INTRODUCTION TO AGREEMENTS

Basic Information & Overview of ARIS/AIMS

Why – Who – What – When

Why?

Why do we do agreements?

- Variety of reasons:
  - Obtain expertise not available within ARS
  - Collaborate with extramural partners or
  - Congressional mandate

Why – Who – What – When

Who?

Who is involved and what are their roles?

- **The Lead Scientist (ADODR)** (Must take AgLearn Training before appointment as ADODR)

  Authorized Departmental Officer Designated Representative

  - Provide information for ARIS/AIMS
  - Provides
    - Statement of Work (SOW)
    - Budget
    - Information for entry into ARIS/AIMS
      - Entered by the Program Assistant/Secretary
    - Ongoing administrative and program oversight of award
      - Performance Reports
      - SF 269 Financial Status Reports

Why – Who – What – When

Who?

- **Program Assistants**
  - Enter information into ARIS/AIMS
    - Reviews for typos, spelling errors, spacing
    - Checks Dates
    - Verifies account codes
      - Outgoing budget (ARIS)
      - AIMS budget
      - AD 700 CATS
- **Research Leader (RL), Location Director (LD) and/or Center Director (CD)**
  - Perform a pre-award review for:
    - Programmatic relevance
    - Ensuring consistency of performance requirements with in-house project objectives
    - Determining that tasks are adequate to accomplish the objectives of the agreement

Why – Who – What – When

Who?

- **Administrative Officer (AO)**
  - Perform a pre-award review:
    - Start and term date
    - Remarks
    - Congressionally mandated
    - Budget
      - ARIS/AIMS match
      - AD 700 match ARIS/AIMS
      - Funds in CATS
      - SOW and Budget completed
      - Spelling errors
    - Send copy to Area ADO
    - Received monthly management reports (MMR)
    - Initiates closeout

Why – Who – What – When

Who?

- **Authorized Departmental Officer (ADO)**
  - **In SAA – Jan Moreno**
  - Responsible for:
    - Negotiating
    - Awarding
    - Administering
    - Overall accountability

- Effective June 20, 2010 ARS established a new Office to focus on partnerships and be headed by a third ARS Associate Administrator. This will bring together ARS' applicable assets at both the Headquarters and Area Office levels to institutionalize a "one stop shop" to facilitate and administer all types of extramural research fund agreements in ARS, both incoming and outgoing funds. The new Office combines existing resources and functions of the Office of Technology Transfer, the AFM Extramural Agreements Division, and the Area Agreements Specialist.
- The Office will operate "virtually" via centralized management of uniform and simplified policies, procedures, databases, etc., across the Agency, and decentralize post-award agreements processes and administrative support.

Why – Who – What – When

What & When ?

What types of Agreements

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When do we use them?

- **Specific Cooperative Agreements (SCA)**
  - Jointly planned
  - Mutual interest between "both parties"
  - Both parties contribute resources
    - Cooperator's contributions must be no less than 20% of the funded amount of the agreement
    - Resource contributions of the Cooperator shall consist of a sufficient amount of itemized direct costs to substantiate a true-stake in the project
    - ARIS forms: 416/417 outgoing (formerly 550a)
    - Agreements Information Management System (AIMS info tabs)
    - **Prior Approval must always be received from the Area Office prior to sending the proposal to an outside source for funding.**

Why – Who – What – When

What & When ?

What types of Agreements

&

When do we use them?

- **Non-Funded Cooperative Agreement (NFCA)**
  - Jointly planned
  - Both parties have "mutual interest"
  - No direct transfer of funding
  - ARIS forms: 416/417/outgoing
    - Agreements Information Management System (AIMS info tabs)
    - **Prior Approval must always be received from the Area Office prior to sending the proposal to an outside source for funding.**

Why – Who – What – When

What & When ?

What types of Agreements

&

When do we use them?

- **Research Support Agreement (RSA)**

  "Acquisition of Goods and Services"
  - Agreement between ARS and State Cooperative Institutions or other colleges and universities
  - Indirect costs limited to 10% of direct cost
    - Negotiated by Area ADO for change
  - Must use ARIS to initiate
    - ARIS 416/417 outgoing
    - AIMS information must be completed
    - Pull package out of AIMS
    - Do not use the old forms or REE 451
    - **Prior Approval must always be received from the Area Office prior to sending the proposal to an outside source for funding.**

Why – Who – What – When

What & When ?

What types of Agreements

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When do we use them?

- **Trust Fund and Reimbursable Agreements (T and R projects)**
  - Cooperative research between ARS and another party
    - ARS is paid in advance to conduct research, another party shares in the cost of a research project conducted by ARS, or ARS allows the use of any facility or service
    - Reimbursable agreement similar to a Trust Fund agreement, except ARS bills the cooperator for payment of work completed on the research.
    - **Prior Approval must always be received from the Area Office prior to sending the proposal to an outside source for funding.**
    - ARIS 416/417 required if over $25,000
    - AIMS information must be completed

Why – Who – What – When

What & When ?

What types of Agreements

&

When do we use them?

- Trust
  - ARS is paid in advance to conduct research
- Reimbursable
  - ARS performs the research and NFC bills the cooperator for payment
- Sub-Awards:
  - Subject to applicable Federal Statutes, Law and
  - ARS Policies and Procedures
- Gifts

Initiation & Approval

- AGREEMENTS
- First step
  - ARIS "Incoming Agreement"
    - Approved "official"
- Approval must be received
  - Prior to
    - submitting any proposal
    - Applying at Grants.gov
- ARIS must be approved up the chain at all levels
    - RL,CD/LD,AD,NPS,BPMS
    - Extramural funds must be identified under
      - "Work to be Performed
- Notice of proposal funding awarded:
  - Completion of AD 416/417 if > $25,000
    - Process only upon notification of funds not "before"
  - Completion of AIMS

- GIFTS
- First step
  - ARIS "Incoming Agreement"
- Approved "Incoming Agreement"
  - The gifting organization has an "active" customer number in FMMI
  - If not work with Jan Moreno. Forms need to be emailed to Jan.
- Gifts do not go into AIMS
- NOTE:

Services Only & Research – do not go into AIMS (there are no funds to ARS)

REFERENCES:

The online ARIS manual has step by step instructions on entering an Agreement and can be accessed at the following link:

http://www.npstaff.ars.usda.gov/ARIS/manual/ARIS-AIMS%20Chapter%204C%20Revised%20May%202009.pdf

Located in the Handout Section:

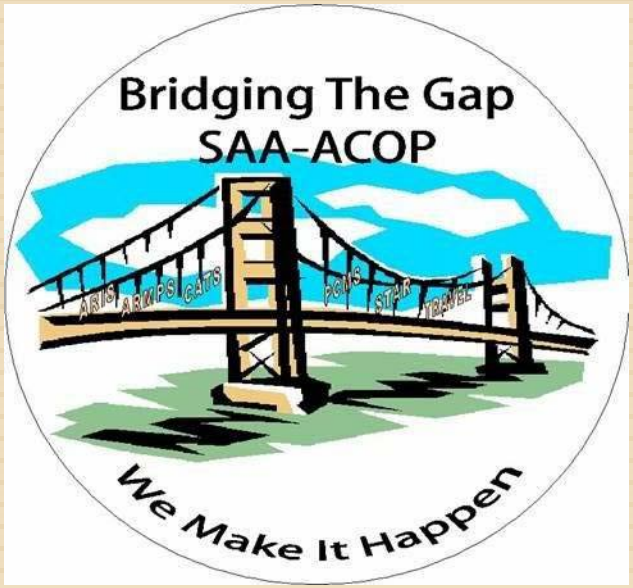
Step by Step entry with updated screen shots

Template to obtain information from SY

Vendor Form & Customer Forms for FMMI

Step by Step process to obtain e-Green documents

Template ARS-455 Budget sheet



Thank you for your attendance.

Special Thanks to Sharon Jett, Program Analyst
Jan Moreno, SAA, ADO

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