

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 (D, L, CRADA, InterAg Only)

To be used for Appropriated (D) projects, Cross location projects (L), CRADAs or Interagency Agreements--No AIMS documentation is associated with these types of agreements

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.

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, or renumbering of project.

LOI

If this agreement is funded from a Reimbursable or Trust and the outgoing information was included in the approved LOI, the accession number and date from the approved LOI **MUST** be included in the remarks of the 416/417. When this is provided, a LOI for the outgoing agreement is not required. If the accession number and date are not provided in the remarks or if this is a new agreement, a LOI for this action is required.

**Required field for LOI

OUTGOING AGREEMENT TEMPLATE	
Suggestion for a new Agreement: Obtain a copy of the current related in-house D project from the unit ARIS User and refer to it for the related STP, Classification, & Sub-activity codes	
**Mode Code	System defaulted to the access that the user is entered at; verify and correct as necessary.
**Project Number:	For a new project, the ARIS User will assign a number associated with parent project For revisions to an existing 416/417, list the project number
**Project Type:	S = Specific Cooperative Agreement (outgoing funds only, usually to a university, specific research effort) G = Grant (outgoing funds, minimal ARS involvement in the conduct of research). However, a Grant must meet special criteria. N = Non-Funded Cooperative Agreement (no funds exchanged, usually with a university, for a specific research effort) M = Memorandum of Understanding (no funds involved, general in natural)
**Status:	New (N), Revision (R), Expired (X), Terminated (E), Pending (F), or Unfunded (U) For work actions on approved projects, default status is Revision. Subordinate projects are changed to expired status at location level; termination is done through annual report process.
**Project Title:	140 characters maximum, needs to differ from other projects. Do not place period at the end; avoid abbreviations if possible.
**Start and Termination Dates: Use format: 06/01/2003 Be realistic on the Start Date (See note in bold to right)	____ (Date the project is expected to begin) ____ (Date the project will end/terminate, cannot exceed five years) It takes 2-4 weeks to complete the approval and signature process at the National Program Staff and BPMS levels due to work loads, travel, annual leave, and holiday schedules. Allow an additional 2-3 weeks for all outgoing cooperative agreement documents to be established and approved at all signature levels (for both ARS and the cooperating organization/institution).
Duration:	System calculated, based on start and termination dates.
SY and Current \$:	System calculated, from investigator block; funding will always be \$0
Department: (optional) List the name of the department the cooperative agreement will be established with at the university.	_____ Examples: Animal and Range Science; Agronomy; Civil Engineering; Soil and Crop Science Note: used only for outgoing S = Specific Cooperative Agreement or G = Grant Agreement
**Institute: <u>NEVER ARS</u>	_____ Enter the name of the cooperating university/institute and city Examples: Kansas St. Univ., Manhattan; Univ. of Neb.--Lincoln; Univ. of North Dakota, Fargo. Note: if institute is not in list, a code must be established; provide PA with name,

	address, phone number, web site if possible. At the same time send the same information to ARS-AIMSHelp to have a Recipient Code established.
Agreement Number and Award Date:	Leave blank. Agreement number is added at Area Office level on initial approval routing. Award date is entered when the cooperative agreements documents are fully executed/signed by all parties.
Who is the Agreement with:	SAES = State Agricultural Experiment Station Other = University or other cooperator that is not SAES
**Remarks: Documents what the action is for on the project. <u>Do not use Caps Lock!!!</u>	Example: Establish a SCA with Iowa State University, FY 08 funds \$25,000, R. Shoemaker, ADODR. Renumbered from 3625-21000-036-04S to 3625-21000-047-02S and incoming agreement modified to agree with new Inhouse Project. Extension of time from 05/01/06 to 05/01/07, and FY 08 added funds, \$50,000, to SCA with Iowa State University to complete soybean rust research.
**Objective: ARS scientist provides this.	Copied and pasted into the ARIS field. (3200 characters maximum)
Approach: This is not required for the LOI but ARIS won't let you continue until you put something in this field. ARS scientist provides this.	Copied and pasted into the ARIS field. (3200 characters maximum)
Keywords: This is not required for the LOI but ARIS won't let you continue until you put something in this field. ARS scientist provides this.	ARIS User: Enter single words or phrases, one word/phrase per line. (Examples: long-term storage preservation or Integrated Pest Management)
**Investigators: Always query for the ARS investigators. Mark the lead ARS investigator as P=Principal. SY time is always 0.00 for the ARS scientist and the Non-ARS investigators	Principal _____ Investigator: _____ (Always the ARS scientist) List all other investigators (ARS and Non-ARS) associated with the project. _____ _____ _____
STP Codes = Strategic Plan Minimum = 1 STP code Maximum = 2 STP codes	Codes automatically pull in from the parent project; can use others if appropriate. Indicate % of project that supports the STP. ____ . ____ . ____ . ____ = _____% _____ % _____ . ____ . ____ . ____ = Code #1 _____ Code #2 Total of STP codes must = 100%
National Program (NP) code; Region code; BPIM code:	Can only be entered at NPS/BPMS level
Basic Res. , Applied Res., & Developmental Effort:	____ % Basic Research _____ % Applied Research _____ % Developmental Effort

See RL for assistance.	Use any combination of the three to equal 100%. Minimum of 10% and must equal 100%.
Classification Codes: SOI = Subject of Investigation RPA = Research Problem Area Field of Science	Codes automatically pull in from the parent project; use the ones that are pertinent for this outgoing 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 each classification category (SOI, RPA, and Field of Science)
Sub-Activity Classification Codes:	Codes automatically pull in from the parent project; use the ones that are pertinent for this outgoing 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%
Special Classification Codes:	Codes automatically pull in from the parent project; use the ones that are pertinent for this outgoing 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%, except code families limited to 100% Refer to the related in-house D project
Request Type: This is not required for the LOI but ARIS won't let you continue until you put something in this field. Select from list of values. Remember: When renumbering, change this field to "Other".	New = new record Extension of time with added funds = Primary action is adjusting funds AND time Adding Funds Only = primary action is to add (or decrease) funds but not time Time Only = primary action is to add (or decrease) time but not funds Other = revision that does not involve time or funds
Congressional Mandate:	Entered at NPS; is there a mandate by Congress to establish and maintain this agreement?
**Multi-Year: If this information is known at the time of preparing the LOI, include it in the LOI. If multi-year information is included in original LOI and LOI is approved, a LOI will not be required in the following years as long as the approved LOI information is included in the remarks for amended SCA. Use only if there is a defined plan for multiple-year funding. DO NOT COMPLETE THIS FIELD IF PLANS ARE NOT DEFINITE! For N or M projects, leave blank.	This section serves as a pre-approval of a multiple-year funding plan. Use only if there is a plan to provide a known amount of funds from in-house funds in subsequent years. If there is, check the box, indicate the total amount of funding, and in Intent, describe the funding levels intended for each year. Example: Intent is to provide \$25,000 in FY07 and \$50,000 in FY08 in support of joint project to develop multi-colored cotton bolls.
**Related In-house Project Number: Which "D" project is this project going to be associated with? Remember: Change the related in-house project number when renumbering project to reflect the	Query in the related in-house project; accession and title will pull in. <hr/> The ARS scientist must be listed as an Investigator on the selected "D" project (SY time assigned on the "D" is irrelevant). Example: 3602-31000-002-00D

<p>new in-house number.</p>	
<p>Reason Research can not be performed by ARS Scientist:</p> <p>NOTE: <i>DO NOT USE</i> insufficient personnel, facilities, or resources as justification for an SCA.</p> <p>ARS scientist must provide an explanation as to why funds are going to a university or other cooperator, and why ARS can not conduct the research in-house.</p> <p>The ARS scientist must have a legitimate reason for providing funds to an outside entity.</p>	<p>Example #1: Part of a multi-disciplinary, area-wide, multi-organizational project for Integrated Pest Management.</p> <p>Example #2: 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 xxxxxx model.</p>
<p>**Relevance to Parent Project:</p> <p>This is the last field that needs to be completed for the LOI. You must now send to the Area, via Sherri Buxton. Click on “Prints” Outgoing Agreement – LOI</p> <p>Save by using the DISK button at top. Use the accession number and SY for file name (Saves document as an Adobe file)</p> <p>Open Adobe Professional</p> <p>“File” Find document and open</p> <p>You will add the RL/CD signature:</p> <p>Tools Advanced Editing Touch Up Text Tool</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: Obj/APP/Key tab – Approach (if not previously completed for LOI); Keywords (if not previously completed for LOI); STP/Codes tab; 417 Codes tab;</p>	<p>Identify the Objectives/subobjectives, 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.</p> <p>Example: Objective 1 – Define genetic and ecological factors impacting insect management of corn. Milestone: Make recommendations to improve monitoring of insect resistance to transgenic corn. The deliverables will be improved methods to manage insect resistance to the various types of transgenic corn to aid stakeholders' need to maintain these important tools. Dr. T. Smith will spend .05 of their time. Douglas V. Sumerford and Richard L. Hellmich, USDA-ARS, Ames, IA; David Andow, University of Minnesota, St. Paul, MN.</p>

<p><u>Agreement Info</u> tab – reason research can not be performed by ARS Scientist <u>Dealings/Ethics</u> tab – all information; and <u>Budget Tab</u>.</p>	
<p>Dealings: Conflict of Interest question. Does the ARS scientist, or any full-time resident of his/her household have any activity or financial interest (dealings) with the Cooperating Organization?</p>	<p>NO</p> <p>YES, If yes, a brief explanation of the relationship the ARS scientist has with the proposed cooperating organization or university must be provided.</p>
<p>Budget: For S and G type projects only.</p> <p>Check with the Unit Secretary or LAO for information/assistance.</p> <p>Which unit project(s) will provide the funds for the agreement?</p> <p>An SCA or Grant can be funded using both/either Appropriated funds (a “D” project) and/or incoming/soft funds (a “T” or “R” project, or an ARS-425 Log number).</p> <p>If using both appropriated funds and incoming/soft funds, then complete both Section A and B of this page.</p> <p>When using R or T projects to fund: If the funding level of the incoming/soft funds project is for \$25,000 or less: only the incoming agreement Log number will be used.</p> <p>If the funding level of the incoming/soft funds project is for more than \$25,000, query in the appropriate project (ending in either a “T” or a “R”).</p>	<p>If using Appropriated Funds (a AD@ project number), complete Section A only.</p> <p>SECTION A:</p> <hr/> <p>Identify the giving project number, “D” project. Example: 3602-32000-002-00D</p> <p>\$ _____ List the dollar amount for this action for funding of the agreement. Use whole numbers only, no cents.</p> <hr/> <p>List the accounting code (Example: 801-3625-112)</p> <hr/> <p>Identify the fiscal year for the funding (Example: FY-08)</p> <p>SBG Fee of 2.5% will be calculated on funding from appropriated funds (X01) and inserted when this tab is saved. The AD-700 should include a line item for the SBG fee.</p> <p>If using incoming/soft funds (funds ARS received into the Unit from a Trust or Reimbursable Cooperative Agreement) complete Section B.</p> <p>SECTION B:</p> <hr/> <p>Identify the giving project number (a “T” or “R” project), or the incoming agreement Log # Examples: 3622-32000-002-05T; 3605-21000-010-03R; or Log #24305</p> <p>\$ _____ List the dollar amount for funding level of the SCA. Use whole numbers only, no cents.</p> <hr/> <p>List the accounting code (Example: 808-3602-055 or 893-3602-168)</p> <hr/> <p>Identify the fiscal year for the funding (Example: FY-08)</p> <p>SBG FEE IS NOT ASSESSED ON FUNDING FROM R OR T PROJECTS</p>