

# AGREEMENTS PROCESS AT NPARL

**Always discuss any type of Agreement with your Research Leader before entering into any joint research project.**

## *Types of Agreements*

### **Incoming Funds to ARS**

[Trust Fund Cooperative Agreement](#) (TFCA) used when ARS receives funds *in advance* from a sponsoring organization to perform research of mutual interest.

[Reimbursable Cooperative Agreement](#) (RCA) used when ARS bills a sponsoring organization for funds used to perform research work of mutual interest.

[Grants](#) used when ARS receives funds in advance to perform research and the grant giving agency has no involvement.

[Interagency Agreement](#)- used when ARS receives funds in advance or bills for funds used to perform research of mutual interest with another federal agency.

### **Outgoing Funds from ARS**

[Assistance-Type Cooperative Agreement](#) (ATCA) used to transfer anything of value to support or stimulate a public purpose that is related to the mission of ARS. Substantial involvement is anticipated between the agency and the recipient must compete for the assistance.

[Research Support Agreement](#) (RSA) used when procuring Service/Supplies directly from a college or University to carry out agricultural research, extension, or teaching activities of mutual interest.

[Specific Cooperative Agreement](#) (SCA) used when ARS is contributing funds to a research program or project of mutual interest jointly planned and executed where both parties contribute resources. (Typically used with universities.)

### **Other Type of Agreements**

[Non-funded Cooperative Agreement](#) (NFCA) used to describe cooperative research work with no obligation of funds.

[Standard Cooperative Agreement](#) (StCA) used to document a cooperative relationship relative to the use of land, labor, equipment, facilities, livestock, or other resources.

[Cooperative Research and Development Agreement](#) (CRADA) used when the agency and another party, usually a company, conduct technology transfer activities and the other party contributes funds to the agency in partial support of the agencies' effort. Responsibility for these agreements lies with the Office of Technology Transfer. Use when receiving funds under the Federal Technology Transfer Act

[Memorandum of Understanding](#) sets out very broad and general terms to coordinate efforts on a project of mutual interest.

[Master Memorandum of Understanding](#) establishes the intent of ARS and another party to cooperate.

## AGREEMENTS PROCESS AT NPARL

**Always discuss any type of Agreement with your Research Leader before entering into any joint research project.**

### **What is the definition of "Mutual Interest"?**

"A mutual interest in the objectives of the agreement exists when each of the parties to the agreement has a need for a good or service and they pool their resources to obtain their joint interests. In that circumstance, the parties would have the same interest in the direct result of the agreement, even though the ultimate use of that result by the parties may be diverse. If each party to the agreement independently has an interest in obtaining the good or service, shared by each of the other parties to the agreement, then a mutual interest exists. Cooperative agreements entered into pursuant to this authority should be scrutinized to determine whether there actually is a mutual interest in the direct result of the agreement." (Office of General Council (OGC), in a written opinion dated Feb. 11, 1985)

### **Things to remember**

**First Line Approval is required so discuss your ideas with your Research Leader first.**

To enter into a cooperative agreement you will be designated as an Authorized Departmental Officer's Designated Representative (ADODR) by the Authorized Departmental Officer (ADO). For our lab, Marcie Curre-Gross at the Area Office is our ADO. The ADO enters into the cooperative agreement, not you. You will be designated as an ADODR, by the ADO prior to award of the agreement.

An ADODR must occupy a scientific or administrative position classified as Category 1, Research Scientist; Category 4, Service Scientist; or Category 6 Area Directors, Center Directors, and National Program Leaders. An ADODR is not authorized to sign an extramural agreement or negotiate indirect costs or intellectual property rights, but is responsible for monitoring progress, submitting annual reports to ADO, and otherwise making sure that the work outlined in the agreement is completed.

### **Links to Agreements Sections**

[Northern Plains Area Agreements Section](http://www.ars.usda.gov/Main/docs.htm?docid=16581) <http://www.ars.usda.gov/Main/docs.htm?docid=16581>

[Extramural Agreements Division \(EAD\)](http://www.afm.ars.usda.gov/agreements/index.htm) <http://www.afm.ars.usda.gov/agreements/index.htm>

## AGREEMENTS PROCESS

### “Competitive Grant”

(Incoming Agreement)

### *Applying for a “Competitive Grant” or want to apply for a “Competitive Grant”?*

<http://www.grants.gov/sitemap/sitemap.jsp>

---

---

#### **Are you registered to use the grants.gov system?**

No...fax Marcie Currie-Gross ([Marcie.Currie-Gross@ars.usda.gov](mailto:Marcie.Currie-Gross@ars.usda.gov))

- your full legal name including middle initial and suffix;
- date of birth;
- School and year your PhD was awarded;
- Funding Opportunity Number for the program you are submitting the proposal to (example: USDA-CSREES-AFRI-001967 program/Microbial Genome Sequencing), and the due date for the proposal.

This is personal information and needs to be faxed or sent by encrypted e-mail. If it is sent as an attachment, you need to password protect to open and call with the password. Do not e-mail your password to open the document.

---

---

**First and foremost: Discuss your ideas with your Research Leader.** Complete an [Incoming Agreement Worksheet](#) and give to your unit secretary so she can enter the information into ARIS. Complete the worksheet as early as possible **because you cannot submit the grant application until the Incoming Agreement is approved in ARIS by all line management levels!**

- <\$50,000 is approved at the Area Office; usually overnight!
- \$50,000 is forwarded to the National Program staff for approval.

When the Agreement entry is received at the Area Office level, both the Letter of Intent (LOI) and agreement will be printed as one document and given to Marcie Currie-Gross, Authorized Departmental Officer, and then to one of the Area Directors for review/approval.

The Unit Secretary will monitor ARIS and notify the Scientist on the status of the proposal. If any additional forms are required after the Agreement is submitted, your unit secretary will notify you. The Incoming Agreement Worksheet is required if you are the Scientist submitting the grant as the PI, if you are a Co-PI for a Grant that a University Scientist is submitting and you expect to receive flow-down funds, or you will be acting in a consulting/collaborative capacity and will not receive funds from the grant proposal submitted by the University partner.

## AGREEMENTS PROCESS

### “Competitive Grant”

(Incoming Agreement)

The Agreements Section will appoint the initiator of the agreement as ADODR prior to the award of the agreement and send you an ADODR page. The Scientist needs to return the ADODR page to the Agreements Section within 10 working days of receipt. You must have had ADODR training to be a cooperator in an agreement. ADODR is required to complete annual refresher training.

---

#### **Are you the PI submitting the Grant?**

*Yes...*

In addition to completing the Incoming Agreement Worksheet, prepare a draft grant proposal, budget justification and budget and send to Marcie for review. The Incoming Agreement can go into ARIS for approval long before you draft the grant proposal and budget.

The IPSC costs are calculated by  $(\text{Direct Costs}) \times (11.111\%)$

You can hit the submit button **after** you receive approval on the Agreement entered in ARIS and approval from the Area Office Agreements Section on the draft grant proposal and budget.

Send the final grant proposal submission in a Word or pdf file to Marcie along with the tracking number assigned to the grant proposal submission. CC your unit secretary for the location files.

If it is funded, The Area Office Agreements Section will notify the scientist and unit secretary regarding directions to process the incoming funds agreements. When the project is complete send a copy of the required reports to your unit secretary and to Marcie at Area so the file can be closed.

If the proposal is not funded, The Area Office Agreements Section will notify the unit secretary to create a work record in ARIS to revise the pending Agreement to Unfunded.

---

#### **Are you a Co-PI for a grant that a University Scientist is submitting and you expect to receive flow-down funds?**

*Yes...*

In addition to completing the Incoming Agreement Worksheet, send the ARS portion of the budget, the budget narrative/justification to Marcie at the Area Office and your unit secretary.

Also, check with the University to see if they need a Letter of Support from ARS. If they do, prepare a draft and e-mail to Marcie at the Area office and your unit secretary.

Send the University Scientist the approved ARS budget, budget narrative & Letter of Support.

Your unit secretary will monitor ARIS and notify you when the Agreement is approved. The Scientist needs to notify the unit secretary when the research effort begins, that the grant has been awarded, or if it will not take place so she can make the appropriate adjustments to the record in ARIS.

When the project is completed, send a copy of the required reports to your unit secretary and to Marcie at Area so file can be closed.

---

# AGREEMENTS PROCESS

## “Competitive Grant”

(Incoming Agreement)

### Will you be acting in a consulting/collaborative capacity and will not receive funds from the grant proposal submitted by the University Partner?

Code the Incoming Agreements Worksheet as Research-No Funds to ARS. Submit the completed Incoming Agreement Worksheet to your unit secretary for ARIS entry. Your unit secretary will monitor ARIS and notify you when the Agreement is approved. The Scientist needs to notify their unit secretary when the research effort begins, or if it will not take place so she can make the appropriate adjustments to the record in ARIS.

When the project is completed, send a copy of the required reports to your unit secretary and to Marcie at Area so the file can be closed.

---

For assistance: Marcie Currie-Gross 970-492-7022 [marcie.currie-gross@ars.usda.gov](mailto:marcie.currie-gross@ars.usda.gov)

---

#### Notes:

From: Marcie-Currie-Gross, 1/21/09, Sites to check requirements and due dates:

#### AFRI announcement (CSREES):

[http://www.csrees.usda.gov/funding/afri/afri\\_program\\_deadline\\_dates.html](http://www.csrees.usda.gov/funding/afri/afri_program_deadline_dates.html)

Grants.gov lists for all agencies: [http://www07.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www07.grants.gov/applicants/find_grant_opportunities.jsp)

When applying under the CSREES or AFRI grants.gov program announcements, please select one of these codes for the Source of Funds (SOF):

0105 = Regular type of CSREES competitive grant proposals

0166 = Agriculture and Food Research Initiative (AFRI)

The information entered in the Remarks will assist Area Staff with the Source of Funds coding as well as registering the scientists in the grants.gov system (which requires the Funding Number during Step 1 of the grants.gov registration process). Follow these examples when completing the ARIS Remarks block.

- Example #1: PI for the USDA-CSREES-AFRI-001967 program (Microbial Genome Sequencing/due date 03/02/2009), in the amount of \$350,000.
- Example #2: PI for the USDA-CSREES-BRAP-002008 program (Biotechnology Risk Assessment/due date 01/30/2009), on the proposal submitted by ARS in the amount of \$350,000; if funded KSU will receive \$125,000.
- Example #3: Co-PI for the AFRI Program Code 91312 (Microbial Genomics: functional Genomics of Microorganisms/Letter of Intent due 02/05/2009), on the proposal submitted by NDSU in the amount of \$200,000 with no funds to ARS).

# AGREEMENTS PROCESS

## “Trust Fund Cooperative Agreement (TFCA)”

(Incoming Agreement)

### ***What is a Trust Fund Cooperative Agreement?***

It is an agreement between ARS and a sponsoring organization (Non-ARS Entity) for cooperative research of mutual interest where **ARS is paid in advance** for research or use of any facility or service. The agreement supplements the program or programs of the scientist and the unit performing the work and must be related to the expertise and assignment of the individuals performing the work. All parties must mutually contribute resources to the effort.

Non-ARS entity-i.e., APHIS; NRCS; Forest Service; DOD; EPA; National Cattlemen’s Beef Assoc; Texas Corn Producers; North Dakota Beef Commission; Minn-Dak Growers; etc.

**First and foremost: Discuss your ideas with your Research Leader.** Complete Form [Incoming Agreements Worksheet](#) and give to your unit secretary so she can enter the information into ARIS. Complete the Worksheet as early as possible **it is required to submit a LOI to your ARIS entry person as soon as you begin corresponding with an organization with serious intent.**

<=\$50,000 is approved at the Area Office; usually overnight!

> \$50,000 is forwarded to the National Program staff for approval.

When the Agreement entry is received at the Area Office level, both the Letter of Intent (LOI) and agreement will be printed as one document and given to Marcie Currie-Gross, Authorized Departmental Officer, and then to one of the Area Directors for review/approval.

The unit secretary will monitor ARIS and notify the Scientist on the status of the proposal. If any additional forms are required after the Agreement is entered, your unit secretary will notify you. Please notify the Unit secretary if you receive notice from the organization that the agreement will not be funded and the LOI status in ARIS can then be updated.

### **Next:**

Once the Agreement is approved in ARIS, prepare a Statement of Work (SOW) and Budget for the proposed research. Be sure to include the mutual interest in the agreement’s objective in the SOW. Samples are available from the Area Agreements Section.

E-mail the SOW and Budget to the Area Agreements Section and your unit secretary:

- Marcie Currie-Gross [marcie.currie-gross@ars.usda.gov](mailto:marcie.currie-gross@ars.usda.gov)

The Agreements Section would also like you to forward all copies of letters, e-mail correspondence, etc. you have had with the Non-ARS Entity. Please give a copy to your unit secretary as well for our location files.

## **AGREEMENTS PROCESS**

### **“Trust Fund Cooperative Agreement (TFCA)”**

(Incoming Agreement)

The Agreements Section will appoint the initiator of the agreement as ADODR prior to the award of the agreement and send you an ADODR page. The Scientist needs to return the ADODR page to the Agreements Section within 10 working days of receipt. You must have had ADODR training to be a cooperator in an agreement. ADODR is required to complete annual refresher training.

The Agreements Section will prepare the Cooperative Agreement Package and send it to the Non-ARS Entity for their signature. When the Non-ARS Entity returns the signed agreement, the Agreements Section will return a copy of the signed and fully executed Cooperative Agreement document to the Cooperator, ARS Scientist, Research Leader, Unit Secretary, and Administrative Officer.

The Area Budget Section will set up an accounting code when the check is received. If the check is mailed to the Scientist or Unit, forward the check to the Agreements Section.

The scientist will be notified by the Administrative Officer when the funds have been received and the accounting code is available so spending can begin.

The scientist is required to send a copy of the Annual and/or Final Performance Reports, and Status of Funds to the Area Agreements Section and the unit secretary.

The annual/final ARS-421 Progress Report is not required for Incoming Agreements for \$25,000 or less.

## AGREEMENTS PROCESS

### “Reimbursable Cooperative Agreement (RCA)”

(Incoming Agreement)

#### ***What is a Reimbursable Cooperative Agreement?***

Agreement between ARS and a Sponsoring Organization (Non-ARS Entity) for cooperative research of mutual interest where **ARS bills the sponsor for costs incurred** for research or use of any facility or service. The agreement supplements the program or programs of the scientist and the unit performing the work and must be related to the expertise and assignment of the individuals performing the work. All parties must mutually contribute resources to the effort.

Non-ARS Entity-i.e., APHIS; NRCS; Forest Service; DOD; EPA; National Cattlemen’s Beef Assoc; Texas Corn Producers; North Dakota Beef Commission; Minn-Dak Growers; etc.

**Note:** if the Non-ARS Entity is another USDA agency or another Federal agency the RCA is referred to as an ***Interagency Reimbursable Cooperative Agreement***.

**First and foremost: Discuss your ideas with your Research Leader.** Complete Form [Incoming Agreements Worksheet](#) and give to your unit secretary so she can enter the information into ARIS. Complete the Worksheet as early as possible **because it is required to submit the information through ARIS as soon as you begin corresponding with an organization with serious intent. And because you cannot submit a proposal until the Agreement is approved in ARIS by all line management levels!**

<=\$50,000 is approved at the Area Office; usually overnight!

> \$50,000 is forwarded to the National Program staff for approval.

When the Agreement entry is received at the Area Office level, both the Letter of Intent (LOI) and agreement will be printed as one document and given to Marcie Currie-Gross, Authorized Departmental Officer, and then to one of the Area Directors for review/approval.

The unit secretary will monitor ARIS and notify the Scientist on the status of the proposal. If any additional forms are required after the Agreement is entered, your unit secretary will notify you.

#### ***Next:***

Once the Agreement is approved in ARIS, prepare a Statement of Work (SOW) and Budget for the proposed research. Be sure to include the mutual interest in the agreement’s objective in the SOW. Samples are available from the Area Agreements Section.

E-mail the SOW and Budget to the Area Agreements Section and your unit secretary:

- Marcie Currie-Gross [marcie.currie-gross@ars.usda.gov](mailto:marcie.currie-gross@ars.usda.gov)

The Agreements Section would also like you to forward all copies of letters, e-mail correspondence, etc. you have had with the Non-ARS Entity. Please give a copy to your unit secretary as well for our location files.

## **AGREEMENTS PROCESS**

### **“Reimbursable Cooperative Agreement (RCA)”**

(Incoming Agreement)

The Agreements Section will appoint the initiator of the agreement as ADODR prior to the award of the agreement and send you an ADODR page. The Scientist needs to return the ADODR page to the Agreements Section within 10 working days of receipt. You must have had ADODR training to be a cooperator in an agreement. ADODR is required to complete annual refresher training.

The Agreements Section will prepare the Cooperative Agreement Package and send it to the Non-ARS Entity for their signature. When the Non-ARS Entity returns the signed agreement, the Agreements Section will return a copy of the signed and fully executed Cooperative Agreement document to the Cooperator, ARS Scientist, Research Leader, Unit Secretary, and Administrative Officer.

The Area Budget Section will set up an accounting code when the Agreement is finalized.

The scientist will be notified by the Administrative Officer when the funds have been set up and the accounting code is available so spending can begin.

The scientist is required to send a copy of the Annual and/or Final Performance Reports, and Status of Funds to the Area Agreements Section and the unit secretary.

The annual/final ARS-421 Progress Report is not required for Incoming Agreements for \$25,000 or less.

## AGREEMENTS PROCESS

### “Non-funded Cooperative Agreement (NFCA)”

#### ***What is a Non-funded Cooperative Agreement?***

An agreement is necessary between ARS and another party that describes, in detail, a jointly planned and executed research program or project of mutual interest between the parties. Both parties contribute resources and benefit independently in the outcome of the project. There is maximum five year duration.

**Discuss your ideas with your Research Leader.** Complete the [Incoming Agreements ARIS-AIMS template](#) and submit to your unit secretary. Your unit secretary will enter the information in the ARIS system and obtain line management approval signatures. The Area Agreements Section will review and approve the project in ARIS and release to the NPS for their review and approval.

***Do not engage, or make any plans for the relationship, with the Cooperator until NPS approval of the Agreement has been verified.***

After the approval is received from the NPS, prepare a Statement of Work (SOW) for the proposed research. Be sure to state the mutual interest in the agreement’s objective in the SOW. Samples are available from the Area Agreements section.

E-mail the SOW to the Area Agreements Section and your unit secretary.

NPS Approval can take 2-4 weeks in ARIS. Once approved by the NPS, the Area Agreements staff will notify the ARS scientist and unit secretary of approval, prepare the agreement package and send it to the Cooperator to review, approval, and signatures. This can take 30-90 days to receive approval and signatures from the Cooperator.

The Agreements Section will appoint the initiator of the agreement as ADODR prior to the award of the agreement and send you an ADODR page. The Scientist needs to return the ADODR page to the Agreements Section within 10 working days of receipt. You must have had ADODR training to be a cooperator in an agreement. ADODR is required to complete annual refresher training. A copy of the signed and fully executed Cooperative Agreement document will be sent to the Cooperator, ARS Scientist, Research Leader, Unit Secretary, and Administrative Officer.

To amend the agreement by extending the termination date, send an e-mail, the unit secretary. ARIS will be updated following line management approval. The ARS scientist needs to create the expanded Statement of Work and e-mail to the Area Agreements Section and their unit secretary.

The Area Agreements Section will submit the amendment to the NPS for approval. Once NPS approves, the Agreements Section will prepare the Agreement amendment and send to the Cooperator for signature.

Once fully signed, a copy of the executed Agreement is sent to the Cooperator, ARS Scientist, Research Leader, Unit Secretary, and Administrative Officer.

The ARS Scientist is required to prepare the Annual Performance Report (ARS-421) and send to the unit secretary to update ARIS. The Final Progress Report (ARS-421) is prepared by the Scientist but will not be closed until all financial documentation is received at the area office.

By August 1<sup>st</sup> of each year the ARS Scientist is required to obtain the Annual Performance Reports from the Cooperator’s Principal Investigator and forward the report to the Area Agreements Section and the Unit Secretary for agreements less than \$25,000.

## AGREEMENTS PROCESS

### “Specific Cooperative Agreement (SCA) Cont’d”

(Outgoing Funds)

#### ***What is a Specific Cooperative Agreement? (represents outgoing funds to a university)***

An agreement between ARS and another party that describes, in detail, a jointly planned, executed, and funded research program or project of mutual interest between the parties where both parties contribute resources. Resources may be sharing property, research, or other non-monetary items. Agreement duration is limited to five years and the cooperators contribution must be at least 20% of the total ARS funding provided for the life of the agreement. Reimbursement of indirect costs is prohibited for state cooperative institutions and limited to 10% for non-profit organizations.

***The research cannot begin, and funds are not available for the Cooperator’s use, until all Agreement actions are completed and signed by all parties!***

**Discuss your ideas with your Research Leader.** Complete the [SCA Worksheet](#) and submit it to your unit secretary, who then enters the information in to the ARIS system and obtains line management approval signatures.

The unit secretary will let you know when line management approvals are received. At this point you need to prepare a Statement of Work (SOW) for the proposed research. Be sure to state the mutual interest in the agreement’s objective in the SOW and obtain a CAT’s generated AD700. The administrative officer, purchasing agent or your Unit secretary can create the AD-700 for you and is signed by the Fundholder. The unit secretary will e-mail the signed AD700 to the Area Agreements Sections.

In the description block of the AD700 you need to have

- The cooperative agreement number
- And the name of the cooperator

It is helpful to include the ARIS accession number and the AIMS control number, however it is optional.

The Area Agreements Section will review the Statement of Work and Budget for the proposed research and contact the scientist if revisions are required. The Area Agreement Section will then release the proposal to the National Program Staff (NPS) for their review and approval. This can take 2-4 weeks for NPS to approve the project in ARIS.

Once approved by the NPS, the area agreements staff will notify the ARS scientist and unit secretary of approval, prepare the agreement package and send it to the Cooperator to review, approval, and signatures. This can take 30-90 days to receive approval and signatures from the cooperator.

The Agreements Section will appoint the initiator of the agreement as ADODR prior to the award of the agreement and send you an ADODR page. The Scientist needs to return the ADODR page to the Agreements Section within 10 working days of receipt. You must have had ADODR training to be a cooperator in an agreement. ADODR is required to complete annual refresher training.

The Agreements Section will send a copy of the signed and fully executed cooperative agreement document to the Cooperator, ARS scientist, research leader, unit secretary, and administrative officer.

## AGREEMENTS PROCESS

### “Specific Cooperative Agreement (SCA) Cont’d”

(Outgoing Funds)

By August 1<sup>st</sup> of each year the ARS scientist is required to obtain the Annual Performance Reports from the Cooperator’s Principal Investigator. Forward the report and any financial reports to the area agreements section and the unit secretary.

The ARS Scientist is required to prepare their Annual Performance Report (ARS-421) and send to the unit secretary to update ARIS.

To amend the agreement, notify the unit secretary of your wish to extend the time on the agreement. The unit secretary will update ARIS and obtain line management approval. The ARS scientist needs to create the expanded statement of work, new budget, and AD-700 for any additional funds to the Area Agreements Section and the unit secretary.

The Area Agreements Section will submit the amendment to the NPS for approval. Once NPS approves, the Agreements Section will prepare the agreement amendment and send to the Cooperator for signature.

The Area Agreements Section will send a copy of the fully signed and executed Agreement amendment document to the Cooperator, ARS scientist, research leader, unit secretary, and administrative officer.

The ARS scientist prepares the Final Progress Report (ARS-421) and sends to the RL. The RL then forwards the report to the unit secretary to enter into ARIS. The Area Agreements Section will review them by accessing the information in ARIS. The agreement cannot terminate until all the financial administrative actions are completed between ARS and the Cooperator. Final performance reports are due 90 days after the agreement terminates.

### “Standard Cooperative Agreement (StCA)”

#### What is a Standard Cooperative Agreement?

(StCA) An agreement that documents a cooperative relationship, relative to the use of land, labor, equipment, facilities, livestock, or other resources and must be related to the mission of ARS. The agreement provides that the cooperator shall be compensated for losses suffered due to damage to owner’s property by ARS employees.

A Statement of Work is required.

**Discuss your ideas with your Research Leader.** Contact the Area Agreements Section to establish this agreement. Please cc your unit secretary when communicating with the Area Agreements Section.

# AGREEMENTS PROCESS

## “Cooperative Research and Development Agreement (CRADA)”

### What is a Cooperative Research and Development Agreement?

(CRADA) The most formal agreement, it gives the cooperator the right to negotiate an exclusive license to at least one field of use to any ARS solely owned invention(s) or jointly-owned inventions(s) conceived or reduced to practice under the scope of work of the CRADA. It permits ARS, at its option, to keep information developed under the CRADA confidential for up to 5 years if such information would have been proprietary had it been generated solely by the cooperator. ARS is required to keep confidential, indefinitely, any proprietary information given to ARS directly by the Cooperator, unless the information becomes publicly available from a source other than ARS. The CRADA is appropriate for

- a) Transfer and/or further development of ARS technology,
- b) Research combining ARS and a Cooperator’s intellectual property or technology,
- c) And discovery and development of new and/or improved products and/or services.

**Discuss your ideas with your Research Leader.** Complete the [Incoming Agreement Worksheet](#) and give to your unit secretary to enter the information into ARIS. If it is over \$25,000 a 416/417 is required and you will be notified by the area office when to add it to the Incoming Agreement. Be sure to notify your unit secretary if you are notified by the Area office so she can assist you with updating the Incoming Agreement.

This agreement is handled through the Technology Transfer Coordinator (TTC) at the area office. For further instruction and advice, please contact Dr. Bryan Kaphammer for assistance related to Cooperative Research and Development Agreements (CRADA’s) at [Bryan.Kaphammer@ars.usda.gov](mailto:Bryan.Kaphammer@ars.usda.gov) or 970-492-7028.

The Agreements Section will appoint the initiator of the agreement as ADODR prior to the award of the agreement and send you an ADODR page. The Scientist needs to return the ADODR page to the Agreements Section within 10 working days of receipt. You must have had ADODR training to be a cooperator in an agreement. ADODR is required to complete annual refresher training.

## AGREEMENTS PROCESS

### “Other Cooperative Agreements”

***The following types of Agreements are available, but not generally used at our location.***

For all types of Agreements the Area Agreements Section will appoint the initiator of the agreement as ADODR prior to the award of the agreement and send you an ADODR page. The Scientist needs to return the ADODR page to the Agreements Section within 10 working days of receipt. You must have had ADODR training to be a cooperator in an agreement. ADODR is required to complete annual refresher training.

#### **Assistance-type Cooperative Agreement (Outgoing Funds)**

(ATCA) An agreement to transfer something of value to the recipient to stimulate or carry out a public purpose. Substantial involvement is anticipated between Agency and the recipient. Work must be related to the mission of ARS.

#### **Grant (Outgoing Funds)**

Agreement to transfer something of value to the recipient to carry out or stimulate activities that are not for the direct benefit or use of the Federal government or to carry out a public purpose with no substantial involvement anticipated between ARS and the recipient. It must be related to the mission of ARS. Competition is required.

#### **Research Support Agreement (Outgoing Funds)**

(RCA) A cost-reimbursable agreement between ARS and a State Cooperative Institutions or other colleges and universities, for the acquisition of goods or services, including personal services, to carry out agricultural research, extension, or teaching activities of mutual interest. There is a 4 year limitation on full time recurring requirements and a 10% limitation on reimbursing the cooperator for indirect costs.

#### **Master Memorandum of Understanding**

(MMOU) Is an agreement that establishes the intent of ARS and another party to cooperate. The MMOU outlines the general principles of cooperation, and describes mutual interest and benefit in broad language. No resources are exchanged, and no specific duties and responsibilities are defined. An MMOU is in place for an indefinite amount of time. This type of agreement is only signed by the ARS Administrator.

#### **Memorandum of Understanding**

(MOU) Is a non-binding agreement between ARS and another party that outlines in broad, general terms, an intent for the parties to coordinate their efforts on specific projects of mutual interest. No specific duties and responsibilities are defined. There is no significant commitment of resources by ARS and no direct transfer of resources from one party to the other.