

## Chapter 16

### Agricultural Research Information System (ARIS)

The Agricultural Research Information System (ARIS) Online Manual provides instruction for operation of the research project documentation automated system. A user must possess an ID and password to access ARIS. They are obtained by request through the Area Extramural Agreements Specialist.

**Acronyms:** See [Chapter 22](#) for a comprehensive list of commonly used acronyms.

**References:** [ARIS Online Handbook](#)  
[P&P 324.0](#) – ARS Reimbursable and Trust Fund Agreements  
[ARIS Records Disposition Schedule](#)

**Cross References:** [Chapter 3](#) – ARMP  
[Chapter 10](#) – Human Resources  
[Chapter 11](#) – Manuscripts  
[Chapter 12](#) – Patents and Technology Transfer  
[Chapter 21](#) – Travel  
[Chapter 26](#) – Program Agreements  
[Chapter 27](#) – Office of Scientific Quality Review (OSQR)

**Websites:** Office of Scientific Quality Review (OSQR) <http://www.ars.usda.gov/osqr>  
NPA Grants and Agreements <http://www.ars.usda.gov/npa/grants>  
NPA OSQR and On-Site Review <http://www.ars.usda.gov/npa/osqr>

**Attachment 1:** ARS Research Associate Program  
**Attachment 2:** Remarks Examples for 416/417  
**Attachment 3:** ARS 416/417 Template  
**Attachment 4:** Cheat Sheet for ARIS Reports  
**Attachment 5:** ARIS CRIS Project Files Management Guidelines

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**115 Related Questions**

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## ARIS SYSTEM COMPONENTS

ARS-416/417/Agreements Incoming/Outgoing	Documentation of ARS inhouse research and extramural projects. This includes the objective, approach, funding, and classifications such as Strategic Plan Code (STP), Regional Project, Subject of Investigation (SOI), Research Problem Area (RPA), Field of Science and Special Codes.
ARS-421	Provides access to annual and final progress reports and publications for every project.
ARMPS	Annual Resource Management Plan System. The CRAS schedule of the ARMPS is available for viewing (downloading from the PC system).
AIMS	Agreements Information Management System. ARIS/AIMS is used to produce the agreement (incoming/outgoing) award package and to serve as a management tool for the Extramural Agreements Specialists/Authorized Departmental Officers (ADO).
ARS-115	Requests to Submit Manuscripts for Publication which are used to communicate new research discoveries, includes technical abstract, interpretive summary, author and journal for publication. Maintained indefinitely with a History File component for 115's more than 5 years old.
FTIS	Foreign travel for work and international meetings by ARS employees, including a one-page trip report.
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.
Mission Statement	Describes the research goals of the Management Unit.
Mode Code	A numerical identification of management units within the ARS organizational structure. The 4 <sup>th</sup> Mode Code level indicates the geographic location; the 5 <sup>th</sup> level, the research unit, laboratory, or institute; and the 6 <sup>th</sup> level, the laboratory or research unit. (Example: 5402-20-00: 54 = Northern Plains Area; 02 = Fort Collins, CO; 20 = Sugarbeet Research Unit.)
Personnel	Provides non-confidential information about ARS employees, downloaded from NFC every 2 weeks.

Post Doc Program	Tracks ARS employees that are eligible to compete for permanent positions. Serves as a recruitment source for selecting officials during the competitive recruiting process. Current listing of vacant SY positions. Also, contains the post-doc proposals funded by the Administrator and who was selected.
Reports	Provides summary and detail data based on classification codes such as Subject of Investigation (SOI), Activity, Special, and Strategic Plan Code (STP); publications; mode codes; briefing packets; management unit; location; Area and Agency level.
Tektran	Technology Transfer Automated Retrieval System. Blank forms can be printed from ARIS.

## ACRONYMS AND DEFINITIONS

ACCESSION NUMBER	A unique identification number issued by the Current Research Information System (CRIS) and assigned automatically to each ARS project when new 416/417's are entered into the system. Accession numbers do not change when a project is renumbered.
ACTIVE FILE	The Active file contains the official project records
ADODR	Authorized Departmental Officer=s Designated Representative. The ADODR is the ARS person who is responsible for the proper conduct of an extramural research project.
COMP GRANT	USDA Competitive Grant
CRIS	Current Research Information System. An automated system maintained by CSRS for storing and retrieving information on research projects of USDA and State Agricultural Experiment Stations.
EXTRAMURAL RESEARCH	A legal document that enables ARS to obtain research or research-related services from organizations or individuals outside of ARS (Specific Cooperative Agreement, Project Grant, Non-Funded Cooperative Agreement, Trust Fund Cooperative Agreement, and Reimbursable Cooperative Agreement).
FORM ARS-115	Manuscript Approval
FORM ARS- 416/417	Research Project
FY	Fiscal Year (October 1 through September 30 each year)
INCOMING AGREEMENT	Outside Funds (non-ARS funds) Request (Reimbursable, Trust) formerly Form ARS-425
IN-HOUSE RESEARCH	Research conducted by ARS scientists
MODE CODE	A numerical identification of management units within the ARS organizational structure. The 4 <sup>th</sup> Mode Code level indicates the geographic location; the 5 <sup>th</sup> level, the research unit, laboratory, or institute; and the 6 <sup>th</sup> level, the laboratory or research unit. (Example: 5402-20-00: 54 = Northern Plains Area; 02 = Fort Collins, CO; 20 = Sugarbeet Research Unit.)
MM/DD/YYYY	Month/Day/Year (Note: year is always four digits, e.g. 2004)

OUTGOING AGREEMENT	Cooperative Agreement initiated by ARS. Specific Cooperative Agreement and Project Grant Agreements (outgoing funds) or Non-Funded Cooperative Agreements.
PI	Principal Investigator. The research scientist who has scientific leadership for the specific work described.
PL-480	Public Law 480-foreign research projects
RPA	Research Problem Area. A classification component of CSRS-CRIS for arranging research problems according to national goals.
SOI	Subject of Investigation. A classification component of CSRS-CRIS for arranging subject of investigation according to national goals.
SPECIAL CLASSIFICATION CATEGORIES	Special interest area that requires unique coding in ARIS, such as Biotechnology (BT) and integrated pest management (PM).
SY	Scientist Year. Any professional scientific position that is identified as Category 1 (Research Scientist) or Category 4 (Service Scientist), including Research Associates.
WORK FILE	The file in which new or modified ARS project records are held until they are approved to move to the Active Project File. Its purpose is to enable persons in the Area Office and at field locations to request NPS approval for changes. Only authorized persons in the NPS Program Support Office may approve the records to move from the work file to the Active File.



**United States Department of Agriculture**  
Research, Education and Economics  
Agricultural Research Service

April 8, 2010

**SUBJECT:** ARS Research Associate Program - Class of 2011

**TO:** Center Directors/Laboratory Directors  
Research Leaders

**FROM:** W.H. Blackburn, Area Director /s/

The Administrator has issued the call for proposals for Headquarters-funded ARS Research Associates for the Class of 2011. This year, as in FY 2010, proposals for Research Associates will be funded for 2 full years at \$50,000 per year. There will be 50 awards Agencywide. The proposal selected for the T.W. Edminster Research Associate Award will receive \$60,000 per year for 2 years.

Proposals are to be submitted by a single ARS permanent scientist (Category 1 or 4), who will serve as the mentor and supervisor of the Research Associate. Proposals with a Category 2 scientist as the supervisor will not be considered. Also be advised that the award of a Headquarters-funded Research Associate is given to the individual scientist that prepared the proposal; therefore, it is not transferable. Should the mentor leave the Agency or retire before the position is filled, the Headquarters funds are not provided.

The proposal should outline research that can be accomplished in 2 years and is directly relevant to the base research project under which it is submitted. Proposals that identify specific achievable objectives will receive more favorable consideration than those that simply speed progress toward the overall long-term objectives of the base project. The proposals can only be submitted under the National Program that the research project directly reports to. They cannot be submitted under the "contributing (C)" National Programs.

The submitted proposal will be evaluated independently by the Area Director and the National Program Leadership Team for the National Program. Criteria for evaluation will include scientific excellence, relevance to National Program objectives, and capacity to perform and manage the proposed work. The two scores will be combined to determine which proposals are funded.

One proposal submitted to Headquarters will be selected as the single best proposal overall, which will be designated as the T.W. Edminster Research Associate. The funded proposals and the T.W. Edminster winner will be announced at the Administrator's Council meeting in September 2010.



The schedule for the FY 2011 program is:

- |                         |  |
|-------------------------|--|
| May 31-July 2, 2010     | Proposals electronically submitted by scientists to the Area Director via ARIS.  |
| <b>July 16, 2010</b>    | <b>Area Directors complete initial screening and electronically forward proposals to National Program Staff via ARIS. <i>No more than 20 proposals should be submitted by each Area.</i></b> |
| July 19-August 13, 2010 | Area Directors and National Program Leaders complete rankings. All rankings should be in by close of business August 13, 2010.   |
| September 3, 2010       | Proposals to receive funding are submitted to the Administrator.   |
| September 2010          | Selected proposals for funding announced at Administrator's Council meeting.   |

Please see the enclosed tips for preparing post-doc proposals.

Dr. Michael McGuire will be coordinating the program. Please forward any questions to him for clarification. If you have questions on the ARIS system, please contact Ms. Reagan Heese.

Enclosure

cc:

AOs/Secretaries  
Michael McGuire  
Reagan Heese

## **Tips to Prepare Post-doc Proposals**

- All post-doc proposals must be entered into ARIS by **COB Friday July 2, 2010**. Late entries will not be accepted.
- The ARIS Online Manual is available at: <http://www.npstaff.ars.usda.gov/ARIS/Manual/> . Chapter 15.G “Post-Doc Application” provides information about submitting post-doc proposals.
- To find examples of proposals that have been funded in the past, search the ARIS Post Doctoral System. Within the system, click on Active, select Post Doctoral Proposals Approved and then enter the NP code for the appropriate National Program.
- Each ARS scientist (Category 1 and 4) may submit only one post-doc proposal to the Area Office.
- Each Area Office may submit only 20 post-doc proposals to the Office of National Programs (ONP).
- Funding will be awarded to only 50 post-doc proposals.
- Proposals may be submitted only under the National Program that the research project reports to, not a “contributing” National Program.
- Prepare and spell check the proposal in Word and then copy and paste it into ARIS.
- Proposals must be 4,000 characters (approximately 54 lines) or less. (To check this in Word, click Tools, then Word Count to ensure the total number of characters displayed in Statistics is 4,000 or less.)
- The text should include these headings (ALL CAPS) with the narrative below the headings.
  - RESEARCH PROBLEM
  - NATIONAL PROGRAM
  - OBJECTIVE
  - APPROACH AND GOAL
  - EXPECTED RESULTS
  - ADDITIONAL INFORMATION

ARIS action	Examples: (each bullet represents a sample format with the relevant details listed)
<p><b>New 416/417 projects:</b></p> <p>X To create a new 416/417</p> <p>X To start a new Project when the existing Project reaches its Term Date</p>	<p>X FY 2007 Permanent Fund Transfer of \$125,000 from 5410-12130-005-00D/406459. Establish new project per instructions from NPS, memo dated xx/xx/xx from Dr. John Doe.</p> <p>X Establish new project to replace 5445-31000-007-00D/411123. FY 2007 Permanent Fund Transfer of \$315,000 from 5445-31000-007-00D. Project approved through NP xxx Peer Review (or Ad Hoc Review) as per OSQR memo dated xx/xx/xx.</p>
<p><b>Revising the 416/417:</b></p> <p>X Changes in Title, Objective, Approach, Keywords, and/or 417 Codes (STP, SOI, etc.)</p>	<p>X Modified the Objective &amp; Approach per discussions with NPL's. (Reference an E-mail or memo and the date).</p> <p>X Revised the 417 codes per instructions from NPS, memo dated xx/xx/xx from Dr. John Doe.</p>
<p><b>Fund Transfer:</b></p> <p>X Occurs when one ARS project authorizes funds to be transferred to another ARS project (receiving Unit initiates the ARIS transfer).</p> <p>X Forward memos/Emails to the Area Office/Program Analyst for documentation.</p>	<p>X FY 2007 Temporary Fund Transfer of \$53,000 from 5428-66000-004-00D/407567 for the Sclerotinia Initiative. Per Email (or memo) dated xx/xx/xx from Dr. John Doe (name the location).</p> <p>X FY 2007 Temporary Fund Transfer of \$20,000 from 5402-21000-005-00D/408789 to increase cotton and peanut accessions. Per Email (or memo) dated xx/xx/xx from Dr. John Doe (name the location).</p> <p><b>NOTE:</b> Block the entry/info in the Remarks section on the 416 Project Info tab and do a Ctrl C (copy). Go to the Fund Transfer tab and complete the fund transfer data entry and then click on the Comments button and place your cursor within the Comments field and do a Ctrl V (paste). The Comments field on the Fund Transfer tab is required and the same info used in the 416 Project Info Remarks block can be entered here. The main information should always be the action related to funding and everything else should follow. Only the first three lines appear for use by the HQ Budget and Program Management Staff (BPMS).</p>
<p><b>Bridging projects:</b></p> <p>X Upon instruction from the Area Office Program Analyst and/or Headquarters staff</p> <p>X ARIS Staff should monitor the Term Dates on all projects, but especially the D projects and process a Bridging project well before the Term Date on the expiring D project to allow for processing of the fund transfer and project accountability actions.</p>	<p>X FY 2007 Permanent Fund Transfer of \$xxx,xxx from 5430-43440-005-00D/411001. 5430-43440-xxx-00D has completed the OSQR Peer Review process for NP xxx Ad Hoc Review. Extended the termination date to 08/31/09; updated Title, Objective, and Approach. Modifications made per E-mail dated xx/xx/xx from Dr. John Doe (name of the NPL initiating the instructions).</p> <p>X FY 2007 Permanent Fund Transfer of \$xxx,xxx from 5450-51000-020-00D/404123. Bridging project to replace 5450-51000-020-00D/404123, which will go through NP xxx Ad Hoc or Peer Review in June xxxx.</p>

<b>Specific Cooperative Agreements: outgoing funds only</b>	
X <b>Establish a new SCA:</b>	X New SCA with FY 2007 funds in the amount of \$150,000. X New SCA with FY 2007 funds in the amount of \$300,000 for the XXX Initiative.
X <b>Adding funds to an existing Specific Cooperative Agreement:</b>	X Add FY-07 funds in the amount of \$50,000; Request Type = Add Funds. X Add FY-08 soft incoming funds of \$85,000; Request Type = Add Funds.
X <b>Extending the time:</b> <i>Always include the old date + new date.</i>	X Extension of time only for a period of one year from xx/xx/xx to xx/xx/xxxx for project continuation; Request Type = Time Only.
X <b>Add funds &amp; extend time</b> <i>Always include the old date + new date.</i>	X Add FY-07 funds in the amount of \$50,000 and extend the period of agreement from xx/xx/xx to xx/xx/xxxx; Request Type = Extend Time with Added Funds.
<b>Reimbursable &amp; Trust Fund 416/417:</b>	
X Funding increase	X Increase funding in the amount of \$75,000 for FY-07; adding 416/417 to Log #xxxxx; entered the AIMS documents.
X Time extension	X Extend the period of agreement from xx/xx/xxxx to xx/xx/xxxx.
X Funding increase/time extension <i>Always include the old date + new date.</i> <b>Copy/paste the Remarks from the 416 into the Comments block on the Incoming Agreement.</b>	X Increase funding in the amount of \$75,000 for FY-07; Extend the period of agreement from xx/xx/xxxx to xx/xx/xxxx.
<b>Post-Doc Fund Transfer Request:</b>	
X First request for funds.	X Request \$50,000 Temporary FY 20xx Fund Transfer from 0101-88888-016-00D for Headquarters Funded post-doc position. Mentee: Dr. Mary Brownson; Mentor: Dr. Steven Jones; EOD: xx/xx/xxxx; Class of xxxx; Balance: \$40,000.
X Candidate must report for duty prior to funds being requested. <i>Minority status is no longer mentioned.</i>	<b>Note: always use 0101-88888-016-00D for post-doc funds from HQ</b>
<b>Post-Doc Fund Transfer Request:</b>	
X Request for remaining funds.	X Request \$50,000 Temporary FY 20xx Fund Transfer from 0101-88888-016-00D for Headquarters Funded post-doc position. Mentee: Dr. Mary Brownson; Mentor: Dr. Steven Jones; EOD: xx/xx/xxxx; Class of xxxx; Balance: \$0.
<b>Program Increase:</b>	
Must include:	
X Fiscal Year of funds received	X PDRAM #xx dated 02/08/2007 from S. Kappes/E. Byington. FY-07 funds in the amount of \$50,000 from 0101-88888-028-00D.
X \$\$ amount of program increase	
X Purpose of program increase (is this for recruitment of an SY or for SCA's, etc.)	X PDRAM #xx dated 02/08/2007 from J. St. John/E. Byington. FY-07 funds in the amount of \$202,000 from 0101-88888-028-00D. Modified the Objective, Approach, keywords, and added one Cat. 1 vacancy, Soil Scientist.
X PDRAM #, PDRAM Date, & name of the NPL(s) issuing the program increase	
X If an SY position is being added Giving project number	
<b>Revising the SY list:</b>	
• Delete Position	• Deleted Vacant position from the Investigator list (1T2613/Vice Lynn James; 25% SY time). Position abolished per approval from M. Walbridge dated 04/02/2008. Vacant Investigator abolished from 5428-32630-011-00D/412849; 5428-31320-005-00D/412852; and 5428-32000-015-00D/412851 at 25% on each for 1T2613/Vice James. (abc, 04/10/2008).
• Revising SY Time	X Revising SY time as follows: Added Scott Bean at 20% (80% on 5430-44000-017-00D); changed Michael Tilley from 80% to 50%

<p><b>Include Initials/Name &amp; Date of Person Making Entry</b></p> <p><b>Accession Number is Helpful.</b></p>	<p>(50% on 5430-44000-017-00D); changed Jeff Wilson from 70% to 50% (50% on 5430-44000-017-00D. Vacant position (1T3247) remains at 100%. (def, 1/18/08).</p> <p><b>NOTE:</b> Please follow the format suggested above because it helps with the Audit Trail component that is in ARIS, and enables staff reviewing the SY time alignment to provide accurate information to the Area Directors on follow-up reports. It also helps to ensure the SY % aligns across all applicable D projects assigned to the Unit so that each SY listed totals to 1.0 (100%).</p>
<p><b>Vacant Position(s):</b></p> <p>X Revising the 416/417 to reflect a vacant position (due to an SY leaving or adding an SY per instructions from HQ):</p>	<p>X Add Vacant position for a Rangeland Ecologist at 1.0.</p> <p>X Revise position held by Mary Smith to Vacant due to her transfer to the National Program Staff.</p> <p>X Deleting Agronomist position due to retirement. Position will be retained, but changed to Plant Physiologist at 1.0.</p>
<p><b>Abolish Position(s):</b></p> <p>X Revising the 416/417 to reflect an abolished position (due to an SY leaving or a Vacant position that will not be filled):</p>	<p>X Use the Remarks to document the information about the abolished position. Include the SF-52 number and date, which position is being abolished (<i>example</i>, 1T12345/Agronomist).</p> <p>X <b>Remarks example:</b> Deleted Vacant position from the Investigator list (1T2613/Vice Lynn James; 25% SY time). Position abolished per approval from M. Walbridge dated 04/02/2008. Vacant Investigator abolished from 5428-32000-014-00D/412850; 5428-31320-005-00D/412852; and 5428-32000-015-00D/412851 at 25% on each for 1T2613/Vice James. (marcie, 04/10/2008).</p>
<p><b>Project renumbering:</b></p> <p>X The renumbering is done on the 416 only, and then it migrates to the AIMS part.</p> <p><b>NOTE:</b> Please include initials or name and date of action because it helps when following an audit trail, or when there are multiple renumbering actions due to Bridging projects and subsequent new projects.</p>	<p>X Correction action: Renumbering from 5442-xxxxx-xxx-xxS to 5442-xxxxx-xxx-xxS; Request Type = Other. (Request Type entry applies only to G, N, or S projects; copy/paste 416 Remarks entry into the Comments block on the Incoming Agreement).</p>

**Any other circumstances, issues, needs:** Please call, Remarks examples can be provided per HQ's desired format.

## ARIS 416/417 Instructions & Template (for D, L or X Projects)

<b>PROJECT INFO</b>	
Project No.	See ARIS Online Handbook Chapter 6 and STP Codes below. <b>Project #:</b>
Type	Select "D" for appropriated fund projects unless specific instructions were provided to for an L or X project.
Project Title	Enter title from the certified project plan unless a different title has been approved by the NPL and AD. <b>Title:</b>
Start Date	Enter date the project is expected to begin. Plan on 4-5 weeks to get project approved. HQ will modify as necessary for new projects. <b>Start date:</b>
Term Date	Enter date the project is expected to terminate, which is typically 5 years after the project starts. Appropriated-fund projects cannot exceed 5 years. <b>Term date:</b>
Duration	Leave blank. Will automatically populate once Start and Term Dates are entered.
SY	Leave blank. Will automatically populate once Investigators are entered.
Current Dollars	Leave blank. Will automatically populate once project is funded.
Department	Leave blank.
Institute	Defaults to the code for your specific ARS location.
Agreement	Leave blank.
Control No	Leave blank.
SAES, Other, None	Select None.
Award Date	Leave blank.
<b>COMMENTS</b>	
Comments	Enter a brief description of the ARIS action requested in this 416/417. See suggested Attachment 2 for examples. <b>Comments:</b>
<b>OBJ/APP/KEY</b>	
Objectives	Copy the Objectives from the certified project plan unless written permission for different objectives has been received from NPL and AD. <b>Objectives:</b>
Approach	ARS scientist should provide a brief written summary of the project's approach which the ARIS user can paste into this block. The Project Summary from the certified project plan may be used. <b>Approach:</b>
Keywords	ARS scientist should provide these to the ARIS user. Each keyword or phrase should be entered on a separate line. <b>Keywords:</b>
Thesaurus	Leave blank.
<b>INVESTIGATORS</b>	
Investigators	Select the names of ARS scientists (Category 1, 4 and 6 only) assigned to the project and the percentage each scientist's time that will be assigned. Only one scientist can be selected as the Principal Investigator. <b>Scientists:</b>  <b>Principal Investigator:</b>
<b>STP/CODES</b>	
<b>See ARIS Online Handbook Chapter 6.</b>	
Strategic Plan (STP) Codes	STP codes are used to determine a part of the project number. Descriptions of STP codes are available in ARIS (Reference tables / Classifications / Strategic Plan). <b>STP Codes:</b>
National Program Codes & Type	Leave blank. ONP will enter this information.
Region Code, #, %	Leave blank.
BPIM Code & %	Leave blank. ONP will enter this information.
<b>417 CODES</b>	
<b>See ARIS Online Handbook Chapter 13. Descriptions of codes are available in ARIS (Reference tables / Classifications).</b>	

Basic, Applied & Developmental Research Codes	Use any combination of the three codes to equal 100%. <b>Basic %:</b> <b>Applied %:</b> <b>Developmental %:</b>
Field of Science (FOS)	Select at least one code and maximum of 10. The codes must total to 100% for this category. <b>FOS:</b>
Research Problem Area (RPA)	Select at least one code and maximum of 10. The codes must total to 100% for this category. <b>RPA:</b>
Subject of Investigation (SOI)	Select at least one code and maximum of 10. The codes must total to 100% for this category. <b>SOI:</b>
Sub-activity Classification	Select at least one code and maximum of 10. The codes must total to 100% for this category. <b>Sub-activity:</b>
Special Classification	See ARIS Online Handbook Chapter 13A for instructions.  <b>BT (Biotechnology):</b> If used, minimum of 10% required, maximum 100% allowed <b>BR (Biotech Risk Assessment):</b> Can have a combination of codes, minimum of 10% each, cannot exceed 100% <b>PC (Pest Control):</b> Can have a combination of codes, minimum of 10% each, cannot exceed 100% <b>FBP (Farm Bill codes):</b> Required on all D 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 D 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 (Biotech Environmental Release):</b> If BTER is listed, must have at least 2 BT codes listed on the project <b>BARD (Binational Ag Research and Development Fund):</b> Should always be 100% <b>BPMS:</b> Can only be entered at NPS level. Minimum is 10%; combinations of different codes can be over 100% <b>CRADA code:</b> must equal 100% <b>CRG (NRI Competitive Grants Program):</b> CSREES Competitive Grants should be coded 100% <b>X1890 (Cooperative Research with 1890 Institutions):</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%
<b>FUND TRANSFERS</b>	<b>See ARIS Online Handbook Chapter 4B for instructions.</b>
Receiving Accession Number	
Fiscal Year (FY)	
Received Amount	
Permanent / Temporary	
Total Amount of Giving Projects	
Comments	Copy text from Comments tab here.
FY	
Giving Accession Number	
Project Number	
Permanent / Temporary	
Giving Amount	
<b>RESPONSIBLE TEAM</b>	
Team Members	Leave blank. ONP will enter this information.
<b>SIGNATURES</b>	
Research Leader	

## Cheat Sheet for ARIS reports:

MODE CODE	NAME OF AREA	MODE CODE	NAME OF AREA
12	BELTSVILLE	54	NORTHERN PLAINS
19	NORTH ATLANTIC	62	SOUTHERN PLAINS
36	MIDWEST	64	MIDSOUTH
53	PACIFIC WEST	66	SOUTH ATLANTIC

SYMBOL	EXPLANATION
: (colon)	<p><b>Range/Between</b> Example- 10/01/2001:09/30/2002 to retrieve records having any values between these two dates.</p> <p>Used as a separator between the start and end values in a range. Can be used for all types of data, including dates (see above example).</p>
; (semicolon)	<p><b>Or</b> Example- potato;tomato retrieves any records with potato <b>OR</b> tomato.</p> <p>A line cannot end with a semicolon. Used as a separator in a list of search items in a single line.</p>
! (exclamation point)	<p><b>But Not</b> Example- A:X!E;U to search for all projects except E (terminated) or U (unfunded)</p> <p>Used to narrow the search criteria. Can only be used in text fields (not LOV)</p>
% (percent)	<p><b>Wildcard</b> Examples-</p> <p><b>germ%</b> - The system retrieves all documents that contain germ, germplasm and others where germ is a prefix.</p> <p>The system retrieves all documents that contain germplasm, plasma, and others where plasm is in the word.</p> <p><b>%honey%bee%</b> - when used like this, the % between the words works as an AND (&amp;); the system retrieves all documents that contain honey and bee, in any order within the field.</p> <p>The % can be placed prior to the word or phrase (search criteria), after, or both.</p>



United States Department of Agriculture  
Research, Education, and Economics  
Agricultural Research Service

February 6, 2003

SUBJECT: ARIS CRIS Project Files Management Guidelines

TO: NPA LAO's and Secretaries

FROM: Mike Wiggett /s/  
NPA Administrative Officer

**Background:** A Records Management Briefing session was presented during the NPA Leadership Conference by Mr. Stephen Pollard, USDA-ARS, and Mr. Mark Ferguson, National Archives and Records Administration.

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**Discussion Point:** Several administrative staff members inquired about the following items:

- How long should ARIS "D" project files be retained?
- Which office has responsibility for retention and disposal of the "D" project files?

The Area Office initiated discussions with Stephen Pollard, USDA-ARS, Information Technology Division, Records Management Officer, in Washington, DC.

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**Information obtained:** Mr. Pollard's research into the above questions resulted in the following:

- The research unit/location initiating the ARIS "D" project is responsible for retention and disposal of the files.
- ARIS "D" project files need to be retained for 7 years after the cutoff date.

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**Files Management Information/Procedure:** CRIS is an automated system for storing and retrieving information about research projects of USDA research agencies, including the Agricultural Research Service, Economic Research Service, State Agricultural Experiment Stations, Foreign Agriculture Service, Forest Service (Forestry Schools), as well as other participating institutions. The CRIS is maintained by the Cooperative State Research Education and Extension Service (CSREES) in conjunction with the National Agricultural Library.

Management information files of input on ARS research projects forwarded to the Cooperative State Research and Education Extension Service (CSREES) for inclusion in the USDA Current Research

Information System (CRIS). ARS CRIS files reflect research projects currently in progress, or completed within the current calendar year. These files include copies of the Research Resume (AD-416); Research Work Unit/Project Classification of Research (AD-417); Research Work Unit/Project Description Progress Reports (AD-421); request for and approvals of extensions and terminations; annual reports; and correspondence.



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**TEMPORARY.** Cut off files at end of year in which project is completed or discontinued. Transfer to FRC (Federal Records Control) three (3) years after cutoff. Destroy seven (7) years after cutoff.

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**Sibling CRIS project files:** The Official Files for Specific Cooperative Agreements; Trust Fund Cooperative Agreements; Reimbursable Cooperative Agreements; and Grant Agreements are held in the Area Office.

- The Authorized Departmental Officer of the Extramural Agreements Section retains the official files and has responsibility for records retention and disposal.
  - Records held at the Unit/Location level are considered “working files” only.
  - Working files can be disposed of three (3) years after closure of the agreement, which includes receipt of all Final Payment and Performance Report documents.
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**Questions:** Please contact me at (970)229-5000 or Michael.Wiggett@ars.usda.gov or Marcie.Currie-Gross at (970)229-5522 or grosscm@ars.usda.gov.

cc:  
W.H. Blackburn, AD