AGRICULTURAL RESEARCH INFORMATION SYSTEM
(ARIS)
www.npstaff.ars.usda.gov/ARIS/Manual/

FORMS GENERATED BY ARIS

CRIS: Current Research Information System

> The CRIS project is initiated for all research programs. It is also referred to as the in-house project (-OOD). It receives appropriated funding annually, and each research scientist is assigned to one (or more) project.

AD-416/417

> Documentation of ARS inhouse research and extramural projects. This includes the objectives, approach, funding and classifications such as commodity, activity, STP and special codes.

ARS-425

> Used for funds coming into ARS. Must have an approved 425 prior to soliciting outside funding.
>
> --   If funding received is under $25,000, only the ARS-425 is required.
>
> --   If funding received is over $25,000, an AD 416/417 is required with the 425.
>
> --   If research is to be conducted with no funds to ARS, a 425 is required.
>
> --   If ARS is receiving funds for rent of space, sales of animals, administrative, etc., a 425 Services Only is required.

REIMBURSABLE

When incoming funds are paid upon receipt of an invoice (reimbursed).

TRUST

When incoming funds are paid up front.

550A

When ARS is paying an outside source to conduct research, a 550A is required with the 416/417.

FUND TRANSFERS

A fund transfer is used when transferring funds from one "D" project to another "D" project.

PERMANENT FUND TRANSFER

When funding will be transferred annually for the duration of the project.

TEMPORARY FUND TRANSFER

When funds will be transferred for the current fiscal year only.

POSTDOC FUND TRANSFERS

Fund transfers for Headquarters-funded Research Associates. A total of $5O,OOO is allocated to be used for a period of two fiscal years. The project for receiving funds from Headquarters is 0101-88888-016-00D.

AD-421 - ANNUAL RESEARCH PROGRESS REPORTS

Each year annual reports are required for each project. The process usually begins late August-early September. Progress Reports are due in the Area Office at the end of September. A report is required for each project.

ARS-115- MANUSCRIPT

Requests to Submit Manuscripts for Publication which are used to communicate new research discoveries, includes technical abstract, interpretative summary, author and journal for publication. Maintained for 3 years.

ARSITS - INVENTION TRACKING SYSTEM

Tracks progress of Invention Disclosures (IRs), patent applications, patents, and licenses.

ARMPS

The CRAS schedule of the ARMPS system is available for viewing (downloaded from the PC system).

POST DOC PROGRAMS

Tracks ARS employees that are eligible to compete for permanent positions. Serves as a recruitment source during competitive recruiting process by selecting officials. Current listing of vacant SY positions. Also, contains the post-docs proposals funded by the Administrator and who was selected.

INTERNATIONAL

Will track research performed in foreign countries between ARS and Foreign Scientist, source of funds, progress reports and publications on the research, and any exchange visits between scientists.

PERSONNEL

Provides non-confidential information about ARS employees, downloaded from NFC every two weeks.

REPORTS

Provides summary and detail data based on classification codes such as activities, commodities, special classifications, strategic plan, management unit, location, area and Agency level.

CHECKLIST FOR REQUIRED DOCUMENTATION ON AGREEMENTS

AGREEMENTS: (Authorized)	Spec.	Trust	Reimb.	Amend
A. DOCUMENTS/INFO TO INCLUDE WITH REQUEST FOR AGREEMENT PACKAGE				
1. Requisition Form AD-700 (Original)	X			X*
2. CRIS AD-416 and AD-417 (copy with unique extramural CRIS number in addition to in-house CRIS	X	X	X	X
3. NPS approval document ARS-425 (incoming funds)		X	X	X
4. NPS approval document ARS-550A (outgoing funds)		X		X
5. Three-part estimated budget ARS-85	X	X	X	X**
6. Descriptive report of details surrounding the formulation of the agreement	X	X	X	
7. Descriptive statement regarding the Cooperator and the Principle Investigator	X	X	X	
8. For-profit company, a statement regarding the potential for conflict of interests		X	X	
9. Statement of reason for change; change in party contribution and change in work statement				X
10. NPS approval on ARS-425 or ARS-550A (Check ARIS)	X	X	X	X

		Spec.	Trust	Reimb.	Amend
11.	Area Director approval	X	X	X	X
12.	Research Leader approval (ADODR)	X		X	X

X* = To SCA and Federal Obligation is increased
X** = If Federal Obligation is changed (+/-)

CHECKLIST FOR REQUIRED DOCUMENTATION ON AGREEMENTS

B.	SPECIAL CONSIDERATION IN REVIEWING AGREEMENT PACKAGE SUBMITTED:	Spec.	Trust	Reimb.	Amend
1.	Mutuality of interest and contribution of resources by all parties (ARS inability to fully reimburse indirect costs of tuition is not considered a resource contribution by cooperator)	X	X	X	X
2.	Agreement is not to be used to avoid government procedures or regulations	X	X	X	X
3.	Cooperator's employees are to be used in direct support of the project (Clerical employees are not generally included under agreement)	X	X	X	X
4.	Indirect cost rate of 10% provided for nonprofit institution except Land-Grant Institutions, State Agricultural Experiment Stations, State Cooperative Extension Services, and State Forestry Research Institutions (See Directive 282.1)	X			
5.	Cannot exceed 5 years	X	X	X	

6. Cooperator pays ARS in advance of project start   X
    with no ARS performance until total funds are
    paid in advance to ARS

7. Cooperator shares ARS' cost of project which is   X   X
    intended to develop(ment) new agriculture
    technology

8. 50% cost sharing; Not to Exceed (NTE) $50,000   X
    per year; NTE $150,000 total project

9. Cooperator pays ARS in arrears with periodic   X
    reimbursement by Cooperator

CRIS DOCUMENTATION REQUIREMENTS
INHOUSE PROJECTS

Detailed instructions for electronic submission of CRIS forms are listed in the Agricultural Research Information System (ARIS) User's Manual.

1. To Initiate New Inhouse CRIS Project

- Project Statement (7 copies)
- List of 10 proposed peer reviewers
- Check-off Sheet for Appropriate Approvals (re: human or animal subjects) - copy attached.

2. To Proceed with Project after Notification from Area Director that Peer Review has been Completed

- AD-4l6
- AD-4l7
- Statement by Research Leader addressing reviewers' comments when requested.

3. To Terminate a Project

- AD-4l6/4l7 for terminating project
- AD-42l ("Interim Report" for the calendar year [i.e., Jan. through month project terminated])
- AD-42l ("Final Report" for the entire life of the project)

4. To Revise or Extend a Project

- AD-4l6 (with revisions)
- AD-4l7 (with updated information if applicable)

NOTE: ALL CRIS forms (416, 417, 421, 550A and 425) are submitted electronically via ARIS.

NEW 416/417 WITH 550A

ITEMS TO CHECK ON THE 416/417:

1. Make sure performing organization IS NOT ARS. (This should be the organization to whom we are giving funds to perform the work.)

2. STP and Project number must agree.

    a) If a project has only one STP code, use the first two numbers followed by three zeros.

    b) If there are two STP codes, with the first two numbers of each being the same -- Use the following guideline:

    > Example: 1.1.3.1 - 50% This would be 11000
    > 1.1.2.1 - 50%

    c) If there are two STP codes with the first two numbers of each being different -- Use the following guideline:

    > Example: 2.1.1.4 - 50%
    > 2.4.3.1 - 50% This would be 21240

RULE: Use the first two numbers of each STP---Lower 2 numbers first followed by the first two numbers of the next STP followed by one zero.

3. REMARKS section on Executive Summary should state what changes were made and why.

4. INVESTIGATORS section on 416---First name which is imported should be the In-house person. The other investigator should be the person who is associated with the performing organization. **NOTE: THE OUTSIDE INVESTIGATOR SHOULD BE CODED AS THE PRINCIPLE INVESTIGATOR**. ADODR which is listed on the 550A must be listed as an Investigator on the In-house "D" project. Check these names thoroughly they are being imported from the Personnel File.

5.   OBJECTIVES AND APPROACH on 416--Make sure this field is typed from margin to margin-- using the maximum allocated character spaces for each field.

6.   KEYWORDS---No commas, no hyphens, no phrase repetition, no word repetition.

7.   DURATION---Limited up to and including 60 months.

8.   Make sure project is attached to an Active In-house "D" project.

417 CODING

Some of the research codes which are being listed on this project should be listed on the corresponding In-house.

ITEMS TO CHECK ON THE 550A:

1.   Check 550A Budget portion for requested "$" amount. Fiscal Year must be the current year and the accounting code must agree. MOST OF THE TIME THE FUNDING PROJECT IS THE IN-HOUSE "D" PROJECT. ON RARE OCCASIONS IT IS POSSIBLE THAT THE FUNDING PROJECT MIGHT BE AN "**R**" OR "**T**" PROJECT.

Example: Acct Code = 501

F=95

NOTE: No revisions to add funds or extend time can be made unless the project has an agreement # and award date.

ARIS - Frequently Asked Questions

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1.   How do we find the Next Available Project Number?

1.   You need to go to the screen, "Research Documentation".
2.   Click on Work
3.   Choose Next Available Project.
4.   A list of project will appear for the first 4 digits of the user's modecode.
5.   To narrow the list, click on the Query button (also located under Action). Type in the fields necessary to narrow the project list (i.e. either by modecode, project number, type, etc).
6.   From this screen, the user can sort the projects in descending order by clicking on the "Project No" column name (littler gray box).

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2.   How can we check CRIS approval status?

1.   You need to go to the screen, "Research Documentation".
2.   Click on Status

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3.   When is a new In-house (D) 416/417 needed?

A new In-house (D) 416/417 is needed when (1) a research project is initiated because of newly appropriated funds or (2) a project is being replaced with a new one.

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4.   Does the Remarks screen on the 416/417 need to be completed?

Yes, you need to always state reason for current action (fund transfer, replacement, etc.) and enter any additional information relative to the project.

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5. **What information do I need to be concerned with for the Investigator screen?**

- A list of the Category 1 and 4 scientists in your lab will be listed.
- Put a P next to the Principal Investigator and indicate the SY time to be devoted to this CRIS project. Put an X next to all other Investigators on the project and indicate the SY time to be devoted to this CRIS project.
- The total SY time listed on all in-house projects for any Scientist should not exceed 1.0.
- There should be no SY time listed on R, T, S, G or C type projects.

6. **Do In-house projects need Sustainable Agriculture Code (SA+O) and a Farm Bill Purpose Code (FBP1)?**

Yes, all In-house projects are required to have at least one Sustainable Agriculture Code (SA+O) and one Farm Bill Purpose Code (FBP1).

Also, use Special Classification Code BARD 100% for BARD Projects

Use Special Classification Code CRG 100% for CSREES Competitive Grants

Use Special Classification Code CRADA 100% for CRADA's

7. **What are the procedures for Outside Funds 415/416/417 (T)rust or (R)eimbursable?**

The first step in the CRIS documentation of soft funds is no longer the AD-416/417. Regardless of the source of funds or the amount, only the completion of the ARS-425 will be required until funding is received.

8. **Upon notification of funding, what is needed?**

"Service Only" agreements: No further CRIS project documentation is required.

Research Agreements less than or equal to $25,000: No further CRIS project documentation is required.

Research Agreements over $25,000: Completion of the 416 and 417 is required before the AFO can release funds. The 416/417 can not be completed until the 425 has been approved in the ARIS system.

PWA CONTACT: **Program Area Assistant (510) 559-6064**