

## Agreement Process & ARIS/AIMS Guidance For the ARS-RPP with ORISE Outgoing Interagency Agreements

>> Before use of this guidance, please become familiar with the ARS Conditions for RPP Appointments <<

All funding for the ARS Research Participation Program (ARS-RPP) with the Oak Ridge Institute for Science and Education (ORISE) for students, postgraduates, postdoctorals, University faculty, and established scientists will be transferred via an Interagency Agreement (OIA) Order to the Department of Energy (DOE). There is a Master OIA with DOE, which contains the statement/scope of work for the ARS-RPP. The funding or ordering IAA will be coordinated and processed by your servicing Grants Management Specialist and for Headquarters, by a FMAD Budget Analyst.

To set up an OIA Order with DOE under the Master Agreement to obtain an ORISE “participant”, the following actions must take place:

1. Complete the **current year’s ARS-RPP ORISE Budget Template** to derive a cost for the OIA. The template is housed in the Axon [ORISE](#) page.
2. Complete the **ARIS & AIMS Outgoing Agreement Template** found on the Grants and Agreements Management Branch Axon page called “Forms & Templates.”
  - a. **Type, Project Title, Start Date/Term Date, Services Only, Performing Institute.** Enter the information exactly as identified below and add desired Start/Term Dates, *taking into consideration* that additional time will be required to execute the OIA Order with DOE, create the opportunity announcement with ORISE, advertise the opportunity, select a participant, and obtain security clearances.

**Agricultural Research Service  
Authorization to Fund Outside Source  
ARIS/AIMS Agency-Funded Outgoing Agreements  
FOR INTERNAL PURPOSES ONLY-DO NOT PROVIDE TO COOPERATOR**

NACA - Non-Assistance Cooperative Agreement - A jointly planned and executed research program or project of mutual interest to which all parties have committed to contribute resources.  
 CA - Cooperative Agreement - Generally funded by an incoming agreement. Requires competition or a justification for no competition. Substantial involvement between ARS and Cooperator when carrying out deliverables.  
 GA - Grant Agreement - Requires competition or a justification for no competition. There is no substantial involvement between ARS and Cooperator.  
 O - Outgoing Interagency Agreement - Agency of another Department of the Federal government to provide services, supplies, and equipment.

Upon completion of the ARS entry upload this completed template into AIMS E-Green

Type O - Outgoing Interagency Agreement

Information on Interagency Agreements can be found [here](#).

Project Title ORISE ARS Research Participation Program  
Must be Title Case

Start Date  Term Date  Services Only Yes Type Administrative/Employee Services

Performing Institute 3513 - OAK RIDGE NATIONAL LAB, DOE

Type of Institute Other [SAES \(State Agricultural Experiment Stations\)](#)

- b. **ARIS Comments.** Include type of appointment(s), # appointments, anticipated duration of ORISE participant appointment, & include a description of the project(s) & activities for the participant. Provide a breakdown of the budget. If the ARS PI has a person of interest, identify the person here. If funds are from a competitive grant then provide the grant information.  
NOTE: Participants should not be expected to perform activities that are reserved for federal employees, nor should the project require the participant to function in any way as a representative of the Federal government.

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**ARIS Comments Example:**

| Comments:   |
|---|
| Provide a brief summary of the agreement action. Include FY, amount of funds, name of cooperator and ARS PI. If using incoming funds, identify the type of agreement, project number. Examples:<br>1) Establish a CA with Iowa State University, FY XX funds \$25,000, R. Shoemaker, ARS PI. Funded by NIFA agreement 5030-21000-072-041.<br>2) Extension of time from 5/31/XX to 5/31/XX and FY XX added funds of \$50,000 to CA with Iowa State University to complete soybean rust research. |
| New OIA with DOE for postdoctoral scientist from 5/1/2023 to 4/30/2024 with FY23 funds in the amount of \$91,355 (\$69,000 stipend; \$3,700 health insurance, \$15,994 Program Operations & Burdens, and \$2,661 FAC). Funded from Agreement #58-0000-2-000. Postdoc will assist in the execution of animal studies and sample analyses in support of ARS scientists at _____.  |

- c. **Objective, Approach and Keywords.** The Objective can be expanded as may be required by your Area/Office. The standard text is below. Approach and Keywords are not fillable fields.

| Objective <small>(limited to 3200 characters)</small>  |
|--|
| The objective is a brief, itemized description of the intended purpose and/or research to be accomplished through the agreement. Do not use individual names or entities, use Cooperator. Do not use brand names. Acronyms must be spelled out first time included in objective. Must be written in third person avoid using name of scientists. |
| Interagency agreement with DOE/ORISE   |

| Approach <small>(limited to 3200 characters)</small>   |
|--|
| The approach is a brief description of how you will apply the research to achieve the objective(s) of the project. Do not use individual names or entities, use Cooperator. Do not use brand names. Acronyms must be spelled out first time included in objective. Must be written in third person avoid using name of scientists. |
| n/a  |

| Keywords |  |  |  |  |  |  |
|----------|--|--|--|--|--|--|
| n/a      |  |  |  |  |  |  |
|          |  |  |  |  |  |  |

- d. **Investigators.** Enter the ARS PI name. This person is the Mentor of the ORISE Participant. If there will be multiple Mentors for multiple participants, then list the lead person as the ARS PI, and add the other mentor names.

| Investigators   |
|---|
| Identify ARS PI, other ARS scientists and Cooperators (including affiliations) who will be involved with the project. |
| ARS PI/Mentor name; add other Mentors when applicable   |

- e. **Agreement Info and Budget.** Add all applicable information.

|   |                     |
|---|---------------------|
| Related in-House D Project  | 0000-00000-000-000D |
| Dollar Amount   | \$0                 |
| *Funding Project*   | 0000-00000-000-000D |
| Funding Fiscal Year   | 2023                |
| *If funded by soft money, approval by funding source is required and needs to be reflected on the ARIS IFR record.* |                     |

- f. **416/417 Codes.** Insert all applicable coding.

| 416/417 Codes   |         |                               |             |
|---|---------|-------------------------------|-------------|
| <p><b>STP Codes:</b> Enter the 4-digit STP code(s) with the corresponding percentage(s). The STP description will be inserted. <b>Note:</b> STP codes must equal 100% (minimum allowable is 10%). There can be either one or two STP codes, and the total must be 100%. If unsure about the STP codes, ask your PSA for a list of codes (see Chapter 1 for searching).</p> <p><b>Note:</b> These codes do not correlate to the current Strategic Plan.</p> <p><b>Note:</b> National Program (NP), Region and BPIM codes, can only be entered by Headquarters.</p> <p><a href="#">ARIS Manual</a> Chapters 13 &amp; 16 can be referenced for code information and description.</p> |         |                               |             |
| STP (Strategic Plan Listing) Code(s)  |         | NP (National Program) Code(s) |             |
| Code  | Percent | Code                          | Description |
|   |         |                               |             |
|   |         |                               |             |

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*Basic/Applied/Developmental:* Enter the numerical % in the corresponding box. The total must equal 100%, if entering one or any combination of research types. Each (if selected) must be a minimum of 10%.

|                                     |                                       |   |
|-------------------------------------|---------------------------------------|---|
| Basic Research <input type="text"/> | Applied Research <input type="text"/> | Developmental Research <input type="text"/> |
|-------------------------------------|---------------------------------------|---|

*SOI/RPA/FOS and Subactivity Codes:* Enter the appropriate codes/description. If unsure of the codes/descriptions check with your PSA for a list. The total for each SOI, FOS, RPA, and Subactivity code category must equal 100%. Each individual code must be a minimum of 10%.

| Field of Science |                    | SOI - Subject of Investigation |                    | RPA - Research Program Area |                    | Sub-Activity |                    |
|------------------|--------------------|--------------------------------|--------------------|-----------------------------|--------------------|--------------|--------------------|
| Percent          | Code & Description | Percent                        | Code & Description | Percent                     | Code & Description | Percent      | Code & Description |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |
|                  |                    |                                |                    |                             |                    |              |                    |

*Special Classification Codes:* Add as necessary. There are two required special codes for all in-house projects, Sustainable Agriculture (SA) and Farm Bill Codes (FBP). There can be one to six Farm Bill codes, but the combined total must equal 100% (see Chapter 16A for Sustainable Agriculture worksheet and instructions). Only one Sustainable Agriculture code is allowed and it must equal 100%. Other Special Codes should be entered as needed. BPMS special codes can only be added by the Headquarters.

| Special Classification |                    | Special Classification |                    |
|------------------------|--------------------|------------------------|--------------------|
| Percent                | Code & Description | Percent                | Code & Description |
|                        |                    |                        |                    |
|                        |                    |                        |                    |
|                        |                    |                        |                    |
|                        |                    |                        |                    |

- g. **AIMS.** Fill in the information as shown in the screen shot of the ARIS & AIMS template.  
**Federal Agency –**

**AIMS Portion**  
Content to be completed in cooperation with Cooperator PI  
Cooperators are required to have an active registration in [SAM.gov](https://sam.gov)

| Non-Federal Entity/Federal Agency (Legal Name and Address)<br>Cooperator - as registered in SAM.gov (Usually Sponsored Programs Office) |   |       |    |                        |            |
|---|---|-------|----|------------------------|------------|
| Name  | AIMS Recipient Code: 113134 - ENERGY OAKRIDGE FIELD OFFICE, US DEPT. OF |       |    |                        |            |
| Address   | n/a   |       |    |                        |            |
| City  | Oak Ridge   | State | TN | Postal Code<br>Zip + 4 | 37830-8823 |
| UEI Code  |   |       |    |                        |            |

UEI code: PSA-Compare this UEI code to UEI code listed on the LOV (list of values) on Cooperator Info tab, Recipient Code in AIMS.

| POC Name<br>Name and address of the Administrative contact of the Cooperator (usually the Sponsored Programs Officer if a University) |                    |       |              |     |  |
|---|--------------------|-------|--------------|-----|--|
| Name  | Deborah Garland    |       |              |     |  |
| Title/<br>Office  | Site Office        |       |              |     |  |
| Email   | garlandDL@ornl.gov | Phone | 865-241-9566 | Fax |  |

**Federal Agency Principal Investigator –** select the POC below for your Area or Office or Program.

POCs for the ARS Areas:

- MWA: Chelsea Gibson, ORISE.ARS.Midwest@orau.org
- NEA: Chelsea Gibson, ORISE.ARS.Northeast@orau.org
- PWA: Dr. Sherry Painter, ORISE.ARS.PacificWest@orau.org
- PA: Dr. Sherry Painter, ORISE.ARS.Plains@orau.org
- SEA: Dr. Sherry Painter, ORISE.ARS.Southeast@orau.org
- HQ & NAL: Chelsea Gibson, USDA-ARS@orau.org

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POCs for the ARS CERCA and SCINet Programs:

CERCA: Dr. Sherry Painter, [ORISE.ARS.CERCA@orau.org](mailto:ORISE.ARS.CERCA@orau.org)

SCINet: Chelsea Gibson, [ORISE.ARS.SCINet@orau.org](mailto:ORISE.ARS.SCINet@orau.org)

| Non-Federal Entity/Federal Agency Principal Investigator   |   |       |              |                        |            |
|--|---|-------|--------------|------------------------|------------|
| This is the place where Cooperator conducts their portion of the project. Cooperator Principal Investigator Name, USPS Mailing Address incl. zip code plus 4, E-mail Address and Phone Number. Note: This person was identified in ARIS under "Investigators". |   |       |              |                        |            |
| Name   | Enter your POC name                               |       |              |                        |            |
| Title/<br>Office   | ORISE Project Manager, STEM Workforce Development |       |              |                        |            |
| Address  | DOE SCGF, MD-36, P.O. BOX 117                     |       |              |                        |            |
| City   | Oak Ridge   | State | TN           | Postal Code<br>Zip + 4 | 37831-8239 |
| Email  | Enter your POC email                              | Phone | 865-696-0690 | Fax                    |            |

3. Provide the ARIS/AIMS entry person the completed [ARIS & AIMS Outgoing Agreement Template](#), the completed [ARS-RPP ORISE Budget Template](#), for creation of an ARIS/AIMS work record.
4. ARIS/AIMS Entry person will:
  - a. Use the ARIS & AIMS Outgoing Agreement Template to create the new OIA work record.
  - b. Copy ARIS Comments to **AIMS Agreements Tab "Comments" field**.
  - c. Upload "[ARS-RPP ORISE Budget Template](#)" at the **AIMS E-Green tab** – select "other" as the type of document, and in description label it as "Budget Template." Upload any other supporting documentation which may be required, such as the FMMI "BAC" Report when using soft funds.
  - d. Release the ARIS/AIMS work record for line management reviews/approvals.
5. The Grants Management Specialist will work on the DOE OIA once the ARIS/AIMS work record has been approved to the "ADO" level.
6. Once the OIA has been finalized and executed, you can expect to receive:
  - a. A notification email from ARIS, and
  - b. The ARS PI will be contacted by the respective ORISE POC and will be provided instructions on the next actions.

**The next pages are some screen shots of the ARIS and AIMS sections.**

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## ARIS entries for ORISE ARS-RPP

The following screen shots provide some examples of an ARIS/AIMS work record for a DOE OIA for ORISE Participant(s).

### ARIS Project Info Screen example:

**ARIS Status 416/417 Records**

Proj: 8042 31310 114 004 0 Accn: 0443777 Modcode: 80 42 05 30 Status: New  
 Agreement No.: 60 8042 3 027

Project Title: ORISE ARS Research Participation Program

Start Date: 04/01/2023 Term Date: 03/31/2024 Duration (Months): 12  
 SY: 0.00 Current Dollars: \$.00

Department: [Empty]  
 Perf Institute: 3513 OAK RIDGE NATIONAL LAB, DOE OAK RIDGE TN UNITED STATES

Agreement: 60 8042 3 027 Control No: 61309  
 SAES  Other  None  
 Agr Status: [Empty]

Services Only:  Services Only  
 Type of Service: Administrative/Employee S

### ARIS STP/Codes Screen Examples...

**ARIS Status 416/417 Records**

Proj: 8042 31310 114 004 0 Accn: 0443777 Modcode: 80 42 05 30 Status: New  
 Agreement No.: 60 8042 3 027

STP Codes

| Obj | App | Elem | Prob | %  | Description                             |
|-----|-----|------|------|----|---|
| 3   | 1   | 4    | 2    | 70 | Animal Nutrition: Absorption/Metabolism |
| 3   | 1   | 4    | 4    | 30 | Animal Biological/Physiological Models  |

National Program

| Code | Type (N / C) | Description            |
|------|--------------|------------------------|
| 101  | N            | Food Animal Production |
|      |              |                        |
|      |              |                        |

N = NP, C = Contributing

Region Code: [Empty] No: [Empty] %: [Empty]

BPIM Code: [Empty] %: [Empty]

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## ARIS 417 Codes Tab Screen examples...

**ARIS** Status 416/417 Records

Proj 8042 31310 114 004 0 Accn 0443777 Modecode 80 42 05 30 Status New  
 Agreement No. 60 8042 3 027

List Proj Info Comments Obj/App/Key Investigators Agreement Info Budget Resp Team STP/Codes **417 Codes** Dealings/Ethics Signatures

Basic Research 080 Applied Research 020 Developmental Effort 000

| Field of Science |         |                         | Sub-Activity Classification |         |                             |
|------------------|---------|-------------------------|-----------------------------|---------|-----------------------------|
| Code             | Percent | Description             | Code                        | Percent | Description                 |
| 1010             | 20      | Nutrition and metabolis | 4940                        | 35      | REPROD, GROWTH, DEVELOPMENT |
| 1020             | 20      | Physiology              | 5013                        | 30      | BIO UTILY ENERGY, NUTRIENT  |
|                  |         |                         | 5090                        | 35      | IMPROVE BIOL EFFICIENCY     |

| RPA  |         |                         | Special Classification |         |                           |
|------|---------|-------------------------|------------------------|---------|---------------------------|
| Code | Percent | Description             | Code                   | Percent | Description               |
| 302  | 40      | NUTRIENT UTILIZATION IN | FBP1                   | 50      | HUMAN FOOD & FIBER NEEDS  |
| 303  | 20      | GENETIC IMPROVEMENT OF  | FBP2                   | 50      | FOOD PRODUCTION & AGR SYS |
|      |         |                         | SA+3                   | 100     | SUSTAINABLE AGRI + 3      |

| Subject of Investigation |         |                           |
|--------------------------|---------|---------------------------|
| Code                     | Percent | Description               |
| 3410                     | 100     | DAIRY CATTLE, LIVE ANIMAL |
|                          |         |                           |
|                          |         |                           |

## AIMS Payment/Report Tab:

Agricultural Research Information System (ARIS) - Status - AIMS

File Edit Forms Prints Help

**ARIS** Agreement Information

Agreement 60 8042 3 027 Control 61309 NEW Correction (Y/N) N  
 Project 8042 31310 114 004 0 Accn No 443777 Status

Agreements Agy/ARS PI/Finance Cooperator Info **Payment/Report** Accounting Provisions e-Green

**Method of Payment**

ASAP  IPAC  UES (for FAS awards only)

Performance Report Financial Report Management Report (RSA Only)

Submit Reports To

FIPS Codes  
 City 55120 OAK RIDGE County 1 ROANE State 47 Congressional District 3

# Agreement Process & ARIS/AIMS Guidance For the ARS-RPP with ORISE Outgoing Interagency Agreements

## Accounting Tab:

**Agreement Information**

Agreement: 60 6252 4 001 Control: 37179 Amendment: 03 Correction (Y/N): N  
 Project: 6024 13000 002 20 0 Accn No: 427617 Status: Open

| Accounting Code | FY   | Dollar Amount | FMMI Fund Code   | Cost Center  | WBS Element        |
|-----------------|------|---------------|------------------|--------------|--------------------|
| 601 6024 500    | 2016 | 60,000.00     | AR0001BASE       | AR 6024 0500 | AR MU 6024 01 0500 |
| Total           |      | \$60,000.00   | Go to SOW/Budget |              |                    |
| PO Number       |      |               |                  |              |                    |

**NOTE:** Don't forget to provide all the financial information.

**NOTE:** Once the FMMI PO Number is identified, it is added by the GMS or HQ Budget Analyst to the **PO Number** field.

## Provisions Tab:

**NOTE:** Nothing needs to be checked on the Provisions tab, because the REE-451 is not a part of the execution process for the IAA. The REE-451 may only be used internally.

**Agreement Information**

Agreement: 60 8042 3 027 Control: 61309 NEW Correction (Y/N): N  
 Project: 8042 31310 114 004 0 Accn No: 443777 Status:

**Agreement incorporates the following**

- Statement/Scope of Work
- Proposal
- Non-Federal Entity Proposal/Award/Agreement
- Research & Related Budget (Tot Fed + Non-Fed) or REE-454
- Research & Related Budget or REE-455
- Prime Award attached (for subrecipients)
- Comments (REE-451, page 2)

**Regulations, Terms and Conditions, Required Certifications**

Grant and CA: 2 CFR Part 200 and 2 CFR Part 400 automatically marked on the Award Face Sheet.

NACA and NFCA: 7 CFR Part 550 automatically marked on the Award Face Sheet.

- TFCA and RCA (REE-22)
- Research Support Agreement (REE-452R)
- AD-1047 Certification Regarding Debarment, Suspension and other Responsibility Matters - Primary Covered Transactions
- AD-1048 Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions (only for subawards)
- AD-1049 Certification Regarding Drug-Free Workplace Req (Grants) - Alt I - Non-Individual
- AD-1050 Certification Regarding Drug-Free Workplace Req (Grants) - Alt II - Individual
- AD-1052 Certification Regarding Drug-Free Workplace State and State Agencies
- Certification Regarding Lobbying
- REE-26 Organization Information, Representations, Assurances & Certifications

## Agreement Process & ARIS/AIMS Guidance For the ARS-RPP with ORISE Outgoing Interagency Agreements

All AIMS information will be used by the GMS to complete the DOE OIA 7600B Order.

### E-Green Tab:

| Document Type | Sub Document Type | Description | Scan Date  |
|---------------|-------------------|-------------|------------|
| OTHER         |                   | Budget      | 03/09/2023 |
|               |                   |             |            |
|               |                   |             |            |
|               |                   |             |            |
|               |                   |             |            |
|               |                   |             |            |
|               |                   |             |            |
|               |                   |             |            |
|               |                   |             |            |
|               |                   |             |            |

### When the DOE Interagency Agreement is being funded with Soft Funds...

If soft funds are being used for the DOE-ORISE OIA, a verification that the funds are authorized for use in the OIA will be completed. Part of the verification viewing the Incoming Funds Records, Org/Inhouse screen. The DOE, Oak Ridge Nat Lab Site should be listed under “Non ARS Performing Institutions” for the Outgoing Interagency Agreement, and the approved amount.

Agricultural Research Information System (ARIS) - Active

File Edit Action Record Forms Prints Help

**ARIS Incoming Funds Records**

Log 0000055166 Mode Code 50 30 15 05 Status Active Date Created 10/31/2014  
 Agreement No. 60 5030 6 007 Pre-Award Approval 11/17/2014

Project Info Comments SOF/Funds Dealings/Ethics Obj/App/Key Title/Deliver Org/Inhouse Coding Budget Related Docs

Will any funding received be given to another institution or entity (Non ARS)? Yes

| Code | Sub Recipient Organization Name | Extramural Agreement Type      | Agreement Total | Reason |
|------|---------------------------------|--------------------------------|-----------------|--------|
| 6895 | IOWA AGRICULTURE                | Cooperative Agreement (CA)     | 15,000.00       |        |
| 1928 | KANSAS STATE UNIVERSITY,        | Cooperative Agreement (CA)     | 125,000.00      |        |
| 3513 | OAK RIDGE NATIONAL LAB,         | Outgoing Interagency Agreem... | 485,000.00      |        |

**Inhouse Info**

Title: Managing Carbon and Nutrients in Midwestern U.S. Agroecosystems for Enhanced Soil Health and  
 Accn No: 0432053  
 Project No: 5030 12000 015 00 D

**Relevance to Parent Project**

Objective 3: Develop sustainable biofuel feedstock production systems using soil quality assessment tools to ensure the practices sustain productivity and protect

Record: 2/? <OSC>