

Cooperative Compliance Agreement Document Flow for New MN HPAI Cases

PRE-AWARD LETTER (PAL)

An approved PAL authorizes the cooperator/producer to begin work and accrue reimbursable expenses. It is a request from the cooperator/producer to the Authorized Departmental Officer (ADO). Cost estimates are not required to accompany this letter. The new “fast track” PAL reflects a minimum reimbursement of \$3,000. Reimbursement cannot be processed based on an approved PAL.

Flow:

- The Case Manager (CM) will assist the cooperator/producer in finalizing the PAL.
- The CM will forward the PAL to the Agreement Specialist (AS) for processing.
- The AS will forward the PAL to the Authorized Departmental Officer’s Designated Representative (ADODR) for signature.
- The ADODR reviews/signs the PAL and returns document to the AS.
- The AS forwards document to the ADO for signature.
- The ADO reviews/signs the PAL and returns document to the AS.
- The AS files the PAL and forwards a copy to the cooperator/producer.

WORK PLAN (WP) and FINANCIAL PLAN (FP)

The WP outlines the activities to be performed by the cooperator/producer, State representative and APHIS-VS. The WP template lists the most common compliance agreement activities; space is provided to add additional information.

The FP accompanies the WP. It is the cooperator/producer’s estimated cost to complete the WP activities. Both documents will outline the work and related costs to be accomplished within a 12-month period. Both documents are required to complete the compliance agreement process.

Flow:

- The CM will provide the cooperator/producer with the WP/FP for completion, explaining requirements and assisting where appropriate.
- The cooperator/producer is asked to complete and sign the WP/FP within 3 weeks and return it to the AS. (Additional time can be granted, with the note that the longer it takes to receive these documents, the longer it will be before reimbursement can be processed.)
- The AS will forward the WP/FP to HPAI Agreements Cost Review Team (ACRT) for review and approval of costs.
- If the ACRT has questions regarding the activities and/or related costs, they will work with the CM, ADODR and cooperator/producer for a resolution.

- If there are no concerns, or when all parties agree to the terms of the WP/FP, the ACRT will sign/return the documents to the AS.
- The AS will forward the WP/FP to the State Representative and ADODR for review and signatures.
- The AS will provide the cooperator/producer a final/approved WP/FP.
- The final/approved WP/FP will trigger the AS to process the Notice of Award and related documents.

AUTHORIZED SIGNATURE FORM

An Authorized Signature Form allows a cooperator/producer to provide copies of signed documents (i.e., all agreement documents and Flock Plan). An original, signed Authorized Signature Form is required to be on file for this purpose.

Flow:

- The CM will provide the cooperator/producer with the Authorized Signature Form.
- All cooperating parties who may sign/authorize compliance agreement documents (and the Flock Plan) will sign this Form.
- If it is signed in front of the CM, the CM will return the document to the AS.
- If it is not signed in front of the CM, the cooperator/producer will return it to the AS.
- The AS will maintain the Form on file.

NOTICE OF AWARD and RELATED DOCUMENTS

The Notice of Award is the legal document outlining the cooperative agreement between the cooperator/producer and APHIS-VS. This document obligates the government and permits reimbursement of costs. It is signed by the cooperator/producer and the ADO.

The AS will work with the cooperator/producer, ADODR and ADO to complete and process the Notice of Award and related documents. The WP and FP are required to final process a Notice of Award. The remaining required documents are:

- SF-424, Application for Federal Assistance
- SF-424A, Budget Information
- SF-424B, Assurances for Non-Construction Programs
- Certification of Lobbying Form
- SF-LLL, Disclosure of Lobbying Activities
- Recipient Organization Authorized Representative (ROAR) Form
- Federal Funding Accountability and Transparency Act (FFATA) Form
- APHIS-63, Justification for Non-Competitive Federal Assistance
- Decision Memo

SF-270, REQUEST FOR ADVANCE OR REIMBURSEMENT

The SF-270 is the request for reimbursement from the cooperator/producer. The cooperator/producer can submit the SF-270 as often as desired to request reimbursement. This document must be accompanied by receipts verifying the dollar amount requested. The SF-270 is signed by the cooperator/producer and the ADODR.

Flow:

- The cooperator/producer will forward the SF-270 and accompanying receipts to the AS.
- The AS will review for accuracy and forward to the ADODR for review and approval.
- The ADODR will verify work accomplishments by reviewing EMRS check points, and/or communicating with the CM and cooperator/producer.
- The ADODR will sign and return the SF-270 to the AS.
- The AS will submit the SF-270 to Minneapolis for payment.

ACCOMPLISHMENT REPORT and SF-425, FEDERAL FINANCIAL REPORT

The Accomplishment Report outlines the completed activities. The SF-425, Federal Financial Report outlines the final and total costs. These reports are due annually.

Flow:

- The cooperator/producer will forward these documents to the AS.
- The AS will review for completeness and forward copies to the ADODR.
- If there are any concerns with the Accomplishment Report or SF-425, the AS and/or ADODR will work with the cooperator/producer to resolve.
- The AS will maintain the original documents on file.