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 Kuali, 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

Financial Compliance/Best Practices

Documentation Requirements

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