Meeting Logistics

- Listen only mode
- Group login – number attending in Q & A box
- Questions
  - Q & A box
  - Open lines periodically
- F5 full screen
- Will be recorded – Webinar, PowerPoint, and FAQ's will be available after the week of October 1

Lean Six Sigma (LSS)

Agreements Improvement Project
Phase 1

Agenda

- Overview of the LSS Process
- General System Changes
- Outgoing Agreements
  - Screens/Data Entry/Policies
- Incoming Agreement
  - Screens/Data Entry/Policies
- Supporting documentation/training materials
- Future Changes (integrated and time permitting)

General Changes

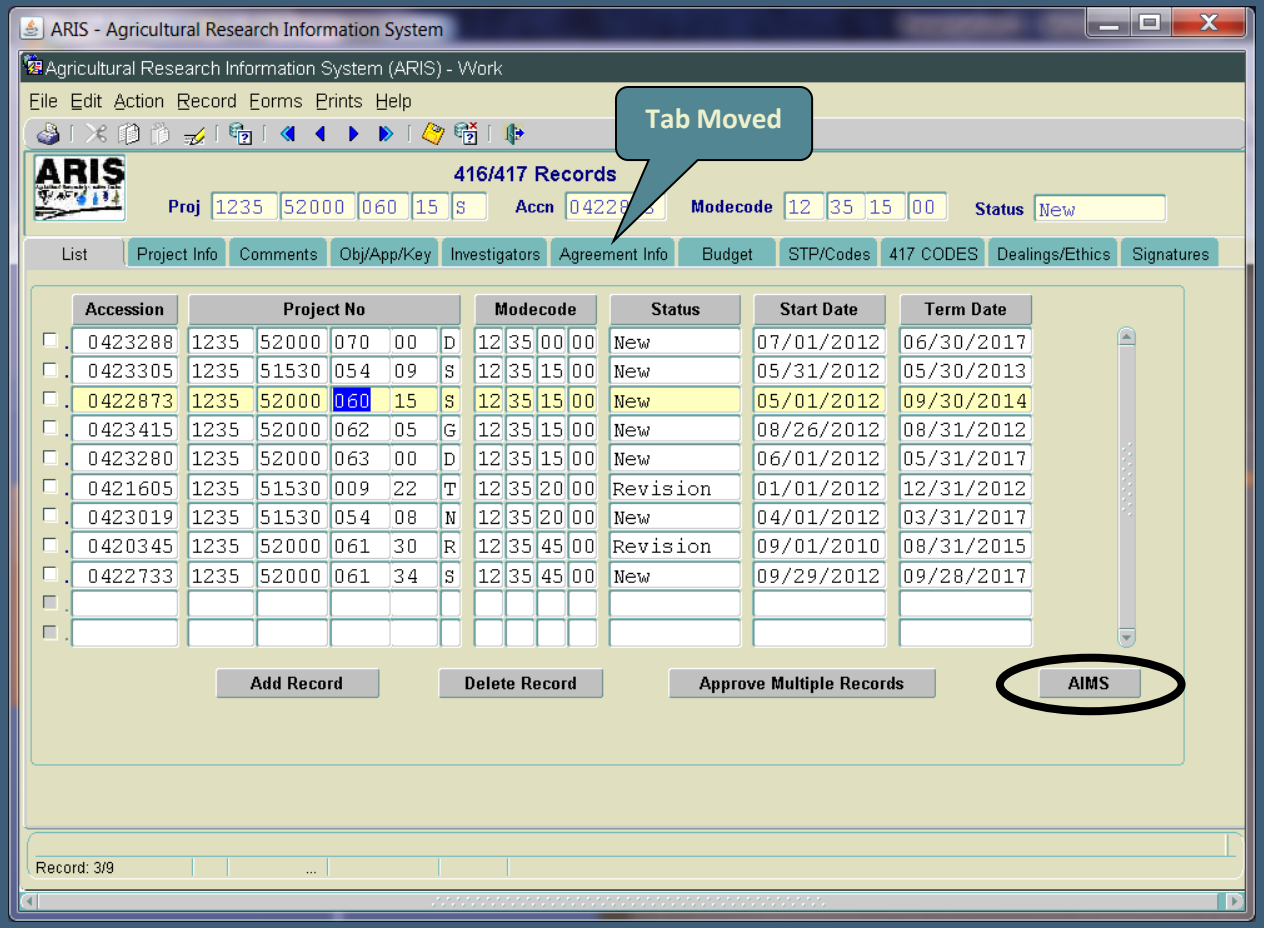
- Tooltips – scroll over
- Calendars
- Reordering tabs
- Turning On/Off fields
- Auto propagating of data
- Agreement Number autogeneration
- ADODR = “ARS PI”

General Changes

- Added “Go To” features
- Upload capabilities
- E-Green – Office File
- SEB-102 (Ethics requirements)
- All changes will be made in Work, Active, History, Status, Reporting forms, prints, and query fields
- Removed LOI

Outgoing Agreements

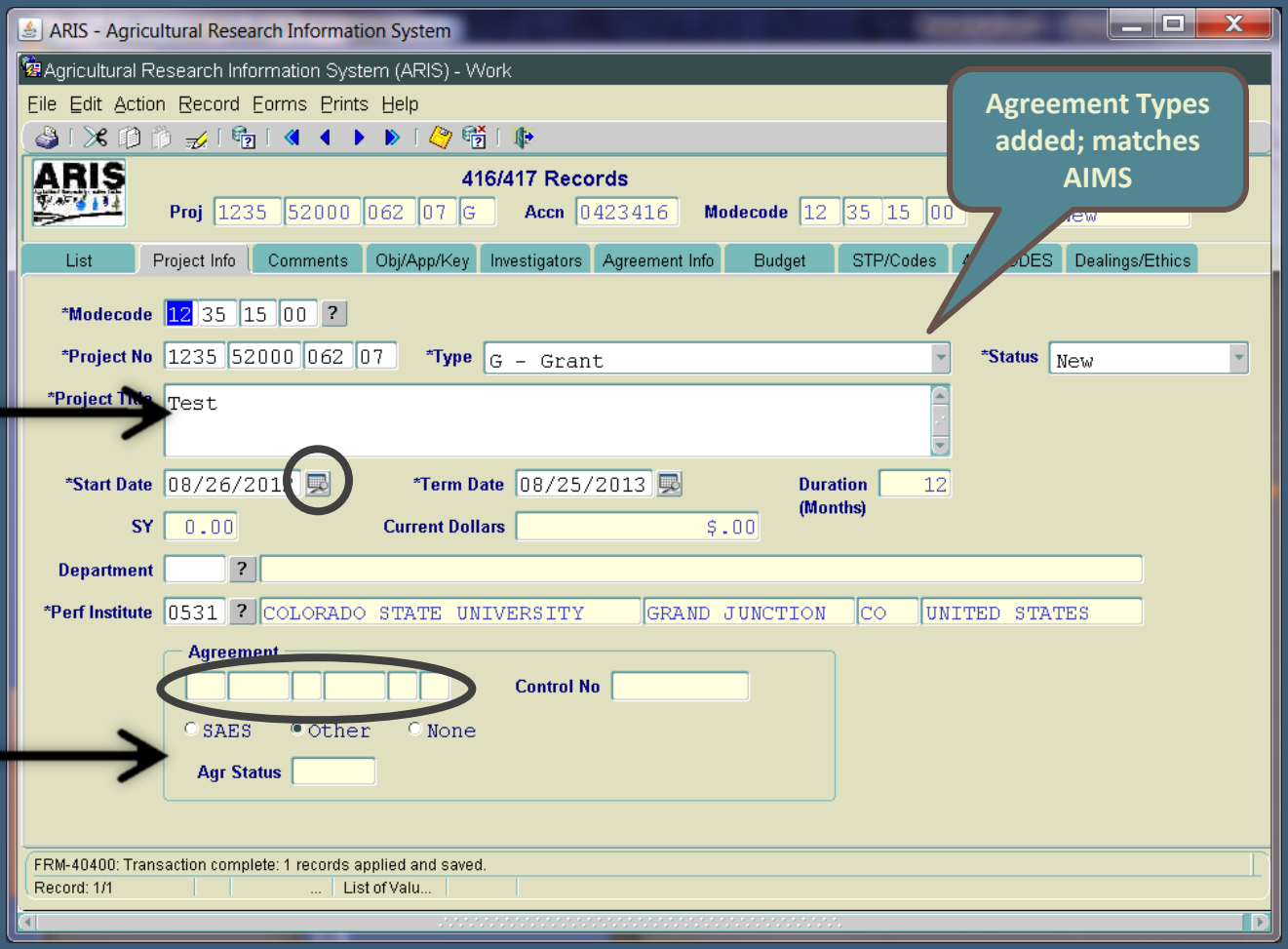
Outgoing – List Screen



Outgoing – List Screen

- Agreement Info tab moved to allow for identification of related inhouse project earlier
- Added AIMS button to go directly to AIMS screens from List screen
  - Multiple ways to enter AIMS from ARIS
- Modified buttons to “Add Record”, “Delete Record”, “Approve Multiple Records”

Outgoing – Project Info Screen



Outgoing – Project Info Screen

- Calendars added to select start/term dates
- Agreement # field:
  - autogenerated at the time AIMS is added for outgoing agreements;
  - nonmodifiable;
  - Foreign determination based on recipient table designation of domestic or international
  - Sequential numbering within location; starts new each FY
  - Conversion of existing data – agreement #s for existing agreements will auto populate

Outgoing – Project Info Screen

- Outgoing Agreement types added:
  - Outgoing Interagency (O);
  - Assistance Type Cooperative Agreement (ATCA) (A);
  - Standard Cooperative Agreement (B)
  - Grant (G) – modified in AIMS – was “Project Grant”
- Agreement types in ARIS = AIMS types
- Will auto propagate to AIMS from ARIS
- Can only be modified in ARIS

Outgoing – Project Info Screen

- Project Title - upper/lower case entry
- Slightly increased size to 148 characters (from 140)
- Tooltip added for Agreement type
- Tooltip added for SAES, Other, or None
- Modified label to “Performing Institute”
- Removed “Award Date” field

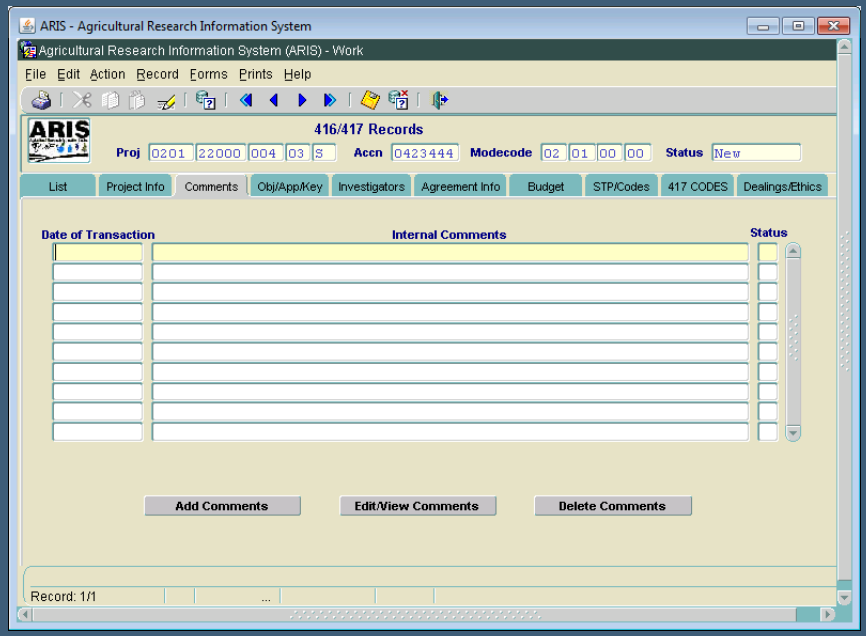
Outgoing – Agreement Number

- Autogeneration when AIMS record is created

- Agr No. Part 1: 58; 59; or 60 – based on agr type
- Agr No. Part 2: Location Code
- Agr No. Part 3: Last Digit of FY (FY indicator)
- Agr No. Part 4: Sequential number w/in the location & FY
- Agr No. Part 5: Foreign indicator – from recipient table
- Agr No. Part 6: MOU or NFCA indicator from Agr Type

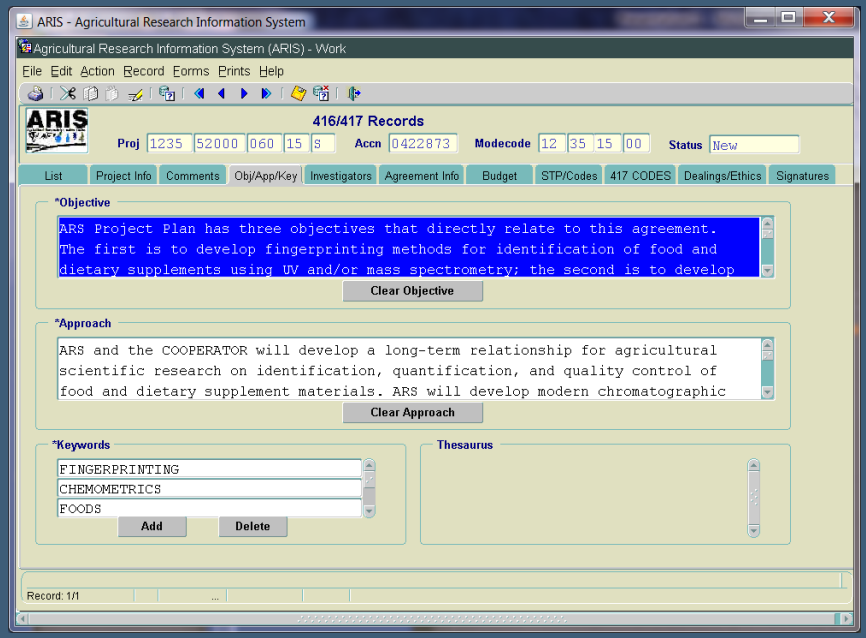
Outgoing – Comments Screen

- Changed heading to "Internal Comments" – indicates only used for internal purposes; not on executed agreement sent to cooperator
- Comments required for all work record transactions



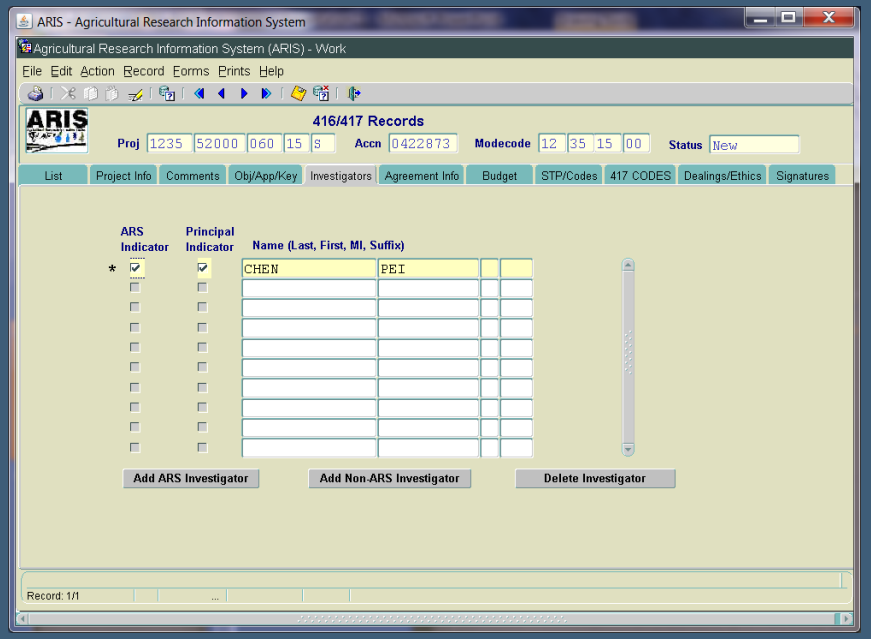
Outgoing – Obj/App/Key Screen

- Thesaurus – shut off for all agreements
- No other changes

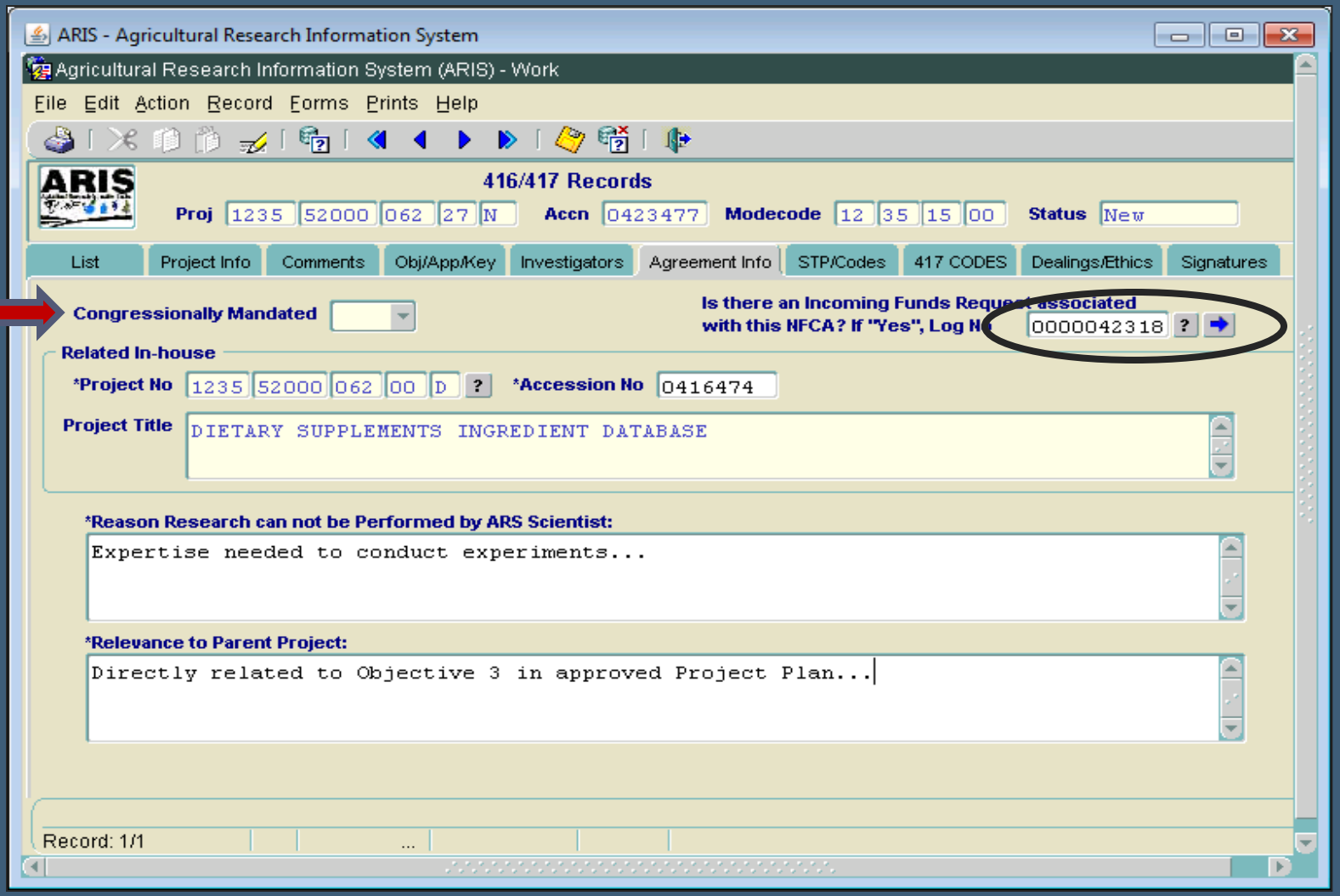


Outgoing – Investigator Screen

- Capability to add SY time is removed
- Default is 0.00 for reports and prints
- No other changes



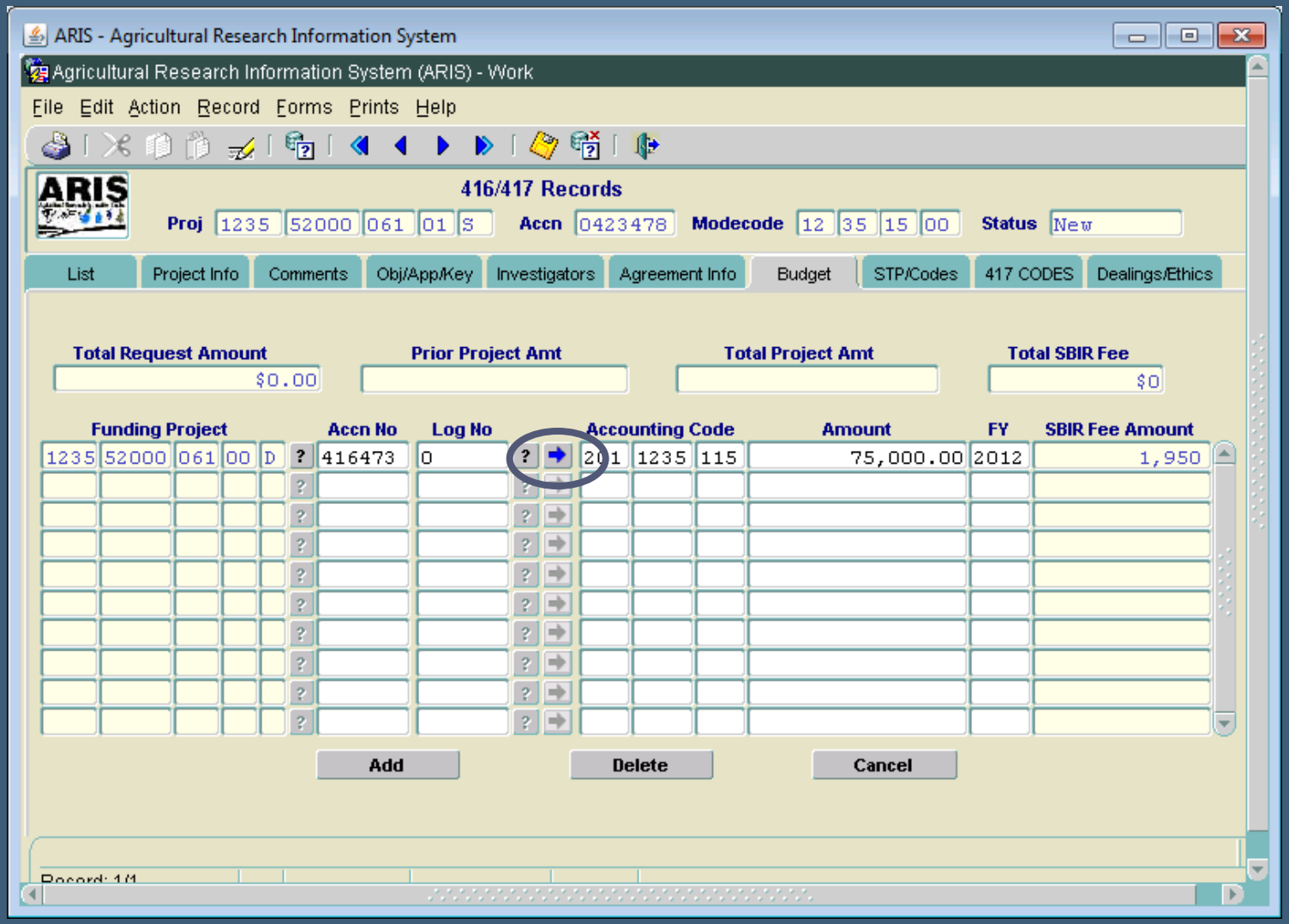
Outgoing -Agreement Info Screen



Outgoing - Agreement Info Screen

- Congressionally Mandated – yellowed out
- For NFCAs only, added Log No. field to connect to associated Incoming Agreement, if applicable
- Added Tooltip for "Reason Research Cannot be Performed by ARS Scientist"
  - "Provide specific expertise and/or experience the cooperator will provide towards the project's overall objectives"
- Multi Year section (3 fields) removed

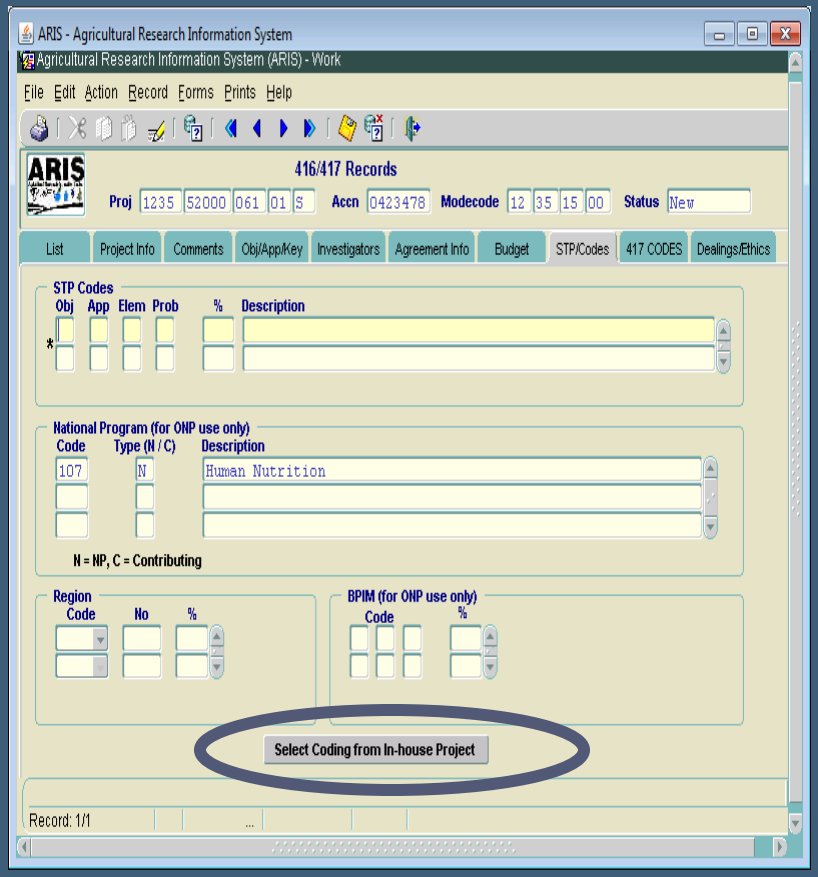
Outgoing - Budget Screen

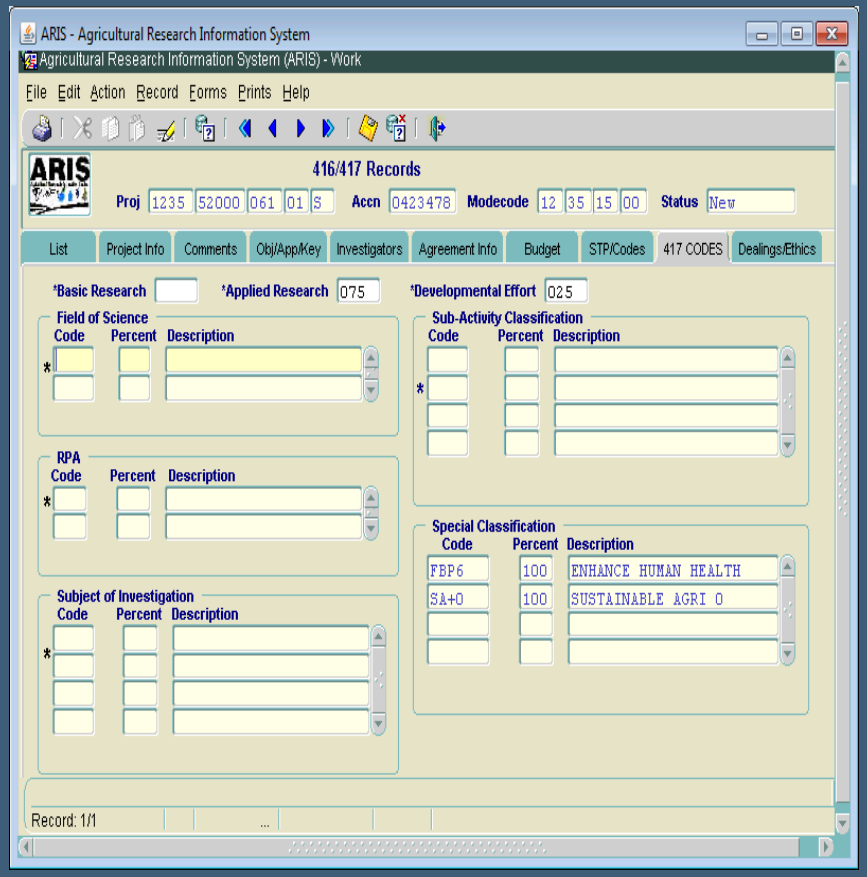


Outgoing - Budget Screen

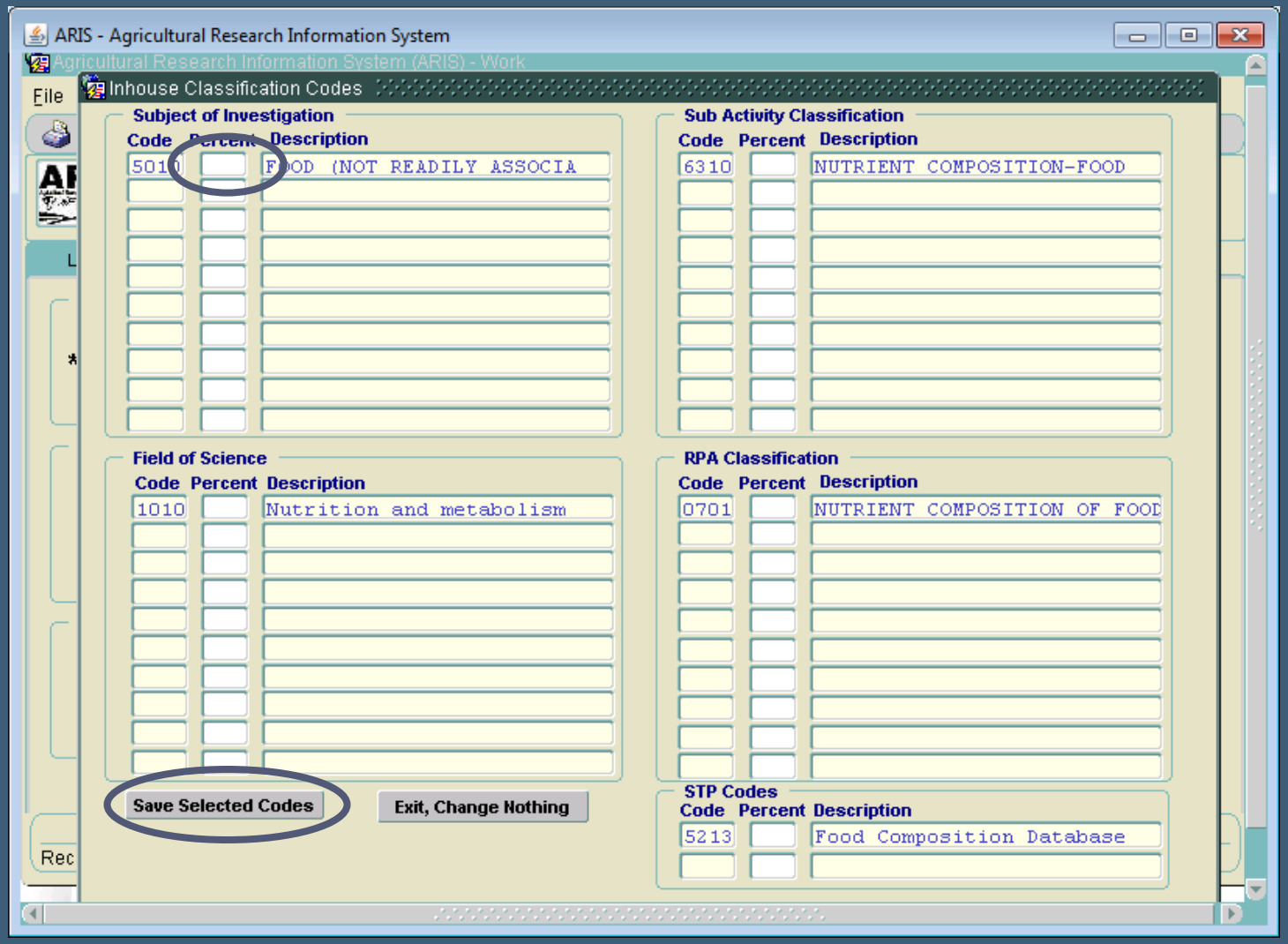
- Defaulting in Accession # and/or Log # when funding project selected
- Warning messages added for incoming funds scenarios, when used to fund outgoing agreement
- Added capability to link to funding project - “go to arrow”
- Added validation between accounting code and project type
- **For new “outgoing interagency” agreements – SBIR will not be assessed at this time**

Outgoing - STP/Codes Screens





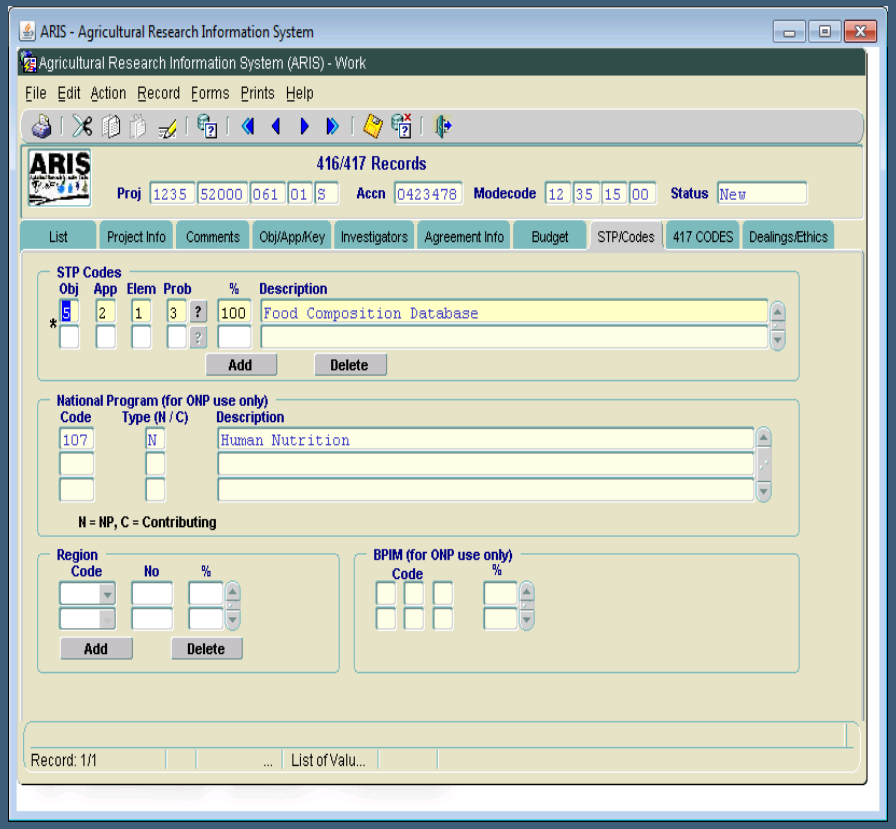
Outgoing - Selecting Codes Screen

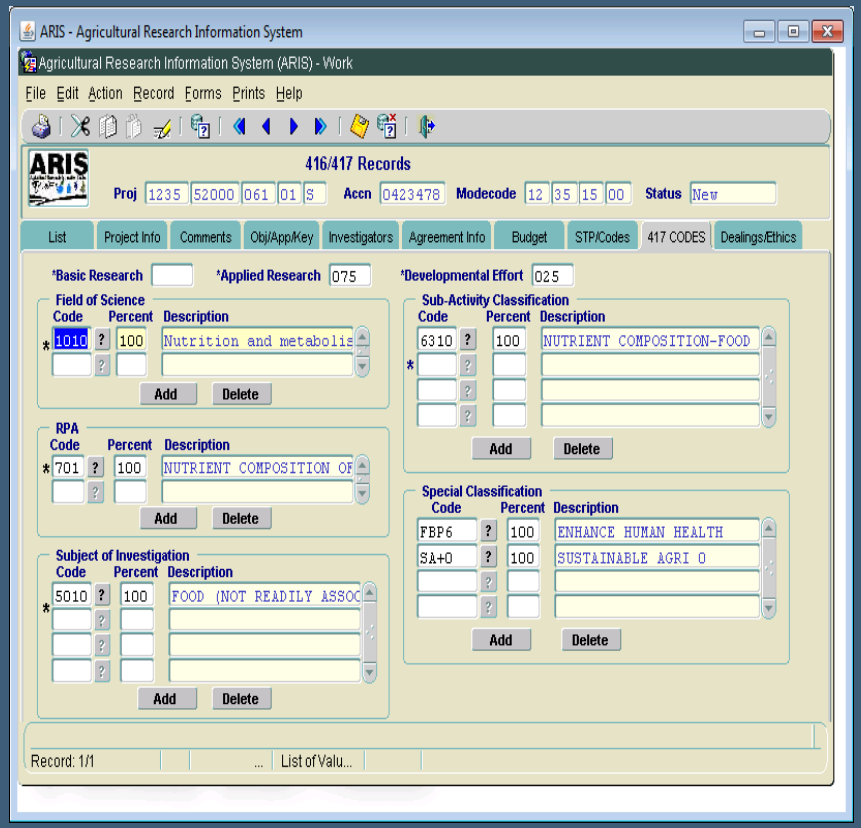


Outgoing - Selecting Codes Screen

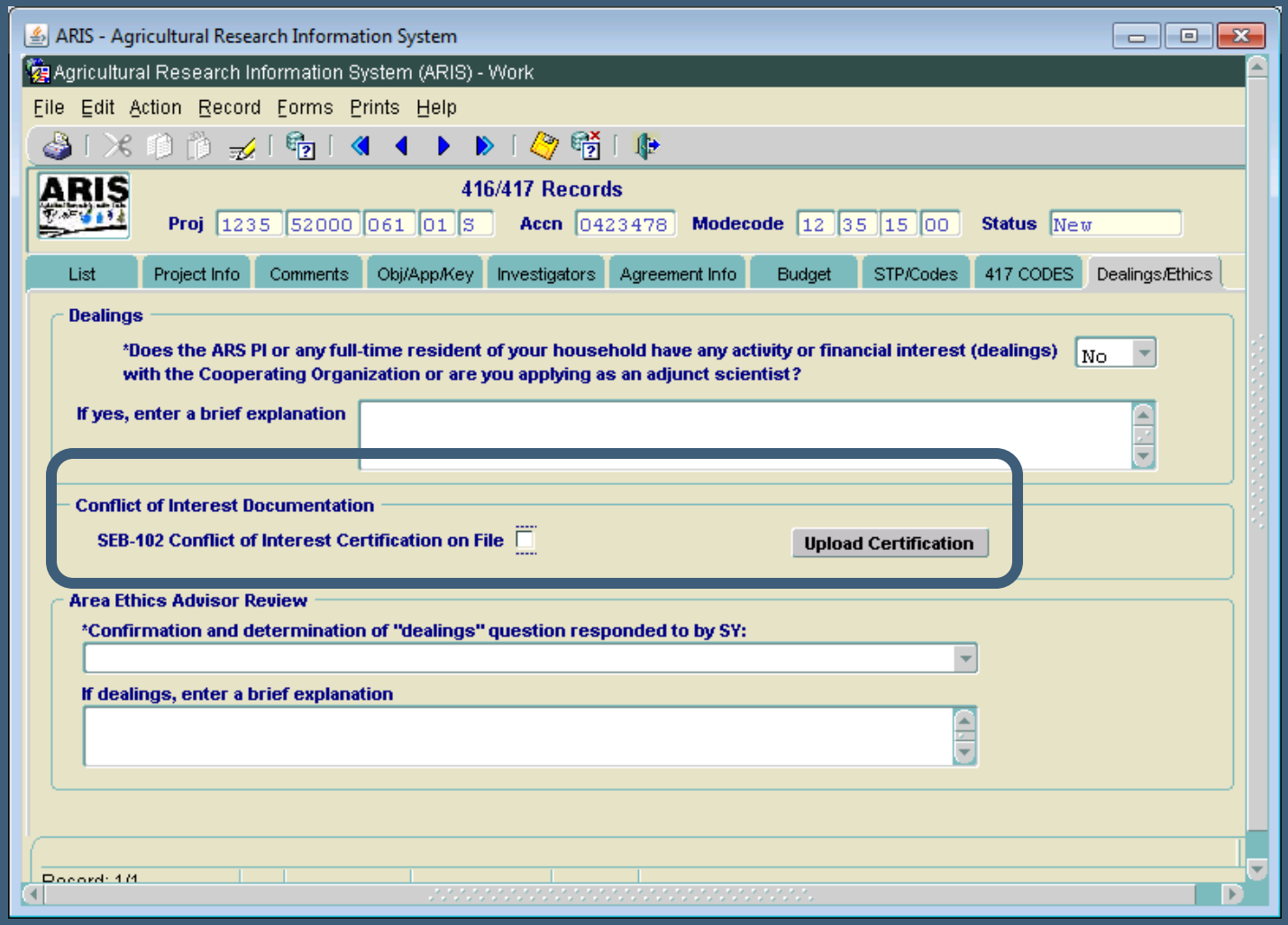
- Selection of coding is based on related inhouse codes (similar to incoming record coding process)
  - Basic/Applied/Developmental – auto propagate
  - Special codes – auto propagate (only FBP and SA)
  - National Program (NP) – auto propagate
  - Enter percentages for all other coding, as applicable
  - Totals must = 100% for each category
  - Once saved, codes are inserted in coding screens
  - Modifications/deletions/additions then occur on the regular Coding screen(s)

Outgoing - Selected Coding





Outgoing - Dealings/Ethics Screen

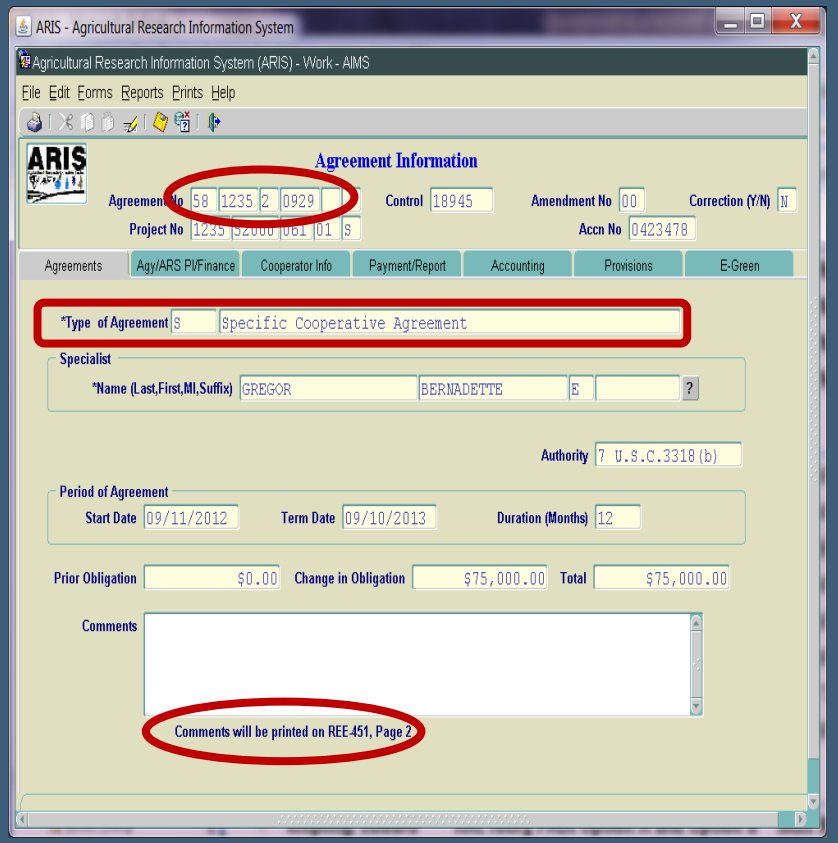


Outgoing - Dealings/Ethics Screen

- Reworded Financial Dealings question
- Reworded label for “Area Ethics Advisor Review”
- Added Conflict of Interest Documentation section
  - SEB-102 Certification required
  - Upload Certification form
  - Required at RL level or initial level of entry
  - Not required for Outgoing Interagency Agreements
  - Area Ethics Advisor/Area Office will review to ensure conformity

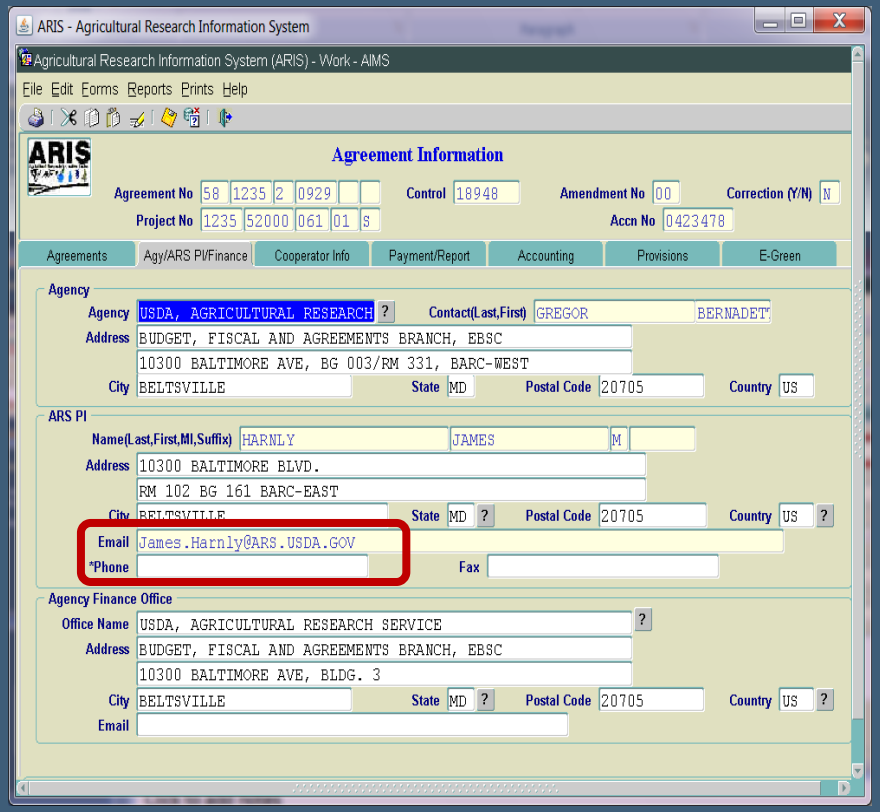
Outgoing - AIMS–Agreements Screen

- Agreement number auto generated on AIMS first entry
- Type of Agreement – auto populated from ARIS
  - Nonmodifiable
- Added note below Comments field

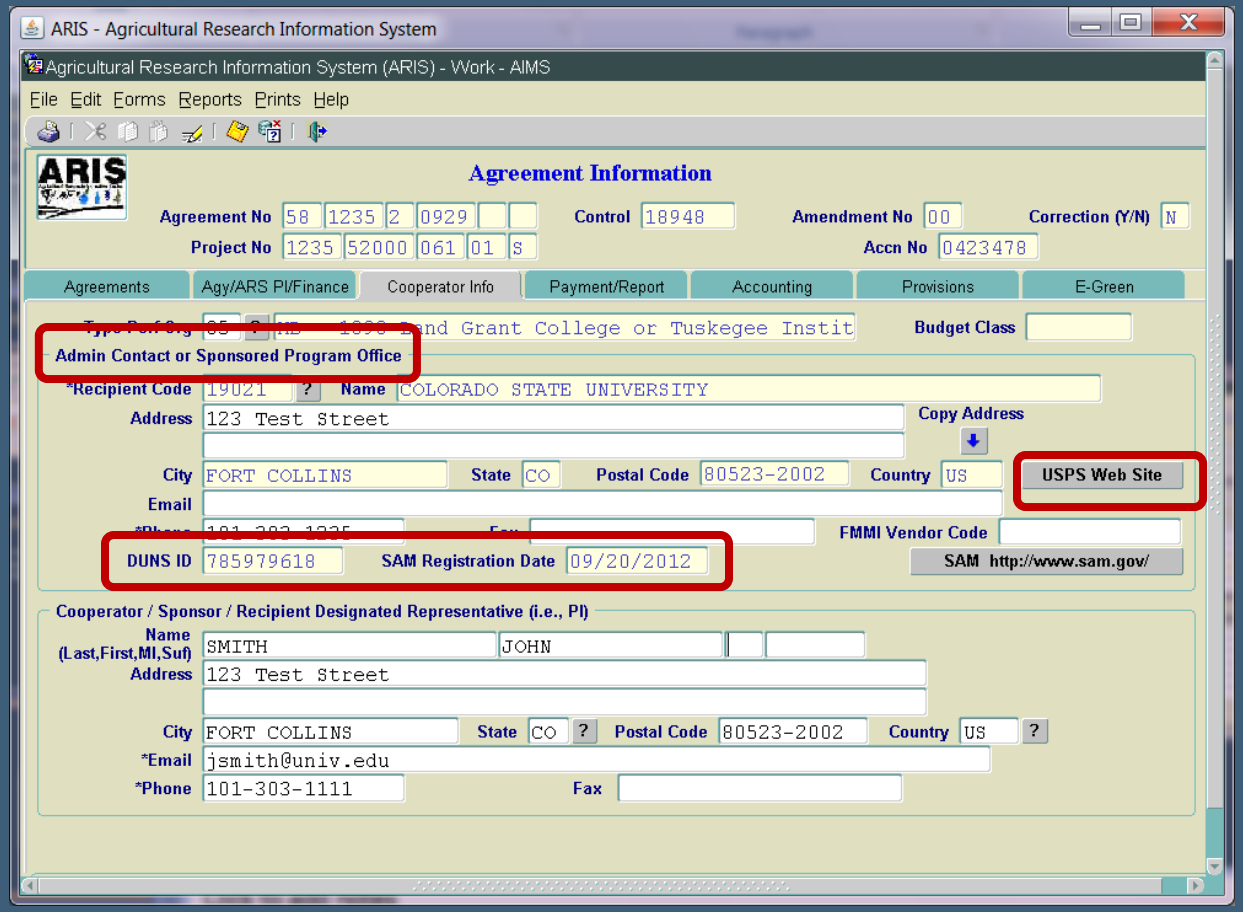


Outgoing - Agy/ARSPI/Finance Screen

- ARS PI – phone number required at <u>All levels</u>
- ARS PI – email address auto populates from Delegation of Authority table
  - Not modifiable on screen



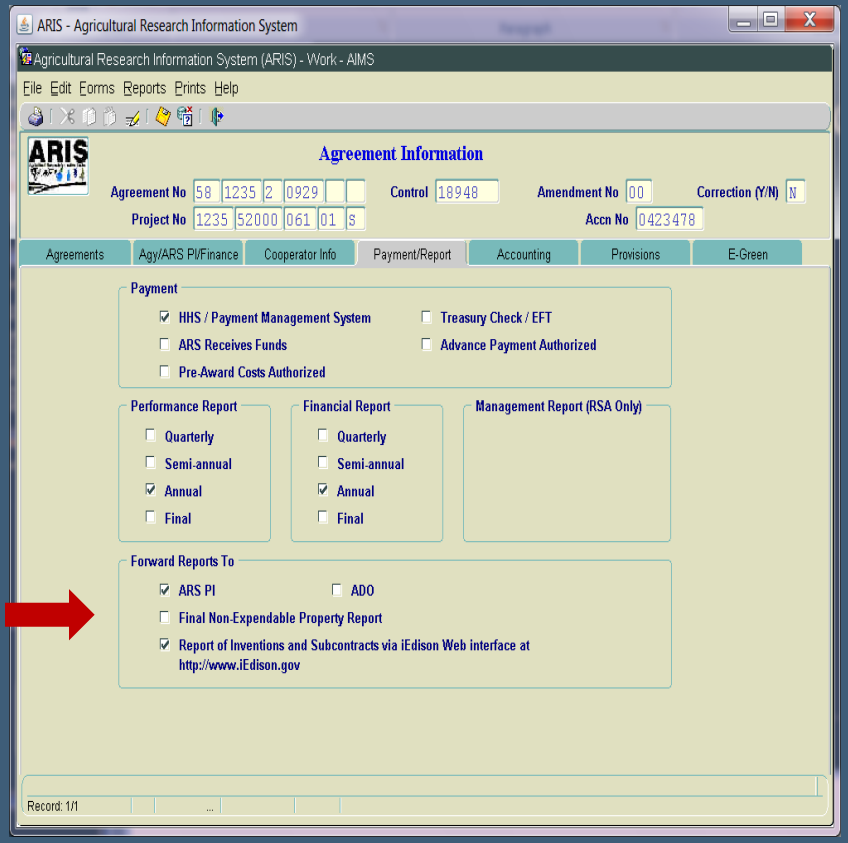
Outgoing - Cooperator Info Screen

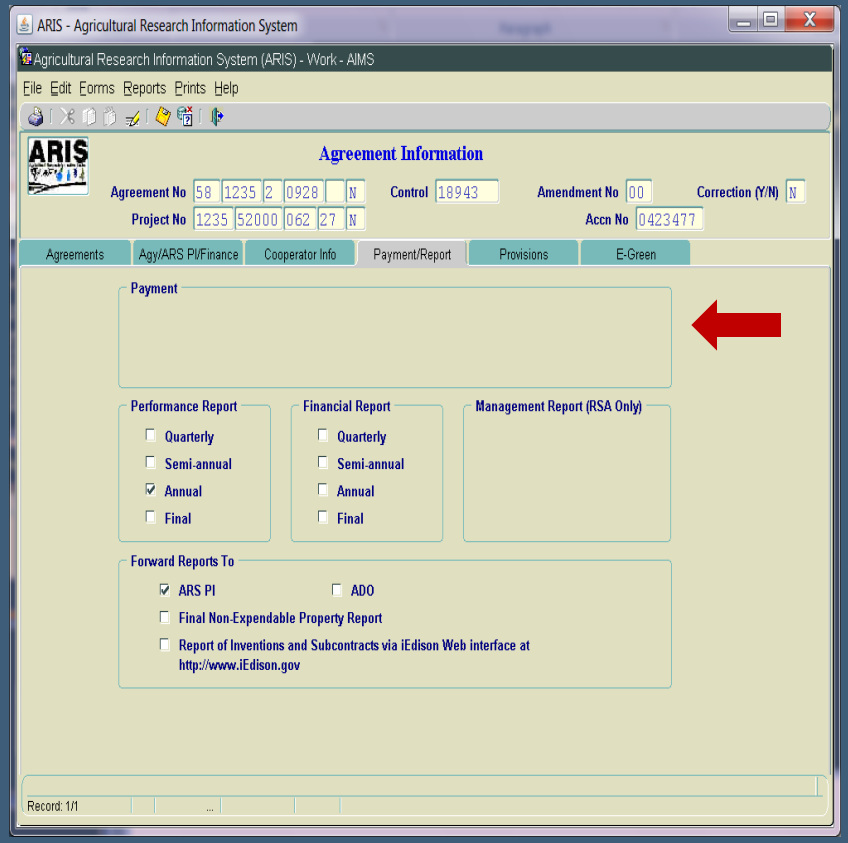


Outgoing - Cooperator Info Screen

- Admin Contact or Sponsored Program Office
  - Zip +4 required for all domestic agreements
  - USPS Website link added
  - SAM link added
  - DUNS ID – auto propagates
  - SAM Registration Date – auto propagates
  - DUNS Parent ID removed
  - DUNS Confidence Level removed
  - Phone # required at ADO level
  - Email Address required at ADO level
- Cooperator/Sponsor/Recipient Designated Rep (i.e. PI)
  - Email address required at ADO level
  - Phone # required at ADO level

Outgoing - Payment/Report Screen



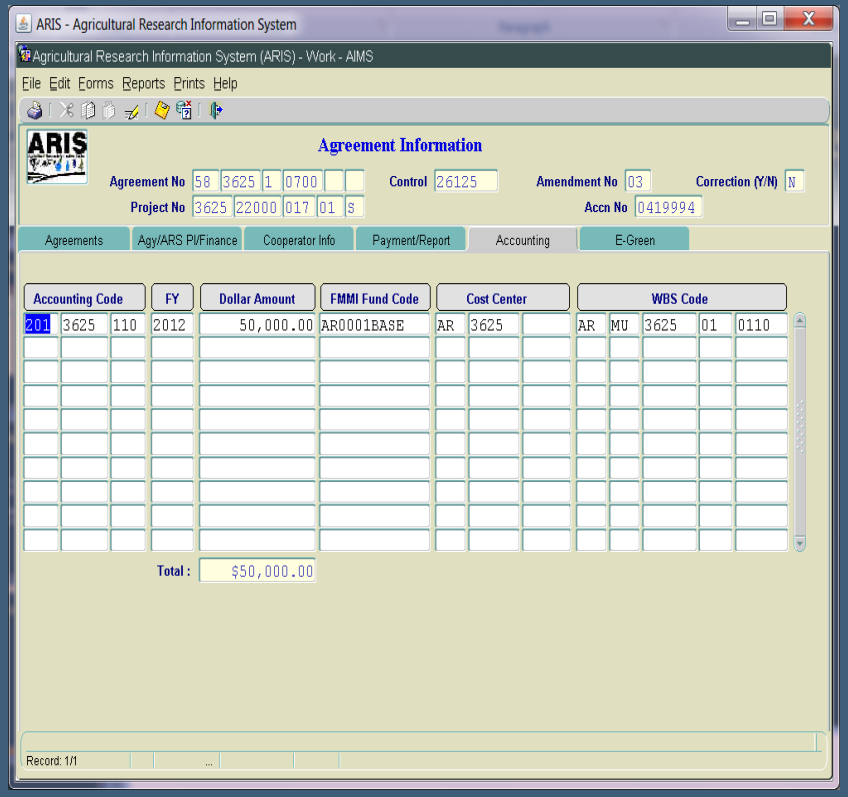


Outgoing - Payment/Report Screen

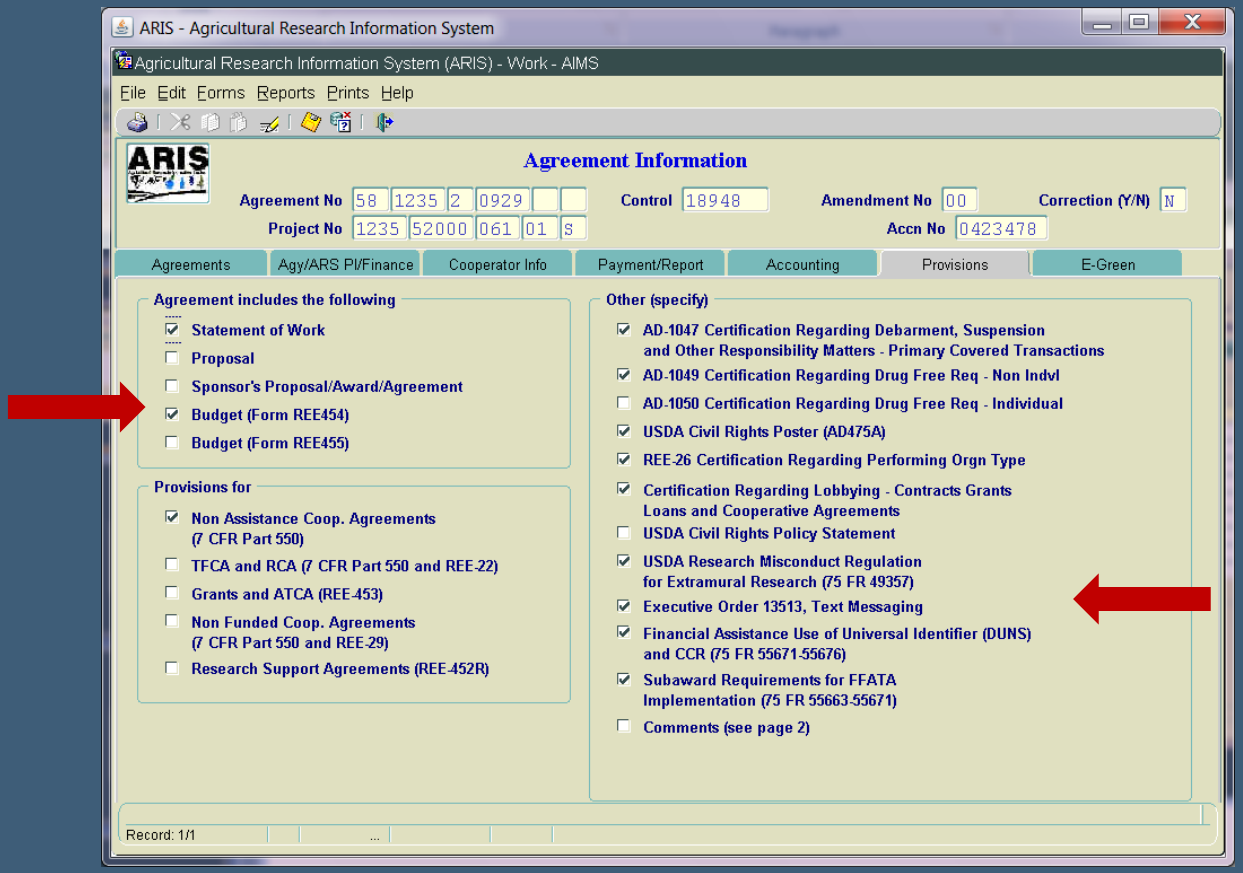
- Label changes –
  - “Forward Reports To”
  - “Report of Inventions and Subcontracts”
- Added check box for Final Non-Expendable Property Report
- Turn off Management Reports for all Non RSAs
- Turn off Payment Section for NFCAs and MOUs

Outgoing - Accounting Screen

- Data is system generated based on outgoing agreement budget data in ARIS



Outgoing - Provisions Screen

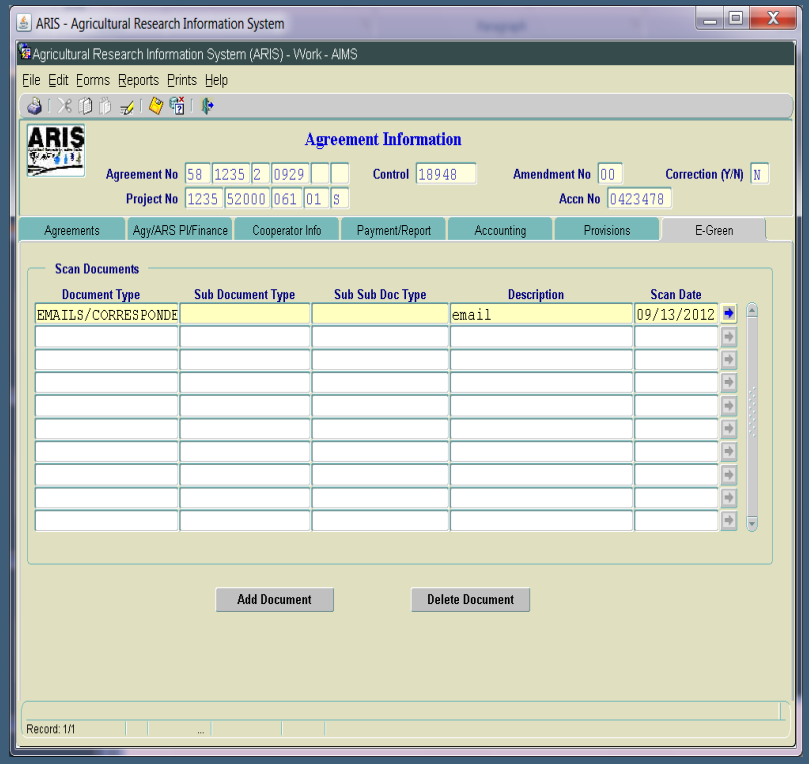


Outgoing - Provisions Screen

- Agreement includes the following:
  - “Sponsor’s Proposal/Award/Agreement”
- Other (specify):
  - Hide Attachment A for all Non RSAs
  - Added - Executive Order 13513, Text Messaging
  - Added - USDA Research Misconduct Regulation for Extramural Research (75 FR49357)
  - Added - USDA Civil Rights Policy Statement
  - Added - Financial Assistance use of Universal Identifier (DUNS) and CCR (75 R 55671-55676)
  - Added - Sub-award Requirements for FFATA Implementation (75 FR 55663-55671)

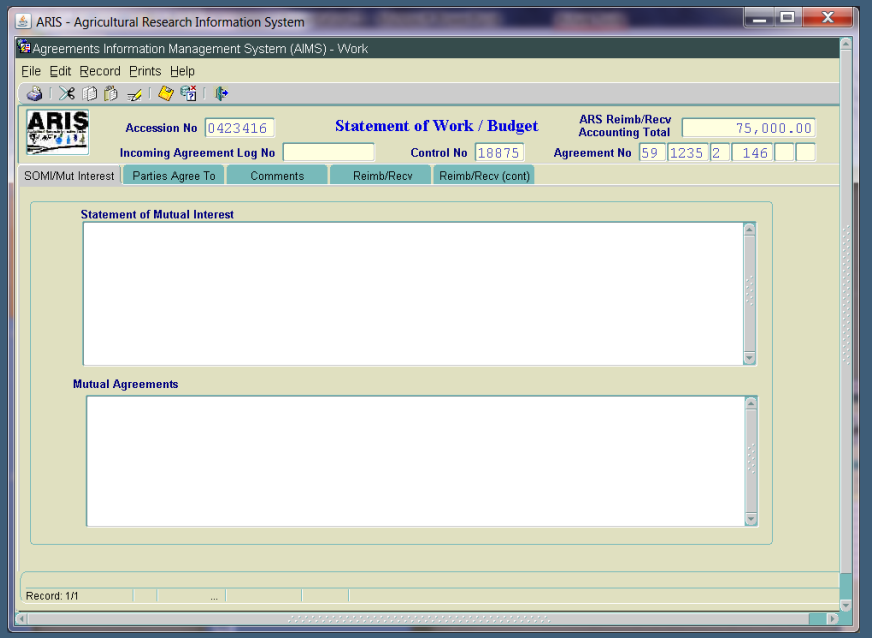
Outgoing - E-Green Screen

- E-green now available in Work file
- All levels can Add
- All levels can View
- Only the level that adds the document can delete, other than ADO
- Added additional options in document type and sub doc type



Outgoing – SOW Screens

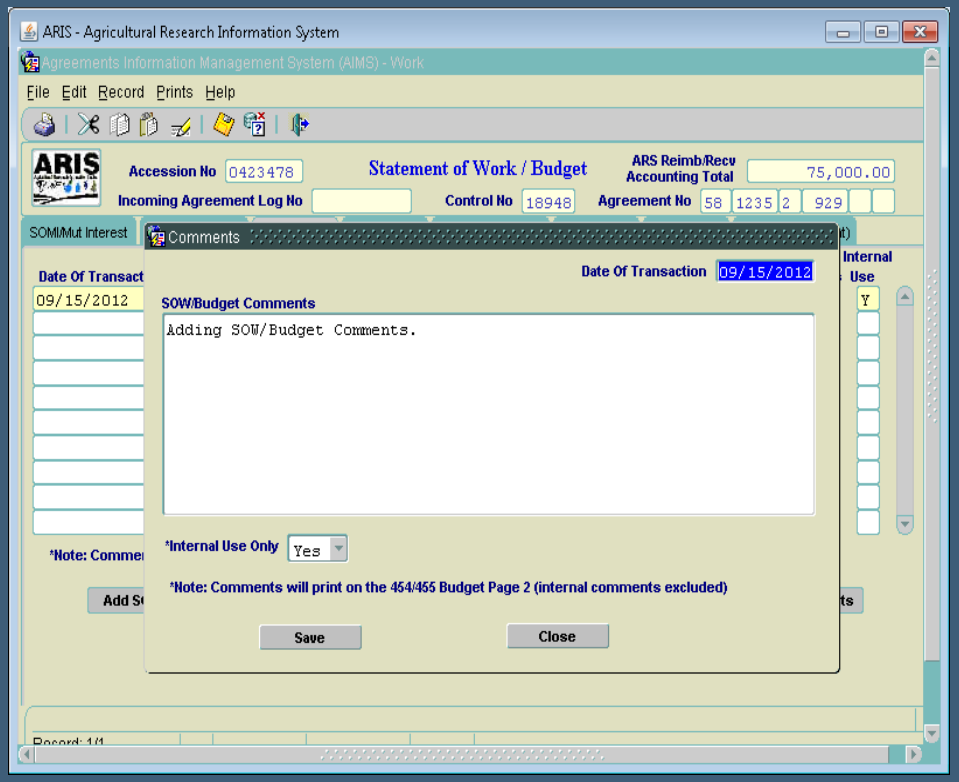
- Added Accession number in header
- No other changes

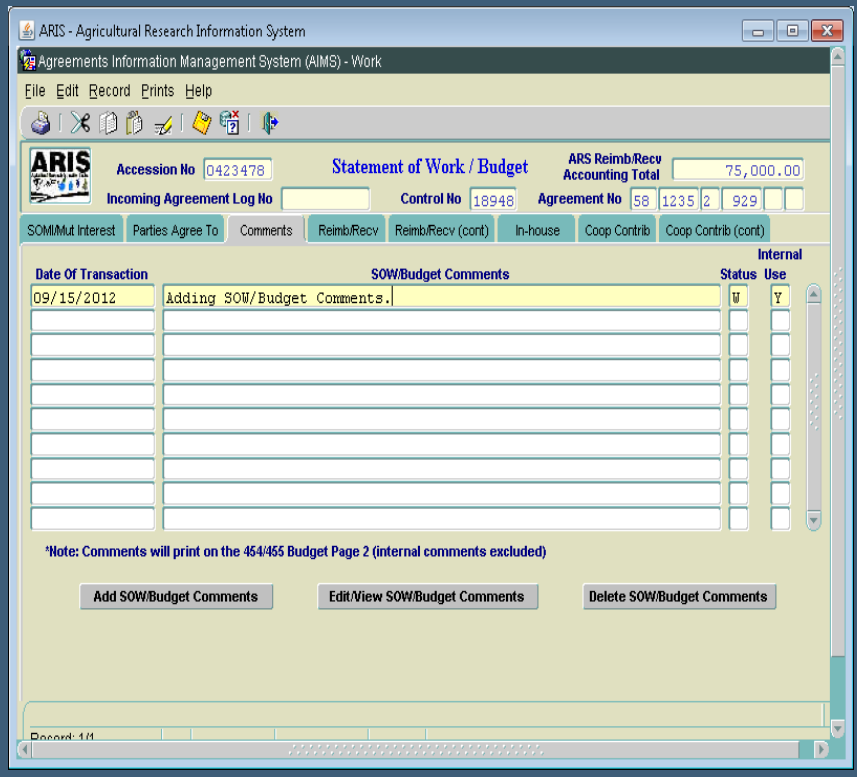


- *NOTE: Incoming Agr Log No field – only for incoming agreements*

- *No changes to "Parties Agree to" Screen*

Outgoing - SOW/Budget Comments Screen





Outgoing - SOW/Budget Comments Screen

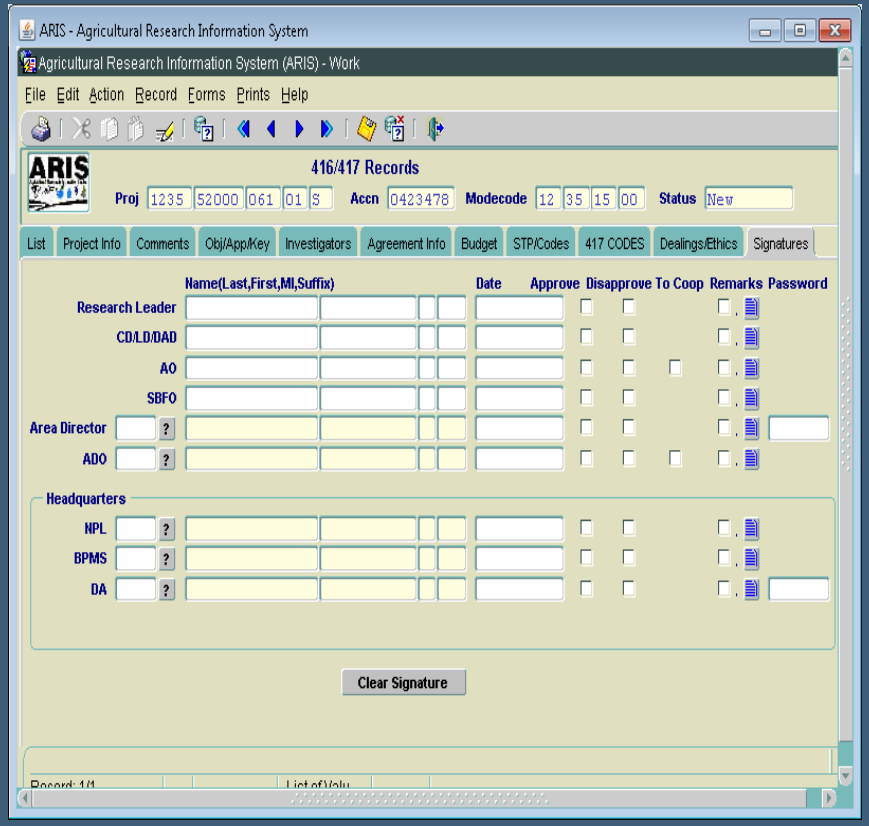
- Changed label to “SOW/Budget Comments”
- Added check box to indicate Internal Use Only
- Required to answer Yes or No
- If Yes is selected, comments WILL NOT print on the 454/455
- Added Note: Comments will Print on the 454/455 Budget Page 2 (if check box = No)

Outgoing - Budget Screens

- No changes at this time
- Future phase:
  - Increase size of description fields
  - Consolidate screens
  - Standardize all screens
  - Redesign for better viewing

Outgoing - Signature Screen

- Modified label – ABFO to SBFO
- Removed NPL2 and 3

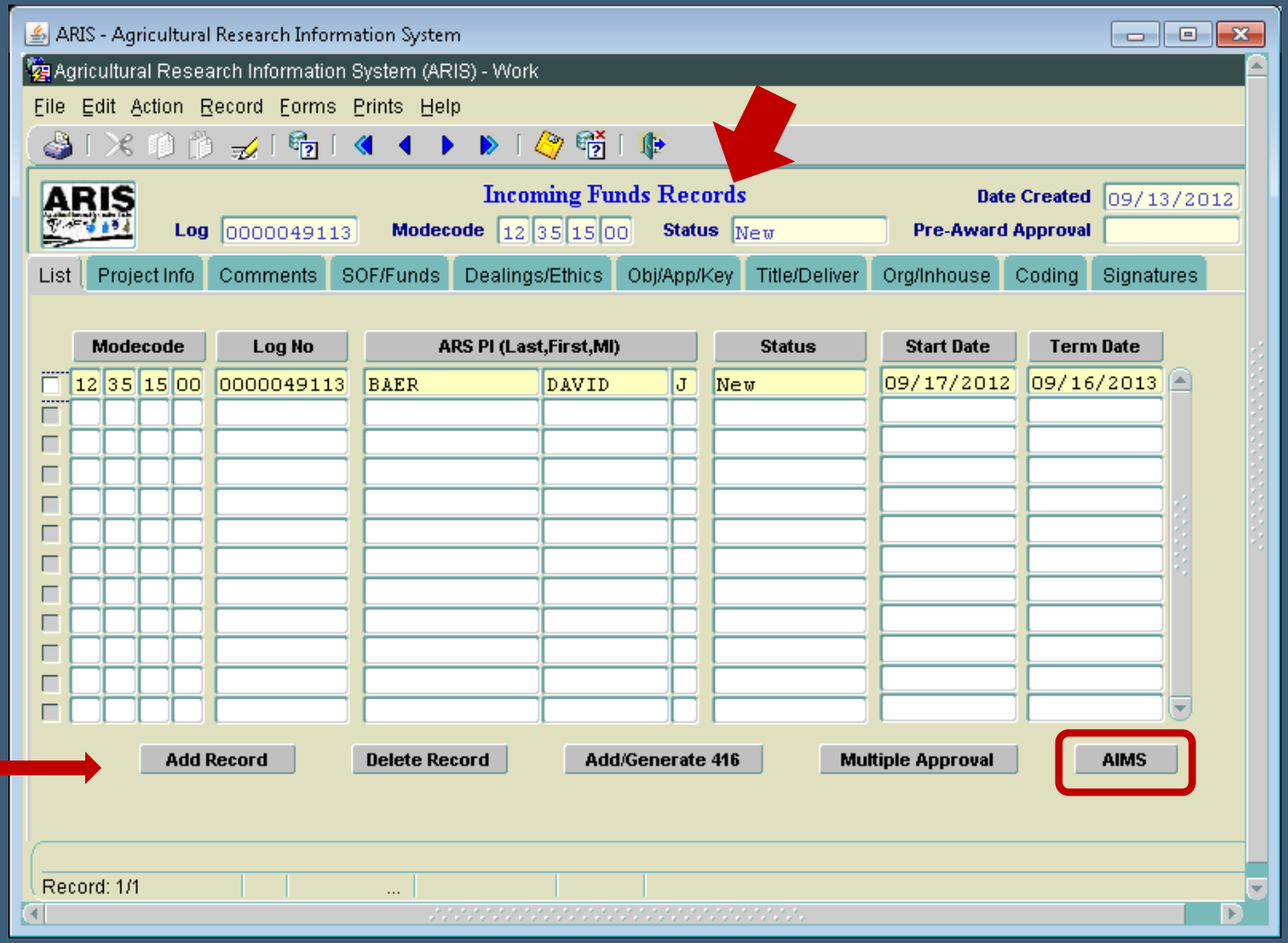


Questions on Outgoing Agreements

Incoming Agreements

(Incoming Funds Records)

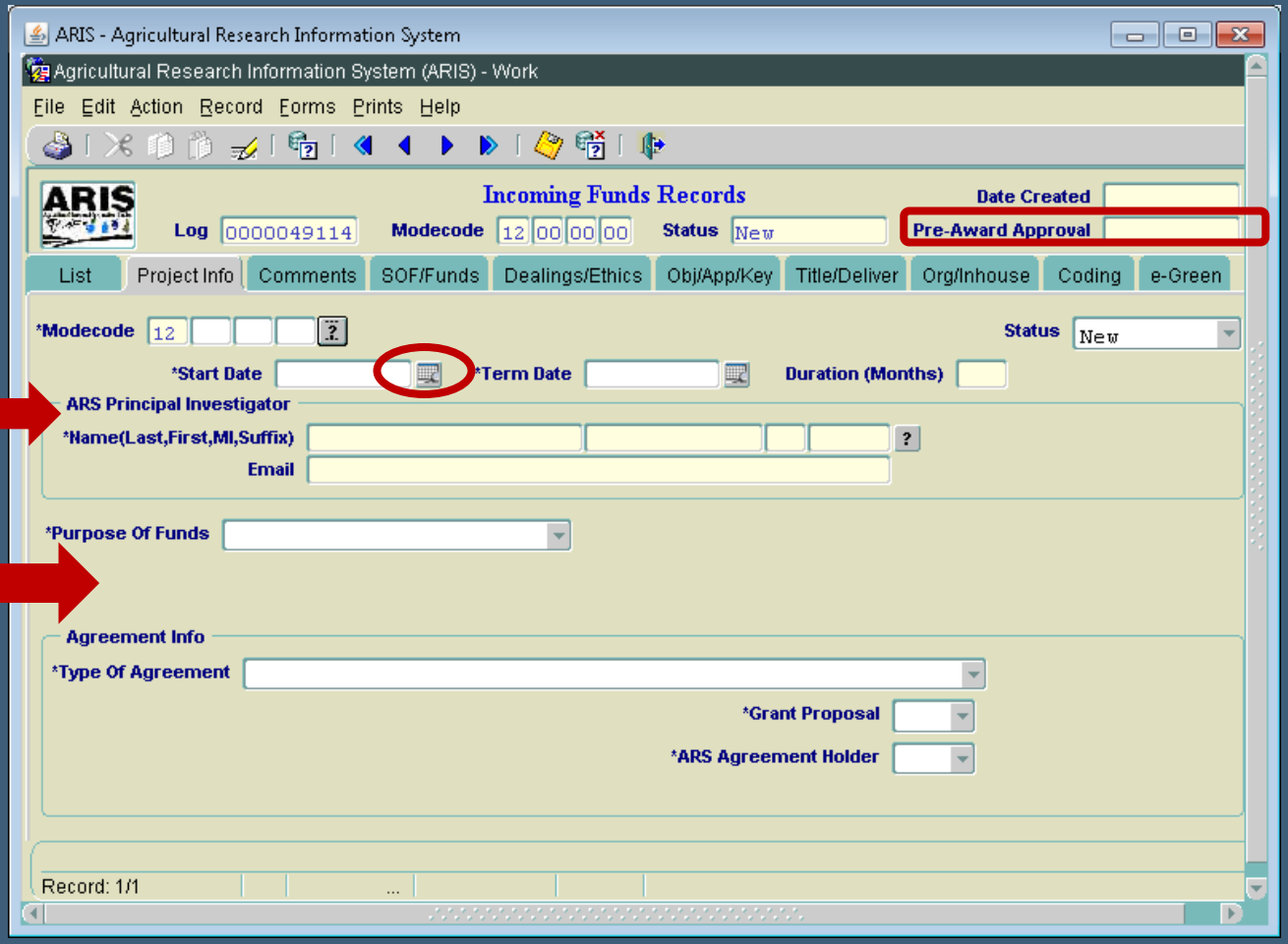
Incoming – List Screen



Incoming – List Screen

- Modified ARIS to say “Incoming Funds Records”
- AIMS entry is the actual “agreement”
- Added “go to” AIMS button
- Modified labels:
  - Add Record
  - Delete Record
  - Add/Generate 416

Incoming – Project Info Screen



Incoming – Project Info Screen

- New field added in header – Pre-Award Approval
  - System generated
  - First time through Approval date
  - Never changes; nonmodifiable
- Changed “Contact” to “ARS Principal Investigator”
  - Formerly “Contact” or “ADODR”
  - Uniform through all agreements
  - Removed “Contact Type” and “Phone Number” fields
  - Added ARS PI Email – auto inserted when ARS PI is selected from the LOV (now uses the Delegation of Authority Table)
  - Message displayed if ARS PI training has not been done

Incoming – Project Info Screen

- Purpose of Funds field – moved up on screen
- Purpose of Funds field– used to turn on and off fields appropriate for the selection
  - Gifts
  - Services Only
  - Research (under/over $25K, No Funds)
- Award Date removed

Incoming – Project Info Screen

- Added two Agreement types:
  - Interagency Reimbursable Agreements (IRA) (I)
  - Material Transfer Research Agreement (MTRA) (H)

  - CRADA (C) – formerly "Trust" when 416 added; will now be shown as "C" on 416 and Incoming Funds Record

- Grant Proposal fields – turned off for Gifts and Services Only
- If Grant Proposal = Yes, Grant Awarded field is activated

Incoming – Primary Agreement Holder

- Label changes:
  - ARS Primary Agreement Holder - now ARS Agreement Holder
  - Primary Agreement Log Number – now ARS Agreement Holder Log No.
  - Primary Agreement Proposed Total Funds – now ARS Proposed Total Funding
- If ARS Agreement Holder = No, added “go to” arrow that will connect with the Active file - Agreement Holder (log)
- If ARS Agreement Holder = No, ARS Proposed Total Funding field is turned off

Incoming – Primary Agreement Holder

- Tooltips added:
  - ARS Agreement Holder: “Select Yes if this Unit is responsible for executing the actual agreement with the cooperator”
  - ARS Proposed Total Funding: “Enter the total amount of funding all ARS locations are proposed to receive”

Incoming – Agreement Number

- Autogeneration:
  - Research < = or >$25,000 – upon entry of AIMS
  - Services Only – on saving of Proj Info screen
  - Gifts - no Agreement Number
  - No Funds to ARS - no Agreement Number

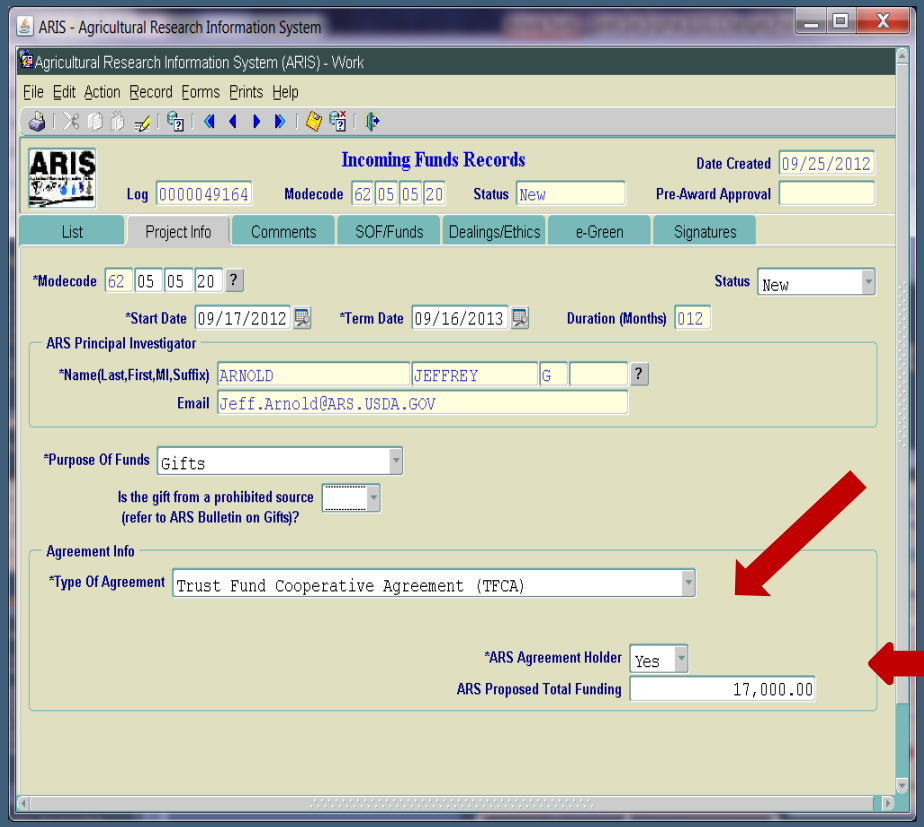
  - If ARS Agreement Holder = No, once the ARS Agreement Holder has generated their Agreement Number, it will be auto inserted into the ARS Agreement Holder = No project, as long as the Log No. is listed on the Incoming Funds Record

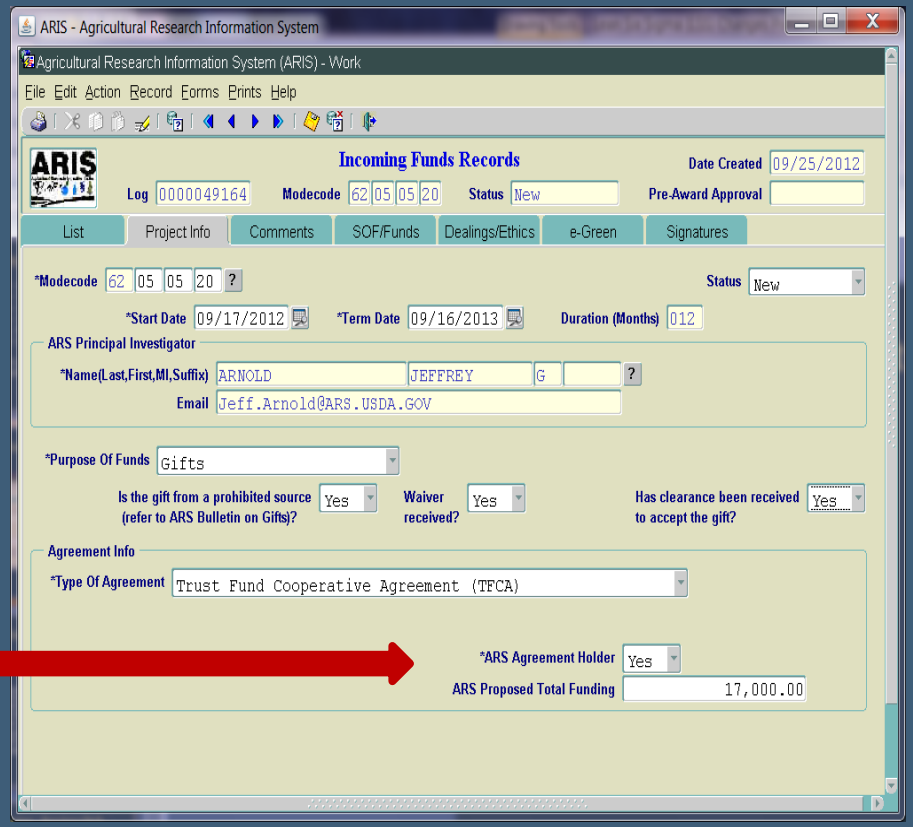
Incoming – Agreement Number

- Agr No. Part 1: 58; 59; or 60 – based on agr type
- Agr No. Part 2: Location Code
- Agr No. Part 3: Last Digit of FY (FY indicator)
- Agr No. Part 4: Sequential number w/in the location & FY
- Agr No. Part 5: Foreign indicator – from recipient table
- Agr No. Part 6: N/A for incoming

- If Start Date (FY) and/or agreement type changes, system auto updates agreement number and displays message

Incoming - Gifts

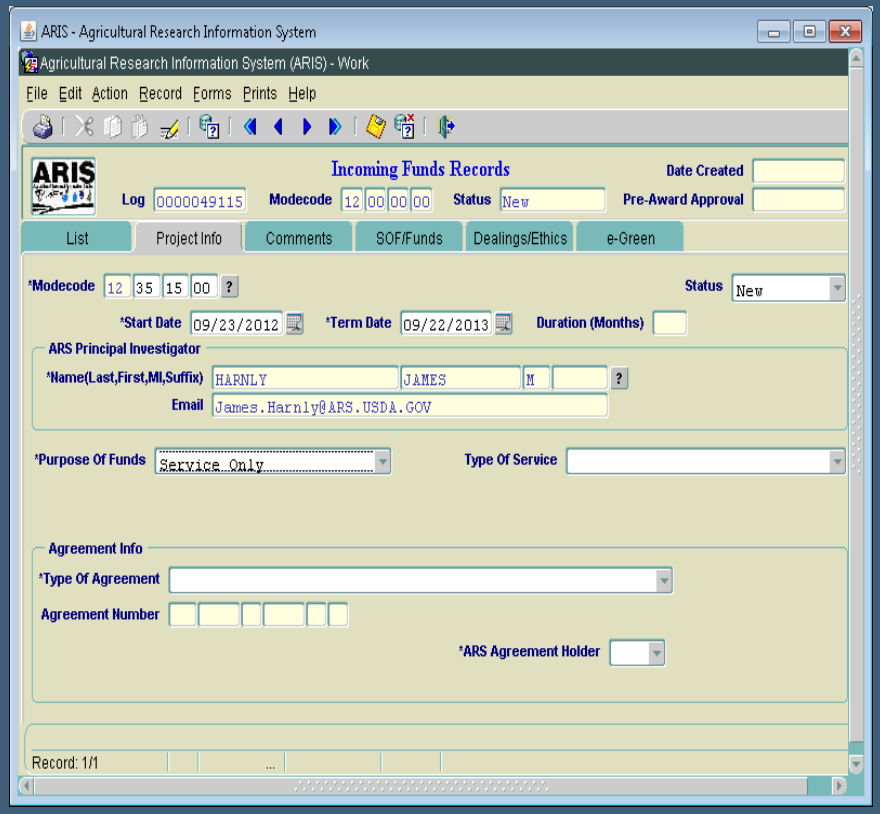


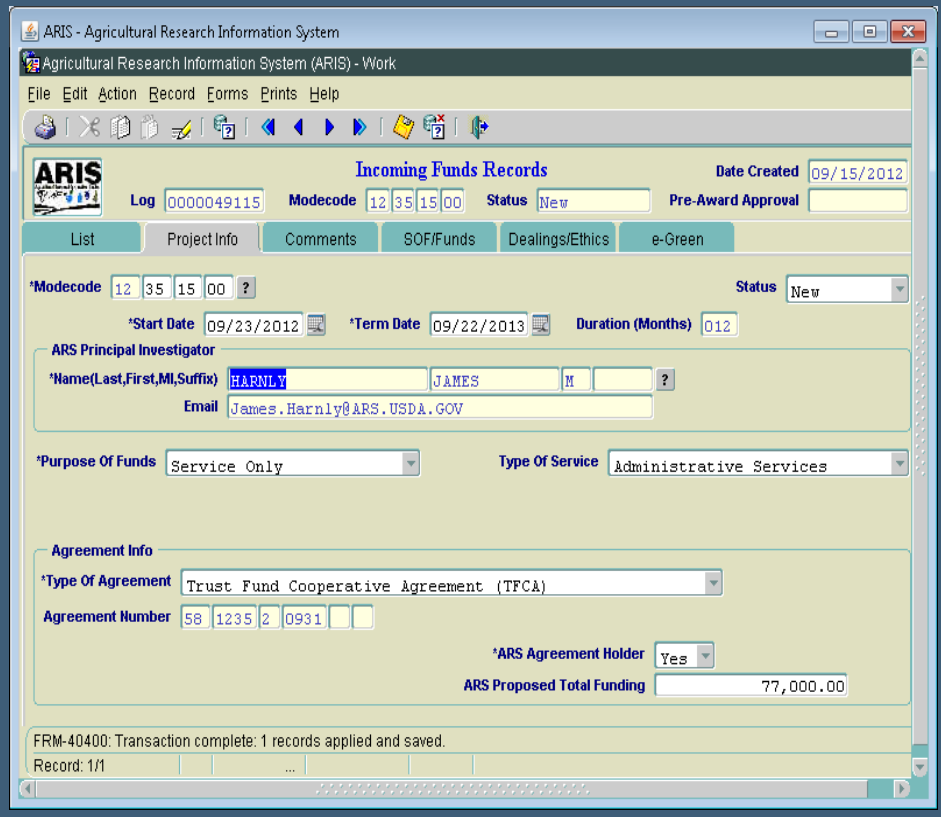


Incoming - Gifts

- No Agreement Number for Gifts
- Type of Agreement = Trust; system auto inserts
- Added:
  - “Is the gift from a prohibited source…”; If yes, message displayed “You must have a waiver from the Agency Administrator to accept a gift from a prohibited source”
  - Waiver (Yes/No) field added; if waiver = No, cannot approve until =Yes
  - “Has clearance been received to accept the gift?” - Yes/No option; if No, cannot approve until =Yes
- E-Green Tab added

Incoming – Services Only



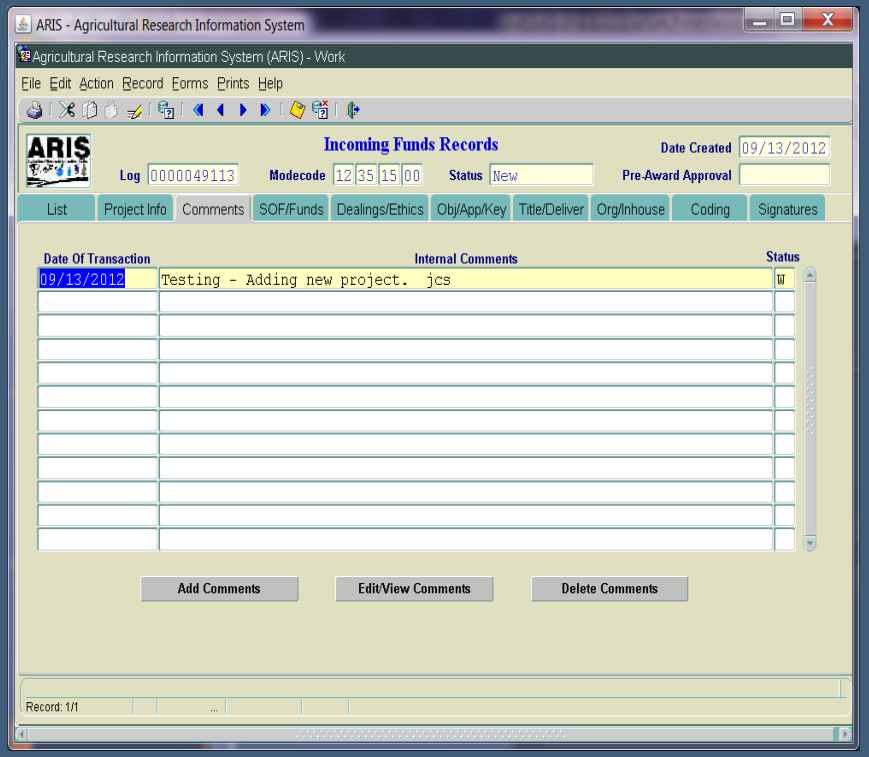


Incoming – Services Only

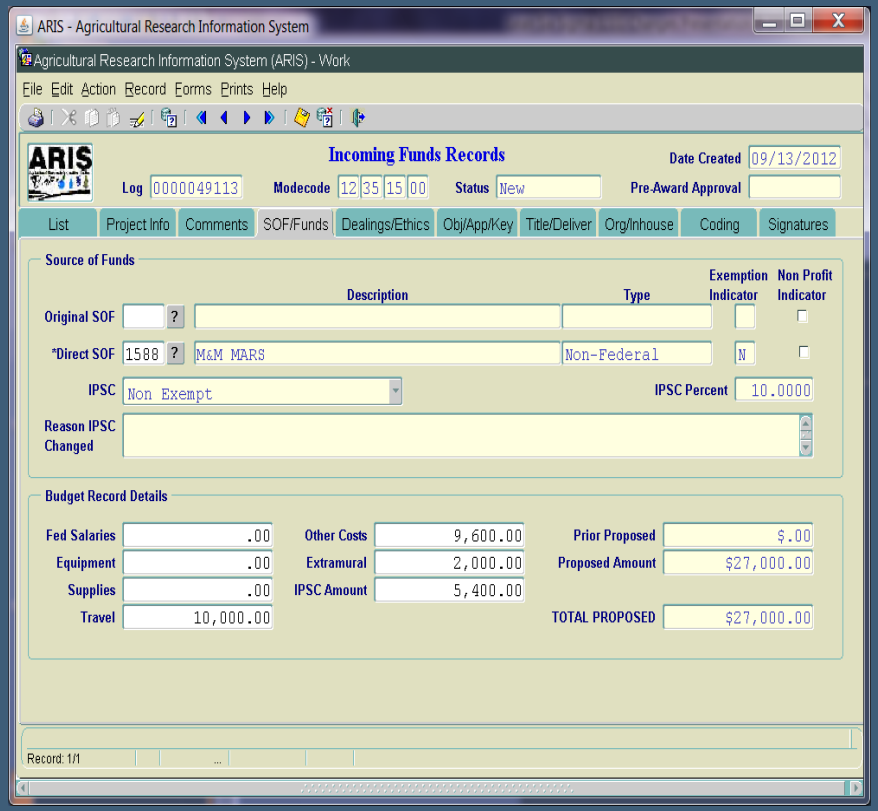
- Agreement No. will autogenerate upon saving of Proj Info screen
- Type of Service: Added Recycling/Rebate
- E-Green Tab added

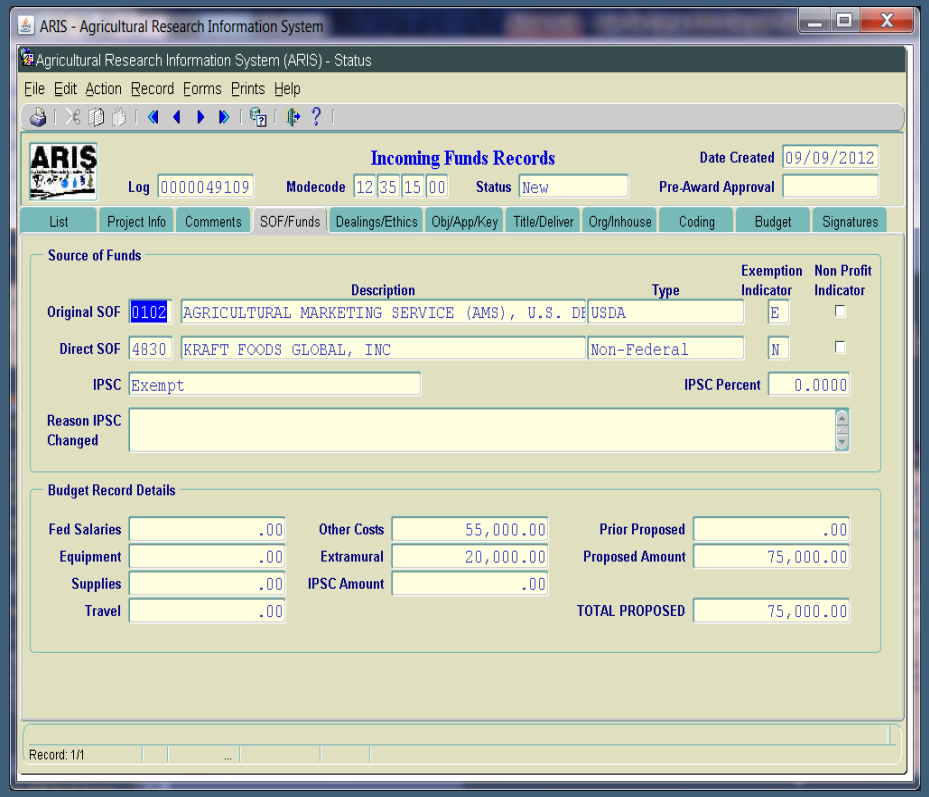
Incoming – Comments Screen

- Modified label to: “Internal Comments”
- Comments required for all Work records



Incoming – SOF/Funds Screen





Incoming – SOF/Funds Screen IPSC

- IPSC section modified based on revised P&P329.5
- IPSC is based on the Original Source of Funds (OSOF), effective October 1
- IPSC not charged on agreements less than or equal to $10,000 (effective October 1)
- Added Exemption Indicator, Non Profit Indicator, and IPSC Percent
- Added IPSC amount in “Budget Record Details”
- Waivers no longer requested; strictly based on SOF Reference Table (Exempt or Non Exempt)
- Reason IPSC Changed – BPMS only

Incoming- SOF/Funds Screen

- "How Funds to be Used" – now "Budget Record Details"
  - Only funding that the Unit is getting should be entered here (future Tooltip will be added when new proposal screen added – Phase 2)
  - Replaced "RSA" with "Extramural"
  - If funds entered in "Extramural", must match extramural total on the Org/Inhouse screen
  - Added IPSC Amount

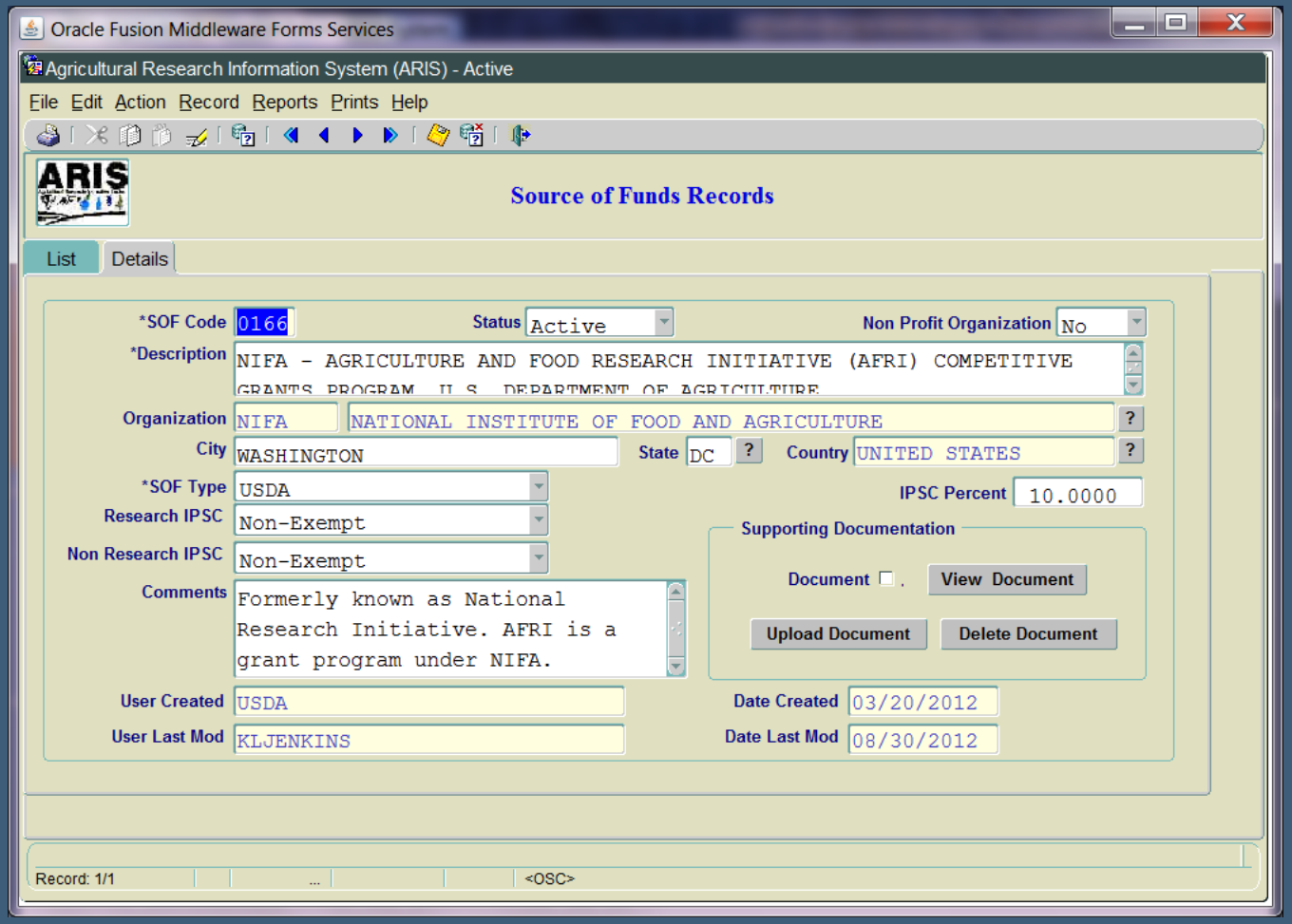
Incoming- SOF/Funds Screen

- IPSC Calculation:
  - Based on IPSC percent for SOF (shown on screen)
  - Calculated as 10% (or 20%) of total proposed funding
  - If IPSC is “Exempt”, no funding can be added in the IPSC field
  - If IPSC is “Non Exempt”, enter the calculated amount
  - If not correctly calculated, system will display message indicating not correct, and display the correct amount
  - Only a warning message, will still allow processing

Incoming – SOF/Funds Screen

- Removed fields:
  - Requesting Waiver; Why Waiver Requested; Waiver Approved by BPMS, Reason Waiver Denied
  - Cat 1 or 4 Salaries
  - ARS FTE
  - Total Proposed Amt has increased from <= $5,000…

New SOF Reference Table

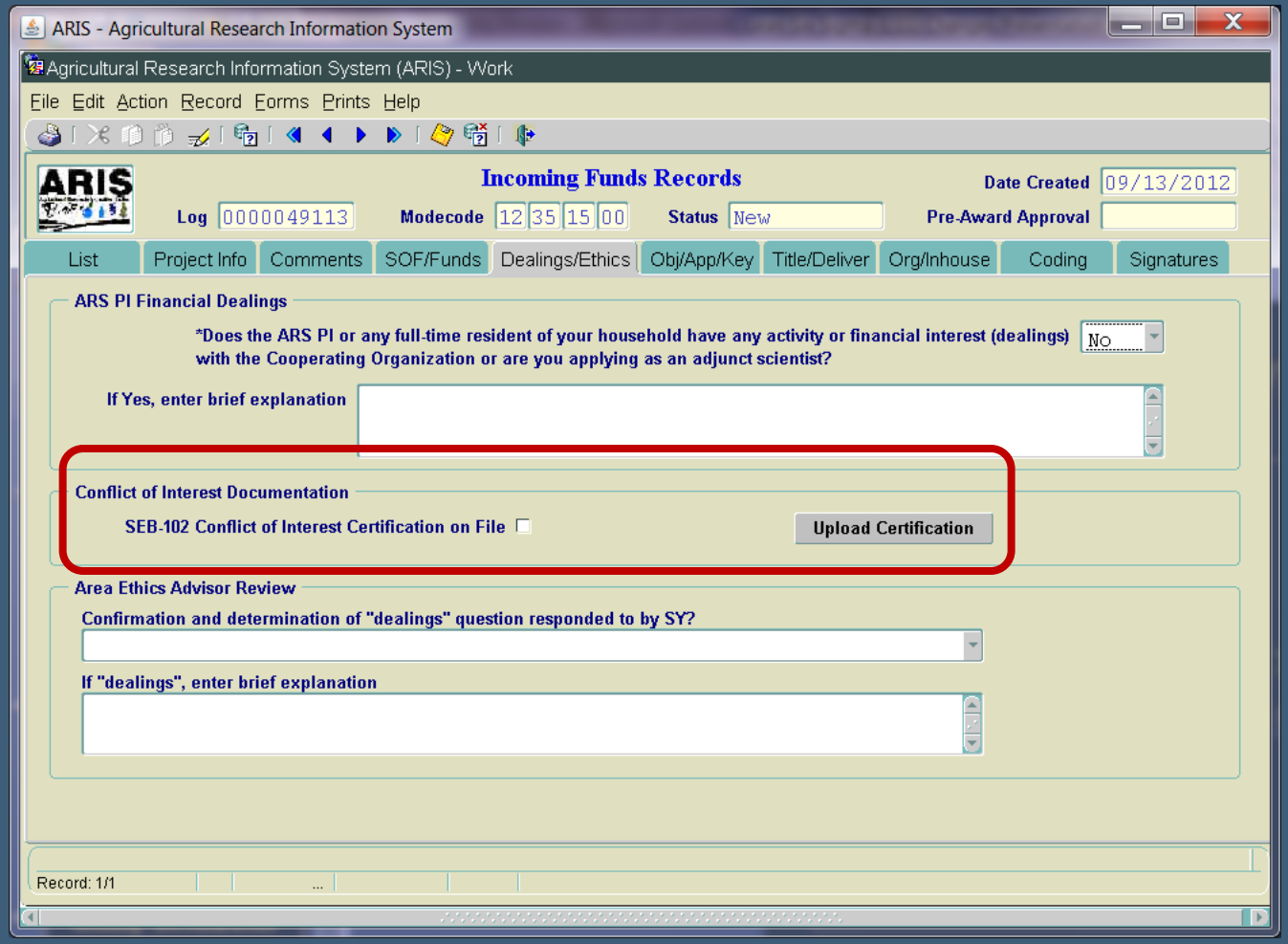


New SOF Reference Table

- Added “Organization” – high level
- Modified “waived” to “exempt”
- Added Supporting Documentation – to support Exemption policy
- Added City, State, Country

- Exempt list also posted on EAD Website
- In process of “cleaning up” data

Incoming - Dealings/Ethics Screen

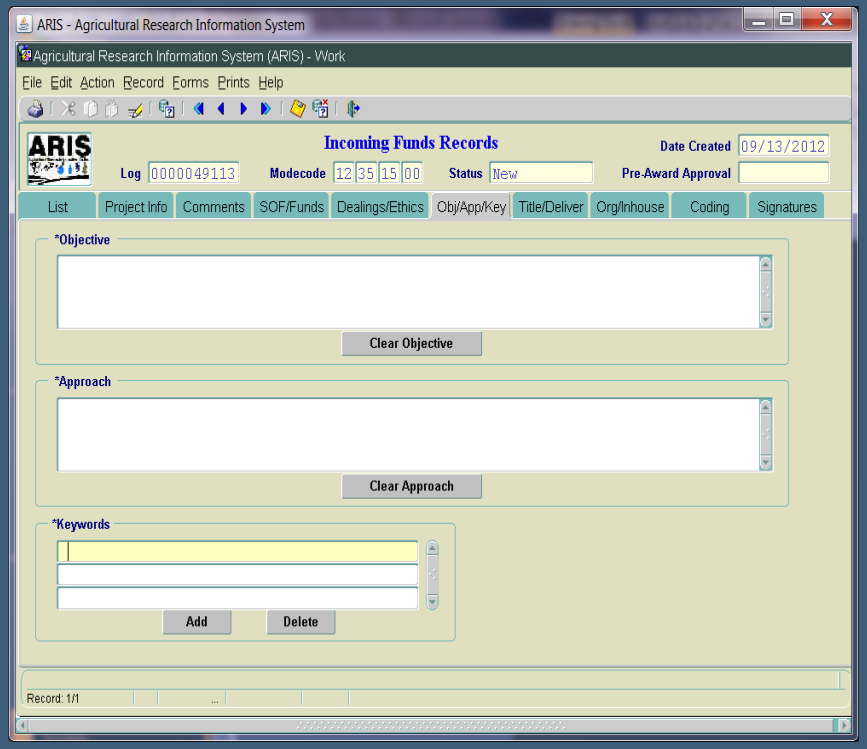


Incoming- Dealings/Ethics Screen

- Reworded Financial Dealings question
- Reworded label for “Area Ethics Advisor Review”
- Added Conflict of Interest Documentation section
  - SEB-102 Certification required
  - Upload Certification form
  - Required at RL level or initial level of entry at point of award (when entering AIMS)
  - Not required for Interagency Agreements, Services Only, Gifts, or No Funds to ARS
  - Area Ethics Advisor/Area Office will review to ensure conformity
- Removed Area Director Only questions

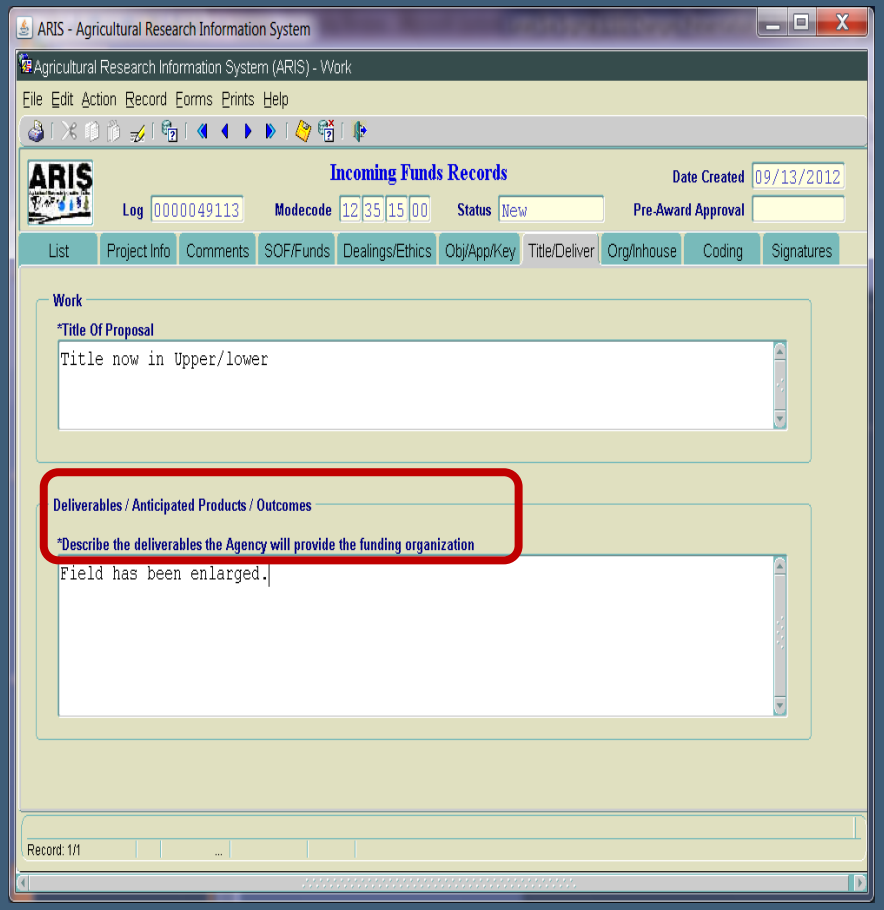
Incoming – Obj/App/Key Screen

- No changes

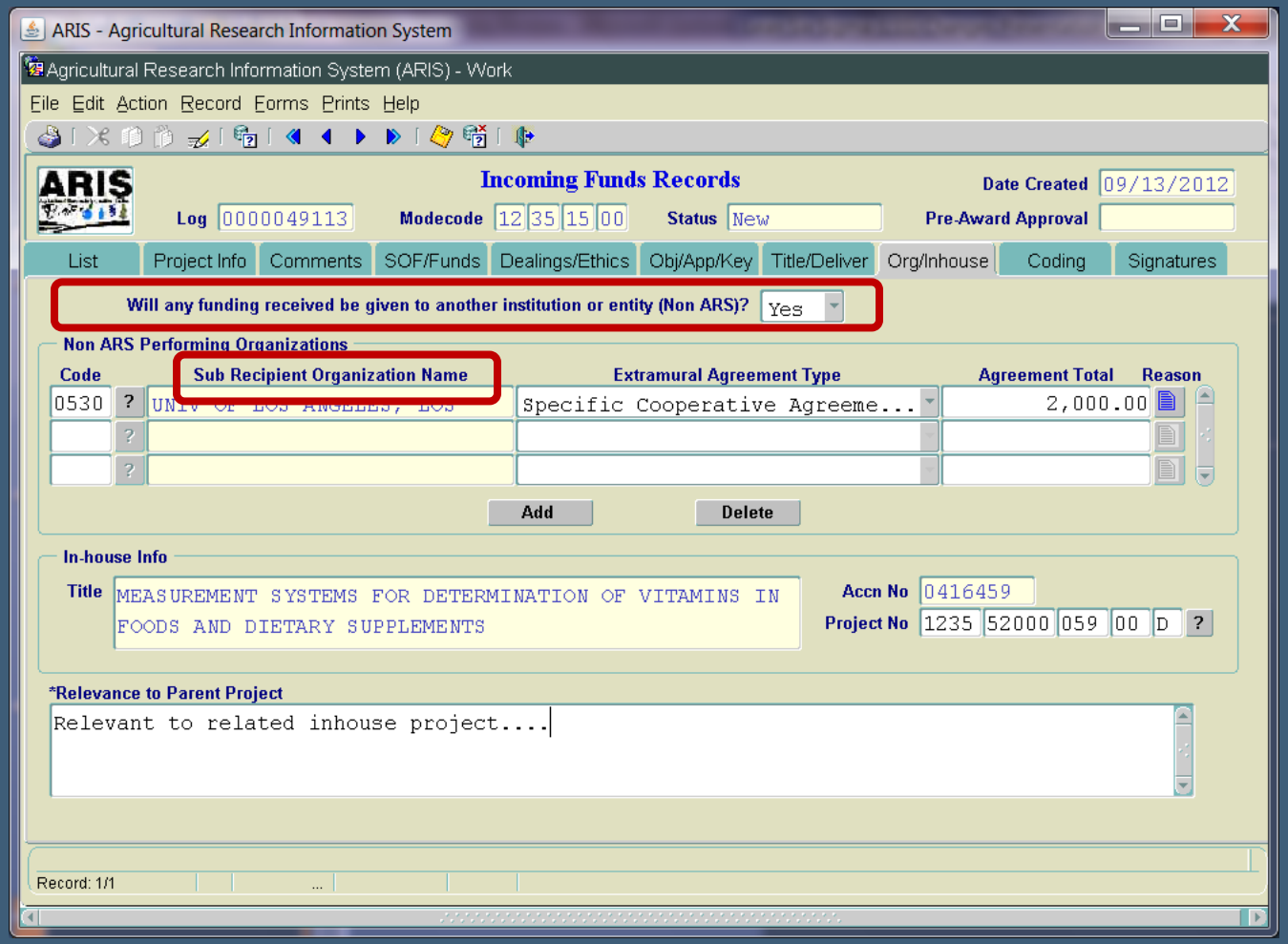


Incoming -Title/Deliverables Screen

- Changed Title field to be Upper/lower case
- Increased length of Title field to 148 characters
- Deliverables label changed to "*Deliverables/Anticipated Products/Outcomes*
- Increased size of Deliverables field to unlimited



Incoming - Org/Inhouse Screen

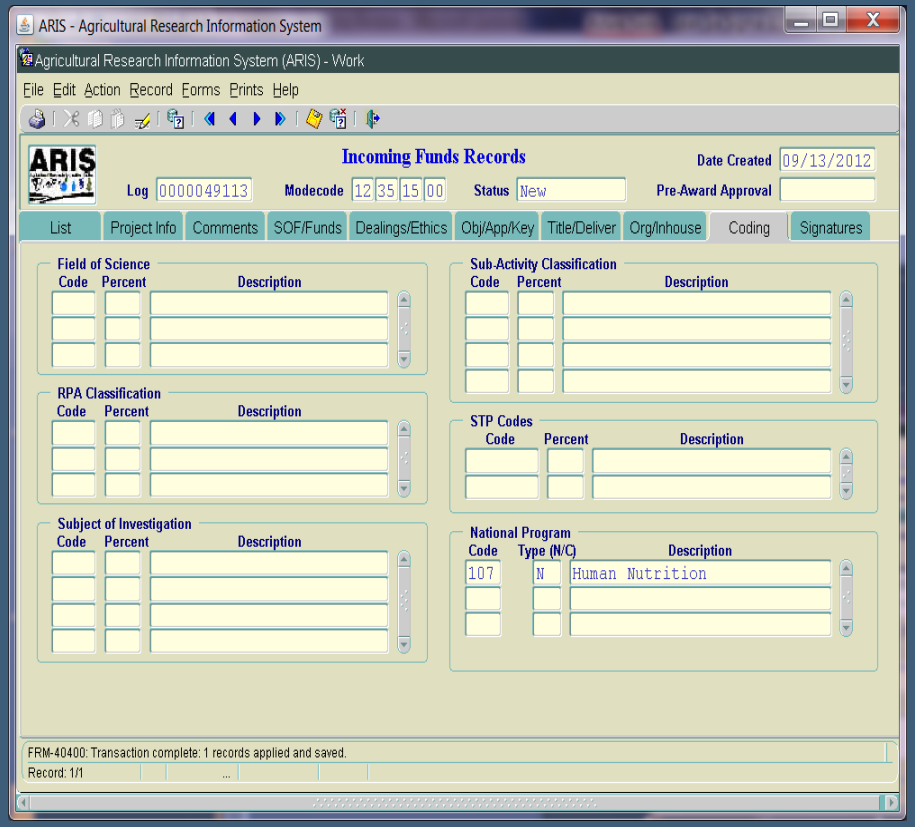


Incoming - Org/Inhouse Screen

- Work to be Performed" – changed to "Will any funding received be given to another institution or entity (Non ARS)?
  - Select Yes/No
  - If Yes, the Non ARS Performing Organization section is activated
  - Added additional agreement types in LOV
  - Agreement total will be validated against Extramural amount in Budget Record Details section
  - Modified "Description" to "Sub Recipient Organization Name"
- Removed "Is the proposed research directed related to the Inhouse project of SY" questions

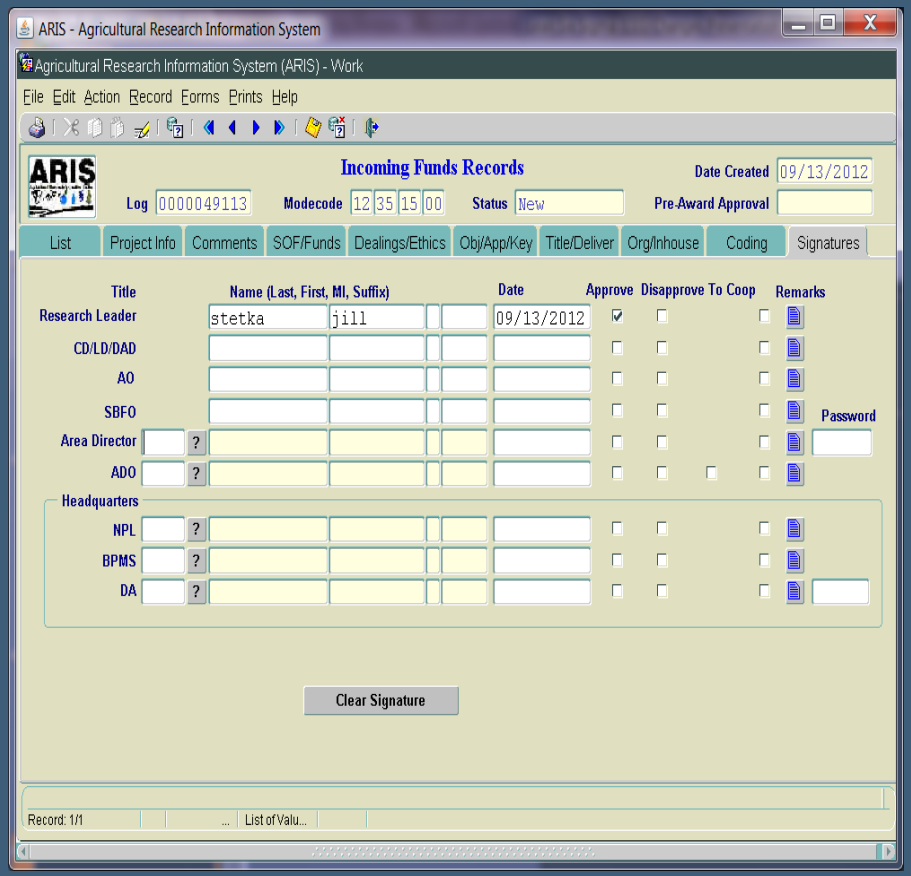
Incoming – Coding Screen

- Coding is no longer required on initial entry
- NP code auto propagates
- Upon award notification, coding will be required on Incoming Funds Record if under $25,000 or on 416/417 if over $25,000



Incoming – Signature Screen

- Modified label – ABFO to SBFO
- Removed NPL2 and 3



Incoming – Award / Post-Award

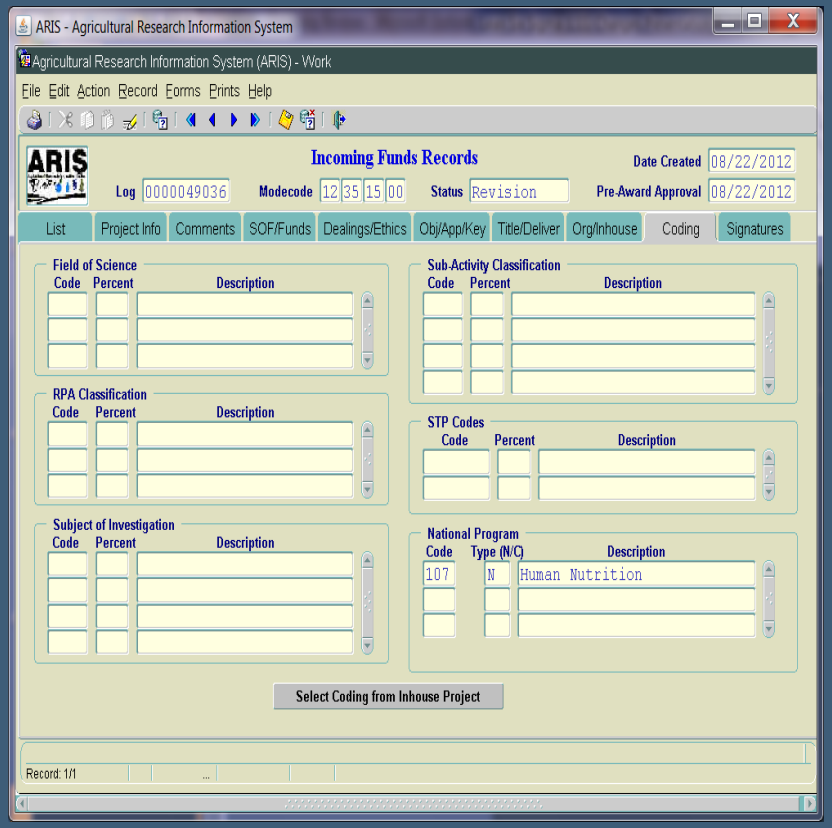
- Award Process for Agreements w/o 416/417
  - Create Work Record of Incoming Funds Record
  - Modify Comments
  - Add Coding
  - Upload SEB-102 (if applicable)
  - Add AIMS Data (if applicable)
  - Make any other necessary changes
  - Approve

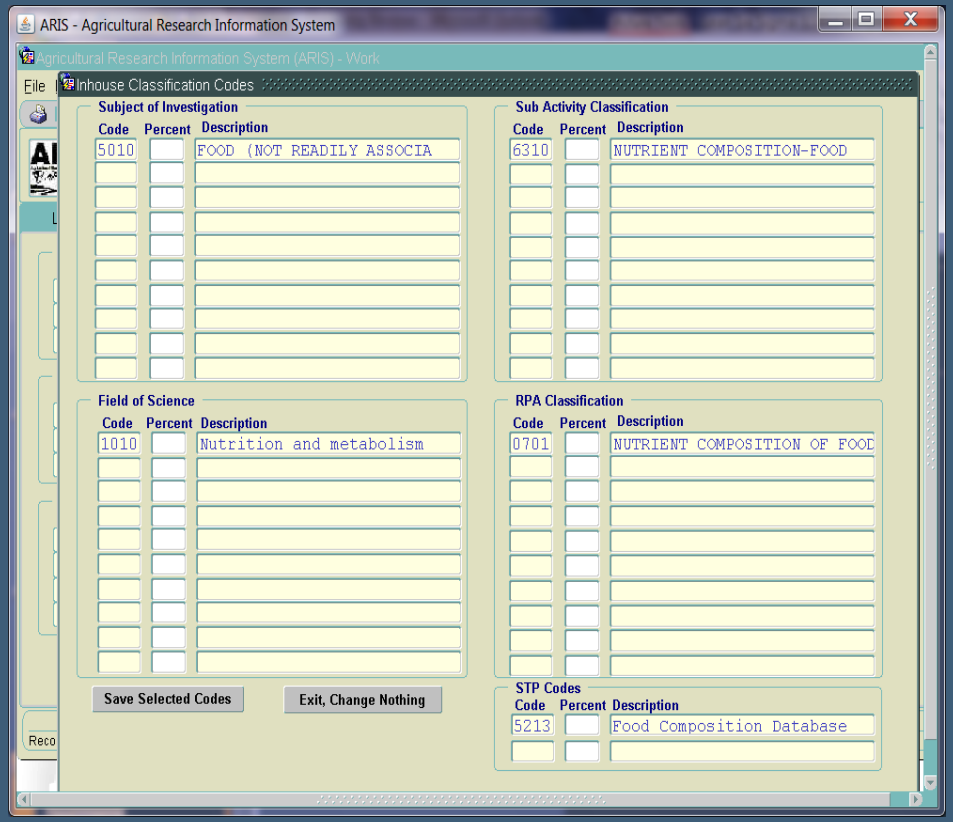
Incoming – Award / Post-Award

- Award Process for Agreements w/ 416/417
  - Create Work record of Incoming Funds Record
  - Generate 416
  - Add Comments on 416
  - Add Coding on 416
  - Upload SEB-102 (if applicable)
  - Add AIMS data (if applicable)
  - Approve

  - NOTE: 416/417 must be entered prior to entering AIMS. If attempt is made to enter AIMS first, error will be displayed

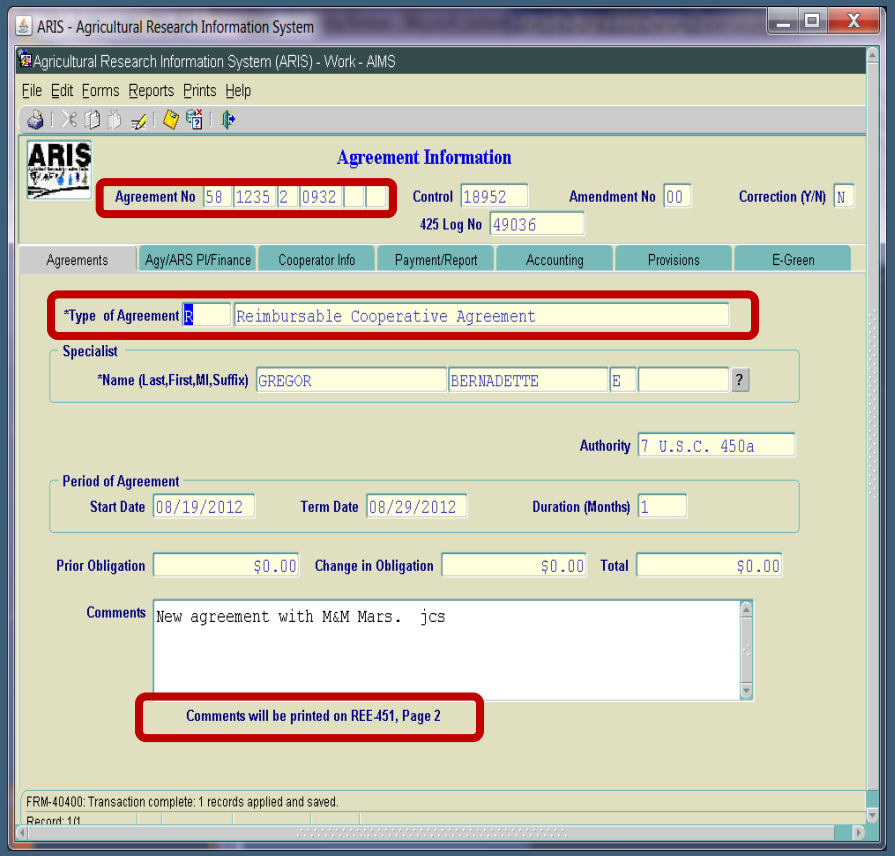
Incoming – Generating 416 and Adding Coding





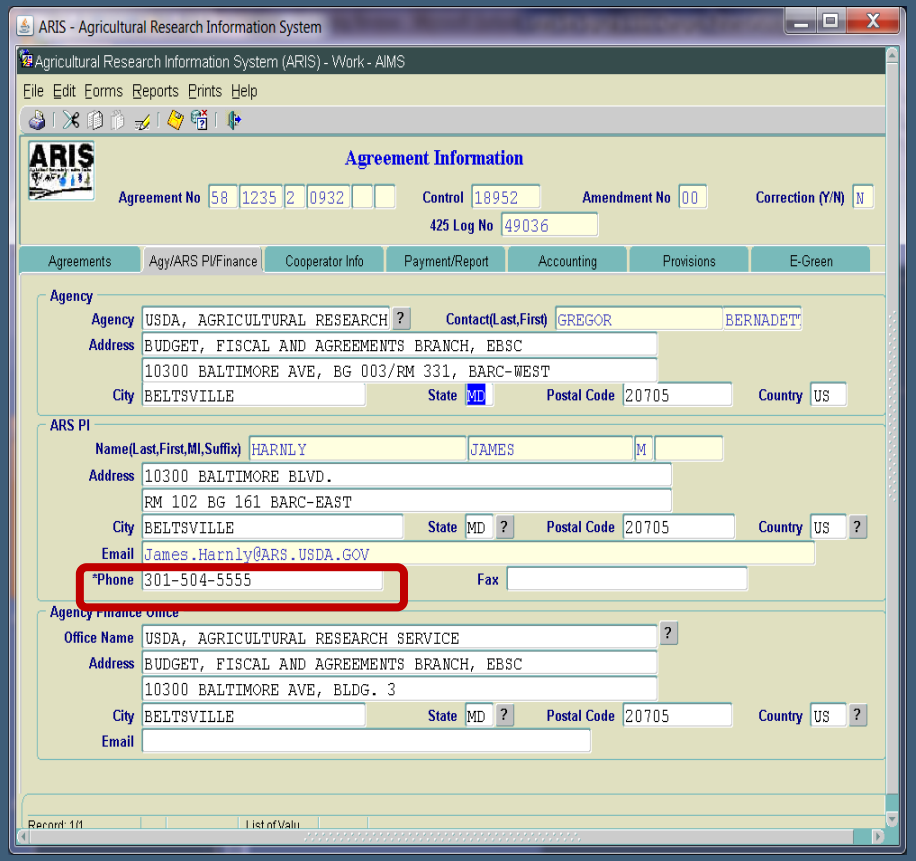
Incoming – Agreement Screen

- Agreement number auto generated on AIMS first entry
- Type of Agreement – auto populated from ARIS
  - Nonmodifiable
- Added note below Comments field

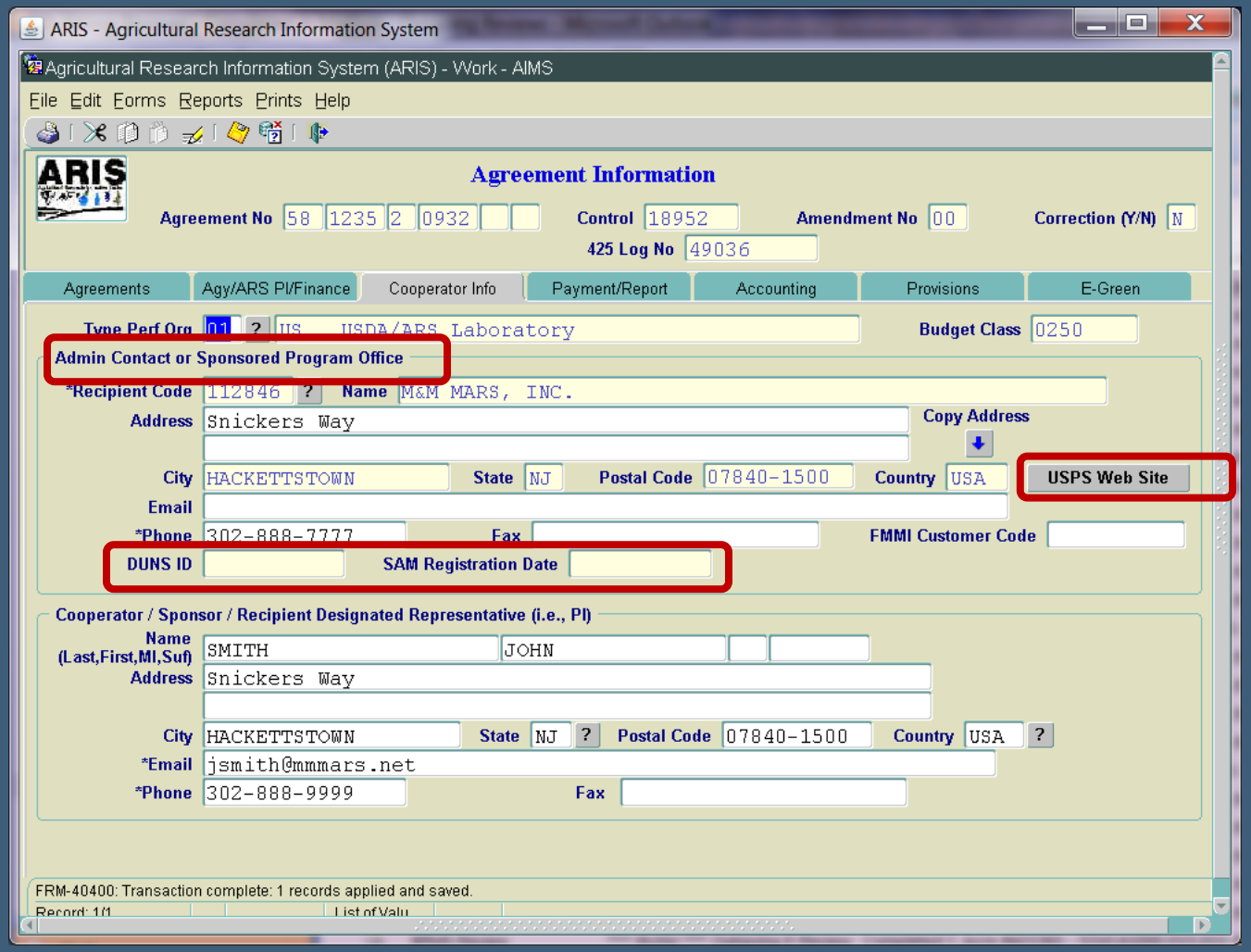


Incoming – Agy/ARS PI Screen

- ARS PI – phone number required at <u>All levels</u>
- ARS PI – email address auto populates from Delegation of Authority table
  - Not modifiable on screen



Incoming – Cooperator Info Screen

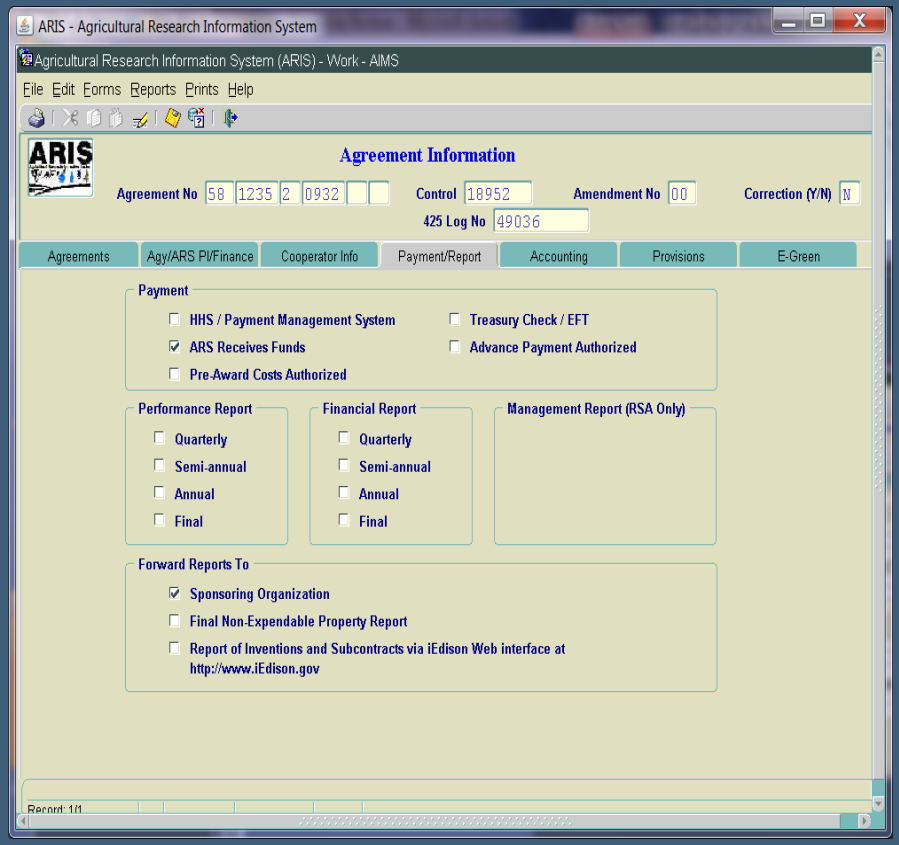


Incoming – Cooperator Info Screen

- Admin Contact or Sponsored Program Office
  - Perf Org Type auto inserts - “01 USDA/ARS Laboratory”
  - Zip +4 required for all domestic agreements
  - USPS Website link added
  - SAM link added
  - DUNS ID – auto propagates
  - SAMS Registration Date – auto propagates
  - DUNS Parent ID removed
  - DUNS Confidence Level removed
  - Phone # required at ADO level
  - Email Address required at ADO level
- Cooperator/Sponsor/Recipient Designated Rep
  - Email address required at ADO level
  - Phone # required at ADO level

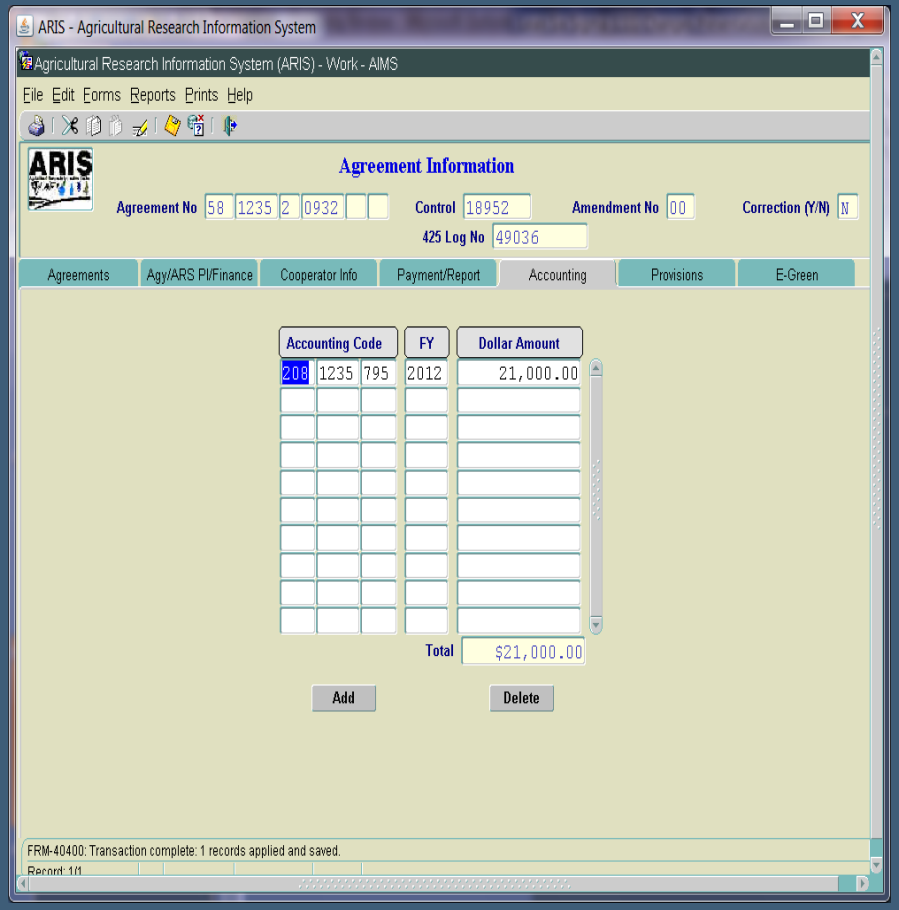
Incoming – Payment/Report Screen

- Label changes –
  - "Forward Reports To"
  - "Report of Inventions and Subcontracts"
- Added check box for Final Non-Expendable Property Report
- Turn off Management Reports for all Non RSAs



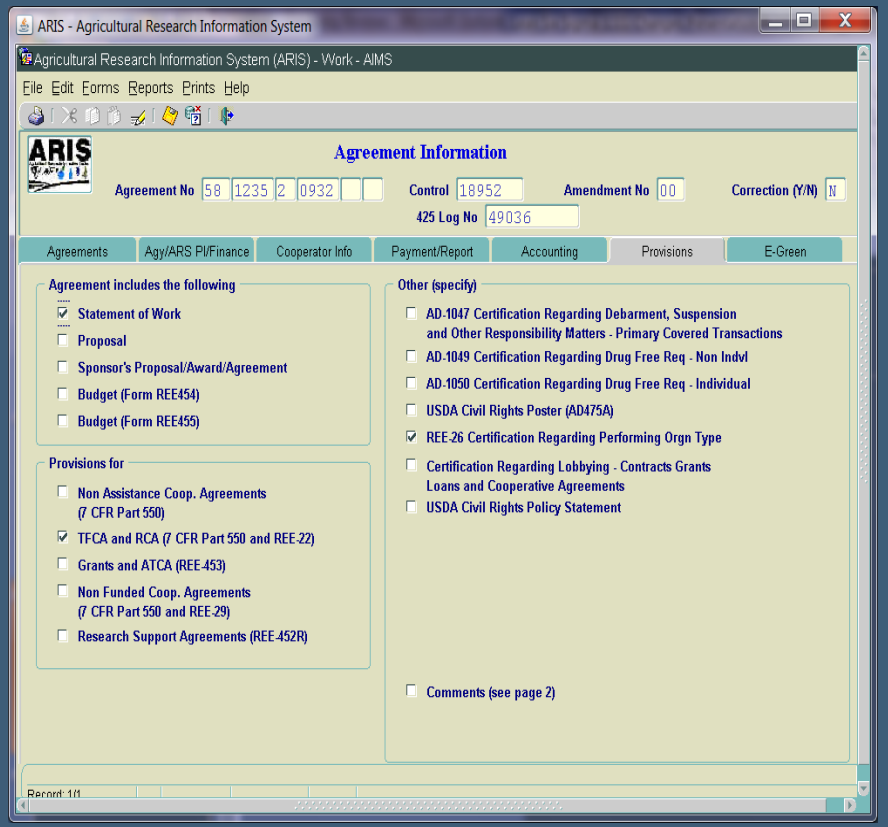
Incoming – Accounting Screen

- No changes



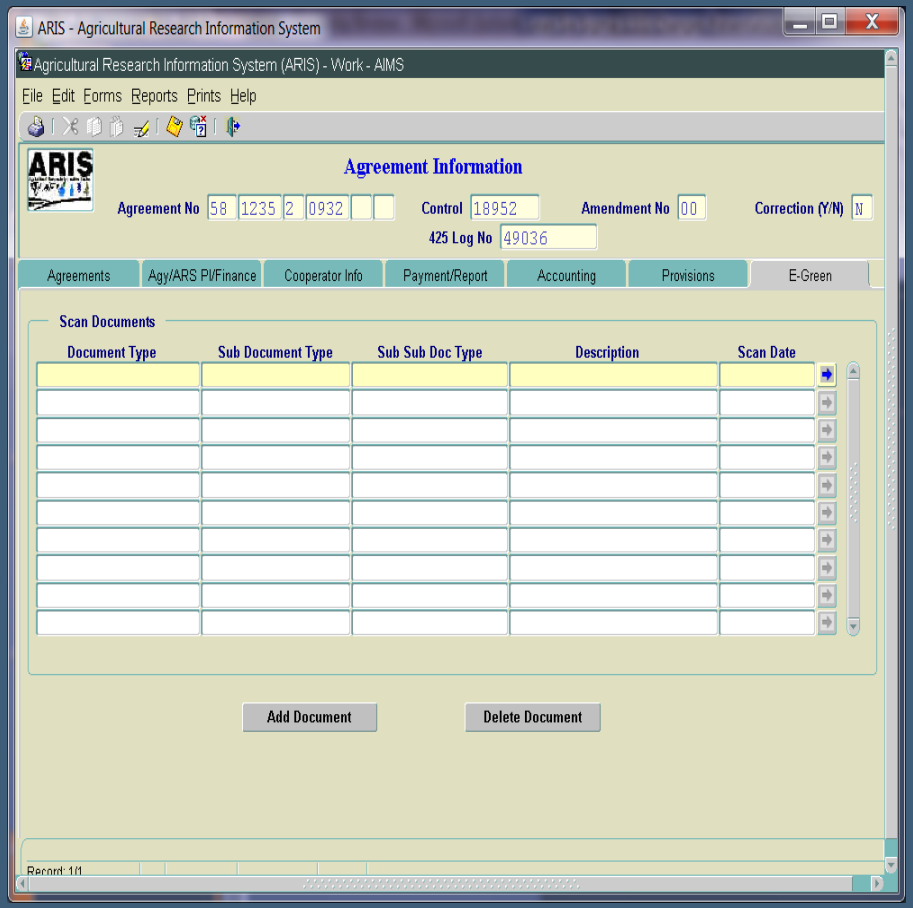
Incoming – Provisions Screen

- In “Agreement includes the following” section:
  - “Sponsor’s Proposal/ Award/Agreement” label modified
- In “Other (specify)” section:
  - Hide Attachment A for all Non RSAs
  - Added “USDA Civil Rights Policy Statement”



Incoming – E-Green Screen

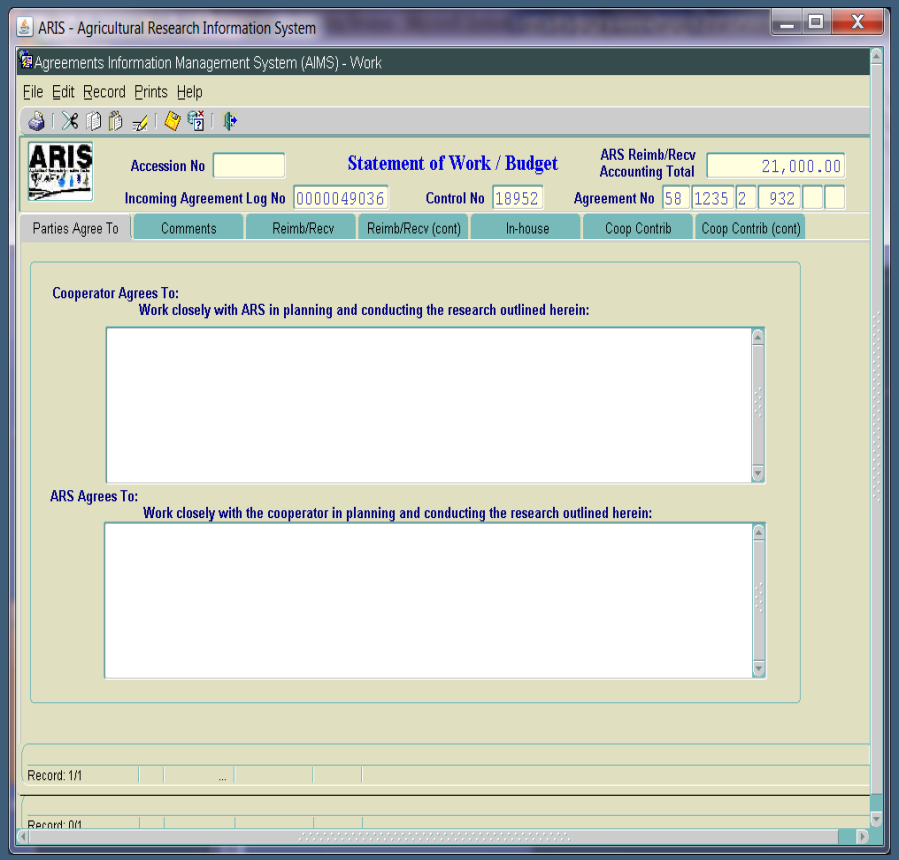
- E-green now available in Work file
- All levels can Add
- All levels can View
- Only the level that adds the document can delete, other than ADO
- Added additional options in document type and sub doc type



Incoming – SOW Screens

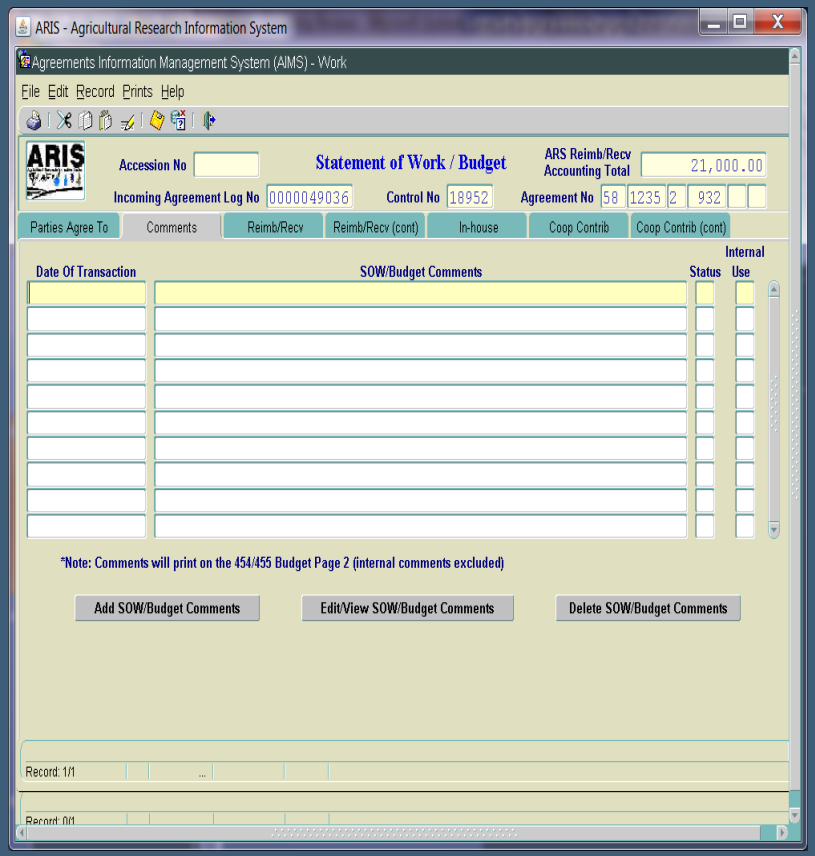
- Added Accession number in header
- SOMI/Mutual Benefits not required for RCA, TFCA, or IRA
- No other changes

- *No changes to "Parties Agree to" Screen*



Incoming – SOW/Budget Comments

- Changed label to "SOW/Budget Comments"
- Added check box to indicate Internal Use Only
- Required to answer Yes/No
- If Yes is selected, comments WILL NOT print on the 454/455
- Added Note: Comments will Print on the 454/455 Budget Page 2 (if check box = No)

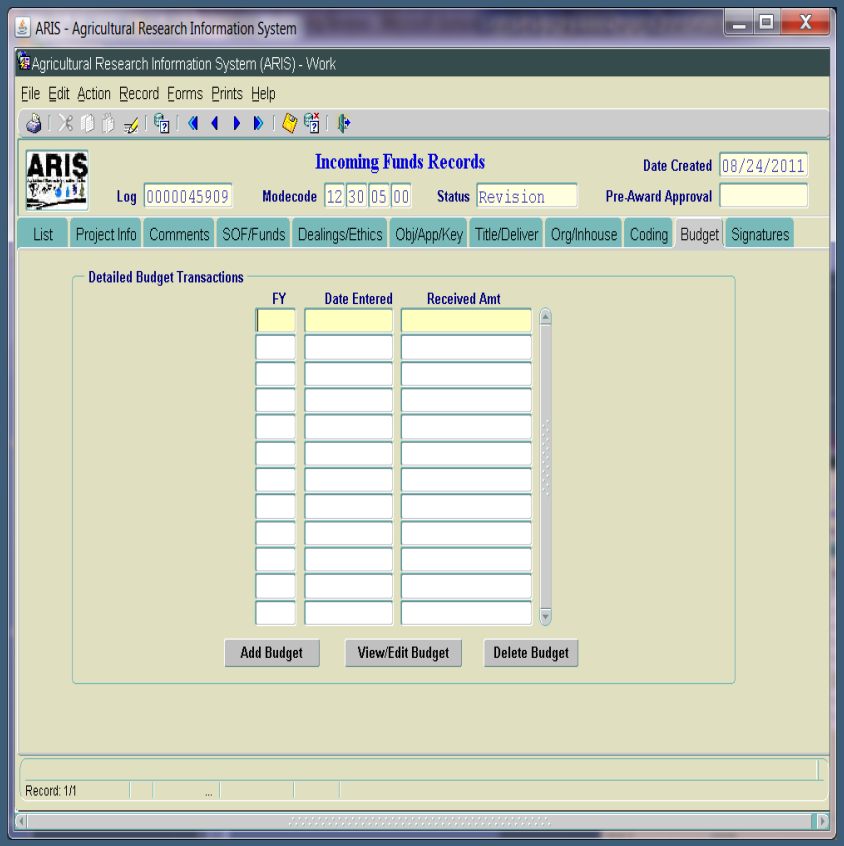


Incoming – Budget Screens

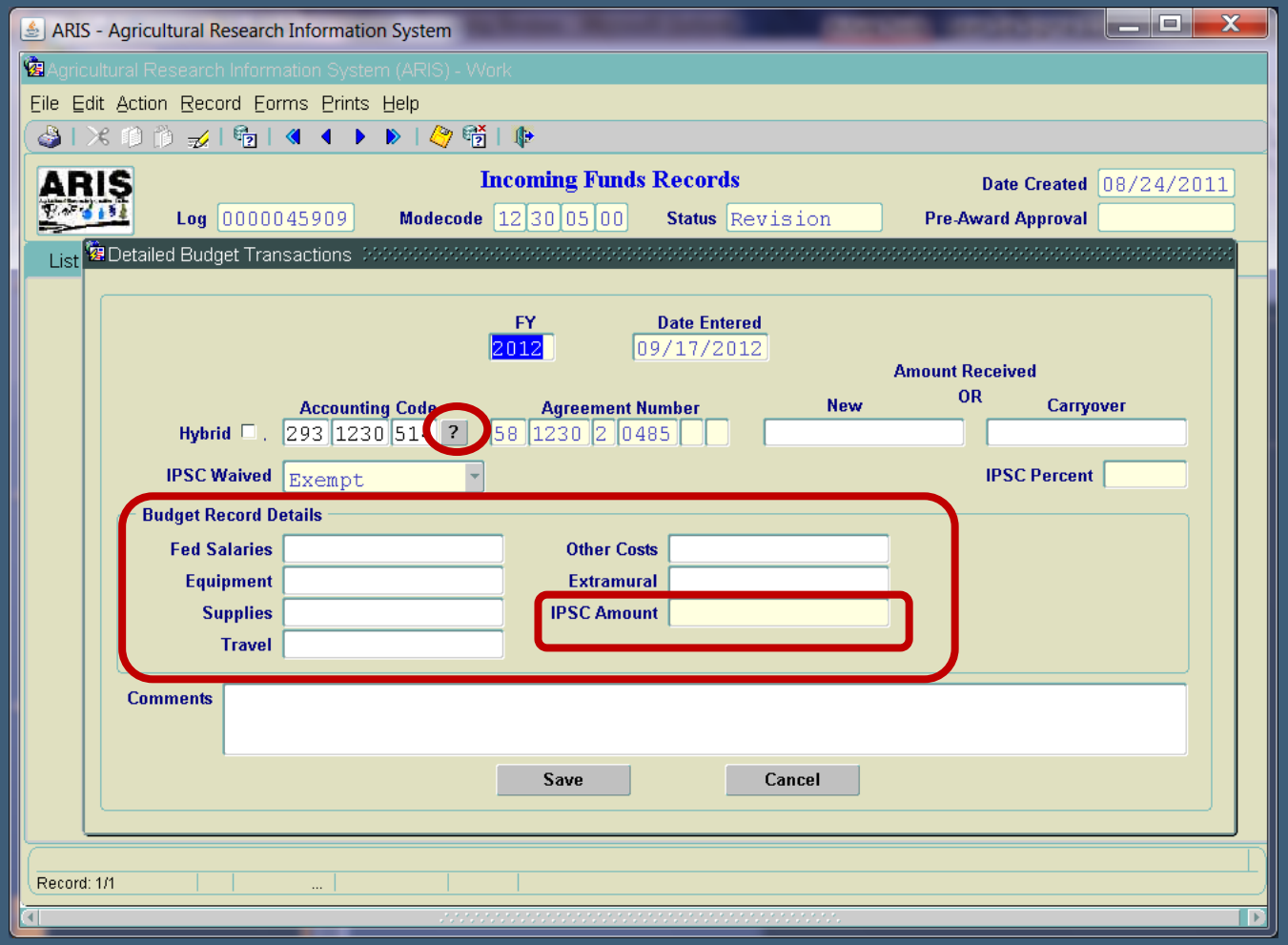
- No changes at this time
- Future phase:
  - Increase size of description fields
  - Consolidate screens
  - Standardize all screens
  - Redesign for better viewing

Incoming – Posting Screen (ARIS)

- No changes at this time



Incoming – Posting Screen



Incoming – Budget Screen

- Removed - Fund Authorization field
- Modified funding fields to correspond to Budget Record Details format
- Added IPSC field – generated from IPSC % and amount of new funds posted
- IPSC % and Amount – modifiable by BPMS
- LOV added for Accounting Codes selection; can still manually enter

Incoming – Requirements

- Gifts
  - ARIS to Dealings or E-Green screen
- Services Only
  - ARIS to Dealings or E-Green screen
- No Funds to ARS
  - ARIS – All screens; No AIMS
- Research <= or > $25,000 (CRADA, MTRA, IRA, RCA, TFCA)
  - ARIS and AIMS – all screens
  - TFCA/RCA/IRA – SOMI/Mut Benefits removed

Additional Documentation

- ARIS Online Manual – Chapter 4C
- ARIS Online Manual – Chapter 4D
- Powerpoint Presentation – recorded
- Interagency Agreement Training – EAD website
- P&P 321.1 will be revised
- IPSC P&P329.5 updated – effective October 1, 2012
- Bulletin – 12-220.0 (Gifts)

Future Phases

- Phase 2:
  - Streamlining approval process/chain
  - Email notifications
  - Addition of Proposal screen for Incoming Agreements
  - Modification to Work Record Creation
  - Budget Screen modifications
  - Modifying ADO Disapproval Transaction levels

Questions on Incoming Agreements ??