Units based on the current CRIS percentages reflected on the schedule

2. AAO

- Gather information needed in order to provide special and periodic analysis and feedback (written and/or oral) to NPS and various management officials as requested or needed (e.g., salary lapse reports and IRC).

3. FMD

- Gather information needed to respond to special requests for information from NPS and various management officials.

4. NPS

- Review the number of SY and support personnel, allocation by object class, IRC, and percentage of resources in salaries for each CRIS project and MU.
- Update CRIS project data.

IX. ARMP REVISIONS

Except in extraordinary circumstances, the only documentation components of the ARMP requiring revision after the initially approved ARMP are the PSP, FP, PROP, the Area HPRL, and the CRIS Resource Allocation Schedule. The reason for this statement is that these plans are driven by actions or requirements which demand dynamic updating. In contrast, the RAP, the Miscellaneous ~~Unfunded~~ Requirements Plan, the AOP, and the State of the MU/Area (AM, PM) would normally serve the one-time function of justifying and obtaining approval of the annual budget request. It is the prerogative of the AD (DAAM, OA), nonetheless, to require revision of any ARMP component at any time for internal management purposes.

A. Position Staffing Plan

During the course of the FY, any number of events could necessitate a revision to an MU's approved PSP. In such instances, the procedures documented below must be followed in order to revise the PSP and accomplish desired actions.

In general, changes affecting staffing and position management are occasioned by organizational or position realignments resulting from the implementation of program and/or funding decisions. Depending on their significance or impact, such events may necessitate a complete redocumentation or only a partial revision of the PSP.

1. Major Revision: The following conditions require submission of a completely redocumented PSP along with a written explanation and justification. Approving officials are designated below under 3, "Procedures."
  - Changes within the MU which impact the position structure or reporting relationships of SY <permanent> positions (i.e., <permanent> Category 1 and Category 4 positions), or of specialist positions (i.e., Category 6 positions) for AM and PM Units.
  - Planned reductions in force.

- Establishment of one or more new <permanent> SY positions.
  - Establishment of one or more new permanent positions within AM and PM Units which exceed the unit's FTE allocation.
  - Deletion/abolishment of one or more previously approved <permanent> SY positions.
  - Proposed reorganizations within the MU.
2. Minor Revision: The following conditions do not necessitate submission of a revised/redocumented PSP. Instead, only SF-52's, AD-332's, "Position Description Cover Sheet", and position descriptions are required. Appropriate "pen and ink" adjustments to the existing (paper copies of the) PSP will be made by the submitting unit, the approving office, and PD once the requested personnel/position action has been approved by the responsible official.
- Establishment of new or deletion/abolishment of one or more existing permanent, non-SY positions (i.e., positions other than Category 1 and 4) within the unit's FTE allocation.
  - Reassignments of non-SY positions within the unit's FTE allocation.
  - <Reassignments of non-permanent SY positions.>
  - Establishment or deletion/abolishment of one or more temporary positions (regardless of category).
  - Reclassification actions (i.e., changes in pay plan, title, series, or grade level), and/or changes in types of appointment or tour of duty for any type/category of positions.
3. Procedures:

Responsible PersonAction

MU Head  
(with assistance  
from LAO/T)

- (a) When deviations from the approved PSP meet the Major Revision criteria listed, submit, through appropriate approval channels, to the AAO (AM/PM Units, submit to the servicing personnel section for technical review for DAAM, OA) a redocumented PSP along with the written explanation and justification, appropriate SF-52's, AD-332's, and position descriptions.

- (b) When deviations from the approved PSP involve a Minor Revision, submit, through appropriate approval channels, to the AAO (AM/PM Units to DD, SD, DA-NPS, or DAAM, as appropriate) only SF-52's, AD-332's, and position descriptions necessary to effect the desired action. (Exception: Any Minor Revisions within AM and PM Units, including immediate office of DD, SD, AD, and DA-NPS that call for adding or deleting a permanent position within the unit's FTE allocation must be submitted to DAAM/OA for review and approval).
- (c) When submitting the above referenced personnel documents, ensure that:
- SF-52's calling for the permanent movement of an employee from one position to another indicate whether the employee's old position is to be retained (for later refilling) or abolished.
  - SF-52's to establish a new position in substitution for another approved/funded position clearly indicate the substitution (i.e., identify which position is to be abolished).
  - All personnel documents reflect the correct and current position number, as assigned by PD (if unsure of correct position number, contact the servicing personnel specialist in PD).
  - The "proposed effective date" block of the SF-52 contains a realistic date based upon the published ARS "Average Processing Times for Personnel Actions" coupled with the date by which the MU anticipates forwarding the documents.

- SF-52's to recruit for Category 1 or 4 positions reflect the proper Approach Element Code from the ARS 6-year Implementation Plan.
- SF-52's contain the proper organizational MODE code for the position through Level 8.
- The documentation is submitted well in advance of the "proposed effective date" to allow for timely completion of the requested action.

Intermediate  
Level Manager  
(CD, LD, DAD)

- (a) When MU Head has submitted revised PSP, review documentation; discuss with MU Head as needed; and signify concurrence.
- (b) Forward all documentation to the AAO (AM/PM Unit Heads, when the AM/PM unit is structured into separate MU's) for proper approval and for coordination with PD.

AAO  
Division Director  
Staff Director  
DA-NPS

- (a) Review proposed PSP documentation that constitutes a Major Revision. Submit all documents to the AD (AM/PM Units, to the servicing personnel section of PD for technical review, and for coordination with the DAAM or the NPS and OA, as appropriate) for their review and approval.
- (b) Review proposed PSP documentation that constitutes a Minor Revision. Submit all documents to the AD for review and approval. (AM/PM Units, submit material to DAAM, OA when requests concern adding or deleting a permanent position within the unit's FTE allocation. All other Minor Revisions within AM/PM Units are approved by the respective unit head and submitted directly to PD for action.)

- (c) As needed, consult and coordinate with the servicing personnel section of PD.
- (d) Upon AD (**DAAM, OA**) approval of a Major Revision, forward SF-52's (each with an appropriate control/tracking number as per Directive 411.2), AD-332's, position descriptions, and revised/approved PSP and justification/explanation to PD for action. (For all newly approved positions, contact servicing personnel section of PD for proper position number and affix same to all documents prior to forwarding.) Provide MU Head, LAO/T, and each intermediate level supervisor with a copy of the redocumented and approved PSP. (Note: If the Major Revision of a PSP entails a reorganization, ensure that Agency procedures for implementing organizational changes are immediately initiated.)
- (e) Upon AD (**DAAM, OA**) approval of a Minor Revision, forward SF-52's (each with an appropriate control/tracking number as per Directive 411.2), AD-332's, and position descriptions to PD for action. (For all newly approved positions, contact the servicing section of PD for proper position number and affix to all documents prior to forwarding.) Ensure that the MU's, LAO/T's, and Area (**DAAM, OA**) Office's existing copy of the PSP is properly updated via "pen and ink" changes.
- (f) Ensure that all SF-52's to "Recruit" for Category 1 and 4 positions contain the proper Approach Element Code.
- (a) Review, obtain technical input from servicing personnel section of PD and AAO staff, and approve or disapprove proposed Major Revisions of PSP's, taking the following into consideration:

AD  
DAAM  
OA

- When changes within the Area MU impact the position structure or reporting relationships of SY positions, NPS must be contacted for clearance of such changes if CRIS project base fund allocations are affected.
- For a planned reduction in force, AD must contact NPS if CRIS project base fund allocations are affected.
- When establishing or deleting/abolishing one or more SY positions, NPS must be contacted for clearance if the change impacts the use of CRIS resources.

- (b) Review, obtain PD technical input, and approve or disapprove proposed Minor Revisions of existing approved PSP's.
- (c) Return approved documentation to AAO (AM/PM Unit Head) for dissemination and coordination with PD.

## B. Facilities Plan

There are two conditions under the ARMP which require revision of the funded Facilities Plan. These are 1) finalization of the original ARMP <to reflect the HPRL decisions made at the ARMP meeting with the Administrator>, and 2) the subsequent update of ARMP's based on fund releases made during the fiscal year from Area or Agency discretionary resources.

### 1. Finalization

Requirements for finalization of the funded Facilities Plan are as follows:

- a. The final Facilities Plans shall be clearly noted in the upper left corner as a <"Final"> with the date prepared.
- b. Final plans shall be submitted to the AD (DAAM, OA) for review and approval. (As the Administrator has approved these changes, no further approval is required.)
- c. Copies of approved plans shall be distributed to FCMD, PAO, and the Location Administrative Office.

## 2. Updates

During the fiscal year, as discretionary funds are made available there will be a need to revise the Funded Facilities Plan.

It should be noted that salary lapse and other discretionary funds made available in the 3rd or 4th quarter of the fiscal year may not be usable to acquire large dollar value construction in excess of \$100K through the procurement process because of mandated cut-off dates and lead times. Before planning large dollar acquisitions, the MU must obtain advice and assistance from FCMD contracting personnel.

Updates to the Facilities Plan shall be processed in accordance with B. 1. above except to indicate "Revision" in the upper left corner.

## C. Procurement Plan

Revisions to the Funded Procurement Plans will be required under the same conditions as prescribed in IX. B. Facilities Plan above. Revised Procurement Plans are required for all annually recurring and one-time requirements of \$25,000 or more and the following high-waste vulnerability requirements estimated to exceed \$10,000:

1) consulting services, 2) audio-visual products and services, 3) furniture, 4) noncompetitive procurements (sole-source), and 5) personal services. The revision requirements for the Procurement Plan are as follows:

1. Clearly note in the upper left corner either <"Final" or "Revision">," as applicable, with the date prepared.
2. Submit revisions to the AD (DAAM, OA) for review and approval.
3. Copies of the approved revisions shall be distributed to CAD, PAO, and the Location Administrative Office.

## D. CRIS Resource Allocation Schedule

Only the salary related data on the CRIS Resource Allocation Schedule will be <revised when new funds (program increases) are received and affect salaries. Otherwise, dynamically maintaining the schedule is optional.>

## E. Area High Priority Requirements List

Submission of updated Area HPRL's can be anticipated about three times during the course of the upcoming fiscal year, generally in conjunction with the Area's (AM's, PM's) Salary Lapse Reports. High priority and emergency requirements that require immediate attention may be submitted at any time in accordance with the "Emergency Needs Request" process. AD's and MU Heads are cautioned that HPRL updates beginning with the third quarter of the fiscal year may not include "big ticket" acquisition requirements that do not meet the mandated lead times and cut-off dates, unless agreements have been reached with appropriate location, area or FCMD/CAD contracting officers.

2. Updates

During the fiscal year, as discretionary funds are made available there will be a need to revise the funded Facilities Plan. It should be noted that salary lapse and other discretionary funds made available in the 3rd or 4th quarter of the fiscal year may not be usable to acquire large dollar value construction in excess of \$100K through the procurement process because of mandated cut-off dates and lead times. Before planning large dollar acquisitions, the MU must obtain advice and assistance from FD contracting personnel. Updates to the Facilities Plan shall be processed in accordance with B. 1. above except to indicate "Revision" in the upper left corner.

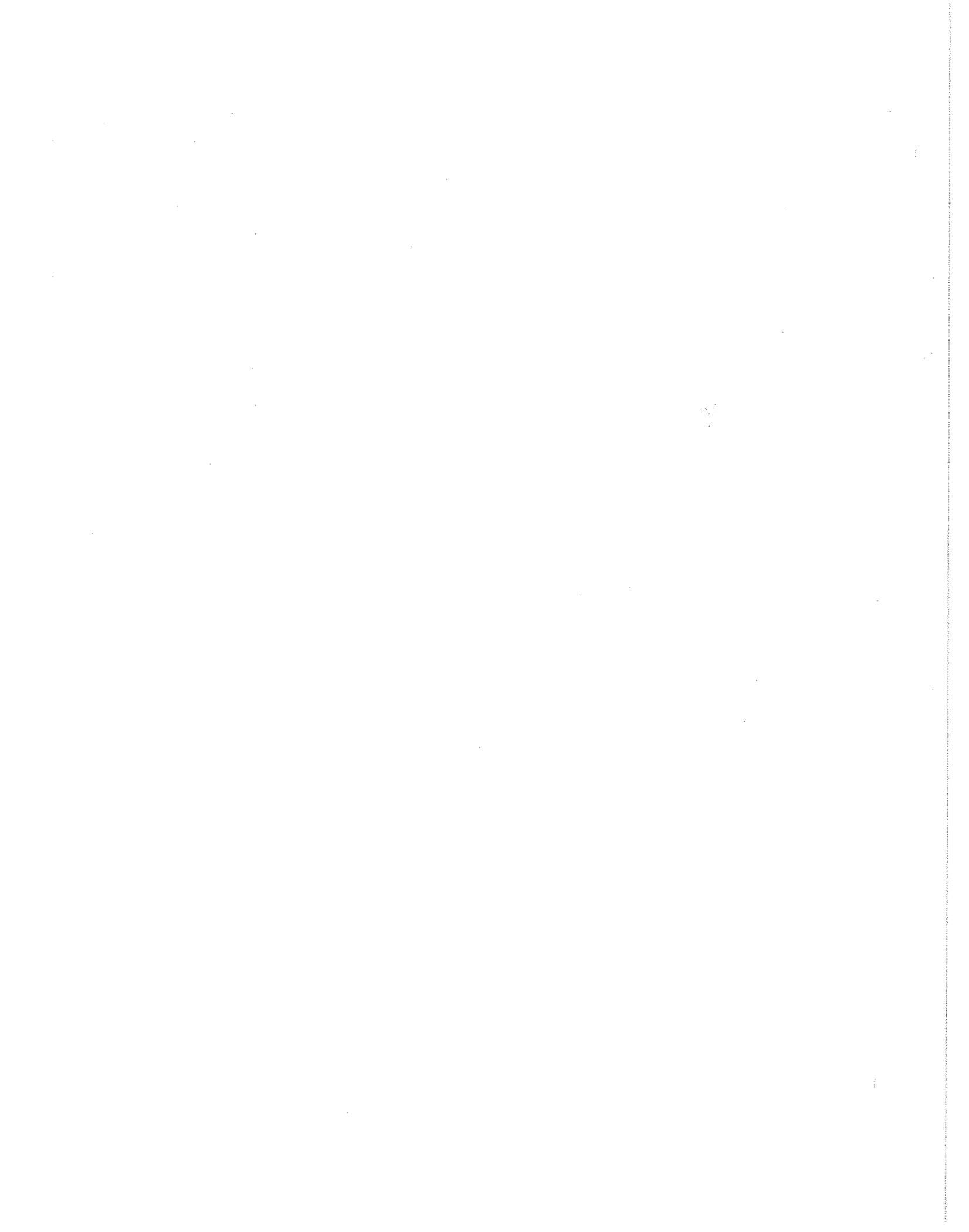
C. Procurement Plan

Revisions to the Funded Procurement Plans will be required under the same conditions as prescribed in IX. B. Facilities Plan above. Revised Procurement Plans are required for all annually recurring and one-time supplies and services requirements of \$25,000 or more, all equipment acquisitions (including ADP and motor vehicles) having a value of \$1,000 or more and the following high-waste vulnerability requirements estimated to exceed \$10,000: 1) consulting services, 2) audio-visual products and services, 3) furniture, 4) non-competitive procurements (sole-source), and 5) personal services. The revision requirements for the Procurement Plan are as follows:

1. Clearly note in the upper left corner either "Final" or "Revision," as applicable, with the date prepared.
2. Submit revisions to the AD (DAAFM, OA); for review and approval.
3. Copies of the approved revisions shall be distributed to CAD, PAO, and the Location Administrative Office.

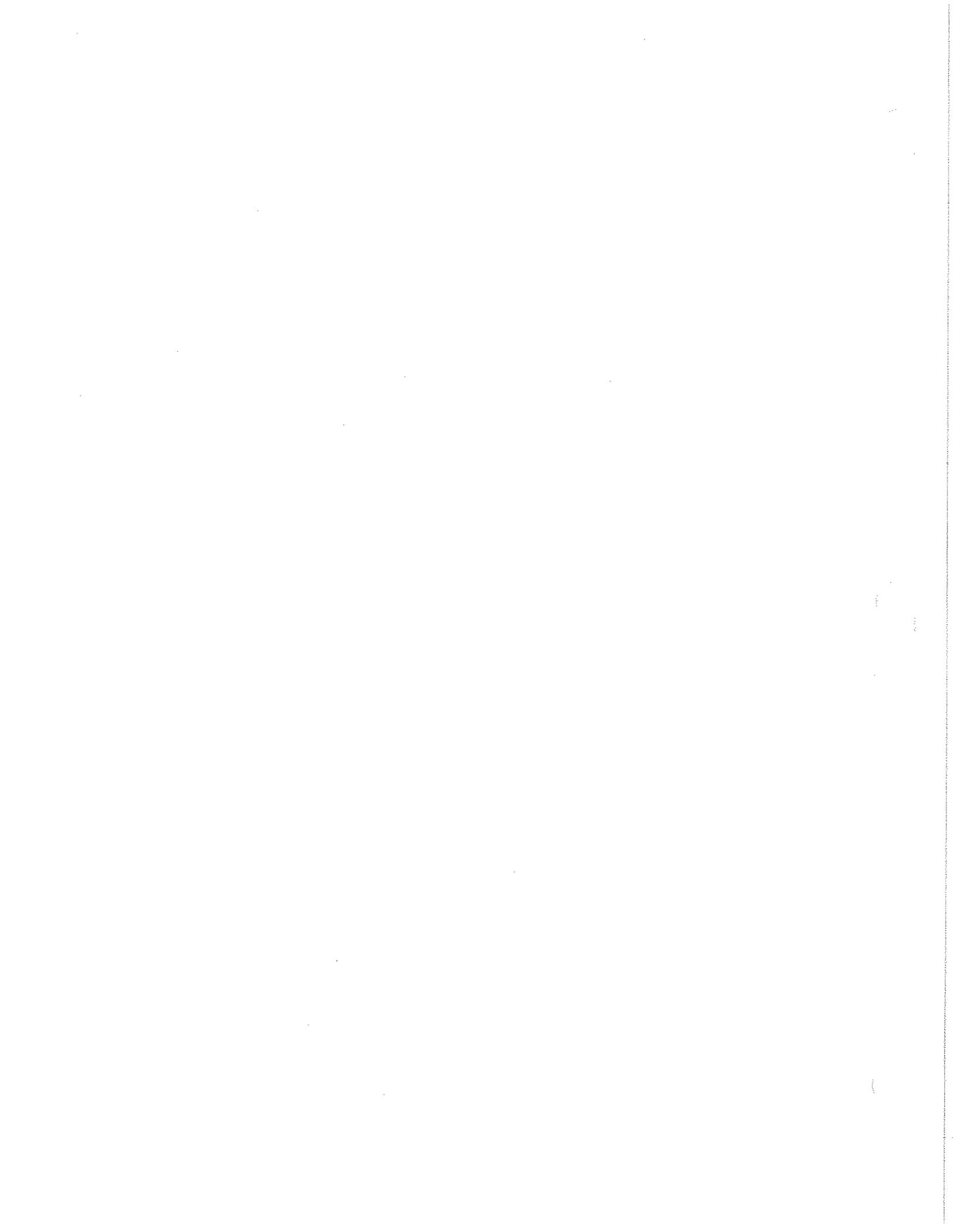
D. CRIS Resource Allocation Schedule

Only the salary related data on the CRIS Resource Allocation Schedule will be revised when new funds (program increases) are received and affect salaries. Otherwise, dynamically maintaining the schedule is optional.



E. Area High Priority Requirements List

Submission of updated Area HPRL's can be anticipated about three times during the course of the upcoming fiscal year, generally in conjunction with the Area's (AFM, PM) Salary Lapse Reports. High priority and emergency requirements that require immediate attention may be submitted at any time in accordance with the "Emergency Needs Request" process. AD's and MU Heads are cautioned that HPRL updates beginning with the third quarter of the fiscal year may not include "big ticket" acquisition requirements that do not meet the mandated lead times and cut-off dates, unless agreements have been reached with appropriate location, area or FD/CAD contracting officers.



## POSITION MANAGEMENT CHECKLIST

This list will be used in planning, developing and subsequently reviewing annual PSP's. Supervisors and managers should adhere as closely as possible to these indicators of sound position management or deviate from these criteria only for justifiable management reasons.

1. Unit essentiality

- Is the unit performing mission-essential, high priority work?

2. Delineation of work assignments

- Are all positions currently described as to their major duties and responsibilities?
- Is the relationship clear between all positions in the unit?
- Do the duties and responsibilities of any positions overlap?

3. Organizational fragmentation

- Have any units or subunits of questionable necessity been established or proposed?

4. Supervisory/staff layering

- What is the ratio of supervisors to workers? Is this sufficient for normal workload?
- Is there more supervision than seems necessary, considering the grade levels and qualifications of subordinates?
- Are there any unnecessary supervisory, deputy, or assistant positions including GS/GM, Federal Wage System (WG, WS, WL, etc.) or Leaders?

5. Grade dilution

- Are higher grade level duties concentrated in the fewest possible positions?
- If not, what is the impact on average grade, salary expenditures, and career ladders?

6. Average grade

- Is it consistent with the average level of difficulty of tasks performed in the unit?
- Is it consistent with the average grade of other units performing similar types of missions?

7. Position structure balance

- Does the unit have an adequate "mix" of senior, journey-level, trainee, helper, and support positions?
- Is the SY/technician ratio adequate?
- Is the clerical support ratio adequate?
- Is the position "mix" balanced against the unit's normal workload?

8. Career ladders

- Does each occupation and position have a well-defined career progression ladder?
- Are there opportunities for advancement?
- Do positions have enough variety, challenge, and responsibility to attract and retain competent employees?

9. Vacancies

- <- Is funding sufficient to support the vacancy and associated costs?>
- Are all vacant positions mission-essential, are they fully budgeted, and is there an estimated EOD Date shown?
- Have all newly established (or newly restructured) vacant SY positions been discussed with the AD and NPS?
- Can vacancies be abolished or restructured for lower-level recruitment or for use of a participant in the Cooperative Education Program or other special employment programs?
- Can vacancies be used for Upward Mobility, selective placement of the handicapped, or other socially-oriented programs?

10. Details

- Are details being properly used and documented?
- Do supervisors understand the requirements and restrictions on details of employees?

11. Pay administration

- Are there any problems with use, approval, or entitlement to overtime, environmental differential pay (Federal Wage System), hazard pay (GS), compensatory time, shift differentials, etc., that can be lessened through changes in organization or position configuration?
- Are there any problems with determination or coverage under the Performance Management Recognition System (PMRS), i.e., positions under the "GM" pay plan?

12. Survey information

- Has the unit been covered recently by a classification and position management survey or mutual assistance review?
- If so, to what extent are the classifier's findings and recommendations reflected in your PSP?

Exceptions to Full Year Position Funding

1. Cooperative Education Program Students

a. Undergraduate Program

- Students work for a semester and attend school for a semester (i.e., alternating periods), or work part-time schedules all year.
- Often organizations will have multiple students in one position/ "slot," so that someone is working in the "slot" on a continual basis.

b. Graduate Program (Masters Degree)

- Limited to 30 months total time.
- Typically, students work part-time throughout the year.

c. Graduate Program (Doctoral Degree)

- Limited to 42 months total time.
- Typically, students work part-time throughout the year.

2. Federal Junior Fellowship Program

- Young people hired under this program work only during summer and school vacations.
- Can remain with Agency for up to 5 years.

3. Term Appointments

- People are hired in various types of positions for more than one year, but not to exceed 4 years.
- People mostly work full-time, but could also work part-time.

4. Post Doctoral Research Associate Program

- All people work full-time.
- Can be hired:
  - a. under a temporary excepted appointment for up to two years.
  - b. under a Term Appointment (i.e., beyond 1 year, but not exceeding 4 years).
  - c. under a temporary competitive appointment.

5. Stay-In-School

- These student appointees work on a part-time or intermittent schedule, limited to 20 hours per week during school periods.
- Students can work full-time during holidays.

6. Experts and Consultants (Hired Under Personnel Appointments)

- These people can work up to 130 days during a calendar year.
- They get paid on a "per day" basis.
- They get paid for a full day, even though they may only work for part of a day.

7. Summer Employment Positions

- Can work full-time, but only during the summer months.

8. Seasonal Workers

- Such people can work for specific periods of time during the year (whether hired under "L/A Authority" or under formal appointment) with an overall limit of 180 days per service year.

9. Student Positions

- Filled under excepted authority (e.g., "1040 Students" under Schedule A, 213.3102[q], and students working towards completion of academic requirements for a graduate degree under Schedule A, 213.3102[p]).

10. Temporary (Short-Term) Positions

- Established for 30, 60, 90, 120 days, etc.

11. New Positions Budgeted on Appropriation Increases (for the budget year only)

- When program increases are approved and result in a revised base fund allocation, any <reportable> lapse accruing from positions to be established for such increases may be used for equipment, renovations, and other essential needs benefiting the program that received the increase.

12. Positions Abolished after Retirement of Incumbent

- WHEN ACTUAL RETIREMENT DATES ARE KNOWN and the positions will be abolished after those dates, only project the salary cost from October 1 through the retirement date plus a lump sum leave estimate.

Types of Indirect Research Costs

1. Facilities Costs. Salaries and operating costs needed to support and maintain the research facilities. All operating costs (i.e., salaries, supplies, training, travel, warehouse materials, equipment, contracts, motor vehicles) are related to the following functions: security, cleaning, groundskeeping, heating plant operations, utilities [electricity, fuel (gas & oil), water and sewer], safety and maintenance services.
2. Telephone Costs. Monthly standard communications costs (i.e., equipment rental, long distance phone bills, etc.).
3. Postage Costs. Meter leases, postage fees.
4. Administrative Support. Cost of the following types of employees and related expenses should normally be classified as IRC:

- Administrative Officer
- Administrative Technician
- Budget and Fiscal Technician
- Accounting Technician
- Procurement Specialist
- Purchasing Clerk
- Property & Vehicle Management Officer
- Personnel Technician
- Travel Clerk
- Secretarial/Clerical Support directly related to the above administrative personnel

Costs of the Area Administrative Offices will be charged to special AM accounts. At several major centers, some functions report to the Area Administrative Officer which are not standard AAO functions, such as mail room operations word processing centers, or certain facilities costs.

5. Livestock and Land Operations. The salaries of Animal Caretakers, Orchard and Field Laborers, supplies, feed, seed, fertilizer, vehicles, and equipment devoted to general care and maintenance of animals, orchards, and field plots used by several research projects and units.
6. Office of Center or Laboratory Director. Salaries, benefits, travel, supplies, equipment, and space used to support Director and immediate staff.
7. Libraries. Books, subscriptions, supplies, furniture, salaries and benefits, space, and other associated costs.

### INDIRECT RESEARCH COSTS

Costs that are associated with the basic operations of the location and are distributed to CRIS's. They can be characterized as things needed to "open the doors" of the location - utilities, facility operations, janitorial, communications, administrative support, EAP, OHMP, copiers, facility R&M, etc. These are assigned to an IRC account with costs spread to CRIS's on a formula, weighted factor or actual cost basis

Cost Categories	Description
Facility Operations	This includes salaries of personnel responsible for the operation of the location facilities, 4% R&M, supplies and materials needed for operation of the facilities, janitorial, maintenance contracts, facility control systems, A&E services, etc.
Telephone	This includes the base telephone line and equipment charges, and long distance charges.
Utilities	Water, gas, electricity, fuel, sewer, etc.
Administrative Support	Salaries, supplies, travel, training, equipment etc. Typical positions include LAO/LAT, Accounting Tech, Purchasing Agent, Office Automation, etc.
Postage	US mail, express mail charges.
Computer Network	Costs associated with the running and administration of a computer network that provides the basis for E-mail, Internet access, and file sharing. Salaries, supplies, contracts, equipment, etc
OHMP/EAP	Contracts, fees.
Center Director, Institute Director, Lab Director, Location Coordinator Office	Salaries, supplies, travel, training, equipment etc. associated with this office. Typical positions include % of CD, ID, LD, LC time assigned to administrative duties, similar % of CD/ID/LD/LC secretary time, Office Automation, etc.
Office Equipment	Photocopiers, fax machines. maintenance costs, paper, etc.
Rent/Lease	Rent or lease costs paid for laboratory/office facilities. Does not include rent or lease costs for research field plots.
Safety/Health and Hazardous Waste Disposal	Salary, equipment, supplies, contracts, travel, training, etc. associated with providing the basics of the locations safety and health program. Hazardous Waste Disposal costs.
EEO/CR	Salary, equipment, supplies, contracts, travel, training, etc.



Vehicle Costs (Administrative expenses for operating the facility)	Administrative or non-research motor pool costs
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Appendix 3  
Page 2 of 2

### SHARED RESEARCH COSTS

Costs that are associated with direct research activities, but may be shared by more than one MU/CRIS and therefore may be jointly controlled or funded. They can be characterized as direct research support distinguishing them from IRC costs. These costs must be excluded from the IRC development.

Cost Categories	Description
Special laboratory services, analytical labs, quarantine facility, common laboratory services spread to CRIS's & laboratory support costs	Salary, equipment, supplies, contracts, travel, training, etc.
Scientific equipment maintenance	Contracts for maintenance of scientific equipment
Library services	Salary, publications, subscriptions, equipment, supplies, contracts, travel, training, etc
Livestock operations	Salary, equipment, supplies, contracts, travel, training, animal feed, animals (can be charged directly to benefitting CRIS) etc.
Land/Greenhouse operations	Salary, equipment, supplies, contracts, travel, training, fertilizer, irrigation, etc.
Computer/Data Processing	Salaries, contracts, supplies, equipment etc. associated with providing direct computer service for research activities
Vehicle Expense (Related to research only)	Gas, repairs and maintenance for farm and scientific vehicles.
Human Studies	Stipends, honorariums, dietetic nursing services, etc.
Aircraft Services	Salary, equipment, supplies, contracts, travel, training, etc
Photographic services, graphics, information services	Salary, equipment, supplies, contracts, travel, training, etc
Leases	Lease costs for land associated with research projects. (Leases for lab and administrative facilities should be in Location Operational Costs.)

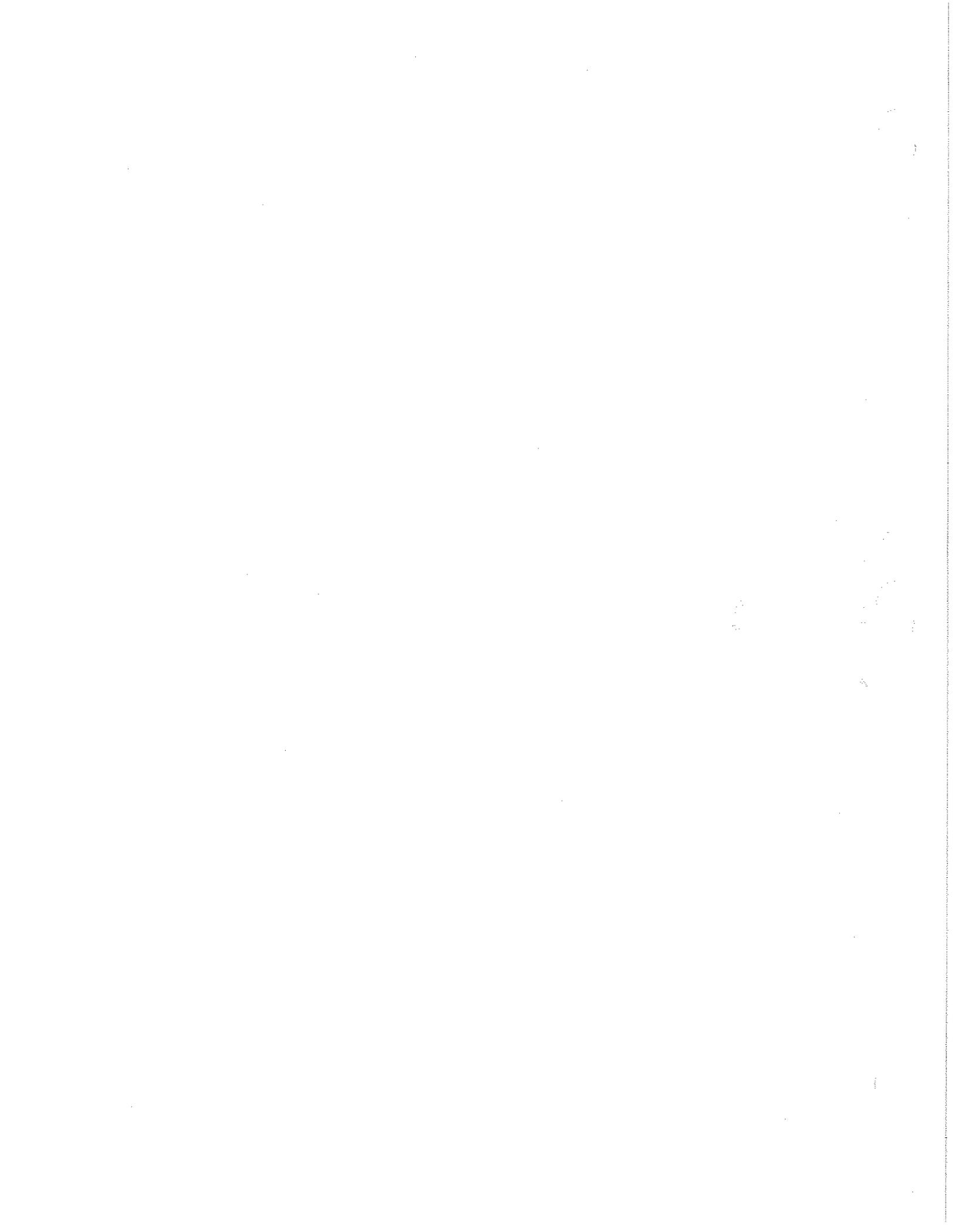


## METHODS OF IRC DISTRIBUTION

### Cost Categories

### Alternative Methods of Distribution

- |  |   |
|--|---|
| 1. Facility Operations                         | Develop space rates for each type of space.                                       |
| 2. Telephones                                  | Number of instruments and special features, long distance calls, etc              |
| 3. Utilities                                   | 1. Metered.<br>2. Rate for type of space.   |
| 4. Administrative Support                      | Percent of "CRIS Net to Location" for a given CRIS of the total location dollars. |
| 5. Postage                                     | 1. Metered<br>2. Survey data<br>3. Number of SY's per CRIS.                       |
| 6. Computer Network                            | Number of SY's per CRIS.  |
| 7. OHMP/EAP                                    | Number of FTE's per CRIS.   |
| 8. CD/ID/LD/LC Office                          | Percent of "CRIS Net to Location" for a given CRIS of the total location dollars. |
| 9. Office Equipment                            | Percent of "CRIS Net to Location" for a given CRIS of the total location dollars. |
| 10. Rent/Lease                                 | Percent of "CRIS Net to Location" for a given CRIS of the total location dollars. |
| 11. Safety/Health and Hazardous Waste Disposal | Number of SY's per CRIS.  |
| 12. EEO/CR                                     | Number of FTE's per CRIS.   |
| 13. Vehicle Costs                              | Percent of "CRIS Net to Location" for a given CRIS of the total location dollars. |



## METHODS OF SHARED RESEARCH COSTS DISTRIBUTION

<u>Cost Category</u>	<u>Alternative Methods of Distribution</u>
1. Special laboratory services, analytical labs, quarantine facility, common research services and laboratory support costs	Historical usage modified by future needs
2. Scientific Equipment Maintenance	Historical usage modified by future needs.
3. Library Services	Number of SY's per CRIS.
4. Livestock Operations	a. Personnel Costs: Number of animals  b. Other Costs: Apply cost accounting methods using historical data to determine animal and hay/feed requirements, colony costs, etc.  c. Purchase of Animals: Projection of animal needs made by RL and animal manager.
5. Land/Greenhouse Operations	Historical usage modified by future needs.
6. Computer/Data Processing	Historical usage modified by impacted future needs.
7. Vehicle Expense (research only)	Historical usage modified by future needs.
8. Human Studies	Historical usage modified by future needs.
9. Aircraft Services	Historical usage modified by future needs.
10. Photographic services, graphics, information services	Historical usage modified by impacted future needs.
11. Leases (related to research only)	Historical usage modified by impacted future needs.



SAMPLE  
LOCATION ASSIGNMENT OF IRC/SRC TO CRIS

Assumptions:

This location consists of four research units, fourteen scientists, and their support staff, housed in one building. This location has a greenhouse, a headhouse, ten acres of farm for research, six motor vehicles and four tractors. Feed, seed, and fertilizer are required for three of the research projects. Scientific equipment is shared by three research units. The research projects are organized as follows:

Research Unit A

Research Leader (Location Coordinator)  
2 Research Scientists  
2 Research Technicians Secretary (supports all research units)  
Custodian (supports location)  
Administrative Technician (supports all research units)

Research Unit B

Research Leader  
3 Research Scientists  
4 Research Technicians  
1 Tractor Operator  
1 Farmer (supports research units B, C, and D)  
Typist (supports research units B, C, and D)

Research Unit C

Research Leader  
3 Scientists  
4 Research Technicians  
1 Tractor Operator

Research Unit D

Research Leader  
2 Research Scientists  
1 Research Technician  
3 Biological Aids  
3 Tractor Operators



The accounting code structure has been established as follows:

X011220100

Account Type 81  
(will be prorated to more than one CRIS unit)  
Direct Cost for Research Unit A  
    Location Coordinator  
    2 Research Scientists  
    2 Research Technicians  
    Travel, Supplies, Equipment, etc.

X011220200

Account Type 81  
Direct Cost for Research Unit B  
    Research Leader  
    3 Research Scientists  
    4 Research Technicians  
    1 Tractor Operator  
    Travel, Supplies, Equipment, etc.

X011220300

Account Type 81  
Direct Cost for Research Unit C  
    Research Leader  
    3 Scientists  
    4 Research Technicians  
    1 Tractor Operator  
    Travel, Supplies, Equipment, etc.

X011220400

Account Type 81  
Direct Cost for Research Unit D  
    Research Leader  
    2 Research Scientists  
    1 Research Technician  
    3 Biological Aids  
    3 Tractor Operators  
    Travel, Supplies, Equipment, etc.

X011220900

Indirect Research  
Account Type 19  
    Secretary  
    Custodian  
    Administrative Technician  
    Utilities

X01120800

Shared Research  
Account Type 19  
    Typist  
    Farmer  
    Feed, Seed, Fertilizer (supports  
        Res. Units A, C, & D)  
    Shared Research Equipment  
        (supports Res. Units A,  
        C, & D)

Each of the above accounts will be charged to one or more CRIS units based upon assignment of costs to benefitting CRIS units during the planning process. During the fiscal year, if cost assignments change, the account distribution must be revised to reflect accurate CRIS accountability.

Indirect Research Costs and Shared Research Costs are developed using Research Leaders program plans and historical data. Exhibit 1 shows a breakout of estimated costs under the column entitled, "Total FTE and Amount."



Procedures for Assignment to CRIS:

1. Develop a worksheet to reflect needed distribution formulas for assignment to CRIS where formulas must be used in lieu of more precise methods. Many data elements must be provided by MU Heads. (Exhibit 2 shows distribution formulas for FTE's, SY's and CRIS Net to Location dollars. The formulas are developed using the location level as the base and working the calculation down to the management and CRIS unit levels ) This will provide information needed to assign the cost element to the respective CRIS units. Note that Exhibits 1 and 2 reflect a breakout of FTE for the IRC/SRC accounts. At major centers and large locations such a breakout may be too complex to provide and may, therefore, be deleted from the requirement.
2. Assign total IRC/SRC to location RMU's based on research leaders program plans, cost accounting techniques, and the formulas developed in Step 1 above. Prepare a table showing the proration of cost categories across the RMU's at the location (see Exhibit 1). Note that assignments of costs to RMU's in the sample are of varying methods, as appropriate to the cost type.
3. Provide the "Allocation of Cost" table (Exhibit 1) that has been developed in Step 2 above, to the MU Head for assignment of costs to CRIS units. The MU Head uses program plans, space occupancy data and, where applicable, distribution formulas for equitable assignment (see Exhibit 3, Distribution to CRIS, for the breakout of IRC/SRC to CRIS units).
4. Assignments of IRC/SRC to CRIS units as shown in Exhibit 3 are entered on the "CRIS Resource Allocation Schedule" as shown in Exhibit 4 for the sample location.



ALLOCATION OF COST  
(Sample Location)

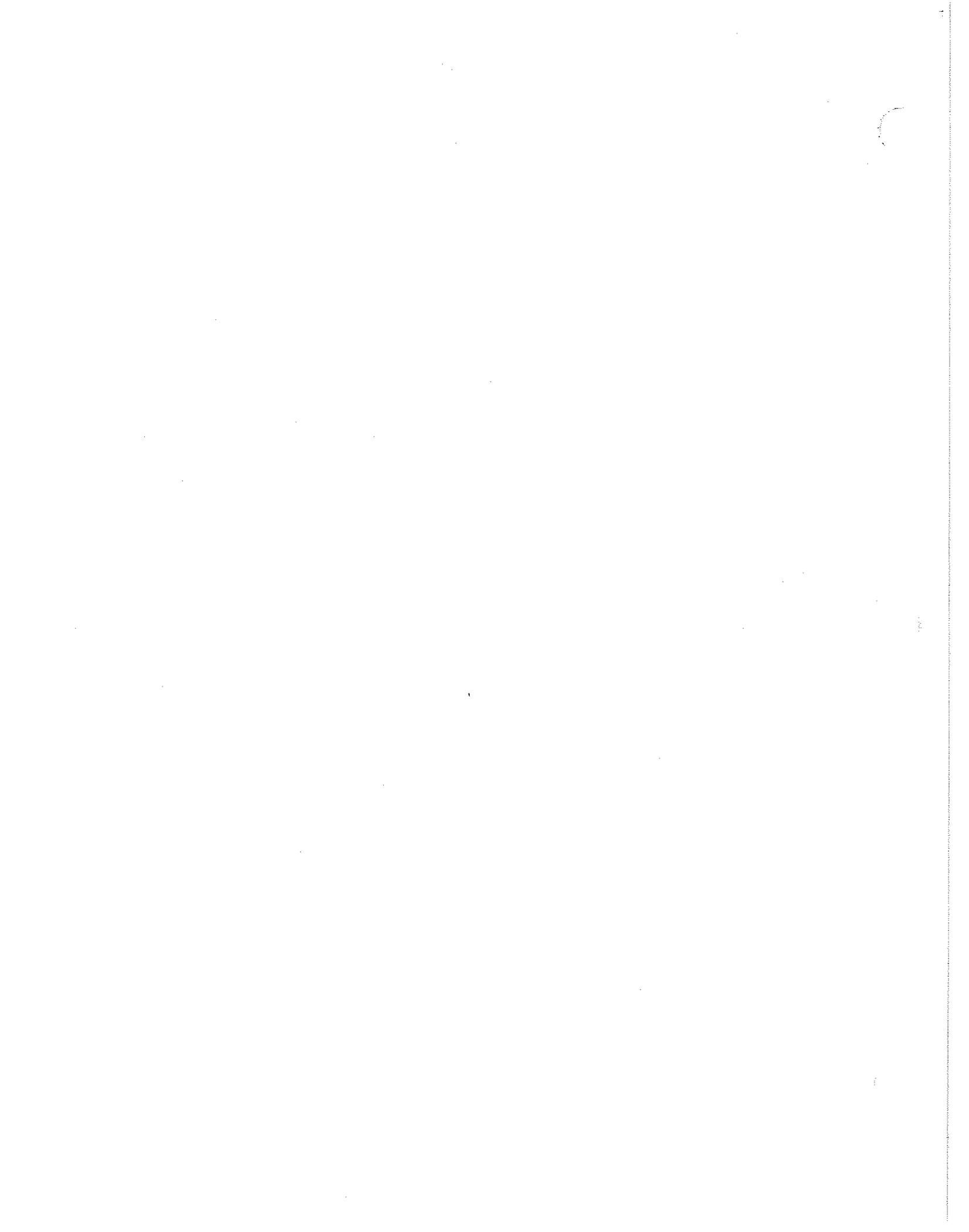
INDIRECT RESEARCH:  
Accounting Code: X011220900

COSTS	Research Management Unit A		Research Management Unit B		Research Management Unit C		Research Management Unit D			
	FTE	DOLLARS	%	FTE	%	FTE	%	FTE	%	
Utilities 1/	--	80.0	--	10.0	--	20.0	--	15.0	--	35.0
Custodian 2/	1.0	12.0	15.4	1.9	26.1	3.1	27.7	3.3	30.8	3.7
Admin. Technician 3/	1.0	25.0	15.7	3.9	24.6	3.1	33.4	3.3	26.3	3.6
Total IRC	2.0	117.0	.2	15.8	.6	29.2	.6	26.7	.6	45.3

SHARED RESEARCH:		Accounting Code: X011220800	
Secretary 4/	1.0	20.0	21.4
Farmer 5/	1.0	15.0	--
Feed, Seed, Fertilizer 6/	--	50.0	20
Typist 7/	1.0	15.0	--
Shared Res. Equipment 8/	--	25.0	40
Total SRC	3.0	125.0	.2

- 1/ Weighted space rate developed and assigned based on type and amount of sq. ft. space occupied.
- 2/ Distributed based on total location FTE personnel (Exhibit 2).
- 3/ Distributed based on CRIS Net to Location Allocation (Exhibit 2).
- 4/ Distributed based on Scientific Support (Exhibit 2).
- 5/ Assigned based on research leaders' program plans.
- 6/ Assigned based on history data and research leaders' program plans.
- 7/ Supports Research Units B, C, and D equally. Based on number of scientists.



Location \_\_\_\_\_

DISTRIBUTION FORMULA TABLE

Accounting Code	X011220100			X011220200			X011220300			X011220400		
	RMU UNIT A			RMU UNIT B			RMU UNIT C			RMU UNIT D		
Location	CRIS	CRIS	CRIS	CRIS	CRIS	CRIS	CRIS	CRIS	CRIS	CRIS	CRIS	CRIS
Total	20740	20160	20160	20790	20790	20760	20740	20760	20760	20740	20760	Total
	001	002	002	001	002	002	005	006	002	003	003	Total
Full Time Equivalent (FTE) 32.5 1/	5.0	1.8	.5	.7	2.0	8.5	4.3	4.2	2.1	4.5	2.4	10.0
Percent MU of Location	100.0%	15.4%				26.1%			27.7%			30.8%
Percent CRIS of MU	36.0%	10.0%	14.0%	40.0%	100.0%	50.6%	49.4%	100.0%	23.3%	50.0%	26.7%	100.0%
Scientific Years (SY's)	3.0	1.1	.4	.5	1.0	4.0	1.8	2.2	4.0	1.1	2.1	3.0
Percent MU SY's/Location	100.0%	21.4%				28.6%			28.6%		.8	21.4%
Percent CRIS Unit SY's/MU	100.0%	36.7%	13.3%	33.3%	100.0%	45.0%	55.0%	100.0%	27.5%	52.5%	20.0%	100.0%
Net Dollars to Location	\$1,418.9	2/										
Net Dollars by CRIS	\$233.7	\$82.5	\$33.6	\$45.9	\$61.7	\$348.4	\$166.9	\$181.5	\$474.1	\$124.9	\$245.8	\$103.4
Percent CRIS to Location	15.7%	5.8%	2.4%	3.2%	4.3%	24.6%	11.8%	12.8%	33.4%	8.8%	17.3%	7.3%
Percent CRIS to MU	36.9%	5.0%	20.5%	27.6%	27.6%	47.9%	52.1%	52.1%	26.3%	51.9%	21.8%	100.0%

1/ Excludes Indirect and Shared Research Cost FTE's.

2/ Includes Indirect and Shared Research Costs.

1

2

3

DISTRIBUTION TO CRIS  
(Sample Location)

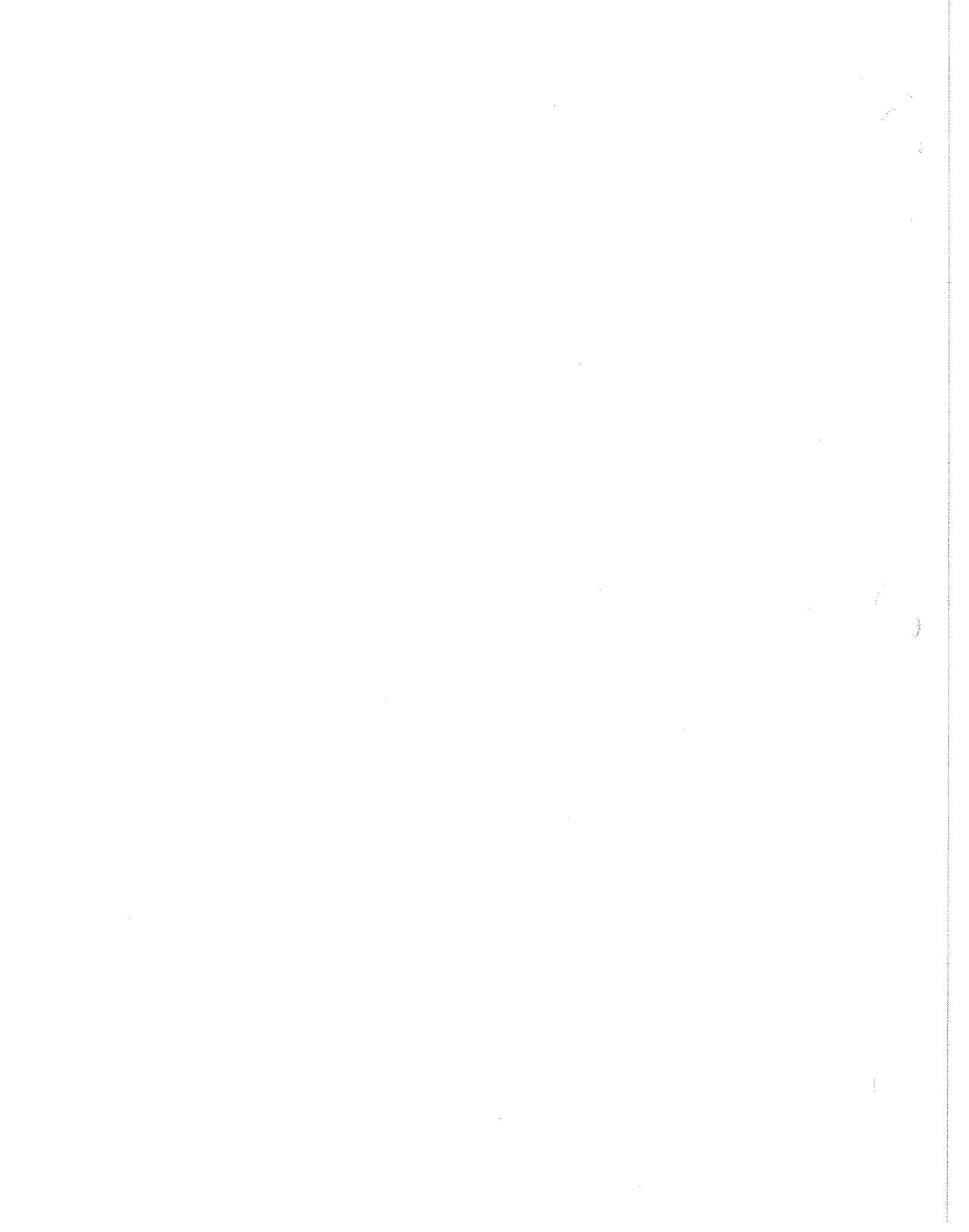
INDIRECT RESEARCH:

Accounting Code	X011220100				X011220200				X011220300				X011220400			
	RMU UNIT A				RMU UNIT B				RMU UNIT C				RMU UNIT D			
	TOTAL	20740	20740	20160	TOTAL	20790	20790	20160	TOTAL	20740	20740	20160	TOTAL	20740	20740	20160
COSTS	001	002	001	002	005	006	002	002	012	002	003	003	003	003	003	003
FTE \$	4.0	2.0	1.5	2.5	20.0	9.0	11.0	15.0	3.0	10.0	2.0	35.0	3.0	10.0	2.0	35.0
FTE	4.0	2.0	1.5	2.5	20.0	9.0	11.0	15.0	3.0	10.0	2.0	35.0	3.0	10.0	2.0	35.0
Utilities 1/	.1	.7	.2	.3	3.1	1.6	1.5	3.3	.7	2.1	.9	3.7	.7	2.1	.9	3.7
Custodian 2/	.1	.7	.2	.3	3.1	1.6	1.5	3.3	.7	2.1	.9	3.7	.7	2.1	.9	3.7
Admin. Tech. 3/	.1	1.5	.6	1.0	3.6	1.2	3.2	8.4	1.2	4.4	1.8	6.6	1.2	4.4	1.8	6.6
Total IRC/CRIS	.2	6.2	2.8	4.2	6.29	3.13	5.7	26.7	1.5	16.1	4.7	45.3	1.5	16.1	4.7	45.3

SHARED RESEARCH:

Farmer 4/	10.0	7.0	1.0	2.0	6.0	3.0	3.0	6.0	3.0	3.0	3.0	6.0	3.0	3.0	3.0	6.0
Feed, Seed, Fertilizer 5/	10.0	7.0	1.0	2.0	6.0	3.0	3.0	6.0	3.0	3.0	3.0	6.0	3.0	3.0	3.0	6.0
Secretary 6/	4.3	1.6	.6	1.4	3.5	2.6	3.1	5.7	1.6	3.0	1.1	4.3	1.6	3.0	1.1	4.3
Typist 7/	1.0	1.5	.6	1.0	3.6	1.2	3.2	8.4	1.2	4.4	1.8	6.6	1.2	4.4	1.8	6.6
Shared Research Equipment	10.0	5.0	3.0	2.0	6.0	3.0	3.0	6.0	3.0	3.0	3.0	6.0	3.0	3.0	3.0	6.0
Total SRC/CRIS	24.3	13.6	3.6	17.2	17.2	8.3	12.8	37.1	3.1	17.8	16.2	46.4	3.1	17.8	16.2	46.4

- 1/ Assigned on sq. ft. space cost by type and occupancy.
- 2/ Distributed based on FTE support per CRIS (Exhibit 4).
- 3/ Distributed based on Net to Management Unit CRIS Allocation (Exhibit 4).
- 4/ Assigned based on research leader's program plans.
- 5/ Assigned based on history data and research leader's program plans.
- 6/ Distributed based on Scientific Support (Exhibit 4).
- 7/ Supports each CRIS unit equally.

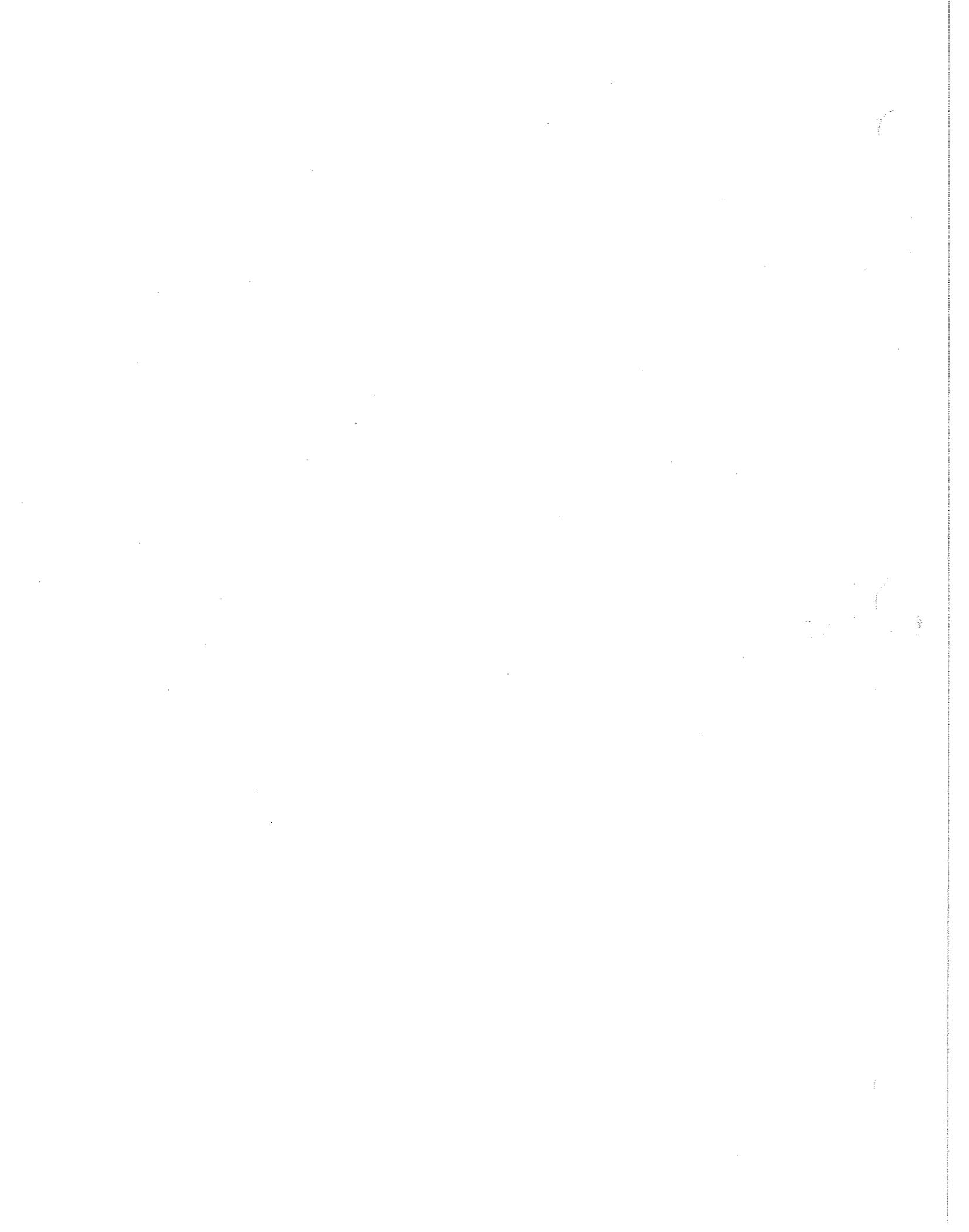






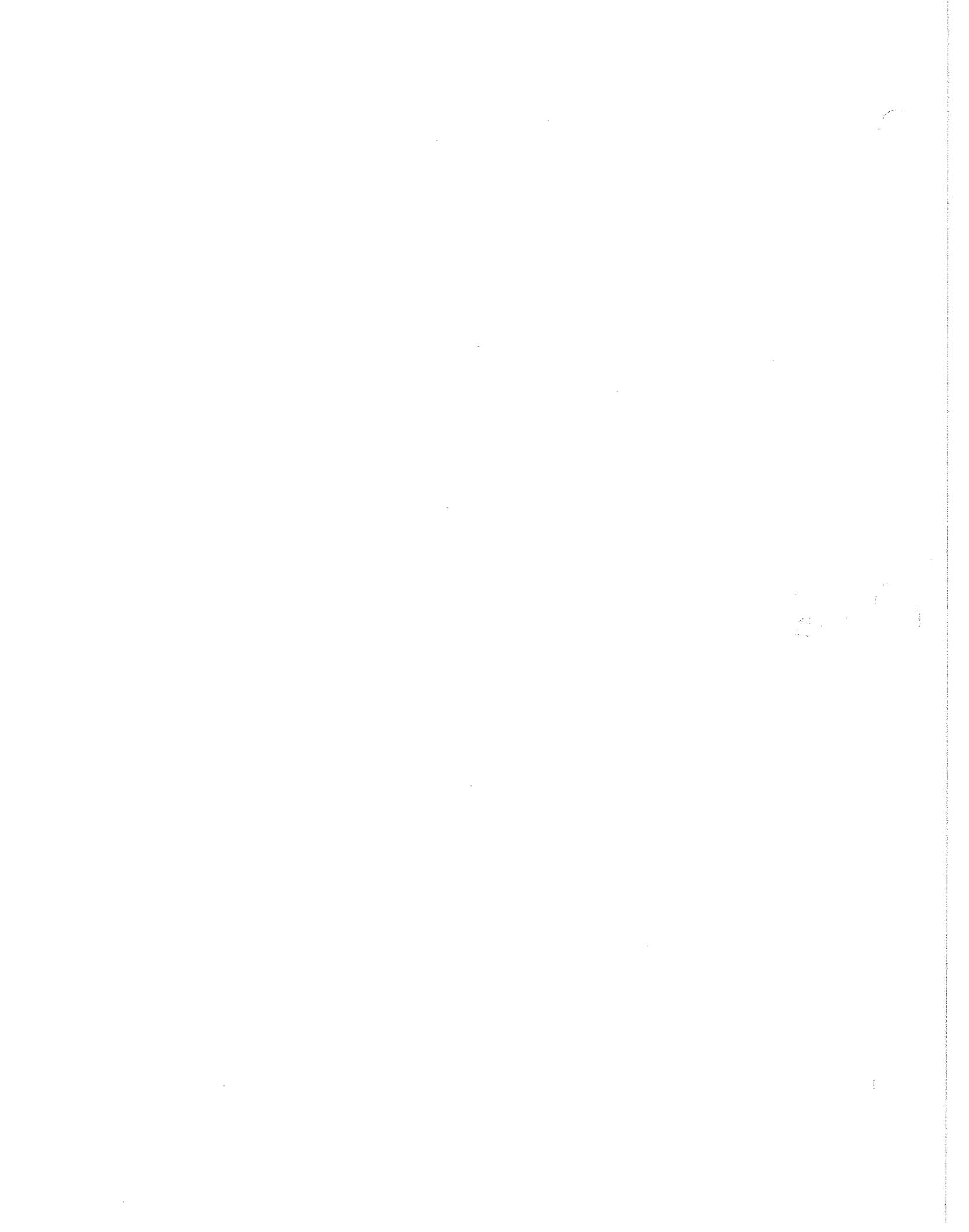
CRIS RESOURCE ALLOCATION SCHEDULE  
(Sample Location)

	MU TOTAL		1220-20790-005		1220-20790-006	
	FTE	DOLLARS	%	FTE	%	FTE
Accounting Code X011220200 Research Management Unit B						
SALARIES:						
Research Leader	1.0	74.6	30	.3	70	.7
Research Scientist	1.0	30.8	50	.5	50	.5
Research Scientist	1.0	30.8	40	.4	60	.6
Research Scientist	1.0	30.8	60	.6	40	.4
<u>SY SUBTOTAL</u>	4.0	167.0		1.8		2.2
Research Technician	.5	10.0	-	-	100	.5
Research Technician	1.0	22.0	100	1.0	-	-
Research Technician	1.0	22.0	-	-	100	1.0
Research Technician	1.0	22.0	100	1.0	-	-
Tractor Operator	1.0	15.0	50	.5	50	.5
<u>SUBTOTAL - ALL SALARIES</u>	8.5	258.0		4.3		4.2
ALL OTHER:						
Travel		6.0				2.0
Supplies and Materials		23.0				8.0
Other		15.0				9.0
<u>SUBTOTAL - ALL OTHER</u>		44.0				19.0
<u>TOTAL FUNDS (PERM &amp; TEMP) NET TO MU/CRIS</u>	8.5	302.0		4.3		4.2
CRIS PERCENTAGES		(100%)		(48%)		(52%)
(LESS) TEMPORARY FUNDS		- 10.0		- 6.0		- 4.0
<u>TOTAL PERMANENT FUNDS NET TO MU/CRIS</u>		292.0		139.1		152.9
INDIRECT RESEARCH COST ASSIGNMENT (Exhibit 3)	.6	29.2		.3		.3
SHARED RESEARCH COST ASSIGNMENT (Exhibit 3)	1.1	17.2		.5		.6
<u>TOTAL MU/CRIS NET TO LOCATION</u>	10.2	348.4		5.1		5.1
	====	=====		====		====



CRIS RESOURCE ALLOCATION SCHEDULE  
(Sample Location)  
(\$ in 000's)

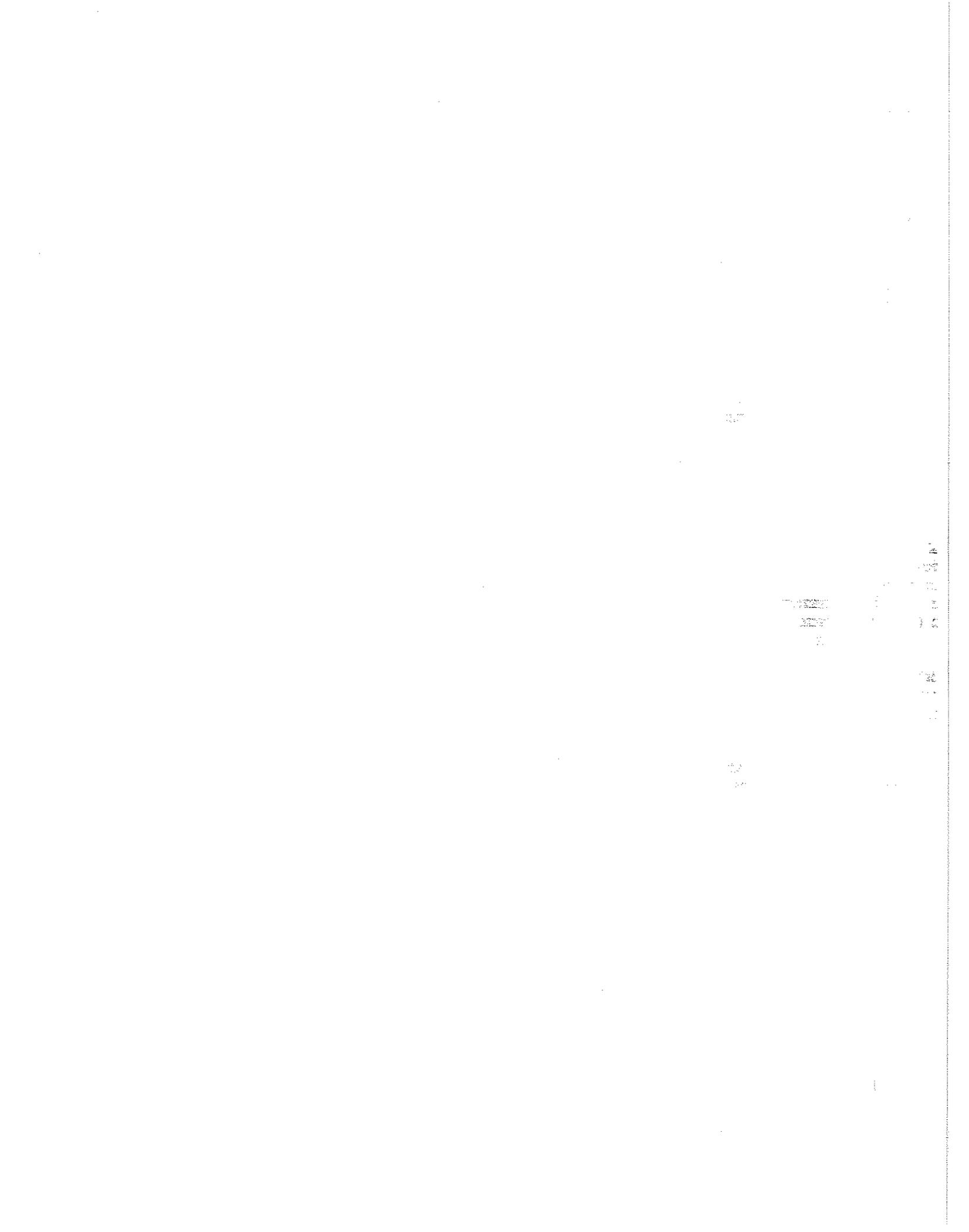
	1220-20740-012		1220-20760-002		1220-20760-003	
	FTE	DOLLARS	FTE	DOLLARS	FTE	DOLLARS
Accounting Code: X011220300						
Research Management Unit C						
SALARIES:						
Research Leader	1.0	49.4	10	4.9	30	14.8
Scientist	1.0	35.0	100	35.0	-	-
Scientist	1.0	35.0	-	-	50	17.5
Scientist	1.0	35.0	-	-	100	35.0
<u>SY SUBTOTAL</u>	4.0	154.4	1.1	39.9	2.1	82.2
Research Technicians	1.0	22.0	100	22.0	-	-
Research Technicians	1.0	22.0	-	-	100	1.0
Research Technicians	1.0	22.0	-	-	40	8.8
Research Technicians	1.0	22.0	-	-	100	1.0
Tractor Operator	1.0	15.0	-	-	100	15.0
<u>SUBTOTAL - ALL SALARIES</u>	9.0	257.4	2.1	61.9	4.5	128.0
ALL OTHER:						
Travel		18.0		5.0		3.0
Supplies and Materials		30.0		4.0		2.0
Equipment		85.0		45.0		-
Other		20.0		-		10.0
<u>SUBTOTAL - ALL OTHER</u>		153.0		54.0		15.0
<u>TOTAL FUNDS (PERM &amp; TEMP)</u>	9.0	410.4	2.1	115.9	4.5	212.0
<u>NET TO MU/CRIS</u>		(100%)		(27%)		(21%)
CRIS PERCENTAGES						
(LESS) TEMPORARY FUNDS						
TOTAL PERMANENT FUNDS		410.4		115.9		212.0
<u>NET TO MU/CRIS</u>	.6	26.7	.1	5.9	.4	16.1
IRC ASSIGNMENT (Exhibit 3)	1.0	37.1	.2	3.1	.6	17.8
SRC ASSIGNMENT (Exhibit 3)	10.6	474.2	2.4	124.9	5.5	245.9
<u>TOTAL MU/CRIS NET TO LOCATION</u>	10.6	474.2	2.4	124.9	5.5	245.9



CRIS RESOURCE ALLOCATION SCHEDULE  
(Sample Location)  
(\$ in 000's)

Accounting Code: X011220400  
Research Management Unit D

	FTE	TOTAL DOLLARS	%	FTE	\$
				220-20740-003	
<u>SALARIES:</u>					
Research Leader	1.0	49.0	100	1.0	49.0
Research Scientist	1.0	35.0	100	1.0	35.0
Research Scientist	1.0	40.0	100	1.0	40.0
<u>SY SUBTOTAL</u>	3.0	124.0		3.0	124.0
Research Technician	1.0	24.0	100	1.0	24.0
Biological Aid	1.0	15.0	100	1.0	15.0
Biological Aid	1.0	18.0	100	1.0	18.0
Biological Aid	1.0	14.0	100	1.0	14.0
Tractor Operator	1.0	15.0	100	1.0	15.0
Tractor Operator	1.0	15.0	100	1.0	15.0
Tractor Operator	1.0	15.0	100	1.0	15.0
<u>SUBTOTAL - ALL SALARIES</u>	10.0	240.0		10.0	240.0
<u>ALL OTHER:</u>					
Travel		9.0	100		9.0
Research Support Agreement		15.0	100		15.0
Supplies and Materials		10.0	100		10.0
Other		7.0	100		7.0
<u>SUBTOTAL - ALL OTHER</u>		41.0			41.0
<u>TOTAL FUNDS (PERM &amp; TEMP)</u>					
<u>NET TO MU/CRIS</u>	10.0	281.0		10.0	281.0
<u>CRIS PERCENTAGES</u>					
(LESS) TEMPORARY FUNDS		--	(100%)		--
<u>TOTAL PERMANENT FUNDS NET TO MU/CRIS</u>		281.0			281.0
<u>INDIRECT RESEARCH COST ASSIGNMENT</u>	.6	45.3		.6	45.3
<u>SHARED RESEARCH COST ASSIGNMENT</u>	.7	46.4		.7	46.4
<u>TOTAL MU/CRIS NET TO LOCATION</u>	11.3	372.7		11.3	372.7



POSITION CATEGORY CODES

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The Position Category Code appears as the first character of the position number on the PSP. (Official Position Category Codes and position numbers are assigned only by PD.) These codes are critical to position identification and information retrieval in a variety of administrative systems and for reporting purposes throughout ARS, to the Department and beyond. The codes and their definitions are:

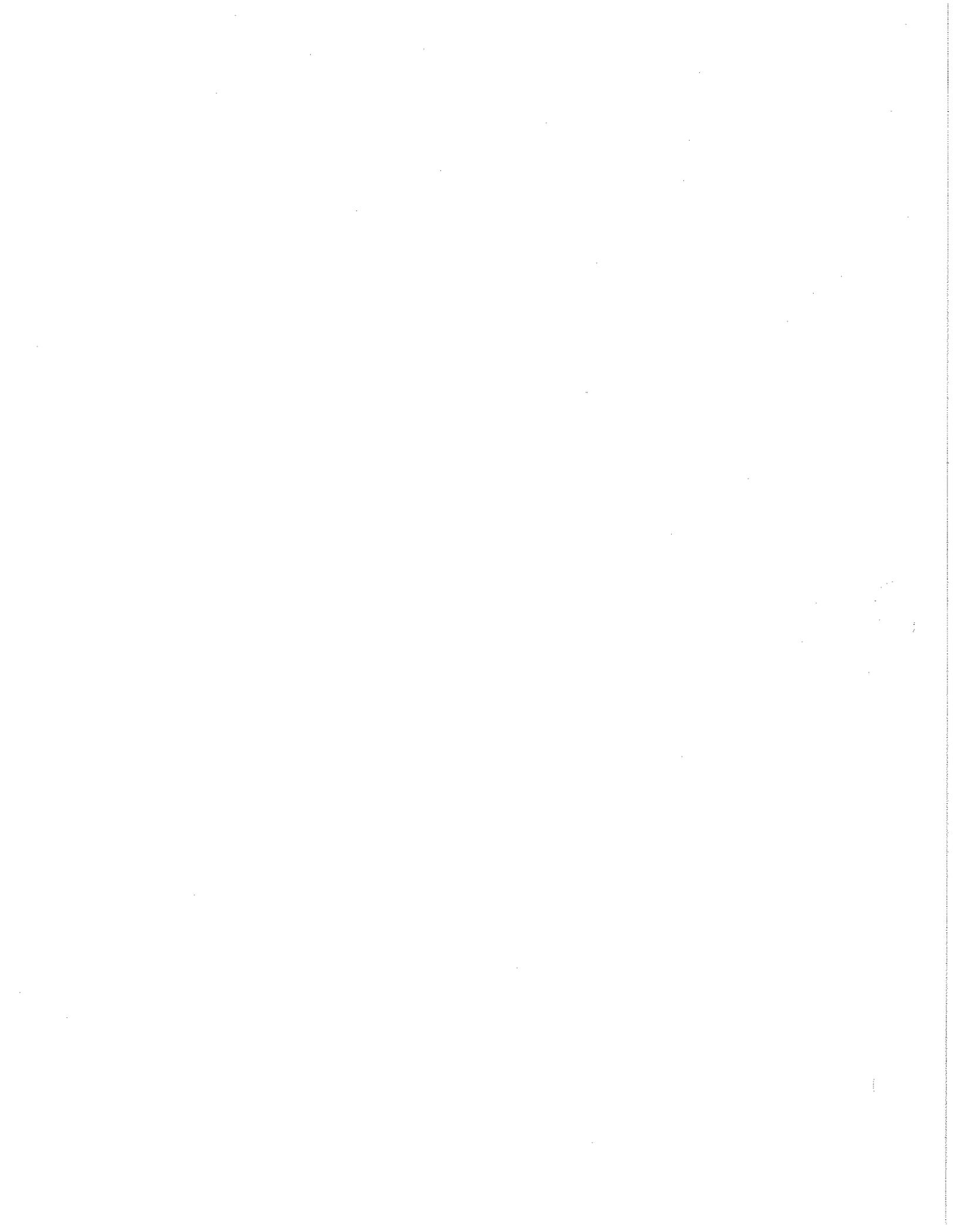
CODE 1. RESEARCH SCIENTIST (SY) POSITIONS {established on a permanent basis} (referred to as "Category 1") where the highest level of work, for a major portion of time, involves personal conduct and/or leadership of theoretical and experimental investigations primarily of a basic or applied nature. Category 1 positions that meet the Merit Pay Supervisory/Manager definitions will remain in this code. Examples: Laboratory Directors, Laboratory Chiefs, Research Leaders, and Supervisory Research Scientists (Directive 431.3).

CODE 2. {NON-PERMANENT RESEARCH/SERVICE SCIENTISTS are professional scientific positions which are established on a non-permanent basis; are filled through temporary or term appointments; and, entail research and/or service science work. Examples: Research Associates, Visiting Scientists, individuals reemployed in ARS after having retired from Category 1 or Category 4 positions.}

CODE 3. SUPPORT SCIENTIST POSITIONS are professional scientific positions which function to provide direct support or service to one or more positions in Categories/Codes 1 or 4; are responsibly involved in one or more, but not all, phases of research (particularly not the problem selection and definition phases); and participate responsibly in the analysis and preliminary interpretation of data, but are not responsible for the final interpretation and conclusion which relate the results to the field of research involved (Directive 431.3).

CODE 4. SERVICE SCIENTIST (SY) POSITIONS {established on a permanent basis} where incumbents serve as project or program leaders over, or personally perform, work assigned to ARS which involves professional scientific services to the public or to other Government agencies (Directive 431.3).

CODE 5. TECHNICIAN/AID/ASSISTANT POSITIONS (NON-ENGINEERING & NON-SCIENTIFIC) include all technicians, aids, and assistants in non-engineering and non-scientific single-interval occupational series (EXCEPT those within the GS-300 group). Examples include: Safety Technician, Personnel Assistant, Accounting Technician, Purchasing Agent, Procurement Assistant, Library Technician, Supply Clerk, Personnel Clerk, Photographer, Guard, Firefighter, etc.



### Position Category Codes

The Position Category Code appears as the first character of the position number on the PSP. (Official Position Category Codes and position numbers are assigned only by PD.) These codes are critical to position identification and information retrieval in a variety of administrative systems and for reporting purposes throughout ARS, to the Department and beyond. The codes and their definitions are:

Code 1. Research Scientist (SY) positions are those positions (referred to as "Category 1") where the highest level of work, for a major portion of time, involves personal conduct and/or leadership of theoretical and experimental investigations primarily of a basic or applied nature. Category 1 positions that meet the Merit Pay Supervisory/Manager definitions will remain in this code. Examples: Laboratory Directors, Laboratory Chiefs, Research Leaders, and Supervisory Research Scientists (Directive 431.3).

Code 2. Research Affiliate positions are professional scientists who perform all phases of research except problem selection. These positions are established for a maximum of 2 years at grades GS-7 or -9, and are encumbered only by scientists who have gained their Ph.D.'s within 24 months prior to the proposed appointment date. Research Affiliates perform limited research projects on problems selected by Research Leaders in direct support of the mission of the unit where the position is established. Category 2 positions are classified via application of position classification standards rather than the Research Grade Evaluation Guide.

Code 3. Support Scientist positions are professional scientific positions which function to provide direct support or service to one or more positions in Categories/Codes 1 or 4; are responsibly involved in one or more, but not all, phases of research (particularly not the problem selection and definition phases); and participate responsibly in the analysis and preliminary interpretation of data, but are not responsible for the final interpretation and conclusion which relate the results to the field of research involved (Directive 431.3).

Code 4. Service Scientist (SY) positions serve as project or program leaders over, or personally perform, work assigned to ARS which involves professional scientific services to the public or to other Government agencies (Directive 431.3).

Code 5. Technician/Aid/Assistant positions (Non-Engineering and Non-Scientific) include all technicians, aids, and assistants in non-engineering and non-scientific single-interval occupational series (except those within the GS-300 group). Examples include: Safety Technician, Personnel Assistant, Accounting Technician, Purchasing Agent, Procurement Assistant, Library Technician, Supply Clerk, Personnel Clerk, Photographer, Guard, Firefighter, etc.

Code 6. Specialist positions perform managerial, advisory, or administrative work based upon established principles which require training equivalent to that represented by college graduation and are typically in two-grade interval series. This code will encompass non-SY staff scientists and staff specialists. Examples include: Area Director, Center Director, Deputy Administrator, Agricultural Administrator, Safety Specialist, Personnel Officer, Personnel Staffing Specialist, Position Classification Specialist, Computer Specialist, Administrative Officer, Program Analyst, Accountant, Public Affairs Specialist, Technical Publications Writer, Facility Management Specialist, Budget Officer, Librarian, etc.

Code 7. Technician/Aid/Assistant positions (Engineering and Scientific Support) includes technician, aid, and assistant positions in one-grade interval series within the GS-400, 600, 700, 800, 1300, and/or 1500 groups. Examples include: Biological Technician/Aid, Electronics Technician, Hydrologic Technician, Statistical Assistant/Clerk, Physical Science Technician/Aid.

Code 8. Trade and Craft Occupations are positions having trade or craft knowledge as the paramount qualifications requirement. Examples: Boiler Plant Operator Foreman, Animal Caretaker Leader, Laborer, Farmer, Tractor Operator, etc.

Code 9. Administrative Support Occupations (Clerical/Secretarial) are general occupations involved in structured work in support of office operations within one-grade interval series in the GS-300 occupational group. Examples: Clerk-Typist, Secretary, Clerk-Stenographer and Reporter, Computer Operator, Administrative Technician/Clerk, Management Assistant/Clerk, etc.

Code 0 (Zero) includes all positions that do not fit any of the above codes. Examples: Student Trainee (Biology); Student Trainee (Chemistry); Student Trainee (Accounting); Summer Aid positions (i.e., YV pay plan); Student Aid positions (i.e., YW, GW, and WW pay plans); Consultant and Expert positions; Collaborators; etc.

Code G. Intergovernmental Personnel Act (IPA) is used for employees serving a temporary assignment between ARS and States, local governments, institutions of higher education, Indian Tribal governments, or other organizations under Title IV of the Intergovernmental Personnel Act of 1970 (PL 91-648), as amended by the Civil Service Reform Act of 1978 (PL 95-454).

Annual Operating Plan  
Basic Budget Object Classifications

Travel of Persons (2100) - Includes transportation costs, per diem or actual subsistence allowances, cost of house-hunting expenses for transfer of station, and commercial and GSA car rentals.

Transportation of Things (2200) - Includes shipment of household goods, freight, express charges, GSA and non-GSA truck rentals.

Rent, Communications & Utilities (2300) - Includes rental of ADP software, rental of ADP office and copier equipment; Telegraph service, Telephone toll charges (non-FTS).

Printing and Reproduction (2400) - Includes printed envelopes and letterheads; printing and binding; reproduction/duplicating via photocopying, micro-film and micro-fiche processes.

<Contractural and> Other Services (2500) - Includes equipment maintenance contracts, research contracts, data processing services performed by the Washington Computer Center, training and tuition fees, registration fees for attendance at meetings.

Repair and Maintenance (2530) - Includes repair, alteration or maintenance of structures or equipment.

Research Support Agreements (2554) - As distinguished from Specific cooperative agreements.

Supplies and Materials (2600) - Includes ADP related supplies, office supplies, subscriptions to scientific magazines and other publications.

Equipment (3100) - Includes scientific equipment, ADP hardware, office machines (calculators, dictating equipment, typewriters, etc.), reproduction equipment, furniture, motor vehicles.

<Lands and Structures (3200) - Includes land and interest in land; buildings and other structures; additions to buildings; nonstructural improvements; fixed equipment when acquired under contract. All acquisitions under this object class are capitalilzed.>

Extramural (4000) - Includes specific and general cooperative agreements, research grants and contracts.

## PREPARATION OF FACILITIES PLAN

1. In order to ensure correct characterization of construction and the phase that is contemplated, the description field of the facilities plan will require specific project title formatting and use of key acronym and symbol descriptors.

2. Acronyms/Key Action Words/Symbols:

o Facility Construction Program Acronyms:

RM--Repair and Maintenance  
ER--Energy Retrofit  
TPA--Ten Percent Alteration  
TSB--Ten Small Building  
USB--Unlimited Small Building  
HH/GH--Headhouse Greenhouse  
MISC--Miscellaneous

o Key action words to be used in project title:

"Construct"  
"Renovate"  
"Alter"  
"Repair"  
"Replace"  
"Remove"  
"Modify"  
"Upgrade"  
"Install"

o Project Activity Symbols:

S--Study  
D--Design  
C--Construction

3. When writing a narrative (limit to 192 characters), the project title (all caps) will be formulated in the following manner:

o First, identify the facility construction program using one of the acronyms above.

o Second, identify a key action word from the list above which describes the ultimate project activity to take place; i.e., construct, renovate, etc.

o Third, identify size (approximate sq. ft., if applicable) and what physical feature of the facility the project will affect; i.e., HVAC, fume hood, lab, animal facility, administration building, electrical system, etc. Be sure to include building or lab number as appropriate as well as the phase (if applicable). If TPA or R&M authorization is being requested, include the

current replacement value of the federally owned or long term lease building in the field designated "Replacement Value". The replacement value calculated should be for construction of a building with the same functional purpose, but not necessarily the same construction.

o Identify last in parenthesis, the project activity symbol; i.e., (D), (C), (D&C) etc.

4. If a study or design has been accomplished in a previous fiscal year, a short history of the fiscal year and method; i.e., in-house and/or contract will be required. Also include a statement of whether the completed study/design was base or HPRL funded.

5. In cases of design and construct requests, include a justification for accomplishing both activities within the same fiscal year.

6. Examples:

o "RM REPLACE HVAC, AND MODIFY FUME HOODS BLDG. 2. (D). No S has been conducted.

"TSB CONSTRUCT 1800 SQ. FT. SMALL ANIMAL FACILITY (C). A-E D completed in 1986. Cost was base funded for \$25K".

o "USB CONSTRUCT 500 SQ. FT. CHEMICAL STORAGE FACILITY, (D&C). This is a priority area project due to State of California citation".

o "MISC INSTALL WELL (C). In-house D completed in 1988".

o "RM UPGRADE ELECTRICAL SWITCHGEAR, BLDG. 7 (D). Base funded S was completed in 1989 by A-E. Cost was \$15K".

o "TPA RENOVATE 1000 SQ. FT. CHEMISTRY LAB, BLDG. 004 (D). No S has been conducted".

o "RM REMOVE ASBESTOS, BLDG. 5 (C). HPRL A-E design completed in FY-88. Cost was \$50K".>

# PROJECT SCOPE IDENTIFICATION

Project: \_\_\_\_\_

Location: \_\_\_\_\_

Gross Square Feet: \_\_\_\_\_

o Facility Type:

- Office
- Chemical Research Lab
- High Containment Lab
- Chemical Storage
- Animal Facility

o Construction Program:

- R&M  TPA  USB
- ER  TSB  HH/GH  MISC

o Real Property:

Own  Lease  Repl. Value \$ \_\_\_\_\_

**A. SITE WORK**

1. Demolition
  - Standard Bldg. Demolition
  - Asbestos Removal
  - PCB Removal
2. Site Preparation & Improvements
  - Clearing
  - Site Grading
  - Paving & Surfacing
  - Curbs, Rails & Barriers
  - Walks
  - Fences & Gates
  - Signs
  - Flagpoles
  - Landscaping
3. Site Utilities
  - Water Supply & Distribution
  - Potable  Fire Protection
  - Process  Irrigation System
  - Drainage & Sewage Systems
  - Storm  Sanitary
  - Process & Acid Waste
  - Heating & Cooling Systems
  - Heating  Cooling
  - Electrical Distribution
  - Overhead  Underground

**C. ARCHITECTURAL SYSTEMS**

1. Exterior Closures
  - Exterior Walls
  - Insulation & Vapor Barriers
  - Ext. Window & Hardware
  - Glazed  Solid  Revolving
  - Overhead
  - Store Fronts
  - Caulking
2. Roofing
  - Roof Covering
  - Membrane  Shingles & Tile
  - Preformed  Sheet Metal
  - Roof Insulation & Fill
  - Flashings
  - Gravel Stops
  - Fascia & Eaves
  - Gutters & Downspouts
3. Interior Construction
  - Interior Partitions
  - Fixed  Demountable
  - Retractable
  - Interior Doors & Hardware
  - Wall Finishes
  - Floor Finishes
  - Ceiling
  - Suspended  Drywall  Special
  - Toilet Accessories
4. Conveying Systems
  - Elevators
  - Passenger  Freight
  - Dumbwaiters
  - Pneumatic Tube System

**D. MECHANICAL SYSTEMS**

1. Plumbing
  - Domestic Water Supply System
  - Cold Water  Hot Water
  - Sanitary Waste & Vent System
  - Rainwater Drainage System
  - Plumbing Fixtures
  - Lavatories  Mop Sinks
  - Service sinks  Showers
  - Urinals  Water Closets
  - Drinking Fountains & Coolers

**2. HVAC**

- Energy Supply System
  - Oil  Gas  Steam
  - Heat Generating System
  - Steam Boilers
  - Hot Water Boilers
  - Furnaces
  - Cooling Generating System
  - Cooling Water  DX
  - Distribution Systems
  - Air
  - Exhaust Ventilation
  - Steam  HW  CHW
  - Controls & Instrumentation
  - Testing & Balancing
3. Fire Protection
    - Water Supply
    - Sprinkler System
    - Wet  Dry
    - Standpipe Systems
    - Fire Extinguishers & Cabinets
  4. Special Mechanical
    - Acid Waste Systems
    - Waste Treatment Devices
    - Process Heating
    - HEPA
    - Airlock

**F. EQUIPMENT**

- Fixed & Movable
  - Fume Hoods
  - Safety Cabinets
  - Greenhouse Benches
  - Stationary
  - Rolling Top
  - Growth Chambers
  - Incinerators
  - Waste Compactors
  - Darkroom Equipment
2. Furnishings
    - Blinds
    - Curtains & Drapes

**G. SPECIAL CONSTRUCTION**

1. Prefabricated Assemblies
  - Special Purpose Room
  - Greenhouse Structure
  - Standard
  - Compartmentalized
  - Thermal Curtains
  - Temporary Facility
  - Chemical Storage Facility

**B. STRUCTURAL SYSTEMS**

1. Foundations
  - Wall Footings
  - Column Footings
  - Excavating & Backfilling
  - Dewatering
  - Form Work
2. Substructure
  - Slab Construction
  - Backfill & Compaction
  - Foundation Drainage
  - Moisture Protection
3. Superstructure
  - Floor Construction
  - Roof Construction
  - Flat  Pitched
  - Canopies
  - Catwalks
  - Ramps
  - Stair Construction
  - Regular  Ext. Fire Stairs

**E. ELECTRICAL**

1. Service & Distribution
  - Transformer
  - Switchgear
  - Motor Control Centers
  - Services
2. Lighting & Power
  - Branch Wiring & Devices
  - Lighting Equipment
  - Fluorescent
  - Incandescent
  - HID  Mercury Vapor
3. Special Electrical
  - Emergency Light & Power
  - Lightning Protection
  - Communications
  - Computer Data Transmission
  - Fire Alarm System
  - Security System

**BUDGET COST ESTIMATE**

ESTIMATOR: \_\_\_\_\_

DATE: \_\_\_\_\_

PROJECT: \_\_\_\_\_  
LOCATION: \_\_\_\_\_  
GROSS SQUARE FEET: \_\_\_\_\_

SUMMARY OF COST

CONSTRUCTION \$ \_\_\_\_\_  
A-E SERVICES \$ \_\_\_\_\_  
PROJECT COST = \$ \_\_\_\_\_

CONSTRUCTION COST

A-E SERVICES COST

CONSTRUCTION ELEMENTS	QTY	UNIT	UNIT COST	TOTAL COST	ACTIVITIES	% ECC	TOTAL COST
<b>A. Site Work</b>					oPredesign Phase:	(4%)*	
1. Demolition					POR Development		
2. Site Prep. & Improv.					Inv. Report		
3. Site Utilities					Env. Assessment		
<b>B. Structural Systems</b>					TOPO Survey		
1. Foundations					Sub-Surface Survey		
2. Substructure					SUBTOTAL		
3. Superstructure					oDesign Phase:	(10%)*	
<b>C. Architectural Systems</b>					Building Survey		
1. Exterior Closure					Design Develop.		
2. Roofing					Design Review		
3. Interior Const.					SUBTOTAL		
4. Conveying Systems					oBid Phase:	(3%)*	
<b>D. Mechanical</b>					Sol. Review		
1. Plumbing					Reproduction		
2. HVAC					Sol. Release		
3. Fire Protection					Prebid Conf.		
4. Special Mechanical					Sol. Amend.		
<b>E. Electrical</b>					Bid Evaluation		
1. Service & Distribtn.					SUBTOTAL		
2. Lighting & Power					oConstruction Phase:	(5%)*	
3. Special Electrical					Precon Conf.		
<b>F. Equipment</b>					Shop Drawings		
1. Fixed & Mvble.Equip.					Const. Inspection		
2. Furnishings					Payment Review		
<b>G. Special Construction</b>					Change Orders		
					As-Built		
					O&M Manual		
					SUBTOTAL		
					oAsbestos Abatement:	(Job Specific)	
					Building Survey		
					Samples/Testing		
					Assessment		
					Bid Documents		
					SUBTOTAL		
<b>TOTAL ECC</b>							
<b>Overhead and Profit</b>			20%				
<b>Contingencies</b>			10%				
<b>Escalation to Mid-Point @ 6% per year</b>							
<b>GRAND TOTAL ECC</b>							
<b>Cost Added for (8A) Contract</b>			20%				
<b>ADJUSTED GRAND TOTAL ECC</b>					<b>TOTAL A-E COST</b>		

Historical lump sum average for each phase of A-E services for projects greater than \$100k.

SAMPLE  
State of the Area  
FY 19XX

Cropland, South Carolina

The Cotton Laboratory was restructured to emphasize research on development of quarantine treatments and supporting chemistry, including pheromone identification and purification. The Laboratory is approaching adequate funding as the result of a series of management initiatives, including reduction in staffing and greater emphasis on laboratory automation. The lease on the present facilities will expire September 30, 1987, and prompt action is required to seek renewal of lease or substitute facilities.

<The Horticulture Laboratory continues to be a highly productive unit under our top ranking scientist with over four articles referred per PFT SY. Restructuring of the Lab has been done this cycle combining three positions vacated by retirements into two, increasing the funding available for operating needs. The 4% R&M requirement is waived since this unit is in State facilities.>

Plant City, Georgia

The MU's at this location are well funded for the first time in many years as a result of a highly selective backfill policy relative to positions vacated through attrition. The vastly improved funding situation has permitted us to embark on ambitious and quite necessary programs to: 1) adequately maintain and, where necessary, rehabilitate our facilities, with special attention given to safety and health hazards, and 2) effect equipment acquisitions to maintain pace with state-of-the-art technological developments. We continue to be concerned about three items at this location: de-emphasis of the sunflower research, time required for full development and implementation of the redirected effort on guar research, and insufficient interest and support for the energy research programs.

Summerville, Florida

Dr. Terry Bender has done an outstanding job managing a location which when he assumed leadership had severe morale problems, inequitable distribution of resources among scientists, dilapidated facilities, personnel excess to needs, a research program that had expanded beyond the resources available, and poor cooperative and public relations. Dr. Bender has developed a facilities plan in cooperation with the Area Engineer, has already initiated a number of facility renovation projects, successfully dealt with the personnel problems, reduced operational costs, and has improved cooperative relationships, as well as relationships with the citrus industry. Although significant savings have been effected and efficiencies achieved as the result of the various management improvements, the location needs Agency help for some major renovations of its facilities.

