

NORTHERN PLAINS AREA
Policy Memorandum

DATE:	March 14, 2008
SUBJECT:	Incoming Agreements (formerly called the ARS-425) Authorization to Apply For and Use Funds from Outside Sources (any Non-ARS entity)
NUMBER:	PM-06-003
EFFECTIVE DATE:	Immediately Until Replaced or Superseded (Replaces PM-06-003 dated April 7, 2006)

1. Purpose

The Incoming Agreement (formerly called Form ARS-425, Authorization to Apply For and Use Funds from Outside Sources), is used to document cooperative and/or collaborative research efforts, whether coded as Research, No Funds to ARS or when receiving funds in support of ARS research programs. An Outside Source is any Non-ARS entity. The Area policy and procedures for the submission and approval of outside cooperation and/or collaboration activities, including competitive grant proposals and/or Trust/Reimbursable Cooperative Agreements, are outlined below.

- The NPA encourages scientists to submit competitive grant proposals of high quality and merit that support the mission of ARS, add value to the research program, and will supplement without detracting from the programs of the scientist and the Research Unit performing the work.
- Scientists are also encouraged to engage in partnerships with minority and underserved organizations and institutions that will strengthen their relationships through the exchange of research ideas and techniques and enhance communication and interaction.

2. Benefits

The Area Office will utilize the Incoming Agreement report features now available in ARIS to generate information and data on outside cooperation and/or collaboration efforts with Historically Black Colleges and Universities, Hispanic Serving Institutions, Tribal Colleges and Institutes, county and state agencies, 1890 Institutions, etc., thereby reducing the impact on the Location/Unit in preparing responses to these types of reports.

The Area Office will be able to generate the information for various data calls, such as the Civil Rights/EEO quarterly reports, by having the research units expand upon the information entered into the Incoming Agreement section in ARIS.

3. **Changes in the Incoming Agreement submission process**

- Research cooperation/collaboration actions will be entered via the Incoming Agreement to document relationships with Historically Black Colleges and Universities, Hispanic Serving Institutions, Tribal Colleges and Institutes; and county and state agencies.
- Proposed research cooperation/collaboration with the above entities can be coded as Research, No Funds to ARS, when the ARS scientist is acting in an advisory or project consultation role, providing technical assistance, or promoting institutional partnerships.
- Trust Fund and/or Reimbursable Cooperative Agreements (including Interagency Reimbursable Agreements), CRADAs, 1890 Capacity Building Grant Program, and the competitive grant proposals (NRI/CSREES, NSF, etc.), will continue to require an Incoming Agreement.

4. **Requirements for Submission of an Incoming Agreement**

1890 Capacity Building Grant Program (CBGP) proposals:

- Require an Incoming Agreement identifying the Original Source of Funds as the 1890 CBGP (ARIS code 3404), the Direct Source of Funds code will identify the University partner, and the Summary of USDA/1890 Cooperation form must be forwarded to the Extramural Agreements Section in order to obtain the signature of the Area Director. See the attached list for qualified 1890 universities and institutions.

Cooperation/collaboration with Historically Black Colleges and Universities, Hispanic Serving Institutions, Tribal Colleges and Institutes, and county and state agencies:

- Incoming Agreement submissions must be entered to document a cooperative/collaborative relationship with these entities and will **not** require any additional documentation or paperwork be submitted to the Area Director.
- The Incoming Agreement will be used by Area Office personnel to generate information for various data calls, such as the Civil Rights/EEO quarterly reports.

Competitive Grant Proposals (CSREES, NRI/CGP, NSF, etc.):

- All proposals for competitive grants must be forwarded to the Area Office Extramural Agreements Section for review and approval prior to submission to the granting organization or agency. Please refer to Policy and Procedure (P&P) 321.1, Acceptance of Non-Appropriated Funds to Conduct Research and Perform Services,

and P&P 324.0, ARS Reimbursable and Trust Fund Agreements for ARS policy concerning these applications.

In addition, the following procedures apply within the Northern Plains Area:

- Complete the Pre-Award Letter of Intent (LOI) and Incoming Agreement (one data entry for two separate items), Authorization to Apply For and Use Outside Funds, in ARIS. The template for the LOI/Incoming Agreement is attached.
- Prepare the proposal/competitive grant application package by following the criteria/guidelines issued by the granting organization.
- **At least one week prior to the granting organization's due date for proposals**, forward your proposal package to the Office of the Area Director. The competitive grant proposal package must include the following:
 - a. Budget pages and any other pertinent information related to the grant proposal.
 - b. The Area Director is the Authorized Designated Agency Representative and is responsible for final approval of the proposal. The research unit is responsible for submitting the proposal electronically to the granting organization.
 - c. The proposal must be resubmitted to the Area Office for additional review and approval if substantial modifications are made to the project proposal and/or budget after the initial submission to the Area Director.

5. Letters of Support

- Examples of Letters of Support can be found at the Grants and Agreements link on the NPA website at <http://www.ars.usda.gov/npa/grants>.
- If a Letter of Support is required for the grant proposal package: e-mail the draft to the Extramural Agreements Office for review, editing, and to expedite the process. The Letter of Support will be signed by the Area Director and returned to the scientist/unit.

6. Competitive Grant Proposals: Process, Procedures, Examples and Helpful Hints

For further information on preparing the grant proposal and budget, please contact the Area Extramural Agreements Office or the Grants and Agreements link on the NPA website at <http://www.ars.usda.gov/npa/grants>.

7. Questions about Historically Black Colleges/Universities, Hispanic Serving Institutions, or Tribal Colleges/Institutes

For further information, please contact the Area EEO/Civil Rights Office or the EEO/CR/Diversity link on the NPA website at <http://www.ars.usda.gov/npa/eo>.

8. **Letter of Intent/Incoming Agreement, ARIS assistance, establishing new Source of Funds codes, questions**

For further information, please contact the Area Extramural Agreements Office or the Grants and Agreements link on the NPA website at <http://www.ars.usda.gov/npa/grants>.

/s/

W.H. Blackburn
Director
Northern Plains Area

Attachments:

Letter of Intent/Incoming Agreement Template

Combined Letter of Intent/Incoming Funds Agreement ARIS Template: Request for approval to apply for, accept& use funds (or participate in an advisory/collaborative role with no funds to ARS) with any Non-ARS (Outside) Source **(Released 02/05/08)**

Items highlighted in yellow are required.

Blue Print: Tips/general information to assist with data entry. **Green Print:** Examples of the information requested.

Start Date:	Format: mm/dd/yyyy (limited to five (5) years maximum)
Term Date:	Enter the estimated Start and Term Dates for the project (not the date it is entered into ARIS)

Contact:
(Last, First, MI of the ARS SY submitting the Letter of Intent/ARIS approval documents)

Phone:
(Please use a dash or period in between the numbers, do not run the numbers together when entering into ARIS)

Type (role of the ARS SY)	Principal = ARS SY will be responsible for the project Co-Principal = Has some responsibility for the project, but is submitting with a university PI Secondary = Advisory, Collaborative, Assistance Type role, but no project responsibility
----------------------------------	--

Type of Agreement	Select Reimbursable when coded as Research, No Funds to ARS
Trust Fund:	Funds come into ARS via a Check from the Outside Source before the work is started
Reimbursable:	Funds are not received in the Unit until after ARS submits an invoice for reimbursement

Primary Agreement Holder	
YES	Yes = The Unit scientist will receive either some or all of the proposed funds.
NO	No = Use only when coded as Research, No Funds to ARS.

Award Date and Agreement Number blocks:	Leave blank, added by the NPA Agreements Section later.
--	---

Primary Agreement Proposed Total Funds: \$	Enter only the dollar amount ARS will receive, use the Remarks to indicate the full proposal amount Leave blank if coded as Research, No Funds to ARS
---	--

Purpose of Funds (mark one)	
Res/\$25,000 or less:	ARS will receive less than \$25,000 and only the Incoming Agreement is entered into ARIS
Res/\$25,001 or more:	ARS will receive \$25,001 or more and a 416/417 will be entered into ARIS (we will tell you when to add the 416/417 to the Incoming Agreement)
Res/No Funds to ARS:	ARS will not receive any money. The ARS PI is participating in an advisory capacity.

Remarks (Examples: (#1) PI on a CSREES proposal in the amount of \$350,000; (#2) Co-PI on a CSREES proposal submitted by KSU in the amount of \$350,000 and ARS will received \$125,000; (#3) Co-PI on a CSREES proposal submitted by NDSU in the amount of \$200,000 with no funds to ARS).

Source of Funds (SOF): Identify the Non-ARS organization the proposal will be sent to.	Original SOF is an Optional entry: <ul style="list-style-type: none"> Complete the Original SOF block if funds will flow from CSREES to a University, and then to ARS as a "flow-down" sub-award. Or if the Univ. is submitting the proposal and ARS = Research, No Funds to ARS.
Original SOF: (CSREES)	Direct SOF is a Required entry: <ul style="list-style-type: none"> CSREES is the Original SOF because they will receive the proposal. The University submitting the proposal is the Direct SOF because they will receive the funds from CSREES.
Direct SOF: (Kansas St. Univ)	<ul style="list-style-type: none"> If ARS is submitting a proposal without any cooperators, then only the Direct SOF block is marked to indicate the organization soliciting the proposal. Examples: <i>National Sunflower Assoc.; National Cattlemen's Beef Assoc.; American Malting Barley Assoc., University submitting the proposal to CSREES, NRI, NSF (whether ARS receives funds or not).</i>

This Section/information is for the ARIS data entry person in order to select the correct information in ARIS.

IPSC: If this box says *Always Waived* then the **Requesting Waiver block = Leave Blank**

If this box says *Never Waived* then the **Requesting Waiver block = OK to take Overhead**

If this block says *Can Request Waiver*: Select **OK to take Overhead** unless one of the criteria below applies (see A thru D)

This Section/information is for the ARS Scientist and provides information on overhead, which needs to be included in the proposal budget. Please call the Agreements Section for assistance or if there are questions.

IPSC Waiver: (Indirect Program Support Costs/overhead). *If the research proposal does not fit one of the criteria listed below, then IPSC (overhead) is charged.* IPSC = 10% of the gross dollars received and is entered in the Other Costs block.

A. The proposed amount of the incoming funds is \$5,000 or less over the life of project.

B. Charging IPSC is expressly prohibited by statute or by the written bylaws of the organization providing the funds (HQ may request documentation to verify).

C. 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).

D. Research agreement is being entered into with a nonprofit organization as identified by the IRS or the National Directory of Nonprofit Organizations.

How are the funds coming into ARS to be used? Think of this section as a mini-budget explanation.

Leave this section blank if the Incoming Agreement is coded as Research, No Funds to ARS

Supplies: \$

RSA: \$

(Restricted/limited use, contact Jim Quaratino/ 970-492-7029)

Other Fed. Salaries: \$

(Use for post-doc, temp. technicians, grad. students. **Reminder:** Incoming "soft funds" cannot be used for Cat. 1 or 4 salaries)

Equipment: \$

Travel: \$

Other Costs: \$

(Use for IPSC; publication costs; computer costs; Specific Coop. Agreement funds)

ARS FTE #:

Enter the **F**ull **T**ime **E**quivalency for the entire period of the proposal (not just for one year).

(Required entry if funds are entered in Other Fed. Salaries block above; use 0.10=10%, 0.25=25%, etc.)

ARS Contact Financial Dealings (conflict of interest)

Do you, or any full-time resident of your household, have any activity or financial interest (dealings) with the Source of Funds Org(s)? **If Yes, provide an explanation/details:**

Yes

No

Objective (3,200 character limit):

Approach (3,200 character limit):

Keywords (enter on individual lines in ARIS; phrases are entered on one line (e.g., *Integrated Pest Management*)).

Title of Proposal (140 character limit, avoid abbreviations if possible; do not put a period (.) at the end).

Type of Work to be Completed:

Deliverables-What will ARS do on this project, what will they provide to the Non-ARS organization?

Work to be performed

In-house:

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:

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:

Extramural: Select this if all the funds ARS receives will go back out to a Univ. thru a Coop. Agrmnt. (Be prepared to explain why ARS is not retaining any of the funds)

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 Univ. thru an Outgoing Coop. Agreement

Identify the related in-house/parent D project number (Example: 5402-21660-088-00D)

NOTE:

- The related in-house D project that is 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 Incoming Agreement and Letter of Intent.

Is the proposed research directly related to the in-house/parent D project of the ARS SY? If NO, provide an explanation as to why the scientist is participating in a proposal and/or submitting a request for funds.

YES

NO

Relevance to the Parent D project identified above: (A) Identify the Objective/subobjective, milestone, and deliverables from the parent project that this project will relate to; (B) List the amount of time and effort the ARS SY(s) will be putting into this project; and (C) Explain how participating in this project will benefit your CRIS Project.

Example: This project relates to parent project subobjective 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 CRIS 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 CRIS subobjective 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).

Coding: Codes automatically pull in from the parent project. **Suggestion:** Print a current copy of the related in-house D project to review and identify the appropriate codes for the Incoming Agreement ARIS entry. All codes on the D project can be selected, or just some of the codes, but a minimum of one code in each category is required (mark it as 100% if using only one).

Indicate % of this proposed project that supports the code(s) identified for each category (cannot leave any blank).

Field of Science; RPA = Research Problem Area; SOI = Subject of Investigation; Sub-Activity Classification Codes
STP Codes = Strategic Plan; National Program (NP codes cannot be changed).