AGRICULTURAL RESEARCH INFORMATION SYSTEM (ARIS)/AGREEMENTS INFORMATION MANAGEMENT SYSTEM (AIMS) CLOSEOUT PROCEDURES FOR EXTRAMURAL AGREEMENTS

September 2009

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A. Outgoing Agreements

1. Without Deobligation of Funds

The ARIS Project must be expired before the Agreement can be closed in ARIS/AIMS. To close out an agreement, a work record must be created.

Creating a Work Record

• From the Research Documentation/Extramural Agreements screen, select "Active" and "416/417/Agreements/421" from the Menu Bar.

The query screen will be displayed.

• Enter the project number, accession number, or agreement number to find the project, and select "Query" and "Execute" from the Menu bar or press "Enter."

The project will be displayed on the 416/417 Active Projects list screen.

• Verify Status is expired.

Note: If project is not expired, do not proceed!

Mark the box to the left of the project that requires the closeout amendment.

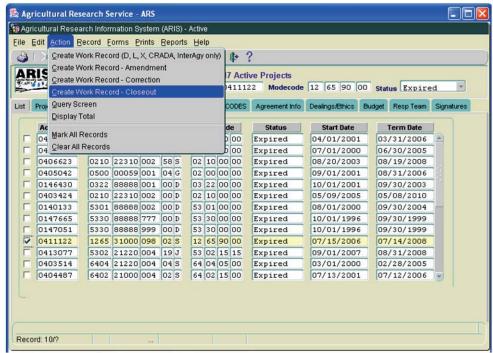


Figure 1 - Create Work Record - Closeout

• Select "Action" and "Create Work Record - Closeout" from the Menu Bar (Figure 1).

| RIS | | 416/417 Act | ive Projects | | | |
|----------------|-----------------------------|-------------------|-------------------|-------------------|-----------------|-----------|
| Proj 1 | 265 31000 098 02 | S Accn 04111 | 22 Modecode | 12 65 90 00 | Status Expire | d 1 |
| Project Info O | bj/App/Key Investigators ST | P/Codes 417 CODES | Agreement Info | Dealings/Ethics B | udget Resp Team | Signature |
| Accession | Project No | Modecode | Status | Start Date | Term Date | |
| 0405256 | 0201 22000 022 00 1 | 02 01 00 00 | Funired | 04/01/2001 | 03/31/2006 | |
| 0403746 | 0500 00031 0 Forms | | | × 00 | 06/30/2005 | |
| 0406623 | 0210 22310 0 | | | 03 | 08/19/2008 | |
| 0405042 | 0500 00059 0 | Marked Re | cord Processing i | e Complete 01 | 08/31/2006 | |
| 0146430 | 0322 88888 0 | | coluriocessingi | 01 | 09/30/2003 | |
| 0403424 | 0210 22310 0 | 2 | | 05 | 05/08/2010 | |
| 0140133 | 5301 88888 0 | | | 00 | 09/30/2004 | |
| 0147665 | 5330 88888 7 | | | QK 96 | 09/30/1999 | |
| 0147051 | 5330 88888 9 | | | 96 | 09/30/1999 | |
| 0411122 | 1265 31000 098 02 9 | 12 65 90 00 | Expired | 07/15/2006 | 07/14/2008 | |
| 0413077 | 5302 21220 004 19 J | 53 02 15 15 | Expired | 09/01/2007 | 08/31/2008 | |
| 0403514 | 6404 21220 004 04 3 | 64 04 05 00 | Expired | 03/01/2000 | 02/28/2005 | |
| 0404487 | 6402 21000 004 02 \$ | 64 02 15 00 | Expired | 07/13/2001 | 07/12/2006 | |

Figure 2 - Marked Record Processing is Complete

The system will state "Marked Record Processing is Complete" (Figure 2).

- Click "**OK**" and the Work record will be created.
- Exit Active.

The Research Documentation/Extramural Agreements screen will be displayed.

Amending the Work Record for Closeout

• Select "Work" and "416/417/Agreements."

The 416/417 Records list screen will be displayed.

- Mark the box to the left of the project that requires the closeout amendment or query the project number, accession number, or agreement number to find the project.
- Select the "**Project Info**" tab.

| 🎄 Agricultural Research Service - ARS |
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| g Agricultural Research Information System (ARIS) - Work |
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| (🎯 X () () 💋 😼 🚳 < (↓) 🕨 🎸 📸 () () |
| ARIS 416/417 Records Proj 1265 31000 098 02 8 Accn 0411122 Modecode 12 65 90 00 Status Expired - |
| List Project Info Obj/App/Key Investigators STP/Codes 417 CODES Agreement Info Dealings/Ethics Budget Signatures |
| 'Modecode 12 65 90 00 2 'Project No 12 65 31000 098 02 'Type S - Specific Cooperative Agreement' 'Status Expired 'Status Expir |
| *Start Date 07/15/2006 *Term Date 07/14/2008 Duration 24 |
| Agr Status = Closed |
| Agreement 58 1265 6 087 Control No 16009 SAES © Other None Award Date 08/23/2006 |
| Agr Status Closed Award date for the second date for the |
| Record: 1/1 |

Figure 3 - Project Info tab

- Verify the "Agr Status" is "Closed" (Figure 3).
- If the agreement has ended prior to the original expiration date, update the "**Term Date**" accordingly (Figure 3).

The following closeout statements will populate the "**Remarks**" field. Additional remarks may be added if necessary. If the remarks are modified, you must modify them in AIMS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
- 2) The final performance and financial status reports have been received.
- 3) Final payment has been made. (Not applicable to NFCAs and MOUs.)
- 4) All other terms and conditions remain unchanged.
- If the termination date was updated, add the following statement to the closeout remarks in the "**Remarks**" field: "Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion."
- If changes have been made, save the record.
- Select the "Agreement Info" tab.

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|------------------------|---|--|
| P | New Agreement Extension of Time with Added Funds | 2 Modecode 12 65 90 00 Status Expired |
| Liet Hop | Add / Deobligate Funds Only Fime Only | CODES Agreement Info Dealings/Ethics Budget Signatures |
| Request Type | | Congressionally Mandated No |
| fulti Year | | |
| Related In-hous | | |
| Project No | 265 31000 098 00 D ? Access | ion No 0412388 |
| Project Title | ENHANCING GENETIC MERIT OF DAIRY CANALYSIS | NTILE THROUGH GENOME SELECTION AND |
| Reason Res | search can not be Performed by ARS Scientist: | |
| Collabora collabora | ators are providing reagants that ar ation. | e developed as part of this |
| | Parent Project: | |
| Relevance to | | |

Figure 4 - Agreement Info tab

- Select "Other" from the "Request Type" drop down menu (Figure 4).
- If changes have been made, save the record.

If no changes are required in AIMS, proceed to the Printing instructions on Page 16. Otherwise, follow the instructions below.

• Select "Forms" and "Agreement Info (AIMS)."

The AIMS Agreement Information screen will be displayed.

| Edit Eorms | arch Information Syster Reports Prints Help) 🚽 [🔗 📆 [🍕 | | MS | | New Amendment |
|-----------------------------|---|-----------------|-------------------|--|------------------|
| RIS | | | ent Information | | Number |
| | oject No 1265 310 | | Control 16009 | Amendment No 02 Accn No 41112 | tion (Y/N) N |
| greements | Agy/ADODR/Finance | Cooperator Info | Payment/Report | Provisions | |
| 'Type of Agre Specialist | ement SCA SPECI | FIC COOPERATI | VE AGREEMENT | | |
| *Name (L | ast,First,MI,Suffix) | KINS | MARY | | ? |
| Period of Age Start Dat | eement e 07/15/2006 | Term Date 07/ | 14/2008 Du | Authority 7 U.S.C. | .3318 (b) |
| Prior Obligatio Comment | S 1) This amendm reached its te | rm date | y closes the agre | \$0.00 Total \$45 eement, which has as reports have been | 400.00 |

Figure 5 – Agreements tab

Note: If the agreement has ended prior to the original expiration date, verify the "**Term Date**" is correct (Figure 5). If it is not correct, return to the "**Project Info**" tab in ARIS and update it accordingly.

The following closeout statements will populate the "**Comments**" field. Additional comments may be added if necessary. If the comments are modified, you must modify them in ARIS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
- 2) The final performance and financial status reports have been received.
- 3) Final payment has been made. (Not applicable to NFCAs and MOUs.)
- 4) All other terms and conditions remain unchanged.
- If the termination date was updated in ARIS, add the following statement to the closeout comments: "Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion."

Note: The system automatically enters the new amendment number in the Work record (Figure 5).

• If changes have been made, save the record.

Note: The system automatically clears all of the selections on the "**Payment/Report**" tab and the "**Provisions**" tab *except* "**Comments**" on the "**Provisions**" tab (Figure 6).

| 川湖昭 | 1 2 4 1 1 | | | | |
|------------|---|--|---------------------|---|---------------------|
| RIS A | preement No 58 1265 | Agreement Info | rmation of 16009 | Amendment No 02 | Correction (V.N) IT |
| | Project No 1265 3100 | 0 098 02 5 | | Acen No 411123 | |
| Agreements | Agy/ADCOR/Finance | Cooperator Info Paym | er#Report | Provisions | |
| | ARS Receives Fu | Authorized | | next Authorized | |
| | Performance Report Ouarterly Semi-annual Annual | Financial Report Ouarterly Semi-annual Annual | EEE | gement Report (RSA Only) - Monthly Quarterly Semi-annual | |
| | Final Forward Reports To: | Final | | Final | |
| | ADOBR | Sponsoring Organization ms and Subcontracts via iEc | | | |

Figure 6 – Payment/Report tab and Provisions tab

- If changes have been made, save the record.
- Exit AIMS.

416/417 Records list screen will be displayed.

| ARIS | reement No 58 1265 | Agreeme | ent Information Control 16009 | Amendment Ho | Correction (YM) |
|------------|---|----------------------|----------------------------------|---|-----------------|
| | Project No 1265 01 | 20 890 000 | 5 | Acen No 911 | 122 |
| Agreenerts | Agy/ADCORFinance | Cooperator Into | PaymentReport | Provisions | |
| TFCA an | intance Coop. Agreements in Support Agreements (ind RCA (CFR Part 558 and and ATCA (REE-453) inded Coop. Agreements (| REE-462R) REE-22) | Comments, (see | rding Lobbying - Contract erative Agreements SA Monthly Management page 2) | |
| | | | | | |

Printing

• From the 416/417 Records Screen, highlight the project that you want to print.

| 2 | 志日 6 | 4 | 111 | AD416 | | | | | , | 4 | | | |
|---|------------|---------|---------|-------------------|--------|-------|--------|-------|------|-----------------------------|------------|--------------|------------|
| R | Proj | 1265 | 0100 | Incomi Qutgoir | ng Agi | eem | ent | ation | | REF-451 | | Status Expli | ed 💌 |
| L | st Project | into Ci | | Signati ARS11 | | mari | ks Re | port | | BEE-451 Package | Dealogs.Et | nice Budget | Signatures |
| | Accession | - | Ртоје | | 1 | - | | | | greate SOW | ert Date | Term Date | |
| | 0411122 | 1265 | 31000 | 098 | 02 | 3 | | 65 9 | KO I | Greate Budget Greate RSA | 5/2006 | 07/14/2008 | -1 |
| | | - | - | | t | t | H | | t | | | 1 | - |
| | | | - | | - | F | E | | - | | | | |
| | | | 1 | | t | t | H | d | t | | | - | -8 |
| | | | | | - | P | P | | 1 | | | | |
| | | | | | t | t | H | | 1 | | | - | |
| 1 | | | | | 1 | Г | | | T | | | | 9 |
| | | Add | Project | 1 | 2 | lelet | e Proj | ect | | Approve Multip | Ne 416s | | |
| | | | | | | | | | | | | | |



Figure 7a – AIMS REE-451

Figure 7b - 416/417 Executive Summary

- Select "**Prints**" from the Menu bar.
 - To print the AIMS information, select "AIMS Agreement Information" from the drop down menu and then select "REE-451 with Comments" (Figure 7a).
 - To print the AD-416/417, Executive Summary, select "AD416/417" from the drop down menu and then select "Exec –Pg1" (Figure 7b).

The document will display as a PDF file.

- Select "File" and "Print" from the drop down menu or select the Printer Icon 🗟 from the Tool Bar.
- Click "**OK**" and the PDF file will print.
- Close the PDF file.

The 416/417 Records list screen will be displayed.

Approving the Record for Closeout

• Select the "Signatures" tab.

| | 0 7 | 41 | B | | 3 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | (+ | | | | | | |
|------------------------|---------|-------|----------------|---------------|---|------------|-------|-----------|------|-----------------|-------------|------------|
| RIS | | | | 416/417 | Records | | | | | | | |
| | Proj 12 | 65 | 31000 098 | 02 5 | Accn 0411 | 122 | Mode | code 12 | 55 9 | 0 00 Sta | tus Expi | red |
| t Project Info | Comm | nents | Obj/App/Key | Investigators | STP/Codes | 417 | CODES | Agreement | Info | Dealings/Ethics | Budget | Signatures |
| Title tesearch Lead | | | Name(Last,Firs | t,MI,Suffix) | 17 | | | Date Aj | prov | e Disapprove | Remarks | Password |
| CD/LD/D | | | [| | | | | | F | - - | Г. 🗎 | |
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| Area Director | | ? | | j | | | | | | Г | Г. 🗎 | |
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| Headquarter | s | | | | | | | | | | | |
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| | | | | | Clear Signa | ture | | | | | | |

Figure 8 - Signatures tab

• Approve the record – enter your signature code or name, verify the date, and click the "**Approve**" box (Figure 8).

If applicable, remarks can be entered by clicking the "**Remarks**" notepad icon. A text box will be displayed to add remarks (optional).

• Save the record.

The record is now fully executed.

The ADO will distribute the appropriate closeout records to the Cooperator/Recipient, NFC, ABFO, ADODR, AO, and the Area PA.

Outgoing Agreements

2. <u>With Deobligation of Funds</u>

The ARIS Project must be expired before the Agreement can be closed in ARIS/AIMS.

To close out an agreement, a work record must be created. All funds remaining on an agreement must be deobligated.

Creating a Work Record

• From the Research Documentation/Extramural Agreements screen, select "Active" and "416/417/Agreements/421" from the Menu Bar.

The query screen will be displayed.

• Enter the project number, accession number, or agreement number to find the project, and select "Query" and "Execute" from the toolbar or press "Enter."

The project will be displayed on the 416/417 Active Projects list screen.

• Verify Status is expired.

Note: If project is not expired, do not proceed!

Mark the box to the left of the project that requires the closeout amendment.

| | dit Action R Qreate W Qreate W Qreate W Qreate W | ork Reco ork Reco ork Reco | ord (D, L, ord - Ame ord - Corr | X, CR endme rectior | ADA, Inf | | | 17 | Activ | ve Projects | 12 65 90 | 00 Stat | tus Expire | a 💌 |
|------|--|----------------------------------|---------------------------------------|---------------------------|----------|----|----|------|-----------------------|----------------|-----------------|----------------------|------------|------------|
| : [| Proj Query Sc | | | | | | | C | ODES | Agreement Info | Dealings/Ethics | Budget | Resp Team | Signatures |
| | Display 1 | otai | | | | | | d | e | Status | Start Date | 1 1 | Term Date | |
| | Mark All F | | | | | | | 1.1 | 00 | Expired | 04/01/2001 | | /31/2006 | |
| | 04 Clear All | Records | | | | | | 6 | 00 | Expired | 07/01/2000 | | /30/2005 | |
| | 0406623 | 0210 | 22310 | 002 | 58 S | 02 | 10 | 00 | 00 | Expired | 08/20/2003 | internal printers of | /19/2008 | - |
| | 0405042 | 0500 | 00059 | 001 | 04 G | 02 | 00 | 00 | 00 | Expired | 09/01/2001 | L 08 | /31/2006 | 18 |
| | 0146430 | 0322 | 88888 | 001 | 00 D | 03 | 22 | 00 | 00 | Expired | 10/01/2001 | 09 | /30/2003 | |
| | 0403424 | 0210 | 22310 | 002 | 00 D | 02 | 10 | 00 | 00 | Expired | 05/09/2005 | 5 05 | /08/2010 |) |
| | 0140133 | 5301 | 88888 | 002 | 00 D | 53 | 01 | 00 | 00 | Expired | 08/01/2000 | 09 | /30/2004 | |
| | 0147665 | 5330 | 88888 | 777 | 00 D | 53 | 30 | 00 | 00 | Expired | 10/01/1996 | 5 09 | /30/1999 | |
| | 0147051 | 5330 | 88888 | 999 | 00 D | 53 | 30 | 00 | 00 | Expired | 10/01/1996 | 5 09 | /30/1999 | |
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| | 0403514 | | 21220 | | 04 S | | 04 | _ | | Expired | 03/01/2000 | | /28/2005 | |
| | 0404487 | 6402 | 21000 | 004 | 02 5 | 64 | 02 | 15 | 00 | Expired | 07/13/2001 | L 07 | /12/2006 | |
| | | | | | | | | | | | | | | |

Figure 9 - Create Work Record - Closeout

• Select "Action" and "Create Work Record - Closeout" from the Menu Bar (Figure 9).

| Ş | | | | 416/417 Ac | tive Projects | | | | |
|----------|--|--|--|---|--|--|--|--|---|
| Proj | 1265 | 31000 098 | 02 5 | Accn 0411 | 122 Modecode | 12 65 90 0 | 0 Stat | us Expired | 4 💌 |
| ect Info | Obj/App/Ke | y Investigators | STP/Codes | 417 CODE | S Agreement Info | Dealings/Ethics | Budget | Resp Team | Signature |
| | - | Droject No. | | ladaaada | Ctatua | Chart Date | | Form Data | |
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| 46430 | | | ⊘ ₁ | Marked R | ecord Processing i | is Complete | - | | |
| 103424 | 0210 | 22310 0 | × | | | 05 | 05 | /08/2010 | |
| 40133 | 5301 | 88888 0 | | | | 00 | 09 | /30/2004 | |
| 47665 | 5330 | 88888 7 | | | | 96 | 09 | /30/1999 | |
| 47051 | 5330 | 88888 9 | | | | 96 | 09, | /30/1999 | |
| 11122 | 1265 | 31000 098 0 | 2 5 12 | 65 90 00 | Expired | 07/15/2006 | 07, | /14/2008 | |
| 13077 | 5302 | 21220 004 1 | 9 J 53 | 02 15 15 | Expired | 09/01/2007 | 08, | /31/2008 | |
| 103514 | 6404 | 21220 004 0 | 4 S 64 | 04 05 00 | Expired | 03/01/2000 | 02, | /28/2005 | |
| 104487 | 6402 | 21000 004 0 | 2 5 64 | 02 15 00 | Expired | 07/13/2001 | 07, | /12/2006 | - |
| | Proj ect Info 005256 003746 006042 446430 103424 446430 103424 140133 147665 147051 11122 13077 403514 | Proj 1265 ect Info Obi/App/Ke ccession 0201 t05256 0201 t03746 0500 t05042 0322 t03424 0210 t03424 0210 t03424 0210 t406430 0322 t03424 0210 t40133 5301 t11122 1265 t13077 5302 t03514 6404 | Proj 1265 31000 098 ect Info Obj/App/Key Investigators ccession Project No IOS256 0201 22000 002 IO3746 0500 00031 Offmin IO502 0210 22310 O IO3424 0210 22310 O IO360 8888 O IO360 IO8688 II1122 1265 31000 096 II II3077 5302 21220 IO4 I IO3514 6404 21220 IO4 I <td>Proj 1265 31000 098 02 S ect Info Obi/App/Key investigators STP/Codes ccession Project No N k05256 0201 22000 002 N k05256 0201 22000 002 N N k05256 0201 22000 002 N N k05256 0201 22000 002 N N k0562 0210 22310 N N N k03424 0210 22310 N N N k40433 5301 8888 N N N k47051 5330 8888 N N N k11122 1265 31000 98 02 N 12 k113077 5302 21220 004 19 53 64</td> <td>Proj 1265 31000 098 02 S Accn 0411 ect Info Obj/App/Key investigators STP/Codes 417 CODE ccession Project No Modecode t05256 0201 22000 002 00 02 12 01 02 02 01 01 01 01 01 01 01 01 01 01 01 01 01 01 01 01 01<td>Proj 1265 31000 098 02 S Accn 0411122 Modecode ect Info Obj/App/Key Investigators STP/Codes 417 CODES Agreement Info to5256 0201 22000 0.2 0.0 0.2 0.1 0.0 Fxmired to5256 0201 22000 0.2 0.0 0.2 0.0 Fxmired to5256 0201 22000 0.2 0.0 0.2 0.1 0.0 Fxmired to506 0202 2310 0 0 0 0.2 0.1 0.0 0.2 0.0 0.2 0.0 0.2 0.0 0.2 0.0 0.2 0.0 0.2 0.0 0.2 0.0</td><td>Proj 1265 31000 098 02 S Accn 0411122 Modecode 12 65 90 0 ect Info Obj/AppKey Investigators STP/Codes 417 CODES Agreement Info Dealings/Ethics ccession Project No Modecode Status Start Date h05256 0201 22000 002 01 02 01 00 04/01/2001 h05042 0500 00031 O 02 01 02 03<td>Proj 1265 31000 098 02 S Accn 0411122 Modecode 12 65 90 00 Stat ect Info Obj/App/Key Investigators STP/Codes 417 CODES Agreement Info Dealings/Ethics Budget ccession Project No Modecode Status Stat Date 03 04/01/2001 03 lo32746 0500 00031 Forms 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Figure 10 - Marked Record Processing is Complete

The system will state "Marked Record Processing is Complete" (Figure 10).

- Click "**OK**" and the Work record will be created.
- Exit Active.

The Research Documentation/Extramural Agreements screen will be displayed.

Amending the Work Record for Deobligation and Closeout

• Select "Work" and "416/417/Agreements."

The 416/417 Active Projects list screen will be displayed.

- Mark the box to the left of the project that requires the deobligation and closeout amendment or query the project number, accession number, or agreement number to find the project.
- Select the "**Project Info**" tab.

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Figure 11 - Project Info tab

- Verify the "Agr Status" is "Closed" (Figure 11).
- If the agreement has ended prior to the original expiration date, update the "**Term Date**" accordingly (Figure 11).

The following closeout statements will populate the "**Remarks**" field. Additional remarks may be added if necessary. If the remarks are modified, you must modify them in AIMS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
- 2) The final performance and financial status reports have been received.
- 3) Final payment has been made.
- 4) All other terms and conditions remain unchanged.
- If the termination date was updated, add the following statement to the closeout remarks in the "**Remarks**" field: "Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion.
- Add one of the following statements to the closeout remarks:
 - For deobligations: "This amendment deobligates \$(enter amount) in remaining funds."
 - For Transfer of Disbursement Authority: "This amendment is processed to transfer the disbursement of authority in the amount of \$(enter amount deobligated) to Agreement # (enter the new Agreement #, if available). This is not a deobligation of funds. "

Note: For RSAs, funds *cannot* be transferred to a new agreement.

- Save the record.
- Select the "Agreement Info" tab.

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Figure 12 - Agreement Info tab

- Select "Add/Deobligate Funds Only" from the "Request Type" drop down menu (Figure 12).
- If changes have been made, save the record.
- Select the "**Budget**" tab.

Note: For RSAs, all Budget data is entered in AIMS (Figure 17 and Figure 20).

The 416/417 Records Budget Screen will be displayed.

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Figure 13 - Budget tab

• Select "Add" at the bottom of the screen (Figure 13).

To complete the Budget tab, you need the funding project number, the Log Number (if the funding project is an incoming agreement) **or** the Accession Number of the funding project to be deobligated (*not the Agreement Accession number*).

Note: Utilize the 416/417/Outgoing Agreement (550a) in the file to identify the funding project, fiscal year, and accounting code.

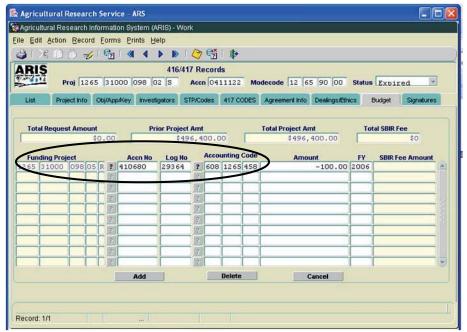


Figure 14 - Completed Budget tab

Follow the applicable step below to complete the Budget tab:

- A. Funding Project Number (found on the Budget Page of 416/417)
- Click the question mark in next to the "Funding Project" and select the funding project number to be deobligated from the list of values (LOV) (Figure 14).

The "Accession No" will automatically propagate on the "Budget" tab.

- Enter the "Accounting Code," *negative* dollar Amount, and fiscal year.
- B. Log Number (found on the 416/417)

If the funding project is an incoming agreement and/or the funding project number is not available:

• Click the **m** next to the **"Log No"** and select the log to be deobligated from the LOV (Figure 14).

The "Accounting Code" will automatically propogate.

- Enter the *negative* dollar Amount and fiscal year.
- C. <u>Accession Number for the funding project (not the Agreement Accession number)</u>

If you do not have the funding project number or the log number:

• Enter the "Accession No" of the funding project to be deobligated (Figure 14).

The "Funding Project" and/or "Log No" will automatically propagate.

- Enter the "Accounting Code," *negative* dollar amount, and fiscal year.
- Note: When deobligating funds, only a *negative* number should be entered in the "Amount" field.
- **Note:** The "**SBIR Fee Amount**" will automatically calculate. SBIR is not taken or returned by BPMS on prior year obligations.
- Save the record.
- Select "Forms" and "Agreement Info (AIMS)."

The AIMS Agreement Information screen will be displayed.

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Figure 15 - Agreements tab

Verify the "Change in Obligation" matches the amount entered on the "Budget" tab in ARIS (Figure 15). If the amounts do not match, return to ARIS and update the amount entered on the "Budget" tab. *For RSAs*, the "Change in Obligation" will update once the accounting information is entered on the "Accounting" tab in AIMS (Figure 17).

Note: If the agreement has ended prior to the original expiration date, verify the "**Term Date**" is correct (Figure 15). If it is not correct, return to the "**Project Info**" tab in ARIS and update it accordingly.

The following closeout statements will populate in the "**Comments**" field. Additional comments may be added if necessary. If the comments are modified, you must modify them in ARIS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
- 2) The final performance and financial status reports have been received.
- 3) Final payment has been made.
- 4) All other terms and conditions remain unchanged.
- If the termination date was updated in ARIS, add the following statement to the closeout comments: "Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion."
- Add one of the following statements to the closeout comments:
 - For deobligations: "This amendment deobligates \$(enter amount) remaining FY xxxx funds."
 - For Transfer of Disbursement Authority: "This amendment is processed to transfer disbursement of authority in the amount of \$(enter amount deobligated) to Agreement # (enter the new Agreement #, if available). This is not a deobligation of FY xxxx funds. "

Note: For RSAs, funds *cannot* be transferred to a new agreement.

Note: The system automatically enters the new amendment number in the Work record (Figure 15).

• Save the record.

Note: The system automatically clears all of the boxes on the "**Payment/Report**" tab and the "**Provisions**" tab *except* "**Comments**" on the "**Provisions**" tab (Figure 16).

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Figure 16 – Payment/Report tab and Provisions tab

- If changes have been made, save the record.
- *For RSAs*, select the "Accounting" tab. For other types of outgoing agreements, go to Figure 18.
- Enter the Accounting Code(s), Fiscal Year and *negative* Dollar Amount(s) (Figure 17).
- Click "Calculate."

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Figure 17 - RSA Accounting tab

Note: The total amount on the "**Accounting**" tab will populate the "**Change in Obligation**" amount on the "**Agreements**" tab (Figure 15) and the "**ARS Reimb/Recv Accounting Total**" on the "**RSA Budget**" tab (Figure 20).

• Save the record.

Select "Forms" and "SOW/Budget."

The SOW/Budget screen will be displayed.

Select the "Reimb/Recv (cont)" tab. For RSAs, go to the "RSA Budget" tab (see Figure 20).

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Figure 18 - Reimb/Recv (cont) tab

• Enter the dollar amount to be deobligated in the "Amount of Deobligation" field.

Note: The system identifies the amount of deobligation as a *negative* (do not enter a negative sign).

- Click "Calculate" to calculate the "Total Costs" (Figure 18).
- Save the record.

Error Message!

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Figure 19 - Reimb/Recv (cont) tab - Error Message

Note: An error message will appear if the Accounting Information entered on the "**Budget**" tab in ARIS does not match the amount entered on the "**Reimb/Recv (cont)**" tab in AIMS (Figure 19). If necessary, go back to the "**Budget**" tab in ARIS and correct the amount.

For RSAs (Figure 20):

- Complete the RSA budget screen by entering the item number, description of Supplies or Service, quantity, unit, and the *negative* unit price for each line item.
- Enter the *originally assessed* Indirect Cost Rate (%), if applicable.
- If the particular supplies or services was not assessed the original indirect cost rate (ICR), mark the corresponding ICR Exempt box and the system will not factor the particular line item amount in the IRC being refunded.

Note: The system will automatically calculate the Grand Total and all other fields.

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Figure 20 – RSA Budget

Note: An error message will appear if the amount in the "**ARS Reimb/Recv Accounting Total**" does not match the "**Grand Total**" on the "**RSA Budget**" tab (Figure 20). If necessary, go back to the "**Accounting**" tab (Figure 17) and correct the amount.

- Save the record.
- Exit the "Statement of Work/Budget" screen.

The Agreements Information screen in AIMS will be displayed.

• Exit AIMS.

The 416/417 Records list screen will be displayed.

Printing

• From the 416/417 Records Screen, highlight the project that you want to print.

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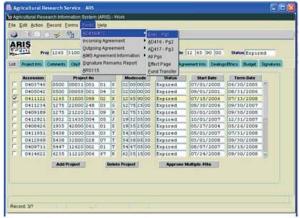


Figure 21a – AIMS REE-451

Figure 21b - 416/417 Executive Summary

- Select "**Prints**" from the Menu bar.
 - To print the AIMS information, select "AIMS Agreement Information" from the drop down menu and then select "REE-451 with Comments" (Figure 21a). For RSAs, you must also select "Create RSA" from the drop down menu to print the RSA Budget.
 - To print the AD-416/417, Executive Summary, select "AD416/417" from the drop down menu and then select "Exec –Pg1" (Figure 21b).

The document will display as a PDF file.

- Select "File" and "Print" from the drop down menu or select the Printer Icon 🖻 from the Tool Bar.
- Click "**OK**" and the PDF file will print.
- Close the PDF file.

The 416/417 Records list screen will be displayed.

Approving the Record for Deobligation and Closeout

• Select the "Signatures" tab.

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Figure 22- Signatures tab

• Approve the record – enter your signature code or name, verify the date, and click the "Approve" box (Figure 22).

If applicable, remarks can be entered by clicking the "**Remarks**" notepad icon. A text box will be displayed to add remarks (optional).

• Save the record.

The record is now fully executed.

The ADO will distribute the appropriate closeout records to the Cooperator/Recipient, NFC, ABFO, ADODR, AO, and the Area PA.

Note: If funding changes have occurred, the record will go to ONP and BPMS for concurrence and will then appear in the active file.

B. Closing out Incoming Agreements

1. Incoming Agreements Over \$25,000

(Reimbursable or Trust Fund Agreements with a 416/417)

Changes in funding on an incoming agreement require the ADO to work closely with the ABFO or PA to verify that the funding amounts are correct *prior to closing the agreement*. The ADO should not proceed with closeout until they have received documentation of financial closeout from budget. <u>Once the change in funds is complete, follow the instructions below</u>.

The ARIS project must be expired before the Agreement can be closed in ARIS/AIMS.

To close out an agreement, a work record must be created.

Creating a Work Record

• From the Research Documentation/Extramural Agreements screen, select "Active" and "416/417/Agreements/421" from the Menu Bar.

The query screen will be displayed.

• Enter the project number, accession number, or agreement number to find the project, and select "Query" and "Execute" from the Menu bar or press "Enter."

The project will be displayed on the 416/417 Active Projects list screen.

• Verify Status is expired.

Note: If project is not expired, do not proceed!

Mark the box to the left of the project that requires the closeout amendment.

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Figure 23 - Create Work Record - Closeout

• Select "Action" and "Create Work Record - Closeout" from the Menu Bar (Figure 23).

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Figure 24 - Marked Record Processing is Complete

The system will state "Marked Record Processing is Complete" (Figure 24).

- Click "**OK**" and the Work record will be created.
- Exit Active.

The Research Documentation/Extramural Agreements screen will be displayed.

Amending the Work Record for Closeout

• Select "Work" and "416/417/Agreements."

The 416/417 Records list screen will be displayed.

- Mark the box to the left of the project that requires the closeout amendment or query the project number, accession number, or agreement number to find the project.
- Select the "**Project Info**" tab.

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Figure 25 - Project Info tab

- Verify the "Agr Status" is "Closed" (Figure 25).
- If the agreement has ended prior to the original expiration date, update the "Term Date" accordingly.

The following closeout statements will populate the "**Remarks**" field (Figure 25). Additional remarks may be added, if necessary. If the remarks are modified, you must modify them in AIMS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
- 2) Final payment has been received from the sponsor.
- 3) All other terms and conditions remain unchanged.
- If the termination date was updated, add the following statement to the closeout remarks in the "**Remarks**" field (Figure 25): "Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion."
- If funding changes have occurred, add the following statement to the closeout remarks: "This amendment reduces the FY xxxx funding by \$(enter amount)."
- If changes have been made, save the record.
- Select "Forms" and "Agreement Info (AIMS)."

The AIMS Agreement Information screen will be displayed.

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Figure 26 – Agreements tab

Note: If the agreement has ended prior to the original expiration date, verify the "**Term Date**" is correct. If it is not correct, return to the "**Project Info**" tab in ARIS and update the term date accordingly.

The following closeout statements will populate the "**Comments**" field (Figure 26). Additional comments may be added, if necessary. If the remarks are modified, you must modify them in ARIS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
- 2) Final payment has been received from the sponsor.
- 3) All other terms and conditions remain unchanged.
- If the termination date was updated in ARIS, add the following statement to the closeout comments: "Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion."
- If funding changes have occurred, add the following statement to the closeout comments: "This amendment reduces the FY xxxx funding by \$(enter amount)."

Note: The system automatically enters the new amendment number in the Work record (Figure 26).

• Save the record.

Note: The system automatically clears all of the selections on the "**Payment/Report**" tab and the "**Provisions**" tab *except* "**Comments**" on the "**Provisions**" tab (Figure 27).

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Figure 27 – Payment/Report tab and Provisions tab

- Save the record.
- Exit AIMS.

416/417 Records list screen will be displayed.

Printing

• From the 416/417 Records Screen, highlight the project that you want to print.

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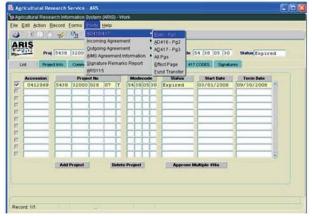
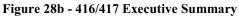


Figure 28a – AIMS REE-451



- Select "**Prints**" from the Menu bar.
 - To print the AIMS information, select "AIMS Agreement Information" from the drop down menu and then select "REE-451 with Comments" (Figure 28a).
 - To print the AD-416/417, Executive Summary, select "AD416/417" from the drop down menu and then select "Exec –Pg1" (Figure 28b).

The document will display as a PDF file.

- Select "File" and "Print" from the drop down menu or select the Printer Icon 🖻 from the Tool Bar.
- Click "**OK**" and the PDF file will print.
- Close the PDF file.

The 416/417 Records list screen will be displayed.

Approving the Record for Closeout

• Select the "Signatures" tab.

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Figure 29 - Signatures tab

• Approve the record – enter your signature code or name, verify the date, and click the "**Approve**" box (Figure 29).

If applicable, remarks can be entered by clicking the "**Remarks**" notepad icon. A text box will be displayed to add remarks (optional).

• Save the record.

The record is now fully executed.

The ADO will distribute the appropriate closeout records to the Cooperator/Recipient, NFC, ABFO, ADODR, AO, and the Area PA.

Note: If funding changes have occurred, the record will go to ONP and BPMS for concurrence and will then appear in the active file.

B. Closing out Incoming Agreements

1. Incoming Agreements less than (or equal to) \$25,000

(Reimbursable or Trust Fund Agreements without a 416/417)

Changes in funding on an incoming agreement require the ADO to work closely with the ABFO or PA to verify that the funding amounts are correct *prior to closing the agreement*. The ADO should not proceed with closeout until they have received documentation of financial closeout from budget. <u>Once the change in funds is complete, follow the instructions below</u>.

The ARIS project must be expired before the Agreement can be closed in ARIS/AIMS. To close out an agreement, a work record must be created.

Creating a Work Record

• From the Research Documentation/Extramural Agreements screen, select "Active" and "Incoming Agreements" from the Menu Bar.

The query screen will be displayed.

• Enter the log number, control number, or agreement number to find the project, and select "Query" and "Execute" from the Menu bar or press "Enter."

The project will be displayed on the Incoming Agreements Records list screen.

• Verify Status is expired.

Note: If the project is not expired, do not proceed!

Mark the box to the left of the project that requires the closeout amendment.

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| | | Г | | | | |][|) | | | | | | | | | | | |

Figure 30 - Create Work Record - Closeout

[•] Select "Action" and "Create Work Record - Closeout" from the Menu Bar (Figure 30).

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| ist Project Info | SOF/Funds | Dealings/Ethics | Obj/App/Key | Work/Deliver | Org/Inhouse | Coding | Budget Sign | natures |
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Figure 31- Marked Record Processing is Complete

The system will state "Marked Record Processing is Complete" (Figure 31).

- Click "**OK**" and the Work record will be created.
- Exit Active.

The Research Documentation/Extramural Agreements screen will display.

Amending the Work Record for Closeout

• Select "Work" and "Incoming Agreements."

The Incoming Agreements Records list screen will be displayed.

- Mark the box to the left of the log number that requires the closeout amendment or query the log number, control number, or agreement number to find the project.
- Select the "**Project Info**" tab.

| 🗟 Agricultural Research Service - ARS |
|---|
| a Agricultural Research Information System (ARIS) - Work Incoming Agreement |
| Eile Edit Action Record Forms Prints Help |
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| Log 0000035463 Modecode 54 42 05 15 Status Expired Date Created 12/21/2007 |
| List Project Info SOF/Funds Dealings/Ethics Obj/App/Key Work/Deliver Org/Inhouse Coding Signatures |
| Modecode 54 42 05 15 ? *Start Date 10/01/2008 *Term Date 06/30/2009 Duration (Months) 009 Contact Info Closed *Type CoPrincipal Phone 701-239-1284 |
| Agreement *Type Of Agree Agreement Number SS 5442 9 429 Control No Agreement Log Number Agreement Log Number Agreement Log Number Primary Agreement Log Number 17,000.00 |
| <pre>'Purpose Of Funds Research <= 25,000</pre> |
| Record: 1/1 <0SC> |

Figure 32 - Project Info tab

- Verify the "Agr Status" is "Closed" (Figure 32).
- If the agreement has ended prior to the original expiration date, update the "Term Date" accordingly.

The following closeout statements will populate the "**Remarks**" field (Figure 32). Additional remarks may be added, if necessary. If the remarks are modified, you must modify them in AIMS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
- 2) Final Payment has been received from the sponsor.
- 3) All other terms and conditions remain unchanged.
- If the termination date was updated, add the following statement to the closeout remarks in the "**Remarks**" field (Figure 32): "Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion."
- If funding changes have occurred, add the following statement to the closeout remarks: "This amendment reduces the FY xxxx funding by \$(enter amount)."
- If changes have been made, save the record.
- Select "Forms" and "Agreement Info (AIMS)."

The AIMS Agreement Information screen will be displayed.

| | search Service - ARS | | E | New |
|-----------------------|---|------------------------------|-----------------|-----------|
| - | arch Information System (ARIS) - Work - AIMS Reports Prints Help | | | |
| |) | | | Amendment |
| | | | | Number |
| RIS | Agreement Information | | | _ |
| Agree | ment No 58 5442 9 429 Control 22283 | Amendment No 01 | Correction (Y/N |) N |
| 42 | i Log No 35463 | | | |
| Agreements | Agy/ADODR/Finance Cooperator Info Payment/Report | Accounting | Provisions | |
| | | | | |
| *Type of Agre | ement RCA REIMBURSABLE COOPERATIVE AGREEMEN | Г | ? | |
| Specialist - | | | | |
| 'Name (I | ast,First,MI,Suffix) QUARATINO JAMES | E | ? | |
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| and the second second | | and the second second second | | |
| Commen | S 1) This amendment officially closes the age | ceement, which has | | |
| | reached its term date. 2) Final payment has been made. | | | |
| | 3) All other terms and conditions remain up | chanced | | |
| | | | | |
| ecord: 1/1 | | | | |

Figure 33 - Agreements tab

Note: If the agreement has ended prior to the original expiration date, verify the "**Term Date**" is correct. If it is not correct, return to the "**Project Info**" tab in ARIS and update it accordingly.

The following closeout statements in the "**Comments**" field (Figure 33). Additional comments may be added, if necessary. If the remarks are modified, you must modify them in ARIS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
- 2) Final Payment has been received by the sponsor.
- 3) All other terms and conditions remain unchanged.
- If the termination date was updated in ARIS, add the following statement to the closeout comments: "Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion."
- If funding changes have occurred, add the following statement to the closeout remarks: "This amendment reduces the FY xxxx funding by \$(enter amount)."

Note: The system automatically enters the new amendment number in the Work record (Figure 33).

• Save the record.

Note: The system automatically clears all of the selections on the "**Payment/Report**" tab and the "**Provisions**" tab *except* "**Comments**" on the "**Provisions**" tab (Figure 34).

| | Beports Prints Help | • | | |
|------------|--|--------------------------------|--|-------------------------|
| | eemeent No 56 5442 25 Log No 35463 | Agreement Inform 9 429 Control | | No 01 Correction (YM) N |
| Agreements | AgyIADODR/Finance | Cooperator Info Poyment | Report Accounting | Provisions |
| | Payment IBIS / Payment N ARS Receives for Pre-Award Cost | unds 🗍 A | reasury Check / EFT dvance Payment Authorized | |
| | Performance Report | Financial Report | Management Report | (FSA Only) |
| | Forward Reports To: ADOOR Report of Invention http://www.if.dis | Sponsoring Organization | ADO In Web interface at | |

Figure 34 – Payment/Report tab and Provisions tab

| 10 | nent No 58 5442 .og No 35463 | Agreeme | control 22283 | Amendment Ho | Amendment Ho 01 Correct | | |
|---|---------------------------------|-----------------|---|--|--|----------|--|
| Agreenerts | Agy/ADCORFINANCE | Cooperator Into | PaymentReport | Accounting | Provisions | 1 | |
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- Save the record.
- Exit AIMS.

The Incoming Agreements Records list screen will be displayed.

Printing

• From the Incoming Agreements screen, highlight the project that you want to print.

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|---|-----|-----|-----|------|------|-------------------------|-------|---|----------|-----------|--------|--------------------------------------|------------|--------|------------|-----------|
| | Lis | st | | P | roje | ect Info SOF | /Fund | s Dealin | gs/Ethi | cs Ot 🤉 | 2reate | | Org/Inhous | e | Coding | Signature |
| | N | lod | eco | ode | | Log No | | Conta | ct(Last, | First,MI) | | Status | Start Da | ite | Term Date | |
| - | 02 | 0 | 5 0 | 0 00 | 6 | 0000034602 | SIM | MONS | M | ARY | W | Revision | 02/01/2 | :008 | 09/30/201 | 2 |
| | 12 | 31 | 0 0 | 5 00 | C | 0000021803 | ROH | 1 | M | ARK | s | Terminated | 05/01/2 | 2002 | 06/30/200 | 6 |
| | 12 | 6 | 5 4 | 0 00 | C | 0000037808 | HIL | L | D | OLORES | E | Revision | 12/05/2 | 800 | 11/30/200 | 9 |
| , | 54 | 4 | 2 0 | 5 15 | C | 0000035463 | LEO | POLD | R | OGER | A | Expired | 10/01/2 | 800 | 06/30/200 | 9 |
| 1 | 64 | 0 | 3 0 | 5 10 | C | 0000037958 | BIN | GNER | R | ONALD | L | Revision | 12/01/2 | :008 | 11/30/201 | 3 |
| | 66 | 2. | 5 0 | 5 00 | | 0000036553 | COM | STOCK | J | ACK | C | Revision | 01/12/2 | :009 | 08/31/201 | |
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| | | | | | | | | | | | | | | | | |
| | | | | | Add | Agreement | ř í | Delete Ag | reemer | nt | Gen | erate 416 | Multiple | Appro | val | |

Figure 35 - Print Options - AIMS

• Select "**Prints**" from the Menu bar and "**AIMS Agreement Information**" from the drop down menu and then select "**REE-451 with Comments**" to print the necessary AIMS information (Figure 35).

The REE-451 will display as a PDF file.

- Select "File" and "Print" from the drop down menu or select the Printer Icon 🖻 from the Tool Bar.
- Click "**OK**" and the PDF file will print.
- Close the PDF file.

The Incoming Agreements Records list screen will be displayed.

Approving the Record for Closeout

• Select the "Signatures" tab.

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|---------------|---------------------------------------|---|--------------------------------|--|-------|------------|----------------|-----------------------|---------|-------|----------|
| | | | 0000035463 | Incoming Agreement Records Modecode 54 42 05 15 | | | Status Expired | | | | |
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| | | | | | | Signature | - | | | | |

Figure 36 - Signatures tab

 Approve the record – enter your signature code or name, verify the date, and click the "Approve" box (Figure 36).

If applicable, remarks can be entered by clicking the "**Remarks**" notepad icon. A text box will be displayed to add remarks (optional).

• Save the record.

The record is now fully executed.

The ADO will distribute the appropriate closeout records to the Cooperator/Recipient, NFC, ABFO, ADODR, AO, and the Area PA.

Note: If funding changes have occurred, the record will go to BPMS for concurrence and will then appear in the active file.

Appendix 1: Instructions on How to Amend the Project to Expired Status

The ARIS Project must be expired before the Agreement can be closed in ARIS/AIMS. If the Project is still active but the period of the agreement has expired and will not be extended, you must update the status of the Project with a correction amendment prior to processing the close-out amendment.

Creating a Work Record - Correction

• From the Research Documentation/Extramural Agreements screen, select "Active" and "416/417/Agreements/421" from the Menu Bar.

The query screen will be displayed.

• Enter the project number, accession number, or agreement number to find the project, and select "Query" and "Execute" from the Menu bar or press "Enter."

The project will be displayed on the 416/417 Active Projects list screen.

• If Status is "Active," select "Action" and "Create Work Record – Correction" from the Menu Bar.

The system will state "Marked Record Processing is Complete"

• Click "**OK**" and the Work record will be created.

Exit Active.

The Research Documentation/Extramural Agreements screen will be displayed.

Amending the Work Record

• Select "Work" and "416/417/Agreements."

The 416/417 Records list screen will be displayed.

- Mark the box to the left of the project that requires the correction amendment or query the project number, accession number, or agreement number to find the project.
- Select the "**Project Info**" tab.
- Select "Expired" from the "Status" drop down menu.
- Save the record.
- Select the "Signature" tab and approve the record.
- Save the record.

The project will move to "Status" until the overnight approval process occurs. Once completed, the project can be found in the "Active" file and will be available to be closed according to the Sections A and B of the ARIS/AIMS Closeout Instructions for Extramural Agreements (Page 11).