

**NORTHERN PLAINS AREA
Policy Memorandum**

DATE: January 13, 2003

SUBJECT: Performance Reports For Cooperative Agreements, Northern Plains Area

NUMBER: PM-03-001

EFFECTIVE DATE: Immediately Until Replaced or Superseded

1. Purpose

The USDA General Provisions, Form REE-452, establishes the procedures for Financial and Performance Report requirements for Non-Assistance Cooperative Agreements. The Performance Report is utilized to (a) demonstrate the Cooperator is working 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 Cooperator's PI must provide the report through line management approval(s) on Company letterhead. E-mail reports are acceptable, as long as it is clear that the Performance Report originated from the Cooperator PI. The Annual Performance Report is due no later than August 15 of each year the agreement is in effect, and must address the following:

- a. Provide a summary of progress, including a comparison of actual accomplishments with the goal(s) established for the report period, and the reasons for slippage if the objectives were not met.
- b. List any problems encountered.
- c. List of the Cooperator PI's significant accomplishments during the report period.
- d. What the Cooperator's PI expects to accomplish during the next year.
- e. What technologies were transferred and to whom. When the technology is likely to become available to the end user (farmer, industry, other scientists).
- f. List all publications produced 1 October through 30 Sept. of the fiscal year during which the work was conducted.

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

3. **ARS ADODR Requirements**

- Obtain the Annual Performance Report from the Cooperator PI no later than August 15 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 ARS-421 Progress Report entered in ARIS and submitted to the AD and NPS (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. **Questions**

- Extramural Agreements Section: Jim Quaratino, (970)229-5529 or jquaratino@npa.ars.usda.gov; Marcie Currie-Gross, (970)229-5522 or grosscm@ars.usda.gov.



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