

NATIONAL WEATHER SERVICE INSTRUCTION 70-210

July 13, 2015

Financial Management Policy, NWSPD-70-2

Summary Level Transfers (SLT)

NOTICE: This publication is available at: <http://www.nws.noaa.gov/directives/>

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SUMMARY: This guidance is in addition to the guidance set forth by NOAA Finance which can be found at the following link: <http://www.corporateservices.noaa.gov/finance/slt.html>

signed

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Chief Financial Officer/Chief
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June 25, 2015

Date

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I. Purpose

This Directive establishes the National Weather Service policy for Summary Level Transfer (SLT) and is in addition to any NOAA policies or guidance.

II. Guidance

SLT's should be used as a last resort when Document Level Adjustments or Detailed Labor Cost Adjustments can not be processed.

This guidance is in addition to the guidance set forth by NOAA Finance which can be found at the following link: <http://www.corporateservices.noaa.gov/finance/slt.html>

SLT's should be used as a means to correct erroneous obligations once all other methods have been exhausted. [Other methods include, but are not limited to: WEB T&A Corrections, Grants On-Line Administrative Correction, Requisition for Change to Correct ACCS through CSTARs, Monthly Bankcard Reconciliation; Document Level Adjustments, Document Level Cost Adjustments through the PM040; Advice of Correction through the PM006, etc...]

In limited situations, (e.g., if the organization or project/task codes were modified during the year) the NOAA Line/Staff Office, FMC, or cross-serviced agency may request adjustments to line items of summary data using the SLT process. If the erroneously recorded cost can not be corrected by another method or if the costs were created by a SLT (such as rent) you may proceed via Summary Level Transfer.

The SLT process transfers costs, not resources. The process transfers dollar amounts as paid costs. Only amounts which have been expended to date should be included in SLT's. Amounts in undelivered orders should not be transferred using the SLT process

III. NOAA Required Approvals

ALL SLT's regardless of the amount need to be reviewed and approved with signatures by the FMC Budget Analyst and the NWS Chief of Budget and Execution or equivalent before being submitted to Financial Reporting Division (FRD) for posting.

SLT's regardless of the amount between two different program codes, fund codes, or any adjustment of \$500K or more will must be reviewed and approved with signatures by the LO Chief Financial Officer (CFO) or Staff Office Director, and the NOAA Budget Office before being submitted to FRD for posting.

Transfers between Financial Management Centers (FMC): Any SLT that is transferring costs between FMCs also requires the signed approval of the affected FMC. The originator of the SLT needs to obtain the signed approval form from the affected FMC which contains a statement that they concur with the SLT action and it is appropriate for approval.

IV. General Information

a. Filling out the Forms

Summary Level Transfer Certification (STDG102)

1. The Summary Level Transfer Certification form should be filled out by a FMC Budget Representative of the requesting organization.
2. If a Signature is needed for the Receiving Organization a FMC Budget Representative for that Organization needs to sign.

Summary Level Transfer Approval Forms

1. List the Batch #
2. Approval signature from the Line Office/Staff Office Lead Budget Execution Analyst or equivalent is the Director of NWS Budget and Execution.
3. Does this SLT transfer costs across FMC's:
 - a. If all costs are staying with in the 2 digit Org/FMC the answer is no.
 - b. If a SLT is moving costs from one LO or FMC to another you will need the approval of the receiving LO and/or FMC.
4. Does this SLT transfer costs across programs, funds, or meet the \$500K Threshold
 - a. NWS considers any funding that transfers cost from a different Program (PPA), Fund Code, or Fund Type (ORF, PAC, or Reimbursable) as meeting that requirement. Which requires approval of both the NWS Chief Financial Officer (CFO) and NOAA Director of Budget regardless of dollar amount. Any transfer over \$500,000.00 also requires the approval of the NWS Chief Financial Officer (CFO) and NOAA Director of Budget.

Request to Lift Object Class Edit for an SLT Form

- This form is only needed if the object class you are using is restricted in the system and you can not submit the SLT in CBS.
- This form can be requested from slt.notification@noaa.gov or down loaded here: http://www.nws.noaa.gov/cfo/budget_execution_accountability/reimbursable
 - Listed Under - SLT Object Class Edit Lift Form.
- This form requires the appropriate signatures and will need final approval from the FRD Division Director before the Object Class is lifted and you can submit your SLT.

b. SLT Submission Package Guidance

- Send all SLT requests must to the NWS CFO2 designated Budget Analyst assigned to your FMC after the STDG102 form is signed, a STDGERR is run, and sent along with all the applicable paperwork.
- If a SLT will not produce a STDG102 because the Object Code being used is blocked, the submitter will need to request a waiver from the SLT submission team so that SLT can be processed in CBS.
- The FMC designated CFO Budget Analyst will be responsible for getting the signatures needed to satisfy the SLT Approval form.

- Once the packet is completed the budget analyst will submit the completed package to slt.notification@noaa.gov on behalf of the submitter who will be copied on the submission.
- If the SLT Notification Team has any questions or requests more paperwork the submitter will need to answer those concerns.

c. SLT Check List

- Signed Approval Form.
- Signed SLT Certification Form (STDG102)
- A clear and concise reason for the SLT which references the supporting documentation provided and includes a statement explaining why the correction could not be processed using other methods.
- NOAA Business Violations & Error report (STDGERR).
- If a Business Rule Violation occurs, the report needs to have a written justification referencing the specific rule being violated.
- Adequate supporting documentation consisting of budget reports and/or any other documentation (i.e., invoices, contracts, etc.) that provides sufficient justification for the SLT. This documentation should be available for audit by internal and external auditors when necessary.
- Reimbursable Waiver (if applicable)
- Request to Lift Object Class Edit for an SLT (if applicable)

d. Documentation Retention Requirements

The Office Originating the SLT and FRD Must Retain the Following Documentation:

- Signed Approval Form.
- Signed SLT Certification Form (STDG102).
- NOAA Business Violations & Error report (STDGERR).
- Written justification referencing the specific rule being violated, if applicable.
- Adequate Supporting documentation consisting of budget reports and/or any other documentation (i.e., invoices, contracts, etc.) that provides sufficient justification for the SLT. This documentation should be available for audit by internal and external auditors when necessary.
- Reimbursable Waiver if applicable.
- FRD will also maintain a signed copy of the Internal FRD Checklist for SLT Posting.

V. Cycle Times

All SLT's will be reviewed by CFO2 Staff within 5 business days.

VI. Tracking Log

NWS CFO's office will maintain a tracking log of all SLT's on the google share drive.