



# The Perfect Program ARIS



Revised January 2016

## Types of Projects

- D – in-house; annual Congressional appropriation – the Parent Project
- X – special appropriation projects
- SUBORDINATE (SIBLING) PROJECTS
- R – Reimbursable (resources coming in, paid after work is done)
- I – Interagency Reimbursable (resources from another federal entity)
- T – Trust (resources coming in, paid before work is done)
- C – Cooperative Research and Development Agreement (CRADA, special Trust with a for-profit company, work with R. Wagner)
- H – Material Transfer Reimbursable Agreement (MTRA, work with R. Wagner)
- S – Non-Assistance Cooperative Agreement (NACA, \$ going out on a jointly planned and executed research program or project of mutual interest between the parties where both parties contribute resources.)
- A – Cooperative Agreement (CA, \$ going out on transfer a thing of value to the recipient to stimulate or carry out a public purpose and substantial involvement is anticipated between the agency and the recipient.)
- G – Grant (\$ going out on semi-Cooperative venture)
- O – Interagency Outgoing (work with AO)
- N – Non-Funded Cooperative Agreement (NFCA, no \$ exchange – specific in scope)
- M – Memorandum of Understanding (MOU, no \$ exchange – broad in scope)
- J – Research Support Agreement (RSA)
- C – Contract

## Project Numbering

5030-11630-002-00D

50 = Area

30 = Location

11 = STP 1.1.2.2 40%

63 = STP 6.3.2.1 60%

- If a project has only one STP code:  
Use the STP code and three zeroes, as follows: STP code 4.2.1.1. @ 100%; use 42000 as the 5 digit number, 5030-42000-002-00D
- If two STP codes are the same:
  - 4.2.1.1 @ 50%
  - 4.2.1.2 @ 50%, use 42000 as the 5 digit number, 5030-42000-002-00D
- If two STP codes are different, use the lower STP number (not percentage), followed by the higher number, followed by a zero:
  - 4.2.1.1 @ 50%
  - 4.3.1.3 @ 50%, use 42430 as the five digit number, 5030-42430-002-00D
  - 4.3.1.3 @ 30%
  - 2.1.2.6 @ 70%, use 21430 as the five digit number, 5030-21430-002-00D
  - 3.1.4.2 @ 40%
  - 4.2.1.1 @ 60%, use 31420 as the five digit number, 5030-31420-002-00D

0 = 5<sup>th</sup> digit is always a zero

002 = Next sequential number on D projects. On sibling projects it is the same as the D

00 = Always two zeros on D projects, next sequential number on sibling projects (01A, 02C, ... 11S, etc.)

## Determining a New Project Number

- **Research Documentation**
  - **Work**
  - **Next Available Project Number**
    - **Query for the first two fields of number for a D type project**
    - **Query on first three fields of project number and no project type for a sibling project**
- **To find all subordinate projects which need to be renumbered (416/417 projects).**

Follow the same procedures for finding the next available project number for all other project types. Open the Research Documentation screen. From the toolbar, click "**Work**" and "**Next Available Project**" to list all active, expired, terminated, and pending projects. Click "**Action**" and "**Query Screen**" on the Menu bar or click the "**Query**" icon on the tool bar. The Query screen will open. Enter the project number you want to renumber all of the subordinate projects for (5030-21000-053), click the "**Execute Query**" button on the toolbar to view the query results. This will give you a listing of all the projects that must be renumbered. To find the next available number, click the "**Last**" record arrow on the tool bar.

<b>ARS-416/417 template: For a project coded as D, X , or L only-FOR NEW D AND BRIDGING PROJECTS</b>	
<b>Mode Code</b>	System defaulted to the access that the user is entered at; verify and correct as necessary.
<b>Project Number:</b>	For a new project, the ARIS User will assign a number  For revisions to an existing 416/417, system automatically pulls this in.
<b>Project Type:</b>	D = In-house Appropriated funds X = Other (special use code, must have guidance from Area Office and/or Headquarters)
<b>Status:</b>	New (N), Revision (R), Expired (X), Terminated (E), Pending (F), or Unfunded (U) For work actions on approved projects, default status is Revision. Projects need to be changed to expired once past term date; termination is done through annual report process.
<b>Project Title:</b> If a recently reviewed OSQR project, title must agree with PDRAM.	<b>148 characters maximum, MUST AGREE WITH CERTIFIED OSQR PLAN for new project. If a BRIDGING project, should be the same as previous project Type in title case (major words capitalized). Do not place period at the end; avoid abbreviations if possible.</b>
<b>Start and Termination Dates:</b> Use format: 06/01/2015	_____ (Date the project is expected to begin)  _____ (Date the project will end/terminate, cannot exceed five years)  <b>Use dates provided by Area PA; dates subject to change at ONP level to date of final approval of record. When replacing D project, no time gaps between old and new.</b>
<b>Duration:</b>	System calculated, based on start and termination dates.
<b>SY and Current \$:</b>	System calculated, from investigator block and funding record; current FY funding level shown. CURRENT dollars will remain blank on new/bridging projects until it goes to Active.
<b>Department:</b>	Leave blank: does not apply to D or X, coded projects
<b>Institute:</b>	Always defaults to the ARS location
<b>Agreement Number and Award Date:</b>	Leave blank: does not apply to D or X, coded projects
<b>Who is the Agreement with:</b>	<b>None</b> = does not apply to D or X, coded projects
<b>Remarks:</b> <b><u>Do not use Caps Lock!!!</u></b>  Documents what the action is for on the project.	Be Specific-if performing a transfer include FY, permanent or temporary, dollar amount, project transferring from and why. For updating SY time, include what time was before, what the new SY time will be and SY name. For extending term dates, include date you changed it from to new date.  <b>Examples:</b> establishing a new project; revising the SY Investigator time; time extensions; program increases; renumbering due to a change in the STP codes; fund transfers; etc.
<b>Objective:</b> ARS scientist provides this.  If a recently reviewed OSQR project, objectives (and subobjectives) must agree with	<b>Please e-mail this to the unit ARIS User so it can be copied and pasted into the ARIS block. (3200 characters maximum)</b>  <b>D projects being entered as a result of a newly certified plan must include Objectives AND Subobjectives from approved PostPlan, simply copy and paste from PostPlan.</b>



<p><b>RPA = <u>R</u>esearch <u>P</u>roblem <u>A</u>rea</b></p> <p><b>Field of Science</b></p> <p><b>ARIS User:</b> A list of codes available to select from is found by logging in to ARIS and then selecting Reference Tables, Classification.</p>	<ul style="list-style-type: none"> <li>• Total of 100% for <b>each</b> classification category (SOI, RPA, Field of Science)</li> <li>• For a D project, guidance is provided by the ONP or obtained from a prior D project</li> </ul>
<p><b>Sub-Activity Classification Codes:</b></p>	<ul style="list-style-type: none"> <li>• Minimum of one code is required, minimum of 10%</li> <li>• Maximum of 10 codes, must total 100%</li> </ul>
<p><b>Special Classification Codes:</b></p>	<ul style="list-style-type: none"> <li>• Minimum of 10% for any one code</li> <li>• Combination of codes can be over 100%</li> <li>• See details below for certain code requirements</li> </ul>
<p><b>Fund Transfers:</b></p> <p><b>These comments will show in the budget transaction file. This is why it is important to include clear and concise information relating to fund transfer.</b></p>	<ul style="list-style-type: none"> <li>• This section applies to D or X projects only.</li> <li>• Transfer is made on receiving project, pulling funds from giving project(s). If temp transfer is from another unit, you must provide Area Program Analyst email authorization for transfer from giving unit.</li> <li>• The ARIS User obtains this information by working with the RL/location budget staff.</li> <li>• For replacement D projects, transfer is permanent full NTL amount for the FY. To determine this figure, go to Active, choose project you are replacing, go to “Project Info” tab. The figure in “Current dollars” is the amount you will transfer into your new project. Later BPMS does temporary transfer back to old project for expenses prior to replacement.</li> <li>• Comments must include: FY, Temporary or Permanent, amount of transfer, project transferring from, and brief reason for transfer.</li> <li>• <b>ie:</b> Replacing 5020-12220-003-00D. FY 16 Permanent Fund Transfer, \$761,532 completed. NP301 Peer Review process for final Project Plan Certified by OSQR as complete.</li> </ul>
<p><b>Requirements/Restrictions on some Special Codes:</b></p> <p><b>Obtain code guidance and/or assistance from the RL or the ONP</b></p> <p><b>For D projects:</b> If no guidance has been provided by ONP, start with previous D project.</p> <p><b>ARIS User:</b> Refer to Chapter 13A of the on-line ARIS manual for more information/details.</p>	<ul style="list-style-type: none"> <li>• <b>BT:</b> If used, minimum of 10% required, maximum 100% allowed</li> <li>• <b>BR:</b> Can have a combination of codes, minimum of 10% each, cannot exceed 100%</li> <li>• <b>PC:</b> Can have a combination of codes, minimum of 10% each, cannot exceed 100%</li> <li>• <b>FBP (Farm Bill codes):</b> Required on all D, X projects. Can use 1 to 6 codes, minimum of 10% each, must equal 100%.</li> <li>• <b>SA+ (Sustainable Ag Codes):</b> Only one code allowed and must equal 100%. Required on all D, X projects. Code is determined by worksheet, contact RL for assistance.</li> <li>• <b>BRCOM (Biosafety):</b> If the BRCOM is on a project, BL level and date of certification/recertification must be in the last line of the Approach on the 416</li> <li>• <b>BTER:</b> If BTER is listed, must have at least 2 BT codes listed on the project</li> <li>• <b>BPMS:</b> Can only be entered at ONP level. Minimum is 10%; combinations of different codes can be over 100%</li> <li>• <b>X1890:</b> Cannot be over 100%</li> <li>• <b>All other special codes:</b> Minimum of 10% for any one code; combination of codes can be over 100%</li> <li>• <b>Regional Project codes:</b> Can only be entered at ONP level.</li> </ul>

## REMARKS FOR 416/417 D PROJECTS

**Do not use "CRIS" in your research projects - anywhere! Do Not Use All Caps!!**

### Program Increase:

FY 16 Program Increase – FY 16 Permanent fund transfer from 0101-88888-028-00D of \$450,000 for Bioinformatics Institute for Model Plant Species of \$450,000. Modified 416/417 per Program Increase Memo #45. **Copy these remarks into the fund transfer comments**

### Replacing old project after OSQR review:

Replacing 5020-12220-003-00D. FY 16 Permanent Fund Transfer, \$761,532 completed. NP301 Peer Review process for final Project Plan Certified by OSQR as complete. **Copy these remarks into the fund transfer comments.**

### Change in SY/Time:

Replaced Vacant (vice Portis) Investigator (0.80) with C. Bernacchi (0.80).

Updated SY time for R. Clark from 0.80 to 0.90, R. Wilson from 0.90 to 0.80 to agree with ARMPS.

### Funded Post-Doc:

FY16 \$50,000 Temporary Fund Transfer for Administrator Funded PostDoc, David Rosenthal, Class of 15 (EOD 07/22/15). Mentor: Donald R. Ort. \$50,000 Remaining Balance, \$50,000

## FUNDS TRANSFER COMMENTS

The Fund Transfer Comments section must include the following information:

- FY of the fund transfer
- Permanent or Temporary fund transfer
- \$ amount being transferred
- Giving project number
- Reason for the fund transfer

If temporary transfer is from another unit, remember to provide Area Program Analyst with email authorization for transfer from giving unit.

## Requests for Codes - Complete Appropriate Forms:

**Journal Codes** – request through Kathy Jones, cc Lori Wilson-Voss. Codes set up at ONP level.

- Name of the Publication, e.g., name of the journal, book, trade journal (required)
- Type of Publication, e.g. peer-reviewed journal, trade journal, proceedings
- Publisher, if known
- URL of the journal or publisher, if known – (required if publisher is unknown)
- Does the journal have a Confidentiality clause (required)? **If yes, provide documentation of the clause.**

**Non ARS Author Employer** – request through Kathy Jones, cc Lori Wilson-Voss. Codes set up at ONP level.

- Full name of employer (acronyms are okay along with full name).
- Full address, including city, state and country.

**Performing Institute Codes (use Code Request Form)** – request through Lori Wilson-Voss. Codes set up by NIFA, and then entered by ONP into the ARIS database.

- Need exact name of organization
- Address of organization
- Phone number of organization.

**Source of Funds Codes (use Code Request Form)** – request through Lori Wilson-Voss. Codes set up at ONP level.

- Need exact name of organization
- Address of organization
- Phone number of organization
- Whether the organization is a USDA organization, a Federal organization, or a not-for-profit organization.



# CODE REQUEST FORM

(revised 8/7/2015)

Please complete this form to request a journal code or an employer code. All fields, respective to the code that you are requesting, **MUST BE COMPLETED** in order for your request to be processed as it helps to correctly identify and/or distinguish entities with the same or similar names.

Code being requested

Please complete the fields below if requesting a **journal code**.

Name of publication

Type of publication

Name of publishing company

URL of journal or publisher

Does the publication have a confidentiality clause?

\* The confidentiality clause status (Yes or No) is specific to each journal. This clause states that the publication must be kept confidential until the journal has been published. To determine if a journal has a confidentiality clause, call the journal directly, search the journal's website, and/or ask the scientist to obtain this information. (ARIS manual, Chapter 5, page 27)\*

Please complete the fields below if requesting an **employer code**.

Name of organization

English translation of organization's name, if foreign.

\*Please provide the english translation (if available). If the information is not available please type N/A in the field\*

Organization's website

Organization's address

City

State

Zip Code

Country

## SOF/POC Code Request Form

Please complete this form to request a performing organization (POC) code, source of funds (SOF) code, or an AIMS Cooperator/Recipient Code. **Please submit ONE form for each POC or SOF code request to your Area Program Analyst. ALL fields, respective to the code that you are requesting, must be completed in order for your request to be processed.**

- Requesting:**  Performing Organization Code (POC)  Source of Fund Code (SOF)  
 AIMS Cooperator/Recipient Request

1. Organization's Legal Name:

2. Mailing Address:

City: State: Zip Code + four: Country:

3. Phone Number:

4. E-mail:

5. Website:

6. Source of Funds Type: For Profit  \* Exempt  Not for Profit

**\*If for profit but exempt, please submit supporting documentation and email approval from Robert MacDonald with request\***

7. USDA  Federal  Non-Federal

***FOR POC AND AIMS USE ONLY – (used on outgoing agreements) NOTE: incoming agreements and CRADA requests for recipient codes, it is not required that the entity be registered in SAM or have a DUNS # or CAGE code.***

8. SAM Registration Expiration Date:

9. DUNS:

10. CAGE Code :

11. Check the code that would apply to the organization you are requesting a **POC or AIMS Code** for:

- |   |  |
|---|--|
| <input type="checkbox"/> <b>02 - FR</b> Other Federal Agency  | <input type="checkbox"/> <b>13 - SB</b> Small Business   |
| <input type="checkbox"/> <b>03 - SA</b> State Agriculture Experiment  | <input type="checkbox"/> <b>14 - MO</b> Minority - owned Business                                  |
| <input type="checkbox"/> <b>04 - LG</b> 1862 Land Grant College   | <input type="checkbox"/> <b>15 - FO</b> Female Owned Business                                      |
| <input type="checkbox"/> <b>05 - HB</b> 1890 Land Grant College or Tuskegee Institute                           | <input type="checkbox"/> <b>16 - OT</b> Other  |
| <input type="checkbox"/> <b>06 - PR</b> Private University of College   | <input type="checkbox"/> <b>17 - IN</b> Individual   |
| <input type="checkbox"/> <b>07 - PU</b> Public for Profit Organization  | <input type="checkbox"/> <b>18 - HI</b> Hispanic Institutions                                      |
| <input type="checkbox"/> <b>08 - PP</b> Private for Profit Organization   | <input type="checkbox"/> <b>19 - TC</b> Tribal Colleges and Universities                           |
| <input type="checkbox"/> <b>09 - PN</b> Private nonprofit Organization<br><b>(not universities or colleges)</b> | <input type="checkbox"/> <b>20 - AI</b> Asian AM/Native AM Pacific Islander<br>Serving Institution |
| <input type="checkbox"/> <b>10 - SL</b> State or Local Government   | <input type="checkbox"/> <b>21 - AS</b> Alaska Native/Native Hawaiian Serving<br>Institution       |
| <input type="checkbox"/> <b>11 - VE</b> Veterinary School or College  | <input type="checkbox"/> <b>22 - PB</b> Predominately Black  |
| <input type="checkbox"/> <b>12 - CO</b> Cooperative Extension Service   | <input type="checkbox"/> <b>International/Foreign Entity</b>                                       |

# 115s

## Authorship

- The first ARS author must submit the 115
- The mode code of the **first ARS author** must match the mode code of the 115
- Only non-ARS authors need to be checked on the \*\*Cleared list
- All ARS authors should be selected from the LOV to insert their correct mode code

*Each author must have participated sufficiently in the work to take public responsibility for the content of the article (P& P 152.2). This participation must include:*

- *conception or design, or analysis and interpretation of data, or both; and,*
- *drafting the article or revising it for critically important intellectual content; and,*
- *final approval of the version to be published.*

## CITATIONS

- Why do we care how they appear?
  - The Scientist's reputation-how credible?
  - This data goes outside of the Agency
  - This data is the "face" of ARS we show
    - On the Web
    - In the CRIS System

## INTERPRETIVE SUMMARY

- Understood by a 9th grader
  - Must include:
    - Background statement explaining the problem
    - Description of what was found-not done
    - Impact statement-answers the questions-
      - **So what?**
      - **Who cares?**
      - **Why?**
- Turning Off AutoFormat for Bullets, Lists, Outlines, and Smart Quotes
  - To turn off the AutoFormat feature in Word, click the "**File**" menu, and "**Options, Proofing, Auto correct options, Auto format**" Remove check on straight quotes.

Use the Matrix below to determine how to answer the "**First Formal Report other than Abstract**" question on the ARS-115 and if an interpretive summary is required for the specific publication type.

Publication Type	First Formal Report*	Interpretive Summary	Technical Abstract
Peer Reviewed Journal	Yes	Yes	Yes
Abstract	No	No	Yes
Proceedings/Symposium	No*	No	Yes
Review Article	No	No	Yes
Other	No*	No	Yes
Research Notes	No	No	Yes
Trade Journal	No	No	Yes
Germplasm Release	Yes	No**	Yes
Book/Book Chapter	No*	No	Yes
Literature Review	No	No	Yes
Government Publication	No*	No	Yes
Monograph	No*	No	Yes
Experiment Station	No*	No	Yes
Popular Publication	No	No	Yes
Patent Application	No	No	Yes

\* If the publication is a “First Formal Report other than Abstract”, select “Yes” and an Interpretive Summary is required.

\*\* Germplasm Releases are considered “First Formal Report”, however, an Interpretive Summary is not required.

## Publication Citation Format and Examples

The citation information should be inclusive enough to allow the article to be found or requested through a library. The citation is generated in proper format through the ARS-115 system by using the Generate Citation button.

However, the citation should be reviewed and verified for accuracy of capitalization, punctuation, and any information that may need to be added.

**Author Names** - Author names are populated to the citation field by the authors listed in the Author field. Once in the citation, verify accuracy of capitalization, especially for names with double caps (e.g, McCoy) and for names with a suffix (e.g., III, Sr.).

**Spacing** – there should be only one space between elements in the citation.

**Capitalization** – the title is populated into the citation as typed in the Title field; however, verification is needed for accuracy of capitalization of proper names and author names.

**Abbreviations** – Abbreviations should not be used anywhere in the citation, unless the journal uses them in titles (e.g. the FASEB Journal).

**Pagination** – Use p. to indicate pages; use complete page numbers (e.g., 255-266, not 255-66).

**Abstract** – Insert the word “abstract” in brackets as the last word in the article title if the citation for an abstract only.

### Journal Article with Standard Citation:

#### *Format:*

Author last name(s) and initial(s). Year of publication. Article title. Full journal title. Volume (issue):page numbers.

#### *Examples:*

Anderson, R.J. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. 55(3):640-649.

Anderson, R.J., Thompson, J.L. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. 55(3):640-649.

### Journal Article with DOI in Citation (**note: “DOI” should be lowercase when used in a citation**):

#### *Format:*

Author last name(s) and initial(s). Year of publication. Article title. Full journal title. doi.

#### *Examples:*

Anderson, R.J. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. doi:10.2594/CS.2004-3597.

Anderson, R.J., Thompson, J.L. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. 55(3):640-649. doi: 10.2594/CS.2004-3597.

### **Abstract:**

#### *Format:*

Author last name(s) and initial(s). Year of publication. Title of abstract [abstract]. Full title of journal/proceedings. Volume(issue):page number(s).

#### *Examples:*

Steinheimer, T.R. 2004. Chemical fate of herbicides within a small agricultural watershed [abstract]. American Chemical Society. p. 102.

Hester, P.Y., Muir, W.M., Craig, J.V., Albright, J.L. 1995. Group selection for adaptation to multiple-hen cages: Response to social and heat stress [abstract]. Poultry Science. 74(1):102

*Example with Paper/Abstract No.:*

Paarlberg, K.R., Hanna, H.M, Erbach, D.C., Hartzler, R.G. 1995. Cultivator design for interrow weed control on no-till corn [abstract]. American Society for Agricultural Engineers. Paper No. 95-1331.

Steinheimer, T.R. 2004. Chemical fate of herbicides within a small agricultural watershed [abstract]. American Chemical Society. Paper No. 102.

**Proceedings:**

*Format:*

Author last name(s) and initial(s). Year of publication. Title of paper. Title of Proceedings. Volume:Page number(s).

*Examples:*

Kanwar, R.S., Colvin, T.S., Karlen, D.L. 1995. Tillage and crop rotation effects on drainage water quality. Proceedings of Clean Water-Clean Environment 21<sup>st</sup> Century. III:163-166.

Miller, J.G. Janyes, D.B., Moorman, T.B. 1995. Prediction of atrazine persistence in a central Iowa field. Proceedings of water Quality Modeling International Symposium. p. 109-118.

*Format for Proceedings w/Conference Information:*

Author last name(s) and initial(s). Year of publication. Title of paper. In: (editors, if any). Title of Proceedings. Title of Conference (if different from title of Proceedings), Date of Conference, Conference Location. Page number(s).

*Examples w/ Conference Information Included:*

Smith, J.L. 2004. Current issues in crop production. In: Proceedings of the Society of Plant Growers National Convention, February 5-7, 2004, Beltsville, Maryland. p. 23-24.

Smith, J.L. 2004. Current issues in crop production. In: Irvin, R.L., Smith, J.C., editors. Proceedings of the Society of Plant Growers National Convention, February 5-7, 2004, Beltsville, Maryland. p. 23-24.

*Example w/different conference title than proceedings:*

Smith, J.L. 2004. Current issues in crop production. In: Proceedings of the Society of Plant Growers. 4<sup>th</sup> International Conference of Plant Growers, February 5-7, 2004, Beltsville, Maryland. p. 23-24.

*Format for Proceedings only available on CD:*

Smith, J.L. 2004. Current issues in crop production. In: Proceedings of the Society of Plant Growers. 4<sup>th</sup> International Conference of Plant Growers, February 5-7, 2004, Beltsville, Maryland. 2004 CDROM.

**Dissertations/Thesis:**

*Format:*

Author last name and initials. Date of Degree. Title of Dissertation or thesis [Ph.D. Dissertation]. Place of Degree-Granting Institution: Degree-Granting Institution. Number of pages.

*Examples:*

Dorsey, J.D. 1995. Farming system effects on soil properties [Ph.D. Dissertation]. Columbus, OH: Ohio State University. 340 p.

Milach, S.C.K. 1995. Genetic characterization and molecular mapping of dwarfing genes in oat [Ph.D. Thesis]. Minneapolis, MN: University of Minnesota. 94 p.

**Patent:**

*Format:*

Author last name(s) and initial(s). Date of patent. Title of patent. Patent Number.

**Example:**

Eller, F.J., Bartelt, R.J. 1995. Compositions for the control of pepper weevils. U.S. Patent 5,393,522.

**Book Chapter:**

*Format:*

Author last name(s) and initial(s). Year of publication. Title of chapter or part. In: Last name and Initial(s) of Editor(s) of book. Title of book. Edition information (if any). Place of publication: Publisher. Inclusive page numbers.

*Example:*

Ogren, W.L. 1994. Energy utilization by photorespiration. In: Tolbert, N.E., Preiss, J., editors. Regulation of Atmospheric CO<sub>2</sub> and O<sub>2</sub> by Photosynthetic Carbon Metabolism. 3<sup>rd</sup> edition. New York, NY: University Press. p.115-125.

**Book:**

*Format:*

Author last name(s) and initial(s). Year of publication. Title of Book. Place of Publication: Publisher. Number of pages.

*Example:*

Bates, B. 1999. Bargaining for Life: A social history of tuberculosis. Philadelphia: University of Pennsylvania Press. 435 p.

**Electronic Journal Articles:**

*Format:*

Author last name(s) and initial(s). Year of publication. Title of article. Full journal title [medium]. Volume(issue):page numbers [if available]. Availability information.

*Example:*

Loker, W.M. 1996. The crisis of modernization in Latin America. Journal of Political Ecology [serial online]. 3(1). Available: [http://www.library.arizona.edu/ej/jpe/volume\\_3/ascii-lokeriso.txt](http://www.library.arizona.edu/ej/jpe/volume_3/ascii-lokeriso.txt).

Yerk-Davis, G.L., Grant, D., McMullen, M.D., Cole, E.H., Houchins, K., Melia-Handcock, S. 1995. The UMC Maize RFLP Map Sequence. Plant Genome IV Abstracts. Available: <http://probe.nalusda.gov:8000/plant/index.html>.

Smith, J.C., Shafer, R.L. 2004. The effect of inoculation methods on bulb firmness. Electronic Journal of Biotechnology. 4(3). Available: <http://ejb.ucv.cl/content/vol3/issue3/full/4/index.html>.

Fredrickson, B.L. 2000. Cultivating positive emotions to optimize health and well-being. *Prevention & Treatment*, 3:Article 0001a. Available: <http://journals.apa.org/prevention/volume3/pre0030001a.html>

### **Computer Programs/CD-ROM:**

#### *Format:*

Author last name(s) and initial(s). Year of publication. Name/Title of CD-ROM/Computer Program [medium]. Version. Publication location: Publisher.

#### *Example:*

Gallo, A.E. 1996. The food marketing system in 1996 [CD-ROM]. Version 1.1. Washington, D.C.: U.S. Department of Agriculture, ERS.

Smith, J.C. 2004. PRO-CITE: Personal Bibliographic Software [computer program]. Version 1.4. Beltsville, MD: Scientific America.

### **Confidentiality Clause Status**

This information is added to the “Details” tab of the Journal Code to serve as additional criteria to select the appropriate Journal Code. The confidentiality clause status (Yes or No) is specific to each journal. This clause states that the publication must be kept confidential until the journal has published it. To determine if a journal has a confidentiality clause, call the journal directly, search the journal’s website, and/or ask the scientist to obtain this information. **We must have whether the journal has a confidentiality clause before a new journal can be added to ARIS. You must provide their clause when requesting a new code.**

Journal codes for recurring meetings, workshops, congresses, symposiums, etc. will be entered without year dates or meeting number designations. For example, “5<sup>th</sup> International Meeting of Insect Physiologists” will be entered as “International Meeting of Insect Physiologists” and “2004 Proceedings of the Methyl Bromide Emissions Reduction Workshop” will be entered as “Proceedings of the Methyl Bromide Emissions Reduction Workshop”. When the citation is generated, the citation should be modified and the year or number of the meeting added.

### **Use of Generic Journal Codes**

If, at the time of submitting an ARS-115, the name of the publication has not been determined or is not known, use the appropriate generic Journal Code as listed in the Currently Available Generic Journal table below. Generic journal codes should only be used when the publication is not first formal report of original research. Describe the publication in the remarks section of the ARS-115.

Remarks: “Abstract only to be presented at the USDA, ARS Workshop on Fusarium Head Blight of Wheat, July 4-7, 2016 in St. Louis, MO.”

When a publication results and the name of the publication is known, request the specific journal code (see Requesting a New Journal Code, page 9 of this manual). When the acceptance date is added to the ARS-115, modify the generic code to the newly established specific code.

The generic Journal Codes are confidentiality No by default. If the scientist, organization, or publisher requires confidentiality until published and a generic code is used, check (T) the “Hold from Tektran until Published” box. When you add the publication date and citation, remove the check (T).

#### Currently Available Generic Journal Codes

<b>Journal Name</b>	<b>Journal Code</b>
Agricultural Experiment Station Publication	08969
Agricultural Research Service Station Bulletin	03291
Agriculture Handbook	03233
ARS Publication	00050
Book Chapter	03708
CD ROM	04317
Complete Book	04321
Electronic Publication	06844
Experiment Station Bulletins	00856
Extension Circular	00865
Extension Fact Sheets	00867
Extension Publications	00868
Extension Reports	00869
Extension Service Bulletin	00870
Germplasm Release	05659
Government Publication/Report	90148
Home Page	04862
Invention Report	05684
Laboratory Publication	01630
Meeting Abstract	04466
Meeting Proceedings	89158
PhD Dissertation	05272
Popular Publication	90145
Review Article	90146
Science and Technical Review	02299
Software and User Manual Public Release	89180
Survey Notes	04795
Symposium Proceedings	02978
Trade Journal Publication	90147
Workshop Proceedings	88918
World Wide Web	04864

Related ARS Project (# or name): - - -

ONCE ENTERED, CANNOT BE REVISED. Project association does not limit reporting on annual reports. If associated project has terminated you may report the publication on the annual report of the new D project.

**Manuscript Title:** Do not include word [abstract] or place period at end of title. Use Sentence format when typing title and capitalize all the proper nouns. The citation will be generated exactly how it is typed. For example: Winter camelina in the Northern U.S. and the potential of its use in double-cropping

**Manuscript Peer Reviewed:**  Y  N (This is up to each unit to decide whether 115 should be peer reviewed. If Yes: Please give your Unit ARIS user the ARS-533 Peer Review forms and a copy of the manuscript)

**1st Formal Report other than Abstract?**  Y  N (Select No if this is an Abstract entry) Is this the first time that this original scientific information has been made public, other than in an abstract-only? If 115 is not for original research (e.g., a literature review), mark this No.

**Does this manuscript report CRADA research?**  Y  N **Has the Cooperator Reviewed and Approved this Publication?**  Y  N  
If Yes, CRADA No.: 58 - 3K95 - (Example: 58-3K95-5-1234 or 58-3K95-5-6789M) If marked Yes will go to OTT for review

**Submitter:** \_\_\_\_\_  
(Last name, First name MI)

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

**Contact:** \_\_\_\_\_  
(Last name, First name MI)

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

**Submitter: ARIS User:** Click on the ? to the right of the block to use the List of Values (LOV)

- Must be the RL or an Active Cat. 1, 4, 6 scientist
- Submitter does not need to be an author on the publication being entered.
- Submitter & Contact can be the same person (Unit choice).

**Contact: ARIS User:** Click on the ? to the right of the block to use the List of Values (LOV)

- Must be a Permanent Federal employee of the Unit.
- It is the responsibility of the 1<sup>st</sup> ARS author to enter the 115.
- If a post doc is submitting the 115: Use the RL or a Cat. 1, 4, or 6 scientist as the Contact.
- Post docs can be listed as authors but not as the Submitter or Contact (ARIS system control, no alternative).

**Comments/Additional Info: REQUIRED** Include any changes made to a revised 115.

Enter the date of all CRADA clearance authorizations and/or all Non-ARS Author clearance approvals. All Non-ARS authors must provide written clearance.

**For meeting abstracts/presentations be sure to include meeting name, city and state and dates of the meeting.** Example: Agronomy Meetings, San Diego, CA. Nov. 1-5, 2011.

When using a generic journal code, enter additional information here: e.g., title of book that chapter will be in; media title if no code has been established for it.

Use to indicate submission to alternate journal if rejected by first; include info on first submission journal.

It is also used for any special information the ARS scientist might wish to relay to line management.

**Prominent Issues: If a Prominent Issue category is chosen from the drop-down list below, 115 will go to Area Director and ONP for approval. ONP approval is date of official approval.**

None **If Other specify:** \_\_\_\_\_

**Authors:** List all authors, authorship position, and their affiliation (ARS employee, University, Company or Organization, ARS-Retired/Collaborator, etc.) Only one senior author designation per manuscript; not required.

**Non-ARS Author Clearances:** Allows ARS to post the Non-ARS author's name/affiliation to ARS websites. It is **not** a request for Approval /permission for ARS to publish.

**ARIS User:** For non-ARS author affiliations, click on the ? to the right of the block to use the List of Values (LOV). If non-ARS author is not on LOV, send the Request for non-ARS authors form to Kathy Jones, cc Lori Wilson-Voss to have employer added to system.

Name (Last, First, MI)	Employer/Affiliation	Clearance?	Senior Author?
1		Yes	Yes
2		Yes	Yes
3		Yes	Yes
4		Yes	Yes
5		Yes	Yes
6		Yes	Yes
7		Yes	Yes
8		Yes	Yes

Additional Authors:

Name of Meeting or Journal: \_\_\_\_\_

**ARIS User:** Click on the ? to choose the correct name. If publication is not available, send the Request for Journal Code form to Kathy Jones, cc Lori Wilson-Voss to have journal added to system.

**Publication Type (choose from the drop-down list or check the appropriate box below): A - Abstract**

**U** - Research Technical Update  
(Use for Natural Resources Research Update Only)

**C** - PCT  
(Patent Cooperation Treaty)  
(Check with TTC or Patent Advisor before entering)

**Z** - Patent Application  
(Serial #: \_\_\_\_\_)  
(Check with TTC or Patent Advisor for assistance)

**H** - Germplasm Registration Article  
Plant Material Docket Number: \_\_\_\_\_  
**Note:** Plant Material Docket (PMD) entry must be entered first and approved/coded as Active in ARIS; must select the PMD # to enter 115 Germplasm Registration Article

**Previously Submitted (applies to resubmission):**  Y  N (Select Yes if it was submitted to another journal/equivalent earlier).

**NOTE:** ARIS User: the original 115 entry should be revised/updated if this is a resubmission due to rejection or other issues.

**\* Use the Remarks and state which journal it was originally submitted to, the date, reason for resubmission (i.e., rejected, inappropriate journal, etc.)**

**Hold from Tektran until:**  Published  Permanently

**Due to patent potential, is retention of intellectual property rights desired?**  Y  N (Contact Tech. Transfer Coordinator for help/info)

**Patent Information:** If Yes, please submit a Patent/Invention Disclosure form through the ARIS Licenses/Invention system; If Yes, will go to OTT for review.

**Provide the dates shown below as soon as they become available. They won't necessarily be available upon entry of new 115.** The dates are required entries in order to allow the 115 to migrate to Tektran and the ARS website. The 115 cannot be used in the Annual/Final ARS-421 Progress Report unless Dates are entered & the 115 Citation is complete.

**REQUIRED Date Submitted to Journal:** \_\_\_\_\_ (Date the manuscript or abstract is sent to the journal or other outlet).

**REQUIRED Acceptance Date:** \_\_\_\_\_ (Date journal/other outlet accepts it for publication or the committee accepts it for a meeting, etc.) (Required to be listed on the web).

**REQUIRED Publication Date:** \_\_\_\_\_ **REQUIRED Volume, Page numbers, etc.:** \_\_\_\_\_

Both publication date and volume/page number required to generate citation.

**Repository URL Field:** \_\_\_\_\_ (Do not enter the http:// in front, it defaults in). (Use the URL provided by NAL. This URL will be used for Reprints held in the NAL Digital Repository only; No other URLs should be entered here.)

**Interpretive Summary:**

**Technical Abstract:**

## Types of Incoming Agreements

### Interagency Agreement “IAA” or “IA”

The Agency can enter into a reimbursable agreement with another agency of the U. S. Department of Agriculture or an agency of another Department of the Federal government to provide services, supplies, and equipment requested by the ordering/requisitioning agency. Or, the Agency can be the ordering/requesting agency whereby we receive from the other Federal agency services, supplies and/or equipment. The legal authority for entering into this type of agreement is normally 31 USC 1535, as amended by Public Law 97-332. This statute is commonly referred to as 'The Economy Act'. When the ordering agency has broader authority, e.g. multi-year spending authority, it overrides the fund availability time limits in The Economy Act and becomes the operative authority for both parties.

### Reimbursable Cooperative Agreement “RCA”

An agreement between the Agency and a Sponsoring Organization that involves cooperative research of mutual interest between both parties where the Sponsor pays, when billed by ARS, for costs incurred in performance of project. Awarded under the authority of 7 USC 450a.

### Trust Fund Cooperative Agreement “TFCA”

Agreement between ARS and a Sponsoring Organization that involves cooperative research of mutual interest between both parties where ARS is paid in advance of performance. Awarded under the authority of 7 USC 450a.

### CRADA

A formal agreement available for cooperative research authorized by the Federal Technology Transfer Act of 1986. Two aspects of a CRADA make it unique. First, it gives the cooperator the right to negotiate an exclusive license in at least one field of use to any ARS solely owned invention(s) or jointly-owned invention(s) conceived or reduced to practice under the scope of work of the CRADA. Second, it permits ARS, at its option, to keep information developed under the CRADA confidential for up to five (5) years if such information would have been proprietary had it been generated solely by the cooperator.

ARS is required to keep confidential, indefinitely, any proprietary information given to ARS directly by the Cooperator, unless the information becomes publicly available from a source other than ARS. CRADAs are appropriate vehicles for: a) Transfer and/or further development of ARS technology, b) Research combining ARS' and a Cooperator's intellectual property or technology, and c) Discovery and development of new and/or improved products and or services. Contact your TTC/TTA or HQ, OTT for further information.

### Material Transfer Research Agreement “MTRA”

An agreement that broadens the scope of the typical MTA Agreement. The MTRA allows for cooperative research as part of the Transfer of Materials. The MTRA also allows for ARS scientist to receive funds to support research conducted as part of the Material Transfer.

# Competitive Grant Proposal

## Incoming Funds Record-Research (IFR/425) Template

*Incoming funds records (IFRs) are used to request authorization to apply for and use funds from outside sources, including participating in a collaborative role with no funds to ARS. You must always receive ARS approval before sending the proposal to the outside source for funding consideration. Submit the IFR at least 30 days before the proposal is due.*

**RED TEXT:** Required Fields.

**BLACK TEXT:** Tips, examples, general information.

**MORE INFORMATION:** ARIS online handbook [chapter 4C - Incoming Records-Research](#).

PROJECT INFO TAB	
<b>MODE CODE</b>	<ul style="list-style-type: none"> <li>Enter your complete mode code for your unit, either six or eight digit mode code.</li> </ul>
<b>START DATE</b>	<ul style="list-style-type: none"> <li>Enter the estimated start and termination dates. Select realistic dates. Projects cannot go beyond 5 years.</li> <li>Use this format: MM/DD/YYYY.</li> </ul>
<b>TERM DATE</b>	<ul style="list-style-type: none"> <li>ARIS user may click on the calendar icon or enter the dates manually.</li> </ul>
<b>STATUS</b>	<ul style="list-style-type: none"> <li>For new IFR/425, ARIS will automatically and correctly select New.</li> <li>Once the IFR/425 is approved, ARIS will change the status of most records automatically. <b>However, you must manually change the status to Active when a No-Funds-to-ARS IFR/425 is approved by the granter.</b></li> </ul>
<b>ARS PRINCIPAL INVESTIGATOR</b>	Enter Unit PI's name. In ARIS, PSA can select the Unit PI from the list of values (LOV).
<b>EMAIL</b>	Auto generated when ARS Principal Investigator is selected.
<b>PURPOSE OF FUNDS</b>	<ul style="list-style-type: none"> <li><b>Research &lt;=\$25,000</b> – This Unit is requesting \$25,000 or less. Only the Incoming Agreement will be entered into ARIS. AIMS will be added later if funds are to be awarded.</li> <li><b>Research &gt;\$25,000</b> – This Unit is requesting \$25,001 or more. If awarded, a 416/417 and AIMS will be entered into ARIS.</li> <li><b>Research-No Funds to ARS</b> – This Unit is not requesting any money. The ARS PI is participating in an advisory or collaborative capacity. No 416/417 or AIMS will be added. There will be no actual agreement; if a formal agreement is required to document responsibilities, contact the Area Program Analyst or Grants Management Specialist for advice once it is known that the grant will be funded.</li> </ul>
<b>TYPE OF AGREEMENT</b>	<ul style="list-style-type: none"> <li><b>I – Interagency Reimbursable Agreement (IRA)</b> – used for agreements when ARS receives funds directly from another Federal Agency to provide services, supplies and equipment they request. Also used when ARS submits a grant proposal directly to NIFA or other Federal agency.</li> <li><b>R – Reimbursable Cooperative Agreement (RCA)</b> – used for agreements between ARS and sponsoring organizations involving cooperative research of mutual interest where the sponsor pays when billed by ARS for costs incurred in performance of the project. Also used when purpose of funds is “No funds to ARS” or when the Original Source of Funds (OSOF) is a federal entity.</li> <li><b>T – Trust Fund Cooperative Agreement (TFCA)</b> – used for agreements between ARS and a sponsoring organization involving cooperative research of mutual interest where ARS will be paid in advance of performance.</li> </ul> <p>If you are unsure of the agreement type, contact the Admin Officer, Area PA or GMS for assistance.</p>
<b>GRANT PROPOSAL</b>	<b>YES.</b>
<b>GRANT AWARDED</b>	A grant requires the submission of a proposal to a program which will decide whether to fund it based upon a competitive or other merit-review process. Thus, grants do not include CRADAs, MTRAs, and jointly negotiated agreements. If this is a grant proposal, leave the <b>Grant Awarded</b> field blank until after you find out if your proposal is funded, then revise record to select <b>YES or NO</b> .
<b>ARS AGREEMENT HOLDER</b>	<b>YES or NO.</b> <b>YES</b> – the Unit scientist will have the relationship with the funding organization Direct Source of Funds (DSOF):
<b>ARS PROPOSED TOTAL FUNDING</b>	<ol style="list-style-type: none"> <li>ARIS activates the ARS Proposed Total Funding field.</li> <li>Enter the total amount to be received for this agreement across all ARS locations – <i>this is required when the ARS PI is the ARS Agreement Holder. Reminder: include the other ARS scientist(s) names from other units in the comments field.</i></li> </ol>

<b>ARS AGREEMENT HOLDER LOG #</b>	<ul style="list-style-type: none"> <li>▪ <b>NO</b> – an ARS scientist from another Unit will be the ARS Agreement Holder:               <ol style="list-style-type: none"> <li>1) Select ARS Agreement Holder’s IFR log number. (If log # is not selectable, enter it in the Comments.)</li> <li>2) If funded, ARIS will automatically enter the Agreement Number when the ARS Agreement Holder adds AIMS.</li> <li>3) Your Unit scientist may receive funds from the ARS Agreement Holder.</li> </ol> </li> </ul>
<b>AGREEMENT NUMBER</b>	<p><b>NO data entry is required.</b></p> <ul style="list-style-type: none"> <li>▪ Research-No Funds to ARS – <i>No Agreement Number, because there is no actual agreement.</i></li> <li>▪ Research-less than or more than \$25,000 – ARIS automatically generates an agreement number when AIMS is entered.</li> </ul> <p><b>NOTE:</b> If the Start Date (if a different FY) or agreement type is changed, the system will automatically update the agreement number and display a message, as long as the record is still in Pending status.</p>
<b>COMMENTS TAB</b>	
<b>COMMENTS</b>	<p>Examples: (#1) Grant proposal being submitted to USDA, NIFA, AFRI, (Agriculture and Food Research Initiative). If funded ARS to receive \$132,000. K. Bischoff, S. Hughes, ARS PI;</p> <p>(#2) Co-PI on an ARS research proposal submitted by KSU in the amount of \$350,000. ARS will receive \$125,000. F. Sinatra ARS PI;</p> <p>(#3) Submitting proposal to United Soybean in the amount of \$596,676, ARS PI: R. Nelson, \$449,377. Funds to other ARS researchers, \$77,085 Raleigh, NC; \$33,249 Wooster, OH; \$36,965 Stoneville, MS.</p> <p>If other ARS scientists outside of your unit will receive funds, include their names and dollar amounts in comments.</p> <p>For Research No-Funds purpose, include information on what the benefit to ARS will be in place of actual funds.</p>
<b>SOF/FUNDS TAB</b>	
<b>ORIGINAL SOF (OSOF)</b>  <b>DIRECT SOF (DSOF)</b>	<ul style="list-style-type: none"> <li>▪ <b>Original Source of Funds (OSOF):</b> If another entity will provide funds to the DSOF, select it. If NIFA is source, be sure to use specific code for the particular NIFA program. There may or may not be an OSOF. If OSOF agency name does not appear in the reference table, complete the SOF request form (available at <a href="http://www.arsnet.usda.gov/mwacop/sop/index.html">http://www.arsnet.usda.gov/mwacop/sop/index.html</a>) and send it to Area PA, Lori Wilson-Voss.</li> <li>▪ <b>Direct Source of Funds (DSOF):</b> Select the entity that will provide funds to ARS. If it does not appear in the reference table, complete the SOF request form and send it to Area PA, Lori Wilson-Voss. .</li> </ul>
<b>IPSC</b>	<p><b>EXEMPT or NON-EXEMPT.</b></p> <ul style="list-style-type: none"> <li>▪ Indirect Program Support Costs (IPSC) are based on whether the Original Source of Funds (OSOF) is non-exempt or exempt. If there is no OSOF, then IPSC is based on the DSOF. (See <a href="#">P&amp;P 329.5</a> for more information.) For non-exempt entities, the IPSC will be 10% of the gross dollars requested. If IPSC is entered incorrectly, the system will display a warning message, but you will still be able to proceed with the action.</li> <li>▪ IPSC is not charged for exempt entities. It is also not charged for agreements with a total to ARS less than \$10,001. However, if funds are later added and the total agreement reaches \$10,001 or more, the IPSC will be charged on the new increment at that time. (See <a href="#">P&amp;P 329.5</a> for more information.)</li> </ul>
<b>BUDGET RECORD DETAILS:</b>	<p>Budget only for funds that will be coming to your Unit. This amount may differ from ARS Proposed Total funding if some money will go to other ARS units. Leave this section blank if the incoming fund record is coded as Research-No Funds to ARS.</p> <p><b>Example:</b></p> <ul style="list-style-type: none"> <li>▪ Determine total proposed amount, for instance – \$50,000.</li> <li>▪ Calculate IPSC – \$50,000 x 10% for non-exempt or \$0 for exempt.</li> <li>▪ Enter IPSC amount in IPSC field – \$5,000 for non-exempt; or \$0 for exempt.</li> <li>▪ Distribute remaining funds among other budget categories.</li> </ul> <p>Possible expenses for some budget categories are shown below.</p>

<b>Fed Salaries</b>	Post-doc, temporary technician, Pathways Student, etc.
<b>Equipment</b>	
<b>Supplies</b>	
<b>Travel</b>	
<b>Other</b>	Publication costs, computer costs, services (for example, data entry or chemical analyses).
<b>Extramural</b>	This includes CA, NACA, Outgoing Interagency (ORISE post docs Oak Ridge Institute for Science and Education), Grants and RSAs (Research Support Agreements) in this category. Ensure the Extramural total matches the amount shown in the Org/Inhouse tab under Non-ARS Performing Organizations.
<b>IPSC</b>	Enter 10% of the total proposed if the OSOF is non-exempt. Leave blank if the OSOF is exempt. If there is no OSOF, then the IPSC is based on the DSOF.
<b>Prior Proposed</b>	Automatically generated when an approved budget is revised.
<b>Proposed Amount</b>	Automatically generated, should equal the total of the amounts above.
<b>Total Proposed</b>	Automatically generated.

<b>DEALINGS/ETHICS TAB</b>	
<b>ARS PI FINANCIAL DEALINGS</b> <i>If Yes, please explain.</i>	<b>YES or NO.</b> Does the ARS PI or any full-time resident of your household have any activity or financial interest (dealings) with the Corresponding Organization or are you applying as an adjunct scientist?
<b>CONFLICT OF INTEREST DOCUMENTATION</b>	<b>SEB-102 Conflict of Interest Certification</b> is not required when the IFR is first entered and approved. If funds are later awarded by a non-Federal source, then the PI must complete the SEB-102 when AIMS is entered at RL level (or initial level of entry) and the SEB-102 pdf must be uploaded to ARIS. <i>SEB-102 pdf upload is required when funds are awarded.</i>
<b>AREA ETHICS ADVISOR</b>	Area will respond to this question.
<b>IF "DEALINGS", ENTER A BRIEF EXPLANATION</b>	
<b>OBJ/APP/KEY TAB</b>	

<b>OBJECTIVE</b>	Do not use Smart quotes, special characters, bullets, tabs, or brand names; use “cooperator” in place of any names of individuals. If this is a subaward, make sure to indicate the specific objective of the ARS investigator. <b>(3,200 character maximum)</b>
<b>APPROACH</b>	Describe the approach that the ARS investigator will use on his/her portion of the research. Use “cooperator” in place of any names of individuals and do not include brand names. <b>(3,200 character maximum)</b>
<b>KEYWORDS</b>	Enter each keyword or phrase on a single line (e.g., Integrated Pest Management). ARIS will change all entries to UPPER CASE.
<b>TITLE/DELIVER TAB</b>	
<b>TITLE OF PROPOSAL</b>	Use Title Case (e.g., Dual-Duty Winter Oilseeds Suppress Herbicide-Resistant Weeds). Avoid abbreviations and do not put a period (.) at the end. This should match the title on the proposal or document from a non-grant funding organization. <b>(148 character maximum)</b>
<b>DELIVERABLES/ANTICIPATED PRODUCTS/OUTCOMES</b>	Describe what ARS will provide the funding organization. (unlimited characters)

<b>ORG/INHOUSE TAB</b>	
<b>WILL ANY FUNDING RECEIVED BE GIVEN TO ANOTHER INSTITUTION OR ENTITY (NON-ARS)?</b>	<p><b>YES or NO.</b></p> <ul style="list-style-type: none"> <li>▪ If yes, the Sub Recipient Organization section is activated.</li> <li>▪ Select the organization from the LOV. If the organization does not appear in the reference table, complete the SOF-POC Code Request Form (Available at <a href="http://www.arsnet.usda.gov/mwacop/sop/index.html">http://www.arsnet.usda.gov/mwacop/sop/index.html</a>) and send it to Area PA, Lori Wilson-Voss.</li> <li>▪ Select the agreement type (CA, OIA, G, RSA, NFCA or NACA). Ensure the total matches the amount shown in the Budget Record Details under Extramural under the SOF/Funds tab.</li> <li>▪ Enter the anticipated amount.</li> <li>▪ Enter a reason for the extramural agreement. Such as what research the cooperator will be conducting/providing. This includes research conducted by grad students.</li> </ul> <p>NOTE: This field must be updated later if the amounts or organizations change, if funded. This field must agree with any outgoing agreements funded by the incoming agreement.</p>
<b>IN-HOUSE INFO</b>	<p><b>Identify the related in-house D project number.</b></p> <ul style="list-style-type: none"> <li>▪ Select the related in-house D project number.</li> <li>▪ Ensure it is a valid D project that is not past its term date.</li> <li>▪ Ensure the D project shows the ARS PI as an investigator.</li> </ul>
<b>RELEVANCE TO PARENT PROJECT</b>	<p>Provide the following information:</p> <ul style="list-style-type: none"> <li>▪ Identify the objective/subobjective, milestone, and deliverables from the parent project that this project will relate to.</li> <li>▪ Show the amount of time and effort the ARS PI(s) will be putting into this project (average annual SY time). If there's more than one investigator, show time for each individual.</li> <li>▪ Show the amount of time and effort of technicians (average annual time).</li> <li>▪ Explain how participating in this project will benefit your Research Project. It is especially important to explain the benefit if no funds will be coming to ARS. For example, will it be in kind supplies, personnel be added to your laboratory? Will you have access to additional data sets, etc.?</li> <li>▪ Name(s) of cooperator(s) and affiliation.</li> <li>▪ Proposal deadline.</li> </ul> <p><b>Example:</b> Objective 1: Evaluate land use systems over agricultural landscapes to determine the effects of management and landscape setting on N dynamics. Objective 2: Develop and evaluate cropping systems for optimal biomass production that maintain or enhance soil productivity. The major milestone (Objective 1-3, 60 month) of the parent project that will be supported are: Collection of soil and biomass samples within perennial grass systems to evaluate land use as well as biomass harvesting impacts on soil quality, nitrogen dynamics and productivity; and development of partial N and economic budgets of multiple production practices. The major deliverable of the parent project the proposal will support is development of a decision tool to evaluate the impact of bioenergy production systems on N dynamics, metrics for economic N and energy budgets to evaluate current and potential production practices, and recommendations to integrate or establish alternative production systems. Thus, the funds <b>will enhance the</b> OSQR-approved objectives and milestones. Cooperators: Dr. Bradley Smith (PD), University of Minnesota; Dr. Marcia Jones, Department of Animal Science; Dr. Craig McCoy, Department of Agronomy and Plant Genetics, University of Minnesota. ARS PI will spend 5% of her time on this project. Grant-supported technician will spend 100% time on this project. Proposal Deadline: 8/5/2016.</p>
<b>CODING TAB</b>	
<b>CODING</b>	ARIS automatically enters the National Program codes. Other codes cannot be entered now. If funds are awarded later, then you must enter coding on the Incoming Funds Record (agreements \$25,000 or less) or on the 416/417 (agreements \$25,001 or more).
<b>RELATED DOCS TAB</b>	
<b>RELATED DOCS</b>	Upload any communication or documents relevant to this IFR (i.e. proposal)

Generally, the approval chain is Research Leader → CD/LD/DAD → Area Director → ONP → Approved. **However**, incoming funds records under \$50,000 are approved by the Area Director and do **not** go to ONP. All CRADAs and MTRAs of any proposed amount **do** go to ONP for approval. Location line management may signify their approval on the ARIS incoming funds record itself or by signing this template on the lines below.

\_\_\_\_\_  
Research Leader

\_\_\_\_\_  
Date

\_\_\_\_\_  
Center Director

\_\_\_\_\_  
Date

**Once approved, the IFR will show in Active records with Pending status (no funds posted). ARS PI must notify PSA and location AO when the funding organization has determined whether the proposal will receive funding or not.**

**If the proposal is not going to be funded, the PSA will pull up the record in Active, mark it, and select Unfund Incoming Record from the Action menu.**

**If the proposal is to be funded, and all details on the IFR are current and accurate, the PSA will pull up the record in Active, mark it, and select Create Work Record – Amendment from the Action menu.**

## Updating IFR info, adding the 416/417 (when required due to level of funding), and adding AIMS

In generated IFR work record, review and update information as necessary to reflect the final arrangements for the project that is being funded. Note in Comments what is being changed. Do not make unnecessary revisions.

PROJECT INFO TAB	
<b>START DATE</b> <b>TERM DATE</b>	<ul style="list-style-type: none"> <li>Update start date to reflect when funds are anticipated to be received and term date to reflect when the project will end.</li> </ul>
<b>STATUS</b>	<ul style="list-style-type: none"> <li>Status should show Revision, which is correct.</li> <li>However, if the record is a No-Funds-to-ARS IFR, the PSA should change status to Active to show that an ongoing project is in place even though there is no actual agreement. No 416/417 or AIMS will be added, so once IFR is updated, save to send for approval.</li> </ul>
<b>ARS PRINCIPAL INVESTIGATOR</b>	Rarely should the PI change. If the PI has changed, update information and note prior PI and reason for the change in Comments.
<b>PURPOSE OF FUNDS</b>	<ul style="list-style-type: none"> <li>Verify that the purpose of funds is correct, particularly if funding amount has changed.</li> <li>Revising this block will require revision to the budget information</li> <li>Records marked <b>Research &gt;\$25,000</b> will require that a 416/417 be added to the IFR before AIMS is added.</li> </ul>
<b>TYPE OF AGREEMENT</b>	<p><b>Revise if necessary to accurately reflect the flow of funds</b></p> <ul style="list-style-type: none"> <li><b>I – Interagency Reimbursable Agreement (IRA)</b> –DSOF is another Federal agency.</li> <li><b>R – Reimbursable Cooperative Agreement (RCA)</b> – No funds to ARS, or OSOF is a Federal entity, or when the DSOF pays when billed by ARS for costs incurred in performance of the project.</li> <li><b>T – Trust Fund Cooperative Agreement (TFCA)</b> – The DSOF pays ARS in advance of performance.</li> </ul> <p>If you are unsure of the agreement type, contact the GMS for assistance.</p>
<b>GRANT PROPOSAL</b> <b>GRANT AWARDED</b>	<b>YES.</b> <b>If Grant Awarded is not already updated to Yes, revise now.</b>
<b>ARS AGREEMENT HOLDER</b>	<b>YES OR NO. Rarely should this change. Revise only if the lead ARS PI has changed.</b>
<b>ARS PROPOSED TOTAL FUNDING</b>	<ul style="list-style-type: none"> <li><b>YES</b> – the Unit scientist will have the relationship with the funding organization (DSOF):               <ol style="list-style-type: none"> <li>Update the Total Amount to be received, if necessary (must update this field before budget tab can be revised)</li> </ol> </li> </ul>
<b>ARS AGREEMENT HOLDER LOG #</b>	<ul style="list-style-type: none"> <li><b>NO</b> – an ARS scientist from another Unit will be the ARS Agreement Holder:               <ol style="list-style-type: none"> <li>If ARS Agreement Holder’s IFR log number has not been entered previously, select it now.</li> </ol> </li> </ul>
<b>AGREEMENT NUMBER</b>	<p><b>NO data entry is required.</b></p> <ul style="list-style-type: none"> <li>Research-No Funds to ARS – <i>No Agreement Number, because there is no actual agreement.</i></li> <li>Research-less than or more than \$25,000 – ARIS automatically generates an agreement number when AIMS is entered.</li> </ul> <p><b>NOTE:</b> If the Start Date (FY) or agreement type is changed, the system will automatically update the agreement number and display a message, as long as the record is still in Pending status.</p>
COMMENTS TAB	
<b>COMMENTS</b>	<p>A general description of the action is required. Include summary of changes made to the IFR.</p> <p><b>Examples:</b></p> <ul style="list-style-type: none"> <li>Adding 416/417 and AIMS to funded IFR; revising budget from anticipated \$24,000 to approved \$28,000.</li> <li>Revising IFR dates and funding to show funds will be provided on a yearly basis contingent upon successful completion of work. Funding level revised from \$30,000 for 2 years to \$12,500 for year 1 only. Adding AIMS to record.</li> <li>Revising from Funding of \$5,000 to No Funds to ARS because funding organization cut budget; ARS PI to continue on project and will receive in-kind supplies valued at \$1,000.</li> <li>Revising status on No-Funds to ARS proposal to show Active; funding received by submitting PI; cooperative project is now ongoing. No NFCA is needed to formally assign responsibility.</li> <li>Revising IFR to note change in ARS PI due to resignation of prior ARS PI; project funded; AIMS added.</li> <li>Adding 416/417 and AIMS to funded IFR; correcting SOF to accurately reflect source of funds.</li> </ul>

<b>SOF/FUNDS TAB</b>	
<b>ORIGINAL SOF (OSOF)</b> <b>DIRECT SOF (DSOF)</b>	<ul style="list-style-type: none"> <li>Rarely should this need to be revised, but do revise if necessary; note correction in Comments.</li> </ul>
<b>BUDGET RECORD DETAILS:</b>	<p>Revise budget details if necessary. NOTE: The original budget figures show as the Prior Proposed Amount, but do not show in the individual categories; these DO show in the record in Active. If dollar amounts have changed, print a copy of Active record to assist when revising figures. To revise the amount in a category, first determine the difference between the ORIGINAL amount and the NEW AMOUNT. If the new amount is less than the Original amount, enter a negative number in the block; for a larger new amount, enter a positive number in the block.</p> <p>Note that if the funding amount drops below \$10,000, IPSC will no longer be assessed and that amount will be available for redistribution among the other categories.</p> <p><b>Prior Proposed</b> Funding amount on the original IFR.</p> <p><b>Proposed Amount</b> Total amount of change (negative for a reduction; positive for an increase).</p> <p><b>Total Proposed</b> Total of new funding amount.</p>
<b>DEALINGS/ETHICS TAB</b>	
<b>ARS PI FINANCIAL DEALINGS</b> <i>If Yes, please explain.</i>	<p><b>Revise only if the ARS PI has changed for some reason.</b></p> <p>Does the ARS PI or any full-time resident of your household have any activity or financial interest (dealings) with the Corresponding Organization or are you applying as an adjunct scientist?</p>
<b>CONFLICT OF INTEREST DOCUMENTATION</b>	<b>SEB-102 Conflict of Interest Certification</b> needs to be uploaded here once the agreement number has been generated (when AIMS is added). SEB-102 is only required for the ARS Agreement Holder.
<b>AREA ETHICS ADVISOR</b>	Area will respond to this question.
<b>OBJ/APP/KEY TAB</b>	
<b>OBJECTIVE</b>	<p>Revise only if necessary to reflect final project that is being funded. Include comment stating objectives were modified/revised.</p> <p>Do not use Smart quotes, special characters, bullets, or tabs; avoid names of individuals. If this is a subaward, make sure to indicate the specific objective of the ARS investigator. <b>(3,200 character maximum)</b></p>
<b>APPROACH</b>	<p>Revise only if necessary to reflect final project that is being funded. Include comment stating approach was modified/revised.</p> <p>Do not use Smart quotes, special characters, bullets, or tabs; avoid names of individuals.</p> <p>Describe the approach that the ARS investigator will use on his/her portion of the research. <b>(3,200 character maximum)</b></p>
<b>KEYWORDS</b>	<p>Revise only if necessary to reflect final project that is being funded.</p> <p>Enter each keyword or phrase on a single line (e.g., Integrated Pest Management). ARIS will change all entries to UPPER CASE.</p>
<b>TITLE/DELIVER TAB</b>	
<b>TITLE OF PROPOSAL</b>	<p>Revise if proposal title has been changed; it should be the same as what shows on the award letter.</p> <p>Use Title Case (e.g., Dual-Duty Winter Oilseeds Suppress Herbicide-Resistant Weeds). Avoid abbreviations and do not put a period (.) at the end. This should match the title on the proposal, LOI, or document from funding organization. <b>(148 character maximum)</b></p>
<b>DELIVERABLES/ANTICIPATED PRODUCTS/OUTCOMES</b>	<p>Revise only if necessary to reflect final project that is being funded.</p> <p>Describe what ARS will provide the funding organization. (unlimited characters)</p>

ORG/INHOUSE TAB	
<b>WILL ANY FUNDING RECEIVED BE GIVEN TO ANOTHER INSTITUTION OR ENTITY (NON-ARS)?</b>	<p><b>YES or NO. Revise as necessary to note all funds that will be passed through to another organization.</b></p> <ul style="list-style-type: none"> <li>▪ If yes, the Sub Recipient Organization section is activated.</li> <li>▪ Select the organization from the LOV. If the organization does not appear in the reference table, complete the SOF-POC Code Request Form and send it to Area Program Analyst.</li> <li>▪ Select the agreement type (CA, OIA, G, RSA or NACA).</li> <li>▪ Enter the anticipated amount.</li> <li>▪ Ensure the total entered here matches the Extramural amount in the Budget Record Details.</li> <li>▪ Enter a reason for the extramural agreement.</li> </ul> <p>NOTE: This field should be kept accurate because it serves as a check when actions for outgoing agreements are completed.</p>
<b>IN-HOUSE INFO</b>	<p><b>Revise only if the related in-house D project has changed. All subordinate projects must be associated with a current Active D project.</b></p>
<b>RELEVANCE TO PARENT PROJECT</b>	<p>Revise only if necessary to reflect accurate relationship of final funded project to in-house project. Examples of information you can include in this field are:</p> <ul style="list-style-type: none"> <li>▪ Identify the objective/subobjective, milestone, and deliverables from the parent project that this project will relate to.</li> <li>▪ Show the amount of time and effort the ARS PI(s) will be putting into this project (average annual SY time over the life of the project). If there's more than one investigator, show time for each individual.</li> <li>▪ Explain how participating in this project will benefit your Research Project. It is especially important to explain the benefit if no funds will be coming to ARS. For example, will in kind supplies, personnel be added to your laboratory? Will you have access to additional data sets, etc.?</li> <li>▪ If funds will be used for extramural research, discuss here what will be done and why it cannot be done in-house.</li> </ul>
CODING TAB	
<b>CODING</b>	<p>For No-Funds to ARS and Research ≤ \$25,000, enter codes now. ARIS automatically enters the National Program codes. Other codes should be selected from the entries pulled in from the parent project.</p> <p><b>Suggestion:</b> <i>Print a current copy of the related in-house D project to review and identify the appropriate codes and percentages for the planned agreement. All codes on the D project can be selected, or just some of the codes, but a minimum of one code in each category is required (mark it as 100% if using only one).</i></p> <p><i>Special codes are entered ONLY on records that have a 416/417 added. Farm Bill (FBP) and Sustainable Agriculture (SA+ or -) must be used for incoming agreements with a 416/417.</i></p> <p><b>FOS = Field Of Science; RPA = Research Problem Area; SOI = Subject of Investigation; Sub-Activity Codes STP Codes = Strategic Plan; National Program (NP codes cannot be changed).</b></p>

Once the IFR is updated, save the record and return to the List tab.

If the funding amount exceeds \$25,000, select the appropriate work record and then select the button for Add/Generate 416. If the funding amount does not exceed \$25,000, select the appropriate work record and then select the button for AIMS.

**If a 416/417 is required because of the amount of funding, enter that first, before adding AIMS.**

### Adding the 416/417, when required due to level of funding

PROJECT INFO TAB	
	<p>Accession and project number will be generated; fourth field of the project number may be revised if desired to accommodate location numbering preferences. Note: No project number field combination may ever be reused.</p> <p>Information available on the IFR will populate in.</p> <p>Performing Institute will always be ARS</p> <p>Agreement number will be generated when AIMS is added, but do mark whether Agreement is to be with SAES or Other.</p>
COMMENTS TAB	
	New comments that were entered on the IFR during revision will propagate onto the 416/417.
OBJ/APP/KEY TAB	
	Objectives, Approach, and Keywords populate in from the IFR. Once 416/417 is added this is where all changes will be made. No longer able to change on IFR.
INVESTIGATORS TAB	
	The ARS PI populates in from the IFR. If any other investigators in the Unit will be involved, they should be queried in.
CODING	
	<p>For Research &gt;\$25,000, enter codes now. ARIS automatically enters the National Program codes. Other codes should be selected from the entries pulled in from the parent project.</p> <p><b>Suggestion:</b> <i>Print a current copy of the related in-house D project to review and identify the appropriate codes and percentages for the planned agreement. All codes on the D project can be selected, or just some of the codes, but a minimum of one code in each category is required (mark it as 100% if using only one).</i></p> <p><i>Special codes are entered ONLY on records that have a 416/417 added. Farm Bill (FBP) and Sustainable Agriculture (SA+ or -) must be used for incoming agreements with a 416/417.</i></p> <p><b>FOS = Field Of Science; RPA = Research Problem Area; SOI = Subject of Investigation; Sub-Activity Codes</b>  <b>STP Codes = Strategic Plan; National Program (NP codes cannot be changed).</b></p>

Save record and return to List tab; note that the record is now controlled by the 416 accession and project number, although the IFR log number is still accessible through query. Select the appropriate record and then select the AIMS button.

**Adding AIMS (only when ARS Agreement Holder = Yes). Most information will automatically populate in, but should be verified for accuracy and revised if necessary.**

<b>AGREEMENTS TAB</b>	
	<p>Information from the IFR and/or 416/417 will populate in.            Agreement number will be automatically generated.            Select Specialist from LOV (JoAnn Volk for most locations, Kristy Wallace for WI, MN and MO).  <b>Incoming Agreement No.</b> is used if primary award is from another entity and ARS is receiving this as a subaward, i.e. NIFA, Universities (would use their agreement number). ADO will enter this info, leave blank  <b>Comments</b> are only required on revisions; these will print on the agreement cover sheet (REE-451)</p>
<b>AGY/ARS PI/FINANCE TAB</b>	
	<p>Information from the IFR and/or 416/417 will populate in.  <b>Assure ARS PI phone and email are included.</b>  <b>Select appropriate budget office. Peoria or Wyndmoor. You will need to type over the ADO name to appropriate budget person.</b>            Add Agency Finance Office email and phone number for appropriate Budget Analyst  <a href="mailto:Lisa.gettinger@ars.usda.gov">Lisa.gettinger@ars.usda.gov</a> for most locations except WI and MO. WI and MO enter Sandra.dubois@ars.usda.gov.            Assure zip+4 is shown.</p>
<b>COOPERATOR INFO TAB</b>	
<b>Type Performing Org</b>	Always defaults to 01 USDA/ARS Laboratory for incoming agreements
<b>POC NAME</b>	Query in AIMS Recipient Code; add Point of Contact for Agreements (who would sign for cooperator), address and phone number of the Cooperating Organization (assure zip+4 is shown). Recipient phone number and email are required and should be entered at location level if known.
<b>Non-Federal Entity/Federal Agency Principal Investigator</b>	Name and address of the Science our scientist(s) is collaborating with (assure zip+4 is shown); email and phone number are required.
<b>PAYMENT/REPORT TAB</b>	
ADO Entry Only	
<b>ACCOUNTING TAB</b>	
	Enter assigned 999-9999-999, FY of the funding, and dollar amount. If more than one-year agreement, enter only amount for current FY. Multiple lines may be entered when necessary (usually in association with multiple ARS investigators on the project. This total should agree with the budget total in AIMS and ARIS.
<b>PROVISIONS TAB</b>	
ADO Entry only	
<b>E-GREEN TAB</b>	
<b>E-GREEN</b>	Used for uploading relevant documents (for example, financial reports).
<b>SOMI/MUTUAL INTEREST</b>	
<b>SOMI and MA</b>	This will only be used by the GMS to put additional T&C as may be required when using our agreement as the official agreement.
<b>PARTIES AGREE TO TAB</b>	

**Cooperator Agrees To**

If using cooperator’s agreement, simply type “See Attached Agreement”.

If using ARS-generated agreement, enter information on Cooperator responsibilities (if possible, use copy/paste to avoid retyping text)

# Conduct at Cooperator facilities and elsewhere as appropriate, research directed toward... activities include (when applicable):  
*(Complete sentence and outline sponsor’s duties and responsibilities necessary for successful completion of the project objective(s), when applicable.)*

# Reimburse the U.S. Department of Agriculture, Agricultural Research Service (USDA-ARS) for the work performed as described herein, in accordance with payment requests provided to the Sponsor by the USDA. The total for USDA-ARS reimbursement shall not exceed \$0.00.

# **Reimbursable:** Upon receipt of a bill/invoice from the USDA, cite the ARS Agreement number \_\_\_\_\_ on all checks made payable to the USDA-ARS. Remit payments to:  
 USDA National Finance Center, Administrative Collection, P.O. Box 70782, Chicago, IL 60873.

**ARS Agrees To**

# **Trust:** Mailed to finance person on agreement.

If using cooperator’s agreement, simply type “See Attached Agreement”.

If using ARS-generated agreement, enter information on ARS responsibilities (if possible, use copy/paste to avoid retyping text.

# Conduct research on the following aspects of the project:  
*(Outline ARS PI duties and responsibilities necessary for successful completion of the project objective(s) or attach the ARS proposal submitted to the sponsor and approved*

**COMMENTS TAB**

Not required, but may be used to add any SOW/Budget comments; designate if comments should be for internal use only or not.

**REIMB/RECV TABS (2)****Reimb/Recv**

Only the Reimb/Recv screens are required. These show the breakout for how ARS will utilize the funds received. The total amount should match the AIMS accounting tab information. This amount should also agree with the Total Proposed Funds in ARIS. Provide detailed descriptions where noted; itemization required for Materials and Supplies over \$1000. **NEW REQUIREMENT** for Salaries: Salary information must be broken out by roles and salary and fringe must be separated. Also, a budget summary must also be included.

Role	Salary	Fringe
Senior/Key Person	\$25000.00	\$8750.00
Other Personnel (Post Doc, Associate, Graduate)	\$105000.00	\$36750.00
Support Personnel/Secretarial/Clerical	\$6120.00	\$489.60

The Key Person (NFE PI) salary is based on 3 months of “summer salary” and a respective fringe benefit rate of 35%.

Other Personnel consists of salary for one TBD full-time post doc with an estimated salary of \$70000.00; one TBD full-time graduate student with an estimated salary of \$35000.00; and 3 TBD undergraduate students each working during the academic year at an estimated rate of \$2040.00 per student. The total estimated fringe of \$45989.60.00 was calculated at 35% for the post doc, 18% for the graduate student, and 8% for the undergraduate students.

Subaward amount in this section and Org/Inhouse tab in ARIS need to agree.

**SEB-102**

**BE SURE THAT AFTER AIMS HAS GENERATED THE AGREEMENT NUMBER, THE SEB-102 FORM IS COMPLETED, SIGNED BY THE ARS PI, SCANNED TO PDF, AND ENTERED INTO THE IFR DEALING/ETHICS TAB.**

## CRADA - MTRA

### Incoming Funds Record-Research (IFR/425) Template

*Incoming funds records (IFRs) are used to request authorization to apply for and to use funds from outside sources, including participating in a collaborative role with no funds to ARS. They are also used to document participation in a Cooperative Research and Development Agreement (CRADA) or a Material Transfer Research Agreement (MTRA) that involves using material you transfer to another entity for research purposes. You must always receive ARS approval before participating in any outside agreement. For CRADA or MTRA, assure that the partner organization is established in the SOF table and the AIMS Recipient table. You will enter ARIS action, ARIS and AIMS on the initial entry.*

**RED TEXT:** Required Fields.

**BLACK TEXT:** Tips, examples, general information.

**MORE INFORMATION:** ARIS online handbook [chapter 4C - Incoming Records-Research](#)

PROJECT INFO TAB	
<b>START DATE</b>	<ul style="list-style-type: none"> <li>Enter the estimated start and termination dates. Projects cannot go beyond 5 years.</li> <li>Use this format: MM/DD/YYYY. Select realistic dates, although dates will be revised as necessary to synchronize with the OTT agreement documents.</li> </ul>
<b>TERM DATE</b>	<ul style="list-style-type: none"> <li>ARIS staff may click on the calendar icon or enter the dates manually.</li> </ul>
<b>STATUS</b>	<ul style="list-style-type: none"> <li>For new 425, ARIS will automatically and correctly select New. Leave it that way.</li> </ul>
<b>ARS PRINCIPAL INVESTIGATOR</b>	Enter Unit PI's name. In ARIS, PSA can select the Unit PI from the list of values (LOV).
<b>EMAIL</b>	Enter the Unit PI's email address.
<b>PURPOSE OF FUNDS</b>	<ul style="list-style-type: none"> <li><b>Research &lt;=\$25,000</b> – This Unit is requesting \$25,000 or less. Only the Incoming Agreement and AIMS will be entered into ARIS.</li> <li><b>Research &gt;\$25,000</b> – This Unit is requesting \$25,001 or more. A 416/417 also will be entered into ARIS, along with the AIMS.</li> <li><b>Research-No Funds to ARS</b> – This Unit is not requesting any money. Only the Incoming Agreement and AIMS will be entered into ARIS.</li> </ul>
<b>TYPE OF AGREEMENT</b>	<ul style="list-style-type: none"> <li><b>C – Cooperative Research And Development Agreement (CRADA)</b> – used for formal agreements between ARS and a cooperator involving cooperative research to transfer and develop ARS technology; combine ARS' and cooperator's intellectual property or technology; and develop or discover new or improved products or services. Do not use this type for a grant proposal.</li> <li><b>H – Material Transfer Research Agreement (MTRA)</b> – used for agreements between ARS and another organization involving the transfer of ARS research materials, allows for cooperative research with the materials, and allows ARS to receive funds to support this research. Do not use this type for a grant proposal. OTT will provide guidance as to which type is appropriate.</li> </ul>
<b>GRANT PROPOSAL</b>	<b>NO.</b> A CRADA or MTRA does not involve a grant proposal.
<b>ARS AGREEMENT HOLDER</b>	<b>YES or NO.</b>
<b>ARS PROPOSED TOTAL FUNDING</b>	<ul style="list-style-type: none"> <li><b>YES</b> – the Unit scientist will have the relationship with the funding organization (DSOF): <ol style="list-style-type: none"> <li>ARIS activates the ARS Proposed Total Funding field.</li> <li>Enter the total amount to be received for this agreement across all ARS locations. <i>Required when ARS Agreement Holder = Yes.</i></li> </ol> </li> </ul>
<b>ARS AGREEMENT HOLDER LOG #</b>	<ul style="list-style-type: none"> <li><b>NO</b> – an ARS scientist from another Unit will be the ARS Agreement Holder: <ol style="list-style-type: none"> <li>Select ARS Agreement Holder's IFR log number. (If log # is not selectable, enter it in the Comments.)</li> <li>The ARS Agreement Holder record will be primary; any funds to your Unit scientist will be posted to your record when funds are received by the ARS Agreement Holder.</li> <li>If log # is not selectable, it will be necessary to create a correction record to add it later. At that point ARIS will link the records and enter the Agreement Number on all associated records.</li> </ol> </li> </ul>
<b>AGREEMENT NUMBER</b>	<p><b>NO data entry is required.</b> ARIS automatically generates an agreement number when AIMS is entered.</p> <p><b>NOTE:</b> If the Start Date (FY) or agreement type is changed, the system will automatically update the agreement number and display a message, as long as the record is still in Pending status.</p>
COMMENTS TAB	
<b>COMMENTS</b>	<p>A general description of the action; NOTE: if a 416/417 is to be entered, IFR comments will propagate onto the 416.</p> <p><b>Examples:</b></p> <ul style="list-style-type: none"> <li>A no-funds CRADA with ICRISAT, F. Sinatra, ARS PI.</li> <li>New CRADA with Trece, Inc., in the amount of \$5000. D. Martin, ARS PI.</li> <li>New MTRA between Pioneer Pet Products LLC, S. Davis, Jr., ARS PI. FY16 funds of \$20,000.</li> </ul>
SOF/FUNDS TAB	
<b>ORIGINAL SOF (OSOF)</b>	<ul style="list-style-type: none"> <li><b>Original Source of Funds (OSOF):</b> There should not be an OSOF on a CRADA or MTRA, unless the Area Tech Transfer Coordinator provides guidance.</li> </ul>
<b>DIRECT SOF (DSOF)</b>	<ul style="list-style-type: none"> <li><b>Direct Source of Funds (DSOF):</b> Select the entity that will provide funds to ARS. If it does not appear in the reference table, complete the SOF request form and send it to Area Program Analyst.</li> </ul>



<b>KEYWORDS</b>	Enter each keyword or phrase on a single line (e.g., Integrated Pest Management). ARIS will change all entries to UPPER CASE.
<b>TITLE/DELIVER TAB</b>	
<b>TITLE OF PROPOSAL</b>	Use Title Case (e.g., Dual-Duty Winter Oilseeds Suppress Herbicide-Resistant Weeds). Avoid abbreviations and do not put a period (.) at the end. This should match the title on the OTT document from a non-grant funding organization. <b>(148 character maximum)</b>
<b>DELIVERABLES/ANTICIPATED PRODUCTS/OUTCOMES</b>	Describe what ARS will provide the funding organization. (unlimited characters)
<b>ORG/INHOUSE TAB</b>	
<b>WILL ANY FUNDING RECEIVED BE GIVEN TO ANOTHER INSTITUTION OR ENTITY (NON-ARS)?</b>	<p><b>YES or NO.</b></p> <ul style="list-style-type: none"> <li>▪ If yes, the Sub Recipient Organization section is activated.</li> <li>▪ Select the organization from the LOV. If the organization does not appear in the reference table, complete the SOF-POC Code Request Form and send it to MWA Area Program Analyst.</li> <li>▪ Select the agreement type (CA, NFCA, OIA, G, RSA or NACA).</li> <li>▪ Enter the anticipated amount.</li> <li>▪ Ensure the total entered here matches the Extramural amount in the Budget Record Details.</li> <li>▪ Enter a reason for the extramural agreement.</li> <li>▪ <b>ANY SUBAWARD MUST BE APPROVED BY THE AREA TECH TRANSFER COORDINATOR AND MUST BE PART OF THE CRADA OR MTRA AGREEMENT DOCUMENT</b></li> </ul>
<b>IN-HOUSE INFO</b>	<p><b>Identify the related in-house D project number.</b></p> <ul style="list-style-type: none"> <li>▪ All subordinate projects must be related to a current Active in-house project.</li> <li>▪ Select the related in-house D project number.</li> <li>▪ Ensure it is a valid D project that is not past its term date.</li> <li>▪ Ensure the D project shows the ARS PI as an investigator.</li> </ul>
	<p>Information you need to include in this field is:</p> <ul style="list-style-type: none"> <li>▪ Identify the objective/subobjective, milestone, and deliverables from the parent project that this project will relate to.</li> <li>▪ Show the amount of time and effort the ARS PI(s) will be putting into this project (average annual SY time over the life of the project). If there's more than one investigator, show time for each individual.</li> <li>▪ Explain how participating in this project will benefit your Research Project. It is especially important to explain the benefit if no funds will be coming to ARS. For example, will in kind supplies, personnel be added to your laboratory? Will you have access to additional data sets, etc.?</li> <li>▪ If funds will be used for extramural research, include the name of cooperator and affiliation.</li> </ul> <p><b>Example:</b> Objective 2: Develop commercially viable methods that utilize naturally-derived antioxidants and anti-polymerization compounds to improve the stability of frying oils. Sub-objective 2.A. Investigate natural compounds with antioxidant, metal chelating, or surfactant activity, for heat stability and ability to prevent degradation and polymerization of frying oils. The compounds that we are proposing to use have shown to be effective at preventing the degradation and polymerization of frying oils. We have also conducted studies looking at combinations of these compounds with tocopherols. The next step is to investigate these compounds in conjunction with other antioxidants with chelating activity. This fits in nicely with the research proposed here, it is an extension to another application, that of food-grade packaging materials. Thus the funds will enhance the OSQR-approved objectives and milestones.</p> <p>Cooperator/PI: S. Claus, North Pole, Inc.</p> <p>ARS Co-PIs: F. Sinatra</p> <p>Percent of SY time that will be spent on the project: 5%</p>
<b>CODING TAB</b>	

**CODING**

ARIS automatically enters the National Program codes. Other codes should be selected from the entries pulled in from the parent project. NOTE: If a 416/417 is to be added, coding will be entered on that portion of the record; it will not be required on the IFR.

**Suggestion:** *Print a current copy of the related in-house D project to review and identify the appropriate codes and percentages for the planned agreement. All codes on the D project can be selected, or just some of the codes, but a minimum of one code in each category is required (mark it as 100% if using only one). FOS, RPA, SOI, and Sub-Activity Code blocks must total 100%. Refer to ARIS Manual for using codes.*

*Special codes are entered ONLY on records that have a 416/417 added. Farm Bill (FBP) and Sustainable Agriculture (SA+ or -) must be used for incoming agreements with a 416/417.*

**FOS** = **F**ield **O**f **S**cience; **RPA** = **R**esearch **P**roblem **A**rea; **SOI** = **S**ubject **O**f **I**nvestigation; **Sub-Activity Codes**

**STP Codes** = **S**trategic **P**lan; **National Program** (NP codes cannot be changed).

Once the IFR is completed, save the record and return to the List tab.

If the funding amount exceeds \$25,000, select the appropriate work record and then select the button for Add/Generate 416. If the funding amount does not exceed \$25,000, select the appropriate work record and then select the button for AIMS.

**If a 416/417 is required because of the amount of funding, enter that first, before adding AIMS.**

## Adding the 416/417, when required due to level of funding

PROJECT INFO TAB	
	<p>Accession and project number will be generated; fourth field of the project number may be revised if desired to accommodate location numbering preferences. Note: No project number may ever be reused. Information available on the IFR will populate in.</p> <p>Performing Institute will always be ARS</p> <p>Agreement number will be generated when AIMS is added, but do mark Agreement to be with Other (or SAES if MTRA with State Ag Experiment Station).</p>
COMMENTS TAB	
	Comments from the IFR will propagate in.
OBJ/APP/KEY TAB	
	Objectives, Approach, and Keywords populate in from the IFR
INVESTIGATORS TAB	
	The ARS PI populates in from the IFR. If any other investigators in the Unit will be involved, they should be added.
CODING	
	<p>ARIS automatically enters the National Program codes. Other codes should be selected from the entries pulled in from the parent project. NOTE: Coding will be entered on 416/417 portion of the record if it is to be added; otherwise it will be entered on the IFR.</p> <p><b>Suggestion:</b> Print a current copy of the related in-house D project to review and identify the appropriate codes and percentages for the planned agreement. All codes on the D project can be selected, or just some of the codes, <b>but a minimum of one code in each category is required (mark it as 100% if using only one).</b> FOS, RPA, SOI, and Sub-Activity Code blocks must total 100%. Refer to ARIS Manual for using codes.</p> <p>Special codes are entered ONLY on records that have a 416/417 added. Farm Bill (FBP) and Sustainable Agriculture (SA+ or -) must be used for incoming agreements with a 416/417.</p> <p>FOS = <u>F</u>ield <u>O</u>f <u>S</u>cience; RPA = <u>R</u>esearch <u>P</u>roblem <u>A</u>rea; SOI = <u>S</u>ubject <u>O</u>f <u>I</u>nvestigation; <b>Sub-Activity Codes</b>  <b>STP Codes = <u>S</u>trategic <u>P</u>lan; National Program (NP codes cannot be changed).</b></p> <p>Select can be selected</p>

Save record and return to List tab; note that the record is now controlled by the 416 accession and project number, although the IFR log number is still accessible through query. Select the appropriate record and then select the AIMS button.

**Adding AIMS-REQUIRED at entry of IFR if not competed. Most information will automatically populate in, but should be verified for accuracy and revised if necessary.**

AGREEMENTS TAB	
	<p>Information from the IFR and/or 416/417 will populate in.</p> <p>Agreement number will be automatically generated.</p> <p>Select Specialist from LOV (Tom Moreland will be selected for all CRADAs and MTRAs)</p> <p>Comments relating to the action may be added; these will print on the agreement cover sheet (REE-451)</p>
AGY/ARS PI/FINANCE TAB	
	<p>Information from the IFR and/or 416/417 will populate in.</p> <p><b>Assure ARS PI phone and email are included.</b></p> <p><b>Select appropriate budget office. Peoria or Wyndmoor. You will need to type over the ADO name to appropriate budget person.</b></p> <p>Add Agency Finance Office email and phone number for appropriate Budget Analyst  (<a href="mailto:Lisa.gettinger@ars.usda.gov">Lisa.gettinger@ars.usda.gov</a> for most locations except WI and MO. WI and MO enter Sandra.dubois@ars.usda.gov.)</p> <p>Assure zip+4 is shown.</p>

**COOPERATOR INFO****TAB**

<b>Type Performing Org</b>	Always defaults to 01 USDA/ARS Laboratory for incoming agreements
<b>POC NAME</b>	Query in AIMS Recipient Code; add Point of Contact for Agreements (who would sign for cooperator), address and phone number of the Cooperating Organization (assure zip+4 is shown). Recipient phone number and email are required and should be entered at location level if known.
<b>Non-Federal Entity/Federal Agency Principal Investigator</b>	Name and address of the Science our scientist(s) is collaborating with (assure zip+4 is shown); email and phone number are required.

**PAYMENT/REPORT TAB**

ADO Entry Only

**ACCOUNTING TAB**

Enter 999-9999-999 accounting code, FY of the funding, and dollar amount. If more than one-year agreement, enter only amount for current FY. Multiple lines may be entered when necessary (usually in association with multiple ARS investigators on the project).  
If No-Funds to ARS, leave Accounting tab blank. Area PA will add correct account code

**PROVISIONS TAB**

ADO Entry only

**E-GREEN TAB**

E-GREEN Used for uploading relevant documents (for example, financial reports).

**SEB-102**

**BE SURE THAT AFTER AIMS HAS GENERATED THE AGREEMENT NUMBER, THE SEB-102 FORM IS COMPLETED, SIGNED BY THE ARS PI, SCANNED TO PDF, AND ENTERED INTO THE IFR DEALING/ETHICS TAB.**

Approval chain for all CRADAs and MTRAs, regardless of amount, is Research Leader → CD/LD/DAD → Area Director → ONP → OTT ADO → Approved.

Location line management may signify their approval on the ARIS incoming funds record itself or by signing this template on the lines below.

\_\_\_\_\_ Date \_\_\_\_\_ Date  
Research Leader Center Director

# Non-Competitive Incoming Funds Record-Research (IFR/425) Template

Use this template when funds will be coming into ARS but are not competed for or a proposal will not be submitted. *For non-grant funding opportunities, assure that the funding organization is established in the SOF table and the AIMS Recipient table.*

**RED TEXT:** Required Fields.

**BLACK TEXT:** Tips, examples, general information.

**MORE INFORMATION:** ARIS online handbook [chapter 4C - Incoming Records-Research](#).

PROJECT INFO TAB	
<b>MODE CODE</b>	<ul style="list-style-type: none"> <li>Enter your complete mode code for your unit, either six or eight digit mode code.</li> </ul>
<b>START DATE</b>	<ul style="list-style-type: none"> <li>Enter the estimated start and termination dates. Projects cannot go beyond 5 years.</li> <li>Use this format: MM/DD/YYYY. Select realistic dates, although dates will be revised as necessary to synchronize with the agreement documents.</li> </ul>
<b>TERM DATE</b>	<ul style="list-style-type: none"> <li>ARIS staff may click on the calendar icon or enter the dates manually.</li> </ul>
<b>STATUS</b>	<ul style="list-style-type: none"> <li>For new 425, ARIS will automatically and correctly select, leave as is.</li> </ul>
<b>ARS PRINCIPAL INVESTIGATOR</b>	Enter Unit PI's name. In ARIS, PSA can select the Unit PI from the list of values (LOV).
<b>EMAIL</b>	Email will propagate into field.
<b>PURPOSE OF FUNDS</b>	<ul style="list-style-type: none"> <li><b>Research &lt;=\$25,000</b> – This Unit is requesting \$25,000 or less. Only the Incoming Agreement and AIMS will be entered into ARIS.</li> <li><b>Research &gt;\$25,000</b> – This Unit is requesting \$25,001 or more. A 416/417 will be entered into ARIS, along with the AIMS.</li> </ul> <p><b>THESE ARE THE ONLY TWO CHOICES FOR NON-COMPETITIVE</b></p>
<b>TYPE OF AGREEMENT</b>	<ul style="list-style-type: none"> <li><b>I – Interagency Reimbursable Agreement (IRA)</b> – used for agreements when ARS receives funds directly from another Federal Agency to provide services, supplies and equipment they request. Also used when ARS submits a grant proposal directly to NIFA or other Federal agency, but use the COMPETITIVE GRANT template for that situation, or the SERVICES template for receiving funds for services from another Federal Agency.</li> <li><b>R – Reimbursable Cooperative Agreement (RCA)</b> – used for agreements between ARS and sponsoring organizations involving cooperative research of mutual interest where the sponsor pays when billed by ARS for costs incurred in performance of the project. Also used when purpose of funds is “No funds to ARS” or when the OSOF is a federal entity.</li> <li><b>T – Trust Fund Cooperative Agreement (TFCA)</b> – used for agreements between ARS and a sponsoring organization involving cooperative research of mutual interest where ARS will be paid in advance of performance.</li> </ul> <p>If you are unsure of the agreement type, contact the ADO for assistance.</p>
<b>GRANT PROPOSAL</b>	<b>NO.</b> This should always be “no” on a non-competitive entry. This template is not for use when applying for competitive grants.
<b>ARS AGREEMENT HOLDER</b>	<b>YES or NO.</b>
<b>ARS PROPOSED TOTAL FUNDING</b>	<ul style="list-style-type: none"> <li><b>YES</b> – the Unit scientist will have the relationship with the funding organization (DSOF):               <ol style="list-style-type: none"> <li>ARIS activates the ARS Proposed Total Funding field.</li> <li>Enter the total amount to be received for this agreement across all ARS locations. <i>Required when ARS Agreement Holder = Yes.</i></li> </ol> </li> </ul>
<b>ARS AGREEMENT HOLDER LOG #</b>	<ul style="list-style-type: none"> <li><b>NO</b> – an ARS scientist from another Unit will be the ARS Agreement Holder:               <ol style="list-style-type: none"> <li>Select ARS Agreement Holder’s IFR log number. (If log # is not selectable, enter it in the Comments.)</li> <li>The ARS Agreement Holder record will be primary; any funds to your Unit scientist will be posted to your record when funds are received by the ARS Agreement Holder.</li> <li>If the log # is not selectable, it will be necessary to create a correction work record later to add it. At that point ARIS will link the records and automatically enter the Agreement Number on all associated records.</li> </ol> </li> </ul>

<b>AGREEMENT NUMBER</b>	<b>NO data entry is required.</b> ARIS automatically generates an agreement number when AIMS is entered. <b>NOTE:</b> If the Start Date (FY) or agreement type is changed, the system will automatically update the agreement number and display a message, as long as the record is still in Pending status.
<b>COMMENTS TAB</b>	
<b>COMMENTS</b>	A general description of the action <b>Examples:</b> <ul style="list-style-type: none"> <li>▪ Interagency agreement with APHIS for FY2015 in the amount of \$6,000.</li> <li>▪ New trust fund agreement with U.S. Wheat Associates (USW). Incoming funds total FY15 \$14,884, T. Bennett, ARS PI.</li> <li>▪ New reimbursable agreement with United Soybean Board, S. Davis, ARS PI.</li> </ul>
<b>SOF/FUNDS TAB</b>	
<b>ORIGINAL SOF (OSOF)</b>	<ul style="list-style-type: none"> <li>▪ <b>Original Source of Funds (OSOF):</b> Rarely will there be an OSOF on a non-grant agreement; however, if an OSOF exists, enter information.</li> </ul>
<b>DIRECT SOF (DSOF)</b>	<ul style="list-style-type: none"> <li>▪ <b>Direct Source of Funds (DSOF):</b> Select the entity that will provide funds to ARS. If it does not appear in the reference table, complete the SOF request form and send it to Lori Wilson-Voss, Area Program Analyst.</li> </ul>
<b>IPSC</b>	<b>EXEMPT or NON EXEMPT.</b> <ul style="list-style-type: none"> <li>▪ Indirect Program Support Costs (IPSC) are based on whether the Original Source of Funds (OSOF) is non-exempt or exempt. If there is no OSOF, then IPSC is based on the DSOF. (See <a href="#">P&amp;P 329.5</a> for more information.) For non-exempt entities, the IPSC will be 10% of the gross dollars requested. If IPSC is entered incorrectly, the system will display a warning message, but you will still be able to proceed with the action.</li> <li>▪ IPSC is not charged for exempt entities. It is also not charged for agreements less than \$10,001. However, if funds are later added and the total agreement reaches \$10,001 or more, the IPSC will be charged on the new increment at that time. (See <a href="#">P&amp;P 329.5</a> for more information.)</li> </ul>
<b>BUDGET RECORD DETAILS:</b>	Budget only for funds that will be coming to your Unit. <b>Example:</b> <ul style="list-style-type: none"> <li>▪ Determine total proposed amount, for instance – \$50,000.</li> <li>▪ Calculate IPSC – \$50,000 x 10% for non-exempt or \$0 for exempt.</li> <li>▪ Enter IPSC amount in IPSC field – \$5,000 for non-exempt or \$0 for exempt.</li> <li>▪ Distribute remaining funds among other budget categories.</li> </ul> Possible expenses for some budget categories are shown below.
<b>Fed Salaries</b>	Post-doc, temporary technician, Pathways Student, etc.
<b>Equipment</b>	
<b>Supplies</b>	
<b>Travel</b>	
<b>Other</b>	Publication costs, computer costs, services (for example, data entry or chemical analyses).
<b>Extramural</b>	Include ORISE post docs (Oak Ridge Institute for Science and Education) and RSAs (Research Support Agreements) in this category. Ensure the Extramural total matches the amount shown in the Org/Inhouse tab under Non-ARS Performing Organizations.
<b>IPSC</b>	Enter 10% of the total proposed if the OSOF is non-exempt. Leave blank if the OSOF is exempt. If there is no OSOF, then the IPSC is based on the DSOF.
<b>Prior Proposed</b>	Automatically generated when an approved budget is revised.
<b>Proposed Amount</b>	Automatically generated, should equal the total of the amounts above.
<b>Total Proposed</b>	Automatically generated.
<b>DEALINGS/ETHICS TAB</b>	
<b>ARS PI FINANCIAL DEALINGS</b> <i>If Yes, please explain.</i>	<b>YES or NO.</b> Does the ARS PI or any full-time resident of your household have any activity or financial interest (dealings) with the Corresponding Organization or are you applying as an adjunct scientist?
<b>CONFLICT OF INTEREST DOCUMENTATION</b>	<b>SEB-102 Conflict of Interest Certification</b> will need to be completed for type R or T agreements (not I type) once AIMS is added to the record and an agreement number is generated. Complete AIMS and return to the IFR to upload the form. The SEB-102 is required only for the ARS Agreement Holder. <i>SEB-102 pdf upload is required before the record is approved.</i>
<b>AREA ETHICS ADVISOR</b>	Area will respond to this question.
<b>IF “DEALINGS”, ENTER A BRIEF EXPLANATION</b>	

## OBJ/APP/KEY TAB

### OBJECTIVE

Do not use Smart quotes, special characters, bullets, or tabs; avoid names of individuals and entities, use ARS and cooperator in place of names. If this is a subaward, make sure to indicate the specific objective of the ARS investigator. **(3,200 character maximum)**

### APPROACH

Describe the approach that the ARS investigator will use on his/her portion of the research, avoid names of individuals and entities, use ARS and cooperator in place of names. **(3,200 character maximum)**

### KEYWORDS

Enter each keyword or phrase on a single line (e.g., Integrated Pest Management). ARIS will change all entries to UPPER CASE.

## TITLE/DELIVER TAB

### TITLE OF PROPOSAL

Use Title Case (e.g., Dual-Duty Winter Oilseeds Suppress Herbicide-Resistant Weeds). Avoid abbreviations and do not put a period (.) at the end. This should agree with the title on the document from a non-grant funding organization. **(148 character maximum)**

### DELIVERABLES/ANTICIPATED PRODUCTS/OUTCOMES

Describe what ARS will provide the funding organization. (unlimited characters)

## ORG/INHOUSE TAB

### WILL ANY FUNDING RECEIVED BE GIVEN TO ANOTHER INSTITUTION OR ENTITY (NON-ARS)?

#### YES or NO.

- If yes, the Sub Recipient Organization section is activated.
- Select the organization from the LOV. If the organization does not appear in the reference table, complete the SOF-POC Code Request Form and send it to Lori Wilson-Voss, Area Program Analyst.
- Select the agreement type (CA, NFCA, OIA, G, RSA or NACA).
- Enter the anticipated amount.
- Ensure the total entered here agrees with the Extramural amount in the Budget Record Details.
- Enter a reason for the extramural agreement, such what expertise cooperators will provide or what research will be conducted by them. Do not enter student labor or graduate student only.

NOTE: This field should be updated later if the amounts or organizations to be provided funds change. This field should be accurate because it serves as a check when actions for outgoing agreements are completed.

### IN-HOUSE INFO

#### Identify the related in-house D project number.

- Select the related in-house D project number.
- Ensure it is a valid D project that is not past its term date.
- Ensure the D project shows the ARS PI as an investigator.

### RELEVANCE TO PARENT PROJECT

Provide the following information:

- Identify the objective/subobjective, milestone, and deliverables from the parent project that this project will relate to.
- Show the amount of time and effort the ARS PI(s) will be putting into this project (average annual SY time). If there's more than one investigator, show time for each individual.
- Show the amount of time and effort of technicians (average annual time).
- Explain how participating in this project will benefit your Research Project. It is especially important to explain the benefit if no funds will be coming to ARS. For example, will in kind supplies, personnel be added to your laboratory? Will you have access to additional data sets, etc.?
- Name(s) of cooperator(s) and affiliation.

Example: Objective 2: Develop options for managing crop systems to reduce greenhouse gas emissions and increase carbon storage. The major milestone (objective 2, 60 month 2) of the parent project that will be supported is collect, analyze and summarize plant parameters (e.g., yield, chemical analysis) for 2016 growing season. The overall goals of this parent project are to develop soil and crop management systems that sustain agricultural production, readily adapt to climate change, minimize greenhouse gas emission, sequester carbon, and safeguard soil productivity while protecting environmental quality in the upper Midwest. This research directly supports the overall project goal. It serves as an excellent opportunity for technology transfer of basic research data into a decision aid available to NRCS, and state extension personnel across the Midwest. Furthermore, it will highlight the recently released REAP and GRACEnet public databases. Thus, the funds will enhance the OSQR-approved objectives and milestones.

Cooperators: F. Sinatra, Iowa State University; D. Martin, Ohio producers; S. Davis, South Dakota State University

ARS PI will spend 2% of his time on this project.

Project will support undergraduate labor and travel.

## CODING TAB

**CODING**

ARIS automatically enters the National Program codes. Other codes should be selected from the entries pulled in from the parent project. NOTE: If a 416/417 is to be entered, coding will be done on that portion of the record; it will not be required on the IFR.

***Suggestion:** Print a current copy of the related in-house D project to review and identify the appropriate codes and percentages for the planned agreement. All codes on the D project can be selected, or just some of the codes, **but a minimum of one code in each category is required (mark it as 100% if using only one).***

*Special codes are entered ONLY on records that have a 416/417 added. Farm Bill (FBP) and Sustainable Agriculture (SA+ or -) must be used for incoming agreements with a 416/417.*

**FOS = Field Of Science; RPA = Research Problem Area; SOI = Subject of Investigation; **Sub-Activity Codes****

**STP Codes = Strategic Plan; National Program (NP codes cannot be changed).**

Once the IFR is completed, save the record and return to the List tab.

If the funding amount exceeds \$25,000, select the appropriate work record and then select the button for Add/Generate 416. If the funding amount does not exceed \$25,000, select the appropriate work record and then select the button for AIMS.

**If a 416/417 is required because of the amount of funding, enter that first, before adding AIMS.**

**Adding the 416/417, when required due to level of funding**

<b>PROJECT INFO TAB</b>	
	<p>Accession and project number will be generated; fourth field of the project number may be revised if desired to accommodate location numbering preferences. Note: No project number field combination may ever be reused.</p> <p>Information available on the IFR will populate in.</p> <p>Performing Institute will always be ARS</p> <p>Agreement number will be generated when AIMS is added, but do mark whether Agreement is to be with SAES or Other.</p>
<b>COMMENTS TAB</b>	
	<p>Comments entered on the IFR will propagate onto the 416/417.</p>
<b>OBJ/APP/KEY TAB</b>	
	<p>Objectives, Approach, and Keywords populate in from the IFR</p>
<b>INVESTIGATORS TAB</b>	
	<p>The ARS PI populates in from the IFR. If any other investigators in the Unit will be involved, they should be queried in.</p>
<b>CODING</b>	
	<p>ARIS automatically enters the National Program codes. Other codes should be selected from the entries pulled in from the parent project. NOTE: Coding will be done on the 416/417 portion of the record if it is to be added; otherwise codes will be entered on the IFR.</p> <p><i><b>Suggestion:</b> Print a current copy of the related in-house D project to review and identify the appropriate codes and percentages for the planned agreement. All codes on the D project can be selected, or just some of the codes, but a minimum of one code in each category is required (mark it as 100% if using only one).</i></p> <p><i>Special codes are entered ONLY on records that have a 416/417 added. Farm Bill (FBP) and Sustainable Agriculture (SA+ or -) must be used for incoming agreements with a 416/417.</i></p> <p><b>FOS = <u>F</u>ield <u>O</u>f <u>S</u>cience; RPA = <u>R</u>esearch <u>P</u>roblem <u>A</u>rea; SOI = <u>S</u>ubject <u>O</u>f <u>I</u>nvestigation; Sub-Activity Codes STP Codes = <u>S</u>trategic <u>P</u>lan; National Program (NP codes cannot be changed).</b></p>

Save record and return to List tab; note that the record is now controlled by the 416 accession and project number, although the IFR log number is still accessible through query. Select the appropriate record and then select the AIMS button.

**Adding AIMS (only when ARS Agreement Holder = Yes)-AIMS entry is required at the same time of entry of IFR. Most information will automatically populate in, but should be verified for accuracy and revised if necessary.**

<b>AGREEMENTS TAB</b>	
	<p>Information from the IFR and/or 416/417 will populate in.            Agreement number will be automatically generated.            Select Specialist from LOV (JoAnn Volk for most locations, Kristy Wallace for WI, MN and MO).  <b>Incoming Agreement No.</b> is used if primary award is from another entity and ARS is receiving this as a subaward, i.e. NIFA, Universities (would use their agreement number). ADO will enter this info, leave blank  <b>Comments</b> are only required on revisions; these will print on the agreement cover sheet (REE-451)</p>
<b>AGY/ARS PI/FINANCE TAB</b>	
	<p>Information from the IFR and/or 416/417 will populate in.  <b>Assure ARS PI phone and email are included.</b>  <b>Select appropriate budget office. Peoria or Wyndmoor. You will need to type over the ADO name to appropriate budget person.</b>            Add Agency Finance Office email and phone number for appropriate Budget Analyst  <a href="mailto:Lisa.gettinger@ars.usda.gov">Lisa.gettinger@ars.usda.gov</a> for most locations except WI and MO. WI and MO enter Sandra.dubois@ars.usda.gov.            Assure zip+4 is shown.</p>
<b>COOPERATOR INFO TAB</b>	
<b>Type Performing Org</b>	Always defaults to 01 USDA/ARS Laboratory for incoming agreements
<b>POC NAME</b>	Query in AIMS Recipient Code; add Point of Contact for Agreements (who would sign for cooperator), address and phone number of the Cooperating Organization (assure zip+4 is shown). Recipient phone number and email are required and should be entered at location level if known.
<b>Non-Federal Entity/Federal Agency Principal Investigator</b>	Name and address of the Science our scientist(s) is collaborating with (assure zip+4 is shown); email and phone number are required.
<b>PAYMENT/REPORT TAB</b>	
ADO Entry Only	
<b>ACCOUNTING TAB</b>	
	Enter 999-9999-999, FY of the funding, and dollar amount. If more than one-year agreement, enter only amount for current FY. Multiple lines may be entered when necessary (usually in association with multiple ARS investigators on the project. This total must agree with the AIMS budget total and the ARIS ARS Proposed Total funding field.
<b>PROVISIONS TAB</b>	
ADO Entry only	
<b>E-GREEN TAB</b>	
<b>E-GREEN</b>	Used for uploading relevant documents (for example, financial reports).
<b>SOMI/MUTUAL INTEREST TAB</b>	
<b>SOMI and MA</b>	No longer required for RCA, TFCA, or IRA and will not be displayed for New record
<b>PARTIES AGREE TO TAB</b>	

**Cooperator Agrees To**

If using cooperator's agreement, simply type "See Attached Agreement".

If using ARS-generated agreement, enter information on Cooperator responsibilities (if possible, use copy/paste to avoid retyping text)

# Conduct at Cooperator facilities and elsewhere as appropriate, research directed toward... activities include (when applicable):

*(Complete sentence and outline sponsor's duties and responsibilities necessary for successful completion of the project objective(s), when applicable.)*

# Reimburse the U.S. Department of Agriculture, Agricultural Research Service (USDA-ARS) for the work performed as described herein, in accordance with payment requests provided to the Sponsor by the USDA. The total for USDA-ARS reimbursement shall not exceed \$0.00.

# Upon receipt of a bill/invoice from the USDA, cite the ARS Agreement number \_\_\_\_\_ on all checks made payable to the USDA-ARS. Remit payments to:  
USDA National Finance Center, Administrative Collection, P.O. Box 70782, Chicago, IL 60873.

**ARS Agrees To**

If using cooperator's agreement, simply type "See Attached Agreement".

If using ARS-generated agreement, enter information on ARS responsibilities (if possible, use copy/paste to avoid retyping text.

# Conduct research on the following aspects of the project:

*(Outline ARS PI duties and responsibilities necessary for successful completion of the project objective(s) or attach the ARS proposal submitted to the sponsor and approved*

**COMMENTS TAB**

Not required, but may be used to add any SOW/Budget comments; designate if comments should be for internal use only or not.

**REIMB/RECV TABS (2)****Reimb/Recv**

Only the Reimb/Recv screens are required. These show the breakout for how ARS will utilize the funds received. The total amount should match the AIMS accounting tab information and ARIS ARS Proposed Total funding field. Provide detailed descriptions where noted; itemization required for Materials and Supplies over \$1000. **NEW REQUIREMENT** for Salaries: Salary information must be broken out by roles and salary and fringe must be separated. Also, a budget summary must also be included.

Role	Salary	Fringe
Senior/Key Person	\$25000.00	\$8750.00
Other Personnel (Post Doc, Associate, Graduate)	\$105000.00	\$36750.00
Support Personnel/Secretarial/Clerical	\$6120.00	\$489.60

The Key Person (NFE PI) salary is based on 3 months of "summer salary" and a respective fringe benefit rate of 35%. Other Personnel consists of salary for one TBD full-time post doc with an estimated salary of \$70000.00; one TBD full-time graduate student with an estimated salary of \$35000.00; and 3 TBD undergraduate students each working during the academic year at an estimated rate of \$2040.00 per student. The total estimated fringe of \$45989.60.00 was calculated at 35% for the post doc, 18% for the graduate student, and 8% for the undergraduate students.

**SEB-102**

**BE SURE THAT AFTER AIMS HAS GENERATED THE AGREEMENT NUMBER, THE SEB-102 FORM IS COMPLETED, SIGNED BY THE ARS PI, SCANNED TO PDF, AND ENTERED INTO THE IFR DEALING/ETHICS TAB.**

Approval chain for non-grant IFRs is Research Leader → CD/LD/DAD → Area Director → ONP → ADO → Approved.

Research - Incoming Funds Records where proposed amount is under \$50,000 do not go to ONP for approval.

Location line management may signify their approval on the ARIS record itself or by signing this template on the lines below.

\_\_\_\_\_  
Research Leader

\_\_\_\_\_  
Date

\_\_\_\_\_  
Center

\_\_\_\_\_  
Date

# Non-Research (Services or Gift) Incoming Funds Record-Research (IFR/425) Template

*Incoming funds records (IFRs) are used to request authorization to apply for or to use funds from outside sources, including participating in a collaborative role with no funds to ARS. They also document receipt of funds for services or for gifts.*

**RED TEXT:** Required Fields.

**BLACK TEXT:** Tips, examples, general information.

**MORE INFORMATION:** ARIS online handbook [chapter 4C - Incoming Records-Research](#).

PROJECT INFO TAB	
<b>MODE CODE</b>	<ul style="list-style-type: none"> <li>▪ Enter your complete mode code for your unit, either six or eight digit mode code.</li> </ul>
<b>START DATE</b>	<ul style="list-style-type: none"> <li>▪ Enter the estimated start and termination dates. Projects cannot go beyond 5 years.</li> <li>▪ Use this format: MM/DD/YYYY. Many services-only records will use the beginning of the FY as the start date.</li> <li>▪ ARIS staff may click on the calendar icon or enter the dates manually.</li> </ul>
<b>TERM DATE</b>	
<b>STATUS</b>	<ul style="list-style-type: none"> <li>▪ For new 425, ARIS will automatically and correctly select New. Leave it that way.</li> </ul>
<b>ARS PRINCIPAL INVESTIGATOR</b>	Enter Unit PI's name. In ARIS, PSA can select the Unit PI from the list of values (LOV).
<b>EMAIL</b>	Enter the Unit PI's email address.
<b>PURPOSE OF FUNDS</b>	<ul style="list-style-type: none"> <li>▪ <b>Services Only</b> – Documents receipt of funds (any amount) for a non-research administrative service. Selecting Services Only will open the screen for selection of the type of service.               <ul style="list-style-type: none"> <li>▪ Sale of assets</li> <li>▪ Quarters and other Services</li> <li>▪ Space and other Services</li> <li>▪ Travel</li> <li>▪ Administrative Services</li> <li>▪ Recycling/Rebate</li> </ul> </li> <li>▪ <b>Gift</b> – Documents receipt of unconditional gift. Selecting Gift will open blocks for verification that the gift is not from a prohibited source and that clearance has been obtained to accept the gift.</li> </ul>
<b>TYPE OF AGREEMENT</b>	<ul style="list-style-type: none"> <li>▪ <b>I – Interagency Reimbursable Agreement (IRA)</b> – used for agreements when ARS receives funds directly from another Federal Agency to provide services, supplies and equipment they request.</li> <li>▪ <b>R – Reimbursable Cooperative Agreement (RCA)</b> – used for agreements between ARS and sponsoring organizations involving cooperative research of mutual interest where the sponsor pays when billed by ARS for costs incurred in performance of the project. Also used when purpose of funds is “No funds to ARS” or when the OSOF is a federal entity.</li> <li>▪ <b>T – Trust Fund Cooperative Agreement (TFCA)</b> – used for agreements between ARS and a sponsoring organization involving cooperative research of mutual interest where ARS will be paid in advance of performance. Gifts are all coded Trusts</li> </ul> <p style="margin-left: 20px;">If you are unsure of the agreement type, contact the ADO for assistance.</p>
<b>GRANT PROPOSAL</b>	<b>Block will deactivate when Purpose of Funds is selected as Services or Gift</b>
<b>ARS AGREEMENT HOLDER</b>	<p><b>YES or NO. (NOTE: Rarely No for a Services or Gift)</b></p> <ul style="list-style-type: none"> <li>▪ <b>YES</b> – the Unit scientist will have the have the relationship with the funding organization (DSOF):           <ol style="list-style-type: none"> <li>1) ARIS activates the ARS Proposed Total Funding field.</li> <li>2) Enter the total amount to be received for this agreement across all ARS locations. <i>Required when ARS Agreement Holder = Yes.</i></li> </ol> </li> <li>▪ <b>NO</b> – an ARS scientist from another Unit will be the ARS Agreement Holder:           <ol style="list-style-type: none"> <li>1) Select ARS Agreement Holder's IFR log number. (If log # is not selectable, enter it in the Comments.)</li> <li>2) The ARS Agreement Holder record will be primary; any funds to your Unit scientist will be posted to your record when funds are received by the ARS Agreement Holder.</li> <li>3) If the log # is not selectable, it will be necessary to create a correction work record to add it later. At that point ARIS will link the records and automatically enter the Agreement Number on all associated records.</li> </ol> </li> </ul>
<b>ARS PROPOSED TOTAL FUNDING</b>	
<b>ARS AGREEMENT HOLDER LOG #</b>	

<b>AGREEMENT NUMBER</b>	<p><b>NO data entry is required.</b> ARIS automatically generates an agreement number for Services when the Project Info tab is saved. Gifts do not have agreement numbers.</p> <p><b>NOTE:</b> If the Start Date (FY) or agreement type is changed, the system will automatically update the agreement number and display a message, as long as the record is still in Pending status.</p>
<b>COMMENTS TAB</b>	
<b>COMMENTS</b>	<p>A general description of the action</p> <p><b>Examples:</b></p> <ul style="list-style-type: none"> <li>▪ New 425/Incoming for Sponsored Travel reimbursements</li> <li>▪ Establish services only agreement for Culture Collection Fees.</li> <li>▪ Sale of corn, wheat, sunflowers and beans</li> <li>▪ New Agreement from 01/01/2015 to 09/30/2018 for Revocable Permit Account.</li> <li>▪ \$50,000 unconditional gift to support the research in the area of wind erosion and water conservation.</li> </ul>
<b>SOF/FUNDS TAB</b>	
<b>ORIGINAL SOF (OSOF)</b>	<ul style="list-style-type: none"> <li>▪ <b>Original Source of Funds (OSOF):</b> Rarely will there be an OSOF on a services or gift</li> </ul>
<b>DIRECT SOF (DSOF)</b>	<ul style="list-style-type: none"> <li>▪ <b>Direct Source of Funds (DSOF):</b> Select the entity that will provide funds to ARS. If it does not appear in the reference table, complete the SOF request form and send it to Area Program Analyst.</li> </ul>
<b>IPSC</b>	<p><b>EXEMPT or NON EXEMPT.</b></p> <ul style="list-style-type: none"> <li>▪ Indirect Program Support Costs (IPSC) are based on whether the Original Source of Funds (OSOF) is non-exempt or exempt. If there is no OSOF, then IPSC is based on the DSOF. (See <a href="#">P&amp;P 329.5</a> for more information.) For non-exempt entities, the IPSC will be 10% of the gross dollars requested. If IPSC is entered incorrectly, the system will display a warning message, but you will still be able to proceed with the action.</li> <li>▪ IPSC is not charged for exempt entities. It is also not charged for agreements less than \$10,001. However, if funds are later added and the total agreement reaches \$10,001 or more, the IPSC will be charged on the new increment at that time. (See <a href="#">P&amp;P 329.5</a> for more information.)</li> <li>▪ Gifts are always exempt from IPSC</li> </ul>
<b>BUDGET RECORD DETAILS:</b>	<p>Budget only for funds that will be coming to your Unit.</p> <p><b>Example:</b></p> <ul style="list-style-type: none"> <li>▪ Determine total proposed amount, for instance – \$50,000.</li> <li>▪ Calculate IPSC – \$50,000 x 10% for non-exempt or \$0 for exempt.</li> <li>▪ Enter IPSC amount in IPSC field – \$5,000 for non-exempt or \$0 for exempt.</li> <li>▪ Distribute remaining funds among other budget categories.</li> </ul> <p>Possible expenses for some budget categories are shown below.</p> <p><b>Fed Salaries</b> Post-doc, temporary technician, Pathways Student, etc.</p> <p><b>Equipment</b></p> <p><b>Supplies</b></p> <p><b>Travel</b></p> <p><b>Other</b></p> <p><b>Extramural</b></p> <p><b>IPSC</b> Enter 10% of the total proposed if the OSOF is non-exempt. Leave blank if the OSOF is exempt. If there is no OSOF, then the IPSC is based on the DSOF.</p> <p><b>Prior Proposed</b> Automatically generated when an approved budget is revised.</p> <p><b>Proposed Amount</b> Automatically generated, should equal the total of the amounts above.</p> <p><b>Total Proposed</b> Automatically generated.</p>
<b>DEALINGS/ETHICS TAB</b>	
<b>ARS PI FINANCIAL DEALINGS</b>	<p><b>YES or NO.</b></p> <p>Does the ARS PI or any full-time resident of your household have any activity or financial interest (dealings) with the Corresponding Organization or are you applying as an adjunct scientist?</p> <p><i>If Yes, please explain.</i></p>
<b>CONFLICT OF INTEREST DOCUMENTATION</b>	<b>SEB-102 Conflict of Interest Certification</b> is not required for Services or Gift.
<b>AREA ETHICS ADVISOR</b>	Area will respond to this question.
<b>IF “DEALINGS”, ENTER A BRIEF EXPLANATION</b>	

**E-GREEN TAB**

Not a required field; may be used to upload any relevant related document.

**An ARS 416/417 and AIMS are never required for a Services only or Gift record.**

Approval chain for all Services, regardless of amount, is Research Leader → Area Director → ADO → Approved.  
Approval chain for Gifts, regardless of amount, is Research Leader → Area Director → Approved

Location line management may signify their approval on the ARIS incoming funds record itself or by signing this template on the lines below.

\_\_\_\_\_

Research Leader

\_\_\_\_\_

Date

## Incoming Funds Request-Post Award

When you are notified a proposal has been awarded or have received a copy of an agreement, you will need to add AIMS to the incoming funds record. Go to Research Documentation/Extramural Agreement, Active, find the appropriate log number and click on the white box under List. Go up to Action and choose one of the following:

Create Work Record – Amendment - Used for adding AIMS as a new agreement and if over \$25,000, adding the 416/417 to incoming funds request documents. Also used if making an amendment to existing agreements which are under \$25,000.

Create Work Record – Correction - Used when making a correction in the text of an existing agreement, for example, a typographical error or **renumbering of projects**.

Create Work Record – No AIMS – Used for adding AIMS as a new agreement and if over \$25,000, adding the 416/417 to incoming funds request. It is also used on a No funds to ARS, Service Type and Gifts.

No Funds to ARS-If awarded, you will need to create a work record (by choosing Create Work Record-No AIMS) and enter into the remarks “Proposal funded, change status to Active and add award date.” Remember to change status of action to “Active”. You will do this by going to Project Info tab, go to status field, clicking on down arrow and choosing “Active”.

## REMARKS 416/417 INCOMING AGREEMENTS

Extend and receive additional funds on existing Trust/Reimbursable:

**ARIS:**

Extension of time from 05/01/15 to 05/01/16, and receiving additional funds, \$50,000, to Trust with Quaker Oats to study wheat disease. D. Martin, ARS PI.

**AIMS:**

Amendment # is issued for the purpose of extending time to 05-01-15 and adding funds of \$50,000 to Trust agreement with Quaker Oats. (Justification for the need for additional time and funds.

Establish new agreement:

**ARIS:**

Establish a Reimbursable with Iowa State University, FY 15 funds \$25,000, R. Shoemaker, ARS PI.

Establish Trust/Reimbursable with Monsanto for \$125,000, S. Claus, ARS PI, log #31042.

**AIMS: No comments are needed on new agreements in AIMS.**

Renumbering subordinate projects (created as correction):

Renumbered from 5030-21000-053-04R to 5030-21000-0059-02R and incoming agreement modified to agree with new Inhouse Project. **Remember to update inhouse project number on Org/Inhouse tab.**

**AIMS: Nothing should be changed or added to AIMS.**

## REVISING THE INCOMING AGREEMENT RECORD WHEN AWARDED

Located as menu option under FORMS; brings up currently approved incoming agreement record. If funding total has decreased from original amount entered on incoming agreement record, you will need to enter a negative amount into the appropriate fields until proposed amount equal the correct total. This amount will be the figure you will enter into AIMS. The amount on the project info tab in "ARS Proposed Total Funding" and AIMS must agree. See screen shots below.

Original Incoming Agreement Request **Before Revisions:**

The screenshot displays the 'Incoming Funds Records' form in the ARIS system. The form is titled 'Incoming Funds Records' and includes a menu bar (File, Edit, Record, Prints, Help) and a toolbar. The main content area is divided into several sections:

- Header Information:** Log: 0000053541, Proj: 3620 22410 016 02 R, Status: Revision, Date Created: 03/19/2014, Agreement No., Pre-Award Approval Date: 03/27/2014.
- Navigation Tabs:** Project Info, Comments, SOF/Funds, Dealings/Ethics, Obj/App/Key, Title/Deliver, Org/Inhouse, Coding.
- Source of Funds Section:** A table with columns: Original SOF, Description, Type, Exemption Indicator, Non Profit Indicator. It lists 'NATIONAL SCIENCE FOUNDATION' (Other Federal) and 'ARIZONA STATE UNIVERSITY' (Non-Federal). Below this, there is a dropdown for 'IPSC' (set to 'Non Exempt') and a field for 'IPSC Percent' (10.0000). A 'Reason IPSC Changed' field is also present.
- Budget Record Details Section:** A table with columns for various budget categories and their amounts. The 'TOTAL PROPOSED' is \$135,287.00.

Original SOF	Description	Type	Exemption Indicator	Non Profit Indicator
0706	NATIONAL SCIENCE FOUNDATION	Other Federal	N	
4172	ARIZONA STATE UNIVERSITY	Non-Federal	N	

Category	Amount	Category	Amount	Category	Amount
Fed Salaries	.00	Other Costs	.00	Prior Proposed	\$135,287.00
Equipment	.00	Extramural	.00	Proposed Amount	\$ .00
Supplies	.00	IPSC Amount	.00	TOTAL PROPOSED	\$135,287.00
Travel	.00				

Record: 1/1 <OSC>

## After Revisions:

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Work

File Edit Record Prints Help

**ARIS** Incoming Funds Records

Log 0000053541 Proj 3620 22410 016 02 R Status Revision Date Created 03/19/2014  
 Agreement No. Pre-Award Approval Date 03/27/2014

Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver Org/Inhouse Coding

**Source of Funds**

Original SOF	Description	Type	Exemption Indicator	Non Profit Indicator
0706 ?	NATIONAL SCIENCE FOUNDATION	Other Federal	N	<input type="checkbox"/>
*Direct SOF 4172 ?	ARIZONA STATE UNIVERSITY	Non-Federal	N	<input type="checkbox"/>

IPSC Non Exempt IPSC Percent 10.0000  
 Reason IPSC Changed

**Budget Record Details**

Fed Salaries	.00	Other Costs	.00	Prior Proposed	\$135,287.00
Equipment	.00	Extramural	.00	Proposed Amount	-\$3,012.00
Supplies	-2,711.00	IPSC Amount	-301.00	TOTAL PROPOSED	\$132,275.00
Travel	.00				

Record: 1/1 <OSC>

## Project Info tab:

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Work

File Edit Record Prints Help

**ARIS** Incoming Funds Records

Log 0000053541 Proj 3620 22410 016 02 R Status Revision Date Created 03/19/2014  
 Agreement No. Pre-Award Approval Date 03/27/2014

Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver Org/Inhouse Coding

Mode Code 36 20 71 00

Start Date 01/01/2015 Term Date 12/31/2018 Duration (Months) 48

ARS Principal Investigator  
 \*Name(Last,First,MI,Suffix) O DONNELL KERRY  
 Email Kerry.ODonnell@ars.usda.gov

Purpose of Funds Research > 25,000

**Agreement Info**

Type of Agreement Reimbursable Cooperative Agreement (RCA)  
 Agreement Number Grant Proposal Yes \*Grant Awarded  
 Control No ARS Agreement Holder Yes  
 ARS Proposed Total Funding 132,275.00

FRM-40400: Transaction complete: 1 records applied and saved.  
 Record: 1/1 <OSC>

Updating incoming to agreement to agree with outgoing agreement(s).  
 Org/Inhouse tab-before revision-

Oracle Fusion Middleware Forms Services  
 Agricultural Research Information System (ARIS) - Active Audit Trail Incoming Agreements Only

File Prints Help

ARIS Log 0000045990 Incoming Audit Records Audit Date 03/25/20  
 Proj 3620 22410 014 03 T Mode Code 36 20 35 00 Pre-Award Approval  
 Agreement No. 58 3620 2 546 User Last Mod LPROBINSON

Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver **Org/Inhouse** Coding

Work To Be Performed Both Will any funding received be given to another institution or entity (Non ARS)? Yes

Non ARS Performing Organizations

Code	Sub Recipient Organization Name	Extramural Agreement Type	Agreement Total	Reason
1989	UNIVERSITY OF KENTUCKY, LEXI	Specific Cooperative Agreement	5,000.00	
3090	OHIO STATE UNIVERSITY, COLUM	Specific Cooperative Agreement	5,000.00	

In-house Info

Title PRODUCTION, STABILIZATION AND FORMULATION OF MICROBIAL AGENTS AND THEIR NATURAL PRODUCTS Accn No 0420223  
 Project No 3620 22410 014 00 D

Is the proposed research directly related to the in-house project of SY? Yes If no, why should funds be solicited

Relevance to Parent Project

Objective 2, Develop novel formulation technologies for microbial biocontrol agents through the selection and application of innovative processes and ingredients that

Record: 1/1 <OSC>

Comment field-after revision

Oracle Fusion Middleware Forms Services  
 Agricultural Research Information System (ARIS) - Active

File Edit Action Record Forms Prints Reports Help

ARIS 416/417 Active Projects  
 Proj 3620 22410 014 03 T Accn 0422632 Mode Code 36 20 35 00 Status ACTIVE

Comments

Date Of Transaction 07/16/2014

Internal Comments

Modified org/inhouse tab to correctly reflect SCA to Purdue in the amount of \$13,000 and removed Ohio State University (\$5,000) and University of Kentucky (\$5,000).

7-17 A. Rooney approved by email. lww

Close

Record: 1/1

### Org/Inhouse tab-after revision

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Active

File Edit Action Record Forms Prints Help

**Incoming Funds Records**

Log 0000045990 Mode Code 36 20 35 00 Status Active Date Created 09/12/2011  
 Agreement No. 58 3620 2 546 Pre-Award Approval

List Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver **Org/Inhouse** Coding Budget

Will any funding received be given to another institution or entity (Non ARS)? Yes

**Non ARS Performing Institutions**

Code	Sub Recipient Organization Name	Extramural Agreement Type	Agreement Total	Reason
1825	PURDUE UNIVERSITY, WEST	Specific Cooperative Agreem...	13,000.00	

**In-house Info**

Title PRODUCTION, STABILIZATION AND FORMULATION OF MICROBIAL AGENTS AND THEIR NATURAL PRODUCTS  
 Accn No 0420223  
 Project No 3620 22410 014 00 D

**Relevance to Parent Project**

Objective 2, Develop novel formulation technologies for microbial biocontrol agents through the selection and application of innovative processes and ingredients that

Record: 1/1 <OSC>

### Outgoing Agreement (first year funds)

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Status 416

File Edit Action Record Forms Prints Help

**Status 416/417 Records**

Proj 3620 22410 014 04 S Accn 0422639 Modecode 36 20 35 00 Status Revision  
 Agreement No. 58 3620 2 617

List Proj Info Comments Obj/App/Key Investigators Agreement... Budget Resp Team STP/Codes 417 Codes Dealings/Et... Signatu

Total Request Amount \$3,241.00 Prior Project Amt \$9,518.00 Total Project Amt \$12,759.00 Total SBIR Fee \$0

Funding Project	Accn No	Log No	Accounting Code	Amount	FY	SBIR Fee Amount
3620 22410 014 03 T	422632	45990	493 3620 744	3,241.00	2014	0

Record: 1/1

## Actions with more than one ARS Recipient-Primary Holder-Preaward

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Active Audit Trail Incoming Agreements Only

File Action Record Prints Help

**ARIS** Incoming Funds Audit Records Audit Date 10/28/2013

Log 0000051605 Mode Code 36 22 20 00 Pre-Award Approval Date 05/31/2013

Agreement No. [ ] [ ] [ ] [ ] [ ] [ ] User Last Mod RRPROCTOR Date Created 05/16/2013

List Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver Org/Inhouse Coding Signatures

Start Date 10/01/2013 Term Date 09/30/2016 Duration (Months) 036 Status Pending

ARS Principal Investigator

Name (Last, First, MI, Suffix) BILYEU KRISTIN D [ ]

Type [ ] Phone [ ]

E-mail Kristin.Bilyeu@ARS.USDA.GOV

Purpose of Funds Research > 25,000 Type of Service [ ]

Is the gift from a prohibited source (refer to ARS Bulletin on gifts)? [ ] Waiver received? [ ] Has clearance been received to accept the gift? [ ]

Agreement Info

Type of Agreement Reimbursable

Award Date [ ] Grant Proposal Yes Grant Awarded [ ]

Agreement Number [ ] [ ] [ ] [ ] [ ] ARS Agreement Holder Yes

Control No [ ] ARS Agreement Holder Log No. [ ]

Agr Status [ ] ARS Proposed Total Funding 630,603.00

Record: 1/1 <OSC>

## ARS Primary Agreement Holder-Comments from Incoming Funds record-Preaward

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Active

File Edit Action Record Forms Prints Help

**ARIS** Incoming Funds Records Date Created 05/16/2013

Log 0000051605 Mode Code 36 22 20 00 Status Active Pre-Award Approval 05/31/2013

List Budget

Date of Transaction 05/30/2013

Internal Comments

Grant proposal being submitted to USB in the amount of \$630,603 total (FY14 \$210,201, FY15 \$210,201, FY16 \$210,201). ARS PI: W. Bilyeu, \$294,024. Funds to other ARS researchers, W. Lafayette, IN: \$160,500; Raleigh, NC: \$176,079

KSJ 5-17-13  
RW 5-24-13  
JLW 5-23-13

Close

Record: 1/1 <OSC>

## ARS Primary Agreement Holder-SOF/Funds tab-Preaward

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Active Audit Trail Incoming Agreements Only

File Action Record Prints Help

**ARIS** Incoming Funds Audit Records

Log 0000051605 Mode Code 36 22 20 00 Audit Date 10/26/2013  
 Pre-Award Approval Date 05/31/2013  
 Agreement No. [ ] [ ] [ ] [ ] [ ] [ ] User Last Mod RRPROCTOR Date Created 05/16/2013

List Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver Org/Inhouse Coding Signatures

Source of Funds

Original SOF [ ] [ ] [ ] [ ] [ ] [ ] Exemption Indicator  Non Profit Indicator   
 Direct SOF 1933 UNITED SOYBEAN BOARD Non-Federal    
 IPSC [Automatic Waiver] Exempt Requesting Waiver [ ]  
 Reason IPSC Changed [Why Requesting Waiver] [ ] IPSC Percent 0.0000  
 Waiver Approved BPMS [ ] Reason Waiver Denied [ ]

Budget Record Details

Cat 1&4 Salaries .00 Other Costs .00 Supplies 108,000.00  
 Fed Salaries .00 Extramural 168,024.00 Travel 18,000.00  
 Equipment .00 IPSC Amt .00

Total Proposed Amt has increased from <= \$5000. IPSC will now be assessed on [ ] TOTAL PROPOSED \$294,024.00  
 ARS FTE .00 Will the research require more FTE than currently available to SY/MU? [ ] FTE needed .00

Record: 1/1 <OSC>

## ARS Primary Agreement Holder Project Info Tab-Post Award

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Active

File Edit Action Record Forms Prints Help

**ARIS** Incoming Funds Records

Log 0000051605 Mode Code 36 22 20 00 Status Active Date Created 05/16/2013  
 Pre-Award Approval 05/31/2013  
 Agreement No. 58 3622 4 003 [ ] [ ]

List Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver Org/Inhouse Coding Budget

Start Date 10/01/2013 Term Date 09/30/2014 Duration (Months) 012

ARS Principal Investigator  
 Name (Last,First,MI,Suffix) BILYEU KRISTIN D [ ]  
 Email Kristin.Bilyeu@ARS.USDA.GOV

Purpose of Funds Research > 25,000

Agreement Info  
 Type of Agreement Reimbursable Cooperative Agreement (RCA)  
 Agreement Number 58 3622 4 003 [ ] [ ] Grant Proposal Yes Grant Awarded Yes  
 Control No 34573 ARS Agreement Holder Yes  
 Agr Status Open ARS Proposed Total Funding 210,201.00

Record: 1/1 <OSC>

## ARS Primary Agreement Holder-Comments-Post Award

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Active

File Edit Action Record Forms Prints Reports Help

416/417 Active Projects

Proj 3622 21000 036 10 R Accn 0425852 Mode Code 36 22 20 00 Status ACTIVE

Comments

Date Of Transaction 10/27/2013

Internal Comments

9/25/13 Agreement to J. moreno for signature jv  
 Stearic Acic Proposal awarded by USB for year 1 beginning 10/1/2013, \$210,201 per letter from Richard Joost, USB, dated 7/22/2013 and agreement from Alan McIlroy dated 9/24/2013.  
 MWA Bilyeu/Gillman to receive \$98,008 (Primary Log # 51605)  
 MWA Hudson to receive \$53,500 (Log # 51617)  
 SAA Miranda to receive \$58,693 (Log # 51726)

Close

Record: 1/1

## ARS Primary Agreement Holder-SOF tab-Post Award

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Active

File Edit Action Record Forms Prints Help

Incoming Funds Records

Log 0000051605 Mode Code 36 22 20 00 Status Active Date Created 05/16/2013

Agreement No. 58 3622 4 003 Pre-Award Approval 05/31/2013

List Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver Org/Inhouse Coding Budget

Source of Funds

Original SOF	Direct SOF	IPSC	Reason IPSC Changed	Exemption Indicator	Non Profit Indicator	IPSC Percent
	1933 UNITED SOYBEAN BOARD	Exempt		E	<input checked="" type="checkbox"/>	0.0000

Budget Record Details

Fed Salaries	.00	Other Costs	.00	TOTAL PROPOSED	\$98,008.00
Equipment	.00	Extramural Amt	60,008.00		
Supplies	34,000.00	IPSC Amt	.00		
Travel	4,000.00				

Record: 1/1 <OSC>

## Primary Agreement Holder-AIMS budget

Oracle Fusion Middleware Forms Services

Agreements Information Management System (AIMS) - Active

File Edit Prints Help

ARIS

Accn No 425852

Statement of Work / Budget

ARS Reimb/Recv Accounting Total

Control 34573 Agreement 58 3622 4 003 Amendment 00

Parties Agree To Comments Reimb/Recv Reimb/Recv (cont)

Publication Costs Description

All Other Direct Costs Description

Computer & Elec. Equip. Description

Total Direct Costs 210,201.00

Indirect Costs Description

Sub Contract Costs Description

77,300.00 RSAs w/University for s

35,008.00 ATCA - G. Shannon, Univ

Amount of Deobligation

Total Costs 210,201.00

## Primary Agreement Holder-No-Project Info tab

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Active

File Edit Action Record Forms Prints Help

ARIS

Incoming Funds Records

Log 0000051617 Mode Code 36 02 10 00 Status Active Date Created 05/17/2013

Agreement No. 58 3622 4 003 Pre-Award Approval 06/03/2013

List Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver Org/Inhouse Coding Budget

Start Date 10/01/2013 Term Date 09/30/2014 Duration (Months) 012

ARS Principal Investigator

Name (Last,First,MI,Suffix) HUDSON KAREN A

Email karen.hudson@ars.usda.gov

Purpose of Funds Research > 25,000

Agreement Info

Type of Agreement Reimbursable Cooperative Agreement (RCA)

Agreement Number 58 3622 4 003 Grant Proposal Yes Grant Awarded Yes

Control No ARS Agreement Holder No

Agr Status ARS Agreement Holder Log No. 051605

Record: 1/1 <OSC>

## Primary Agreement Holder-No-SOF tab

Oracle Fusion Middleware Forms Services

Agricultural Research Information System (ARIS) - Active

File Edit Action Record Forms Prints Help

ARIS

**Incoming Funds Records**

Log 0000051617 Mode Code 36 02 10 00 Status Active Date Created 05/17/2013  
 Agreement No. 58 3622 4 003 Pre-Award Approval 06/03/2013

List Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver Org/Inhouse Coding Budget

**Source of Funds**

Original SOF	Direct SOF	IPSC	Reason IPSC Changed	Exemption Indicator	Non Profit Indicator	IPSC Percent
	1933 UNITED SOYBEAN BOARD	Exempt		E	<input checked="" type="checkbox"/>	0.0000

**Budget Record Details**

Fed Salaries	.00	Other Costs	2,000.00	TOTAL PROPOSED	\$53,500.00
Equipment	.00	Extramural Amt	35,750.00		
Supplies	13,250.00	IPSC Amt	.00		
Travel	2,500.00				

Record: 1/1 <OSC>

## Creating Amendment to Agreement

- From the *Research Documentation/Extramural Agreements* screen, click **Active** and **416/417/Agreements/421 or Incoming Agreements** (if \$25,000 or under and no 416/417 attached) from the Menu Bar.
- On the query screen, enter the project number, accession number, log number or agreement number to find the project, and click **query** or press **Enter**. The project will then be displayed on the List screen.
- Mark the project and click **Action** and **Create Work Record – Amendment**. The system will ask if you really want to create a work record. Click **Yes**. Once the work record is created, exit out of the Active file and go to the Work file.
- Click **Work** and **416/417/Agreement or Incoming Agreements** (if \$25,000 or under) and the List screen will be displayed.
- Select the project to modify by placing a check in the box to the left of the project number or by moving your cursor over the project.

### **Agreements with 416/417 attached (\$25,000 and above):**

- Go to **Comments** field and enter the reason for the action. For example, Extending term date from 08-01-15 to 08-01-16 and receiving \$20,000 from USB.
- If extending term date, go to **Project Info** tab and change term date to new term date. Then go to **Forms, Incoming Agreement**, add new dollar amount to ARS Proposed Total Funding. Click on SOF/Funds tab and add the new money to the appropriate line items. At this time the Proposed Amount on the SOF/Funds tab should show the new money and Total Proposed should show new agreement amount.

### **Agreements less than \$25,000 (no 416/417 attached):**

- Go to **Comments** field and enter the reason for the action. For example, Extending term date from 08-01-15 to 08-01-16 and receiving \$20,000 from USB.
- Add new dollar amount to ARS Proposed Total Funding. This total should equal the new agreement total.
- Click on SOF/Funds tab and add the new money to the appropriate line items. At this time the Proposed Amount on the SOF/Funds tab should show the new money and Total Proposed should show new agreement amount. If the new amount causes the total to exceed \$25,000, you will need to add a 416/417 at this time.
- Click on **Forms, Agreement Info (AIMS)**.
- Enter into **Comments**: Amendment # for the purpose of extending term date to 8-1-16 and adding FY15 funds of \$20,000.
- Click on **Accounting** tab and enter appropriate account code or 999 9999 999, FY and new dollar amount.
- Click on **Forms**, click on **SOW/Budget**. Enter new breakdown of new dollar amount. This dollar amount should equal with the SOF tab, total proposed.

## OUTGOING AGREEMENT TYPES

Non-Assistance Cooperative Agreements (S-NACA) –previously Specific Cooperative Agreement:

A legal instrument reflecting a relationship between the Agency and one or more eligible entities setting forth the terms and conditions for carrying out, in detail, a jointly planned and executed research program or project of mutual interest to which all parties have committed to contribute resources. Awarded under the authority of 7 USC 3318(b).

Cooperative Agreement (A-CA) – previously Assistance-Type Cooperative Agreement **(Almost Always the agreement funded by an incoming agreement)**:

A legal instrument of financial assistance between the Agency and a non-Federal entity that, consistent with 31 U.S.C. 6302–6305, is used to enter into a relationship, the principal purpose of which is, to transfer anything of value from the awarding Agency to the non-Federal entity to carry out a public purpose authorized by a law of the United States (see 31 U.S.C. 6101(3)); and not to acquire property or services for the Federal government's direct benefit or use. Is distinguished from a grant in that it provides for substantial involvement between the awarding Agency and the non-Federal entity in carrying out the activity contemplated by the Federal award.

Non Funded Cooperative Agreement (N-NFCA):

An agreement between the Agency and another party(s) that describes in detail a jointly planned and executed project of mutual interest. All parties contribute resources and benefit independently in the outcome of the project. It is expected that ARS will commit resources, e.g., salaries, travel expenses, materials and supplies, etc., sufficient to support ARS' performance of the project. There is no direct transfer of funding from ARS to the other party. Awarded under the authority of 7 USC 3318(b).

Research Support Agreement (J-RSA):

An agreement between the Agency and State Cooperative Institutions or other colleges and universities, for the acquisition of goods or services, including personal services, to carry out agricultural research, extension, or teaching activities of mutual interest. Awarded under the authority of 7 USC 3319(a). 4 year limitation on full time recurring requirements. 10% cap on indirect cost reimbursement.

Grant Agreement (G):

A legal instrument of financial assistance between the Agency and a non-Federal entity that, consistent with 31 U.S.C. 6302, 6304, is used to enter into a relationship, the principal purpose of which is to, transfer anything of value from the awarding Agency to the non-Federal entity to carry out a public purpose authorized by a law of the United States (see 31 U.S.C. 6101(3)); and not to acquire property or services for the Federal government's direct benefit or use. Is distinguished from a cooperative agreement in that it does not provide for substantial involvement between the awarding Agency and the non-Federal entity in carrying out the activity contemplated by the Federal award.

## ARIS/AIMS Non-Assistance Cooperative Agreement Template

NOTE: An NACA is used for joint research in which ARS provides funds to partially defray costs of the cooperator.

**YELLOW HIGHLIGHTED INFORMATION:** Responses provided, nothing more is needed from the ARS SY.

**GREEN PRINT:** Required Fields

**BLUE PRINT:** Tips/Examples, general information.

**Mode Code:** Enter your complete mode code, down to the six or eight digit code.

**Project Title:** (148 character limit; use Title Case; no period at end)

**Start Date:**

**Term Date:** (Format is mm/dd/year, limited to five years)

Be realistic on start date. It might take 1-2 weeks for ONP approval; another 30-90 days for university/cooperator approval and signature.

**Department:** Not a required field. Example = Agronomy (Leave blank if the NACA is with a private rancher/producer/company).

**Performing Institute:** ALWAYS the cooperator. Examples: Kansas State University; ABC Pharmaceuticals; John Doe, City and State. This field will NEVER be ARS.

**Agreement Block:** Agreement number will generate when AIMS is added to record; mark SAES for agreements with State Agricultural Experiment Station, or Other for any other organization.

**Comments** Include FY and amount of funds, name of cooperator and ARS PI. If using incoming funds, identify the type of agreement, project number. It is not necessary to include information on the work to be done in the agreement; comments should tell the purpose of this action.

Example:

- Establish a NACA with Iowa State University, FY 16 funds \$25,000, R. Shoemaker, ARS PI. Funded by NIFA agreement 5030-21000-072-04I.

**Objective:** (3,200 character limit, see example at end of template)

**Do not use individual names of scientists, entities or brand names.**

**Approach:** (3,200 character limit, see example at end of template)

**Do not use individual names of scientists, entities or brand names.**

**Keywords:** (No limit, enter each Keyword on a separate line, phrases on the same line (e.g., Integrated Pest Management))

**Investigators:** Query in all ARS scientists and type in all Cooperators who will be involved with the project. There must be at least one ARS and one Cooperator listed.

**Agreement Info:** Leave the Congressionally Mandated block blank.

**Related In-house D project Number:** (Example 5020-21660-075-00D):

(D project Title and Accession Number will default into their blocks once the D project is identified/selected)

**Reason research cannot be performed by the ARS scientist:**

Cooperator is co-investigator on awarded grant proposal, if applicable. Include what expertise of cooperator or what research they will conduct. **DO NOT** type in Expertise not available within ARS.



**This next section is for the data entry in the AIMS/Agreement Section of the document. The information provided here will create the REE-451 NACA Official Signature Page and the Statement of Work/Agreement package.**

**Type of Agreement:** S (Non-Assistance Cooperative Agreement)

**Specialist:** Select the designated ADO from the Agreements Section. JoAnn Volk for all locations except WI, MN and MO. Kristy Wallace for WI, MN and MO. Bernadette Gregor for Foreign Agreements.

**Period of Performance:** Will propagate in, nothing to enter.

**Are the funds provided in this outgoing sub-award agreement from an incoming soft funds agreement.....Prime Award No:** This field will entered at ADO level, nothing to enter.

**Comments Block:**

**Agy/ARS PI/Finance:** Default is the selected Agreements Section; no change is necessary except to assure zip+4 is shown.

**ARS PI:** Name and address of the ARS Principal Investigator who will be responsible for the NACA will pull in; assure zip+4 is shown, add phone number with phone number.

**Agency Finance Office:** Default is the EBSC Budget/Travel/Agreements Section; assure zip+4 is shown and add email of appropriate ADO ([JoAnn.volk@ars.usda.gov](mailto:JoAnn.volk@ars.usda.gov) for all locations except WI, MN and MO, use [Kristy.wallace@ars.usda.gov](mailto:Kristy.wallace@ars.usda.gov)). [Bernadette.Gregor@ars.usda.gov](mailto:Bernadette.Gregor@ars.usda.gov) for Foreign Agreements.

**Type Perf Org (FFATA):** (This pulls in after you enter recipient code and save tab)

**Cooperator/Non-Federal Entity/Federal Agency:** (Name and address of the Institute/University, usually their Sponsored Programs Office):

Recipient Code: Choose from the “?”

Name: Will pull in from Recipient Code

Street or Hall Address: You must enter the address

City, State, Zip Code + 4: This should pull in from Recipient Code, assure **Zip Code + 4 as this is required**

POC: Enter the person responsible for signing the agreement, if university, it would be sponsored programs

Email and phone: You will need to enter this information

ADO will enter FMMI Vendor Code

**Non-Federal Entity/Federal Agency Principal Investigator:** Name and address of the Person at the Cooperating Institute/University who will be the Principal Investigator for the Cooperator:

Last, First, MI :

Title:

Address:

City, State, Zip Code + 4: **Zip Code + 4 is now required.**

Email and phone of person listed in this section

\* If the Cooperator is not in the table, email a completed POC/SOF form to Lori Wilson-Voss.

**Payment/Reports: No action required, ADO entry only**

**NOTE:**

- Performance Reports are required from the Cooperator's PI annually.
- They are normally due by June 1<sup>st</sup> of each year the NACA is in effect.
- The ARS PI receives these reports and forwards them to location PSA or ADO for uploading into e-green.
- The Performance Reports received from the Cooperator can be used by the ARS PI to prepare the ARS-421 Progress Report, which is entered into ARIS each year, if required.
- The Performance Report from the cooperator PI & the 421 Progress Report are two separate reports.

**Accounting:** No action required, pulled in from ARIS Budget tab; verify accuracy of information.

**Monitoring Activities:** Select all activities that ARS PI will use to monitor research progress on the agreement

**Provisions: No action required, ADO entry only**

**E-Green:** Not a required field, but may be used for upload of pdf documents in support of the agreement; e.g., AD-700, emails, proposal from incoming agreement if soft funds are used, performance reports. If soft funds are used, be sure that the IFR for those funds shows funding to be distributed out to this organization.

**Your narrative for the Statement of Mutual Interest:** Type in the following sentences, **adding pertinent information in the blank:**

Both parties are actively engaged in independent research projects which \_\_\_\_\_  
\_\_\_\_\_. **(Should relate to project title).** The parties agree that meeting the objectives of this project will strengthen and enhance ongoing research within the scope of this agreement.

**Mutual Agreements: Items 1-3 are standard items that will print on the actual agreement.**

**Your narrative for the Cooperator Agrees To:**

1. Work closely with ARS in planning and conducting the outlined research.
2. Insert the University/Cooperator part of the research project here. There is no limit on the number of research related items that can be entered.

**Your narrative for the ARS Agrees To:**

1. Work closely with the Cooperator in planning and conducting the outline research.
2. Insert the ARS part of the research project here. There is no limit on the number of research related items that can be entered.

**Comments:** Not required, but may be used to add any SOW/Budget comments

**Reimb/Recv (two tabs):** Breakout of funds among funding categories for funds being provided to cooperator; provide detailed descriptions where noted; itemization required for Materials and Supplies over \$1000.

**Coop Contrib:** Breakout of funds among funding categories for funds being used in support of the agreement internally by Cooperator (should be no less than 20% of funds ARS is providing to the cooperator; indirect costs that cooperator cannot assess because of regulation may be used at contribution and shows in Indirect Cost block, BUT cooperator contribution MAY NOT be exclusively Indirect Costs. **NEW REQUIREMENT** for Salaries: Salary information must be broken out by roles and salary and fringe must be separated. Also, a budget summary must also be included.

Role	Salary	Fringe
Senior/Key Person	\$25000.00	\$8750.00

Other Personnel (Post Doc, Associate, Graduate)	\$105000.00	\$36750.00
Support Personnel/Secretarial/Clerical	\$6120.00	\$489.60

The Key Person (NFE PI) salary is based on 3 months of “summer salary” and a respective fringe benefit rate of 35%. Other Personnel consists of salary for one TBD full-time post doc with an estimated salary of \$70000.00; one TBD full-time graduate student with an estimated salary of \$35000.00; and 3 TBD undergraduate students each working during the academic year at an estimated rate of \$2040.00 per student. The total estimated fringe of \$45989.60 was calculated at 35% for the post doc, 18% for the graduate student, and 8% for the undergraduate students.

If equipment is under \$5,000 it may be included under Material and Supplies. If over \$5,000 cooperator must complete a SF-428B form.

**BE SURE THAT AFTER AIMS HAS GENERATED THE AGREEMENT NUMBER, THE SEB-102 FORM IS COMPLETED, SIGNED BY THE ARS PI, SCANNED TO PDF, AND ENTERED INTO THE 416/417 BLOCK.**

## ARIS/AIMS Cooperative Agreement (CA) Template

NOTE: A CA is used when there is less joint research being conducted, often as a result of an awarded grant proposal where ARS receives funds and subawards out to co-PIs.

**YELLOW HIGHLIGHTED INFORMATION:** Responses provided, nothing more is needed from the ARS SY.

**GREEN PRINT:** Required Fields

**BLUE PRINT:** Tips/Examples, general information.

**Mode Code:** Enter your complete mode code, down to the six or eight digit code.

**Project Title:** (148 character limit; use Title Case; no period at end)

**Start Date:**

**Term Date:** (Format is mm/dd/year, limited to five years)

Be realistic on start date. It might take 1-2 weeks for ONP approval; another 30-90 days for university/cooperator approval and signature.

**Department:** Not a required field. Example = Agronomy (Leave blank if the NACA is with a private rancher/producer/company).

**Performing Institute:** ALWAYS the cooperator. Examples: Kansas State University; ABC Pharmaceuticals; John Doe, City and State. This field will NEVER be ARS.

**Comments:** Include FY and amount of funds, name of cooperator and ARS PI. If using incoming funds, identify the type of agreement, project number. It is not necessary to include information on the work to be done in the agreement; comments should tell the purpose of this action.

Example:

- Establish a CA with Iowa State University, FY 16 funds \$25,000, R. Shoemaker, ARS PI. Funded by NIFA agreement 5030-21000-072-04I.

**Objective:** (3,200 character limit, see example at end of template)

**Do not use individual names of scientists, entities or brand names.**

**Approach:** (3,200 character limit, see example at end of template)

**Do not use individual names of scientists, entities or brand names.**

**Keywords:** (No limit, enter each Keyword on a separate line, phrases on the same line (e.g., Integrated Pest Management))

**Investigators:** Query in all ARS scientists and type in all Cooperators who will be involved with the project. There must be at least one ARS and one Cooperator listed.

**Agreement Info:** Leave the Congressionally Mandated block blank.

**Related In-house D project Number:** (Example 3020-21660-075-00D):

(D project Title and Accession Number will default into their blocks once the D project is identified/selected)

**Reason research cannot be performed by the ARS scientist:** Cooperator is co-investigator on awarded grant proposal. Include what expertise of cooperator or what research they will conduct. **DO NOT type in Expertise not available within ARS.**

**Example:** University has the expertise and an existing data analysis program available to assist with the collection and interpretation of economic data as it relates to this component of the model.

**Relevance to Parent/Related In-house D project**

Identify the Objectives/sub-objectives, milestones, and deliverables from the parent project that this project will relate to. This field must also include the Cooperator PI name and affiliation. You must also identify percent of SY time to be spent on this research project. Objectives, milestones and deliverables in the ARS parent (D) project the agreement will address, and how this linkage will be accomplished:

- Name(s) and affiliation(s) of Cooperator PI(s):
- Percent of SY time that will be spent on the project:
- Percent of Technical time that will be spent on project:

**Example** Objective 2 - Elucidate the host-pathogen interactions associated with Bovine Respiratory Disease Complex (BRDC) by defining host pathways modulated as a result of viral infections and characterizing the role of stress and immunological related host effector molecules in BRDC. Subobjective 2a - Define interactions of viral pathogens with other viral or bacterial pathogens that may contribute to the development of respiratory disease.

This CA will complement the parent project by: (1) identifying cytokine pathways regulated during respiratory viral infection; and (2) provide relevant information needed for the development of new respiratory virus vaccines.

Name and affiliation of Cooperator PI: Joan Smith, ABC, Inc.

Percent of SY time that will be spent on the project: 10%

Percent of Technical time that will be spent on the project: 10%

**Budget:** Enter funding project(s), accounting code for the project, amount, and FY of the action. (Query in funding project or enter accession number if project has 416/417; query in log number if project does not have 416/417. Soft funds with X08 accounting codes MUST be the current funding year. Verify that the accounting code matches the funding project.

**STP, NP and 417 codes:** Codes automatically pull in from the related in-house parent D project. **Suggestion:** Print a current copy of the related in-house D project to review and identify the appropriate codes for the proposed cooperative agreement. All codes on the D project can be selected, or just some of the codes, **but a minimum of one code in each category is required (mark it as 100% if using only one).** **FOS, RPA, SOI, and Sub-Activity blocks must total 100%. Refer to the ARIS Manual for use of codes.**

Special codes for Farm Bill (FBP) and Sustainable Agriculture (SA+ or -) are not used for outgoing agreements.

**FOS = Field Of Science; **RPA = Research Problem Area; **SOI = Subject of Investigation; **Sub-Activity Codes********

**STP Codes = Strategic Plan; **National Program (NP codes cannot be changed).****

**ARS Contact Financial Dealings:** (Conflict of Interest question)  
Do you, or any full-time resident of your household, have any activity or financial interest (dealings) with the Source of Funds Org(s)? **NO YES**

If Yes, provide an explanation/details:

**SEB-102 Conflict of Interest Documentation:** Once AIMS has been started and the agreement number is generated, enter it on the SEB-102 form for PI signature, and go back to upload pdf in this block.

This next section is for the data entry in the AIMS/Agreement Section of the document. The information provided here will create the REE-451 CA Official Signature Page and the Statement of Work/Agreement package.

**Type of Agreement:** A (Cooperative Agreement)

**Specialist:** Select the designated ADO from the Agreements Section. JoAnn Volk for all locations except WI, MN and MO. Kristy Wallace for WI, MN and MO. Bernadette Gregor for foreign agreements.

**Period of Performance:** Will propagate in, nothing to enter.

**Are the funds provided in this outgoing sub-award agreement from an incoming soft funds agreement.....Prime Award No:** This field will entered at ADO level, nothing to enter.

**Comments:**

**Agy/ARS PI/Finance:** Default is the selected Agreements Section; no change is necessary except to assure zip+4 is shown.

**ARS PI:** Name and address of the ARS Principal Investigator who will be responsible for the NACA will pull in; assure zip+4 is shown, add phone number with phone number.

**Agency Finance Office:** Default is the EBSC Budget/Travel/Agreements Section; assure zip+4 is shown and add email of appropriate ADO ([JoAnn.volk@ars.usda.gov](mailto:JoAnn.volk@ars.usda.gov) for all locations except WI, MN and MO, use [Kristy.wallace@ars.usda.gov](mailto:Kristy.wallace@ars.usda.gov)). Bernadette.Gregor@ars.usda.gov for Foreign Agreements.

**Type Perf Org (FFATA):** (This pulls in after you enter recipient code and save tab)

**Cooperator/Non-Federal Entity/Federal Agency:** (Name and address of the Institute/University, usually their Sponsored Programs Office):

**Recipient Code:** Choose from the “?”

**Name:** Will pull in from Recipient Code

**Street or Hall Address:** You must enter the address

**City, State, Zip Code + 4:** This should pull in from Recipient Code, assure **Zip Code + 4 as this is required**

**POC:** Enter the person responsible for signing the agreement, if university, it would be sponsored programs

**Email and phone:** You will need to enter this information

ADO will enter FMMI Vendor Code

**Non-Federal Entity/Federal Agency Principal Investigator:** Name and address of the Person at the Cooperating Institute/University who will be the Principal Investigator for the Cooperator:

Last, First, MI :

Title:

Address:

City, State, Zip Code + 4: **Zip Code + 4 is now required.**

Email and phone of person listed in this section

\* If the Cooperator is not in the table, email a completed POC/SOF form to Lori Wilson-Voss.

**Payment/Reports: No action required, ADO entry only**

**NOTE:**

- Performance Reports are required from the Cooperator's PI annually.
- They are normally due by June 1<sup>st</sup> of each year the CA is in effect.
- The ARS PI receives these reports and forwards them to the location PSA or ADO for uploading into e-green.
- The Performance Reports received from the Cooperator can be used by the ARS PI to prepare the ARS-421 Progress Report, which is entered into ARIS each year, if required.
- The Performance Report from the cooperator PI & the 421 Progress Report are two separate reports.

**Accounting:** No action required, pulled in from ARIS Budget tab; verify accuracy of information.

**Monitoring Activities:** Select all activities that ARS PI will use to monitor research progress on the agreement.

**Provisions:** No action required, ADO entry only

**E-Green:** Not a required field, but may be used for upload of pdf documents in support of the agreement; e.g., AD-700, emails, proposal from incoming agreement for soft funds used particularly for NIFA grants. If soft funds are used, be sure that the IFR for those funds shows funding to be distributed out to this organization.

**Your narrative for the Statement of Mutual Interest:** N/A

**Mutual Agreements:** AIMS will automatically populate:

1. Payments to the Cooperator will be made through: HHS/Payment Management System
2. See applicable Provisions on the website: <https://www.afm.ars.usda.gov/agreements/partnership.htm>
3. Correspondence and documentation submitted by the Cooperator to the Agency PI in reference to this agreement should cite Agreement No. 59-XXX-X-XXX (will insert appropriate agreement number).

**Your narrative for the Cooperator Agrees To:**

1. Work closely with ARS in planning and conducting the outlined research.
2. (Then add proposed work to be accomplished by Cooperator as provided by SY)

**Your narrative for the Agency Agrees To:** Populates: Financially support this project and monitor the Recipient's progress through financial and performance reports, as prescribed in the terms and conditions of this award. If necessary, list any other Agency PI roles.

**Comments:** Not required, but may be used to add any SOW/Budget comments

**Reimb/Recv (two tabs):** Breakout of funds among funding categories for funds being provided to cooperator; provide detailed descriptions where noted; itemization required for Materials and Supplies over \$1000. **NEW REQUIREMENT** for Salaries: Salary information must be broken out by roles and salary and fringe must be separated. Also, a budget summary must also be included.

Role	Salary	Fringe
Senior/Key Person	\$25000.00	\$8750.00
Other Personnel (Post Doc, Associate, Graduate)	\$105000.00	\$36750.00
Support Personnel/Secretarial/Clerical	\$6120.00	\$489.60

The Key Person (NFE PI) salary is based on 3 months of "summer salary" and a respective fringe benefit rate of 35%. Other Personnel consists of salary for one TBD full-time post doc with an estimated salary of \$70000.00; one TBD full-time graduate student with an estimated salary of \$35000.00; and 3 TBD undergraduate students each working during the academic year at an estimated rate of \$2040.00 per student. The total estimated fringe of \$45989.60 was calculated at 35% for the post doc, 18% for the graduate student, and 8% for the undergraduate students.

If equipment is under \$5,000 it may be included under Material and Supplies. If over \$5,000 cooperator must complete a SF-428B form.

**BE SURE THAT AFTER AIMS HAS GENERATED THE AGREEMENT NUMBER, THE SEB-102 FORM IS COMPLETED, SIGNED BY THE ARS PI, SCANNED TO PDF, AND ENTERED INTO THE 416/417 BLOCK.**

## ARIS/AIMS Non-Funded Cooperative Agreement Template

NOTE: An NFCA is used for joint research where ARS and the cooperator each use their own funds in support of the project. In some instances an NFCA may be used to formally document responsibilities for research conducted on a grant proposal submitted by a cooperator with no funds provided to ARS.

**YELLOW HIGHLIGHTED INFORMATION:** Responses provided, nothing more is needed from the ARS SY.

**GREEN PRINT:** Required Fields

**BLUE PRINT:** Tips/Examples, general information.

**Mode Code:** Enter your complete mode code, down to the six or eight digit code.

**Project Title:** (148 character limit; use Title Case; no period at end)

**Start Date:**

**Term Date:** (Format is mm/dd/year, limited to five years)

Be realistic on start date. It might take 1-2 weeks for ONP approval; another 30-90 days for university/cooperator approval and signature.

**Department:** Not a required field. Example = Agronomy (Leave blank if the NACA is with a private rancher/producer/company).

**Performing Institute:** ALWAYS the cooperator. Examples: Kansas State University; ABC Pharmaceuticals; John Doe, City and State. This field will NEVER be ARS.

**Agreement Block:** Agreement number will generate when AIMS is added to record; mark SAES for agreements with State Agricultural Experiment Station, or Other for any other organization.

**Comments:** New Non-Funded Cooperative agreement with F. Sinatra, Sunshine University. ARS PI D.

Martin. If related to an IFR No-Funds to ARS record, indicate this and include the log number.

It is not necessary to include information on the work to be done in the agreement; comments should tell the purpose of this action.

**Objective:** (3,200 character limit, see example at end of template)

**Do not use individual names of scientists, entities or brand names.**

**Approach:** (3,200 character limit, see example at end of template)

**Do not use individual names of scientists, entities or brand names.**

**Keywords:** (No limit, enter each Keyword on a separate line, phrases on the same line (e.g., Integrated Pest Management))

**Investigators:** Query in all ARS scientists and type in all Cooperators who will be involved with the project. There must be at least one ARS and one Cooperator listed.

**Agreement Info:** Leave the Congressionally Mandated block blank.

**Is there an Incoming funds Request associated with this NFCA? If "Yes" Log No. \_\_\_\_\_**

**Related In-house D project Number:** (Example 5020-21660-075-00D):

(D project Title and Accession Number will default into their blocks once the D project is identified/selected)

**Reason research cannot be performed by the ARS scientist:** Include what expertise of cooperator or what research they will conduct. If related to a No Funds to ARS IFR, include that information here. **DO NOT type in Expertise not available within ARS.**

**Example:** University has the expertise and an existing data analysis program available to assist with the collection and interpretation of economic data as it relates to this component of the model.

**Relevance to Parent/Related In-house D project:**

- Identify the Objectives/sub-objectives, milestones, and deliverables from the parent project that this project will relate to. This field must also include the Cooperator PI name and affiliation. You must also identify percent of SY time to be spent on this research project. Objectives, milestones and deliverables in the ARS parent (D) project the agreement will address, and how this linkage will be accomplished:
- Name(s) and affiliation(s) of Cooperator PI(s):
- Percent of SY time that will be spent on the project:
- Percent of Technical time that will be spent on project:

**Example** Objective 2 - Elucidate the host-pathogen interactions associated with Bovine Respiratory Disease Complex (BRDC) by defining host pathways modulated as a result of viral infections and characterizing the role of stress and immunological related host effector molecules in BRDC. Subobjective 2a - Define interactions of viral pathogens with other viral or bacterial pathogens that may contribute to the development of respiratory disease.

This NFCA will complement the parent project by: (1) identifying cytokine pathways regulated during respiratory viral infection; and (2) provide relevant information needed for the development of new respiratory virus vaccines.

Name and affiliation of Cooperator PI: Joan Smith, ABC, Inc.  
Percent of SY time that will be spent on the project: 10%  
Percent of Technical time that will be spent on the project: 10%

**STP, NP and 417 codes:** Codes automatically pull in from the related in-house parent D project.  
**Suggestion:** Print a current copy of the related in-house D project to review and identify the appropriate codes for the proposed cooperative agreement. All codes on the D project can be selected, or just some of the codes, **but a minimum of one code in each category is required (mark it as 100% if using only one).**  
**FOS, RPA, SOI, and Sub-Activity blocks must total 100%. Refer to the ARIS Manual for use of codes.**

Special codes for Farm Bill (FBP) and Sustainable Agriculture (SA+ or -) are not used for outgoing agreements.

**FOS = Field Of Science; RPA = Research Problem Area; SOI = Subject of Investigation; Sub-Activity Codes  
**STP Codes = Strategic Plan; National Program (NP codes cannot be changed).****

**ARS Contact Financial Dealings:** (Conflict of Interest question)  
Do you, or any full-time resident of your household, have any activity or financial interest (dealings) with the Source of Funds Org(s)? **NO YES**

If Yes, provide an explanation/details:

**SEB-102 Conflict of Interest Documentation:** Once AIMS has been started and the agreement number is generated, enter it on the SEB-102 form for PI signature, and go back to upload pdf in this block.

**This next section is for the data entry in the AIMS/Agreement Section of the document. The information provided here will create the REE-451 NFCA Official Signature Page and the Statement of Work/Agreement package.**

**Type of Agreement:** N (Non-Funded Cooperative Agreement)

**Specialist:** Select the designated ADO from the Agreements Section. JoAnn Volk for all locations except WI, MN and MO. Kristy Wallace for WI, MN and MO. Bernadette Gregor for foreign agreements.

**Comments Block:**

**Agy/ARS PI/Finance:** Default is the selected Agreements Section; no change is necessary except to assure zip+4 is shown.

**ARS PI:** Name and address of the ARS Principal Investigator who will be responsible for the NACA will pull in; assure zip+4 is shown, add phone number with phone number.

**Agency Finance Office:** Default is the EBSC Budget/Travel/Agreements Section; assure zip+4 is shown and add email of appropriate ADO ([JoAnn.volk@ars.usda.gov](mailto:JoAnn.volk@ars.usda.gov) for all locations except WI, MN and MO, use [Kristy.wallace@ars.usda.gov](mailto:Kristy.wallace@ars.usda.gov)). [Bernadette.gregor@ars.usda.gov](mailto:Bernadette.gregor@ars.usda.gov) for Foreign Agreements.

**Type Perf Org (FFATA):** (This pulls in after you enter recipient code and save tab)

**Cooperator/Non-Federal Entity/Federal Agency:** (Name and address of the Institute/University, usually their Sponsored Programs Office):  
Recipient Code: Choose from the “?”  
Name: Will pull in from Recipient Code  
Street or Hall Address: You must enter the address  
City, State, Zip Code + 4: This should pull in from Recipient Code, assure **Zip Code + 4 as this is required**  
POC: Enter the person responsible for signing the agreement, if university, it would be sponsored programs  
Email and phone: You will need to enter this information  
ADO will enter FMFI Vendor Code

**Non-Federal Entity/Federal Agency Principal Investigator:** Name and address of the Person at the Cooperating Institute/University who will be the Principal Investigator for the Cooperator:

Last, First, MI :

Title:

Address:

City, State, Zip Code + 4: **Zip Code + 4 is now required.**

Email and phone of person listed in this section

\* If the Cooperator is not in the table, email a completed POC/SOF form to Lori Wilson-Voss.

**Payment/Reports: No action required, ADO entry only**

**NOTE:**

- Performance Reports are required from the Cooperator's PI annually.
- They are normally due by June 1<sup>st</sup> of each year the NFCA is in effect.
- The ARS PI receives these reports and forwards them to the location PSA or ADO for uploading into e-green.
- The Performance Reports received from the Cooperator can be used by the ARS PI to prepare the ARS-421 Progress Report, which is entered into ARIS each year, if required.
- The Performance Report from the cooperator PI & the 421 Progress Report are two separate reports.

**Monitoring Activities:** Select all activities that ARS PI will use to monitor research progress on the agreement

**Provisions: No action required, ADO entry only**

**E-Green:** Not a required field, but may be used for upload of pdf documents in support of the agreement; e.g., emails, proposal from incoming agreement if related to no-funds grant proposal, reports.

**Your narrative for the Statement of Mutual Interest:** Type in the following sentences, **adding pertinent information in the blank:**

Both parties are actively engaged in independent research projects which \_\_\_\_\_.  
\_\_\_\_\_. (Should relate to project title). The parties

agree that meeting the objectives of this project will strengthen and enhance ongoing research within the scope of this agreement.

**Mutual Agreements: Items 1-2 are standard items that will print on the actual agreement.**

1. See applicable Provisions on the website: <https://www.afm.ars.usda.gov/agreements/partnership.htm>
2. Correspondence and documentation submitted by the Cooperator to the Agency PI in reference to this agreement should cite Agreement No. 58-XXXX-X-XXXN.

**Your narrative for the Cooperator Agrees To:**

1. Work closely with ARS in planning and conducting the research outlined below.
2. Insert the University/Cooperator part of the research project here. There is no limit on the number of research related items that can be entered.

**Your narrative for the ARS Agrees To:**

1. Work closely with the Cooperator in planning and conducting the outline research.
2. Insert the ARS part of the research project here. There is no limit on the number of research related items that be entered.

**Comments:** Not required

**BE SURE THAT AFTER AIMS HAS GENERATED THE AGREEMENT NUMBER, THE SEB-102 FORM IS COMPLETED, SIGNED BY THE ARS PI, SCANNED TO PDF, AND ENTERED INTO THE 416/417 BLOCK.**

## Outgoing Agreements

When amending an outgoing agreement, go to “Active”, choose 416/417Agreements/421, query for the project number you want to amend, put a check mark to the left of the number, go to “Action” and choose one of the following work records.

### **Create Work Record - Amendment**

To be used when creating an amendment to an agreement, where documentation will actually be sent to the cooperator and an amendment number is assigned. This option must be used if modifying dollar amount once the agreement has been established.

### **Create Work Record – Correction**

To be used when no amendment to the cooperator is required, but a correction needs to be made to the ARIS and/or AIMS documentation, such as a typo, **expiring or renumbering of project**.

**NOTE:** If the agreement is funded from a Reimbursable or Trust and the outgoing information was included in the approved incoming funds record, please include the accession and/or log number from the approved agreement in the remarks of the 416/417.

**AGREEMENTS REQUIREMENT:** The outgoing agreement must agree with the Org/Inhouse Non-ARS Performing Organizations information on the Incoming Funds Record. Sub Recipient Organization Name (performing org) and dollar amount must be the same as the outgoing agreement being entered.

## REMARKS 416/417 OUTGOING AGREEMENTS

Extend and add funds to existing NACA or CA:

**ARIS:**

Extension of time from 05/01/14 to 05/01/15, and FY 14 added funds, \$50,000, to NACA with Iowa State University to complete soybean rust research. F. Sinatra, ARS PI.

**AIMS:**

Amendment # is issued for the purpose of extending time to 05/01/15 and adding \$50,000 to NACA with Iowa State University. (Justification for the need for the additional time and funds). Do not use "to continue research". We need a good justification for why additional funds and time are needed.

Establish new agreement:

**ARIS:**

Establish a Reimbursable with Iowa State University, FY 16 funds \$25,000, R. Shoemaker, ARS PI.

Establish Trust/Reimbursable with Monsanto for \$125,000, S. Claus, ARS PI, log #51042.

**AIMS: No comments are needed on new agreements in AIMS.**

Renumbering subordinate projects (created as correction):

Renumbered from 5030-21000-053-04S to 5030-21000-0059-02S and new Inhouse Project has been updated. **Remember to update inhouse project number on Agreement tab.**

**AIMS: Nothing should be changed or added to AIMS.**

Renumbered from 5030-21000-053-05R to 5030-21000-0059-03R and new Inhouse Project has been updated. **Remember to update inhouse project number on Agreement tab.**

**AIMS: Nothing should be changed or added to AIMS.**

## OUTGOING AGREEMENTS – Step by Step Summary

You must complete all the fields for ARS PI and Cooperator Info tabs in AIMS. Include the email address and phone number along with the address. Send a copy of your AD700 for NACAs and CAs to AO. I've included a step by step below to provide additional clarification.

### Outgoing-AIMS

Complete the following tabs:

Agreements

Agy/ARS PI/Finance

Cooperator Info

Click on Forms, SOW/Budget

Enter Statement of Mutual Interest information

Parties Agree to - both fields Cooperator Agrees to: and ARS Agrees to:

Enter info Reimb/Recv-Reimb/Recv (cont)

Enter Coop Contrib - Coop Contrib (must be at least 20% of the amount we are giving to the cooperator)

Send AO copy of AD700

**NOTE:** On any of the above where you are using the ARS Agreement format we need to be sure the Scientist is clearly spelling out the work to be performed by both parties. Without good information in this area it is hard to judge if the work has been done in the event the agreement needs to be terminated for non-performance.

## Creating Amendment to Agreement

- From the *Research Documentation/Extramural Agreements* screen, click **Active** and **416/417/Agreements/421** from the Menu Bar.
- On the query screen, enter the project number, accession number, or agreement number to find the project, and click **query** or press **Enter**. The project will then be displayed on the List screen.
- Mark the project and click **Action** and **Create Work Record – Amendment**. The system will ask if you really want to create a work record. Click **Yes**. Once the work record is created, exit out of the Active file and go to the Work file.
- Click **Work** and **416/417/Agreement** and the List screen will be displayed.
- Select the project to modify by placing a check in the box to the left of the project number or by moving your cursor over the project.
- Go to **Comments** field and enter the reason for the action. For example, Extending term date from 08-01-16 to 08-01-17 and adding FY16 funds of \$20,000 from incoming project 5030-21000-054-011.
  - If extending term date, go to **Project Info** tab and change term date to new term date.
  - If adding funds, go to **Budget** tab, enter Funding Project, Accession, Account Code, Amount and FY.
- Click on **Forms, Agreement Info (AIMS)**.
- Enter into **Comments**: Amendment # for the purpose of extending term date to 8-1-16 and adding FY16 funds of \$20,000. Also provide the justification for the additional funds and time.
- Click on **Forms**, click on **SOW/Budget**
- For NACA type of agreements, complete all tabs. The **Reimb/Recv** and **Reimb/Recv (cont)** tabs should total the amount you are adding at this time. **Coop Contrib** and **Coop Contrib (cont)** amount should be no less than 20% of the amount ARS is providing to cooperator.