

## Agricultural Experiment Station (AES) Instructions for Completing AD416 and AD417 Forms

Start at the CRIS Forms Assistance homepage located at <http://cwf.uvm.edu/cris/>

### Entering AD416 Work Unit Description

Under Enter Forms, select Work Unit Description (AD416/AD417/2008)

Click on the state of Pennsylvania and enter "sunflower" as the password and then click the **[Proceed]** button.

Enter your last name and click on the **[Proceed]** button. If you have any projects on the work list, they will be displayed. If you are initiating a new AD416 form, select one of the following:

- New Formula Funded or State Project (Hatch, Hatch/Multistate, McIntire-Stennis, Animal Health, Evans-Allen, Renewable Resources Extension, State)
- New Grant/Coop Agreement (NRI Competitive Grant, Special Grant, Cooperative Agreement, Other CSREES Grant, SERD, 3D Extension Grant, or Other Extension Grant)

NOTE: the funding source determines which type of AD416 you initiate. Contact Rachel Unger if you are unsure which option to select.

Click **[NEW]** to initiate a new project form and enter the following information:

**Project Number:** Enter your last name after the PEN0, a number will be assigned at a later date.

**Status:** Select A = NEW PROJECT

**Title:** Enter the title for this project. Titles are limited to 140 characters, including symbols and spaces. Do not use phrases such as "research on" "investigation of," etc. Do not use quotation marks or underscoring. For a multistate project, title must be exactly the same as indicated on the approved project outline.

**Integrated Activity:** Select this box if the project is jointly planned, funded, and interwoven activities between Research and Extension to solve problems. This includes the generation of knowledge and the transfer of information and technology.

**Performing/Cooperating Departments:** Select the home department of the Principal Investigator for the Performing Department, and select up to two departments participating significantly in the project. Departments included should coincide with Investigators entered in Field 12.

**Multi-State Project Number:** If applicable, the multistate project number identifies projects supported by Multistate Research funds, or those formally on record as contributing to a Multistate project. This number combines the region (NE, NC, S, IR, or W) and the project number in the format: **region-####** (for example, NE-9999).

**Cooperating States:** Identify any other states that are participating in the same project (complete only for NON Multistate projects). To select more than one state, press the Ctrl key as you click to highlight each additional state. Include only states that are significantly contributing to the efforts on the project.

**Investigator Names/State Contacts:** A total of twelve can be listed. List the Project Investigator on Line 1. Lines 2 through 12 are used for co-investigators. At least one initial is required.

**Project Contact:** Enter name; Unger R L, phone number; 814-865-3136, fax number; 814-863-7905, email address; [runger@psu.edu](mailto:runger@psu.edu), and web site of project investigator. If a specific website is not available, please enter the college's website address (<http://www.cas.psu.edu/>).

**Project Type:** Select only one CSREES funding programs listed in the pop-up box. See *Appendix A* for different funding types.

**Proposal Number:** If approved, enter the USDA proposal number. This number is the number assigned by the granting agency. It can be found in an award letter, the agreement face sheet, or the proposal acknowledgement letter. This number is usually in the format YEAR-##### (i.e. 2000-12345). For Special Grants that you do not have an assigned proposal number, enter 2000-SG into this required field.

**Start Date:** Enter date project will begin as Month, Day, Year in numeric format, (e.g. 10/01/1997). For multistate projects, start date must be exactly the same as indicated on the approved project outline.

**Termination Date:** Enter the estimated termination date for the project as Month, Day, Year in numeric format, (e.g. 10/01/1997). For multistate projects, termination date must be exactly the same as indicated on the approved project outline.

When all information is entered, click on the [**Check and Save**] button. This will run the information you entered through a data validity check. Make note of any errors. View the displayed information carefully. Corrections or additional edits can be made using the BACK button on your browser toolbar. Once you have made changes, [**Check and Save**] again. Continue until all errors have been corrected. When the information is correct click on the [**Go to Screen 2**] button.

**Goals/Objectives/Outputs:** Enter a clear, concise statement of the goals and objectives of the project, which should be specific and attainable within the duration of the project using the resources available. Include a description of the expected outputs (or deliverables) from the project. For multistate projects, this must include only the objectives we are participating on at Penn State and they must exactly match those in the approved project outline. Not to exceed 3200 characters. \*\*

**Methods:** Describe the ways in which the project is to be conducted, with emphasis on the scientific methods and any unique aspects or significant departures from usual approaches. Include a description of how the results will be analyzed, evaluated or interpreted. Describe the efforts that will be used to cause a change in knowledge, actions, or conditions. Include a description of how the output(s) will be evaluated and/or quantified for its impact on the intended audience(s). Not to exceed 3200 characters. \*\*

**Non-Technical Summary:** Describe the situation that creates a need for this project as well as the purpose or rationale for the project. Also include statements describing the methods to be used, the expected outcomes/impacts, and the anticipated benefits. Provide this information in a language that most citizens can understand. This information is designed to enhance the usefulness of the CRIS database, especially to legislative and other public audiences. Not to exceed 3200 characters. \*\*

**Keywords:** Enter **one keyword or phrase per line** in the entry field. It is important to assign appropriate keywords for automated information retrieval of project information. Generally, keywords should be limited to one- or two-word terms. Collectively, the keywords for a project should resemble an abbreviated abstract of the project. Ideally, choose at least 12 keywords that describe the nature of the study at 3 levels: (1) general entry, overall objectives in the major fields of interest (select at least 2), (2) class entry, classes or categories of subjects or items, and moderately broad concepts or areas of interest which conceptually group the specific entry keyword into like classes (select at least 4), (3) specific entry, the most specific concepts, subjects or items under study, including the specific plant, animal, or microorganism; the specific equipment, processes, approach, technique or system; and specific properties, reaction, or function (select at least 6). Not to exceed 20 lines or 345 total characters. \*\*

When all information is entered, click on the [**Check and Save**] button. This will run the information you entered through a data validity check. Make note of any errors. View the displayed information carefully. Corrections or additional edits can be made using the BACK button on your browser toolbar. Once you have made changes, Click the [**Check and Save**] button again. Continue until all errors have been corrected.

When the information is correct and complete save this information, click on the [**Confirm Information**] button. This will place your information into the working list file.

Once your information has been saved and confirmed, you should see a *Confirmation Screen*. You may want to print a copy of this page to keep for your records.

Select the [**Return**] button at the top of the *Confirmation Screen* to return to an updated project selection list. You are now ready to enter the AD417 Information

\*\* We recommend that you paste in the text from your wordprocessor (spell-check there), but **do not** include formatting such as tab, indent, bold, underline, super/subscript, nor any graphic symbols.

## Entering AD417 Project Classification

The AD417 Project Classification process on the web forms can be confusing. The most important thing to remember is the purpose of assigning these codes to your project: funding reports to Congress are based on this classification. In order to summarize funding in your area of research correctly, projects must be classified appropriately. Projects must be classified according to the [Manual of Classification of Forestry and Agricultural Research](#).

From the *Project/Form Selection* screen, select the AD417 button for the applicable project. This will take you directly to the AD417 form.

Identify the research category as **basic, applied, or developmental** and enter percentages which add to 100%. Rarely does one project contribute to all three categories.

- Basic – Research that has a primary goal of gaining fuller knowledge or understanding of a subject
- Applied – Research that has a primary goal of the practical application of knowledge to meet a recognized need
- Development – Research finding to produce useful materials, devices, systems or methods

Enter percentages if applicable for Forestry or Animal Health Components. If the project is funded by McIntire-Stennis or Animal Health programs, the **Forestry** or **Animal Health** component will automatically be assigned 100%. You can optionally assign percentages to these categories up to 100% each for projects funded by other sources.

Enter the **Knowledge Area (KA)**, **Subject of Investigation (SOI)**, and **Field of Science (FOS)** and appropriate percentages. You can complete the Classification table by using one of the following:

- Use the column heading links to view the list of options and enter the appropriate numeric codes and percentages in the table.
- Use the "Classification Assistance" button to select codes from a list of check boxes. This process will generate all possible combinations from your selections and prompt you to enter appropriate percentages. It will then automatically enter the codes with percentages into the table. You must use the "Return" button provided to return to this form with the codes filled in.

When finished, click the [**Check Data**] button.

Review and use the BACK button on your browser toolbar to make changes and/or corrections to the classification table. Once you have made changes, click the [**Check Data**] button again. Continue until all errors have been corrected.

When you have completed the classification and the data checking process, be sure to save your work with the [**Save Information**] button.

This will bring up a *Confirmation Screen*. Click on the **[Return]** button to take you back to the work list.

If you have completed the AD416 and AD417s, you may safely close the web browser. Your information has been saved

### **Entering the CSREES-2008 Assurance Statements**

In lieu of completing the CSREES-2008 Assurance Statements using these webforms, please complete the AES Assurance Checklist found at <http://downloads.cas.psu.edu/research/AgExpStation/AssuranceChecklist.pdf>.

**For assistance, please contact:  
Rachel Unger  
runger@psu.edu or 814/865-3136**

**Research Formula Funds**

**H - Hatch:** projects conducted by state agricultural experiment stations and funded by the formula-based Hatch program (Note: only Hatch projects can participate in Multi-state funding)

**L - Hatch/Multistate:** projects conducted by state agricultural experiment stations and funded by the formula-based Hatch program (Note: only Hatch projects can participate in Multi-state funding)

**A - Animal Health:** projects conducted by state agricultural experiment stations or veterinary schools and funded by the formula-based Animal Health and Disease program

**M - McIntire-Stennis:** projects conducted by land-grant institutions or state forestry schools and funded by the formula-based McIntire-Stennis program

**T - Evans-Allen:** projects conducted by the 1890 land grant institutions and Tuskegee University and funded by the formula-based Evans-Allen program

**Non-CSREES Research**

**S - State:** projects conducted by land-grant institutions and funded by non-CSREES administered funds

**Research Grants**

**C - NRI Competitive Grant:** projects funded by the competitively-awarded National Research Initiative program

**G - Special Grant:** competitive and noncompetitive grants which facilitate or expand food and agricultural programs, amended in the Competitive, Special, and Facilities Research Grant Act

**P - Cooperative Agreement:** projects conducted by land-grant institutions and funded under a cooperative agreement with CSREES

**O - Other CSREES Grant:** projects funded by one of several CSREES grant programs (e.g. Integrated Pest Management, Initiative for Future Agriculture and Farm Systems, Biotechnology Risk Assessment, etc.)

**Education Grants**

**E - SERD Grant:** projects funded by one of several CSREES grant programs administered by Science and Education Resources Development (Higher Education, Multicultural Alliances, and International Programs)

**Extension Formula Funds**

**N - Renewable Resources Extension:** Extension activities related to forestry and natural resources conducted by land-grant institutions and funded by CSREES under the Rural Resources Extension Act of 1978

**V - Smith-Lever Extension:** Note: documentation in CRIS is not active at this time

**Extension Grants**

**I - Smith-Lever 3D Extension Grant:** Extension activities conducted by land-grant institutions and funded by the Smith-Lever Act of 1914 (AgrAbility, Federally-Recognized Tribes Extension Program, Youth Farm Safety)

**X - Other Extension Grant:** Extension activities conducted by land-grant institutions and funded by one of various CSREES Extension grant programs