

Plains Area

Incoming Funds Record-Research (IFR/425) Template

Incoming funds records (IFRs) are used to request authorization to apply for and use funds from outside sources, including participating in a collaborative role with no funds to ARS. You must always receive ARS approval before sending the proposal to the outside source for funding consideration. Submit the IFR at least 30 days before the proposal is due.

RED TEXT: Required Fields.

BLACK TEXT: Tips, examples, general information.

MORE INFORMATION: ARIS online handbook [chapter 4C - Incoming Records-Research](#).

PROJECT INFO TAB	
START DATE	<ul style="list-style-type: none"> Enter the estimated start and termination dates. Projects cannot go beyond 5 years. Use this format: MM/DD/YYYY. Select realistic dates, especially for non-grant proposals that will be finalized quickly.
TERM DATE	<ul style="list-style-type: none"> ARIS staff may click on the calendar icon or enter the dates manually.
STATUS	<ul style="list-style-type: none"> For new 425, ARIS will automatically and correctly select New. Leave it that way for now. Once the 425 is approved, ARIS will change the status of most records automatically. However, you must manually change the status to Active when a No-Funds-to-ARS 425 is approved by the granter.
ARS PRINCIPAL INVESTIGATOR	Enter Unit PI's name. In ARIS, PSA can select the Unit PI from the list of values (LOV).
EMAIL	Enter the Unit PI's email address.
PURPOSE OF FUNDS	<ul style="list-style-type: none"> Research <=\$25,000 – This Unit is requesting \$25,000 or less. Only the Incoming Agreement will be entered into ARIS. Research >\$25,000 – This Unit is requesting \$25,001 or more. If awarded, a 416/417 will be entered into ARIS. Research-No Funds to ARS – This Unit is not requesting any money. The ARS PI is participating in an advisory or collaborative capacity.
TYPE OF AGREEMENT	<ul style="list-style-type: none"> C – Cooperative Research And Development Agreement (CRADA) – used for formal agreements between ARS and a cooperator involving cooperative research to transfer and develop ARS technology; combine ARS' and cooperator's intellectual property or technology; and develop or discover new or improved products or services. Do not use this type for a grant proposal. I – Interagency Reimbursable Agreement (IRA) – used for agreements when ARS receives funds directly from another Federal Agency to provide services, supplies and equipment they request. Also used when ARS submits a grant proposal directly to NIFA or other Federal agency. H – Material Transfer Research Agreement (MTRA) – used for agreements between ARS and another organization involving the transfer to ARS of research materials. Do not use this type for a grant proposal. R – Reimbursable Cooperative Agreement (RCA) – used for agreements between ARS and sponsoring organizations involving cooperative research of mutual interest where the sponsor pays when billed by ARS for costs incurred in performance of the project. Also used when purpose of funds is "No funds to ARS" or when the OSOF is a federal entity. T – Trust Fund Cooperative Agreement (TFCA) – used for agreements between ARS and a sponsoring organization involving cooperative research of mutual interest where ARS will be paid in advance of performance. <p>If you are unsure of the agreement type, contact the ADO for assistance.</p>
GRANT PROPOSAL	YES or NO.
GRANT AWARDED	A grant requires the submission of a proposal to a program which will decide whether to fund it based upon a competitive or other merit-review process. Thus, grants do not include CRADAs, MRTAs, and jointly negotiated agreements. If this is a grant proposal, leave the Grant Awarded field blank until after you find out if your proposal is funded, then select YES or NO .
ARS AGREEMENT HOLDER	YES or NO.
ARS PROPOSED TOTAL FUNDING	<ul style="list-style-type: none"> YES – the Unit scientist will have the relationship with the funding organization (DSOF): <ol style="list-style-type: none"> ARIS activates the ARS Proposed Total Funding field. Enter the total amount to be received for this agreement across all ARS locations. <i>Required when ARS Agreement Holder = Yes.</i>
ARS AGREEMENT HOLDER LOG #	<ul style="list-style-type: none"> NO – an ARS scientist from another Unit will be the ARS Agreement Holder: <ol style="list-style-type: none"> Select ARS Agreement Holder's IFR log number. (If log # is not selectable, enter it in the Comments.) If funded, ARIS will automatically enter the Agreement Number when the ARS Agreement Holder adds AIMS. Your Unit scientist may receive funds from the ARS Agreement Holder.

<p>AGREEMENT NUMBER</p>	<p>NO data entry is required.</p> <ul style="list-style-type: none"> ▪ Research-No Funds to ARS – <i>No Agreement Number.</i> ▪ Research-less than or more than \$25,000 – ARIS automatically generates an agreement number when AIMS is entered. ▪ Services Only – ARIS automatically generates an agreement number when the Project Info screen is saved. ▪ Gifts – <i>No Agreement Number.</i> <p>NOTE: If the Start Date (FY) or agreement type is changed, the system will automatically update the agreement number and display a message, as long as the record is still in Pending status.</p>
<p>COMMENTS TAB</p>	
<p>COMMENTS</p>	<p>A general description of the proposed agreement or Letter of Intent (LOI) is required, including the proposal due date if you are applying for a grant. When applying for a NIFA grant, indicate the specific grant program (e.g., SCRI, AFRI-Childhood Obesity). If the proposal due date is less than 30 days away, enter comments to explain why this “last-minute” IFR was not submitted earlier.</p> <p>Examples:</p> <ul style="list-style-type: none"> ▪ ARS PI on a Letter of Intent (LOI) due 5/31/15 for a NIFA-AFRI Food Safety grant of \$100,000. ▪ Co-PI on a research proposal to be submitted by KSU (Dr. Bos Taurus) in the amount of \$350,000; ARS will receive \$125,000. Proposal is due 3/15/15. IFR late because submitting PI originally intended Dr. Phil Jackson to be co-PI, but switched to Dr. Mike Morris just prior to submission, leaving only 2 weeks for Dr. Morris to obtain approval. ▪ ARS PI on an ARS research proposal due 8/30/15 to Cotton, Inc. in the amount of \$200,000. If funded, ARS will retain \$150,000 (\$75,000 to Dr. Jeff Smith at Las Cruces and \$75,000 to Dr. Joe Jones at New Orleans) and \$50,000 will go to UNM through an ATCA.
<p>SOF/FUNDS TAB</p>	
<p>ORIGINAL SOF (OSOF)</p>	<ul style="list-style-type: none"> ▪ Original Source of Funds (OSOF): If another entity will provide funds to the DSOF, select it. There may or may not be an OSOF. If OSOF agency name does not appear in the reference table, complete the SOF request form and send it to a Plains Area Program Analyst.
<p>DIRECT SOF (DSOF)</p>	<ul style="list-style-type: none"> ▪ Direct Source of Funds (DSOF): Select the entity that will provide funds to ARS. If it does not appear in the reference table, complete the SOF request form and send it to a Plains Area Program Analyst.
<p>IPSC</p>	<p>EXEMPT or NON EXEMPT.</p> <ul style="list-style-type: none"> ▪ Indirect Program Support Costs (IPSC) are based on whether the Original Source of Funds (OSOF) is non-exempt or exempt. If there is no OSOF, then IPSC is based on the DSOF. (See P&P 329.5 for more information.) For non-exempt entities, the IPSC will be 10% of the gross dollars requested, or 20% for CRADAs. If IPSC is entered incorrectly, the system will display a warning message, but you will still be able to proceed with the action. ▪ IPSC is not charged for exempt entities. It is also not charged for agreements less than \$10,001. However, if funds are later added and the total agreement reaches \$10,001 or more, the IPSC will be charged on the new increment at that time. (See P&P 329.5 for more information.)
<p>BUDGET RECORD DETAILS:</p>	<p>Budget only for funds that will be coming to your Unit. Leave this section blank if the incoming fund record is coded as Research-No Funds to ARS.</p> <p>Example:</p> <ul style="list-style-type: none"> ▪ Determine total proposed amount, for instance – \$50,000. ▪ Calculate IPSC – \$50,000 x 20% for CRADA; \$50,000 x 10% for non-exempt; or \$0 for exempt. ▪ Enter IPSC amount in IPSC field – \$10,000 for CRADA; \$5,000 for non-exempt; or \$0 for exempt. ▪ Distribute remaining funds among other budget categories. <p>Possible expenses for some budget categories are shown below.</p> <p>Fed Salaries Post-doc, temporary technician, Pathways Student, etc.</p> <p>Equipment</p> <p>Supplies</p> <p>Travel</p> <p>Other Publication costs, computer costs, services (for example, data entry or chemical analyses).</p> <p>Extramural Include ORISE post docs (Oak Ridge Institute for Science and Education) and RSAs (Research Support Agreements) in this category. Ensure the Extramural total matches the amount shown in the Org/Inhouse tab under Non-ARS Performing Organizations.</p> <p>IPSC Enter 10% (20% for CRADAs) of the total proposed if the OSOF is non-exempt. Leave blank if the OSOF is exempt. If there is no OSOF, then the IPSC is based on the DSOF.</p> <p>Prior Proposed Automatically generated when an approved budget is revised.</p> <p>Proposed Amount Automatically generated, should equal the total of the amounts above.</p> <p>Total Proposed Automatically generated.</p>

DEALINGS/ETHICS TAB	
<p>ARS PI FINANCIAL DEALINGS</p> <p><i>If Yes, please explain.</i></p>	<p>YES or NO.</p> <p>Does the ARS PI or any full-time resident of your household have any activity or financial interest (dealings) with the Corresponding Organization or are you applying as an adjunct scientist?</p>
<p>CONFLICT OF INTEREST DOCUMENTATION</p>	<p>SEB-102 Conflict of Interest Certification is not required when the 425 is first entered and approved. If funds are later awarded by a non-Federal source, then the PI must complete the SEB-102 when AIMS is entered at RL level (or initial level of entry) and the SEB-102 pdf must be uploaded to ARIS. <i>SEB-102 pdf upload is required when funds are awarded.</i></p>
<p>AREA ETHICS ADVISOR</p>	<p>Area will respond to this question.</p>
<p>IF "DEALINGS", ENTER A BRIEF EXPLANATION</p>	
OBJ/APP/KEY TAB	
<p>OBJECTIVE</p>	<p>Do not use Smart quotes, special characters, bullets, or tabs; avoid names of individuals. If this is a subaward, make sure to indicate the specific objective of the ARS investigator. (3,200 character maximum)</p>
<p>APPROACH</p>	<p>Describe the approach that the ARS investigator will use on his/her portion of the research. (3,200 character maximum)</p>
<p>KEYWORDS</p>	<p>Enter each keyword or phrase on a single line (e.g., Integrated Pest Management). ARIS will change all entries to UPPER CASE.</p>
TITLE/DELIVER TAB	
<p>TITLE OF PROPOSAL</p>	<p>Use Title Case (e.g., Dual-Duty Winter Oilseeds Suppress Herbicide-Resistant Weeds). Avoid abbreviations and do not put a period (.) at the end. This should match the title on the proposal, LOI, or document from a non-grant funding organization. (148 character maximum)</p>

