

CHECKLIST FOR ESTABLISHING EXTRAMURAL AGREEMENTS

SUMMARY OF AWARD ATTRIBUTES:

Expense Account Number: _____
Award Number: _____
PI: _____
Awarding Agency: _____
Agency Award Number: _____
Date of Award: Begin _____ End: _____
Project Title: _____
Amount of Award: \$ _____
Date final technical reports are due: _____

CGA Fund Manager: _____
Phone: _____ E-mail: _____
(See http://afs.ucdavis.edu/our_services/contracts-e-grants/about-efa/contact-us.html)

REVIEW AWARD AND HIGHLIGHT PERTINENT INFORMATION:

- Award number
- Agency name and address
- Agency contact, telephone number and/or e-mail address
- Principal Investigator (PI)
- Award project period
- Award budget period (if different from project period)
- Are these Federal or Federal Flow Through funds? What is the CFDA number?
<https://www.cfda.gov/>
- Invoicing/reporting provisions (i.e., format, frequency)
- Regulatory guidelines (i.e., A-110, A-21, Agency-specific regulations)
- Rebudgeting provisions (i.e., allowed up to 10% or 20%, allowed if scope is not changed)
Is prior approval required on rebudgeting?
- Cost Sharing – Amount, source of match (i.e. F&A), account number where match will occur, timing of submission (i.e., monthly, quarterly, annually)
 - Special reporting requirements and frequency (i.e., technical/progress reports)
 - Special terms and conditions (i.e., specific requirements associated with equipment/travel)
 - Audit requirements
- Closeout reports submission deadlines (i.e., 30 days, 45 days, 60 days, 90 days)
- Is award subject to any of the following compliance areas:
 - Injury Prevention Program
 - Federally Regulated Drugs
 - Pathogenic Agents
 - Production of Medical Waste
 - Carcinogens
 - Radiation
 - Recombinant DNA
 - Vertebrate Animals
 - Human Subjects
- Review budget and identify object consolidations for proper appropriation and spending

- ❑ Verify F&A calculation
- ❑ Identify line items on budget which are exempt from F&A assessment:
 - Equipment
 - Graduate Student Fee Remission, Tuition and Health Insurance
 - Patient care/participant costs
 - Space rental and utilities
 - Subcontracts (F&A assessed on first \$25,000 - use object code “7301”; Greater than \$25,000 - use object code “7300”)
- ❑ Are there collaborating P.I.s (internal)? – Set up separate account
- ❑ Are there carry forward provisions on multi-year awards? Does the funding agency require a separate accounting of the expenses for each year? - It may be necessary to set up a separate account for each budget period
- ❑ Are there multi-campus awards? – Is Office of Research or Business Contracts preparing MCA?
- ❑ Are there subcontracts? – Is Office of Research or Business Contracts preparing contract agreement?
- ❑ Has P.I. been notified of all terms and conditions of award?

ESTABLISH EXPENSE ACCOUNT/PERSONNEL ACTIONS/BILLING IDs:

- ❑ Establish expense account number by clicking on the link in the e-mail from Kualu, or by searching for the Award and clicking on the “Create EX Account” link
- ❑ Complete Account document required fields (leave Account Expiration Date blank)
- ❑ Enter the UC Account Number that properly represents the Higher Education Function of agreement
 - 40 or 61 = Instruction
 - 42 = Teaching Hospitals
 - 43 or 60 = Academic Support
 - 44-59 = Research
 - 62 = Public Service
 - 64 = Maintenance of Physical Plant
 - 66 or 72 = Institutional Support
 - 68 = Student Services
 - 76 = Auxiliary Enterprises
 - 77-79 = Student Financial Aid
 - 80 = Agency Accounts
- ❑ Enter the PI as the Project Director on Account Document
- ❑ Establish/change appointment and distribution lines in PPS and set up Billing ID numbers
- ❑ Verify PI effort commitment in the on-line Effort Commitment System and enter any other commitments for Key Personnel
- ❑ Set up cost sharing commitment in the on-line Cost Share Tracking System if you receive the email indicating that the fund has been set up - If you do not receive an email but have a cost sharing commitment, contact the CGA Fund Manager
- ❑ Monitor cost sharing transactions monthly
- ❑ If Federal or Federal Flow Through, effort reports will be produced in the on-line Effort Reporting System and effort must be certified on an annual basis

REFERENCES:

Uniform Guidance (2 CFR 200)

http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl&mc=true

OMB Circular A-110; subpart .23 - Cost Sharing or Matching

http://www.whitehouse.gov/omb/circulars_a110

OMB Circular No. A-21, Cost Principles for Educational Institutions

http://www.whitehouse.gov/omb/circulars_a021_2004

Contract and Grant Manual

<http://www.ucop.edu/research-policy-analysis-coordination/resources-tools/contract-and-grant-manual/index.html>

Financial Compliance/Best Practices

http://afs.ucdavis.edu/our_services/contracts-e-grants/policies/compliance-best-practices.html

Documentation Requirements

http://afs.ucdavis.edu/our_services/contracts-e-grants/policies/doc-reqts.html

Cost Share Tracking System Instructions

<http://afs.ucdavis.edu/systems/cost-share-system/system-instructions.html>

UCOP Web Site for Research Policy Analysis and Coordination

<http://www.ucop.edu/research-policy-analysis-coordination/index.html>

UC Davis Administrative Policy and Procedure Manuals

<http://manuals.ucdavis.edu>