



United States Department of Agriculture
Research, Education, and Economics

ARS □ **CSREES** □ **ERS** □ **NASS**

Policies and Procedures

Title: Closeout Procedures for Extramural Agreements

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Grants and Agreements Management Staff

Distribution: ARS, Headquarters, Areas, and Locations

This P&P describes policies and procedures
for closing ARS Extramural Agreements.

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1. Abbreviations

ABFO	Area Budget and Fiscal Officer
ADO	Authorized Departmental Officer
ADODR	Authorized Departmental Officer's Designated Representative
AIMS	Agreements Information Management System
AO	Administrative Officer
ARIS	Agricultural Research Information System
BA	Budget Analyst
BPMS	Budget and Program Management Staff
EAD	Extramural Agreements Division
FMD	Financial Management Division
FRC	Federal Records Center
FSR	Financial Status Report
HHS/PMS	Health & Human Services/Payment Management System
AO/T	Administrative Officer/Technician
NFC	National Finance Center - ARS Operations
ONP	Office of National Programs
PA	Program Analyst
PI	Principal Investigator
RL	Research Leader

2. Definitions

Authorized Departmental Officer - an ARS employee with delegated authority to negotiate, award, administer, and closeout agreements.

Authorized Departmental Officer's Designated Representative - an ARS employee that serves as the Agency's technical representative, acting within the scope of delegated authority, who is responsible for participating with the Cooperator in the accomplishment of a cooperative agreement's objectives, monitoring and evaluation of the Cooperator's performance.

Cooperator/Recipient - any State cooperative institution, State department of agriculture, college, university, other research or educational institution or organization, Federal or private agency or organization, individual, or any other party identified by ARS to participate in extramural projects.

Deobligation - The process of removing unexpended funds previously obligated from a terminated or expired agreement.

Extramural Agreement - any of the following instruments: Non-Funded Cooperative Agreement, Specific Cooperative Agreement, Standard Cooperative Agreement, Incoming Agreements, i.e., Trust Fund Cooperative Agreement and Reimbursable Cooperative Agreement, Assistance-Type Cooperative Agreement, Grant, Research Support Agreement, Memoranda of Understanding. These agreements are awarded or accepted by ARS under the following authorities: 7 U.S.C. 3318(b); 7 U.S.C. 3318(c); and, 7 U.S.C. 3319a.

3. Introduction

Closeout is an integral part of and the final step in the agreement life cycle. Closeout activities may include:

- Processing any final payment requests or collecting overpayments made to the Cooperator/Recipient by ARS.
- Final assessment of the Cooperator's performance under the agreement through receipt of the final Performance Report.
- Final assessment of the financial status of the cooperative agreement through receipt of the final Financial Status Report.
- Providing final performance and financial status reports to the Sponsor as required by the terms and conditions of the agreement.
- The disposition of property and/or equipment (if applicable).
- Final reconciliation of the account(s) in the accounting system, which includes collecting payments on incoming accounts.
- Execution of closeout in HHS-PMS (if applicable).
- Execution of a closeout action in ARIS/AIMS; which may include, reducing the obligation and/or changing the termination date of the agreement.
- Archiving of the official file.

The agreement closeout process will require close coordination between the ADO, ADODR, AO, ABFO or BA, PA, and the PI and/or Sponsored Program's Office for the Cooperator, Recipient or Sponsor. **Close coordination between the functional experts is critical.**

4. Policy

The ADO is responsible for initiating and coordinating all closeout activities and ensuring that all activities are executed timely and properly. If the Cooperator/Recipient does not provide the required final reports or other documents within 180 days from the initial request, the ADO shall take unilateral action(s) to officially close the Extramural Agreement.

To begin the closeout process, the ADO, through the ADODR, shall request the Cooperator to submit all final Financial Status and Performance Reports and any other project deliverables, no later than 90 days after the completion, termination or expiration of the project. If a final payment request is pending, it shall not be processed until all required final reports have been submitted by the Cooperator and accepted by the ADODR.

When incoming funds are involved, the Agency must meet the Sponsor's financial and performance reporting requirements as outlined in the incoming agreement to facilitate closeout. The ADO shall coordinate all closeout activities with administrative, program, and financial personnel to ensure the reconciliation of obligation and disbursement information in HHS-PMS,

the financial system, and ARIS/AIMS for complete closure of Extramural Agreements. If a Federal obligation remains, which has not been paid to the Cooperator, it shall be deobligated in the accounting system and removed from HHS/PMS (if applicable). Any remaining balances from advances or overpayments held by the Cooperator shall be refunded to ARS within 90 days after the completion, termination or expiration of the project (applies to outgoing agreements only). All reimbursable accounts must also be reconciled in the accounting system.

Finally, the ADO shall transfer or retire the official file to the FRC following closeout.

5. Responsibilities

ADO Responsibilities:

The ADO is responsible for initiating and coordinating all extramural agreement closeout activities.

Closeout activities include:

- Providing written notification to the ADODR that an agreement is due to expire no later than 60 days prior to the agreement's expiration date.
- Determining if performance will continue under the agreement.
 - If performance is continuing, closeout is not necessary; however, an amendment to extend the period of performance must be executed. Agreements must not exceed the 5 year statutory limitation (7 U.S.C. 3318 (c)).
 - If performance is not continuing, closeout is necessary.
 - The ADO will take the following steps:
 - Obtain or provide (for incoming agreements) the final FSR, Performance Report, and Payment Request (if applicable).
(Exhibit 1)
 - Process final payment requests.
 - Reconcile the agreement's obligation and disbursement information with the final FSR and the accounting system.

Note: The ADO must work with the ABFO/BA or HQ/FMD to reconcile the systems and/or accounts.

- Initiate closeout in ARIS/AIMS. **(Exhibit 2)**

Note: A deobligation of funds and/or change to the agreement's termination date may be necessary to close out the agreement.

- Reconcile the agreement's authorization, disbursed, and charged amounts in HHS/PMS and initiate the HHS/PMS closeout process. **(Exhibit 3)**

Note: The authorization, disbursed, and charged amounts must match in HHS/PMS before the agreement can be closed. Reducing the HHS/PMS authorization may be necessary.

- Ensure that any reimbursable accounts remaining open are reconciled and closed in the accounting system (if applicable).
- Make distribution of the fully-executed closeout amendment and Deobligation/Closeout Letter **(Exhibits 4 and 5)** to the:
 - Cooperator/Recipient
 - ADODR
 - AO
 - PA
 - ABFO to execute the closeout in HHS-PMS (if applicable)
 - NFC (with copies of FSR, HHS/PMS screens, and accounting system screens)
 - Agreement file
- Archive the official agreement file.

ADODR Responsibilities:

The ADODR is responsible for:

- Obtaining or providing (for incoming agreements) final performance and financial status reports from the Cooperator and forwarding approved reports to the ADO.
- Obtaining final payment requests, as applicable, and forwarding approved requests to the ADO for payment processing.
- Ensuring patent invention reports and requests to publish (ARS-115) are entered into the ARIS License and Invention and Research Doc. Modules, respectively. Refer to ARS/Office of Technology Transfer and ONP for further guidance.
- Verifying Cooperators invention disclosures are reported via i-Edison.
- Preparing and forwarding equipment and property disposition reports to the ADO.
- Notifying location and Area personnel that agreement is complete and all reports have been received and forwarded to the ADO.

AO/T Responsibilities:

The AO/T is responsible for working with the administrative personnel, as appropriate, to assist the ADO and ADODR with the agreement closeout process.

/s/ SHERRI L. CARROLL

SHERRI L. CARROLL
Director, Extramural Agreements Division
Administrative and Financial Management

5 Enclosures

- Exhibit 1 - Sample Notification Letter of Expiration and Request for Reports
- Exhibit 2 - ARIS/AIMS Closeout Procedures
- Exhibit 3 - HHS/PMS Closeout Instructions
- Exhibit 4 - Sample Deobligation Letter
- Exhibit 5 - Sample Closeout Letter

Sample Notification Letter of Expiration and Requests for Reports



United States Department of Agriculture

Research, Education and Economics
Agricultural Research Service

Date

Attention:

Name

Address (send via e-mail)

RE: Agreement No. xx-xxxx-x-xxx
Title
Principal Investigator

Dear:

Our records indicate the referenced agreement has expired/is due to expire on (Enter Date). To assist us in closing the file, please forward the information as indicated below:

- X Final Financial Status Report
- X Final Technical/Progress Report
- X Request for Final Payment/Final HHS Drawdown
- X Property Inventory Report and Assurance (as applicable)

If you should have any questions, please do not hesitate to contact me.

Sincerely,

NAME

Authorized Departmental Officer

cc: (send via e-mail)

ADODR

AO

Agreement File



Address for Servicing ADO
An Equal Opportunity Employer

AGRICULTURAL RESEARCH
INFORMATION SYSTEM
(ARIS)/AGREEMENTS INFORMATION
MANAGEMENT SYSTEM (AIMS)
CLOSEOUT PROCEDURES
FOR
EXTRAMURAL AGREEMENTS

September 2009

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A. Outgoing Agreements

1. Without Deobligation of Funds

The ARIS Project must be expired before the Agreement can be closed in ARIS/AIMS. To close out an agreement, a work record must be created.

Creating a Work Record

- From the Research Documentation/Extramural Agreements screen, select “**Active**” and “**416/417/Agreements/421**” from the Menu Bar.

The query screen will be displayed.

- Enter the project number, accession number, or agreement number to find the project, and select “**Query**” and “**Execute**” from the Menu bar or press “**Enter**.”

The project will be displayed on the 416/417 Active Projects list screen.

- Verify Status is expired.

Note: If project is not expired, **do not proceed!**

- Mark the box to the left of the project that requires the closeout amendment.

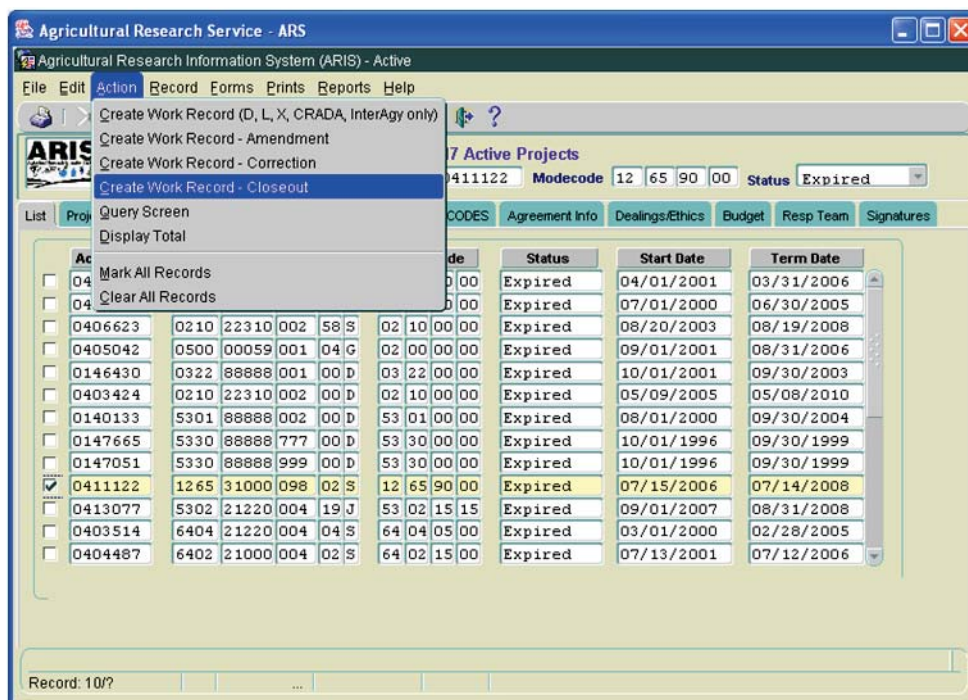


Figure 1 - Create Work Record - Closeout

- Select “**Action**” and “**Create Work Record - Closeout**” from the Menu Bar (Figure 1).

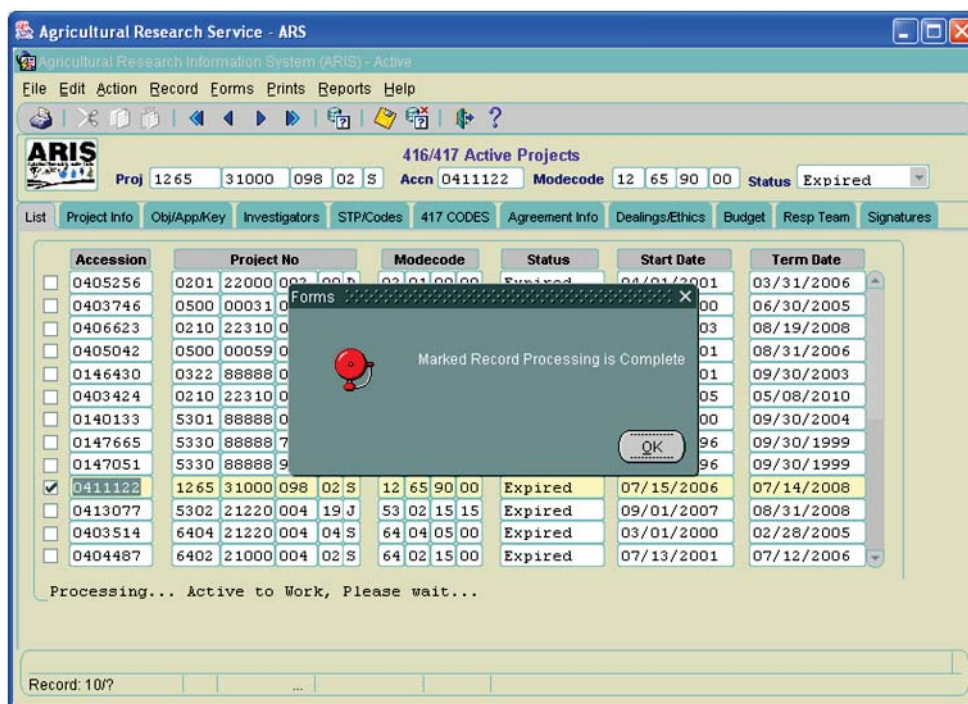


Figure 2 - Marked Record Processing is Complete

The system will state “Marked Record Processing is Complete” (Figure 2).

- Click “OK” and the Work record will be created.
- Exit Active.

The Research Documentation/Extramural Agreements screen will be displayed.

Amending the Work Record for Closeout

- Select “Work” and “416/417/Agreements.”

The 416/417 Records list screen will be displayed.

- Mark the box to the left of the project that requires the closeout amendment or query the project number, accession number, or agreement number to find the project.
- Select the “Project Info” tab.

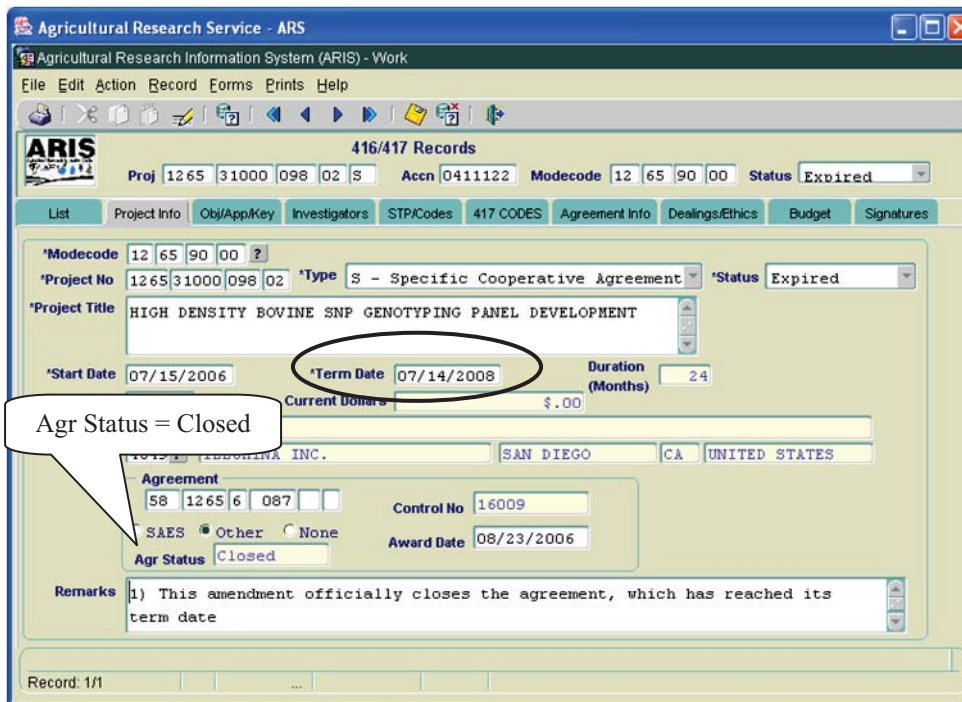


Figure 3 - Project Info tab

- Verify the “Agr Status” is “Closed” (Figure 3).
- If the agreement has ended prior to the original expiration date, update the “Term Date” accordingly (Figure 3).

The following closeout statements will populate the “Remarks” field. Additional remarks may be added if necessary. If the remarks are modified, you must modify them in AIMS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
 - 2) The final performance and financial status reports have been received.
 - 3) Final payment has been made. *(Not applicable to NFCAs and MOUs.)*
 - 4) All other terms and conditions remain unchanged.
- If the termination date was updated, add the following statement to the closeout remarks in the “Remarks” field: “Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion.”
 - If changes have been made, save the record.
 - Select the “Agreement Info” tab.

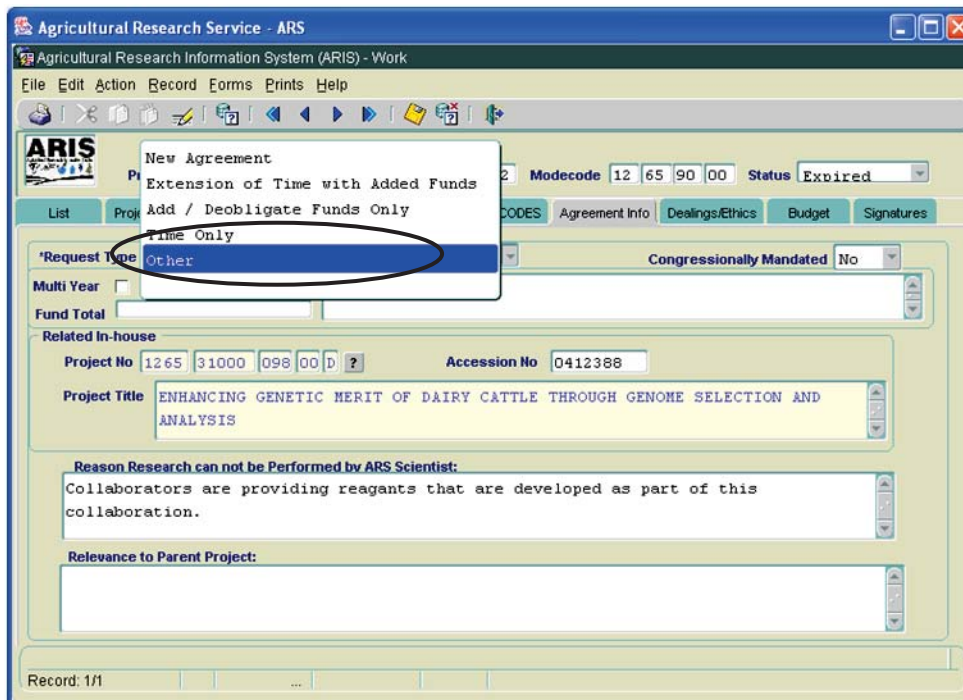


Figure 4 - Agreement Info tab

- Select “Other” from the “Request Type” drop down menu (Figure 4).
- If changes have been made, save the record.

If no changes are required in AIMS, proceed to the Printing instructions on Page 16. Otherwise, follow the instructions below.

- Select “Forms” and “Agreement Info (AIMS).”

The AIMS Agreement Information screen will be displayed.

The screenshot shows the ARIS interface for the 'Agreement Information' tab. At the top, there are fields for Agreement No (58 1265 6 087), Control (16009), Amendment No (02), and Accn No (41112). Below this, there are tabs for Agreements, Agy/ADODR/Finance, Cooperator Info, Payment/Report, and Provisions. The main form area includes:

- *Type of Agreement: SCA (SPECIFIC COOPERATIVE AGREEMENT)
- Specialist: *Name (Last,First,MI,Suffix) WILKINS MARY L
- Authority: 7 U.S.C.3318 (b)
- Period of Agreement: Start Date (07/15/2006), Term Date (07/14/2008), Duration (Months) (24)
- Prior Obligation: \$496,400.00, Change in Obligation: \$0.00, Total: \$496,400.00
- Comments: 1) This amendment officially closes the agreement, which has reached its term date. 2) The final performance and financial status reports have been received.

 A red circle highlights the 'Term Date' field, and a callout box points to the 'Amendment No' field with the text 'New Amendment Number'.

Figure 5 – Agreements tab

Note: If the agreement has ended prior to the original expiration date, verify the “**Term Date**” is correct (Figure 5). If it is not correct, return to the “**Project Info**” tab in ARIS and update it accordingly.

The following closeout statements will populate the “**Comments**” field. Additional comments may be added if necessary. If the comments are modified, you must modify them in ARIS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
 - 2) The final performance and financial status reports have been received.
 - 3) Final payment has been made. *(Not applicable to NFCAs and MOUs.)*
 - 4) All other terms and conditions remain unchanged.
- If the termination date was updated in ARIS, add the following statement to the closeout comments: “Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion.”

Note: The system automatically enters the new amendment number in the Work record (Figure 5).

- If changes have been made, save the record.

Note: The system automatically clears all of the selections on the “Payment/Report” tab and the “Provisions” tab *except* “Comments” on the “Provisions” tab (Figure 6).

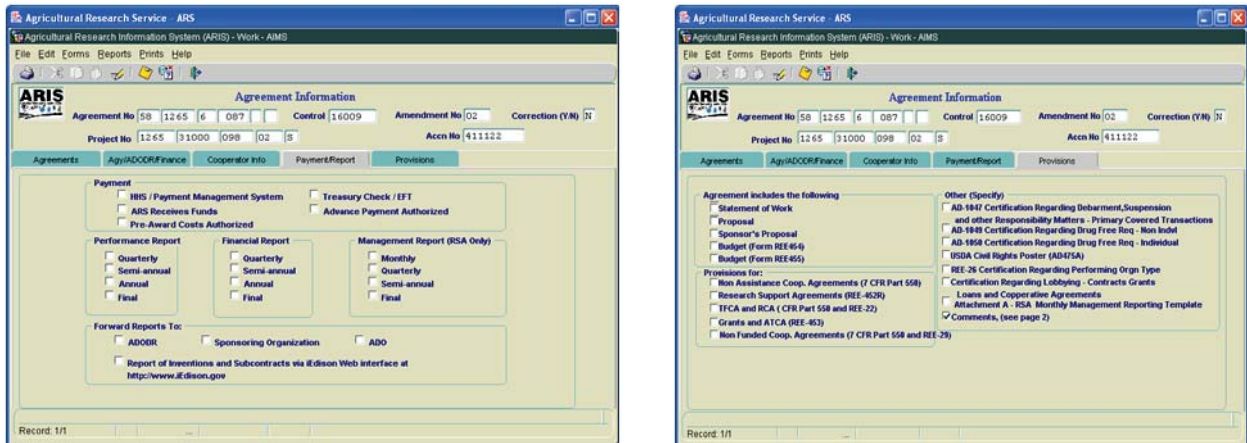


Figure 6 – Payment/Report tab and Provisions tab

- If changes have been made, save the record.
- Exit AIMS.

416/417 Records list screen will be displayed.

Printing

- From the 416/417 Records Screen, highlight the project that you want to print.

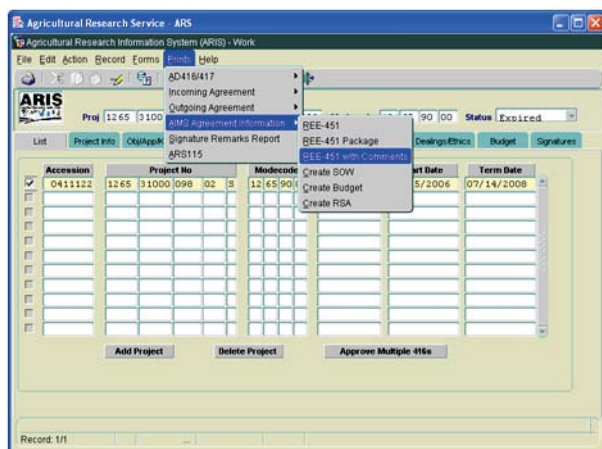


Figure 7a – AIMS REE-451

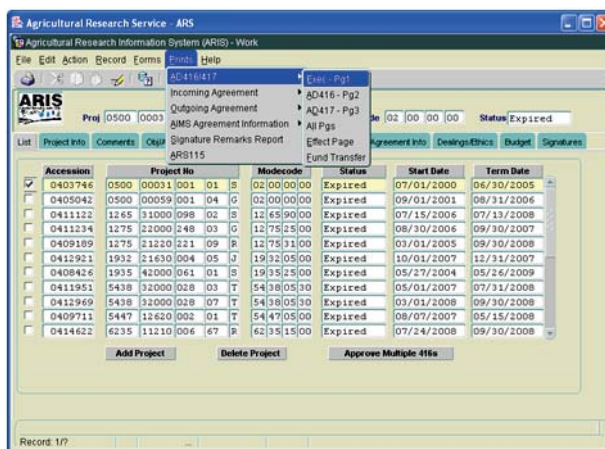



Figure 7b - 416/417 Executive Summary

- Select “Prints” from the Menu bar.
 - To print the AIMS information, select “AIMS Agreement Information” from the drop down menu and then select “REE-451 with Comments” (Figure 7a).
 - To print the AD-416/417, Executive Summary, select “AD416/417” from the drop down menu and then select “Exec –Pg1” (Figure 7b).

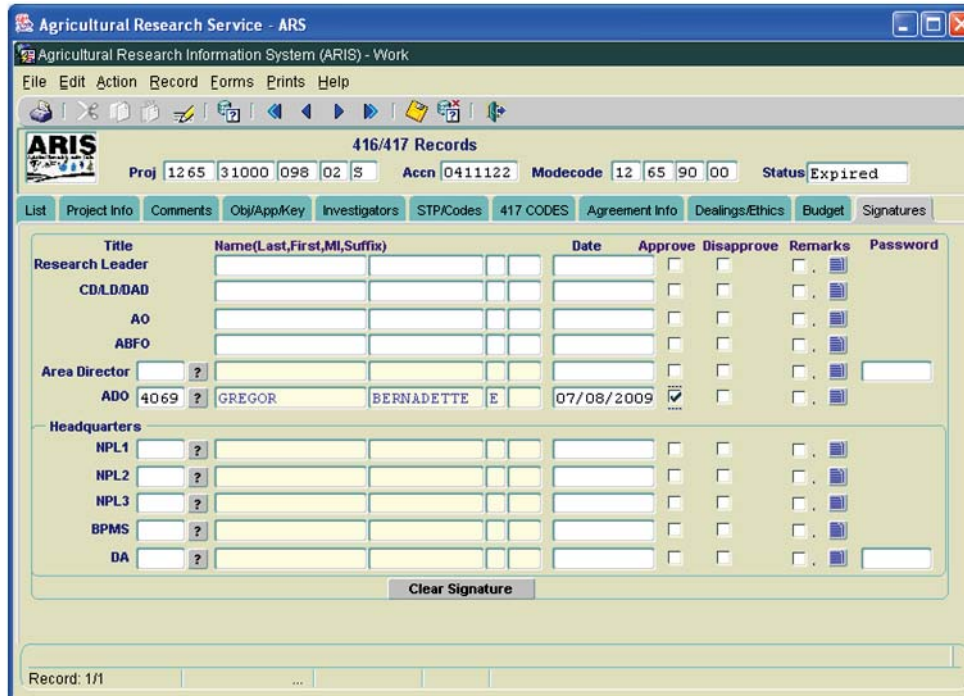
The document will display as a PDF file.

- Select “File” and “Print” from the drop down menu or select the Printer Icon  from the Tool Bar.
- Click “OK” and the PDF file will print.
- Close the PDF file.

The 416/417 Records list screen will be displayed.

Approving the Record for Closeout

- Select the “Signatures” tab.



The screenshot shows the ARIS Signatures tab interface. At the top, there is a menu bar with 'File', 'Edit', 'Action', 'Record', 'Forms', 'Prints', and 'Help'. Below the menu bar, the ARIS logo is displayed on the left, and the text '416/417 Records' is centered. To the right of the logo, there are several input fields: 'Proj' (1265), '31000', '098', '02', 'S', 'Accn' (0411122), 'Modecode' (12 65 90 00), and 'Status' (Expired). Below these fields is a tabbed interface with the following tabs: 'List', 'Project Info', 'Comments', 'Obj/App/Key', 'Investigators', 'STP/Codes', '417 CODES', 'Agreement Info', 'Dealings/Ethics', 'Budget', and 'Signatures'. The 'Signatures' tab is currently selected. The main area contains a table with the following columns: 'Title', 'Name (Last, First, MI, Suffix)', 'Date', 'Approve', 'Disapprove', 'Remarks', and 'Password'. The table has several rows, including 'Research Leader', 'CDAD/DAD', 'AO', 'ABFO', 'Area Director', and 'Headquarters'. The 'Area Director' row is highlighted, showing 'ADO 4069' and 'GREGOR BERNADETTE E' with a date of '07/08/2009' and a checked 'Approve' box. Below the table is a 'Clear Signature' button. At the bottom of the window, it says 'Record: 1/1'.

Figure 8 - Signatures tab

- Approve the record – enter your signature code or name, verify the date, and click the “Approve” box (Figure 8).

If applicable, remarks can be entered by clicking the “Remarks” notepad icon. A text box will be displayed to add remarks (optional).

- Save the record.

The record is now fully executed.

The ADO will distribute the appropriate closeout records to the Cooperator/Recipient, NFC, ABFO, ADODR, AO, and the Area PA.

Outgoing Agreements

2. With Deobligation of Funds

The ARIS Project must be expired before the Agreement can be closed in ARIS/AIMS.

To close out an agreement, a work record must be created. All funds remaining on an agreement must be deobligated.

Creating a Work Record

- From the Research Documentation/Extramural Agreements screen, select “**Active**” and “**416/417/Agreements/421**” from the Menu Bar.

The query screen will be displayed.

- Enter the project number, accession number, or agreement number to find the project, and select “**Query**” and “**Execute**” from the toolbar or press “**Enter**.”

The project will be displayed on the 416/417 Active Projects list screen.

- Verify Status is expired.

Note: If project is not expired, **do not proceed!**

- Mark the box to the left of the project that requires the closeout amendment.

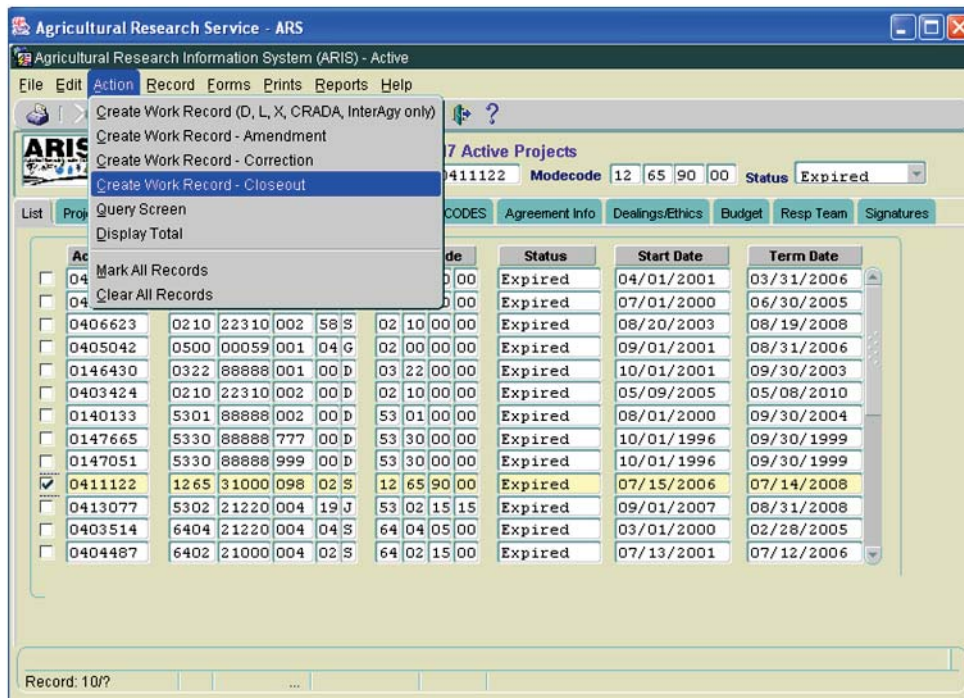


Figure 9 - Create Work Record - Closeout

- Select “**Action**” and “**Create Work Record - Closeout**” from the Menu Bar (Figure 9).

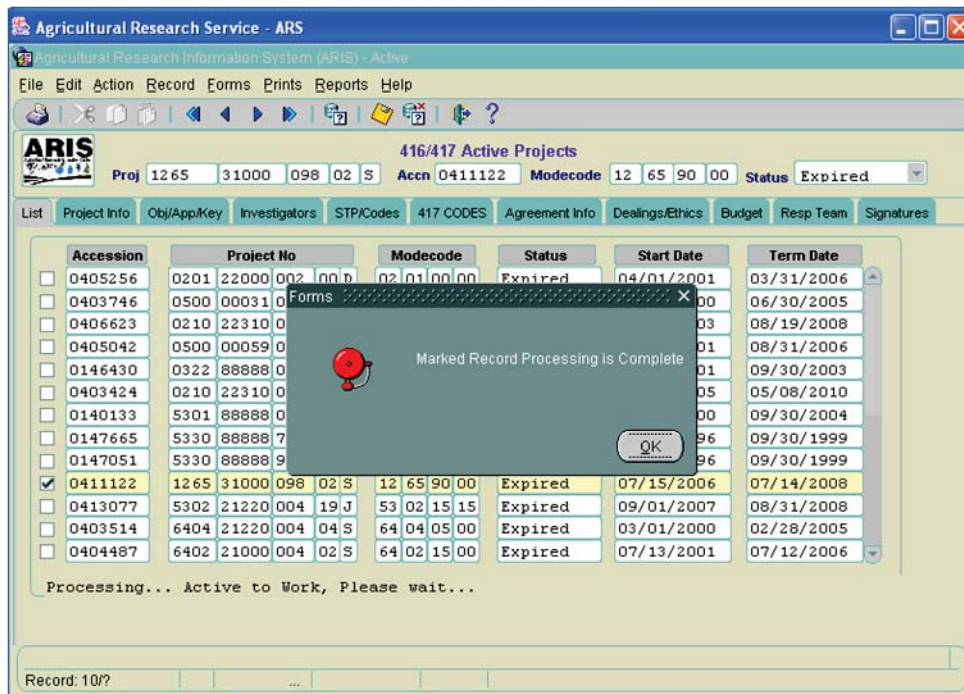


Figure 10 - Marked Record Processing is Complete

The system will state “Marked Record Processing is Complete” (Figure 10).

- Click “OK” and the Work record will be created.
- Exit Active.

The Research Documentation/Extramural Agreements screen will be displayed.

Amending the Work Record for Deobligation and Closeout

- Select “Work” and “416/417/Agreements.”

The 416/417 Active Projects list screen will be displayed.

- Mark the box to the left of the project that requires the deobligation and closeout amendment or query the project number, accession number, or agreement number to find the project.
- Select the “Project Info” tab.

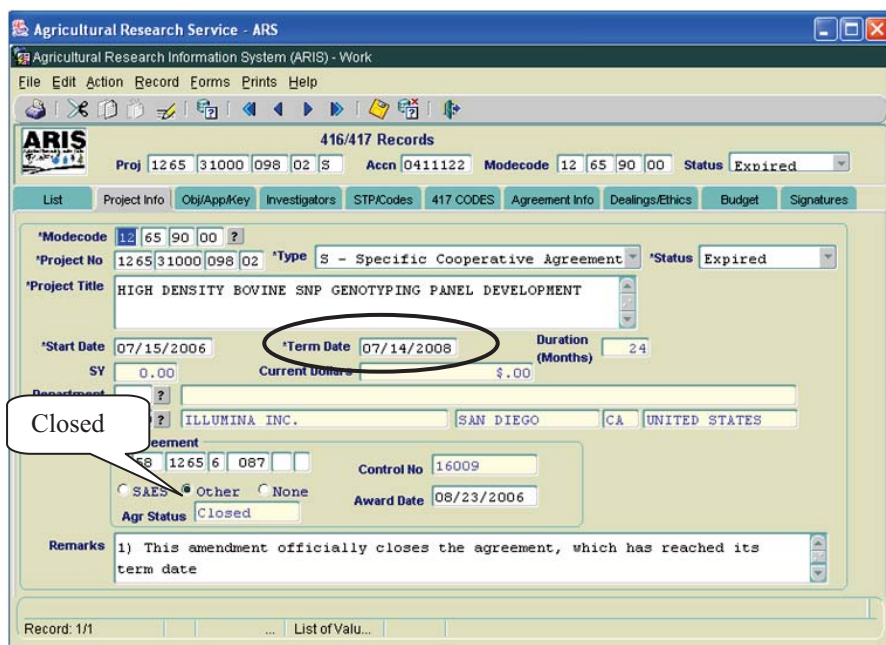


Figure 11 - Project Info tab

- Verify the “Agr Status” is “Closed” (Figure 11).
- If the agreement has ended prior to the original expiration date, update the “Term Date” accordingly (Figure 11).

The following closeout statements will populate the “Remarks” field. Additional remarks may be added if necessary. If the remarks are modified, you must modify them in AIMS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
 - 2) The final performance and financial status reports have been received.
 - 3) Final payment has been made.
 - 4) All other terms and conditions remain unchanged.
- If the termination date was updated, add the following statement to the closeout remarks in the “Remarks” field: “Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion.
 - Add one of the following statements to the closeout remarks:
 - For deobligations: “This amendment deobligates \$(enter amount) in remaining funds.”
 - For Transfer of Disbursement Authority: “This amendment is processed to transfer the disbursement of authority in the amount of \$(enter amount deobligated) to Agreement # (enter the new Agreement #, if available). This is not a deobligation of funds. ”

Note: For RSAs, funds cannot be transferred to a new agreement.

- Save the record.
- Select the “Agreement Info” tab.

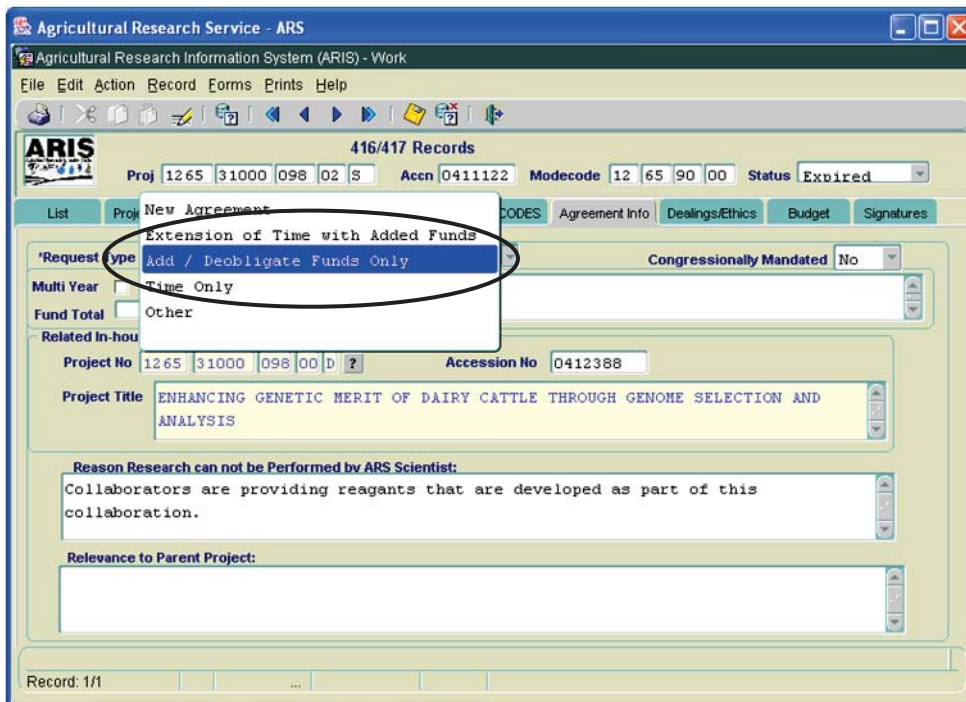


Figure 12 - Agreement Info tab

- Select “Add/Deobligate Funds Only” from the “Request Type” drop down menu (Figure 12).
- If changes have been made, save the record.
- Select the “Budget” tab.

Note: For RSAs, all Budget data is entered in AIMS (Figure 17 and Figure 20).

The 416/417 Records Budget Screen will be displayed.

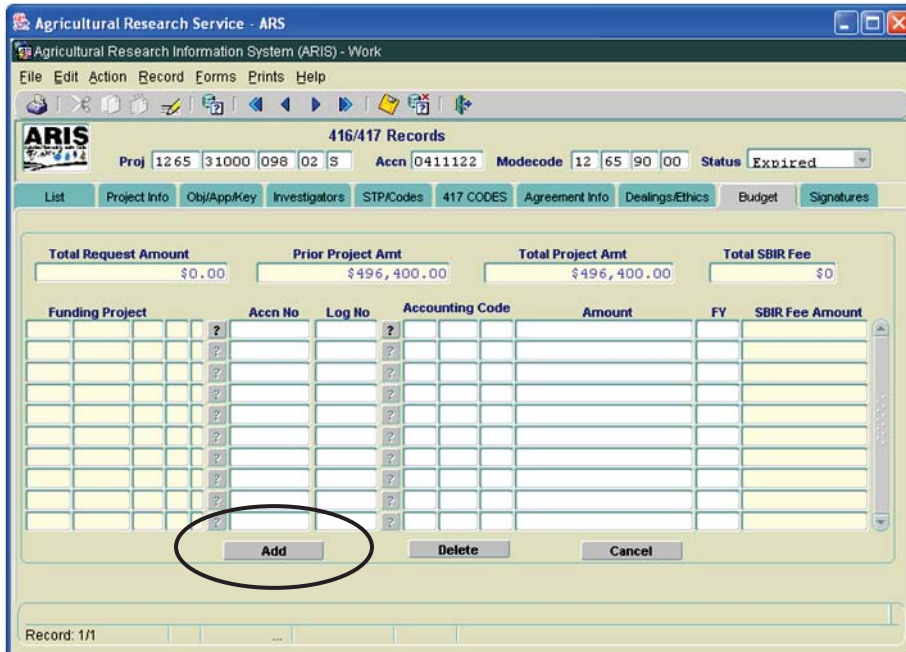


Figure 13 - Budget tab

- Select “Add” at the bottom of the screen (Figure 13).

To complete the Budget tab, you need the funding project number, the Log Number (if the funding project is an incoming agreement) **or** the Accession Number of the funding project to be deobligated (*not the Agreement Accession number*).

Note: Utilize the 416/417/Outgoing Agreement (550a) in the file to identify the funding project, fiscal year, and accounting code.

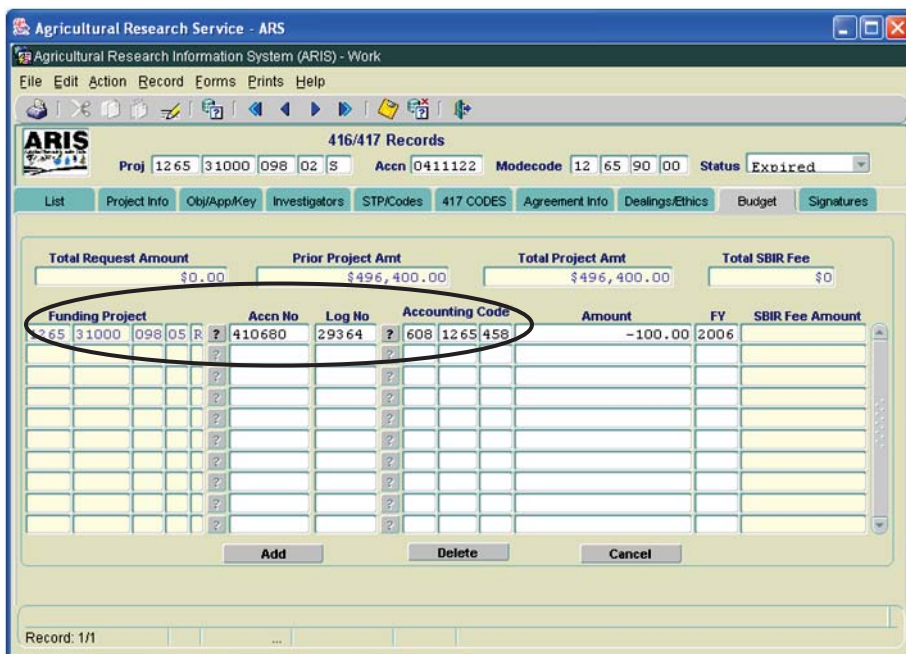


Figure 14 – Completed Budget tab

Follow the applicable step below to complete the Budget tab:

A. Funding Project Number (found on the Budget Page of 416/417)

- Click the question mark  next to the “**Funding Project**” and select the funding project number to be deobligated from the list of values (LOV) (Figure 14).

The “**Accession No**” will automatically propagate on the “**Budget**” tab.

- Enter the “**Accounting Code**,” *negative* dollar Amount, and fiscal year.

B. Log Number (found on the 416/417)

If the funding project is an incoming agreement and/or the funding project number is not available:

- Click the  next to the “**Log No**” and select the log to be deobligated from the LOV (Figure 14).

The “**Accounting Code**” will automatically propagate.

- Enter the *negative* dollar Amount and fiscal year.

C. Accession Number for the funding project (*not the Agreement Accession number*)

If you do not have the funding project number or the log number:

- Enter the “**Accession No**” *of the funding project to be deobligated* (Figure 14).

The “**Funding Project**” and/or “**Log No**” will automatically propagate.

- Enter the “**Accounting Code**,” *negative* dollar amount, and fiscal year.

Note: When deobligating funds, only a *negative* number should be entered in the “**Amount**” field.

Note: The “**SBIR Fee Amount**” will automatically calculate. SBIR is not taken or returned by BPMS on prior year obligations.

- Save the record.
- Select “**Forms**” and “**Agreement Info (AIMS).**”

The AIMS Agreement Information screen will be displayed.

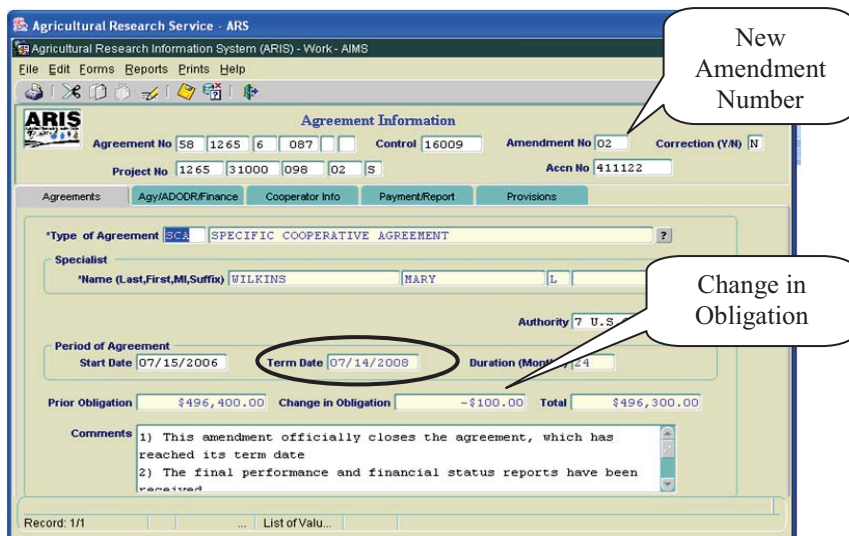


Figure 15 - Agreements tab

- Verify the “**Change in Obligation**” matches the amount entered on the “**Budget**” tab in ARIS (Figure 15). If the amounts do not match, return to ARIS and update the amount entered on the “**Budget**” tab. *For RSAs*, the “**Change in Obligation**” will update once the accounting information is entered on the “**Accounting**” tab in AIMS (Figure 17).

Note: If the agreement has ended prior to the original expiration date, verify the “**Term Date**” is correct (Figure 15). If it is not correct, return to the “**Project Info**” tab in ARIS and update it accordingly.

The following closeout statements will populate in the “**Comments**” field. Additional comments may be added if necessary. If the comments are modified, you must modify them in ARIS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
 - 2) The final performance and financial status reports have been received.
 - 3) Final payment has been made.
 - 4) All other terms and conditions remain unchanged.
- If the termination date was updated in ARIS, add the following statement to the closeout comments: “Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion.”
 - Add one of the following statements to the closeout comments:
 - For deobligations: “This amendment deobligates \$(enter amount) remaining FY xxxx funds.”
 - For Transfer of Disbursement Authority: “This amendment is processed to transfer disbursement of authority in the amount of \$(enter amount deobligated) to Agreement # (enter the new Agreement #, if available). This is not a deobligation of FY xxxx funds. ”

Note: *For RSAs*, funds cannot be transferred to a new agreement.

Note: The system automatically enters the new amendment number in the Work record (Figure 15).

- Save the record.

Select the “**Reimb/Recv (cont)**” tab. *For RSAs*, go to the “**RSA Budget**” tab (see Figure 20).

The screenshot shows the ARS Reimbursement Accounting System interface. The window title is "Agricultural Research Service - ARS" and the application is "Agreements Information Management System (AIMS) - Work". The main title is "Statement of Work / Budget" with "ARS Reimb/Recv Accounting Total" set to "-100.00". The "Reimb/Recv (cont)" tab is selected. The form contains several sections for cost entry: "Publication Costs", "All Other Direct Costs", "Computer & Elec. Equip.", "Sub Contract Costs", "Indirect Costs", and "Amount of Deobligation". The "Amount of Deobligation" field is set to "100.00". The "Total Costs" field is set to "-100.00". A "Calculate" button is highlighted with a callout box.

Figure 18 - Reimb/Recv (cont) tab

- Enter the dollar amount to be deobligated in the “**Amount of Deobligation**” field.

Note: The system identifies the amount of deobligation as a *negative* (do not enter a negative sign).

- Click “**Calculate**” to calculate the “**Total Costs**” (Figure 18).
- Save the record.

Error Message!

The screenshot shows the ARIS Statement of Work / Budget interface. The 'ARS Reimb/Recv Accounting Total' field is circled and contains '-100.00'. The 'Total Costs' field is also circled and contains '-300.00'. An error message dialog box is displayed in the center, stating: 'ARS Reimb/Recv Budget Total Costs DO NOT = Accounting Total. Please correct!'. The dialog box has an 'OK' button.

Figure 19 - Reimb/Recv (cont) tab - Error Message

Note: An error message will appear if the Accounting Information entered on the “**Budget**” tab in ARIS does not match the amount entered on the “**Reimb/Recv (cont)**” tab in AIMS (Figure 19). If necessary, go back to the “**Budget**” tab in ARIS and correct the amount.

Printing

- From the 416/417 Records Screen, highlight the project that you want to print.

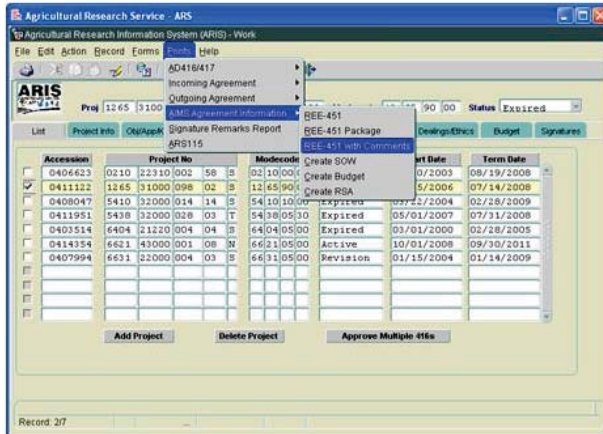


Figure 21a – AIMS REE-451

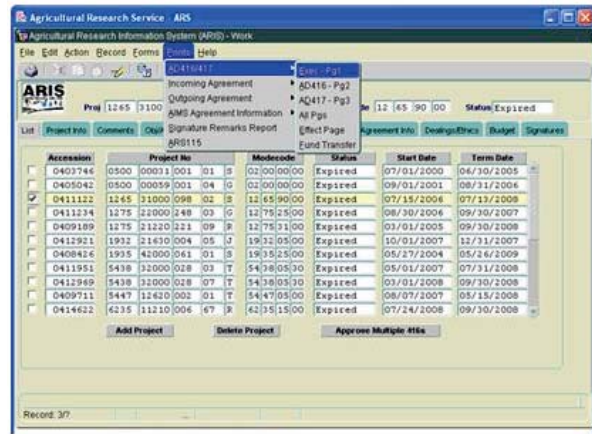



Figure 21b - 416/417 Executive Summary

- Select “Prints” from the Menu bar.
 - To print the AIMS information, select “AIMS Agreement Information” from the drop down menu and then select “REE-451 with Comments” (Figure 21a). *For RSAs*, you must also select “Create RSA” from the drop down menu to print the RSA Budget.
 - To print the AD-416/417, Executive Summary, select “AD416/417” from the drop down menu and then select “Exec –Pg1” (Figure 21b).

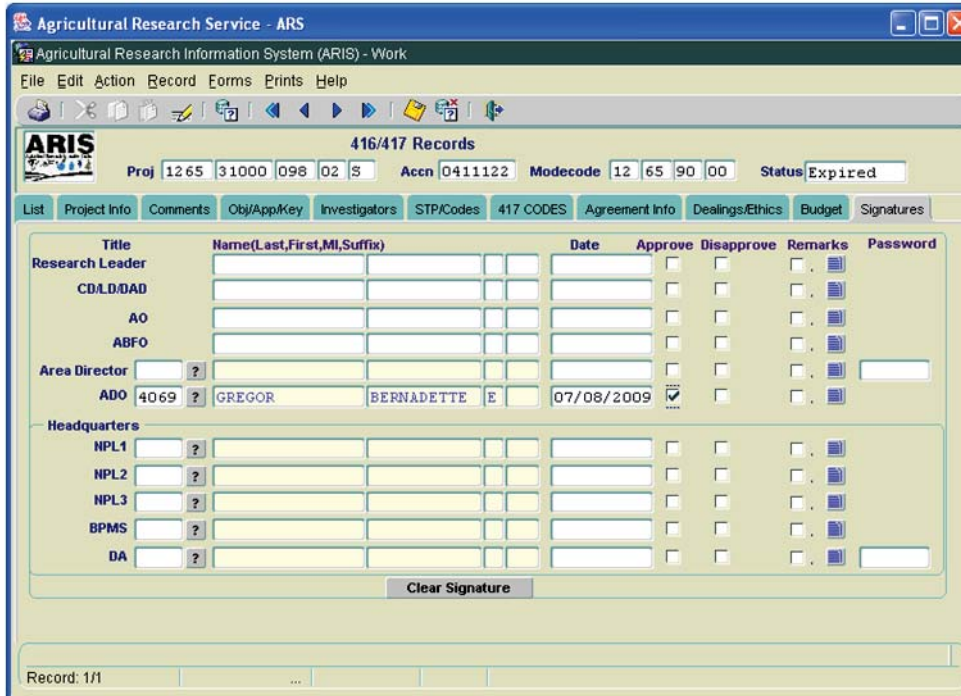
The document will display as a PDF file.

- Select “File” and “Print” from the drop down menu or select the Printer Icon  from the Tool Bar.
- Click “OK” and the PDF file will print.
- Close the PDF file.

The 416/417 Records list screen will be displayed.

Approving the Record for Deobligation and Closeout

- Select the “Signatures” tab.



The screenshot shows the ARIS (Agricultural Research Information System) interface. The window title is "Agricultural Research Service - ARS". The main menu includes "File", "Edit", "Action", "Record", "Forms", "Prints", and "Help". The ARIS logo is visible in the top left. The main area displays "416/417 Records" and a search bar with fields for "Proj" (12 65 31000 098 02 5), "Accn" (0411122), "Modecode" (12 65 90 00), and "Status" (Expired). Below the search bar are several tabs: "List", "Project Info", "Comments", "Obj/App/Key", "Investigators", "STP/Codes", "417 CODES", "Agreement Info", "Dealings/Ethics", "Budget", and "Signatures". The "Signatures" tab is active, showing a table with the following columns: "Title", "Name (Last, First, MI, Suffix)", "Date", "Approve", "Disapprove", "Remarks", and "Password". The table contains several rows, including "Research Leader", "CDLD/DAD", "AO", "ABFO", "Area Director", and "Headquarters" (NPL1, NPL2, NPL3, BPMS, DA). The "Area Director" row for ADO 4069 is highlighted, with the name "GREGOR, BERNADETTE" and the date "07/08/2009". The "Approve" checkbox is checked. A "Clear Signature" button is located below the table. The status bar at the bottom indicates "Record: 1/1".

Figure 22- Signatures tab

- Approve the record – enter your signature code or name, verify the date, and click the “**Approve**” box (Figure 22).

If applicable, remarks can be entered by clicking the “**Remarks**” notepad icon. A text box will be displayed to add remarks (optional).

- Save the record.

The record is now fully executed.

The ADO will distribute the appropriate closeout records to the Cooperator/Recipient, NFC, ABFO, ADODR, AO, and the Area PA.

Note: If funding changes have occurred, the record will go to ONP and BPMS for concurrence and will then appear in the active file.

B. Closing out Incoming Agreements

1. Incoming Agreements Over \$25,000

(Reimbursable or Trust Fund Agreements with a 416/417)

Changes in funding on an incoming agreement require the ADO to work closely with the ABFO or PA to verify that the funding amounts are correct *prior to closing the agreement*. The ADO should not proceed with closeout until they have received documentation of financial closeout from budget. Once the change in funds is complete, follow the instructions below.

The ARIS project must be expired before the Agreement can be closed in ARIS/AIMS.

To close out an agreement, a work record must be created.

Creating a Work Record

- From the Research Documentation/Extramural Agreements screen, select “**Active**” and “**416/417/Agreements/421**” from the Menu Bar.

The query screen will be displayed.

- Enter the project number, accession number, or agreement number to find the project, and select “**Query**” and “**Execute**” from the Menu bar or press “**Enter**.”

The project will be displayed on the 416/417 Active Projects list screen.

- Verify Status is expired.

Note: If project is not expired, **do not proceed!**

- Mark the box to the left of the project that requires the closeout amendment.

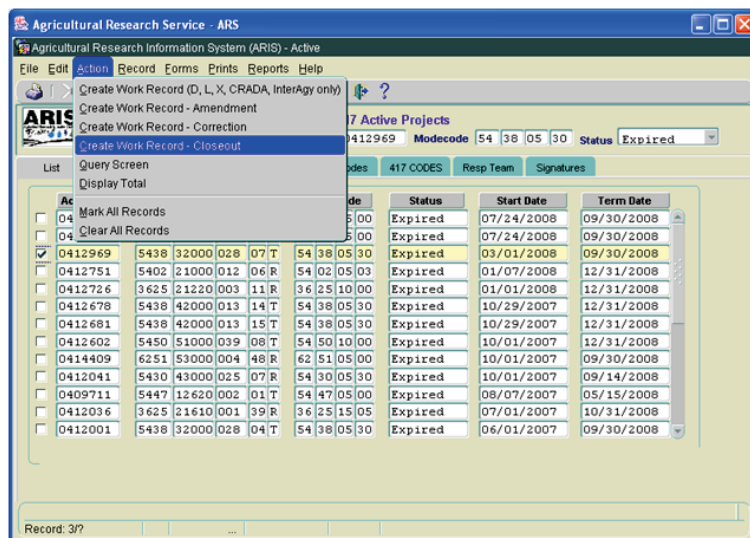


Figure 23 - Create Work Record - Closeout

- Select “**Action**” and “**Create Work Record - Closeout**” from the Menu Bar (Figure 23).

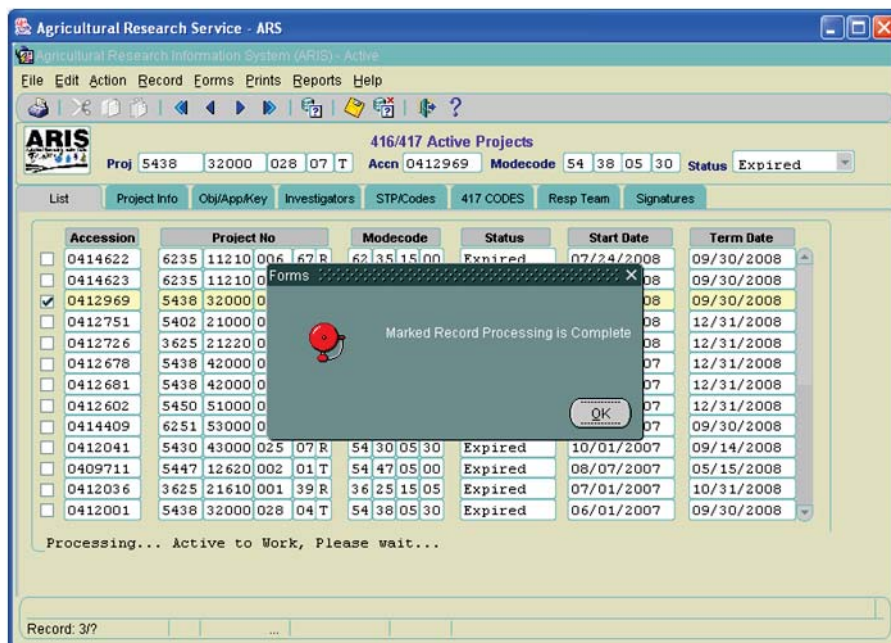


Figure 24 - Marked Record Processing is Complete

The system will state “Marked Record Processing is Complete” (Figure 24).

- Click “OK” and the Work record will be created.
- Exit Active.

The Research Documentation/Extramural Agreements screen will be displayed.

Amending the Work Record for Closeout

- Select “Work” and “416/417/Agreements.”

The 416/417 Records list screen will be displayed.

- Mark the box to the left of the project that requires the closeout amendment or query the project number, accession number, or agreement number to find the project.
- Select the “Project Info” tab.

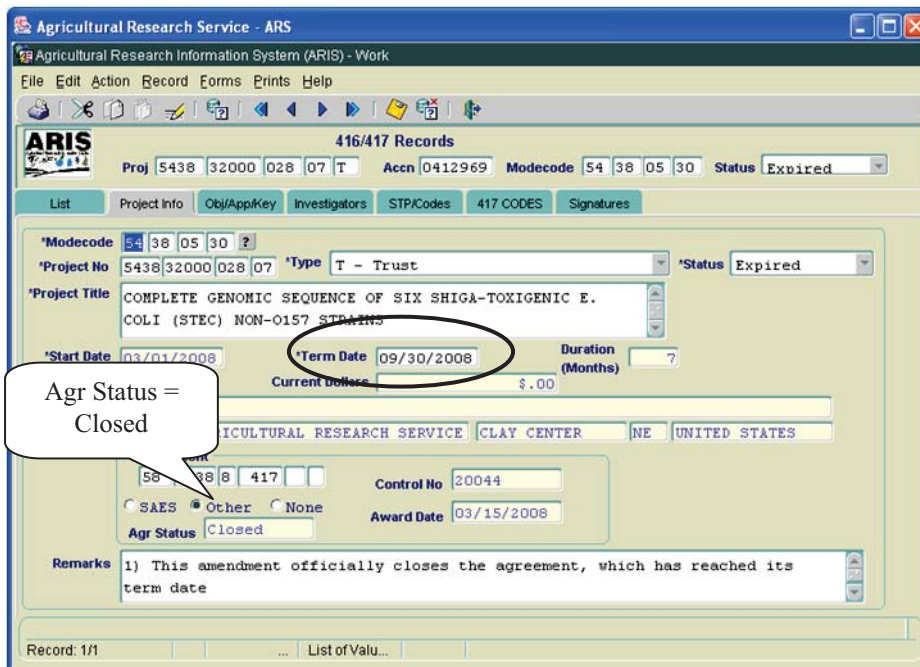


Figure 25 - Project Info tab

- Verify the “Agr Status” is “Closed” (Figure 25).
- If the agreement has ended prior to the original expiration date, update the “Term Date” accordingly.

The following closeout statements will populate the “Remarks” field (Figure 25). Additional remarks may be added, if necessary. If the remarks are modified, you must modify them in AIMS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
- 2) Final payment has been received from the sponsor.
- 3) All other terms and conditions remain unchanged.

- If the termination date was updated, add the following statement to the closeout remarks in the “Remarks” field (Figure 25): “Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion.”
- If funding changes have occurred, add the following statement to the closeout remarks: “This amendment reduces the FY xxxx funding by \$(enter amount).”
- If changes have been made, save the record.
- Select “Forms” and “Agreement Info (AIMS).”

The AIMS Agreement Information screen will be displayed.

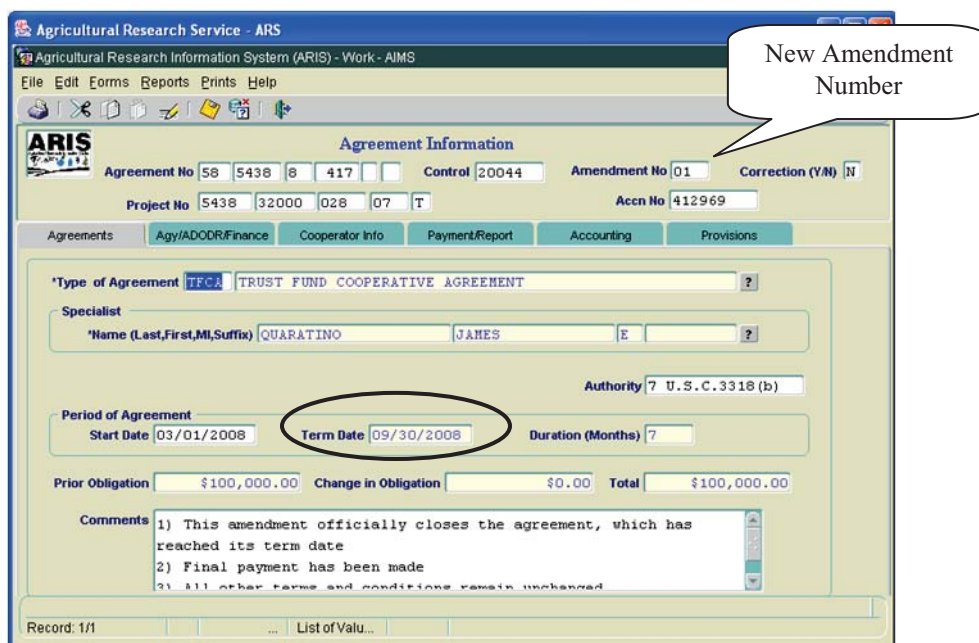


Figure 26 – Agreements tab

Note: If the agreement has ended prior to the original expiration date, verify the “**Term Date**” is correct. If it is not correct, return to the “**Project Info**” tab in ARIS and update the term date accordingly.

The following closeout statements will populate the “**Comments**” field (Figure 26). Additional comments may be added, if necessary. If the remarks are modified, you must modify them in ARIS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
 - 2) Final payment has been received from the sponsor.
 - 3) All other terms and conditions remain unchanged.
- If the termination date was updated in ARIS, add the following statement to the closeout comments: “Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion.”
 - If funding changes have occurred, add the following statement to the closeout comments: “This amendment reduces the FY xxxx funding by \$(enter amount).”

Note: The system automatically enters the new amendment number in the Work record (Figure 26).

- Save the record.

Note: The system automatically clears all of the selections on the “**Payment/Report**” tab and the “**Provisions**” tab *except* “**Comments**” on the “**Provisions**” tab (Figure 27).

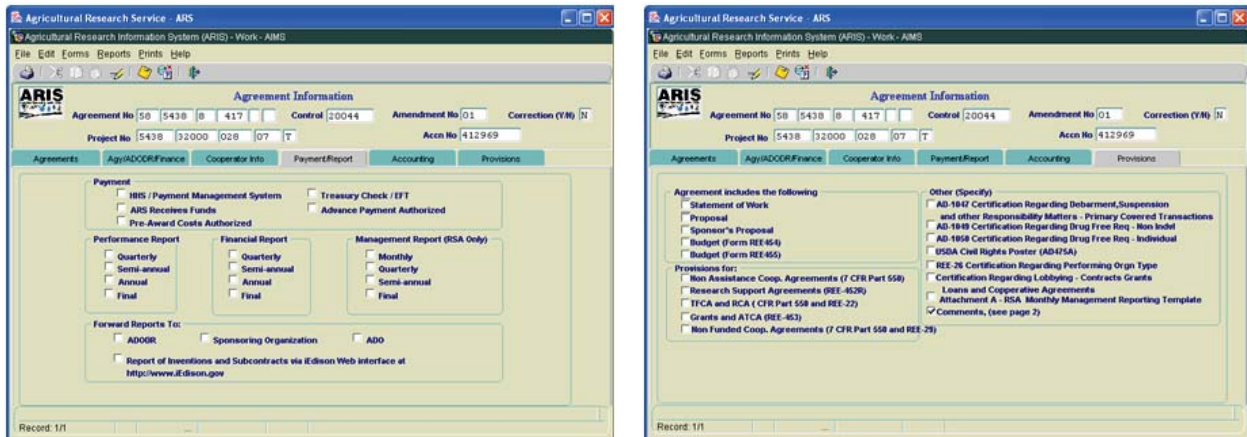


Figure 27 – Payment/Report tab and Provisions tab

- Save the record.
- Exit AIMS.

416/417 Records list screen will be displayed.

Printing

- From the 416/417 Records Screen, highlight the project that you want to print.



Figure 28a – AIMS REE-451

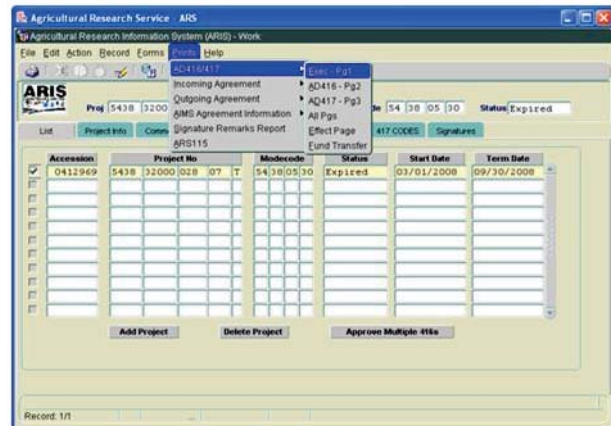



Figure 28b - 416/417 Executive Summary

- Select “Prints” from the Menu bar.
 - To print the AIMS information, select “AIMS Agreement Information” from the drop down menu and then select “REE-451 with Comments” (Figure 28a).
 - To print the AD-416/417, Executive Summary, select “AD416/417” from the drop down menu and then select “Exec –Pg1” (Figure 28b).

The document will display as a PDF file.

- Select “File” and “Print” from the drop down menu or select the Printer Icon  from the Tool Bar.
- Click “OK” and the PDF file will print.
- Close the PDF file.

The 416/417 Records list screen will be displayed.

Approving the Record for Closeout

- Select the “Signatures” tab.

Title	Name (Last, First, MI, Suffix)	Date	Approve	Disapprove	Remarks	Password
Research Leader			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CDLD/DAD			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
AO			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ABFO			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Area Director			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ADO 4069	GREGOR, BERNADETTE, E	07/10/2009	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Headquarters						
NPL1			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NPL2			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NPL3			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BPMS			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DA			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Figure 29 - Signatures tab

- Approve the record – enter your signature code or name, verify the date, and click the “Approve” box (Figure 29).

If applicable, remarks can be entered by clicking the “Remarks” notepad icon. A text box will be displayed to add remarks (optional).

- Save the record.

The record is now fully executed.

The ADO will distribute the appropriate closeout records to the Cooperator/Recipient, NFC, ABFO, ADODR, AO, and the Area PA.

Note: If funding changes have occurred, the record will go to ONP and BPMS for concurrence and will then appear in the active file.

B. Closing out Incoming Agreements

1. Incoming Agreements less than (or equal to) \$25,000

(Reimbursable or Trust Fund Agreements without a 416/417)

Changes in funding on an incoming agreement require the ADO to work closely with the ABFO or PA to verify that the funding amounts are correct *prior to closing the agreement*. The ADO should not proceed with closeout until they have received documentation of financial closeout from budget. Once the change in funds is complete, follow the instructions below.

The ARIS project must be expired before the Agreement can be closed in ARIS/AIMS.

To close out an agreement, a work record must be created.

Creating a Work Record

- From the Research Documentation/Extramural Agreements screen, select “Active” and “Incoming Agreements” from the Menu Bar.

The query screen will be displayed.

- Enter the log number, control number, or agreement number to find the project, and select “Query” and “Execute” from the Menu bar or press “Enter.”

The project will be displayed on the Incoming Agreements Records list screen.

- Verify Status is expired.

Note: If the project is not expired, **do not proceed!**

- Mark the box to the left of the project that requires the closeout amendment.

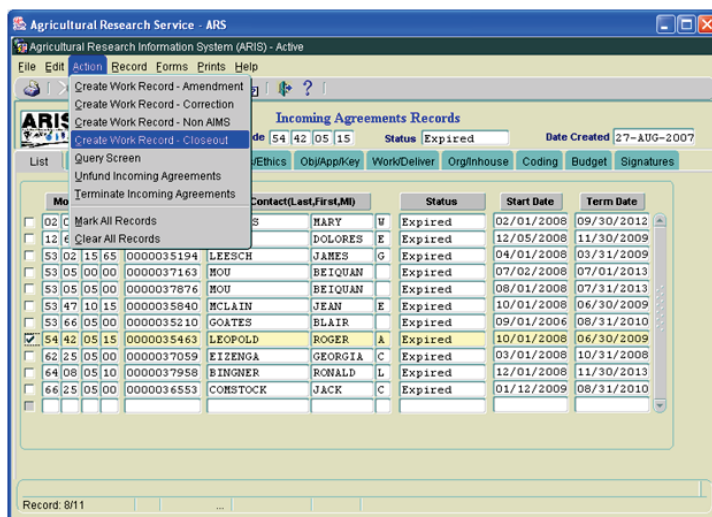


Figure 30 - Create Work Record - Closeout

- Select “Action” and “Create Work Record - Closeout” from the Menu Bar (Figure 30).

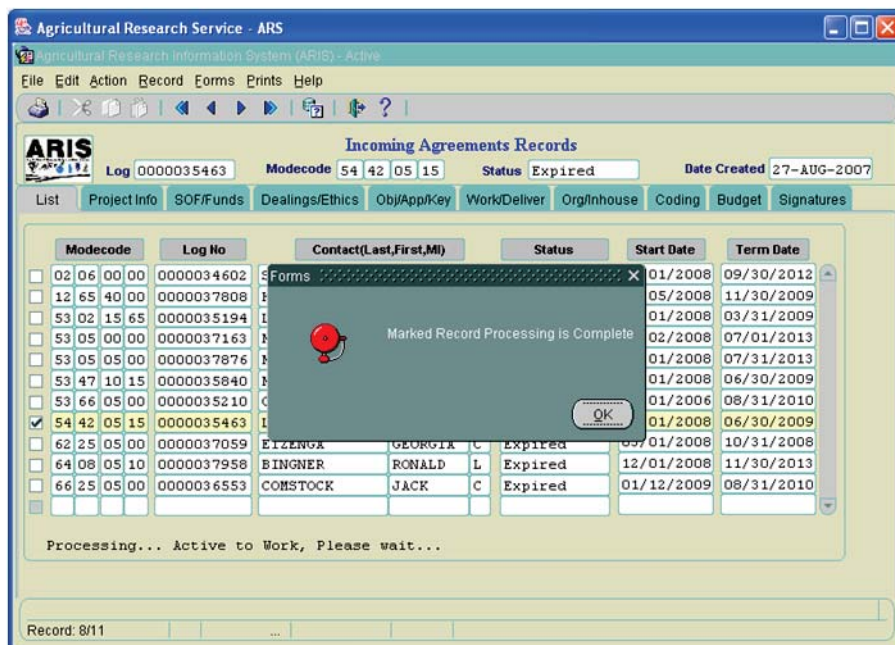


Figure 31- Marked Record Processing is Complete

The system will state “Marked Record Processing is Complete” (Figure 31).

- Click “OK” and the Work record will be created.
- Exit Active.

The Research Documentation/Extramural Agreements screen will display.

Amending the Work Record for Closeout

- Select “Work” and “Incoming Agreements.”

The Incoming Agreements Records list screen will be displayed.

- Mark the box to the left of the log number that requires the closeout amendment or query the log number, control number, or agreement number to find the project.
- Select the “Project Info” tab.

The screenshot shows the 'Incoming Agreement Records' form in the ARIS system. The 'Agr Status' is 'Closed'. The 'Term Date' is '06/30/2009'. The 'Remarks' field contains the following text:

```

1) This amendment officially closes the agreement, which has reached its term
date.
2) Final payment has been made.

```

Figure 32 - Project Info tab

- Verify the “Agr Status” is “Closed” (Figure 32).
- If the agreement has ended prior to the original expiration date, update the “Term Date” accordingly.

The following closeout statements will populate the “Remarks” field (Figure 32). Additional remarks may be added, if necessary. If the remarks are modified, you must modify them in AIMS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
 - 2) Final Payment has been received from the sponsor.
 - 3) All other terms and conditions remain unchanged.
- If the termination date was updated, add the following statement to the closeout remarks in the “Remarks” field (Figure 32): “Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion.”
 - If funding changes have occurred, add the following statement to the closeout remarks: “This amendment reduces the FY xxxx funding by \$(enter amount).”
 - If changes have been made, save the record.
 - Select “Forms” and “Agreement Info (AIMS).”

The AIMS Agreement Information screen will be displayed.

The screenshot shows the ARIS Agreement Information form. At the top, the title bar reads 'Agricultural Research Service - ARS' and the window title is 'Agricultural Research Information System (ARIS) - Work - AIMS'. The menu bar includes 'File', 'Edit', 'Forms', 'Reports', 'Prints', and 'Help'. The form header displays 'Agreement Information' with fields for Agreement No (58 5442 9 429), Control (22283), Amendment No (01), and Correction (Y/N) (N). Below this is a '425 Log No' field with the value 35463. A tabbed interface shows 'Agreements' selected, with other tabs for 'Agy/ADODR/Finance', 'Cooperator Info', 'Payment/Report', 'Accounting', and 'Provisions'. The main form area includes:

- 'Type of Agreement' dropdown set to 'RCA REIMBURSABLE COOPERATIVE AGREEMENT'.
- 'Specialist' section with 'Name (Last,First,MI,Suffix)' field containing 'QUARATINO JAMES E'.
- 'Authority' field containing '7 U.S.C. 3318 (b)'.
- 'Period of Agreement' section with 'Start Date' (10/01/2008), 'Term Date' (06/30/2009, circled), and 'Duration (Months)' (9).
- 'Prior Obligation' (\$17,000.00), 'Change in Obligation' (\$0.00), and 'Total' (\$17,000.00).
- 'Comments' text area containing:
 - 1) This amendment officially closes the agreement, which has reached its term date.
 - 2) Final payment has been made.
 - 3) All other terms and conditions remain unchanged.

 At the bottom left, it says 'Record: 1/1'.

Figure 33 - Agreements tab

Note: If the agreement has ended prior to the original expiration date, verify the “**Term Date**” is correct. If it is not correct, return to the “**Project Info**” tab in ARIS and update it accordingly.

The following closeout statements in the “**Comments**” field (Figure 33). Additional comments may be added, if necessary. If the remarks are modified, you must modify them in ARIS as well.

- 1) This amendment officially closes the agreement, which has reached its termination date.
 - 2) Final Payment has been received by the sponsor.
 - 3) All other terms and conditions remain unchanged.
- If the termination date was updated in ARIS, add the following statement to the closeout comments: “Revised the termination date from mm/dd/yyyy to mm/dd/yyyy to close the project early due to completion.”
 - If funding changes have occurred, add the following statement to the closeout remarks: “This amendment reduces the FY xxxx funding by \$(enter amount).”

Note: The system automatically enters the new amendment number in the Work record (Figure 33).

- Save the record.

Note: The system automatically clears all of the selections on the “**Payment/Report**” tab and the “**Provisions**” tab *except* “**Comments**” on the “**Provisions**” tab (Figure 34).

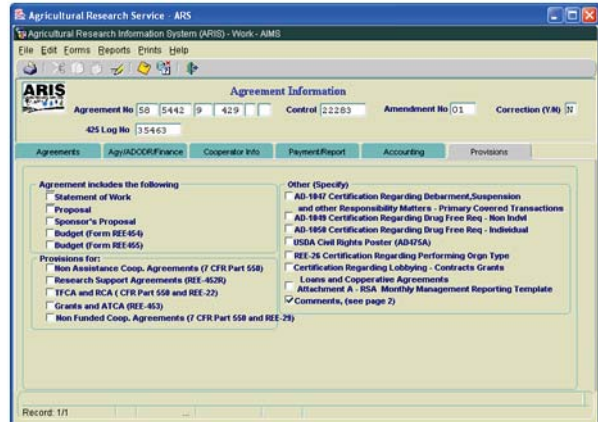
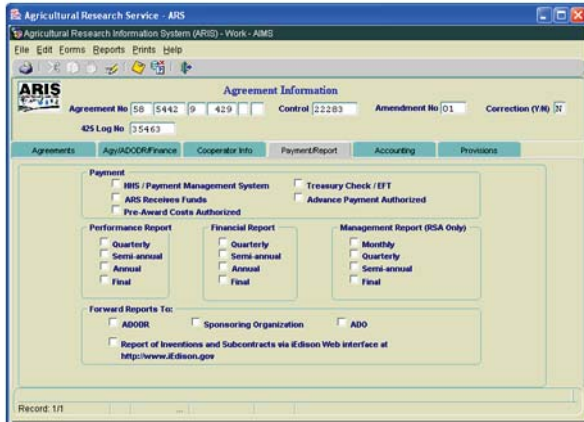


Figure 34 – Payment/Report tab and Provisions tab

- Save the record.
- Exit AIMS.

The Incoming Agreements Records list screen will be displayed.

Printing

- From the Incoming Agreements screen, highlight the project that you want to print.

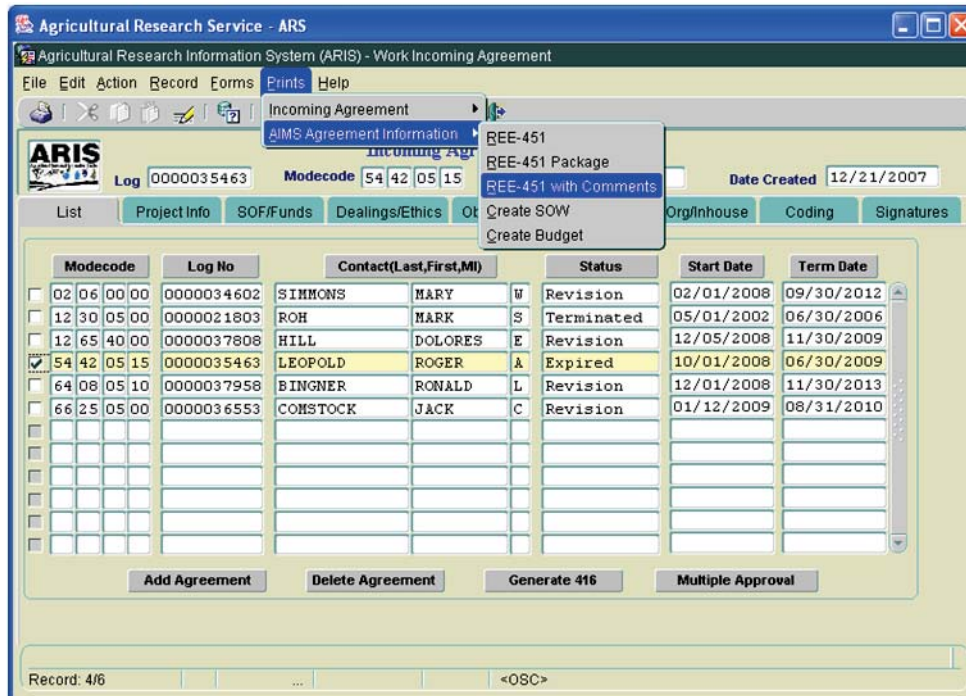



Figure 35 - Print Options - AIMS

- Select **“Prints”** from the Menu bar and **“AIMS Agreement Information”** from the drop down menu and then select **“REE-451 with Comments”** to print the necessary AIMS information (Figure 35).

The REE-451 will display as a PDF file.

- Select **“File”** and **“Print”** from the drop down menu or select the Printer Icon  from the Tool Bar.
- Click **“OK”** and the PDF file will print.
- Close the PDF file.

The Incoming Agreements Records list screen will be displayed.

Approving the Record for Closeout

- Select the “Signatures” tab.

Title	Name (Last, First, MI, Suffix)	Date	Approve	Disapprove	Remarks
Research Leader			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CD.L/D/DAD			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
AO			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ABFO			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Area Director			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ADO 4069	GREGOR BERNADETTE E		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Headquarters			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NPL1			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NPL2			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NPL3			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BPMS			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DA			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Figure 36 - Signatures tab

- Approve the record – enter your signature code or name, verify the date, and click the “Approve” box (Figure 36).

If applicable, remarks can be entered by clicking the “Remarks” notepad icon. A text box will be displayed to add remarks (optional).

- Save the record.

The record is now fully executed.

The ADO will distribute the appropriate closeout records to the Cooperator/Recipient, NFC, ABFO, ADODR, AO, and the Area PA.

Note: If funding changes have occurred, the record will go to BPMS for concurrence and will then appear in the active file.

Appendix 1: Instructions on How to Amend the Project to Expired Status

The ARIS Project must be expired before the Agreement can be closed in ARIS/AIMS. If the Project is still active but the period of the agreement has expired and will not be extended, you must update the status of the Project with a correction amendment prior to processing the close-out amendment.

Creating a Work Record - Correction

- From the Research Documentation/Extramural Agreements screen, select “**Active**” and “**416/417/Agreements/421**” from the Menu Bar.

The query screen will be displayed.

- Enter the project number, accession number, or agreement number to find the project, and select “**Query**” and “**Execute**” from the Menu bar or press “**Enter.**”

The project will be displayed on the 416/417 Active Projects list screen.

- If Status is “Active,” select “Action” and “Create Work Record – Correction” from the Menu Bar.

The system will state “Marked Record Processing is Complete”

- Click “**OK**” and the Work record will be created.

Exit Active.

The Research Documentation/Extramural Agreements screen will be displayed.

Amending the Work Record

- Select “**Work**” and “**416/417/Agreements.**”

The 416/417 Records list screen will be displayed.

- Mark the box to the left of the project that requires the correction amendment or query the project number, accession number, or agreement number to find the project.
- Select the “**Project Info**” tab.
- Select “**Expired**” from the “**Status**” drop down menu.
- Save the record.
- Select the “**Signature**” tab and approve the record.
- Save the record.

The project will move to “Status” until the overnight approval process occurs. Once completed, the project can be found in the “Active” file and will be available to be closed according to the Sections A and B of the ARIS/AIMS Closeout Instructions for Extramural Agreements (Page 11).

HEALTH AND HUMAN SERVICES
(HHS)/PAYMENT MANAGEMENT
SYSTEM (PMS)
CLOSEOUT INSTRUCTIONS

September 2009

HHS/PMS Closeout Instructions

Once the ADO has determined that an agreement can be closed in HHS/PMS the ADO will provide a copy of the closeout amendment (REE-451) from ARIS/AIMS to the appropriate Area employee responsible for maintaining the HHS/PMS.

The ADO or the responsible person for HHS/PMS should check the accounting system to ensure that the agreement information matches the closeout information and prints the screen for the official file.

Closing an agreement in HHS/PMS is a 2-step On-Line Authorization process. A user can have both on-line authorization capability and approve on-line authorization capability; however, the user who enters an on-line authorization **cannot** approve the same on-line authorization.

User #1:

Logs onto HHS/PMS

Prints FCO/E Report

Click on Authorization menu option

Click on On-Line Authorization

Fills in the blanks on the On-Line Authorization form

Clicks Submit

User #2:

Logs onto HHS/PMS

Click on Authorization menu option

Click on On-Line Authorization Approval

Click button to the left of the authorization transaction to approve

Click Select

Review on-line authorization for correctness

Click on Approve or Disapprove

The following 4 sections outline the agreements closeout procedures in HHS/PMS.

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B. How to Print FCOE/Report.....	52
C. How to Enter On-Line Authorizations.....	56
D. How to Approve Online Authorizations.....	62

Section A How to Logon to HHS

Go to the HHS Division of Payment Management Web site: <http://www.dpm.psc.gov/>

Division of Payment Management - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites RSS Print Mail News Groups

Address <http://www.dpm.psc.gov/> Go Links

United States Department of Health & Human Services
Program Support Center
Financial Management Service
Division of Payment Management Payment Management System - SmartLink - Electronic 272

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Welcome to the Division of Payment Management web site!

For Help Desk assistance, please click [here](#)

For Password resets or requests, please click [here](#)

We're looking forward to receiving your comments in our surveys and your emails to us and the opportunity to better serve you!

In an effort to review our performance standards and services we provide, please visit the **Program Support Center** web site by clicking [here](#).

New and Improved Feature! Spanish Translation - For General Instructions for PSC272 Report and Roles & Responsibilities, please click [here](#).

Audit Confirmation information - please click [here](#).

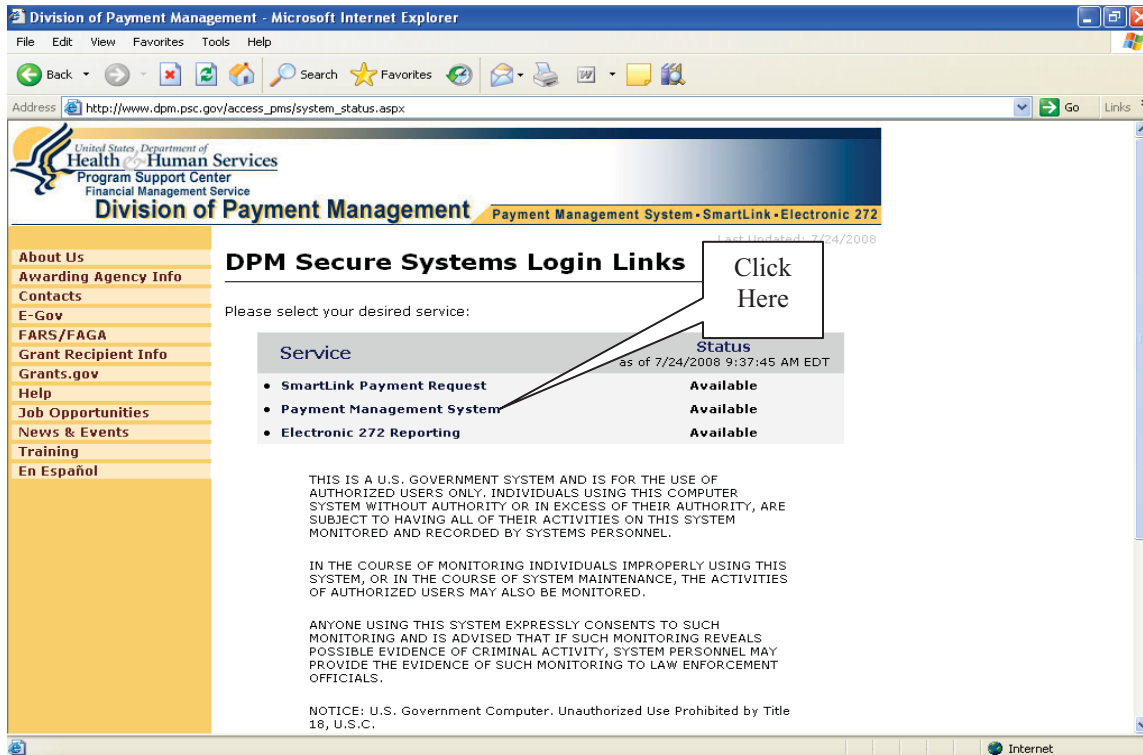
DUNS number requirement information - please click [here](#).

272 reporting due dates information - please click [here](#)!

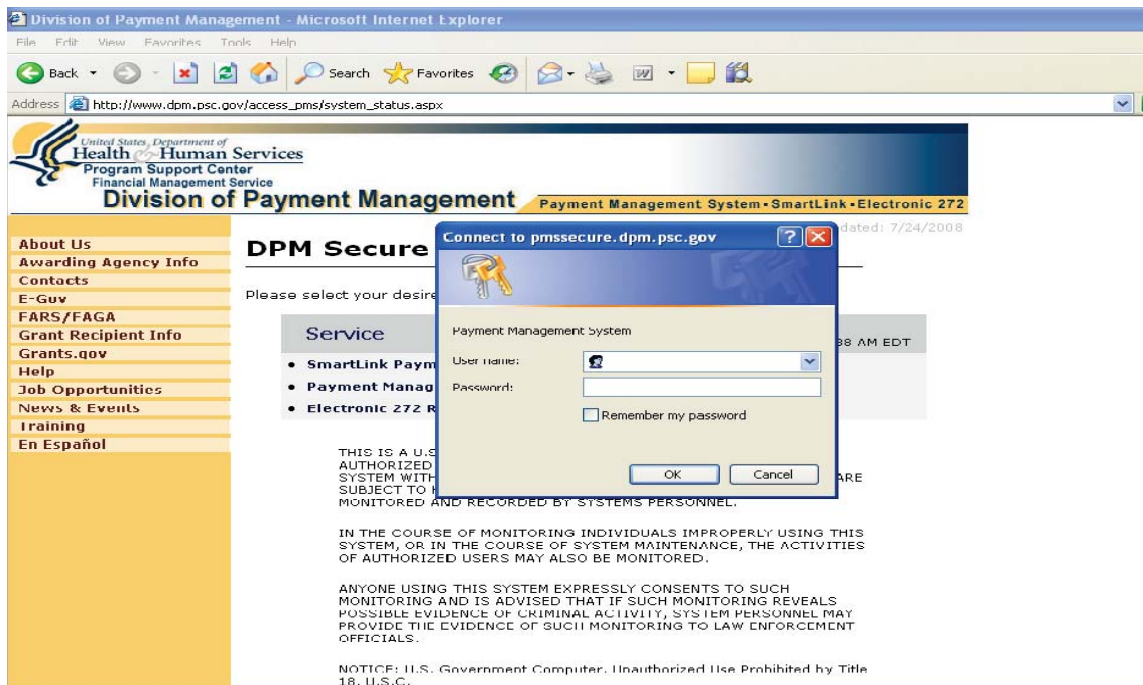
SUPPORT

Internet

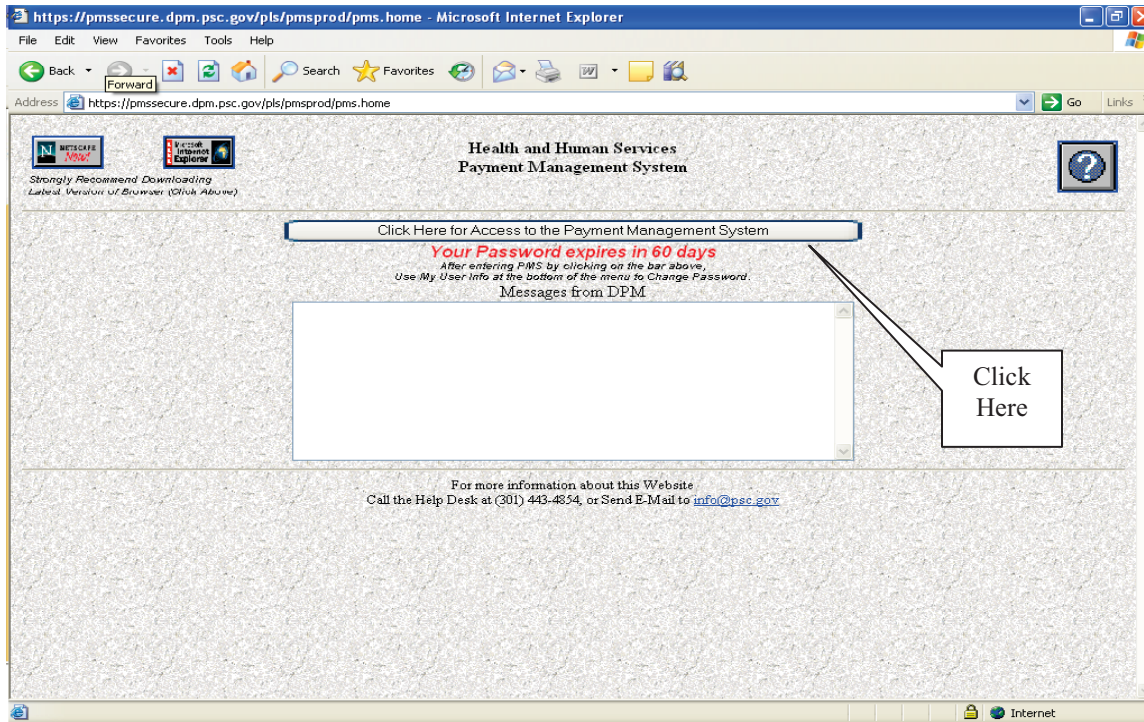
- Click on the “Payment Management System” link at the top, center of the page.



- Click on the "Payment Management System" link.



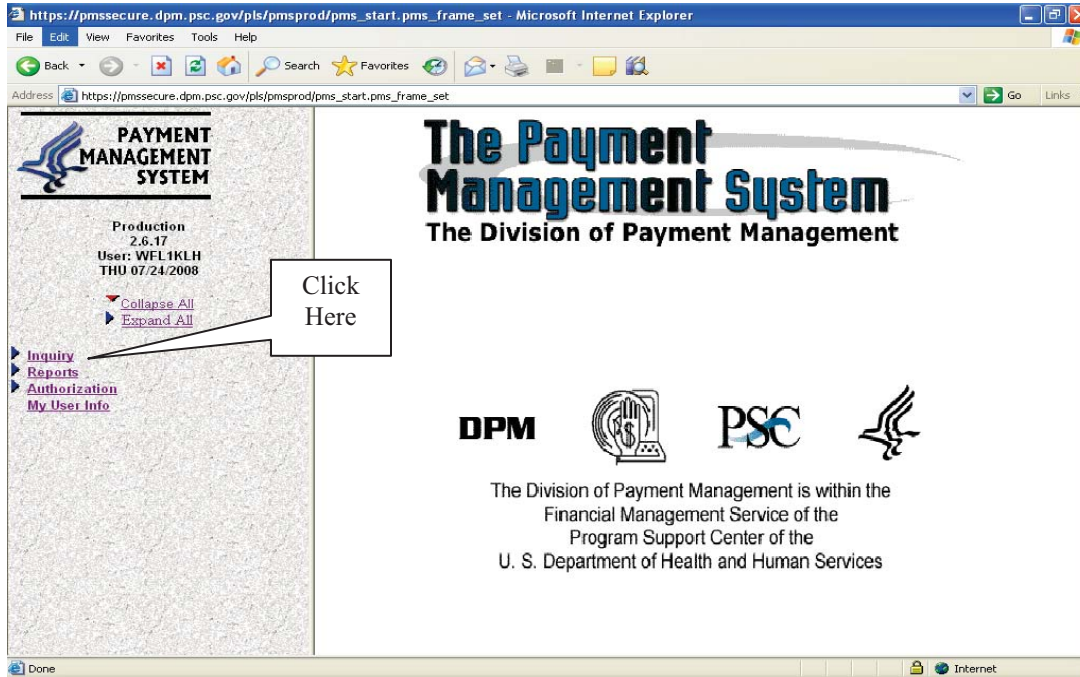
- Enter your Username and Password into space provided in the Login Box.
- Click "OK."



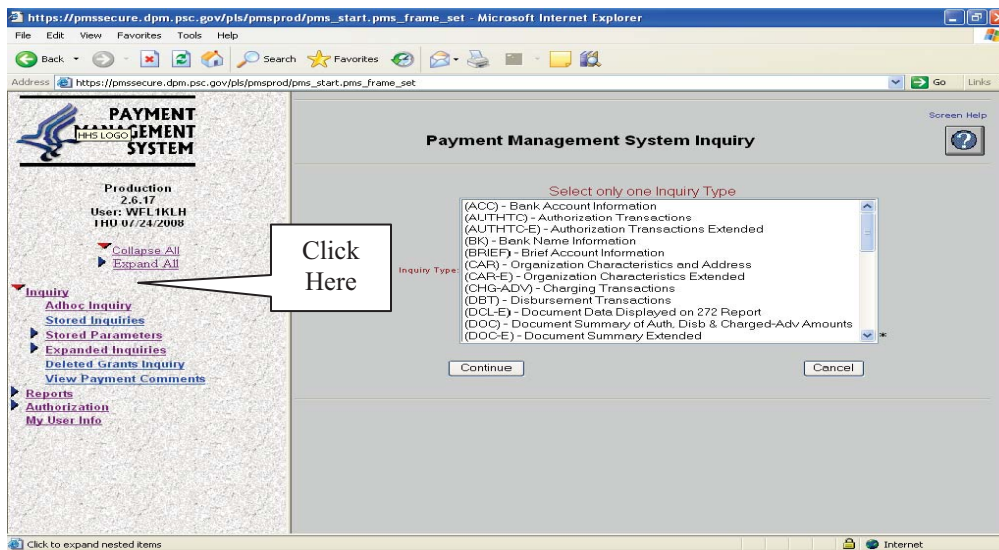
- Click on the “Click Here for Access to the Payment Management System” access bar.

You are now logged on to HHS/PMS.

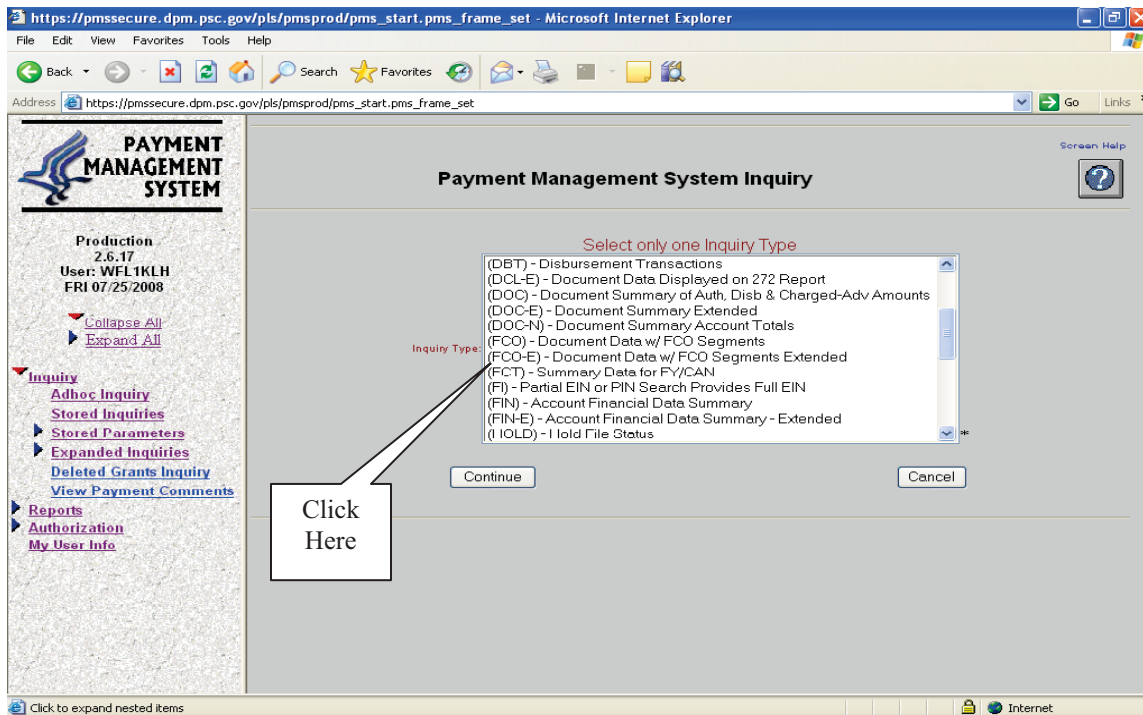
Section B How to Print FCOE/Report



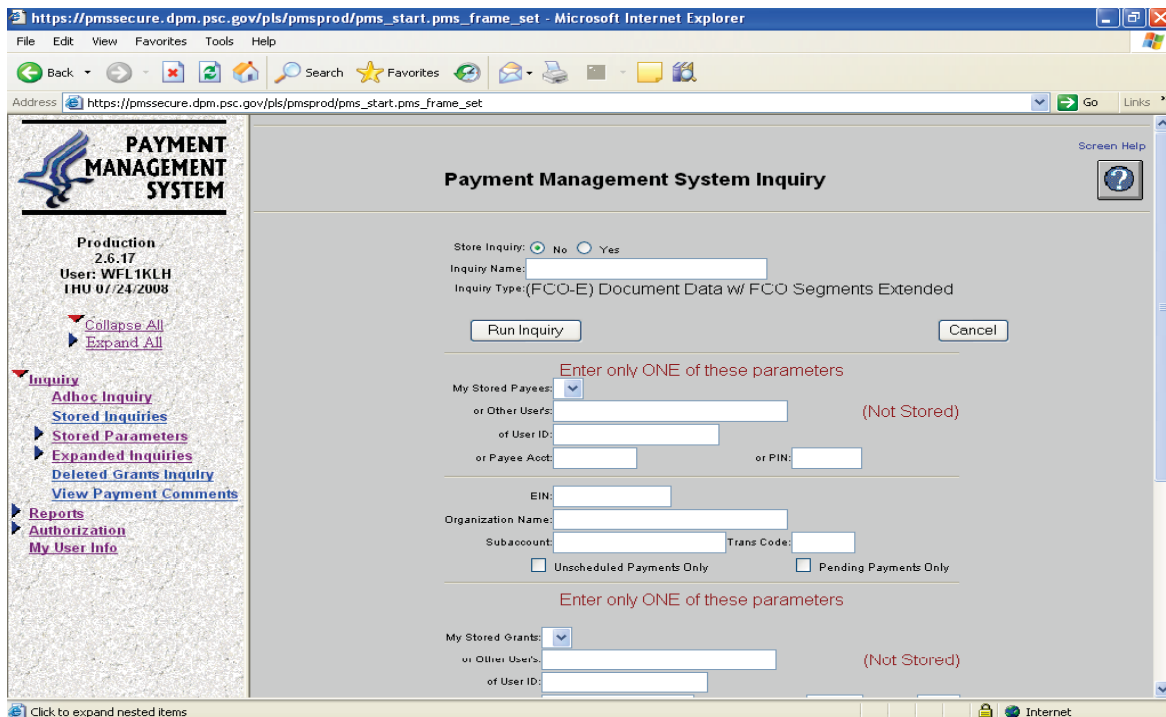
- Click the “Inquiry” link on the side bar, and an expanded list of inquiries will appear beneath the link.



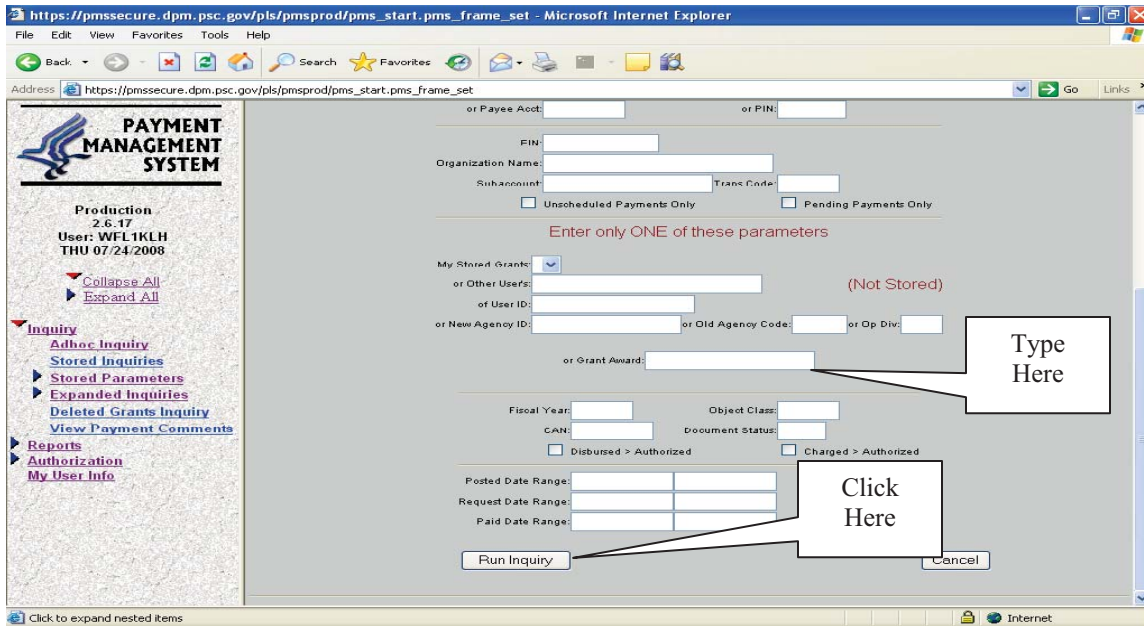
- Click on “Adhoc Inquiry” to be prompted to this screen.



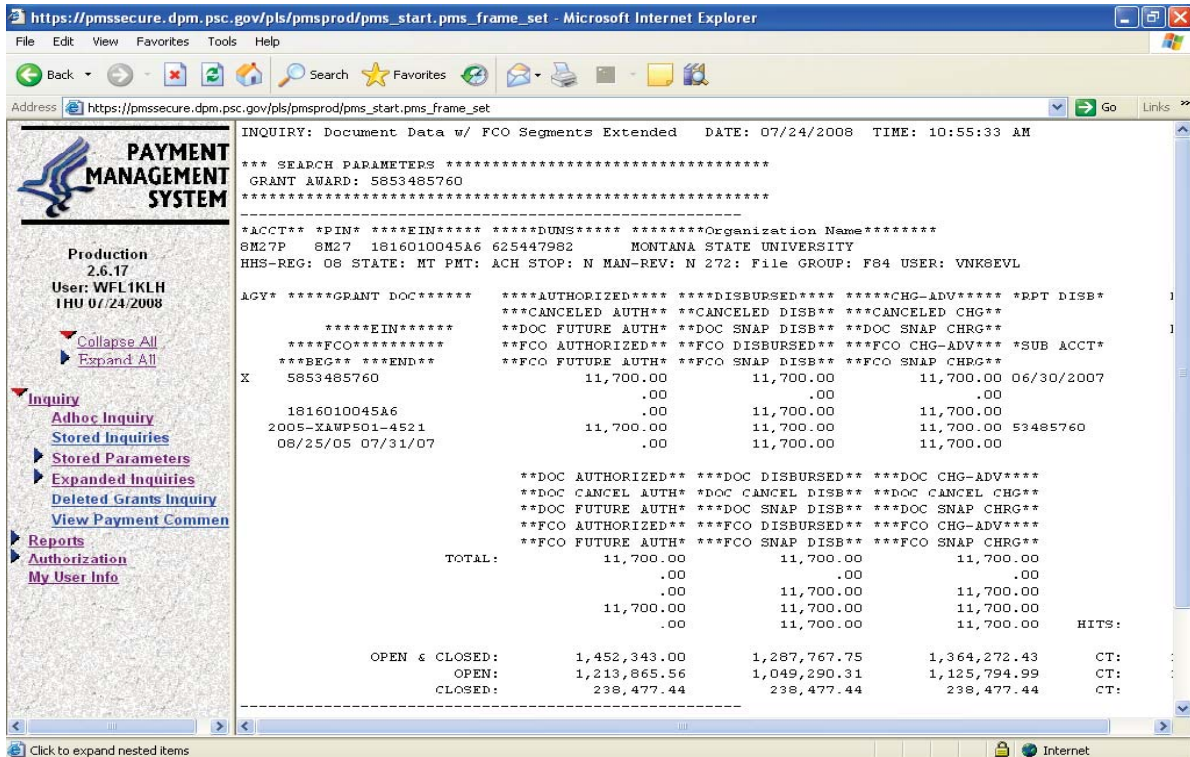
- Scroll down on the “Inquiry Type” list and select “(FCO-E) - Document Data w/ FCO Segments Extended,” then click “Continue.”



- The FCO-E Inquiry search screen will appear.



- Scroll down to the 4th section. In the “or Grant Award” box, enter the grant/agreement ID number (without hyphens) i.e., 5853485760.
- Click “Run Inquiry.”



- The FCO-E table for the specified grant/agreement will appear.
- Change the print layout to “Landscape” and print the FCO-E report for the file and to refer back to during the closeout process.

Sample FCO-E Report

https://pmssecure.dpm.psc.gov/pls/pmsprod/pms_start.pms_frame_set - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Refresh Print Mail Stop

Address https://pmssecure.dpm.psc.gov/pls/pmsprod/pms_start.pms_frame_set Go Links

INQUIRY: Document Data w/ FCO Segments Extended DATE: 07/24/2008 TIME: 12:13:40 PM

*** SEARCH PARAMETERS *****

GRANT AWARD: 5854302302

ACCT *PIN* ****EIN***** *UNSN***** *****Organization Name*****

6J28P 6J28 1480771751A7 929773554 KANSAS STATE UNIVERSITY

HHS-REG: 07 STATE: KS PMT: ACH STOP: N MAN-REV: N 272: File GROUP: F84 USER: VNK8EVL

AGY*	*****GRANT DOC*****	****AUTHORIZED****	****DISBURSED****	*****CHG-ADV*****	*RPT DISB*	RS	DS
*****EIN*****	**DOC FUTURE AUTH*	**DOC SNAP DISB**	**DOC SNAP CHR**			RI	CT
****FCO*****	**FCO AUTHORIZED**	**FCO DISBURSED**	**FCO CHG-ADV**	*SUB ACCT*		FS	
***BEG** ***END**	**FCO FUTURE AUTH*	**FCO SNAP DISB**	**FCO SNAP CHR**				
X	5854302302	119,807.00	119,807.00	119,807.00	06/30/2007	I	0
		5,535.00	5,535.00	5,535.00			
	1480771751A7	.00	119,807.00	119,807.00		N	4
	2002-XANP201-4521	5,535.00	5,535.00	5,535.00	54302302		0
	02/01/02 01/31/04	.00	5,535.00	5,535.00			
	2002-XANP293-4521	60,300.00	60,300.00	60,300.00	54302302		0
	02/01/02 01/31/04	.00	60,300.00	60,300.00			
	2003-XANP301-4521	5,000.00	5,000.00	5,000.00	54302302		
	02/01/02 05/31/05	.00	5,000.00	5,000.00			
	2003-XANP306-4521	48,972.00	48,972.00	48,972.00	54302302		
	02/01/02 01/31/07	.00	48,972.00	48,972.00			
		DOC AUTHORIZED	***DOC DISBURSED**	***DOC CHG-ADV****			
		DOC CANCEL AUTH*	*DOC CANCEL DISB	**DOC CANCEL CHG**			
		DOC FUTURE AUTH*	*DOC SNAP DISB**	***DOC SNAP CHR**			
		FCO AUTHORIZED	***FCO DISBURSED**	***FCO CHG-ADV****			
		FCO FUTURE AUTH*	**FCO SNAP DISB	***FCO SNAP CHR**			
	T&L:	119,807.00	119,807.00	119,807.00			
		5,535.00	5,535.00	5,535.00			
		.00	119,807.00	119,807.00			
		119,807.00	119,807.00	119,807.00			
		.00	119,807.00	119,807.00			

HITS: 1

KEY

1: Issue Date

2: Award Number

3: EIN

4: Object Class

5: CAN

6: Budget End Date

7: Budget Start Date

8: Fiscal Year

Click to expand nested items

Internet

Section C How to Enter On-Line Authorizations

Closing an agreement in HHS is done on the same screen that is used to open or amend a grant/agreement. To close a grant/agreement you must close it using the On-Line Authorization.

INQUIRY: Document Data w/ FCO Segments Extended DATE: 07/24/2008 TIME: 10:55:33 AM

*** SEARCH PARAMETERS *****
GRANT AWARD: 5853485760

ACCT *PIN* ****EIN***** *****DUNS***** *****Organization Name*****
8M27P 8M27 1816010045A6 625447982 MONTANA STATE UNIVERSITY
HHS-REG: 08 STATE: MT PMT: ACH STOP: N MAN-REV: N 272: File GROUP: F84 USER: VNK8EVL

AGY	*****GRANT DOC*****	****AUTHORIZED****	****DISBURSED****	*****CHG-ADV*****	*RPT DISB*
	*****EIN*****	^^DOC FUTURE AUTH^	^^DOC SNAP DISB^^	^^DOC SNAP CHR^^	
	****FCO*****	**FCO AUTHORIZED**	**FCO DISBURSED**	**FCO CHG-ADV**	*SUB ACCT*
	***BEG** **END**	**FCO FUTURE AUTH*	**FCO SNAP DISB**	**FCO SNAP CHR**	
X	5853485760	11,700.00	11,700.00	11,700.00	06/30/2007
		.00	.00	.00	
	1816010045A6	.00	11,700.00	11,700.00	
	2005-XANP501-4521	11,700.00	11,700.00	11,700.00	53485760
	08/25/05 07/31/07	.00	11,700.00	11,700.00	
		DOC AUTHORIZED	***DOC DISBURSED**	***DOC CHG-ADV****	
		DOC CANCEL AUTH*	**DOC CANCEL DISB	**DOC CANCEL CHG**	
		DOC FUTURE AUTH*	*DOC SNAP DISB**	***DOC SNAP CHR**	
		FCO AUTHORIZED	***FCO DISBURSED**	***FCO CHG-ADV****	
		FCO FUTURE AUTH*	*FCO SNAP DISB**	***FCO SNAP CHR**	
	TOTAL:	11,700.00	11,700.00	11,700.00	
		.00	.00	.00	
		.00	11,700.00	11,700.00	
		11,700.00	11,700.00	11,700.00	
		.00	11,700.00	11,700.00	HITS:
	OPEN & CLOSED:	1,452,343.00	1,287,767.75	1,364,272.43	CT:
	OPEN:	1,213,865.56	1,049,290.31	1,125,794.99	CT:
	CLOSED:	238,477.44	238,477.44	238,477.44	CT:

- Click "Authorization" on the left-hand sidebar. Four authorization options will appear below it.

Production
2.6.17
User: WFL1KLH
THU 07/24/2008

[Collapse All](#)
[Expand All](#)

[Inquiry](#)
[Reports](#)
[Authorization](#)
[Batch Balancing](#)
[On-Line Authorization](#)
[Correct Exceptions](#)
[On-Line Authorization A](#)
[My User Info](#)

On-Line Authorization

Issue Date: Award Number: Document Reference:

Fiscal Year: Awarding Agency ID: OR Old Agency Code:

CAN: Object Class:

Transaction Code: Reverse Code: 1-Normal 2-Reverse Modifier Code:

Budget Start Date: Budget End Date:

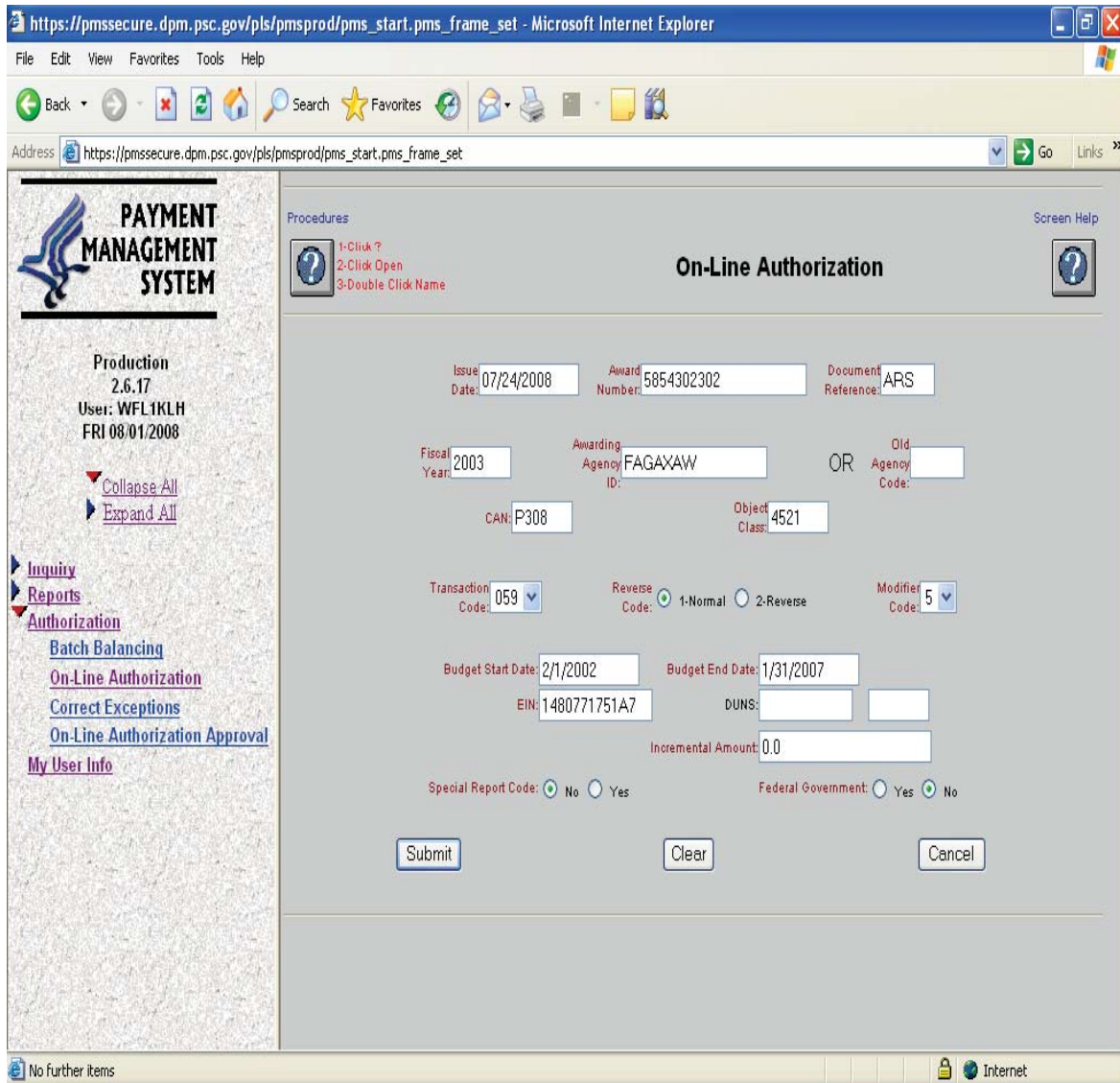
EIN: DUNS:

Incremental Amount:

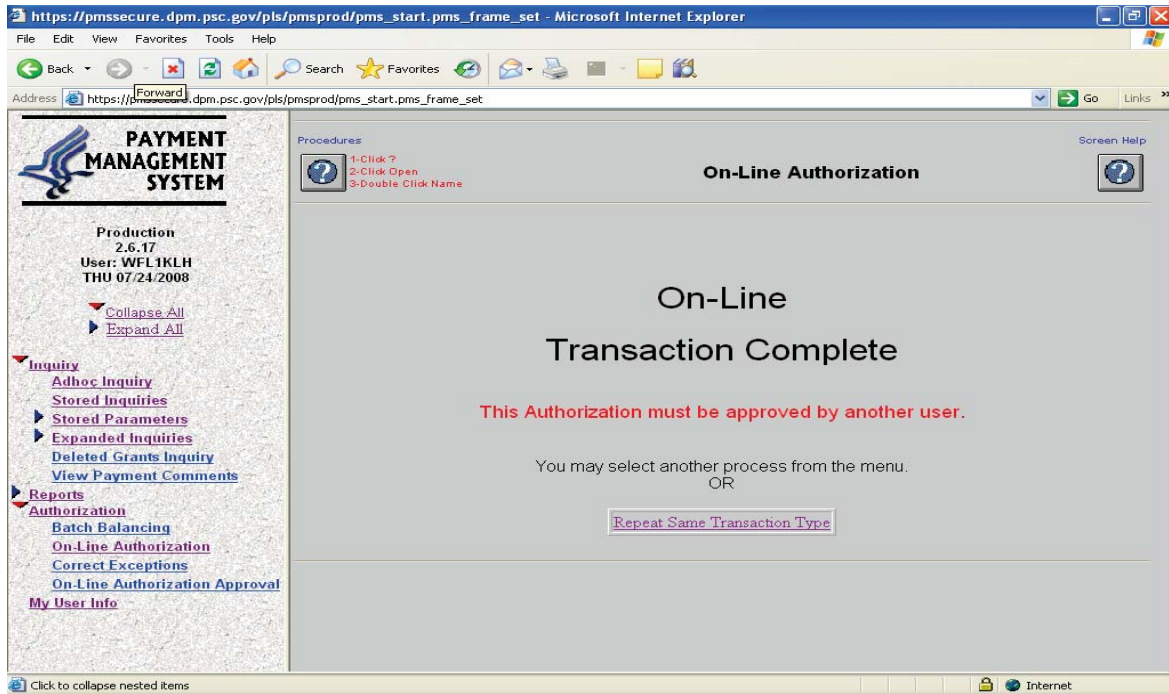
Special Report Code: No Yes Federal Government: Yes No

- Click on “On-Line Authorization.” The system redirects to the On-Line Authorization screen.

- Complete the following information on the “On-Line Authorization” form using the information on the Document Data w/FCO Segments Report printed previously. (See sample Document Data w/FCO Report on Page 53 of these instructions.)
 - Issue Date: Date you are doing the close-out. (See #1)
 - Award Number: Grant/Agreement number with no dashes. (See #2)
 - Document Reference: Will always be “ARS”
 - Fiscal Year: Most current fiscal year (if multiple). Closing only one FY will close the whole grant (See #8)
 - Awarding Agency ID: “FAGAXA?” with the (?) representing the unique alpha letter for your Area, i.e. “FAGAXAW”
 - Old Agency Code: Leave blank
 - CAN: 4 digit alphanumeric funding code or source (appropriation) assigned by ARS the awarding agency; Common Accounting Number; also referred to as Internal Org Code. (See #5)
 - Object Class: 4 digit alphanumeric Object Classification code assigned by the ARS awarding agency; it is a further breakdown of funding under a CAN. (See #4)
 - Transaction Code: "050" for initial, amendment or follow-on transactions "059" to close a grant/agreement, ARS does not use 055 or 056. To close an agreement, the code is always “059.”
 - Reverse Code: Usually “1- Normal,” but if the authority of the grant is being reduced at the same time it is being closed, use “2- Reverse.”
 - Modifier Code: "3" for initial obligation "5" for follow-on transactions or amendments. Always use “5” when closing.
 - Budget Start Date: Date that appears on the FY you are closing
 - Budget End Date: Last date the agreement was extended to. (See #6)
 - EIN: Must be exactly as it appears on the FCO-E print-out {12 digits}. (See #3)
 - DUNS: Leave blank.
 - Incremental Amount: Leave blank if the authority of the grant is not being reduced.
 - Special Report Code: No
 - Federal Government: No

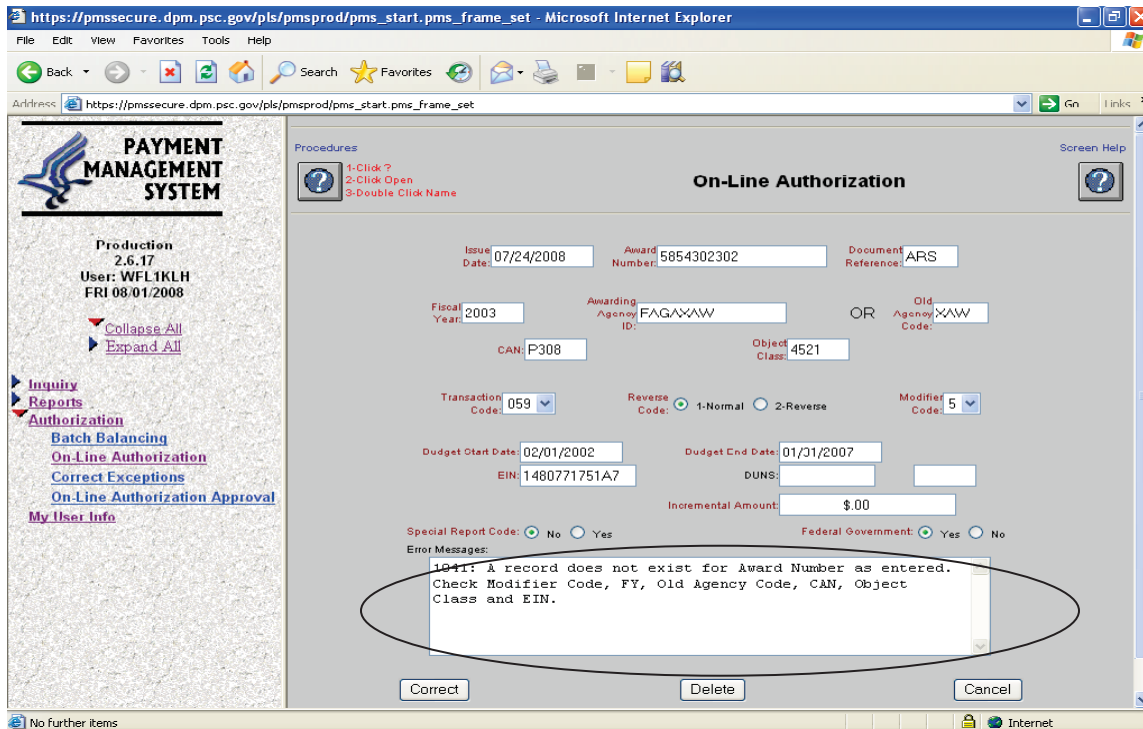


- Print the screen before clicking “Submit.” All of the information entered to this point will be saved.
- Click Submit.



- If all information was entered correctly, a screen verifying the completion will appear.

- If there are problems with the data entered, you will receive a list of error messages that you can scroll down to read. At this point you may:



- Correct the problems and click “Correct” until all of the problems have been corrected and the transaction is accepted. The verification screen will then appear.
- Click “Cancel” to exit the transaction temporarily. As long as you have clicked “Submit” at least once before cancelling, your information will be saved and can be retrieved later to complete the transaction using the Correct Exception menu option.

If the transaction was completed the Authorization is awaiting approval. Approving an on-line authorization is accomplished using the On-Line Authorization Approval function of the PMS.

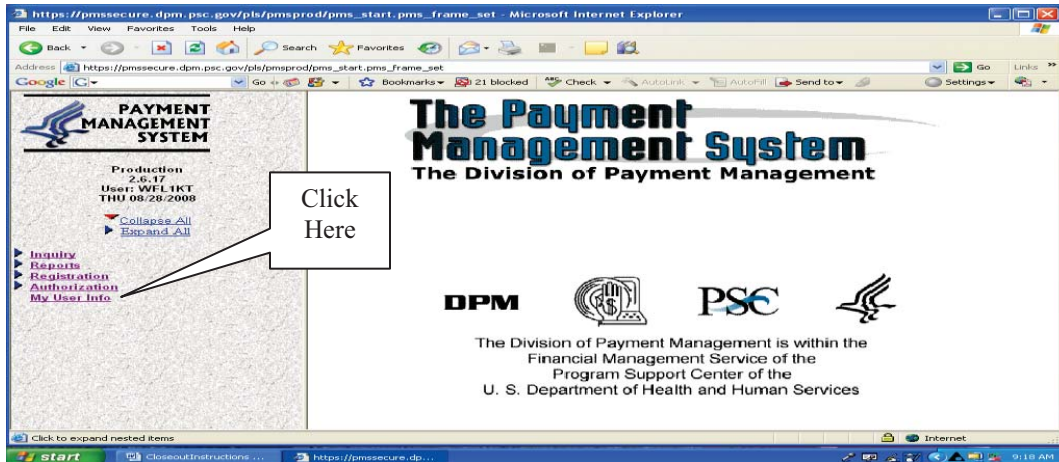
Once the on-line transaction is completed, to totally complete closing out the grant/agreement, the approving official must approve the transaction on-line.

Section D

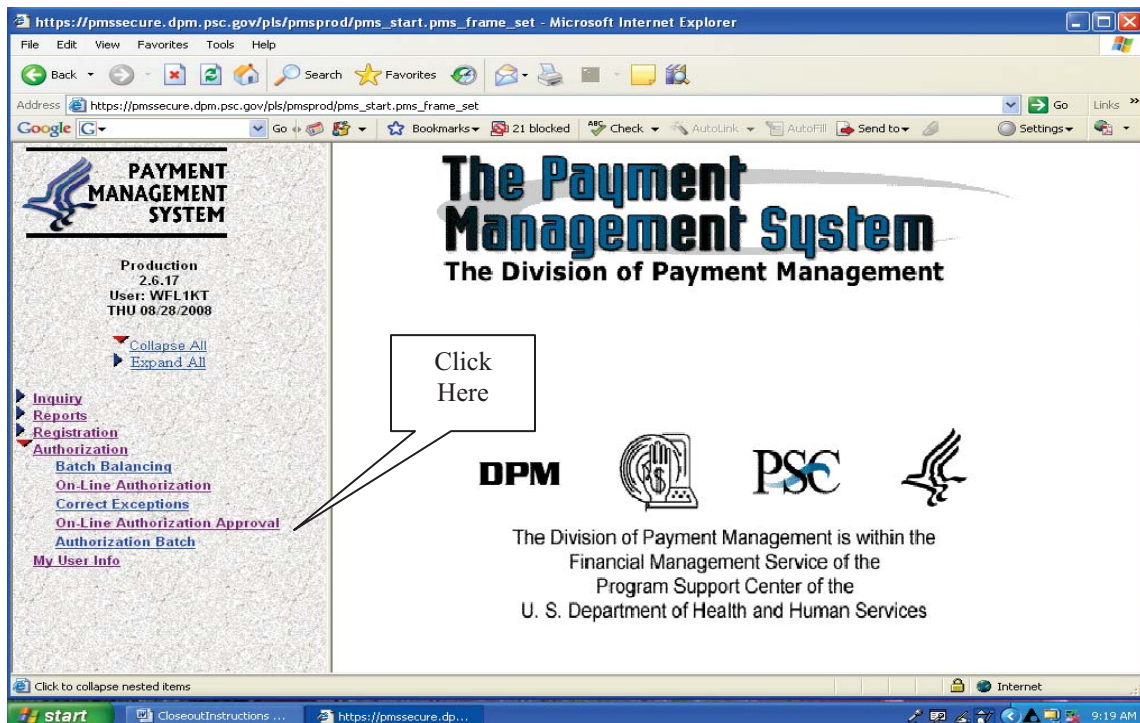
How to Approve Online Authorizations

To approve authorizations entered into the system through the On-Line Authorization feature of the HHS/PMS, you must do the following:

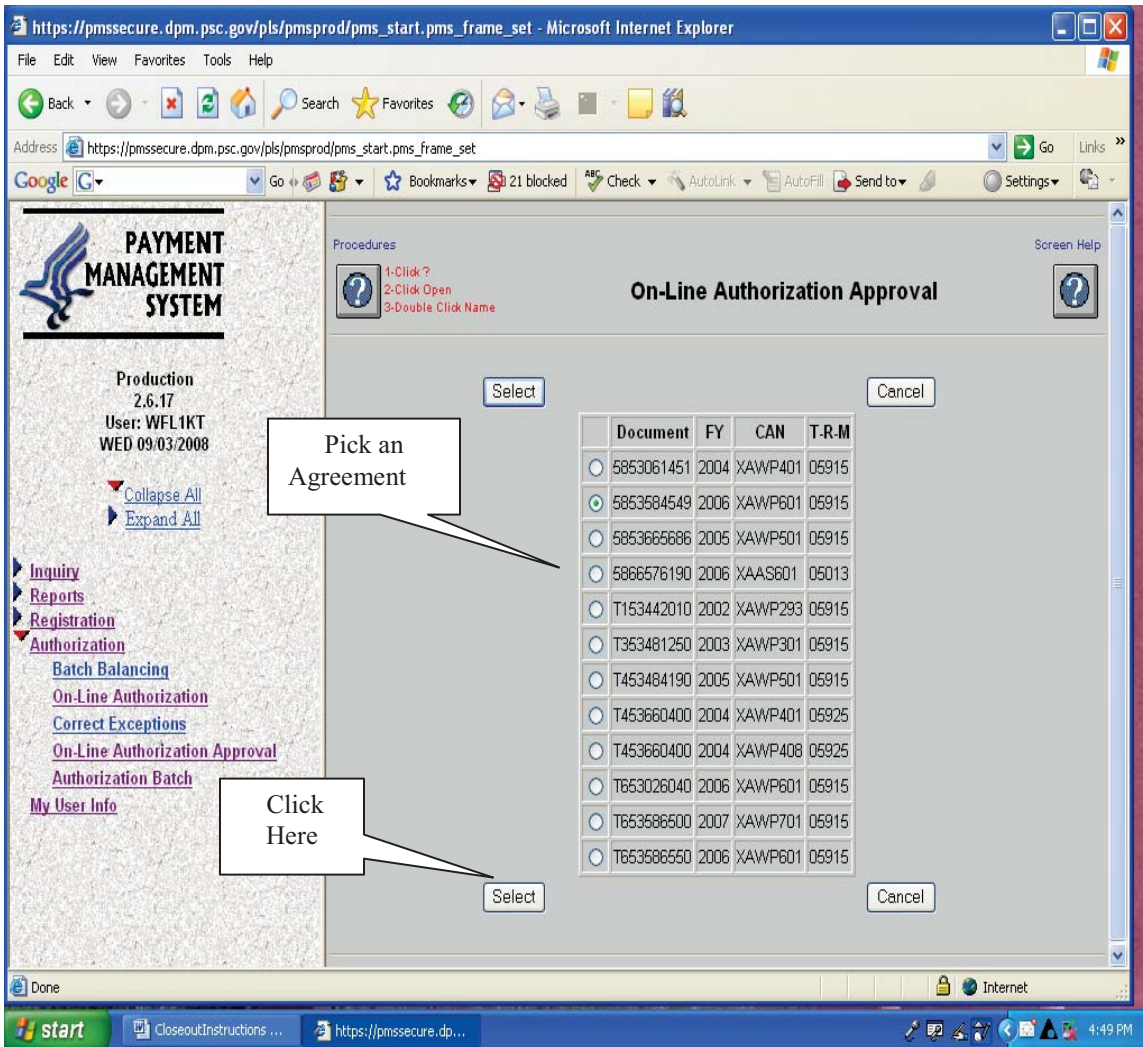
Go to the HHS Division of Payment Management Web site: <http://www.dpm.psc.gov/>



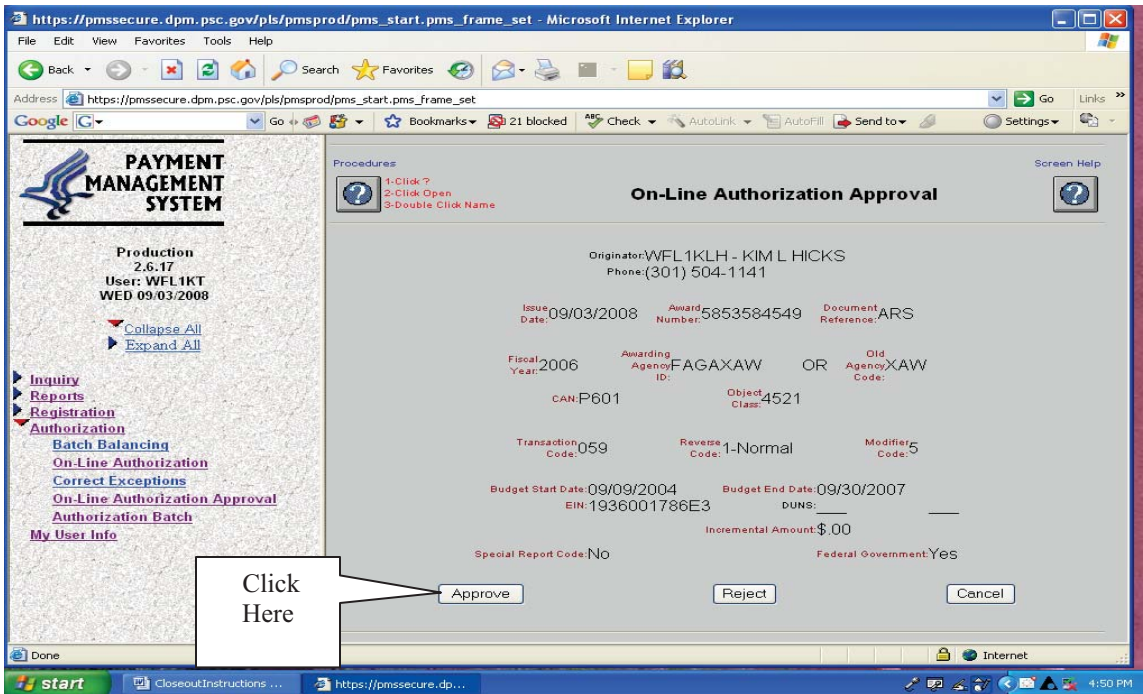
- Click “Authorization” on the left-hand sidebar. Four authorization options will appear below it.



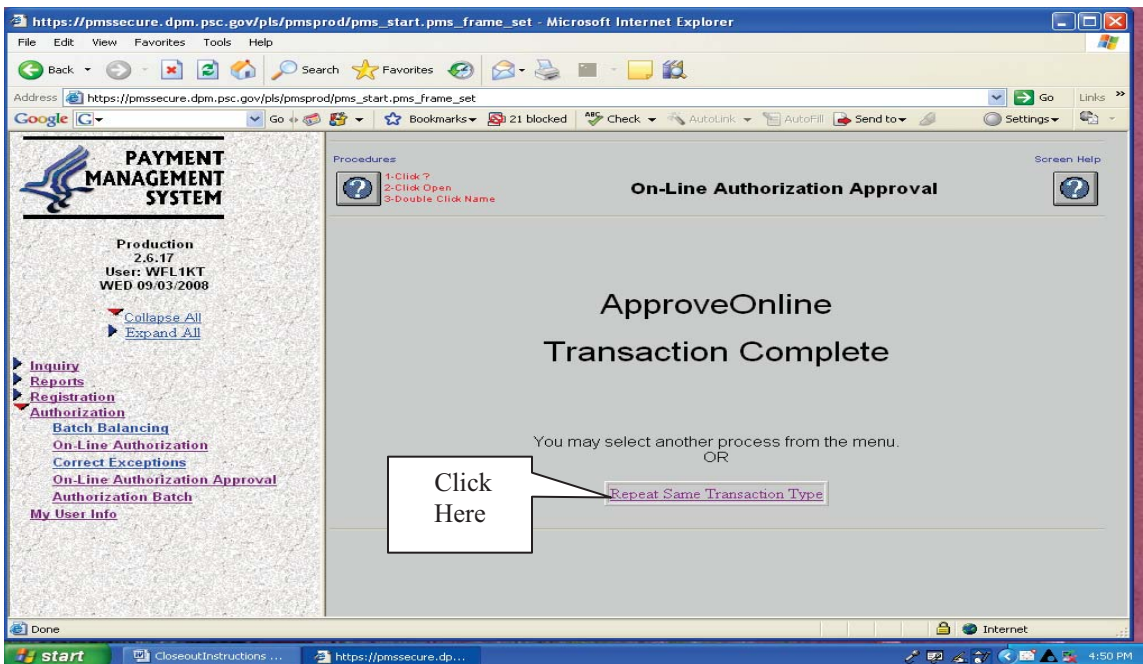
- Click “On-Line Authorization Approval” on the left-hand sidebar. Selecting this option will present a list of authorizations to approve.



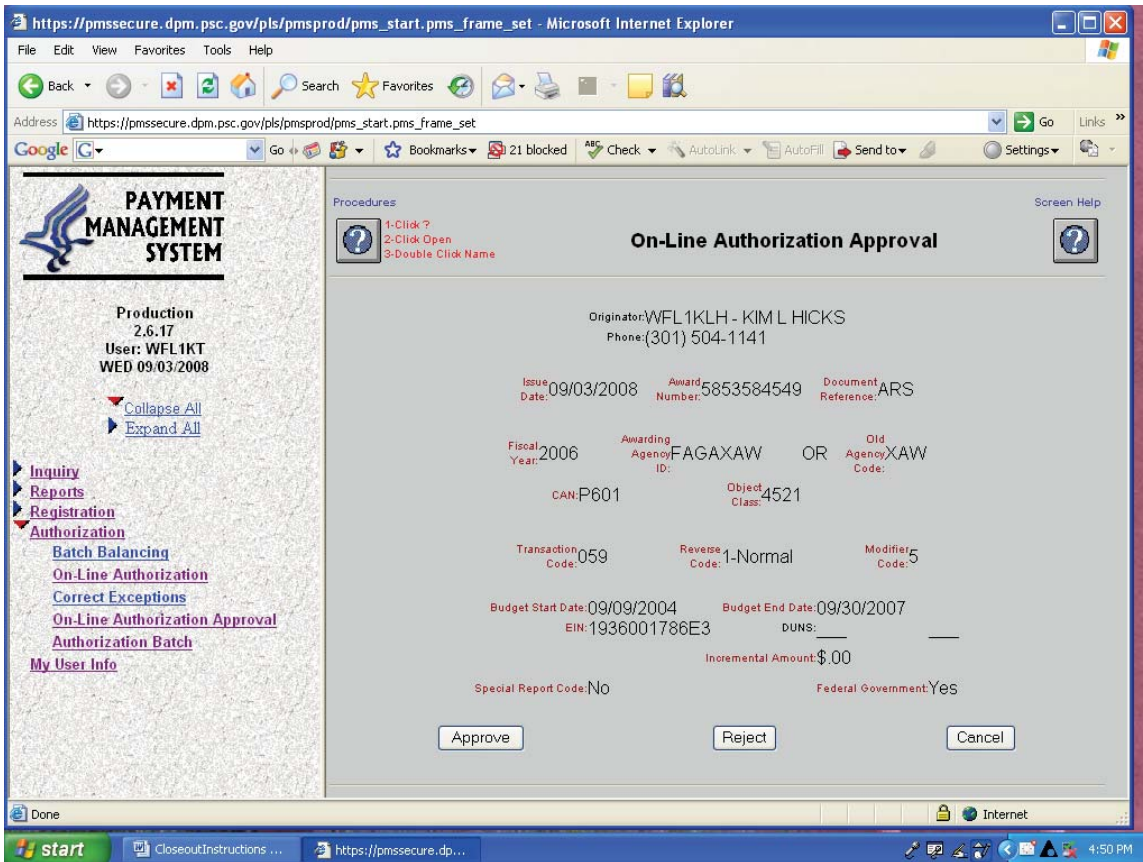
- Click the agreement you want to approve.
- Click the select button.
 - The On-Line Authorization, as entered in its entirety, will display. Review the authorization transaction. The Approver **cannot** change any data; all the fields are protected. If the transaction can be processed then Approve the transaction.



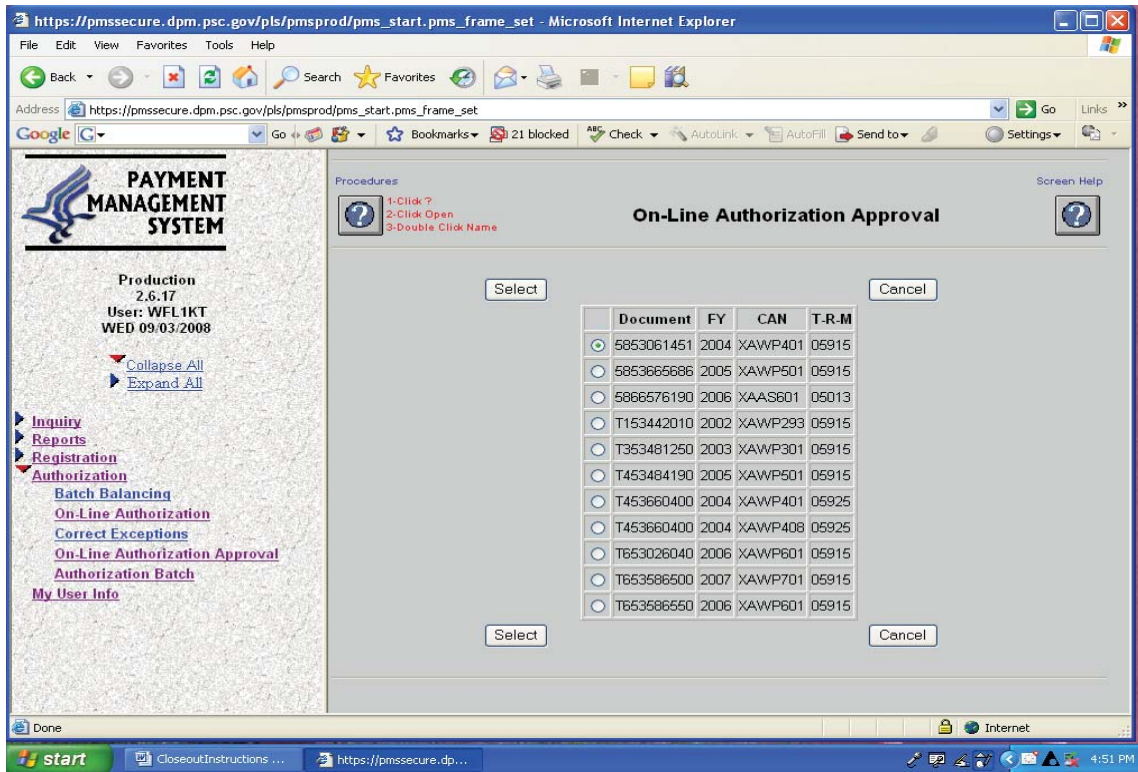
- Review the information associated with the authorization. At this point you may:
 - Click “Approve” to approve the authorization. You will be presented with a screen confirming the transaction is complete.



- To perform the same transaction click on the “Repeat Same Transaction Type,” otherwise choose a new transaction from the system menu.



- Click “Reject” to reject the authorization. You will be presented with a screen confirming the rejection which will permanently delete the authorization record, or click Cancel Delete.” To perform the same transaction “click” on “Repeat Same Transaction Type,” or choose a new transaction from the system menu.
 - **TO REJECT THE AUTHORIZATION TRANSACTION:**
 - The On-Line Authorization, as entered in its entirety, will display. Review the authorization transaction. The Approver **cannot** change any data; all the fields are protected. If the transaction cannot be processed then “Reject” the transaction.
 - **If the transaction is deleted and it needs to be corrected and processed, then it must be reentered using the On-Line Authorization screen.**
- Click “Cancel” to take you back to the preset list of approvals.



You may now either logout of HHS/PMS or you may perform another transaction.

Sample Deobligation Letter



United States Department of Agriculture

Research, Education, and Economics
Agricultural Research Service

Date

Attention:

Name

Address (send via e-mail)

Re: Agreement No. xx-xxxx-x-xxx
Title
Principal Investigator

Notification of Official Closeout

Dear:

Enclosed is a fully-executed copy of Amendment No. 1 of the referenced agreement which reduces the Federal obligation by \$xxx.xx, in order to deobligate the remaining balance of unexpended funds. This is an administrative change which does not require your representative's signature. Accordingly, this agreement is hereby officially closed.

If you should have any questions, please do not hesitate to contact me.

Sincerely,

NAME

Authorized Departmental Officer

Enclosure

cc: (send via e-mail)

ADODR

AO

ABFO

PA

NFC

Agreement File

Address of Servicing ADO

Sample Closeout Letter



United States Department of Agriculture
Research, Education, and Economics
Agricultural Research Service

Date

Attention:
Name
Address (send via e-mail)

Re: Agreement No. xx-xxxx-x-xxx
Title
Principal Investigator

Notification of Official Closeout

Dear:

Our records indicate the referenced Agreement expired on (Enter Date). We have received all final reports and final payment has been made. Accordingly, this agreement is hereby officially closed.

If you should have any questions, please do not hesitate to contact me.

Sincerely,

NAME
Authorized Departmental Officer

cc: (send via e-mail)
ADODR
AO
ABFO
PA
NFC
Agreement File

Address of Servicing ADO