

## FY2003 NCI GUIDELINES FOR INTERAGENCY AGREEMENTS (IAGs) & DIRECT CAN CITATIONS

### IAGs:

#### I. Agreement Number Citation

Agreement numbers will be 10 characters in length.

Sample:

Y3	RC	3001	01/02/03...
Agreement Type	Division Code	"3" indicates agreement originated in FY03 & "001" is numbering sequence	Modification Number

The type of agreement determines the number in the second position;

1. Are funds provided to an organization **outside NIH**?  
Y1 (interagency) i.e. Y1-XX-XXXX-XX
2. Are funds provided to **another NIH** component?  
Y2 (intra-agency)
3. Will NCI **receive funds** from another appropriation?  
Y3 (reimbursable); A reimbursable CAN is required

The third and fourth positions will be alpha designators unique to your organizational component;

Y1-RC (CCR)	Y1-PC (DCCPS)
Y1-CM (DCTD)	Y1-CP (DCEG)
Y1-CB (DCB)	Y1-CN (DCP)
Y1-CO (DEA and all OD components)	

Position 5 through 8, will be sequentially assigned, beginning with the fiscal year in which the agreement was first established.

Y1-RC-9001 (FY99), Y1-RC-0001 (FY00), Y1-RC-1001 (FY01),  
Y1-RC-2001 (FY02), Y1-RC-3001 (FY03)

#### Modification/Renewals

New agreements established in FY 2003 should use XX-XX-3001-01. If there is any change/modification for this agreement during the year, the next available mod number should be assigned: i.e. XX-XX-3001-02, XX-XX-3001-03 and etc.

Agreements established prior to FY 2003 will maintain their original agreement number:  
Y1-RC-2001-02 (agreement established in FY 2002 and renewed for FY 2003)

The suffix, previously 01 on the FY 2002 agreement, now becomes 02. If there were additional modifications in FY 2002 and 02 was used for that year, the suffix would be given the next modification number (03).

## II. Instruction for Completing NIH – Form 1742

(<http://forms.cit.nih.gov/adobe/personnel/NH1742.PDF>)

**Intra-agency or Interagency Agreement:** Place an X in the box to indicate whether this agreement is within or outside the NIH community.

**1/2/3:** Fill in IAG number including Mod number. Put in “Y” for both paying agency and receiving agency

**4: Title of Agreement:** Give a one sentence summary of the purpose of this agreement

**5. Summary of Substance of Agreement:** Include a detailed purpose of resources committed. Also include funds, personnel, equipment, facilities, etc.

**6. Period of the Agreement:** Start and end date of the agreement. However, it should **NOT** cross fiscal years

**7. Authority for the Agreement:** This should generally read: “The Economy Act of 1932, as amended (USC 1535)”. The proper citation for agency agreements involving grant awards may be the PHS Act and/or the IC’s Appropriation Act.

**8/11. Agency Location Code:** Must be entered for both parties. Location code (NIH ICs only) for 832, 833 and 834 CAN is **75-08-0031**.

**9/12. Employee Identification Number:** Must be entered for both parties. NIH EIN is *152085811501*  
15285811501. EINs for partner agencies may be found at the following web address:  
D ← [http://www4.od.nih.gov/ofm/ein\\_nos.htm](http://www4.od.nih.gov/ofm/ein_nos.htm)

**10/13. Address:** Indicate the Paying/Receiving agency’s address.

**14/21. Paying Federal Agency/Receiving Federal Agency:** Note that there should be **NO IAGs between NCI divisions**. For example, there should not be IAGs between DCTD and CCR. Instead, you could use Direct Citations to pay for services rendered by other divisions or get paid for services provided to other divisions.

**15/22. Agreement No.:** Contact division representatives who will sequentially assign agreement numbers:

CCR:	Michelle Renehan
DCEG:	Donna Gellerson
DCP:	Mary Palmer/Joy Osborne
DCCPS:	Ellen Moul
DCTD:	Mary Kashanchi

DCB: Mary Emond  
OM: Carmean Hutton  
OC: Carmean Hutton  
ODDES: Carmean Hutton  
CRCHD: Carmean Hutton  
NCICB: Petrick Miller/Julie Cummings  
FCRDC: Debbie Guy  
Core OD: Lisa Petrik/Joanne Hillyard,  
Carmean Hutton (OIA/OCG)

*Fiscal year*

**16/23. Appropriation:** FY 2003 NCI appropriation number is 75-3-0849.

**17/24. CAN:** Direct CANs are required for all Y1 and Y2 agreements and reimbursable CANs are required for all Y3 agreements.

**18/25. Amount:** Specific dollar amount of agreement

**19/26. Signatories:** If the agreement involves Research & Development (R&D), NCI RCB Contracting Officer signature is required; if this agreement is non R&D, signature authority is delegated to ARC managers.

**27. Date:** Date of Signature

**28. NIH Project Officer's Name:** Enter name as assigned by IC, with telephone number. When multiple NIH ICs are involved within an agreement, list contact for each IC can be listed on attached sheets.

**34. DHHS/NIH Clearances:** Signatures in these blocks should be those of the proper individual's delegated within each IC.

### III. Distribution

1. Y1s, Y2s: Send one original and one copy to Steve Lalekos of NIH OFM (Office of Financial Management), 31/B1B04, Building 31.
2. Y3s: Send one original and one copy to NCI Financial Management Branch (FMB), 31/11A-16. FMB will verify the accounting data and send one copy to NIH OFM

### IV. Additional Important Rules governing use of IAGs:

1. Y3s (earn money for NCI) must go through FMB throughout the fiscal year. NCI FMB ensures that the Institute does not exceed the reimbursable authority granted by OMB and maintains the financial file copy (required by the annual audit procedures).
2. Under an IAG, NCI must not begin work or obligate fund before an agreement is fully signed, and must perform the work before requesting payment from the other agency. Also, because our appropriation is for one year, all agreements must be executed on an annual basis and closed

September 30 each year. If the project continues for multiple years, new agreements must be written each year. If the work agreed to is to award a contract or grant to a third party, then the agreement is fulfilled and billable as soon as that subsidiary contract or grant is awarded (so a full twelve months of funds can be obligated even though the period of performance exceeds the current fiscal year). If the work in the agreement is to be performed inhouse at NCI, then we can be reimbursed only for the salaries and expenses incurred by the close of the fiscal year designated in the agreement.

3. NIH bills the other agency only for the purposes authorized in the agreement document and obligated on the reimbursable CAN. This means: first, the expenses you want to have reimbursed must be recorded correctly and second, nothing outside the scope of the agreement should be recorded on the reimbursable CAN. If expenses recorded on a reimbursable CAN for an agreement threaten to exceed the signed agreement amount, then the agreement must be modified before the services are performed. Also, if obligations not associated with an agreement appear on the reimbursable accounts, they must be moved to a correct CAN as soon as possible.

4. Throughout the year, if you have obligations against a reimbursable CAN that are not supported by a signed agreement or if you have obligated more than has been agreed to, immediate action needs to be taken to move the charges to your direct appropriation accounts. Please remember that the Anti-deficiency Act states that work under an agreement cannot begin (and therefore charges cannot accrue to a reimbursable CAN) without a fully executed agreement being on file in the NCI.

5. At the close of the fiscal year, excess obligations on a reimbursable CAN are automatically deducted from the amounts available in NCI's direct appropriation accounts. Surpluses in one agreement cannot be used to offset overspending in another agreement even if the agreements are in the same allowances. For this reason, we ask you to clear the reimbursable accounts before the close of the year to avoid unplanned charges to the NCI direct balance.

6. If you have reimbursable agreements that will not be fulfilled by September 30, you need to let the other party to the agreement know as soon as possible that the funds will not be used. If the work itself will continue in the next fiscal year, you must execute a new agreement using the next year funds. If the paying organization is not aware that the funds will be returned to them, they may be put in the situation of a significant lapse of funds due to our failure to give them a timely modification of the interagency. The reverse is also true – if you are paying another government agency to perform work for us, be sure they will fully obligate the planned amounts this year.