

## **Chapter 4D. Extramural Agreements**

### **Chapter 4D. Extramural Agreements (Specifics, Contracts, Grants, MOUs & NFCAs)**

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## **Chapter 4D. Extramural Agreements (416/417/550A)**

The 416/417 and 550A are needed when funding is being placed in an Extramural Agreement, such as a Specific Cooperative Agreement (S), Contract (C), or Grant (G), or if a Memorandum of Understanding (M) or Non-Funded Cooperative Agreement (N) is established.

### ***Adding a New Extramural Agreement (416/417):***

(For adding the 416/417, See Chapter 4A. 416/417 Research Projects).

### ***Noted differences on the 416/417 for an Extramural Project:***

#### **Project Info screen:**

*Project Type:* should always be one of the following: S - Specific Cooperative Agreement, G - Grant, C - Contract, A - General Cooperative Agreement, M - Memorandum of Understanding, or N - Non-Funded Cooperative Agreement.

*Project Start:* should always be “Extramural 550A”.

*Institute:* Must never be ARS. It should always be the institute that is receiving the funding.

*Cooperators:* Check the box(es) that apply to the extramural agreement.

*Agreement with:* Should be either SAES or Other. It should never be “None.”

*Award Date and Agreement Number:* These are required to move the project from pending to active status. Agreement number should always be entered before sending to NPS for approval.

#### **Investigators screen:**

The ADODR should always be listed first and marked as Principal Investigator. This information will propagate to the 550A.

*No SY time should be listed on any extramural agreements.*

Non-ARS Investigators may be entered on the investigator screen for extramural projects. Usually the Lead PI or CoLead PI for the outside institution is entered here.

## 417 Codes Screen:

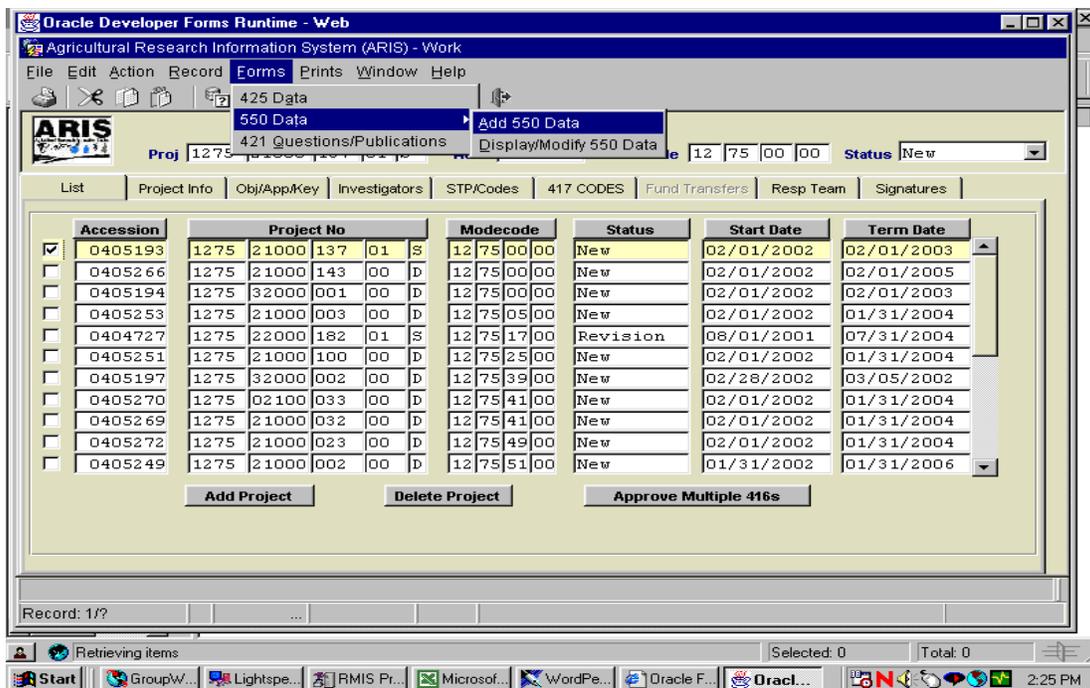
Follow the 416/417 coding information, with the exception of the Special Classification. Farm Bill (FBP) codes and Sustainable Agriculture (AG) codes are not required on extramural projects.

## Fund Transfers screen:

There is no fund transfer screen. Funding information will be shown on the 550A for extramural projects.

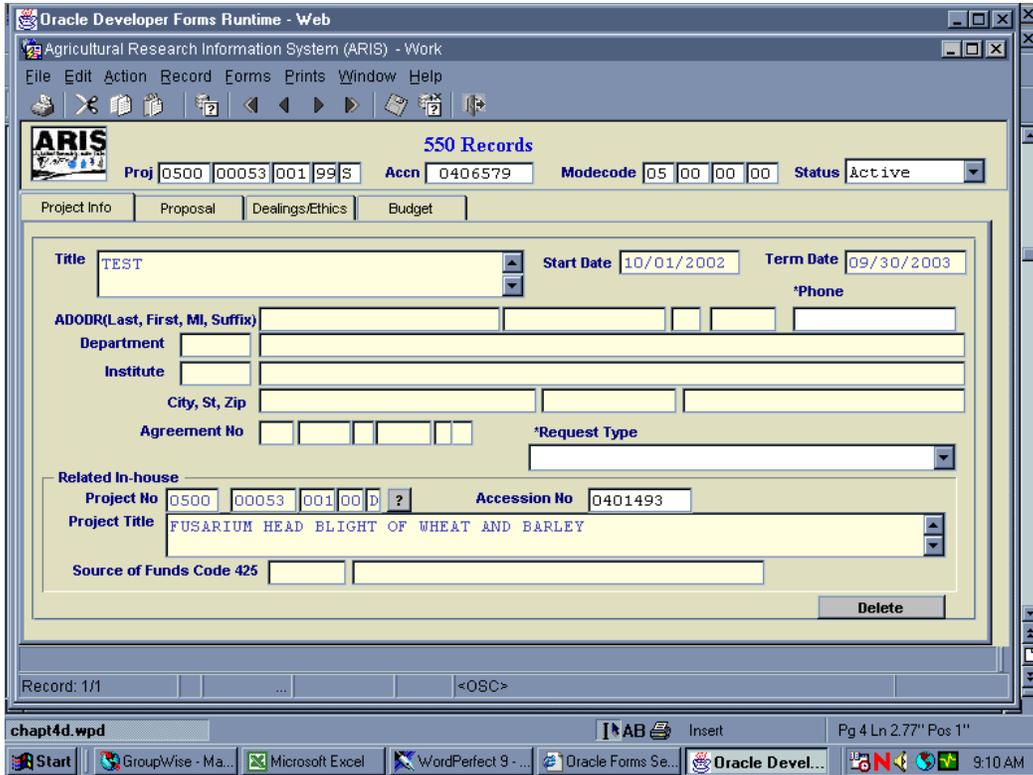
## Adding the 550A:

Once the 416/417 is complete, from your Work file List screen, click on “Forms,” “550 Data,” and “Add 550 Data” from the toolbar (fig. 1). The 550 will then be displayed (fig. 2). Some of the data from the 416 will propagate to the 550, such as the title, start and termination dates, and the ADODR (Principal Investigator).



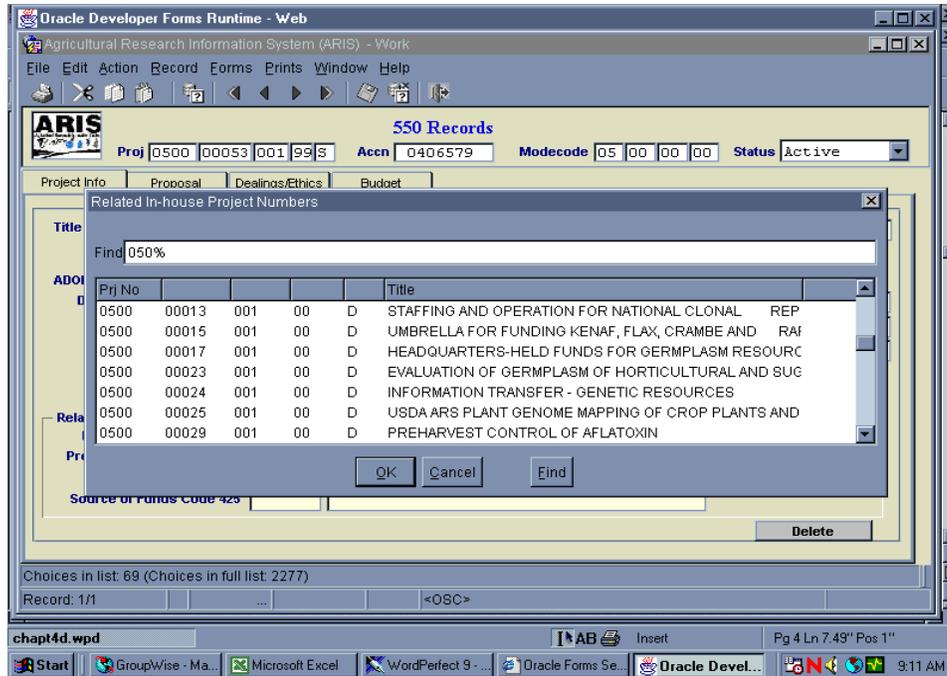
(Fig. 1)

You will need to add the telephone number for the ADODR and the request type. The request type can be chosen from the List of Values (LOV). The Related In-house project number will propagate in based on the project number assigned. The Related In-house project is usually the associated “D” project. However, if a 550 is being fully funded for the life of the project by a Reimbursable agreement, then the Reimbursable project number can be inserted here to replace the inhouse project number. The Source of Funds name and code will then be displayed automatically by the system.



(Fig. 2)

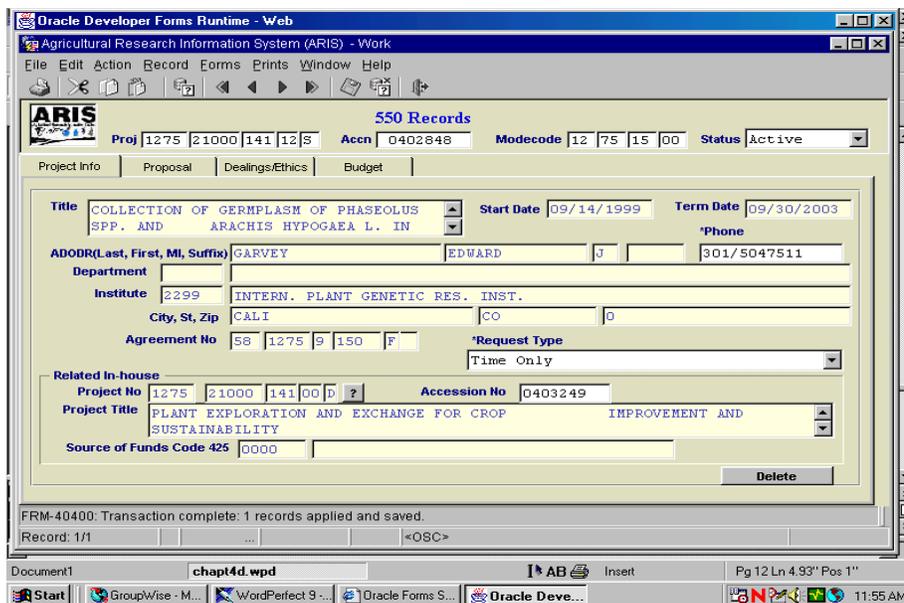
To choose a different related project, click on the “?” and a listing of active projects will be displayed (fig. 3).



(Fig. 3)

Find the appropriate project number, highlight it, then click “OK.” The project number will be automatically inserted into the 550. In addition, the system will insert the title and accession number (fig. 4).

Once all the data is entered on the Project Info screen, click on the Proposal tab, and the blank Proposal screen will be displayed (fig. 5).



(Fig. 4)

On the Proposal screen, *the reason research cannot be performed by ARS scientists, Extramural Investigator and title, and Statement of Work to be Performed* are entered.

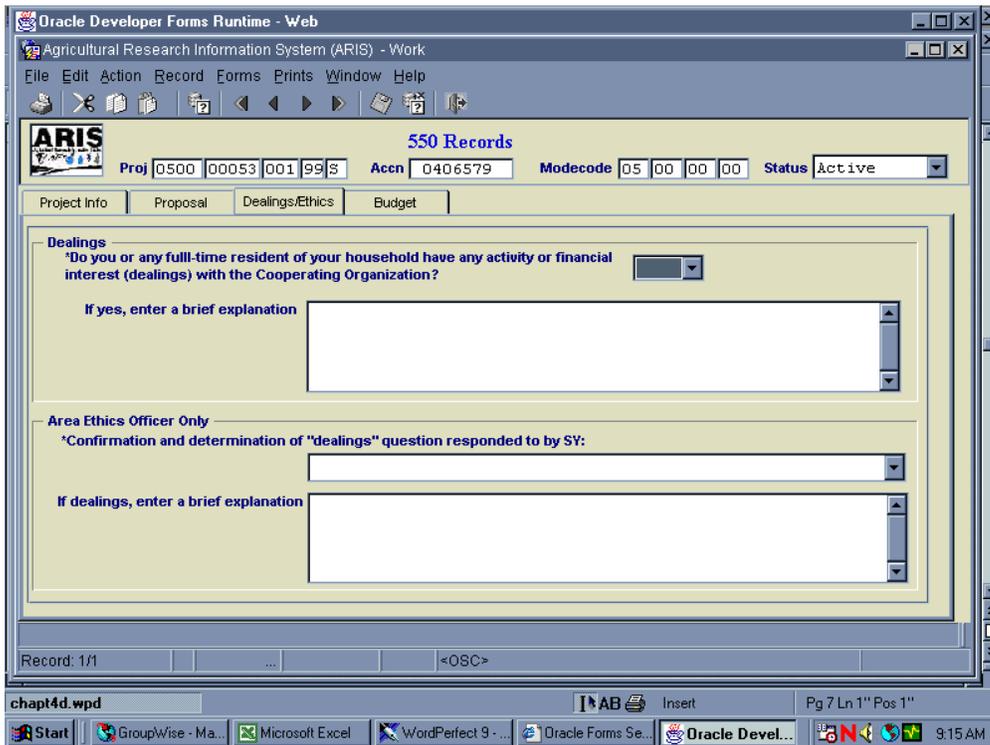
In addition, *Research Location* is chosen from a LOV. Indicate whether research is being performed at an ARS Facility or a Non-ARS Facility.

*Report Frequency* must be indicated. The options are Quarterly, Semi-Annually, or Annually. The First and Final Report dates must also be indicated. (REMINDER: As extensions of time are requested, the final report date must be modified to coincide with the termination date of the agreement.)

Oracle Developer Forms Runtime - Web  
Agricultural Research Information System (ARIS) - Work  
File Edit Action Record Forms Prints Window Help  
ARIS 550 Records  
Proj 0500 00053 001 99 S Acn 0406579 Modcode 05 00 00 00 Status Active  
Project Info Proposal Dealings/Ethics Budget  
\*Reason Research can not be Performed by ARS Scientist:  
Extramural Investigator  
\*Name (Last,First,MI,Suffix)      
\*Position Title   
\*Statement of Work to be Performed: \*Research Location ARS Facility  
\*Report Freq Quarterly \*1st Report Date  \*Final Report Date   
Record: 1/1 <OSC>  
chapt4d.wpd IAB Insert Pg 5 Ln 48.91" Pos 2.09"  
Start GroupWise - Ma... Microsoft Excel WordPerfect 9... Oracle Forms Se... Oracle Devel... 9:13 AM

(Fig. 5)

Once all information is entered, click on the Dealings/Ethics tab, and the Dealings/Ethics screen will be displayed (fig. 6).

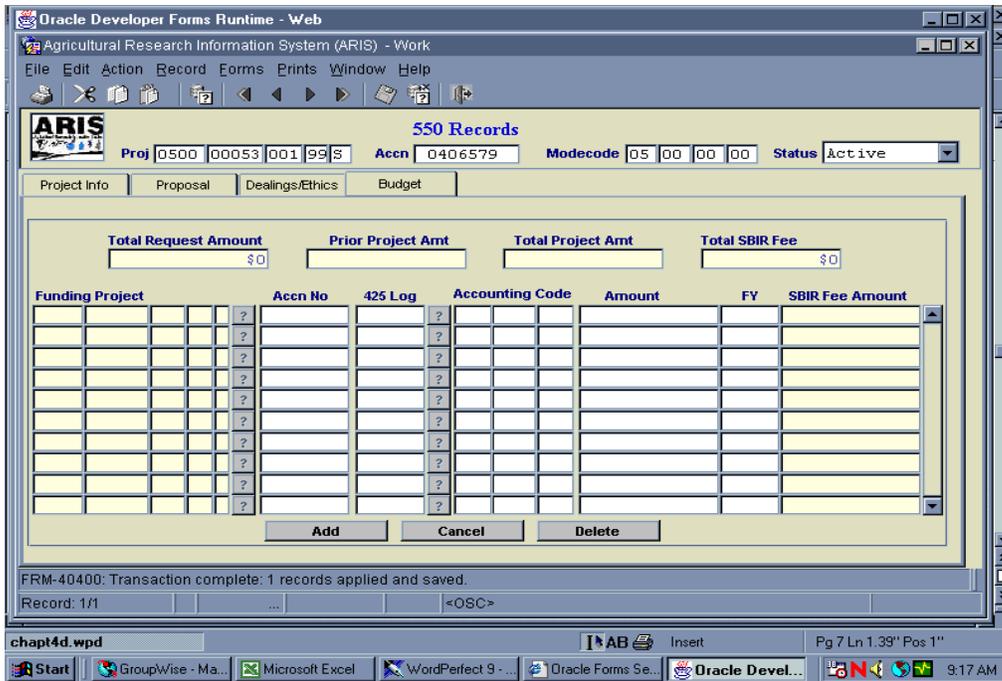


(Fig. 6)

The only data entry on this screen is to indicate if the PI has any dealings with the Cooperating Organization. Choose Yes or No. If the answer is Yes, a brief explanation is required. The Area Ethics Advisor Questions will be answered at the Area Level. Access is not permitted at the MU/Location Level.

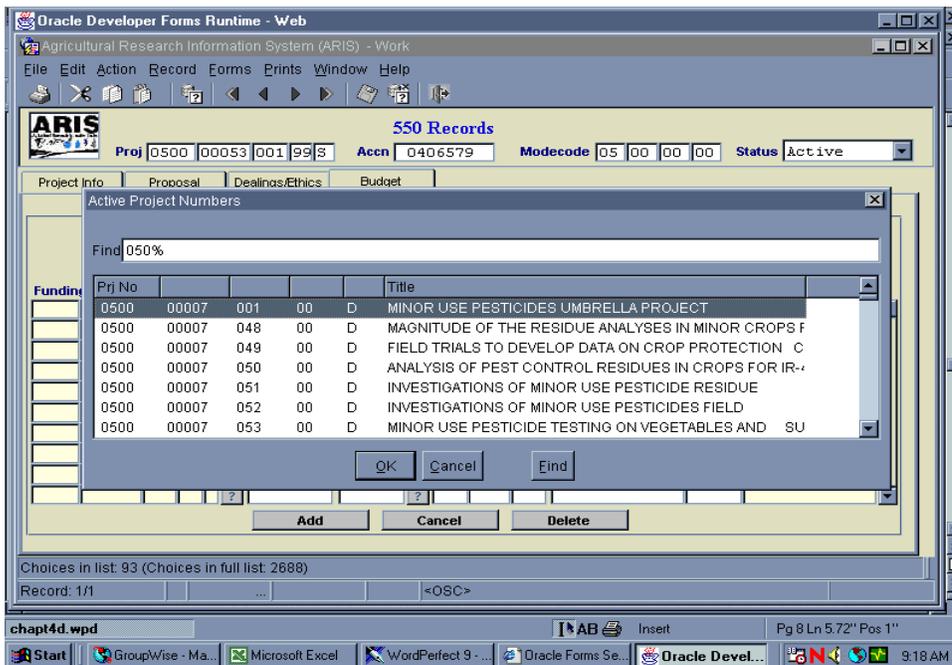
Once this information is entered, click on the Budget tab and the Budget screen will be displayed (fig. 7). **NOTE:** For M and N type agreements, the Budget tab will be grayed out. No entry is permitted on the Budget screen for these two types of agreements.

In order to add the budget information, click on the “Add” button at the bottom of the screen. The first line under the heading “Funding Project” will be highlighted (the “?” becomes black). You must click on the “?” in order to choose the project providing the funding. When you click on the “?” a listing of projects will be displayed (fig. 8). You can scroll through or search for the particular project.



(Fig. 7)

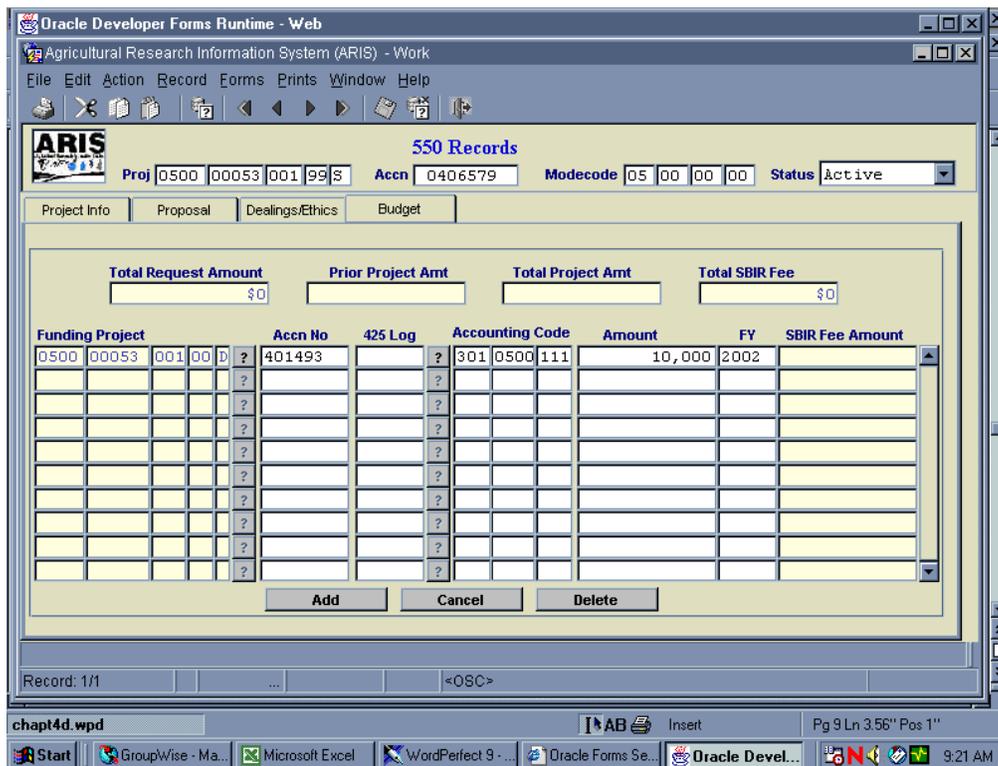
Highlight the project providing the funding, and then click “OK.” The project number and accession number will automatically be inserted in the Budget screen (fig. 9).



(Fig. 8)

Once the project number is inserted, add the accounting code, dollar amount, and Fiscal Year. The SBIR (SBG) Fee Amount will automatically be calculated by the system. Currently, 2.5% is taken from the funding project based on the giving amount.

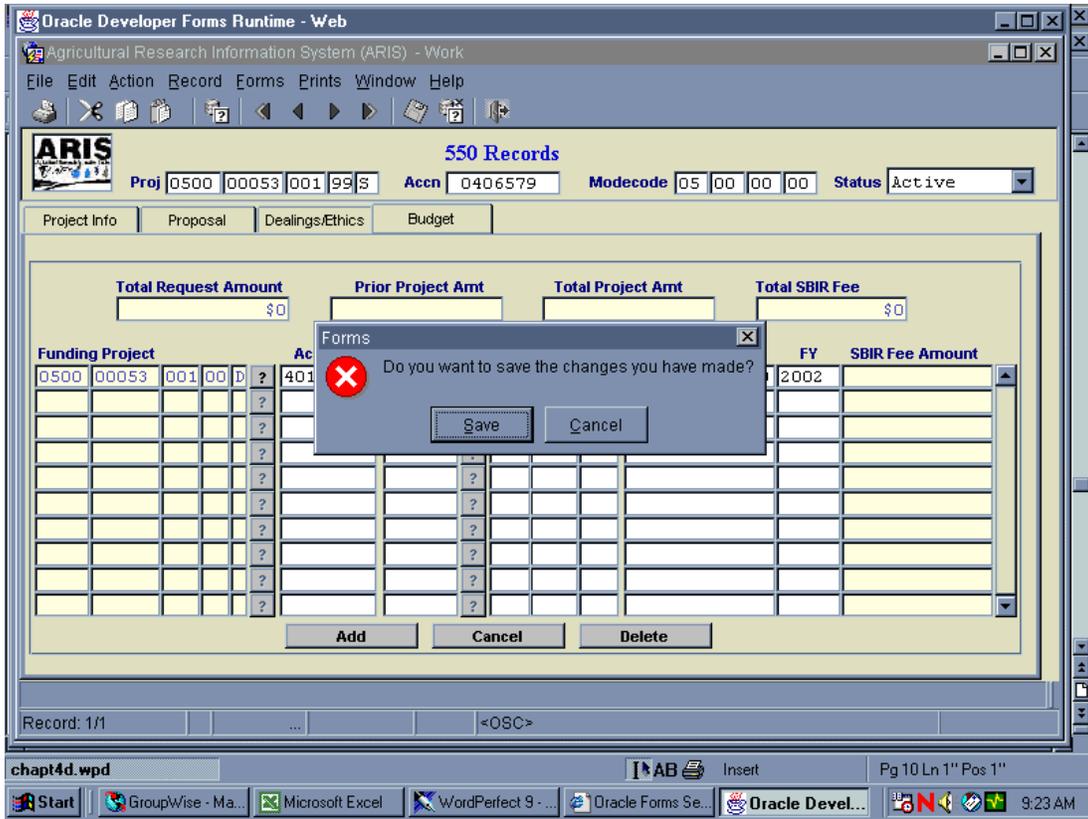
If the funding project is a 425 only, click on the “?” under the 425 Log heading and a listing of 425s will be displayed. Choose the appropriate 425 and click on “OK” and the 425 Log number will be automatically inserted in the Budget screen. No SBIR fee is taken on soft funding (reimbursable or trust funding - 425s). It is only assessed when Appropriated “D” funds are used as the giving project. After all funding projects have been added, click on the Project Info tab.



(Fig. 9)

The system will prompt you with “Do you want to save the changes you made” (fig. 10). Click on Yes, and you will be returned to the Project Info screen. The 550 data entry is now complete.

**NOTE:** There is a “Delete” button in the bottom right corner of the Proj Info Screen. By clicking on this Delete button, you will delete the entire 550 work record. Be absolutely sure that you want to delete the entire 550 before pressing this button. It DOES NOT delete the 416/417 portion of the work record, only the 550.



(Fig. 10)

Refer to Chapter 2 for Printing instructions.

**Note:** You will need to print the 416/417 - All three pages. In addition you will need to print the 550A.

Obtain signatures according to your Area's requirements/procedures and follow same procedures as in Chapter 4A for forwarding on to the next level.

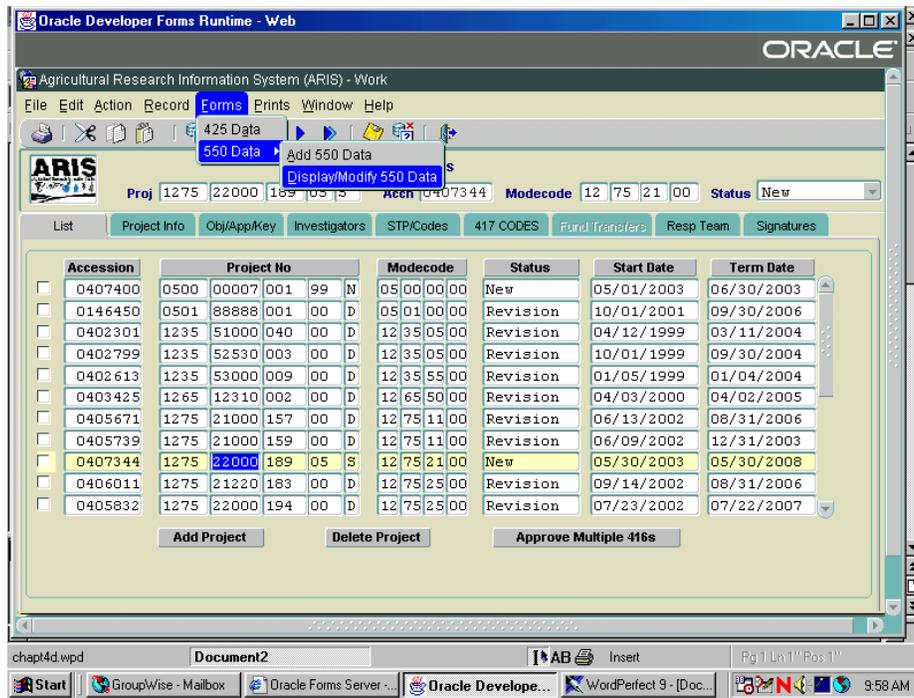
## Modifying Active 416/417 with 550A

When making changes to an extramural agreement, it is necessary to update the ARIS paperwork. The 416/417 and 550A must be updated when adding funds, extending the agreement, changing investigators, or for other information changes throughout the life of the project.

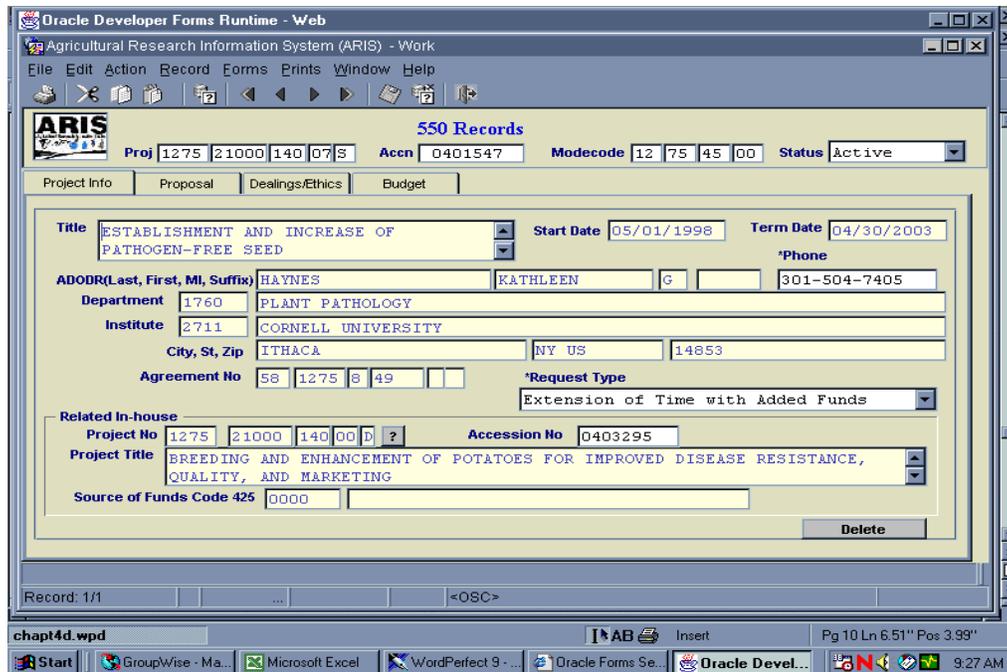
See Chapter 4A, pgs. 25-28, for instructions on creating a work record and modifying a 416/417.

### Modifying the 550A

Once all the necessary changes are made on the 416/417, from the List screen, mark the project which needs the 550A modification, and click on “Forms,” “550 Data,” and “Display/Modify 550 Data” from the toolbar (fig. 1). The 550 will be displayed (fig. 2).



(Fig. 1)



(Fig. 2)

Click on the appropriate tab and modify the 550 as necessary. Whenever the system displays the message, “Do you want to save the changes,” click “Yes” in order to save your modifications.

Once all modifications are complete, click on the Exit icon from the toolbar to return to your Work File List screen. From here you can print and approve your project. Follow the same procedures as in Chapter 4A.

### ***Delete Unwanted 550A and 416/417 Work File***

Follow the same procedures as in Chapter 4A for Deleting Work Files.

### ***Work Status of 550A with 416/417***

Follow the same procedures as in Chapter 4A for Work Status of 416/417.

### ***Print Approved Official 416/417 with 550A***

Follow the same procedures as in Chapter 4A for Printing Approved 416/417. NOTE: You will also need to print the 550A.

## Helpful Information - 550A

Project Number	System generated from the 416 data. Not modifiable on the 550
Mode Code	System generated. Not modifiable on the 550.
Title	System generated from the 416 data. Not modifiable on the 550. Must be modified on the 416.
ADODR	System generated from the 416 Investigator screen. Cannot be modified on the 550.
Telephone number	Enter the telephone number of the ADODR.
Agreement Number	This number will be entered by the Area Program Analyst. The Area PAO will supply the number.
Request Type	Options include: New Agreement, Extension of Time with Added Funds, Added Funds Only, or Time Only.
Start and Termination Dates	System generated from the 416 data. Cannot be modified on the 550. Must be modified on the 416.
Performing Organization	System generated from the 416 data.
Related In-house Project Number	The system will propagate in the inhouse project number. If a modification is required, choose from the LOV the project number that is related to the agreement. When the project number is chosen, the project title and accession number will automatically be inserted.
Reason Research Cannot be Performed by an ARS Scientist	State specifically why ARS is unable to conduct the proposed research at an ARS location.
Principal Investigator	Enter the PI for the cooperator (non-ARS) for the Extramural research as well as their position title.
Statement of Work to be Performed	Describe the scientific work to be performed under the terms of the agreement and identify the kind of product expected from the research.
Research Location	Indicate where the research will be located. Options are ARS Facility or Non-ARS Facility.

Report Frequency	Indicate how the reports will be due. Options include: Quarterly, Semi-Annually, or Annually. Dates for the initial report and final report must also be entered.
<b>550 Budget Information</b>	<b>(NOTE: Not used for M and N type agreements)</b>
Funding Project Number	Choose the project number that is providing the funding for the agreement. More than one project can fund an agreement at one time. This can also be a 425 only, in which case you would have a Log number instead of a project number.
Accounting Code	Enter the Accounting Code that is providing the funding for each project providing funds.
Fiscal Year (FY)	The fiscal year must designate the year for the funds that are being provided.
SBIR fee	The system calculates the SBIR (SBG) fee based on the dollar amount in the "Amount" field. SBIR is only assessed if the project providing the funding is a "D" appropriated project. No SBIR is assessed on soft funding (reimbursable and trust funding).
System calculations	The system will calculate the total requested amount, prior project amount and total project amount.