



Please note: These procedures may be revised as the situation develops.

COOPERATIVE COMPLIANCE AGREEMENTS

The cooperative compliance agreement is used to provide Federal assistance for activities involving the depopulation and disposal of flocks; and the cleaning and disinfection of premises affected by Notifiable Avian Influenza (NAI) outbreaks.

PROCESSING THE COOPERATIVE COMPLIANCE AGREEMENT (EFFECTIVE MAY 9, 2015)

The Cooperative Agreement process is required for all compliance agreements above \$3,000. Step-by-step processes include:

1. The Producer and Case Manager prepare cost estimates (compost estimates) for an approximate time period of 1-2 weeks. This simple spreadsheet will include a detail of expenses (e.g., labor and labor rates, compost amounts, schedules, supplies, etc.).
2. The cost estimate is forwarded to the HPAI Operations Team for approval.
3. Once approved, HPAI Ops will sign and return the cost estimate to the Case Manager.
4. A pre-award letter, based on the cost estimate, is prepared and signed by the Producer with the assistance of the Case Manager.
5. The pre-award letter and accompanying approved cost estimate will be submitted to the VS-SPRS Agreements Team for further processing and signatures. *(Please Note: An approved pre-award letter provides the authority for the producer to begin work. Payment is not processed on a pre-award letter. A fully executed cooperative agreement and approved flock plan are required before payment can take place.)*
6. The Producer and Case Manager will prepare a Work and Financial Plan to outline work and related costs for a 12-month period.
 - a. The Producer will sign the Work and Financial Plan.
 - b. The Case Manager will forward the Work and Financial Plan to the HPAI Operations Team for approval and signature.
7. The Ops Team will email the approved Work and Financial Plan to the VS-SPRS Agreements Team, with a copy to the Case Manager.
8. The agreements team will begin processing the cooperative compliance agreement similar to a cooperative agreement:
 - a. Agreement Specialist prepares agreement package, working with the producer, ADODR, and Case Manager to complete needed forms.
 - b. Forms required: Notice of Award (NOA), SF 424, SF 424a, SF 424b, Approved Work Plan, FFATA form, Certificate of Lobbying (depending on the amount of the award), SF-LLL, APHIS 63, Authorized Signature Form, Pre-Award Letter (if needed), and Decision Memo.
 - c. The NOA will be signed by the ADO (District Director) and Producer.

- d. Producer must be in System for Award Management (SAMS) and have a DUNS number. The Agreement Specialist will assist the Producer with this task.
- e. After the agreement package has been completed, the Agreement Specialist will enter the agreement in ACMS and forward to FOST in Minneapolis for obligation.

PROCESSING COMPLIANCE AGREEMENTS PRIOR TO MAY 9, 2015

1. Compliance Agreements signed prior to May 9, 2015, will be considered and processed as a Work Plan, Financial Plan and Pre-Award Letter.
2. The VS-SPRS Agreements Team will work directly with the Producer to create a cooperative agreement. Assistance from the IMT or Case Manager may be requested.

PAYMENT PROCESSING

1. Payments will be processed after:
 - a. The cooperative compliance agreement (NOA) is fully signed/approved, and
 - b. A Flock Plan has been signed and approved.
2. The producer will supply receipts, invoices and personnel records in conjunction with an SF-270 for payment. These documents will be forwarded to the VS-SPRS Agreements Team.
3. The agreements team member will check the documents for accuracy and forward to the ADODR for signature.
4. Once the SF-270 is signed/approved by the ADODR, the Agreements Specialist will forward to Minneapolis for processing
5. The payments team in Minneapolis should process the SF-270 within 3 days of receipt. It will then take approximately 3-5 business days to pay.

REPORTING AND DOCUMENT RETENTION

1. The Producer will prepare quarterly Accomplishment and Financial Reports as outlined in the cooperative compliance agreement.
2. These documents will be forwarded to the VS-SPRS Agreements Team for processing. They will be reviewed and approved by the ADODR and filed appropriately.
3. EMRS is the designated records system for this incident. Hard copies of documents with original signatures will be kept at the Hub office with the agreement files.

USDA HPAI COMPLIANCE AGREEMENT CONTACT INFORMATION

[APHIS-VS SPRS Agreements](#) (hot link)

[APHIS-HPAI Ops](#) (hot link)

ADODR = SPRS Assistant Director

ADO = SPRS District Director