

**TEMPLATE FOR REIMBURSABLE/TRUST/CRADA for PRE-AWARD ARIS data entry:** Approval to Accept and Use Funds from Outside Sources (**Incoming Funds**) Includes Research, No Funds to ARS (ARS scientist is interacting/collaborating with outside organization/entity)

**SERVICES-ONLY RECORDS WILL NEVER HAVE 416/417 added, regardless of funding level**

**Definition of an Outside Source:** Any organization/institution/entity that is not ARS

**\*\*Required for LOI**

<b>Mode Code:</b>	Defaulted in, but check to be sure it's correct.
<b>Status:</b>	A new record will always be PENDING; revision to an approved record will be REVISION. (Other categories are ACTIVE, TERMINATED, UNFUNDED)
<b>**Start Date:</b> (mm/dd/year)	Enter date project is anticipated to begin.
<b>**Termination Date:</b> (mm/dd/year)	Enter date project is anticipated to end.
<b>Duration:</b>	System calculated, based on start and termination dates.
<b>**Contact Info:</b> (Name of ARS scientist submitting proposal; query from list of values)	_____, _____, _____ (Last name) (First name) (Middle initial)
<b>**Type:</b> (What is the role of the ARS scientist for this proposal?)	Principal Co-Principal Secondary
<b>Phone:</b>	Enter phone number of contact
<b>**Type of Agreement:</b>	Reimbursable (usually another Federal Agency or for a Competitive Grant Proposal; funds received after work is complete) Trust (money received up front) CRADA (special Trust with for-profit company)
<b>ARS Primary Agreement Holder:</b>	Enter Yes UNLESS another ARS unit is the lead on submitting the proposal and will receive funds for distribution to other participants
<b>Award Date:</b>	Leave blank on Pre-Award action.
<b>Agreement Number:</b>	Leave blank on Pre-Award action.
<b>Primary Agreement Proposed Total Funds:</b>	If PAH is yes, enter the total funds to be received by ARS. If PAH is no, enter \$0.
<b>**Purpose of Funds:</b>	Research, funds requested will be equal to/or less than \$25,000 Research, funds requested will be greater than \$25,000 Research, No Funds to ARS (zero dollars to ARS, interaction/collaboration only) Service ( <i>usually handled by the LAO &amp; location budget staff</i> ) Gift ( <i>Unique/Special</i> )
<b>If Service, Type of Service:</b>	Sale of Assets      Quarters & Other Services      Space & Other Services Travel                      Administrative Services ( <i>Usually handled by the LAO &amp; location budget staff</i> )
<b>**Remarks:</b> <b>Always include Remarks to describe the request. Do not use Caps Lock!!!</b> <b>If no funds to ARS, include justification</b>	State exactly why this action is being initiated. Example: Proposal being submitted to United Soybean Board by University of Illinois for \$150,000. ARS to receive \$55,000, F. Sinatra, ADODR. LOI approved 12-15-08.
<b>**Source of Funds (SOF) :</b> (If funded, how do funds come into ARS?)	<b>Original SOF:</b> _____ Name of the organization/entity the funds will originate from. <b>Example:</b> A NRI Competitive Grant Proposal is being submitted by Texas Tech. Univ., & the ARS

<p><b>The Original SOF and Direct SOF cannot be the same. There will always be a Direct SOF, but there may not always be an Original SOF.</b></p> <p><b>Direct SOF also applies to those coded as Research, No Funds to ARS</b></p>	<p>scientist is listed as a Co-PI on the proposal. ARS will receive some funds/benefit through a pass-through agreement with TTU. NRI is listed as the Original SOF and TTU will be listed as the Direct SOF.</p> <p><b>Direct SOF:</b> _____ (*Required Field)  Name of the organization/entity the funds are received directly from (the funds will not “flow-down” or “pass-through” any organization). <b>Example:</b> The ARS scientist is submitting a grant proposal to Cotton Incorporated or to CSREES. If the project proposal is funded, the funds will come directly to ARS from CI or CSREES.</p> <p>If the record is being submitted as a Research, No Funds to ARS: list the name of the organization ARS is going to interact/collaborate with in the Direct SOF line only.</p>
<p><b>IPSC:</b></p>	<p>Based on DSOF code entered, IPSC is coded to Always Waived, Never Waived, or Can Request Waiver. This cannot be changed.</p>
<p><b>IPSC Waiver:</b> (overhead)  (Indirect Program Support Costs)</p> <p>IPSC = 10% of the gross \$ received  <b>NOTE: CRADA IPSC RATE IS 20% OF GROSS \$ RECEIVED</b></p>	<p>If IPSC block is coded CAN REQUEST WAIVER, select response:</p> <p><b>Exempt from Overhead-Must be done when submitting pre-award agreements</b>  If selected, complete block for Why Requesting Waiver  If Waiver is requested, record will route to BPMS for determination.  <b>OK to Take Overhead</b></p> <p>The following statement summarizes ARS= IPSC policy on all incoming nonappropriated (soft) funds.</p> <p><b><i>IPSC (overhead) will be included in all incoming reimbursable and trust fund agreements, cooperative agreements, and grants signed by ARS officials, <u>except in the following circumstances</u> (refer to the four bullets below).</i></b></p> <p><b>Agencies/organizations are exempt from IPSC when:</b></p> <p>The proposed amount of any agreement or grant is \$5,000 or less over its total life.</p> <p>Charging IPSC is expressly prohibited by statute or by the written bylaws of the organization providing the funds. <b><i>(HQ BPMS may require documentation to verify).</i></b></p> <p>Research agreements or grants are entered into with the following USDA Action and Regulatory agencies: Ag Marketing Service (AMS); Animal Plant and Health Inspections (APHIS); Farm Service Agency (FSA); Foreign Agricultural Service (FAS), including International Cooperation and Development (IDC); Food Safety and Inspection Service (FSIS); Grain Inspection, Packers and Stockyards Administration (GIPSA); and Natural Resources Conservation Service (NRCS).</p> <p>Research agreements or grants are entered into with nonprofit organizations as identified by the Internal Revenue Service (IRS) or the National Directory of Nonprofit Organizations. <b><i>(HQ BPMS may require documentation to verify).</i></b></p>
<p>How are funds to be used?</p> <p><b>Leave amounts blank if the ARS-425 is coded as Research, No Funds to ARS</b></p> <p><b>Cat. 1 &amp; 4 salaries <u>cannot</u> be used (HQ restriction).</b></p> <p>Think of this section as a mini-budget explanation.</p>	<p><b>Other Federal Salaries:</b> \$ _____  (Use for post-doc, temp. technicians, grad. students, etc.)</p> <p><b>Supplies:</b> \$ _____</p> <p><b>Equipment:</b> \$ _____</p> <p><b>RSA:</b> \$ _____</p> <p><b>Travel:</b> \$ _____</p> <p><b>Other Costs:</b> \$ _____</p>

<p>IPSC (overhead) is entered into the Other Costs line</p> <p><b>IPSC</b> (think of this as overhead) <b>Indirect Program Support Costs</b></p> <p>IPSC = 10% of the gross \$ received</p> <p><b>How are Funds to be Used</b> <b>Example:</b></p> <p>Other Federal Salaries: \$ 50,000 Supplies: \$ 12,500 Equipment: \$ 7,500 RSA: \$ 0 Travel: \$ 8,500 Other Costs: \$206,500</p> <p><b>Total Proposed: \$285,000</b></p> <p><b>Other Costs breakdown:</b> \$ 8,000 = Computer \$ 2,500 = Publication costs \$167,500 = SCA funding \$ 28,500 = IPSC (10% of \$285,000)</p> <p>Based upon the example above, \$167,500 would be entered into the Extramural Agreement Amount.</p>	<p>(Includes IPSC (overhead); publication; computer; and/or funds for a SCA or Grant)</p> <p><b>PRIOR PROPOSED:</b> Amount of any previously approved funding request <b>PROPOSED AMOUNT:</b> System calculated total of funding breakout this request <b>TOTAL PROPOSED:</b> System calculated total Prior Proposed Plus Proposed Amount</p> <p>If PAH = Yes, and some funds will be provided to another ARS unit, the total in the funds breakout will be only the amount retained in this unit. If PAH = Yes, and no funds will go to another ARS unit, the total in the funds breakout will equal the amount shown in Primary Agreement Proposed Total Funds block. If PAH = No, enter only the amount to be provided to this unit by the PAH.</p>
<p><b>ARS FTE:</b> Enter the <u>F</u>ull <u>T</u>ime <u>E</u>quivalency for the entire period of the proposal (not just for one year)</p>	<p>_____ (FTE must be filled in if funds are entered in Other Federal Salaries block above). E.g., enter as follows: 0.10 (10% time); 0.25 (25% time); 0.60 (60% time); 0.75 (75% time); or 1.00 (full time). <b>Example:</b> If using 1.0 FTE/year and project is for 3 years, then ARS FTE = 3.0</p>
<p><b>Financial Dealings:</b> (Conflict of Interest question) Area portion of this screen completed during initial Area approval of the record.</p>	<p><b>NO</b> <b>YES</b> (If Yes, provide personal and/or financial relationship of ARS scientist)</p>
<p><b>FOR SERVICES OR GIFT, THIS COMPLETES INPUT; SERVICES-ONLY WILL NEVER HAVE 416/417 ADDED</b></p>	
<p><b>**Objectives:</b></p>	<p>Scientist to provide electronically for program assistant to copy/paste in. This block will form the Objectives if a 416 is added to the record. (3200 characters maximum)</p>
<p><b>Approach:</b> This is not required for the LOI but ARIS won't let you continue until you put something in this field.</p>	<p>Scientist to provide electronically for program assistant to copy/paste in. This block will form the Approach block if a 416 is added to the record. (3200 characters maximum)</p>
<p><b>Keywords:</b> This is not required for the LOI but ARIS won't let you continue until you put something in this field.</p>	<p>Scientist to provide. This block will form the Keywords section if a 416 is added to the record. ARIS User: Enter single words or phrases, one word/phrase per line.</p>
<p><b>**Title of Proposal:</b> (Exactly as shown on proposal)</p>	
<p><b>Type of Work to be Completed:</b></p>	

(Brief narrative of research project)	(700 characters maximum)
<b>Deliverables:</b> (Brief paragraph)  (Describe what ARS will provide to the funding organization in return for the incoming funds)	(500 characters maximum)
<b>**Work to be Performed:</b>	<p><b>In-house:</b> (Select this if all of the funds received will stay within the ARS unit for their use; or if the ARS-425 is coded as Research, No Funds to ARS)</p> <p><b>Extramural:</b> (Select this if all of the funds ARS receives will then go to a university/other organization under a SCA, Grant, or RSA)</p> <p><b>Both:</b> (Select this if part of the funds ARS receives will stay within ARS <b>and</b> part of the funds will go to a university/other org. under a SCA, Grant, or RSA)</p>
<b>**Non-ARS Performing Organizations: Could have multiple entries.</b> (Leave blank if all of the funds are to remain within ARS; or if coded as Research, No Funds to ARS) When this information is provided in the incoming agreement LOI and LOI is approved, a LOI for the outgoing agreement is no longer required. (The log /accession number and approval date is required in the Remarks section of the 416/417 of the outgoing agreement.)	<p>For each organization that we anticipate giving funds to from this proposal, enter information. Query organization's performing institute code. Select Extramural agreement type (use SCA or RSA unless you have been directed to use another one) Enter the Agreement Total, the amount of funds that will be given to that organization (whole dollars) Click on the Reason icon to add information on the reason why the research cannot be done in-house. This must include what research this organization will be performing.</p>
<b>**In-House Project Number:</b>	Query in the In-house (D) project that the proposal is associated with. The accession number and title will be pulled in.
<b>**Is the proposed research directly related to the in-house project of SY?</b>	<p><b>YES</b> <b>NO</b></p> <p>(If NO, click on the Comment box to enter an explanation as to why the scientist is submitting a request for funds)</p>
<b>**Relevance to Parent Project:</b>  This is the last field that needs to be completed for the LOI. You must now send to the Area, via Sherri Buxton. <b>Click on "Prints"</b> <b>Incoming Agreement – LOI Incoming – Pre Award Incoming - LOI</b> <b>Save by using the DISK button at top. Use the log number and SY for file name (Saves document as an Adobe file)</b>  <b>Open Adobe Professional</b> <b>"File" Find document and open</b>	<p>Identify the Objective/subobjective, milestones, and deliverables from the parent project that this project will relate to. This section must also include name and affiliation of Cooperator PI(s), deadline for submission of proposal <b>AND</b> percent of ARS SY time that will be spent on this project. Example: This agreement will address Objectives 2a: Prepare and Characterize Starch Esters. Milestones under this objective include: Scale up preparation of starch acetates, prepare new starch citrates and aspartates (15 month); characterize modified starches and demonstrate a practical use (30 month); investigate other solvents, catalysts and types of esters (45 month); and identify applications and transfer technology (60 month). This agreement will assist with demonstration of practical uses, identify new applications and transfer technology. The agreement may also be useful for transfer of technology developed under Objective 4a: Enzymatic starch modification in water and 4c: Transesterification of starch and polyesters. Thus, the funds are in direct support of OSQR-approved objectives and milestones. Cooperator: NineSigma, Inc. Submission deadline: 2/29/08. Dr. Shogren will spend 10% of his time on the project.</p>

<p><b>You will add the RL/CD signature:</b></p> <p><b>Tools</b>  <b>Advanced Editing</b>  <b>Touch Up Text Tool</b></p> <p>Type signature and save Adobe document.  Send as an attachment in an email to Sherri.  After receipt of AD approval, you will need to enter any remaining information that wasn't entered previously but is required. This includes: <b>SOF/Funds</b> tab- Funding-How are funds to be used? <b>Obj/APP/Key</b> tab – Approach (if not previously completed for LOI); <b>Keywords</b> (if not previously completed for LOI). <b>Work/Deliver</b> tab – Type work to be completed (if not previously completed for LOI); <b>Deliverables</b> (if not previously completed for LOI). <b>Dealings/Ethics and Coding</b> tab – all information.</p>	
<p><b>Coding:</b></p> <p><b>SOI</b> = <u>S</u>ubject of <u>I</u>nvestigation  <b>RPA</b> = <u>R</u>esearch <u>P</u>roblem <u>A</u>rea  <b>Field of Science</b></p> <p><b>Sub-Activity Classification Codes</b>  <b>STP Codes</b> = <u>S</u>trategic <u>P</u>lan</p>	<p>Codes automatically pull in from the parent project. Indicate % of project that supports that code.  Codes that are not included on the parent project can not be added at this time. If awarded and a 416/417 is added, you will be able to include other codes as appropriate.</p> <p>Minimum of one code of each is required, minimum of 10% for each code</p> <p><b>NP CODES CANNOT BE CHANGED</b> Maximum of 10 codes for each category  Total of 100% for <b>each</b> classification category (SOI, RPA, and Field of Science)</p>
<p><b>Remarks examples:</b></p>	<p><b>Example 1:</b> NRI Competitive Grant Proposal being submitted by Kansas State University in the amount of \$285,000. If funded, ARS will receive \$75,000 through a subaward agreement with Kansas State University.</p> <p><b>Example 2:</b> Grant proposal being submitted to the National Cattlemen's Beef Association in the amount of \$150,000.</p>

After completing all fields, obtain RL/CD approval. Add signature in ARIS and approve to the next level.

## **Incoming Agreement-Post Award**

Create Work Record – Amendment - Used for adding 416/417 to incoming agreement documents. Also used if making an amendment to existing agreements that 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 – Non AIMS – Used for Interagency agreements (NRI, APHIS, FAS, Doe), No funds to ARS, CRADAs and Gifts. This option is only used for agreements that will not have AIMS information added.

No Funds to ARS-If awarded, you will need to create a work record (by choosing Create Work Record-Non AIMS) and enter into the remarks “Proposal funded, move to Active”. An award date and agreement number is now required. These fields will be entered by the Area Program Analyst.

Any existing incoming agreement documents entered prior to the integration of ARIS and AIMS will need to have Objectives, Approach and Key Words added before it will let you approve. This includes any No Funds to ARS and agreements under \$25,000.

**TEMPLATE FOR ADDING 416/417 FOR POST-AWARD INCOMING AGREEMENTS OVER \$25,000**

**Do not use for Services Only**

<b>ARS-416/417 template:</b> For incoming agreements over \$25,000	
<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 automatically generates a number based on the information on the incoming agreement record  For revisions to an existing 416/417, list the project number
<b>Project Type:</b>	Automatically pulls in from incoming agreement record. T = Trust Fund Cooperative Agreement (includes CRADAs) R = Reimbursable Cooperative Agreement
<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 are changed to expired status at location level; termination is done through annual report process.
<b>Project Title:</b>	Automatically pulls in from incoming agreement record
<b>Start and Termination Dates:</b>	Automatically pulls in from incoming agreement record for a new 416/417
<b>Duration:</b>	System calculated, based on start and termination dates.
<b>SY and Current \$:</b>	System calculated, from investigator block and funding record.
<b>Department:</b>	Leave blank
<b>Institute:</b>	Pulls in from incoming agreement record; always the ARS location for incoming funds
<b>Agreement Number and Award Date:</b>	Completed by Area.
<b>Who is the Agreement with:</b>	<b>SAES</b> = State Agricultural Experiment Station <b>Other</b> = University or other cooperator that is not SAES
<b>Remarks:</b> Documents what the action is for on the project, such as: establishing a new project; time extensions; renumbering.  <b><u>Do not use Caps Lock!!!</u></b>	<b>Examples:</b>  Extension of time from 05/01/06 to 05/01/07, and receiving additional funds, \$50,000, to Trust with Quaker Oats to study wheat disease.  Submit proposal to Monsanto for \$125,000, S. Claus, ADODR, log #31042.  Renumbered from 3625-21000-036-05R to 3625-21000-047-03S and incoming agreement modified to agree with new Inhouse Project.
<b>Objective:</b>	Automatically pulls in from the incoming agreement record.
<b>Approach:</b>	Automatically pulls in from the incoming agreement record. If BSL information is on parent project, subordinate project must include BSL certification in the approach as well
<b>Keywords:</b>	Automatically pulls in from the incoming agreement record.
<b>Investigators:</b>	The Contact on the incoming agreement record automatically pulls in as the PI; other investigators can be added. No SY time will be shown for any investigator.
<b>STP Codes = Strategic Plan</b>	This automatically pulls in from the incoming agreement record, but can be adjusted as necessary.

<b>National Program (NP) codes:</b>	This automatically pulls in from the parent project.
<b>Region and BPIM codes:</b>	Entered at NPS/BPMS level.
<b>Basic Research, Applied Research, and Developmental Effort:</b> See RL for assistance.	Automatically pulls in from the parent project; revise to reflect this incoming project. ____ % Basic Research      ____ % Applied Research      ____ % Developmental Effort  Use any combination of the three to equal 100%. Minimum of 10% and must equal 100%.
<b>Classification Codes:</b>  <b>SOI</b> = <u>S</u> ubject of <u>I</u> nvestigation <b>RPA</b> = <u>R</u> esearch <u>P</u> roblem <u>A</u> rea <u>F</u> ield of Science  <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.	Codes automatically pull in from the parent project; use the ones that are pertinent for this incoming project; can use others not on list if appropriate. Indicate % of project that supports that code. Minimum of one code of each is required, minimum of 10% for each code  Maximum of 10 codes for each category  Total of 100% for <b>each</b> classification category (SOI, RPA, Field of Science)
<b>Sub-Activity Classification Codes:</b>	Codes automatically pull in from the parent project; use the ones that are pertinent for this incoming project; can use others not on list if appropriate. Indicate % of project that supports that code.  Minimum of one code is required, minimum of 10% Maximum of 10 codes, must total 100%
<b>Special Classification Codes:</b>	Codes automatically pull in from the parent project; use the ones that are pertinent for this incoming project; can use others not on list if appropriate. Indicate % of project that supports that code.  Minimum of 10% for any one code Combination of codes can be over 100% Must have Farm Bill and Sustainable Agriculture coding on incoming agreements.
<b>Requirements/Restrictions on some Special Codes:</b>  <b>Obtain code guidance and/or assistance from the RL or the NPS</b>  <b>ARIS User:</b> Refer to Chapter 13A of the on-line ARIS manual for more information/details.	<b>BT:</b> If used, minimum of 10% required, maximum 100% allowed <b>BR:</b> Can have a combination of codes, minimum of 10% each, cannot exceed 100% <b>PC:</b> Can have a combination of codes, minimum of 10% each, cannot exceed 100% <b>FBP (Farm Bill codes):</b> Required on all R and T projects. Can use 1 to 6 codes, minimum of 10% each, maximum 100% total <b>SA+ (Sustainable Ag Codes):</b> Only one code allowed and must equal 100%. Required on all R and T projects. Code is determined by worksheet, contact RL for assistance. <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 <b>BTER:</b> If BTER is listed, must have at least 2 BT codes listed on the project <b>BPMS:</b> Can only be entered at NPS level. Minimum is 10%; combinations of different codes can be over 100% <b>X1890:</b> Cannot be over 100% <b>All other special codes:</b> Minimum of 10% for any one code; combination of codes can be over 100%

## REVISING THE INCOMING AGREEMENT RECORD

Located as menu option under FORMS; brings up currently approved incoming agreement record.

Reminder: if revising funding amount, it may be necessary to revise the Primary Agreement Proposal

Total Funds block as well as the funding breakout on the SOF/Funds tab.

**FOR INCOMING INTERAGENCY AGREEMENTS AND CRADAs, STOP HERE; NO AIMS IS REQUIRED.**