

N1-310-08-01

ARIS Records Disposition Schedule

March 19, 2008

Table of Contents

General Description of the Agricultural Research Information System (ARIS) ..... 1  
Agriculture Research Information System (ARIS)..... 6  
Research Doc\Extramural Agreements **Database** ..... 6

Inputs:

In-house Appropriated/ /Interagency Agreements..... 6  
Extramural Agreements  
TINS Records Technology Information ..... 7  
Granted Patents/Inventions Elected/License Files..... 8  
Abandoned Patents/Invention Files Not Elected/No Further Correspondence After  
“Invention Disclosure” Received/No Patent Application Filed Notice Received/No  
Further Correspondence After “Notice of Title Election” Received Files Error! Bookmark  
not defined.  
Foreign Travel..... 9  
Post Doc Forms..... 9  
Master Files:..... 9  
Technology Transfer ..... 9  
Foreign Travel Information System (FTIS)  
All Other Files

Outputs

Documentation

## ARIS Records Disposition Schedule

### General Description of the Agricultural Research Information System (ARIS)

The Agricultural Research Information System (ARIS) is an integrated project documentation and retrieval database system containing management data on approximately 1,000 in-house research projects. This system provides ARS stakeholders with research project information on the development of projects and programs, pertinent documentation, technical data, and bibliographic material. The database provides a central repository of ARS-generated data that are used in statistical analysis and for identifying opportunities for development programs, designing development projects, and evaluating the results of the projects. The system stores detailed summaries of data for all ARS Research projects, evaluation information reports, and development assistance, beginning and ending funding obligations by years, a variety of activity and purpose codes, and other relevant project data since the system was initiated in 1986. ARIS services the ARS and the National Program Staff (NPS) in the management and documentation of the ARS national research programs.

ARIS has an integrated repository of information that provides an automated method to collect, analyze, review, and report ARS Research Program information as follows:

- ARIS captures and produces data about research objectives, project classification, research progress, anticipated outcomes, research accomplishments, and budgetary data. Users can input and retrieve research project information.
- ARIS tracks research agreements with cooperators, foreign travel requests, Passport accountability and tracking, patent applications, patent licenses, post doctoral applications, and foreign research activity.

ARIS is a management tool that assists ARS program decision-making and is accessible throughout the ARS organization. It enables and facilitates the reporting, management, and technology transfer of ARS research information.

The ARIS database structures provide a web-enabled, windows-based friendly user interface with data entry, retrieval, and reporting capabilities. Since ARIS is an integrated data structure, the data types and functionality are similar in each database. They include administrative data, research and supporting case file data, privacy act, reference, non record, and program information. The ARIS database schema includes a collection of approximately 1,350 relational data tables with the Agency-driven accession number/project number as the unique identifier or primary key.

Those records that contain summarized or aggregated information created by combining data elements from a single master file or database are Summarized Data Files. These data files contain:

- Extracted data sets or samples used to create output files;
- Edited input file data variables after the editing process is completed;
- Input values for reports reordered into table formats; and
- Comprehensive historical data.

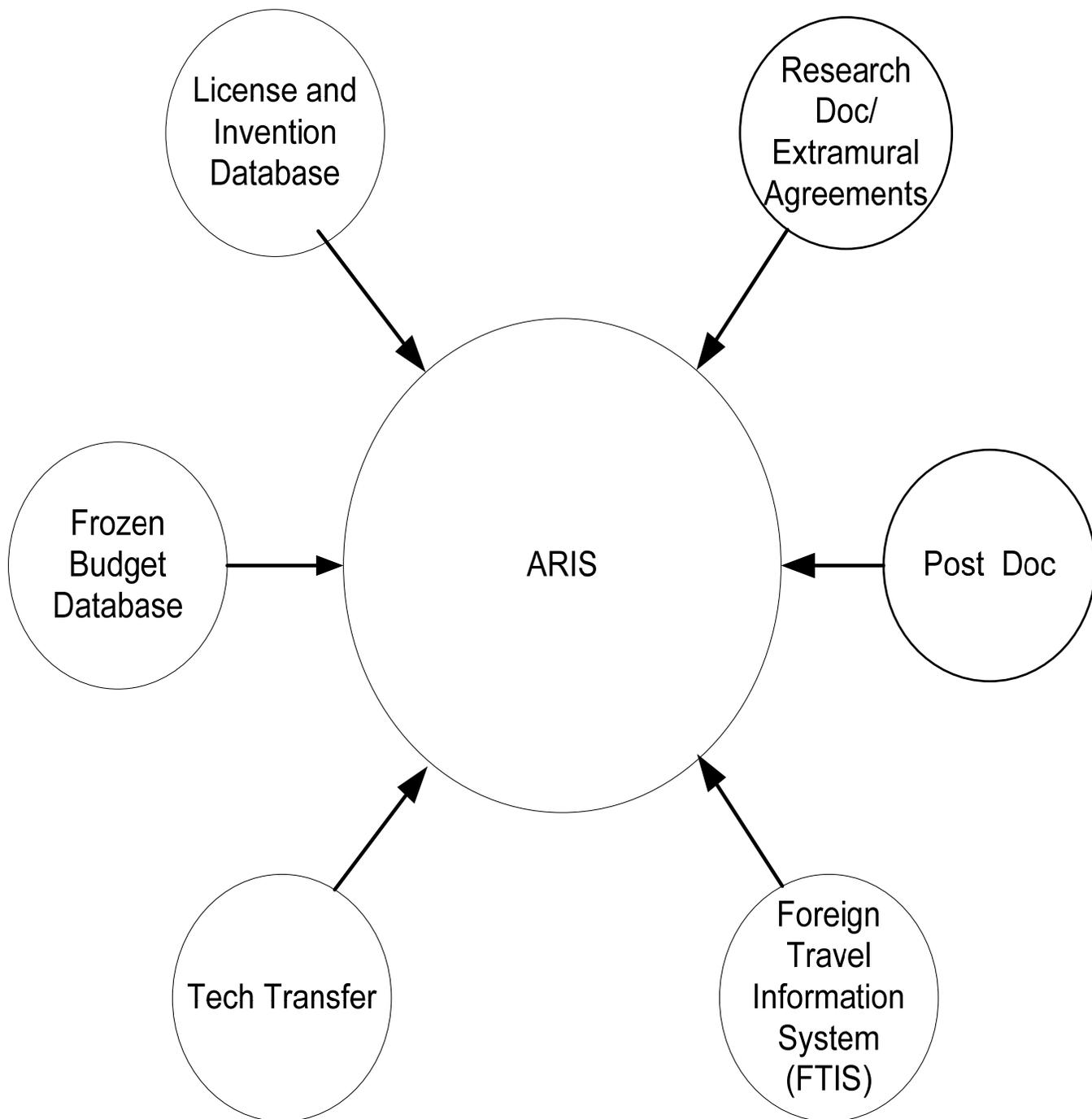
## ARIS Records Disposition Schedule

The ARIS databases include the following:

1. Research Doc/Extramural Agreements (primary database)
2. FTIS (Foreign Travel Information System)
3. Post Doctoral Database
4. Tech Transfer Coord Database
5. Frozen Budget Database
6. Licensing and Invention Database.

## ARIS Records Disposition Schedule

The following is the overall flow diagram of the system.



## ARIS Records Disposition Schedule

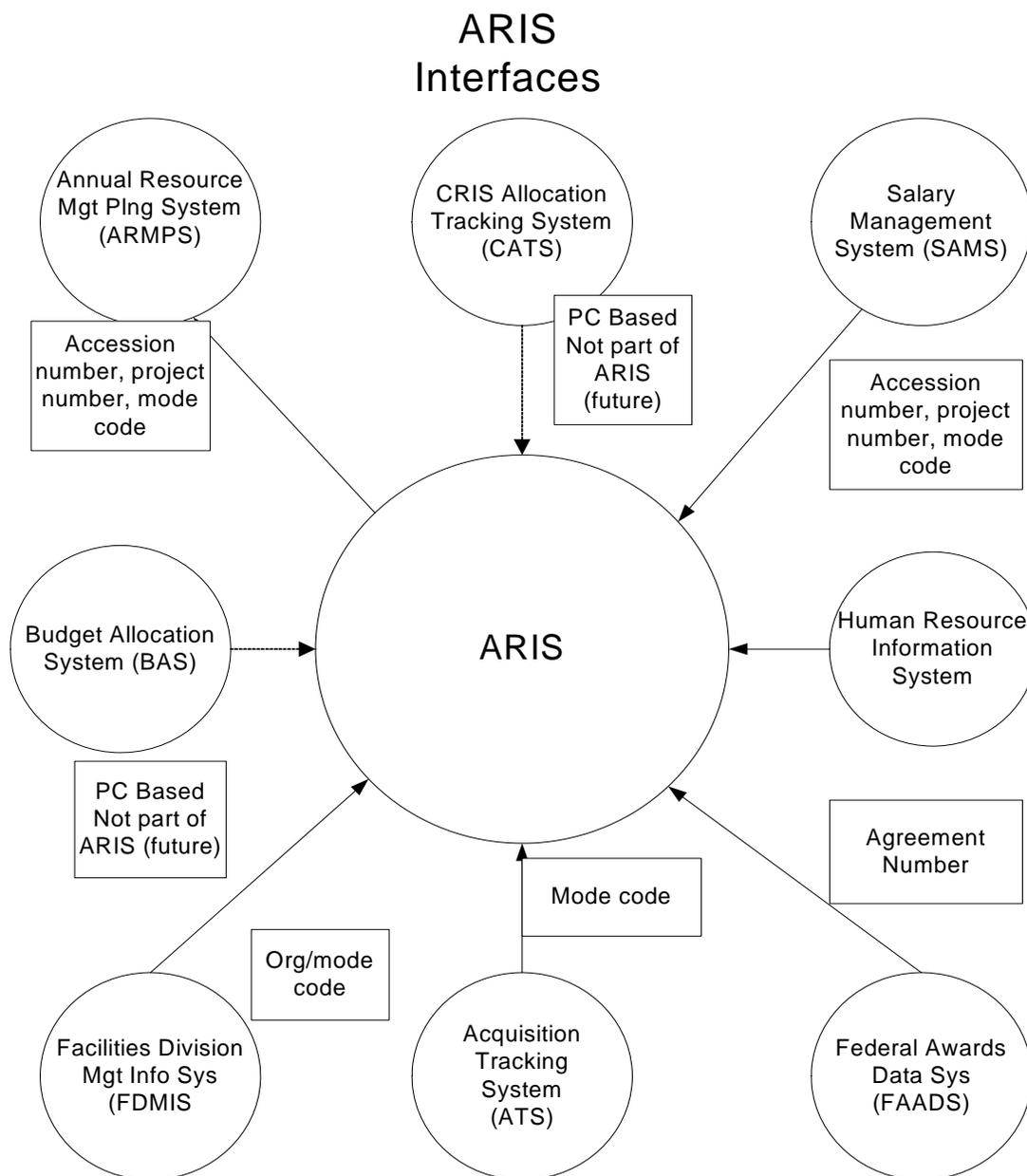
There are some restrictions on the access and use of the ARIS system. ARIS includes some proprietary patent and license information with restrictions on access and usage. Most data are for internal use only, including headquarters and field offices (limited access) and are not for public dissemination. Full access to all ARIS data is restricted to a “need to know” basis.

### **ARIS External Interfaces**

ARIS interfaces with other ARS and USDA-wide systems in order to feed or receive information. The interfaces include:

- Annual Resource Management Planning System (ARMPS);
- Salary Management System (SMS);
- CRIS Allocation Tracking System (CATS);
- Facilities Division Management Information System (FDMIS);
- Acquisition Tracking System (ATS);
- FAADS, the Federal Assistance Awards Data System; and
- Budget Allocation System (BAS).
- HRIS Human Resources Information System

## ARIS Records Disposition Schedule



**Project Number is dynamic so Accession Number is used.**

**If project information is not collected, the Mode Code is used.**

### Technical Controls

An audit trail of ARIS data exists and is maintained. Access to Sensitive and Propriety data is controlled through the use of user profiles and rules of behavior.

ARIS Records Disposition Schedule

Item No.	Description of items and Proposed Disposition	GRS or Superseded Job Citation	Action Taken NARA Use (Only)
	<p style="text-align: center;"><b>Agricultural Research Service</b></p> <p><u>Agriculture Research Information System (ARIS)</u>                      The Agricultural Research Information System (ARIS) is the integrated research project documentation and retrieval database system containing management data on approximately 1000 in-house research projects and all Extramural Research projects.</p> <p>The ARIS database structure includes six separate relational databases that retrieve information from one primary database, Research Doc. The primary field which links all subsystems is the Project Number (Accession Number). The Research Doc database is where users input, retrieve, and maintain the complete data life cycle for research project information. The databases serve both as a system management tracking and reporting tool for active data and also as a repository of legacy data. The Cooperative State Research Education and Extension Service (CSREES) maintains a database of all significant information relating to ARS projects in the Current Research Information System (CRIS), which is scheduled for permanent retention under N1-164-92-1. This information is also contained in ARIS, along with ARS administrative and budgetary project information not contained in CRIS.</p>		
1.	<p><u>Research Doc\Extramural Agreements Database:</u> An integrated database system used to maintain research progress, project classification, research objectives, anticipated outcomes, research accomplishments, and budgetary data. The system provides source data used to create, update, or modify research active and work file data on proposals, approval status, awarded funding data, statement of work, administrative subject matter information, personnel, authorizations, and other related information.</p> <p>a. <u>Inputs:</u></p> <p>(1) In-house Appropriated and Interagency Agreements include Form 416/417 - Research Work Unit/Project</p>	NC1-310-80-2, Item 111a	





ARIS Records Disposition Schedule

Item No.	Description of items and Proposed Disposition	GRS or Superseded Job Citation	Action Taken NARA Use (Only)
	<p>years after cutoff.</p> <p>(6) Foreign Travel records contain information regarding foreign travel undertaken to attend international meetings, work-related foreign travel, and passport tracking.</p> <p>(a) Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule.</p> <p>Disposition: Temporary. Cut off at the end of the travel year. Destroy/delete 2 years after cutoff.</p> <p>(b) Accountability records documenting the issue or receipt of accountable documents.</p> <p>Disposition: Temporary. Cut off at the end of the travel year in which after all entries are cleared. Destroy/delete 1 year after cutoff.</p> <p>(c.) Post Doc Forms.</p> <p>Disposition: Temporary. Delete when verified as accurate.</p> <p>b. <u>Master Files:</u></p> <p>(1) Technology Transfer database is used by the technology transfer coordinators to facilitate technology transfer activities by maintaining data on technology transfer agreements or CRADAs. The Cooperative Research and Development Agreement (CRADA) program is the primary tool linking government and industry researchers. This program, authorized under the Federal Technology Transfer Act of 1986, allows federal laboratories and businesses to form commercial partnerships that help move new technologies into the marketplace to enhance</p>	<p>GRS 9, Item 4a</p> <p>GRS 9, Item 4b</p>	

ARIS Records Disposition Schedule

Item No.	Description of items and Proposed Disposition	GRS or Superseded Job Citation	Action Taken NARA Use (Only)
	<p>global and domestic competitiveness. The system includes metadata on technology transfer agreements, confidentiality agreements, material transfer agreements, and cooperative research and development agreements and also data required for project deliverables including performance and financial reports, period of performance, project number, and some elements of the statement of work. Data in this system span the years 1983 to present.</p> <p>Disposition: Temporary. Cut off files at the end of the fiscal year. Delete 10 years after cutoff or when no longer needed for reference.</p> <p>(2) Foreign Travel Information System Database (FTIS) contains information regarding foreign travel undertaken to attend international meetings, work-related foreign travel, and passport tracking. The system is used as a planning and management tool to process all foreign travel and passport information. Data elements for foreign trip information include: name of traveler, destination, purpose of the trip, estimated cost of the trip, and the source of funds for the trip. Data in this system span the years 1983 to present. The active FTIS file contains data for each leg of a foreign trip.</p> <p>Disposition: Temporary. Cut off at the end of the travel year. Delete 2 years after cutoff.</p> <p>(3) All other master files.</p> <p>Disposition: Temporary. Delete when no longer needed for reference.</p> <p>c. <u>Outputs</u> include ad hoc reports and queries.</p> <p>Disposition: Destroy/delete when no longer needed for reference.</p> <p>d. <u>Documentation</u> such as codebooks, data dictionary, files</p>	<p>GRS 20 Items 5 and 6</p> <p>GRS 20 Item 11a(1)</p>	

ARIS Records Disposition Schedule

<b>Item No.</b>	<b>Description of items and Proposed Disposition</b>	<b>GRS or Superseded Job Citation</b>	<b>Action Taken NARA Use (Only)</b>
	<p>specifications, record layouts, and user guides.</p> <p>Disposition: Temporary. Destroy/delete upon authorized deletion of the related electronic records, or when superseded or obsolete.</p>		