

APPENDIX E. INSTRUCTIONS FOR INVESTMENT COMPONENTS

Part I. INVESTMENT PLAN DESCRIPTION GUIDELINES AND EXAMPLES

General

All Investment Plans (IP) should include the following:

- Program purchase is related to
- Brief description of program
- Explanation of why there is a need for item/investment and why the investment is needed to accomplish the mission of the program
- Description of how cost estimate was derived (i.e. historical knowledge, vendor quote, etc.)
- Itemized cost estimate
- Statement that present means will not cover the purchase
- Match total investment amount, total contribution amount, and total expenditure amount

WCF is not appropriate for:

- Normal operating expenses
- Repair and maintenance
- Reserve, “bank” or “dump” funds
- Building construction (above standard costs and renovations acceptable)

Equipment

IPs in the Equipment fund (4556E) should also include:

- Type of equipment to be purchased, including as many specifics as possible
- How many items will be purchased/replaced each year
- If more than one purchase is planned, include listing with specifics for each item
- Where/how new equipment will be used
- Estimated cost for each purchase
- Useful life of equipment to be replaced
- Condition of equipment to be replaced
- Description of efficiencies achieved with new purchase

Examples of existing IPs with good descriptions:

Agreement No.	Description
<i>Motor Vehicle, Trailers & Cycles</i>	
CAWC00700	The purpose of this investment plan is to identify monetary contributions and expenditures for vehicle replacement needs in the USGS California Water Science Center data section. We maintain 45 I-vehicles. The average life cycle is seven years and we average replacing five vehicles per year. The average cost of \$27,000 per vehicle.
OR9700100	Oregon Science Center maintains a fleet of 20 vehicles, each with an average life

Agreement No.	Description
	span of 5 to 8 years. This plan was established to allow for the purchase of 2 to 3 new vehicles per year on a rotating basis at an estimated cost of \$25K per vehicle.
<i>Instruments & Lab Equipment</i>	
CAWC00800	The purpose of this investment plan is to identify monetary contributions and expenditures for scientific instrument replacement needs to the USGS California Water Science Center. The center is composed of a district office located in Sacramento, California, a project office located in San Diego, California, seven field offices, and two satellite offices; and is comprised of over 300 employees. Current, up-to-date with constantly changing technology to provide the best science to our customers. We anticipate needing to purchase flow trackers, DCP's, ADCP's, satellite transmitter radios, data loggers, and sensing equipment. Cost of this equipment ranges from \$5,000 to \$30,000 and new technology gives these items a life span of about five years.
KS0205100	The purpose of this WCF is to purchase a replacement for the Kansas District's mass-spectrometer (\$300,000 in FY06), high rate DCPs (average 15/yr @ \$3000 ea), and real time water quality sondes (\$10,000/sonde), plus misc probes (ave \$53,000/yr). The large one time cost of the mass-spectrometer and the recurring costs of these items are not able to be borne through the normal annual budgeting for the projects. The acquisition of this equipment is critical to the continued functioning of the project and its support of the other USGS research projects.
<i>General Purpose ADP Equipment</i>	
03W39354E70	<p>Security Driven –</p> <ol style="list-style-type: none"> 1. New backup software. OSU provide us we the Legato backup software we currently use to perform our backups. The USGS IT Security review says that data has to be stored on completely on site now. To do this we need to purchase our own copy of legato in FY 2005. Estimated Cost \$10,000 2. New Windows SMS server. For patch management, policy enforcement, and inventory requirements. We plan to acquire this Server in FY 2006 at a cost of \$5,000 <p>Failure Driven –</p> <ol style="list-style-type: none"> 1. We currently house around 12 servers for networking functionality. These systems have an average age of about 3 – 4 years. Hardware failure unpredictable. We estimate that replacement cost for failed servers is about \$5,000 and anticipate replacing one or two servers in FY 2006. <p>Expanding Capability –</p> <ol style="list-style-type: none"> 1. Due to the growth in personnel and of datasets per person, the data storage and backups requirements increase every year. We estimate that to keep up with this demand requires either upgrade or full replacement of some existing servers. This has been an average of one server per year at an average cost of \$7,000 per server starting in FY 2006. 2. In addition to keeping up with existing services we also strive to offer new services to improve efficiency. Currently we have no direct data sharing capabilities to our two remote field stations. This resorts in the inefficient use of physically mailing physical media. To improve on this, in the next two years we plan to purchase new hardware to facilitate expanding our existing Active Directory to our two remote field stations. This would require the purchase of tow new servers to manage security and policy requirements. This would come to a total of an estimated \$10,000 and should occur in FY 2006. <p>The limited useful life cycle and our annual appropriations limit our ability to replace, upgrade, and purchase new IT equipment that is critical to the scientific mission of the Center.</p>
04C48626E70	Ruggedized field laptops for data section w/port replicators and led monitors

Agreement No.	Description
	<p>\$35,000. Standard office laptops have not proven reliable for desktop replacements for Science Center. ~12 desktops per year on a 4-yr replacement cycle (\$91,500). Replacement for current HP 800 PS wide-bed high-resolution inkjet printer (\$8,000)</p> <p>Replacement for Windows AD Server (\$8,000). Rack mountable dual processor system.</p> <p>Replacement for UNIX server (\$7,500). The current system is becoming unreliable and will need to be replaced.</p>
CRESP7370000102	<p>The Central Region Earth Surface Processes Team uses large-scale computing resources for climate and land-surface computer modeling, GIS, remote sensing, image analysis applications, and digital photogrammetry. These systems are typically high-end desktop workstations running UNIX, Windows or Mac OS, and associated software and peripherals such as large-format plotters, digitizers, and scanners. These applications typically consume large amounts of processor speed, memory, and disk space. To support collaborative computing we also employ large disk servers and a high-speed networking infrastructure. Prices for disk servers commonly run in the \$25,000-\$100,000 range. High-end desktop workstations and servers are priced from \$10,000-\$50,000. Peripherals such as plotters, scanners, and banks of high-speed network switches and routers generally cost \$15,000-\$40,000 each. The useful lifespan of this equipment (the time from purchase until the technology and/or software has obsoleted the equipment) typically runs about three years. The ESP Team foresees making continued and increased use of computer modeling, GIS, remote sensing, image analysis, and photogrammetry applications. Due to the high cost of these computer resources and the need to replace them in the 3-5 year timespan, the ESP Team intends to budget for their purchase and eventual replacement through a Working Capital Fund. These resources are critical to the mission of the Central Region Earth Surface Processes Team, therefore it is essential that we establish this Working Capital Fund to ensure that we will be able to acquire the necessary computing resources as our existing equipment ages and future needs arise.</p>

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- Building construction (above standard costs and renovations acceptable)

Publications

IPs in the Publications fund (4556P) should also include:

- Description of need for publication
- Description of what publications have been produced in past with prior year investments, if applicable
- Description of where publication will be displayed or what customer publication will be provided to
- Estimated number of publications to be produced within an established timeline

Examples of existing IPs with good descriptions:

Agreement No.	Description
023308WCF002	<p>Scientific information is not published until the peer review, editing, design and layout, and preprinting stages of a product are complete. These stages can last anywhere from 1 to 5 years in general. Resource managers, scientific peers, decision makers, and the general public all benefit from the publication of USGS and partner science. Prior Publications and Dissemination: In 2003-04, four publications were printed using WCF funding for a total cost of \$15,6900: Strategic Plan for the Coordinated Intermountain Restoration Project; Coefficients of productivity for Yellowstone's Grizzly Bear Habitat; waterfowl Migration on Klamath Basin National Wildlife Refuges 1953-2001: these are all USGS series reports and have core dissemination to USGS offices and libraries, including cooperative fish and wildlife research units as well as to individual mailings by authors to specific technical audiences. Copies are available from both the NERC library and the author. North American waterfowl Management plan: Gulf Coast Joint Venture: Initiative Plans CD-ROM was delivered to USFWS partner who has made it available from both the NWRC library and the USFWS partner. Currently, four products are underway for publication plus miscellaneous USGS printing: Miscellaneous USGS printing (e.g., folders) \$2,784 FY05 Potential Impacts of Climate Change on Grassland Bird Distributions \$2,600 FY05-06 Results of the Fourth Joint US-USSR Bering and Chikchi Seas Expedition \$4,200 FY-06 Assessment of Changes to Coastal Habitats Related to OCS-Related Pipelines, Pipeline Canals, Navigation Canals, and Mitigation Activities in the Western and Central Planning of the Gulf of Mexico and/or miscellaneous USGS printing \$7,400 FY06 Misc fact sheets/publication \$9,900 FY07.</p>
04W79937P80	<p>The WESP Team conveys the research findings of its project members in geologic maps, geospatial databases, and scientific reports. The 20 publications are paid for by funds from this IP and includes Pubs MO3-5031 through MO4-6051. In FY 2004, the WESP used approximately \$40,000 of the publications fund to produce a series of professional papers and geologic maps (I-map series). These publications synthesized new data and scientific interpretations applicable to geologic hazards analyses of the West Coast as well as ecosystem investigations of the arid southwest. In FY 2005, the WESP team will use an estimated \$45,000 of the working capital fund to finance the publication of new geologic maps and reports. The publications will support groundwater framework studies with the National Park Service and other DOI agencies and hazards assessment studies in California and the Pacific Northwest. These products help meet the GPRA goals of the National Cooperative Geologic Mapping Program, the Earth Surface Dynamics program, and the Earthquake Hazards programs. Some of the maps will also complete collaborations with other agencies. See the Pubs plan for additional detailed information.</p>

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- Repair and maintenance
- Reserve, "bank" or "dump" funds

Facilities

IPs in the Facilities fund (4556F) should also include:

- Description of the portion of building requiring renovation
- Timeline of renovation or relocation
- Size of space
- If relocating, type of costs to be incurred

Examples of existing IPs with good descriptions:

Agreement No.	Description
NE0203600	<p>The Nebraska District Office is relocating to a newly constructed facility in fiscal year 2005. This move is necessary because existing space size and location is not adequate to meet our mission. The new space will be 19,000square feet plus a wareyard and parking lot. Cost estimates were derived from information from other cost centers that had recently relocated, space and facilities specialists and vendors. Tenant improvement cost \$37,000, security system \$15,000, furniture for office/lab/warehouse \$200,000, shelving \$15,000, cabling for computers \$25,000, movers \$70,000. These costs cannot be paid for in one year from available operation funds.</p>
WA0001000	<p>The plan is set up to invest funds to facilitate an office relocation. The Tacoma USGS Washington Water Science Center is currently located in the Wells Fargo Plaza. The current lease was for 5 years; 2 years firm and three 1 year options beginning January 1, 2002. The Center currently has a bid award packet being reviewed by GSA projects move to January 1, 2002. GSA projects move to occur in 2005.</p> <p>A total of 23,436 square feet of office and related space together with approximately 3,000 square feet of secured outside parking. Space must be located in an office, research, technology or business park that is modern in design with a campus like atmosphere, or an attractively landscaped site containing one or more modern office buildings that are professional image. Satisfactory public transportation must be available within reasonable walking distance of the space offered.</p> <p>GAS has stated the above standard costs for built-out to the contractor in order to relocate could run over \$1,200,000. This cost is to alter the space in order for the office to relocate and is an approved use of WCF investments as documented in WCF handbook Chapter 3.10. In addition, the following costs are projected:</p> <p>1)Physical move of office furniture \$50,000 (Emerald Moving); 2) Cabling for computer data network and phone system \$60,000 (Dean Communications); 3) Computer room raised flooring and ramp (Barclay Dean Architectural); 4) HVAC for computer room \$30,000 (Campbell Co); 5) 20KVA Power Distribution \$20,000 (Campbell Co); 6) Phone system \$50,000-\$100,000 depending is current handsets are used (GSA); 7) Satellite dish on roof \$5,000 (Arva Hudson Inc); 8) Move internet WAN lines \$1,000 flat fee (Qwest); 9) Computer suppression system \$25,000.</p>

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- Reserve, “bank” or “dump” funds

- Building construction (above standard costs and renovations acceptable)

Telecommunications

IPs in the Telecommunications fund (4556D) should also include:

- Type of telecommunications equipment to be purchased, including as many specifics as possible
- How many items will be purchased/replaced each year
- If more than one purchase is planned, include listing with specifics for each item
- Where/how new telecommunications equipment will be used
- Estimated cost for each purchase
- Useful life of telecommunications equipment to be replaced
- Condition of telecommunications equipment to be replaced
- Description of efficiencies achieved with new purchase

Examples of existing IPs with good descriptions:

Agreement No.	Description
02W19183D	<p>The purpose of this Working Capital Investment plan is to implement and fund Western Region Local area Networking infrastructure life-cycle modernization, and security requirements in support of the USGS Science and Business mission objectives.</p> <p>Western Region Local Area Network primary Infrastructure attributes, topology's and protocol requirements include, but not limited to:</p> <ul style="list-style-type: none"> ➤ Information Technology, Telecommunications, Security Contractor Resources ➤ Network Cabling Fiber, Copper, and channel Access Resources ➤ Infrastructure Cabinets and Racks ➤ Hubs, Switches, and Routers Technologies ➤ Message and Packet Routing and Switching Technology ➤ Network Traffic Management, Analysis and Monitoring Resources ➤ Fixed and Streaming Video Resources ➤ Security Hardware and Software Tools and Technology ➤ Security Access Smart Card Access Control Technology ➤ Network Storage, Content, and Knowledge Management Resources <p>These need to be replaced every 3-5 years which usually cost \$150,000.00.</p> <p>The limited useful life cycle and our annual appropriations limit our ability to replace, upgrade, and purchase new LAN infrastructure equipment that are critical to the mission of the office.</p>
03W19183D58	<p>The purpose of this Working Capital Fund investment plan is to Capitalize Network Changes and Upgrades for Western Region Offices and to Address Regional Security Plans and Mandates (USGS & DOI).</p> <p>Western Region Network & Security Infrastructure WCF attributes, topology's and protocol requirements include, but not limited to:</p> <ul style="list-style-type: none"> ➤ Information Technology, Telecommunications, Security Contractor Resources

Agreement No.	Description
	<ul style="list-style-type: none"> ➤ Hubs, Switches, and Routers Technologies ➤ Messages and Packet Routing and Switching Technology ➤ Traffic Management, Analysis and Monitoring Resources ➤ Security Hardware and Software Tools and Technology ➤ Security Access Smart Card Access Control Technology <p>These need to be replaced every 2-5 years which usually cost \$150,000.00.</p> <p>The limited useful life cycle and our annual appropriation limit our ability to replace, upgrade, and purchase new infrastructure equipment that are critical to the mission of the office.</p>

WCF is not appropriate for:

- Normal operating expenses
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- Reserve, “bank” or “dump” funds
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Part II. BASIS+ INSTRUCTIONS FOR ESTABLISHING A NEW INVESTMENT PLAN

The USGS implemented a new module in the Budget and Science Information System Plus (BASIS+) to be used for the Working Capital Fund Investment component Investment Plans and for extracting financial information. The new module was developed to provide better access and control over WCF investments and for improved funds management in accordance with established policies.

Cost centers will enter the WCF agreements by using the Working Capital Fund module in BASIS+. This involves populating the master agreement, the agreement allocation, and the FY funding detail.

To create a new Investment Plan (IP), begin with entering the master agreement information. Minimum IP amount must be \$10,000, with a minimum contribution of \$5,000 in the first year and \$5,000 in the second year. In BASIS+, do the following

Select Cost Center Management, select Agreement Maintenance, select New Agreement, Select Master Agreement - This will bring up the ‘New Master Agreement’ screen. *Data must be entered to continue.*

Enter Cost Center number in Cost Center code block by selecting ‘Values.’

Agreement Type – Select 04-WCF.

Enter master agreement code (use the structure and instructions below).

NOTE: The master agreement code and agreement number for WCF Investments will be the same.

WORKING CAPITAL FUND (WCF) INVESTMENT

AGREEMENT NUMBER STRUCTURE**(Maximum characters/digits = 15)**

WCF Investment	YYRDCCCCFPPPPPP (EX. 05W49697E23 or 05W49677FCABLDG)
	2 digits = first fiscal year of agreement [YY]
Fund codes:	1 digit = region (H=Headquarters, E=Eastern, C=Central, W=Western) [R]
4556D=Telecommunications	1 digit = Discipline/report organization [D]
4556E=Equipment	(0 = Interdisciplinary, 1 = Director's Office/APS, 2 = Facilities,
4556F=Facilities	3 = Biological Resources, 4 = Water, 5 = Geography, 6 = GIO, 7 = Geology)
4556P=Publications	4 digits = Cost Center or allocation org [C]
	1 digit = last digit of fund code (D = Telecom, E = Equipment, F = Facilities, P = Publications)
	Up to 6 digits = Federal Supply Group code (2 digits) or building code (up to 6 digits) (from the FFS PGM table) [P]

Fixed Price Agreement? – Select Yes or No button.

Product Sales? – Select Yes or No button.

Revenue Source Agreement? – Select Yes or No button.

International Agreement? – Select Yes or No button.

Customer Number (Investment Types) – Select one from the list of values. See Appendix B for detailed list of the FFS customer codes.

Active/Completed? – Select ‘Active’ or ‘Completed.’

Agreement Reviewed – Select ‘Yes.’

Status – Select ‘Firm.’

Unsigned – Select Yes or No button.

Performance Start/End Dates – All IPs must have start and end dates.

Funds Match? – Select No button.

USGS Matching Percent – Enter 0.00.

USGS Matching Funding Source – Leave blank.

Costing Method – Select ‘Not Burdened’ for WCF.

Customer Funding – Enter total IP amount for all years.

In Kind Services Funding – Enter 0.00.

Unmatched Funding – Enter 0.00.

Total Customer Funding – Enter total IP amount for all years.

USGS Matched Funding – Enter 0.00.

Master Agreement Total Funding – Enter total IP amount for all years.

Revenue Source Code – Select ‘WCFI’ using the ‘Values’ button.

Sub Revenue Source Code – Leave blank.

Bill Type – Select ‘M’ for manual.

Bill Cycle – Leave blank.

Bill Start Date – Leave blank.

Bill End Date – Leave blank.

FSN – Leave blank.

Cust Agency Location Code – Leave blank.

ACIS Number – Leave blank.

Customer Group – Leave blank.

Program – Select code from list in Appendix C.

Now select the Agreement Allocation button near the top of the screen to begin entering the agreement allocation information, as follows:

For WCF Investment agreements, only one agreement allocation is allowed per master agreement.

Return to ‘Master Agreement’ screen, and enter data if information did not automatically load. Enter master agreement code as agreement number.

NOTE: The information on this screen is automatically filled in from the ‘Master Agreement’ screen, except agreement number (verify that data did transfer correctly before updating).

Now select the ‘FY Funding Details’ button near the top of the screen to begin entering the FY funding details information:

The FY funding detail is used to indicate the amount of an agreement. One FY funding detail for each year is needed. Data must be entered to continue.

Enter fiscal year by selecting from the list of values.

Fund Code – Select one from the list of values. See Appendix B for detailed list of the fund codes. Accounts linked to the agreement must match the fund code. Fund code must be the same for all years.

Fund Code BFY – Enter the beginning year of IP.

FY Customer Funding – Enter the total amount for that particular fiscal year (FY).

Update FFS Yes/No – Select ‘Yes’ when ready to request Fiscal Services review and send to FFS for this FY.

Cannot set to ‘Yes’ unless Investment Plan is in status ‘Proposed’ or ‘Approved.’ Only current and prior FY Funding Details can be set to ‘Yes’ for Update FFS.

Repeat the steps beginning with ‘Enter Fiscal Year’ by selecting from the list of values for each planned fiscal year activities.

Proceed to the ‘Investment Plan’ link to populate the IP information.

Corrections can be made while an Investment Plan is in draft or proposed status only; once an IP is approved, a revision must be made.

Investment Plans, regardless of status, cannot be deleted. Plan carefully before entering an IP into BASIS+.

Enter all fields (except 'Justification,' which is used when modifying an IP).

Requesting Official Name and Title – Requesting official is the designated manager at Field cost centers (not AOs) or managers at Headquarters offices (Survey Manual Part 335, Chapter 6, Working Capital Fund).

Approving Official Name and Title – Delegation of authority information can be found in the Survey Manual, Part 205, Chapter 10, Appendix A, Section P, Working Capital Fund Delegation of Authority (<http://www.usgs.gov/usgs-manual/200/205-10.html>).

Select 'Update.'

Select 'Contributions' link. Enter contributions by quarter(s) for up to 15 years:

Quarter 1 – Oct-Dec

Quarter 2 – Jan-Mar

Quarter 3 – Apr-Jun

Quarter 4 – Jul-Sep

NOTE: Fourth quarter contributions are monitored by the Bureau to ensure that the total unplanned contributions do not exceed 25 percent of the year's total contribution per IP or \$5,000, whichever is greater. This restriction includes revisions and/or new fourth quarter IPs.

Investments must occur, at a minimum, in two fiscal years before expenditures can occur. Total planned contributions cannot exceed the agreement allocation amount.

Select 'Update.'

Select 'Expenditures' link. Enter planned 'Expenditure Schedule' for up to 15 years. Total planned expenditures must equal total investment amount. Total planned expenditures may not exceed agreement allocation amount.

Select 'Update.'

Select 'Investment Plan' link to return to the main 'Investment Plan' link.

If all required fields have been entered, a message stating "SUCCESS!" will appear. Print CCM-800 Report (new IP form) in draft status and review for accuracy. Then follow the approval process (see below).

Approval process: Cost Center sends an e-mail to the appropriate BFS WCF advisor with the notification that a draft IP is ready for review. The e-mail includes the agreement number of the IP. Once the review is completed, Fiscal Services provides the Cost Center with instructions on how to proceed.

When the signatures have been obtained, forward the signed paper copy to the servicing Fiscal Services office for review. After Fiscal Services reviews the IP, they will change the status to 'Approved.' Once the IP is approved, the automatic upload of the FY funding detail into FFS

occurs, and as a result, the CALT Table is established.

NOTE: If the agreement allocation amount is being decreased, first decrease Planned Contributions and Planned Expenditures, then FY Funding Detail, then Agreement Allocation, and last Agreement Modifications. Through BASIS+, Cost Centers will link the WCF funding source to the account and select 'Update FFS.' OFS/BFS will approve the WCF account funding in BASIS+. Once approved, the automatic upload into FFS occurs, and as a result, the FPCA Table is established.

Once the contribution quarter arrives, the Cost Center must send an e-mail to the appropriate Fiscal Services office to initiate online FFS IV processing. The e-mail must contain the following information: Cost Center allocation organization, customer number, agreement number, account number to charge (non-WCF), and amount of contribution.

To modify an existing Investment Plan (IP), begin with selecting the 'Search Investment Plan' link located under the 'Agreement Maintenance' module. Search by the Cost Center code of the agreement or by agreement number.

IP will be in 'Draft' status. Complete the form with the following information (must agree with IP on file).

Description/Purpose.

Justification for revision – Enter a detailed description of what is being changed and why the revision is necessary.

Requesting official's name.

Requesting official's title.

Request date.

Approving Official's name.

Approving Official's title.

Approval data.

Select 'update.'

Next, select 'Contributions' link. Enter contributions by quarter(s) for up to 15 years:

Quarter 1 – Oct-Dec

Quarter 2 – Jan-Mar

Quarter 3 – Apr-Jun

Quarter 4 – Jul-Sep

Select 'Update.'

Select 'Expenditures' link. Enter planned 'expenditure schedule' for up to 15 years. Total planned expenditures must equal total investment amount. Total planned expenditures may not exceed agreement allocation amount.

Select 'Update.'

Select 'Investment Plan' link to return to the main 'Investment Plan' link.

If all required fields have been entered, a message stating "SUCCESS!" will appear. Print CCM-800 Report (new IP form) in draft status and review for accuracy. Then follow the approval process. The approval process is the same as for a new IP (see above).

VERY IMPORTANT: Corrections can be made while the IP is in draft or proposed status, and the revision number will not be incremented. However, once the IP is in approved status, any changes will result in the creation of a new revision, and the prior version is saved (cannot be updated) for historical record purposes.

Remember: IPs, regardless of status, cannot be deleted.

To make a contribution, the Cost Center must send an e-mail to the appropriate BFS WCF advisor to initiate an internal voucher (IV). The IV draws the funds from an operating account and posts them as collections to the WCF agreement.

The following information must be provided in the e-mail:

Cost Center allocation organization.
Agreement number.
Account number(s) to charge (non-WCF).
Fund code for account(s).
Amount of contribution (in accordance with IP).

BFS will take action to charge the appropriate account based on the information above.

To decrease a contribution, the account funding will need to be decreased and updated to FFS before the FY funding detail is updated to FFS. Also the following must be done:

Decrease planned contributions and expenditures on the IP.
Decrease FY funding detail.
Decrease agreement allocation.
Decrease master agreement total funding.

To increase a contribution, complete the steps in order as shown:

Increase master agreement total funding.
Increase agreement allocation.
Increase FY funding detail.
Increase contributions and expenditures.

A WCF account needs to be created once the second contribution has been made. The account number must follow the required structure, and it must be used for WCF expenditures. The account will not be funded the first year of a new IP.

Once a contribution has been made in the second year, the account will be established and will be funded for the total contributions made in the first year plus contributions made to date.

Expenditures may now occur.

As contributions are made and after the FFS IV is processed by BFS, account funding may be increased.

BFS personnel should refer to Part III for Instructions for Preparing Internal Vouchers.

OAFM provides carryover data to BFS, and BFS provides carryover funding balances to the Cost Centers that will do the following:

Decrease prior year account funding by the carryover amount. Decrease prior year FY funding detail by carryover amount. Establish new FY funding detail with carryover amount plus amount of total contributions planned for the year. Establish new fiscal year account fund source for amount of carryover only.

NOTE: May not fund with contributions until BFS processes FFS IV.

The following WCF specific reports are available in BASIS+:

CCM-800 Investment Plan, CCM-840 Contribution Summary, CCM-850 Cost Center Planned vs. Actual Contributions, CCM-860 Expenditure Summary, CCM-880 Balance Summary, and CCM-890 Status of Funds.

Part III. INSTRUCTIONS FOR FEE-FOR-SERVICE COMPONENTS

To establish the Customer Agreement Line Inquiry Table (CALT), do the following:

Through BASIS+, Fee-for-Service Cost Centers enter the WCF agreements by populating the agreement master, the agreement allocation, and the FY funding detail and selecting 'update FFS'. OFS/BFS approves WCF agreements in BASIS+. Once approved, the automatic upload into FFS occurs, and as a result, the CALT Table is established.

To establish the Fiscal Year Project/ Customer/Agreement Table (FPCA), do the following:

Through BASIS+, Fee-for-Service Cost Centers link the WCF funding source to the account and select 'update FFS.' OFS/BFS approves the WCF account funding in BASIS+. Once approved, the automatic upload into FFS occurs, and as a result, the FPCA Table is established.

WCF Fee-for-Service Contributions to WCF Investment Components

Those Cost Centers with WCF Fee-for-Service components, as well as WCF Investment Plans, should not use internal vouchers (IVs) for making contributions to Investment Plans. Contributions to the Investment Plans are to be made by using a cash receipt (CR) document to move funds from the Fee-for-Service agreement to the Investment agreement.

Cost Center Role: Advise Fiscal Services office of any changes in planned contributions.

Fiscal Services Role: Verify with the Fee-for-Service Cost Center that the planned contribution will be made as scheduled. Prepare Part B of the 'Move Advance/Collection Worksheet,'

requesting that funds be moved, and submit worksheet to OAFM/RMS via e-mail. In the body of the e-mail, include the statement, "This is a request to move collections from a WCF Fee-for-Service agreement to a WCF Investment agreement." This wording will alert RMS to use a specific code for processing the CR document.

OAFM Role: Process the CR document with specific coding in accordance with General Ledger rules.

Part IV. INSTRUCTIONS FOR PREPARING INTERNAL VOUCHERS AND FFS TABLES

For the IV document to be processed in FFS, the CADT table must be entered or updated directly into FFS. Fee-for-Service Cost Centers populate their own CADT Table, and OFS/BFS populates the CADT Table for all Investment components.

The actual IV processing is completed through the SUSF table by either the Cost Centers for Fee-for-Service components or by OFS/BFS for Investment components. The IV cannot be processed until the CALT and CADT Tables have been established in FFS.

A. Preparing the CADT Table (OFS/BFS or Fee-for-Service Cost Centers).

The FFS action codes for the CADT are as follows:

A = Add, to establish a CADT record. (This screen must be populated first before an IV can be processed.)

C = Change, to change an existing CADT record. A CADT record may be changed by adding additional lines, deleting lines, or making changes to data within any line of the CADT record.

D = Delete, to delete the CADT record entirely. CAUTION: When deleting the CADT record, all prior-year data in the CADT record will be deleted also. Use "G" to get specific line to be deleted on the CADT record, then delete this line only.

G = Get, to get a specific line of the CADT record. This action is used to select a specific line within the record to delete.

Instructions for establishing a new CADT record are as follows:

Once in FFS, type 'N' in the action field, and type 'CADT' in the screen field; select return.

The following data must be entered when adding a new CADT record; the remaining fields will be filled by default from the CALT Table in FFS.

(1) CUSTOMER NUMBER: The 5-digit customer number associated with the seller; for example, 25501 = WCF Equipment Investment component. See Appendix B for listing of customer numbers associated with WCF.

(2) AGREEMENT NUMBER: Agreement number assigned to the IP or Fee-for-Service agreement number.

(3) LINE: FFS line entry should be consecutively numbered starting with 001. FFS line entry on the CADT is very important when processing an IV for multiple account numbers or fiscal years. Line numbers between the CADT and IV entries must agree.

(4) BUDGET FYS: The current fiscal year.

(5) FUND: The fund code assigned to the buyer's (non-WCF) account number accepting the charge.

(6) BUDGET ORG/SUB: The 4-digit Cost Center allocation organization assigned to the buyer's account (project) number.

(7) Cost ORG/SUB: Leave blank.

(8) PGM: Leave blank.

(9) BOC/SUB: The object class associated with the type of service and/or product; for example, 253W for all Investment components. See Appendix B for listing of object classes applicable to WCF Fee-for-Service components.

(10) RPTG: Leave blank.

(11) JOB: The 5-digit account (project) number to be charged for the service/contribution.

(12) REF DOC: Leave blank.

(13) BILLED AMT: Leave blank.

(14) MAX AMOUNT: The estimated maximum amount for the specified account for the current fiscal year. The CADT Table may be modified during the year to increase or decrease the amount.

(15) TT: The transaction type code for the buyer; that is., 03 for Investment component contributions and 02 for Fee-for-Service components. See Appendix B for the lists and descriptions of the transaction type codes. These codes may be viewed in FFS on the Accounting Entries Definition Reference Table (ACED) by specifying the fiscal year and transaction code 'IV.'

(16) DESC: Description of the transaction or service – Optional.

Tab (Home key) back to the action field at the top of the screen, place the appropriate action code, and press the enter key.

If processed correctly, the following should appear at the bottom of the screen:

01-*L030 ALL LINES ADDED

To add a new line to an existing CADT record for new fiscal year contributions do the following:

After pulling the existing CADT record up in FFS, add the data for the current year's contributions in the next available line by using the appropriate line number. Tab to the top of the screen, and place an 'A' in the action field. 'ALL LINES ADDED' will appear at the bottom of the screen when correct data are entered for the new line entry. To ensure that the new line was accepted, pull up the CADT record to view the new line entry.

Example CADT:

```

ACTION: R SCREEN: CADT USERID: $DJJ
CUSTOMER ACCOUNTING DISTRIBUTION REFERENCE TABLE
KEY IS CUSTOMER NUMBER, AGREEMENT NUMBER, LINE

CUSTOMER NUMBER: 25501      AGREEMENT NUMBER: 03C48648E66

01- LINE: 001 BUDGET FYS: 2003 FUND: SIRAD BUDGET ORG/SUB: 8648 /
COST ORG/SUB: / PGM: BOC/SUB: 253W / RPTG:
JOB: COM03 REF DOC: BILLED AMT:
MAX AMOUNT: 40,000.00 TT: 03 DESC: FY 03 WCF CONTRIBUTION

01 - *L030 ALL LINES ADDED

```

B. Processing an IV Document in FFS. Fee-for-Service Cost Centers and OFS/BFS for Investment components will process an IV in FFS for each scheduled contribution or billing. Complete the fields indicated on the following screens; the remaining fields default from the CALT Table.

Step 1: Within FFS, populate the 'Suspense File' (SUSF) screen by typing in the bolded data as shown below.

```

ACTION: S SCREEN: SUSF
FUNCTION: NEW
Online 00- TC: IV SEC1: X NUMBER: XIVYYYY# or ZZZZ

```

TC: **IV** = Transaction code for IVs

SEC1: **X** = Region numeric number (1, 2, 8, 9, and so on)

NUMBER: **X** = last digit of fiscal year, **IV** = transaction code

YYYY = Budget organization code (Cost Center) entering IV document, **#** = if using automatic numbering or **ZZZZ** = Sequential Number

Press the **ENTER** key

FFS Screen Print Example of Step 1:

ACTION: S SCREEN: SUSF USERID: \$DJJ DOI CUSTOM DOCUMENT SUSPENSE INDEX 1 FUNCTION: NEW SEC2:						
---BATCH ID---		----DOCUMENT ID---- INIT LAST				
<u>SEC</u>	<u>TC</u>	<u>SEC1</u>	<u>NUMBER</u>	<u>TC</u>	<u>SEC1</u>	<u>NUMBER</u> STAT APPRV USER DATE
00-			IV 8		3IV8575#	

Step 2: On the INTERNAL VOUCHER INQUIRY TABLE screen, enter the following information from the IV form 9-3061 (for Investment components); the remaining fields will be filled by default information from the CALT Table.

IV DATE: Leave blank

ACCT PD: Leave blank

BUDGET FY: Current fiscal year; that is 2003

DOCUMENT ACTION: Leave blank

SELLER TRANS TYPE: Tran type code associated with seller's activity;
that is, Investment components use 06 and Fee-for-Service use 01

BUYER TRANS TYPE: Trans type code associated with buyer;
that is, Investment components use 03 and Fee-for-Service use 02

REF DOC ID: Leave blank

CUSTOMER NUMBER: Customer number for the applicable WCF component;
for example, 25501 for Equipment

AGREEMENT NUMBER: Agreement number assigned to the IP
for example, 03C48648E66

CUSTOMER NAME: Leave blank

ADDRESS: Leave blank

COMMENTS: Optional

DOCUMENT TOTAL: The amount of scheduled contribution from the IP or billing amount; for example, 40000.00

Press the **ENTER** key (FFS will automatically populate the customer name and address).

FFS Screen Print Example of Step 2:

DOCID: IV 8 38575038054		
STATUS: HELD	BATID:	ORG:
H-		
INTERNAL VOUCHER DOCUMENT		
IV DATE:	ACCTG PD:	BUDGET FY: 2003
DOCUMENT ACTION:	SELLER TRANS TYPE: 06	BUYER TRANS TYPE: 03
REF DOC ID:		
CUSTOMER NUMBER: 25501	AGREEMENT NUMBER: 03C48648E66	
CUSTOMER NAME: WORKING CAPITAL FUND - USGS		
ADDRESS: NATIONAL CENTER		
RESTON	VA 22092	
COMMENTS:		
DOCUMENT TOTAL: 40000.00		

Step 3: On the next IV screen, enter the detailed seller and buyer information as follows:

LINE: The sequential line number for the IV; for example, 001

AMOUNT: The amount of the scheduled contribution or billing amount; for example, 40000.00.
(The amount billed cannot exceed the "Max Amount" reflected on the CALT Table.)

I/D: This field will always be an "I" for increase for the initial IV, and a "D" for decrease, if modifying (reducing) an existing IV.

INDIRECT COST TRANSFER FLAG: Leave blank

*****SELLER*****

BUDGET FYS: Enter current fiscal year

FUND: Fund code for applicable component; for example, 4556E for Equipment

BUDGET ORG/SUB: 4-digit organization (Cost Center) code

COST ORG/SUB: Leave blank

PGM: Leave blank (to be drawn from CALT Table) or enter FSG program code

BOC/SUB: Leave blank

RPTG CAT: Leave blank

REV SRC/SUB: Leave blank (to be drawn from CALT Table) or enter revenue sources

TRANS TYPE: Transaction type code associated with seller's activity

JOB: Leave blank

DESCRIPTION: Description of transaction (optional)

*****BUYER*****

Note: The buyer information entered below must match the specific CADT line.

CADT LINE: Line number as reflected on the CADT Table

BUDGET FYS: Current fiscal year

FUND: Buyer's fund type (for example, SIRAD)

BUDGET ORG/SUB: The 4-digit organization (Cost Center) number
 COST ORG/SUB: Leave blank
 PGM: Leave blank (unless batching an existing IV)
 BOC/SUB: Object class code (for example, 253W contribution/fees for Investment components)
 RPTG CAT: Leave blank
 JOB: Project number (last 5 digits of account number)
 TRANS TYPE: Transaction type code associated with buyer's activity
 CLOSED BFYS: Leave blank
 CLOSED FUND: Leave blank
 REF DOC: Leave blank
 REF LINE: Leave blank
 P/F: Leave blank
 DESCRIPTION: Description of the transaction –(optional)

Tab (Home key) back to the top of the screen and type 'W' to write the document to FFS. If processed correctly, 'ACCPT' will appear after 'STAT' on second line, and the message 'A-*CQ51-DOC ACCEPTED PASS2' should appear at the bottom of the screen. Make sure you print out a copy for your files.

FFS Screen Print Example of Step 3:

```

DOCID: IV 8 38575038054
STATUS: HELD      BATID:          ORG:          001-001 OF 001
01-

LINE: 001 AMOUNT: 40000.00   I/D: I QUANTITY:
INDIRECT COST TRANSFER FLAG: N

*** SELLER ***

BUDGET FYS: 2003      FUND: 4556E BUDGET ORG/SUB: 8648 /
COST ORG/SUB:      /   PGM: 66      BOC/SUB: /
RPTG CAT:      REV SRC/SUB: WCFI/      JOB:
TRANS TYPE: 06   CLOSED BFYS:      CLOSED FUND:
DESCRIPTION: WCF 03 JUNE CONTRIBUTION

*** BUYER ***

CADT LINE: 001
BUDGET FYS: 2003      FUND: SIRAD BUDGET ORG/SUB: 8648 /
COST ORG/SUB:      /   PGM:      BOC/SUB: 253W /
RPTG CAT:      JOB: COM03   TRANS TYPE: 03
CLOSED BFYS:      CLOSED FUND:
REF DOC:      REF LINE:      P/F:
DESCRIPTION: WCF 03 JUNE CONTRIBUTION
  
```

C. Supporting IV Collection with Backup Documentation.

IVLT Table. Go to the FFS IVLT Table, and type an 'S' in the action field, 'IV' in the TRANS CODE field, and the IV document number in the DOC NUMBER field. Press the enter key, and all the information will appear.

FFS Screen Print Example of the IVLT Table:

```

ACTION: R  SCREEN: IVLT  USERID: $DJJ
          *** INTERNAL VOUCHER INQUIRY TABLE ***
KEY IS TRANS CODE, DOC NUMBER, LINE

01-      TRANS CODE: IV  DOC NUMBER: 38575038032  LINE: 001
        CUSTOMER NUMBER: 25501      AGREEMENT NUMBER: 03C48648E66
        CUSTOMER NAME: WORKING CAPITAL FUND - USGS  ACCEPT DATE: 06
        24 2003
        AMOUNT:      40,000.00  QUANTITY:  0.00
        INDIRECT COST TRANSFER FLAG: N

          *** SELLER ***

        BUDGET FYS: 2003  FUND: 4556E  BUDGET ORG/SUB: 8648  /
        COST ORG/SUB:    /  PGM: 66  BOC/SUB:  /
        REV SOURCE/SUB: WCFI/  RPTG:  JOB:  TT: 06
        CLOSED BFYS:      CLOSED FUND:
        DESC: WCF 03 JUNE CONTRIBUTION

        CADT                      *** BUYER ***

        LINE: 001 BUDGET FYS: 2003  FUND: SIRAD  BUDGET ORG/SUB: 8648  /
        COST ORG/SUB:    /  PGM: 40000  BOC/SUB: 253W /
        RPTG:      JOB: COM03  REF DOC:      TT: 03
        CLOSED BFYS:      CLOSED FUND:
        DESC: WCF 03 JUNE CONTRIBUTION

```

C. Supporting IV Collection with Backup Documentation.

IVLT Table. Go to the FFS IVLT Table, and type an 'S' in the action field, 'IV' in the TRANS CODE field, and the IV document number in the DOC NUMBER field. Press the enter key, and all the information will appear.

FFS Screen Print Example of the IVLT Table:

```

ACTION: R  SCREEN: IVLT  USERID: $DJJ
          *** INTERNAL VOUCHER INQUIRY TABLE ***
KEY IS TRANS CODE, DOC NUMBER, LINE

01-      TRANS CODE: IV  DOC NUMBER: 38575038032  LINE: 001
        CUSTOMER NUMBER: 25501      AGREEMENT NUMBER: 03C48648E66
        CUSTOMER NAME: WORKING CAPITAL FUND - USGS  ACCEPT DATE: 06
        24 2003
        AMOUNT:      40,000.00  QUANTITY:  0.00
        INDIRECT COST TRANSFER FLAG: N

          *** SELLER ***

        BUDGET FYS: 2003  FUND: 4556E  BUDGET ORG/SUB: 8648  /
        COST ORG/SUB:    /  PGM: 66  BOC/SUB:  /
        REV SOURCE/SUB: WCFI/  RPTG:  JOB:  TT: 06
        CLOSED BFYS:      CLOSED FUND:
        DESC: WCF 03 JUNE CONTRIBUTION

        CADT                      *** BUYER ***

        LINE: 001 BUDGET FYS: 2003  FUND: SIRAD  BUDGET ORG/SUB: 8648  /
        COST ORG/SUB:    /  PGM: 40000  BOC/SUB: 253W /
        RPTG:      JOB: COM03  REF DOC:      TT: 03
        CLOSED BFYS:      CLOSED FUND:
        DESC: WCF 03 JUNE CONTRIBUTION
  
```

CADT Table. Go to the FFS CADT Table, and type an 'S' in the action field, the customer number, and the IP agreement number. Press the enter key, and all the information will appear. Notice that the "BILLED AMT" field reflects the increase by the amount of the IV processed.

FFS Screen Print Example of the CADT Table:

ACTION: R SCREEN: CADT USERID: \$DJJ	
CUSTOMER ACCOUNTING DISTRIBUTION REFERENCE TABLE	
KEY IS CUSTOMER NUMBER, AGREEMENT NUMBER, LINE	
CUSTOMER NUMBER: 25501	AGREEMENT NUMBER: 03C48648E66
01- LINE: 001 BUDGET FYS: 2003	FUND: SIRAD BUDGET ORG/SUB: 8648 /
COST ORG/SUB: / PGM:	BOC/SUB: 253W / RPTG:
JOB: COM03 REF DOC:	BILLED AMT: 40,000.00
MAX AMOUNT: 40,000.00	TT: 03 DESC: FY 03 WCF CONTRIBUTION

CALT Table. Go to the FFS CALT Table, and type an 'S' in the action field, the customer number, and the IP agreement number. Press the enter key, and all the information will appear. Notice that the 'COLLECTIONS AMT' field reflects the increase by the amount of the IV processed.

FFS Screen Print Example of the CALT Table:

ACTION: R SCREEN: CALT USERID: \$DJJ	
*** CUSTOMER AGREEMENT LINE INQUIRY TABLE ***	
KEY IS CUSTOMER NUMBER, AGREEMENT NUMBER, AGREEMENT REV	
SOURCE/SUB,	BUDGET FYS, FUND
CUSTOMER NUMBER: 25501	AGREEMENT NUMBER: 03C48648E66
AGREEMENT REV SOURCE/SUB: /	
BUDGET FYS: 2003	FUND: 4556E BUDGET ORG/SUB: 8648 /
COST ORG/SUB: / PROG: 66	BOC/SUB: /
REV SOURCE/SUB: WCFI/	REPT CATG: JOB NUMBER:
DEFAULT BURDEN RATE: 0.000	STATUS: LAST DIST DATE:
MAXIMUM AMOUNT: 40,000.00	RECEIVABLES: 0.00
PROJECT AMOUNT: 40,000.00	COLLECTIONS: 40,000.00
ADVANCE AMOUNT: 0.00	WRITE-OFFS: 0.00
COMMITMENTS: 0.00	ADV USED: 0.00
OBLIGATIONS: 0.00	BURDEN AMT: 0.00
EXPENDITURES: 0.00	PROJ CHARGES: 0.00
ORIG FY MAX: 0.00	OBLIG BURDEN: 0.00
	ORIG FY COST: 0.00
AGREEMENT TC/TT: RA 04	ADVANCE TC/TT: ROLLOVER FLAG: Y

Example of Completed Investment Plan Form (CCM 800) Appendix E

BASIS+
 Report Number CCM-800A
 Last Revision 1-MAR-2005

15-APR-2005 03:47 PM

CCM-800A Investment Plan Form, Current

	Agreement Number	KS0205100			
	Revision Number	1			
	Status	Proposed			
Part I. Summary					
Total Investment	\$1,052,500.00				
Description					
The purpose of this WCF is to purchase a replacement for the Kansas District's mass-spectrometer (\$300,000 in FY06), high rate DCPs (average 15/yr @ \$3000 ea), and real time water quality sondes (\$10,000/sonde), plus misc probes (ave \$53,000/yr). The large one time cost of the mass-spectrometer and the recurring costs of these items are not able to be borne through the normal annual budgeting for the projects. The acquisition of this equipment is critical to the continued functioning of the project and its support of other USGS research projects.					
Justification For Revision/Withdrawal					
Revision #1 -- (1st quarter-FY 05) To adjust contribution schedule, redirect funds (\$50,000) from the Telecom Agreement (03C48595D580001), and decrease contribution amount to accomodate new scientific replacement plan. Revision #2 -- (2nd quarter - FY 05) To revise contribution schedule to move FY 05 second quarter contribution (\$50,000) to the third quarter. Contribution is being delayed because cost center income is not as high as anticipated for second quarter.					
	Customer	Component Fund	Cost Center		
Number	25501	4556E	8595		
Name	WORKING CAPITAL FUND - USGS	WCF - EQUIPMENT	KANSAS DISTRICT		
			Program Code		
			66		
Part II. Contribution Schedule					
FY	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Total
2002	\$0.00	\$0.00	\$175,000.00	\$135,000.00	\$310,000.00
2003	\$5,000.00	\$0.00	\$145,000.00	\$90,000.00	\$240,000.00
2004	\$0.00	\$50,000.00	\$200,000.00	\$62,500.00	\$312,500.00
2005	\$55,000.00	\$0.00	\$100,000.00	\$35,000.00	\$190,000.00
Total Contribution					\$1,052,500.00
Part III. Projected Expenditure Schedule				Total Expenditures	\$1,052,500.00
Fiscal Year	2003	2004	2005	2006	2007
Amount	\$89,373.55	\$367,763.98	\$100,000.00	\$390,000.00	\$105,362.47
Part IV. Approval					
	Signature	Name	Title	Date	
Requesting Official		Andrew Ziegler	Acting District Chief, KS	28-MAR-2005	
Approving Official		Williams J. Carswell	Regional Hydrologist, CR	28-MAR-2005	