

NORTHERN PLAINS AREA
Policy Memorandum

DATE:	March 14, 2008
SUBJECT:	Performance Reports For Cooperative Agreements, Northern Plains Area
NUMBER:	PM-03-001
EFFECTIVE DATE:	Immediately Until Replaced or Superseded (Replaces PM -03-001 dated January 13, 2003)

1. Purpose

The *USDA General Provisions for Non-Assistance Cooperative Agreements* (effective October 1, 2006), establishes the procedures for Financial and Performance Report requirements for Non-Assistance Cooperative Agreements (Specific Cooperative Agreements). The Annual/Final Performance Report is used to ensure ARS is receiving value for the funds they provide to the cooperator (*i.e.*, research impact, CRIS/Mission accountability and GPRA). The Performance Report is also utilized to (a) demonstrate and document the Cooperator is working to fulfill their obligations on the cooperative project; and (b) provide ARS with a summary of progress for the report period. The Area policy and procedures for submission and acceptance of these Performance Reports are outlined below.

2. Performance Report Criteria

The intent of the Agency is that when non-severable Non-Assistance Cooperative Agreements are established and funded, the cooperator is expected to undertake the research and complete the goals of the project within the established time and at the funded amount.

The Cooperator's Principal Investigator (PI) must provide the report through line management approval(s) on Company/University letterhead. E-mail reports are acceptable, as long as it is clear the Performance Report originated from the Cooperator's PI. The cooperator's report must have a header or cover page with the following information:

- Cooperator Name and Principal Investigator Name
- ARS Agreement Number
- Reporting period covered in the report
- Note "Final Report" if a final report

The Annual Performance Report is due no later than June 1st of each year the agreement is in effect, and must contain detailed information on each of the following:

- a. A comparison of actual accomplishments with the goal and objectives established for the report period and the findings of the Investigator.
- b. Reasons why established goals/objectives were not met.
- c. A list of all publications, patents, germplasm releases, etc., produced from October 1 through September 30 of the year during which the work was conducted.
- d. What technologies were transferred and to whom, and when the technology is likely to become available to the end user (farmer, industry, other scientists).

Unless otherwise specified in the Agreement, the Final Performance Report shall be due 90 calendar days following the expiration, completion, or termination date of the Agreement.

The following questions must be addressed in the Final Performance Report:

- a. A description of all work results, conclusions, and, if any, recommendations.
- b. A description of the major accomplishments over the life of the project, including their predicted or actual impact.
- c. Titles of thesis or dissertations resulting, if any.
- d. Names of scientific or other collaborators connected with the project, including students (show title or status, *e.g.*, associate professor, graduate student).
- e. Copies of copyrighted or copyrightable materials including computer software.
- f. A description of inventions resulting from the work and a statement of status concerning any protections sought.
- g. A copy of all publications and/or germplasm releases resulting from the Agreement.

3. ARS PI/ADODR Requirements

- Obtain the Annual Performance Report from the Cooperator PI no later than June 1st of each year the agreement is in effect.
- Review the report for merit and adherence to reporting guidelines.
- Forward the original Performance Report with a memo of your acceptance of the science and progress to the NPA Extramural Agreements Section.
- Use the report as the basis for development of an accurate Annual/Final 421 Progress Report entered in ARIS and submitted to the Area Director and National Program Staff (usually due by September 1st of each year).

4. Extramural Agreements Procedures

- Addition of funds and time extensions will not be processed to the Cooperator until the current Performance Report is received.
- Performance Reports which are submitted without clear indication it originated from the Cooperator PI will be disapproved. Notification will be sent to the ADODR to obtain the proper report and resubmit.

5. Point-of-Contact

For further information, please contact the Area Extramural Agreements Office.

/s/
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Area Director
Northern Plains Area