

CARE FUNCTIONAL REVIEW EXTRAMURAL AGREEMENTS

For information on the interpretation or clarification on the functional questions in this section, please contact Sherri Carroll on 301-504-1148.

8.01 Extramural Agreements Program (General)

Reference Extramural Agreements Manual (EAM), 280.0

Determine what staff members at the Location are involved in the agreements process and if there are any concerns about the turn-around time in full execution of agreements. If so, what is the average time for:

- Obtaining official CRIS approval (starting at the Location, up-to the Area, and finally through NPS)
- Assembly of a complete extramural agreement package to be forwarded to the Authorized Departmental Officer (ADO) for authorization/award. A complete package includes the following supporting documentation:
 - Form AD-700 indicating the fundholder's commitment, award amount and accounting code information
 - Statement of work/proposal with proposed period of performance, and complete budget information. (This information should also be provided to the ADO on disk or electronically transmitted. Examples of statements of work can be obtained from the ADO.)
 - Information identifying the principal parties; (ADODR, Principal Investigator, Cooperator, and their phone/fax numbers, and mailing/e-mail addresses).
 - Approved/Official CRIS documentation (except for non-research projects); i.e. Form ARS-425-Authorization to Apply for and use Funds from Outside Sources, Form AD-416-Research Resume, Form AD-417-Classification of Research and Form ARS-550-Research Agreements Plan.
 - Justification for funding increases and extensions (if applicable)

Determine if the LAO/T is maintaining a copy of the extramural agreements request package forwarded to the ADO. It is recommended that the LAO/T maintain a copy of the request package for tracking and information purposes.

Does the Location have any comments/suggestions regarding how the pre-award, award, administration and closeout process of extramural awards can be streamlined and improved? If so, evaluate the comments/suggestions for potential inclusion in the Location's CARE report.

8.02 Research Support Agreement (RSA)

Reference EAM, Chapter 2400

NOTE: Under an RSA, the LAO/T is the ADODR with written delegation from the ADO.

Determine whether an RSA is being utilized at this Location. If so:

Determine whether there is a copy of the Form ARS-550 Research Agreements Plan, approved by the Area Director during the ARMPS cycle for each Research Unit using the RSA during the current fiscal year. It is recommended that the ADODR maintain a file copy of this information.

Determine whether the ADODR is aware of his/her duties and responsibilities delegated to them by the ADO for the RSA. It is recommended that the ADODR maintain a file copy of the Instructions from the ADO to the ADODR with a signed copy of the delegation acknowledgment page returned by the ADODR to the ADO.

Determine whether individual task orders issued by the ADODR are supported by a Form AD-700, description and amount of supplies, materials and services requested, a listing of occupational categories with corresponding duties and qualifications, and dates or time frames for delivery of goods or performance of services.

Determine whether the RL is submitting a properly executed Form AD-700 to the ADODR for changed requirements that would either increase or decrease an original task order. (See EAM, Chapter 2400, Section 2402.1 - Preparation of Documentation)

Determine whether the ADODR is sending task orders for goods or services to the Cooperator to request that the Cooperator (1) provide an estimated price; (2) certify that they are in a position to undertake, perform, and complete the task order; and (3) state that they will diligently perform in accordance with the provisions of the RSA.

Determine whether the services requested on each individual task order are in accordance with ARS policy and procedures regarding the acquisition of goods and personal services under an RSA. (See EAM, Chapter 2400, pages 24-1 and 24-5)

Determine whether task orders are submitted to the ADO for review to ensure accuracy and compliance with ARS policies and procedures.

Ensure that ARS is not selecting cooperator employees, administratively supervising cooperator employees, entering into employment agreements with individuals, administering cooperator payrolls, establishing wage levels, or approving or disapproving a cooperator employee's leave.

Determine whether, after execution of the task order, the ADODR is submitting to the National Finance Center (NFC) or the ABFO (PWA and SPA) in order to obligate the funds. The ADO is also on the distribution list to receive copies.

If the RSA is under HHS/Payment Management System (HHS/PMS), determine whether the Cooperator is providing a Monthly Management Report (MMR) or equivalent report to the ADODR.

Determine whether the ADODR verifies and approves the MMR based upon documentation; i.e., packing slips, delivery tickets, memoranda, etc., submitted by the cooperator and verified by the RL.

If payment method is other than HHS-PMS, determine whether the RL is properly certifying, and the ADODR verifies the receipt of goods and/or services using documentation; i.e., packing slips, delivery tickets, memoranda, etc.

If payment method is other than HHS-PMS, determine whether the ADODR is promptly submitting copies of the invoice to NFC or the ABFO (PWA and SPA) for payment. The ADO should also be on the distribution list to receive copies.

If payment method is other than HHS-PMS, determine whether cooperators are enrolled in the Vendor Express Program (VXP) for electronic funds transfer (EFT) payments.

8.03 Cooperative Agreements: (Specific Cooperative Agreements, Trust Fund, and Reimbursable)

Reference EAM, Chapters 2100 and 2300

A complete extramural agreements package must be forwarded to the ADO. Ensure that the Location is aware of what constitutes a complete extramural agreements package as outlined in Section 8.01 above.

Is the Location familiar with the requirements regarding the statement of work for Specific Cooperative Agreements, Trust Funds, and Reimbursable Cooperative Agreements? (Examples of statements of work can be obtained from the ADO.)

8.04 Standard Cooperative Agreements

Reference EAM, Chapter 2200

Determine whether the LAO/T is familiar with, and adhering to, the requirements outlined in EAM, Chapter 2200.

Examples of these requirements are:

- The responsibility for pre-award, award, administration and closeout rest with the LAO/T.
- The LAO/T must forward the draft agreement to the ADO for review and comment before the LAO/T sends a final document to the Cooperator for signature.

8.05 Grants and Assistance Type Cooperative Agreements (ATCAs)

Reference EAM, Chapter 3100

Determine whether the Location has any Grants and/or ATCAs. If so, determine whether the Location is familiar with and abiding by the requirements outlined in EAM, Chapter 3100, Section 3104.3 regarding Grant and Assistance Type Cooperative Agreements. Examples of a Grant and ATCA can be found at the end of Chapter 3100. For Example:

- If ARS intends to have substantial involvement in the work effort, is an ATCA awarded?
- If the Grant is awarded non-competitively, does the file clearly document the reasons for non-competition?

Determine whether the Grantee has submitted their proposal on their organization's letterhead and that an overall budget for the project is part of the proposal.

A complete extramural agreement package must be forwarded to the ADO. Ensure that the Location is aware of what constitutes a complete extramural agreement package as outlined in Section 8.01 above. NOTE: For ATCA's, a statement of significant involvement is also required to accompany the Statement of Work.

8.06 Master Memoranda of Understanding

Reference EAM, Chapter 4100 (100% review requirement - All files to be reviewed)

Determine if the MMOU is needed; i.e., the Area Office is reviewing the Master Memoranda of Understanding for the Location at least every 5 years to ensure that the MMOU is program relevant; i.e., that work is within the current objectives and mission of ARS.

Refer to EAM, Exhibit 41-2: Sample Master MOU

8.07 Supplements to the Master MOU

Reference EAM, Chapter 4100

Determine whether a provision is placed in each Supplement that duration is not to exceed 5 years.

Refer to EAM, Exhibit 41-3, Sample Supplement to a Master MOU

8.08 Standard Memorandum of Understanding

Reference EAM, Chapter 4100

Determine whether the LAO/T is familiar with, and adhering to, the requirements outlined in EAM, Part 4000, Section 41-7. Examples of these requirements are:

- The responsibility for pre-award, award, administration and closeout rest with the LAO/T.
- The LAO/T must forward the draft agreement to the ADO for review and comment before the LAO/T sends a final document to the Cooperator for signature.

8.09 Individual Memorandum of Understanding

Reference EAM, Chapter 4100

Determine if IMOU's are being used when an MMOU is in place that could be supplemented.

Determine if AD approval is obtained prior to establishing an IMOU.

Determine if IMOU(s) are limited to 5 years in duration.