

**Incoming Records
New Routing and Email Notification Process**

Type/Purpose	Approval Chain	Email Notification and When	Comments
New Incoming Records			
IFR for when Grant = YES			
Reimbursable/Trust/Interagency – <i>proposed amount under \$50,000</i>	RL to CD to Area to Approved	AO at approval to Area ADO at approval to Area ONP at approval to Area RL at final approval PI at final approval	
Reimbursable/Trust/Interagency – <i>proposed amount equal to or over \$50,000</i>	RL to CD to Area to ONP to Approved	AO at Area approval AO at ONP approval Area at ONP approval ADO at ONP approval RL at final approval PI at final approval	
Reimbursable/Trust/Interagency – <i>Research – No Funds to ARS</i>	RL to CD to Area to Approved	ONP at approval to Area RL at final approval PI at final approval	
CRADA/Material Transfer Research – <i>all purpose of fund types</i>	RL to CD to Area to ONP to Approved	AO at ONP approval Area at ONP approval OTT at ONP approval RL at final approval PI at final approval	HQ OTT is now ADO for all MTRAs and CRADAs; OTT (in field) will receive email notifications.
Services Only	RL to Area to ADO to Approved	AAOD at Area approval AO at Area approval SBFO at ADO approval RL at final approval PI at final approval	
Gifts	RL to Area to Approved	AAOD at RL approval AO at RL approval SBFO at Area approval RL at final approval PI at final approval	
Reimbursable/Trust/Interagency – <i>All Research – under and over \$50,000 and No Funds to ARS for – [HQ; NAL(82)]</i>	Initiator to ONP to Approved	RL/HQ designee at final approval PI at final approval	
CRADA/Material Transfer – <i>Research under and over \$50,000 and No Funds to ARS for – [HQ; NAL(82)]</i>	Initiator ONP to Approved	OTT at ONP approval RL/HQ designee at final approval PI at final approval	HQ OTT is now ADO for all MTRAs and CRADAs; OTT (in field) will receive email notifications.
Gifts/Services Only - [HQ; NAL(82)]	Initiator to Approved	AAOD at initiator/final approval AO at initiator/final approval SBFO at initiator/final approval RL at final approval PI at final approval	

**Incoming Records
New Routing and Email Notification Process**

Type/Purpose	Approval Chain	Email Notification and When	Comments
New Incoming Records – continued			
IFR for when Grant = NO			
Reimbursable/Trust/Interagency – <i>proposed amount under \$25,000</i>	Foreign agreements: RL to CD to Area to ONP to EAD to approved	AO at approval to Area ADO at approval to Area ONP at approval to Area RL at final approval PI at final approval	
	Domestic agreements: RL to CD to Area to ADO to Approved		
Reimbursable/Trust/Interagency – <i>proposed amount under \$50,000</i>	Foreign agreements: RL to CD to Area to ONP to EAD to approved	AO at approval to Area ADO at approval to Area ONP at approval to Area RL at final approval PI at final approval	
	Domestic agreements: RL to CD to Area to ADO to Approved		
Reimbursable/Trust/Interagency – <i>proposed amount equal to or over \$50,000</i>	Foreign agreements: RL to CD to Area to ONP to EAD to approved	AO at Area approval AO at ONP approval Area at ONP approval ADO at ONP approval RL at final approval PI at final approval	
	Domestic agreements: RL to CD to Area to ONP to ADO to Approved		
Reimbursable/Trust/Interagency – <i>Research – No Funds to ARS</i>	RL to CD to Area to Approved	ONP at approval to Area RL at final approval PI at final approval	
CRADA/Material Transfer Research – <i>all purpose of fund types</i>	RL to CD to Area to ONP to ADO to Approved	AO at ONP approval Area at ONP approval OTT at ONP approval RL at final approval PI at final approval	HQ OTT is now ADO for all MTRAs and CRADAs; OTT (in field) will received email notifications.
Services Only	RL to Area to ADO to Approved	AAOD at Area approval AO at Area approval SBFO at ADO approval RL at ADO/final approval PI at ADO/final approval	
Gifts	RL to Area to Approved	AAOD at RL approval AO at RL approval SBFO at Area approval RL at final approval PI at final approval	
Reimbursable/Trust/Interagency – <i>All Research – under and over \$50,000 and No Funds to ARS for – [HQ; NAL(82)]</i>	Initiator to ONP to ADO to Approved	RL/HQ designee at final approval PI at final approval	
CRADA/Material Transfer – <i>Research under and over \$50,000 and No Funds to ARS for – [HQ; NAL(82)]</i>	Initiator to ONP to Approved	OTT at ONP approval RL/HQ designee at final approval PI at final approval	HQ OTT is now ADO for all MTRAs and CRADAs; OTT (in field) will received email notifications.

**Incoming Records
New Routing and Email Notification Process**

Type/Purpose	Approval Chain	Email Notification and When	Comments
Gifts/Services Only - [HQ; NAL(82)]	Initiator to Approved	AAOD at initiator/final approval AO at initiator/final approval SBFO at initiator/final approval RL at final approval PI at final approval	
Modification to Incoming Records until AIMS is added (prior to notification of Award)			
Reimbursable/Trust/Interagency – <i>proposed amount under \$50,000</i>	RL to CD to Area to Approved	AO at approval to Area ADO at approval to Area ONP at approval to Area RL at final approval PI at final approval	
Reimbursable/Trust/Interagency – <i>proposed amount equal to or over \$50,000</i>	RL to CD to Area to ONP to Approved	AO at Area approval AO at ONP approval Area at ONP approval ADO at ONP approval RL at final approval PI at final approval	
CRADA/Material Transfer Research – <i>all purpose of fund types</i>	RL to CD to Area to ONP to Approved	AO at ONP approval Area at ONP approval OTT at ONP approval RL at final approval PI at final approval	HQ OTT is now ADO for all MTRAs and CRADAs; OTT (in field) will receive email notifications.
Reimbursable/Trust/Interagency – All Research – <i>under and over \$50,000 and No Funds to ARS for</i> – [HQ; NAL(82)]	Initiator to ONP to Approved	RL/HQ designee at final approval PI at final approval	
CRADA/Material Transfer – <i>Research under and over \$50,000 and No Funds to ARS for</i> – [HQ; NAL(82)]	Initiator to ONP to Approved	OTT at ONP approval RL/HQ designee at final approval PI at final approval	HQ OTT is now ADO for all MTRAs and CRADAs; OTT (in field) will receive email notifications.
Modification to Incoming Records requiring no AIMS			
Services Only	RL to ADO to Approved	AO at RL approval Area at RL approval SBFO at ADO approval RL at final approval PI at final approval	
Gifts	RL to Approved	AO at RL approval Area at RL approval SBFO at RL approval RL at final approval PI at final approval	

**Incoming Records
New Routing and Email Notification Process**

Type/Purpose	Approval Chain	Email Notification and When	Comments
Reimbursable/Trust/Interagency – Research - <i>No Funds to ARS</i>	RL to Approved	AO at RL approval Area at RL approval SBFO at RL approval RL at final approval PI at final approval	
Modification to Incoming Records when and after AIMS is added			
Reimbursable/Trust/Interagency with funds and all funding levels	Foreign agreements: RL to ONP to EAD to Approved	AO, Area, and ONP at RL or initiator approval AO and Area at ONP approval AO, Area, and SBFO at EAD approval RL at final approval PI at final approval	NOTE: If NOT ARS agreement holder, approval chain is RL to approved with email notification as indicated
	Domestic agreements: RL to ADO to Approved	AO, Area, and ONP at RL or initiator approval AO, Area, SBFO at ADO approval RL at final approval PI at final approval	
CRADA/Material Transfer Research – <i>all purpose of fund types</i>	RL to Area to ONP to ADO to Approved	AO, Area, ONP at RL or initiator approval AO and Area at ONP approval AO, Area, SBFO at ADO approval RL at final approval PI at final approval	NOTE: HQ OTT ADO is now ADO for all MTRAs and CRADAs; OTT (in the field) will receive email notifications;
To Coop (when ADO marks “To Coop” box)			
All incoming agreements with AIMS	n/a	PI when “To Coop” box is checked by ADO	
Renumbering Only (this will always be a Correction “C”)			
Reimbursable/Trust/Interagency/CRADA/MTRA	RL to Approved	Area at RL approval AO at RL approval	
Budget Postings			
Services Only	SBFO to BPMS to Approved	AO at SBFO approval Area at SBFO approval RL at final approval PI at final approval	
Gifts	SBFO to BPMS to Approved	AO at SBFO approval Area at SBFO approval RL at final approval PI at final approval	

**Incoming Records
New Routing and Email Notification Process**

Type/Purpose	Approval Chain	Email Notification and When	Comments
CRADA/MTRACRADA/MTRA CRADA/MTRA	SBFO to BPMS to Approved	AO at SBFO approval Area at SBFO approval OTT-ADO at SBFO approval OTT at SBFO approval RL at final approval PI at final approval	
All other agreement types	SBFO to BPMS to Approved	AO at SBFO approval Area at SBFO approval ADO at SBFO approval RL at final approval PI at final approval	
Closeouts (with AIMS)			
All other agreement types	ADO to Approved	AO at ADO approval Area at ADO approval RL at final approval PI at final approval	
NOTES:			
1. The approval chain starts at the level of initiation of the action			
2. AD or Area refers to Area office – PA will receive the email			
3. Final approval for any action represents the last level prior to moving to the Active file			