Working with Non-ARS entities: Instructions/details are on Pages 3-5 for completing the template for ARIS data entry

- Referred to as an *Incoming Agreement* and formerly called the ARS-425

Applies to the following types of research projects:

- Competitive grant proposals (CSREES/AFRI-with/without university partner, Non-Profits, Private Companies, etc.)
- Trust Fund Cooperative Agreements (Private companies and Non-Profit organizations)
- Interagency Reimbursable Agreements (APHIS, BLM, DOE, Forest Service, GIPSA, NASA, NRCS, etc.)

The AIMS/Agreement part of the process:

- AIMS cannot be entered until **after** the ARIS has received line management approval at all levels and drops back to the Active side of the ARIS system (will show as a Pending record)
- The Agreements Section will notify the Unit if/when the 416/417 and/or AIMS needs to be added to the existing/approved Incoming Agreement
- The 416/417 is **not** added to the Incoming Agreement unless the amount is for $25,000 or more
- The AIMS is **not** entered when the Incoming Agreement is with another Federal agency (called an Interagency Reimbursable Agreement and we use special forms when entering into this type of agreement).

ARIS Staff: Screen prints and data entry assistance can be found via the ARIS on-line manual in Chapter 4C located at http://www.npstaff.ars.usda.gov/ARIS/Manual/ARIS-AIMS%20Chapter%204C%20Revised%20May%202009.pdf

	Required Information for the blocks in ARIS	Enter the response/description in this column and send the completed template to the ARIS data entry person via e-mail to utilize the copy/paste function
1	Start Date	
2	Term Date	
3	ARS Contact Name	
4	Type (role of the ARS SY)	
5	ARS Contact Phone #	
6	Type of Agreement	
7	Grant Proposal	
8	Is your ARS Unit the Primary Agreement Holder	YES NO *(Not applicable to Research, No Funds to ARS entries)*
9	Primary Agreement Proposed Total Funds Amount	YES NO *(Not applicable to Research, No Funds to ARS entries)*
10	Purpose of Funds	
11	Remarks block	
12	Original Source of Funds	
13	Direct Source of Funds	
14	Requesting Waiver of IPSC	*(See the notation and information located on Page 4)*
15	Why are you requesting a waiver to the IPSC?	*(See the notation and information located on Page 4)*
16	How Are Funds to be Used? (mini-budget section) *(Not applicable to Research, No Funds to ARS entries)*	Supplies and Materials: $ Other Fed. Salaries: $ ARS FTE if paying Other Federal Salaries: Equipment: $ Travel: $ Other Costs: $ **Grand Total: $**
17	Conflict of Interest	
18	Objective narrative	
19	Approach narrative	
20	Keywords	
21	Title on the Proposal	
22	Type of Work to be Completed (by the ARS SY)	
23	Deliverables (from the ARS SY)	
24	Work to be Performed by ARS	

25	Will a University receive any of the funds from ARS?	
26	Related In-house parent D project number	
27	Is the proposed research directly related to the ARS SY's inhouse parent project?	
28	Relevance to the parent project	
29	Codes from the parent project	

Instructions for completing each Block Number for the template on pages 1 and 2; this is the required information and format for data entry into ARIS when submitting the approval documents to work with a Non-ARS entity	

1	Start Date (mm/dd/yyyy)
2	Term Date (mm/dd/yyyy and limited to 5 years maximum)
3	Contact (Last, First, MI of the ARS SY submitting the ARIS/listed on the proposal)
4	Type (role of the ARS SY): • Principal = ARS SY will be responsible for the project • Co-Principal = ARS SY has some responsibility for the project, but is submitting with a university PI • Secondary = ARS SY is acting in Advisory/Collaborative/Assistance Type role, but no project responsibility
5	ARS SY's Phone # (include Area Code)
6	Type of Agreement: • Trust Fund: ARS receives a check prior to the start of the project • Reimbursable: ARS will bill the funding source for reimbursement • Research, No Funds to ARS = select Reimbursable for the Type of Agreement *NOTE: Don't start working on the project until you have been officially notified to do so by the Agreements Section.* • *Trust Fund Cooperative Agreements require receipt of the first check before a project can begin.*
7	Grant Proposal: Yes or No response. • Yes = competitive grant proposal (*i.e.,* CSREES/AFRI program) • No = other types of proposals to Non-profit orgs or companies (still considered a grant from the SY's viewpoint, but it isn't a competitive type of proposal like the ones sent through grants.gov to CSREES/AFRI)
8	Is your ARS Unit the Primary Agreement Holder (PAH) *(Leave blank if Research, No Funds to ARS entry)*: • Yes = you are the PI submitting the proposal and will receive the funds into the Unit (including funds eventually sub-awarded to the university or distributed to other ARS Areas/Locations (we'll need to include Log Numbers for the other ARS SY's involved in the proposal) • No = you will receive funds but another ARS Area/Location/Unit will be receiving the funds and disbursing them to your Unit
9	Primary Agreement Proposed Total Funds (PAPTF) • Enter the full amount that will come into your ARS Unit (including any funds that will be sub-awarded to a university partner or dispersed to another ARS Area/Location/Unit) • Leave blank if another ARS Area/Location/Unit is submitting the proposal and will handle the funds for distribution to your Unit • *Not applicable to Research, No Funds to ARS entries*
10	Purpose of Funds: • Research, less than $25,000 (only the Incoming Agreement Log will be entered, we will tell you when to add the AIMS/Agreement document to the Log) • Research, $25,000 or more (the 416/417 and AIMS/Agreement document will need to be added to the Log, but we will tell you when that step is necessary) • Research, No Funds to ARS (ARS SY is acting in advisory/collaborative/consulting role on the project)
11	Remarks (please follow the examples below as they provide the information the HQ and Area Agreements staffs need to document the proposed project and/or process the incoming funds correctly): *Examples:* • (#1) PI for the USDA-CSREES-AFRI-001967 program (Microbial Genome Sequencing /due date of 03/02/09), in the amount of $350,000. • (#2) Co-PI for the USDA-CSREES-BRAP-002008 program (Biotechnology Risk Assessment/due date 01/30/09), on the proposal submitted by KSU in the amount of $200,000; if funded KSU will retain all funds. • (#3) Co-PI for the AFRI Program Code 91312 (Microbial Genomics) to be submitted by ARS-PWA/Aberdeen, ID (Dr. Jane Smith, PWA Log #_____), in the amount of $300,000. If funded, NPA will receive $80,000.
12 *and* 13	*Direct Source of Funds (DSOF) and Original Source Funds (OSOF)* • The DSOF is the entity that directly provides the funds to ARS. This is a required field. • The OSOF is the entity that provides funds to another institution which subsequently provides a portion of those funds to ARS. Example: ARS and Kansas State University (KSU) submit a grant proposal to AFRI. KSU is awarded the funds. KSU then gives part of the awarded funds to ARS. In this case, the OSOF is AFRI and the DSOF is Kansas State University. • Always enter an Original Source of Funds under these circumstances. • Do not enter an Original Source of funds if ARS is directly receiving the funds. • The Original and Direct Source of funds should never be the same

14
and
15
	IPSC = **I**ndirect **P**rogram **S**upport **C**osts (overhead).
	  • The Office of National Programs (ONP) will assess 10% IPSC on the gross dollars received.
	  • The IPSC amount is entered into the Other Costs block and the ARS SY needs to include the IPSC in the budget submitted to the Non-ARS entity.
	  • Multiply the total Direct Costs x 11.111% to obtain the 10% IPSC figure to include in the budget/Other Costs block.
	
	IPSC (overhead) is charged unless the research proposal meets one of the criteria listed below:
	  • **The proposed amount of the incoming funds is $5,000 or less over the life of project.**
	  • **Research agreement is being entered into with a nonprofit organization** as identified by the IRS or the National Directory of Nonprofit Organizations.
	  • **Research agreement is being entered into with a USDA Action & Regulatory Agency** (Only if it is one of these: Ag Marketing Service; APHIS; Farm Service Agency; Foreign Agric. Service; FSIS; GIPSA; and NRCS).
	  • **Charging IPSC is expressly prohibited** by statute or by the written bylaws of the organization providing the funds (HQ may request documentation to verify).
	
	NOTE: Data from the ARIS system's *Source of Funds Reference Table* identifies if IPSC is coded as Never Waived, Always Waived, or if Can Request Waiver should be made to BPMS. The ARIS Staff can log into the ARIS system and check the Non-ARS entity's coding.
	  • **ARIS Staff:** select Reference Table/Budgets/Source of Funds in ARIS to determine the waiver coding.

16	How are the funds coming into ARS to be used? (This is a mini-budget section and should match the budget on the proposal submitted to the Non-ARS entity). *Leave this section blank if the ARIS is coded as Research, No Funds to ARS* **Categories include Supplies/Materials; Equipment; Travel; Other Federal Salaries; ARS FTE; and Other Costs**
	
	  • Other Fed. Salaries (Use for post-doc, temp. technicians, but **NOT** for Cat. 1 or 4 salaries)
	  • ARS FTE if paying Other Federal Salaries (this is **not** SY time contributed to the project)
	  • Enter the <u>F</u>ull <u>T</u>ime Equivalency for the entire period of the proposal (not just for one year); required entry if funds are entered in Other Fed. Salaries block (use 0.10 = 10%, 0.25 = 25%, 0.75 = 75%)
	  • Other Costs (Use for IPSC; publication costs; computer costs; flow-down sub-award to the university on the proposal)

17	Conflict of Interest (Yes or No response): Do you, or any full-time resident of your household, have any activity or financial interest (dealings) with the Original/Direct Source of Funds Organization(s)? If Yes, explain relationship.
18	Objective (3,200 character limit)
19	Approach (3,200 character limit)
20	Keywords (enter on individual lines in ARIS; phrases are entered on one line (*e.g., Integrated Pest Management*))
21	Title of Proposal (140 character limit, avoid abbreviations if possible; do not put a period (.) at the end)
22	Type of Work to be Completed: Explain what ARS will be doing, and don't enter "Research" (that's a given).
23	Deliverables-What will ARS do on this project, what will they provide back to the Non-ARS organization?

24	Work to be performed:
	  • **In-house:** Select this if all of the funds received will stay within the ARS unit for their use, or if this is a Research, No Funds to ARS entry.
	  • **Both:** Select this if part of the funds ARS receives will stay within ARS **and** part of the funds will go to a university under a Cooperative Agreement.
	  • **Extramural:** Select this if all the funds ARS receives will go back out to a Univ. thru a Cooperative Agreement. (Be prepared to explain why you are bringing funds into the Unit but not retaining any of the funds).

25	Non-ARS Performing Organizations: *Complete this section if either Both or Extramural was selected above.*
	  • List Universities who will receive funds from ARS
	  • List Type of Agreement to be established with each University (RSA, Specific)
	  • Indicate the dollar amount each University will receive from ARS
	  • Provide a brief work description/reason why ARS will provide some of the incoming soft funds to a University through an Outgoing Cooperative Agreement

26	Identify the related in-house/parent D project number (Example: 5402-21660-088-00D)
	NOTE:
	  • The related in-house D project selected must be a valid D project that is not past its Term Date.
	  • The ARS SY must be listed as an Investigator on the selected in-house D project.
	  • The Title of the related in-house D project will default into the ARIS system.

27	Is the proposed research directly related to the in-house/parent D project of the ARS SY (Yes or No response)? If NO, provide an explanation as to why you are participating in the proposal and/or submitting a request for funds.

28	Relevance to the related in-house parent D project that was identified above (***required response***)
	• Identify the Objective(s) and/or Sub-Objective(s), milestone(s), and deliverables from the parent project this proposal will relate to;
	• List the amount of time and effort the ARS SY(s) will be putting into this project (5% is the suggested guideline);
	• Explain how participating in this project will benefit your in-house parent D Project.
	Example: This project relates to parent project Sub-objective 2.1, Develop year-long forage-based livestock production systems, 12-month milestone for establishing field scale plots for grazing; estimated time and effort is approximately 5%; benefits to the parent project include conducting specific research related to weight gain and use efficiency of yearlings grazing on introduced forage species which is a specific component of the 12 month milestone within Sub-objective 2.1. The proposed research also provides collaborative expertise in cattle physiology which is not currently available at the location but is key to the continued success of the project. The cooperative nature of the research will support and enhance the objectives of the parent project, augment the knowledge of the participating scientists, and result in substantial progress to be shared with customers and stakeholders (impact and technology transfer).
	NOTE/TIP: Please use the terminology "parent project" or "in-house project" (instead of CRIS project).
29	**Coding:** Codes automatically propagate from the related in-house parent project.
	Suggestion: Print a current copy in-house D project to review/identify the appropriate codes for this ARIS entry.
	• All codes that are on the D project can be included, but only the most applicable codes should be listed.
	• Enter the relevant % next to the applicable codes.
	• Minimum of one code at 100% is required in each category, but multiple codes (10% minimum on each) can be identified.
	The following codes will propagate and are modifiable:
	• **FOS = F̲ield o̲f S̲cience**
	• **RPA = R̲esearch P̲roblem A̲rea**
	• **SOI = S̲ubject o̲f I̲nvestigation**
	• **Sub-Activity Classification Codes**
	• **STP = St̲rategic P̲lan**
	The National Program (NP) codes will also propagate but they are <u>not</u> modifiable.