### Sponsored Research Project Summary

**Institution Number:** 07-000229  
**Current Project Status:** Awarded  
**Status Date:** 03/11/2008  
**Prin Investigator:**  
**Admin Department:**  
**Project Title:** Choline availability and FASD  
**Sponsor:** SAN DIEGO STATE UNIV RSCH FDN (INCL HANSEN INST FOR WORLD PEACE)  
**Sponsor Code:** 9076  
**Sponsor Category:** 08-HIGHER ED  
**Original Sponsor:** NIH/MISCELLANEOUS AGENCIES & DEPARTMENTS  
**Orig Sponsor Code:** 3401  
**CFDA:** 93.273  
**Sponsor Program:** Unknown/Not Applicable  
**Funding Source:** Federal Funds through other University  
**PI Cancer Center Member:** No  
**Instrument Type:** Grant  
**Equipment:** No  
**Root Award No.:** 55047AP16607802211  
**Cost Sharing:** (Voluntary Committed)  
**Contact:** Chris Dye-Hixenbaugh  
**Phone:** 530-747-3913  
**Email:** cddye@ucdavis.edu  
**OP Account No.:** 440376  
**Type of Project:** Basic Research

### Award Budget Summary (07-000229)

**Project Period:** 09/01/2007 - 07/31/2008

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<th>Indirect</th>
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http://research.ucdavis.edu/ucdavisera/Summary1.cfm?MainPage=1

3/11/2008
FDP Subaward Agreement

Institution/Organization ("SDSU RESEARCH FOUNDATION")
Name: San Diego State University Research Foundation
Address: 5250 Campanile Drive
San Diego, CA 92162-1934

Institution/Organization ("COLLABORATOR")
Name: The Regents of the University of California
Address: University of California, Davis
One Shields Avenue
Davis, CA 95616
EIN No.: 1946036494A1

Prime Award No. 2 U24 AA014811-04
Subaward No. 55047A P1660 7802 21

Awarding Agency: Department of Health and Human Services, National Institutes of Health, National Institute on Alcohol Abuse and Alcoholism

Subaward Period of Performance
September 1, 2007 through July 31, 2008

Amount Funded this Action
$12,300

Est. Total

Terms and Conditions

1) SDSU Research Foundation hereby awards a cost reimbursable subaward, as described above, to Collaborator. The statement of work and budget for this subaward are shown in Attachment 5. In its performance of subaward work, Collaborator shall be an independent entity and not an employee or agent of SDSU Research Foundation.

2) SDSU Research Foundation shall reimburse Collaborator not more often than monthly, for allowable costs. All invoices shall be submitted using Collaborator's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. Invoices that do not include SDSU Research Foundation’s subaward number shall be returned to collaborator. Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Financial Contact, as shown in Attachment 3.

3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL," must be submitted to SDSU Research Foundation's Financial Contact NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Collaborator's final financial report.

4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Collaborator.

5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Project Director, as shown in Attachment 3. Technical reports are required as shown above, "Reporting Requirements."

6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact, as shown in Attachment 3. Any such changes made to this subaward agreement must be approved by the appropriate party's Authorized Official, as shown in Attachment 3.

7) Each party shall be responsible for its own acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.

8) Either party may terminate this agreement with thirty days written notice to the appropriate party's Administrative Contact, as shown in Attachment 3. SDSU Research Foundation shall pay Collaborator for termination costs as allowable under OMB Circular A-21, relocated to 2 CFR Part 220, or A-122, as applicable.

9) No-cost extensions require the approval of the SDSU Research Foundation. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachment 3, not less than thirty days prior to the desired effective date of the requested change.

10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment 2.

11) By signing below Collaborator makes the certifications and assurances shown in Attachments 1 and 2. Collaborator also assures that it will comply with applicable statutory and regulatory requirements specified in Appendix B of the FDP Operating Procedures found at: http://www.nsf.gov/home/grants/grants_fdp.htm.

By an Authorized Official of SDSU RESEARCH FOUNDATION:

Michèle G. Goetz, Director
Sponsored Research Administration

Date: 2/15/08

By an Authorized Official of COLLABORATOR:

Ahmed Hakim-Ellihi, Ph.D., J.D.
Director of Sponsored Programs

Date: JAN 30 2008

Version June 2004
Attachment 1
FDP Subaward Agreement

By signing the Subaward Agreement, the authorized official of COLLABORATOR certifies, to the best of his/her knowledge and belief, that:

Certification Regarding Lobbying

1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Collaborator, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Collaborator shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the SDSU Research Foundation.

3) The Collaborator shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U. S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less that $10,000 and not more that $100,000 for each such failure.

Debarment, Suspension, and Other Responsibility Matters

Collaborator certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

OMB Circular A-133 Assurance

Collaborator assures SDSU Research Foundation that it complies with A-133 and that it will notify SDSU Research Foundation of completion of required audits and of any adverse findings which impact this subaward.

Insurance

"Each Party hereby agrees to maintain a program of insurance and/or self-insurance that is both prudent and adequate to address any liabilities and/or obligations pursuant to this Agreement."
Attachment 2
FDP Subaward Agreement
NIH

Agency-Specific Certifications/Assurances

1. The following assurances/certifications are made and verified by Collaborator's Authorized Official on the face page of this Subaward. Descriptions of individual assurances/certifications are provided in Section III of the PHS 398: 1) Human Subjects; 2) Research Using Human Embryonic Stem Cells; 3) Research on Transplantation of Human Fetal Tissue; 4) Women and Minority Inclusion Policy; 5) Inclusion of Children Policy; 6) Vertebrate Animals; 7) Debarment and Suspension; 8) Drug-Free Workplace; 9) Lobbying; 10) Non-Delinquency on Federal Debt; 11) Research Misconduct; 12) Civil Rights (Form HHS 441 or HHS 690); 13) Handicapped Individuals (Form HHS 641 or HHS 690); 14) Sex Discrimination (Form HHS 639-A or HHS 690); 15) Age Discrimination (Form HHS 680 or HHS 690); 16) Recombinant DNA and Human Gene Transfer Research; 17) Financial Conflict of Interest; 18) Smoke Free Workplace; 19) Prohibited Research; 20) Select Agent Research; 21) PI Assurance.

General terms and conditions:

1. The restrictions on the expenditure of federal funds in appropriations acts are applicable to this subaward to the extent those restrictions are pertinent.
2. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
3. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the period of performance.
4. Collaborator assures, by signing this Subaward Agreement, that all Collaborator's personnel who are responsible for the design and conduct of projects involving human research participants have successfully completed their institutional training in accordance with the NIH Guide, Notice OD-00-039.
5. Federal Demonstration Partnership Phase IV and Agency Specific Requirements dated May 2003, and found at http://www.nsf.gov/home/grants/grants_fdp.htm, except for the following:
   a. The right to initiate an automatic one-time extension of the end date provided by Article 25(c)(2) is replaced by the need to obtain prior written approval from the SDSU Research Foundation;
   b. The payment mechanism described in Article 22 and the financial reporting requirements in Article 52 of the General Terms and Conditions and Article 9 of the Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this agreement; and
   c. Any prior approvals are to be sought from the SDSU Research Foundation and not the Federal Awarding Agency.
6. Title to equipment costing $5,000 or more that is purchased or fabricated with research funds or collaborator cost sharing funds, as direct costs of the project or program, shall unconditionally vest in the collaborator upon acquisition without further obligation to the Federal Awarding Agency subject to the conditions specified in Article 34(a) of the FDP General Terms and Conditions.
7. Carry over of an unobligated balance into the next budget period requires SDSU Research Foundation prior approval.
8. Treatment of Program Income: Other Research (Add/Deduct Option)

Special terms and conditions:

1. Copyrights
   Collaborator shall grant to SDSU Research Foundation an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward Agreement solely for the purpose of and only to the extent required to meet SDSU Research Foundation's obligations to the Federal Government under its Prime Award.

2. Data Rights
   Collaborator grants to SDSU Research Foundation the right to use data created in the performance of this Subaward Agreement solely for the purpose of and only to the extent required to meet SDSU Research Foundation's obligations to the Federal Government under its Prime Award.

Version June 2004
3. Cooperative Agreement Terms and Conditions of Award
This subaward is issued as a Cooperative Agreement, a financial assistance mechanism in which substantial NIH scientific and/or programmatic involvement is anticipated in the performance of the activity. This subaward is subject to the Terms and Conditions of Award as set forth in the SPECIAL REQUIREMENTS section of RFA/PA AA-07-004, Collaborative Initiative on Fetal Alcohol Spectrum Disorders (CIFASD) (U01 and U24), which are hereby incorporated by reference as special terms and conditions of this subaward agreement. This RFA may be accessed at: http://grants.nih.gov/grants/guide/index.html.

These special Terms and Conditions of Award are in addition to, and not in lieu of, otherwise applicable OMB administrative guidelines, Federal Regulations, including DHHS Grant Administrative Regulations at 42 CFR Part 52, 45 CFR Parts 74 and 92, and other DHHS, PHS, and NIH grant administration policies.

The administrative and funding instrument used for this program is a cooperative agreement (NIH U01 and U24), an assistance mechanism (rather than an “acquisition” mechanism), in which substantial NIH programmatic involvement with the awardees is anticipated during the performance of the activities. Under the cooperative agreement, the NIH purpose is to support and stimulate the recipients’ activities by involvement in and otherwise working jointly with the award recipients in a partnership role; it is not to assume direction, prime responsibility, or a dominant role in the activities. Consistent with this concept, the dominant role and prime responsibility resides with the awardees for the project as a whole, although specific tasks and activities may be shared among the awardees and the NIH.

4. Arbitration Process
Any disagreements that may arise in scientific and programmatic matters (with the scope of the award) between SDSU Research Foundation, Collaborator, National Institute on Alcohol Abuse and Alcoholism (NIAAA), and any other awardees that comprise the Collaborative Initiative on Fetal Alcohol Disorders (CIFASD) may be brought to arbitration.

An Arbitration Panel composed of three members will be convened. It will have three members: a designee of the Steering Committee chosen without NIH staff voting, one NIH designee, and a third designee with expertise in the relevant area who is chosen by the other two; in the case of individual disagreement, the first member may be chosen by the individual awardee. This special arbitration procedure in no way affects the Collaborator’s right to appeal an adverse action that is otherwise appealable in accordance with PHS regulations 42 CFR Part 50, Subpart D and HHS regulations 45 CFR Part 16.
Attachment 4
FDP Subaward Agreement

Reporting Requirements:

1. Collaborator's Project Director, shall provide a written progress report for the noncompeting renewal to the SDSU Research Foundation's Principal Investigator, Dr. Jennifer Thomas, no later than 90 days before the start date of the next budget period.
Scope of Work:

The goals of this project are to identify how dietary choline levels influence ethanol's teratogenic effects. The collaborators and his laboratory have the capacity to measure choline and choline metabolites in blood and other tissue. All of the tissue will be treated and collected at San Diego State University (SDSU) and tissue will then be sent to University of California, Davis for analyses. The group will be responsible for measuring choline and related metabolites for two experiments. The first experiment will determine if prenatal alcohol influences choline levels in the pregnant dam and fetuses. The group will measure choline, phosphatidylcholine, betaine, dimethylglycine, folate and homocysteine from 24 pregnant dams at 3 time points and fetuses at one time point (for a total of 96 samples). In addition, brains and livers will be collected from the dam and fetal pups (pooled) (for a total of 48 samples of each tissue type) and analyzed for choline, phosphocholine, glycerophosphocholine, phosphatidylcholine, sphingomyelin and betaine concentrations. The second experiment will examine the effects of dietary choline and ethanol on choline and related metabolite levels. In the second experiment, the group will measure choline, phosphatidylcholine, betaine, dimethylglycine, folate and homocysteine from blood samples from as well as choline, phosphocholine, glycerophosphocholine, phosphatidylcholine, sphingomyelin and betaine from the brains and livers of offspring from dams exposed to alcohol or control conditions as well as diets with varying levels of choline. This will include 72 blood samples, 144 brains, and 144 livers.

will abide by the following guidelines below when applicable:

"Principal Investigator Rights and Responsibilities"

The Collaborator's Principal Investigator will have the primary responsibility for defining research objectives, approaches and details of the project within the guidelines of the RFA and for performing the scientific activity. Specifically, collaborator has the primary responsibility as described below.

The Collaborator's Principal Investigator retains primary responsibility for the performance of the scientific activity, and agrees to abide by the policies and rules set up by the CIFASD consortium. This includes accepting the actions and recommendations approved by the Steering Committee. In addition, each Principal Investigator and Collaborator Principal Investigator agrees to accept close assistance in coordination, cooperation and participation of NIAAA staff in scientific and technical management of the project in accordance with the terms formally and mutually agreed upon prior to the receipt of this Subaward. The responsibility for the planning, direction and execution of the proposed research project or resource core will be solely that of the applicable Principal Investigator or Collaborator Principal Investigator. Each U01 and U24 project will receive a separate award or subaward, and the applicable Principal Investigator or Collaborator Principal Investigator will have control over the project's operating budget.

Collaborator will be required to participate in monthly conference calls and two Steering Committee meetings annually.

Collaborator will retain custody of and have primary rights to the data and software developed under this subaward, subject to Government rights to access consistent with current HHS, PHS, and NIH policies.

"NIH Responsibilities"

An NIH Project Scientist will have substantial programmatic involvement that is above and beyond the normal stewardship role in awards and/or subawards as described below.

The NIH Project Scientist will be an extramural staff person from NIAAA, who is a partner within the consortium representing the NIH's interest in the substantive work of the consortium. The primary role of the Project Scientist will include: 1) assist in all functions of the two Steering Committees as described in section 5 below; 2) provide advice and technical assistance; 3) recommend consultants for appointment to the Steering Committee as needed; 4) participate in monitoring progress of ongoing research; 5) assist in the analysis, interpretation, and reporting of findings in the scientific literature and to the community at large and the public policy community within the Federal government through various media. The NIAAA Project Scientist is subject to the same
publication/authorship policies governing all participants in the consortium, as well as to the official NIH
publication policy governing extramural employees.

The NIAAA Project Scientist will have full voting membership (one vote) on each Steering Committee and will
attend all meetings of the Steering Committees. The Project Scientist will provide liaison between the CIFASD
consortium, the Steering Committees, and the NIAAA.

Additionally, an agency program official or IC project director will be responsible for the normal scientific and
programmatic stewardship of the award. The program official will attend the Steering Committee meetings as a
non-voting member.

"Collaborative Responsibilities"

Scientific Advisory Panel
The CIFASD consortium will include an external scientific advisory panel whose purpose is to assess progress
and provide feedback to the clinical and basic research Steering Committees on the proposed goals of the
consortium each year. The panel will also advise the Steering Committees on research design issues and data
quality and analysis. The external advisors will be appointed by the Consortium Coordinator in consultation with
NIAAA staff. They will be research scientists not involved in the consortium.

Steering Committees
The CIFASD consortium will have two Steering Committees, one for the clinical research component and one
for the basic research component. These committees are the main governing board for their respective
components. Each committee develops collaborative protocols, sets research priorities, defines parameters for
study, identifies technological impediments to success and strategies to overcome them, and decides when data
and resources generated by the respective consortium component should be made available to the scientific
community. In addition, each Steering Committee will review the policies and procedures for oversight of the
consortium currently in place and amend them as necessary. The committees will also be responsible for
monitoring compliance with those policies and procedure.

Each Steering Committee is composed of the Consortium Coordinator or his/her designate, who serves as the
chairperson, the Principal Investigators of the relevant research project components and the core resource
facilities, and the NIAAA Project Scientist. Each Steering Committee may, when deemed necessary, invite
additional, non-voting scientific advisors to the meetings at which research priorities and opportunities are
discussed. The NIAAA also reserves the right to augment the expertise of the Steering Committee when
necessary, and to appoint additional NIAAA staff as non-voting members of the Steering Committee and any
subcommittees. Each Steering Committee may establish subcommittees to facilitate the planning and operation
of the respective consortium components.

Each Steering Committee will conduct monthly telephone conferences and will meet two times each year to
review progress and to set research priorities, modify goals or scientific directions of its respective research
component, integrate relevant new information, and discuss any proposed modifications to the scientific
approaches of individual projects. In addition, proposed new exploratory projects that are relevant to the
particular research component will be discussed and voted upon annually. The two Steering Committees may
meet jointly if the Consortium Coordinator deems that such a meeting is needed.

Each full member will have one vote. Collaborator members of the Steering Committee will be required to
accept and implement policies approved by the Steering Committee.
**DETAILED BUDGET FOR INITIAL BUDGET PERIOD**
**DIRECT COSTS ONLY**

**FROM 9/01/2007 TO 7/31/2008**

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<th>Acad. Mnths</th>
<th>Summer Mnths</th>
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**SUBTOTALS**

- Consulting Costs
- Equipment (Itemize)
- Supplies (Itemize by category)
  - Glassware, plasticware, column supplies, reagents for choline and choline metabolite analysis
- Travel
  - $5,760

**OTHER EXPENSES** (Itemize by category)

**CONSORTIUM/CONTRACTUAL COSTS**

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<th>CONSORTIUM/CONTRACTUAL COSTS</th>
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**TOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD**

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PHS 398 (Rev. 04/06)

Page 9
Justification:

PERSONNEL:

Principal Investigator will be responsible for general management and coordination of the analytical part of the research project. will also work with to interpret analyses of the nutritional data in accordance with the specific aims of the project. No salary is being requested for

Co-Investigator (effort = 0.24 calendar months). will be responsible for all aspects of the choline and choline metabolite, homocysteine, and folate analysis. will participate with to interpret analyses of the nutritional data in accordance with the specific aims of the project.

SUPPLIES:

We are budgeting approximately $7,200/year for supplies needed for the analyses of choline and choline metabolites, homocysteine and folate in maternal, fetal, and offspring plasma and tissues (brain and liver).
8. Effort Commitment — Please include all University of California, Davis investigators (principal, co-principal, collaborator, project director, etc.). For any investigator listed from the departments other than the one administering this project/study, please obtain and attach a letter of commitment signed by investigator and their department chair or dean (or both, if applicable). Attach separate sheet if necessary.

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<th>Effort Cost Shared on Project (%)</th>
<th>Total Effort Committed to Project (%)</th>
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9. Cost Sharing

- Yes
- No

Is Institution committing non-personnel costs toward this project? For guidance see http://accounting.ucdavis.edu/costsshare/whatis.cfm

Signatures

By signing below, I, the Principal Investigator/Project Director named in Section 2 above, certify to all of the items listed at the end of the instructions for completing this form (available at http://www.research.ucdavis.edu/home.cfm?id=OVC.3.1129) which include the following: (items 1, 2, and 3 below are in compliance with NIH NOT-OD-05-054, available at: http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-05-054.htm)

1. The information submitted within the proposal/application is true, complete and accurate to the best of my knowledge; and
2. Any false, fictitious, or fraudulent statements or claims within the proposal/application may subject me personally to criminal, civil, or administrative penalties; and
3. I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports to the sponsor if a grant is awarded as a result of the proposal/application, and
4. I will comply with sponsor and university policies and regulations, and
5. I have read, and I am or I will be in compliance with and abide by all the items included in the Data Sheet Instructions.

Principal Investigator/Project Director (required) 

1-18-2008

Date

I, the Dept Chair/Division Director, certify that the project falls within the scope of the unit and that approval is given to commit departmental personnel and resources to the project.

Administering Dept Chair/Division Director (required) 

1-18-2008

Date

Dean (if applicable)*

Date

Other (if required)

Date

Other (if required)

Date

* Dean’s signature is required only for the Schools of Medicine and Veterinary Medicine, and the College of Engineering.

Only original signatures are acceptable. Signature stamps, electronic, or digital signatures and “per” signatures should not be used.
CHECKLIST FOR ESTABLISHING EXTRAMURAL AGREEMENTS

Complete the 27 numbered items using the award documents. For today’s exercise you may skip the shaded items.

SUMMARY OF AWARD ATTRIBUTES:

DaFIS Account Number: ______________________
Fund Number: (1) _____________________
P.I.: _______________________________________
Awarding Agency: (2) ____________________________________________
Agency Award Number: (3) ________________________
Date of Award: Begin (4) ________________ End: (5) ____________________
Project Title: (6) ___________________________________________________________
Amount of Award: $ (7) ____________
Date final technical reports are due: (8) ____________
Extramural contact: _________________________________
Phone: ____________  E-mail: ________________________
(See Extramural Web Site:  http://accounting.ucdavis.edu/EX/ ; Our Staff/Contact list by fund number/fund type)

REVIEW AWARD AND HIGHLIGHT PERTINENT INFORMATION:

- Award number (9)
- Agency name and address (10)
- Agency contact, telephone number and/or e-mail address
- Principal Investigator (P.I.)
- Award project period (11)
- Award budget period (if different from project period)
- Are these Federal or Federal Flow Through funds? (12) ________ What is the CFDA number? (13) ______________     http://aspe.os.dhhs.gov/cfda/index.htm
- Invoicing/reporting provisions (i.e., format, frequency) (14)
- Regulatory guidelines (i.e., A-110, A-21, Agency-specific regulations) (15)
- Rebudgeting provisions (i.e., allowed up to 10% or 20%, allowed if scope is not changed) Is prior approval required on rebudgeting? (16) ___________________
- Cost Sharing – Amount, source of match (i.e. F&A), account number where match will occur, timing of submission (i.e., monthly, quarterly, annually) (17)
- Special reporting requirements and frequency (i.e., technical/progress reports) (18)
- Special terms and conditions (i.e., specific requirements associated with equipment/travel) (19)
- Audit requirements (19) ______________________________
- Closeout reports submission deadlines (i.e., 30 days, 45 days, 60 days, 90 days) (20) __________________
Is award subject to any of the following compliance areas: (21) 
- 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 (22) 

Verify F&A calculation (23) 

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)? (24) __________ – 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 (25) 

Are there multi-campus awards? – Is Office of Research or Business Contracts preparing MCA? (26) 

Are there subcontracts? – Is Office of Research or Business Contracts preparing contract agreement? (27) 

Has P.I. been notified of all terms and conditions of award?

**ESTABLISH DAFIS ACCOUNT/PERSONNEL ACTIONS/BILLING ID’S:**


Does OP account number properly represent 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**
  - Cite P.I. on Account Maintenance Document
  - Complete “Award” fields on C&G screen (Award Number, Award Amount, and Award Beginning and End Date)
  - Establish/change appointment and distribution lines in PPS and set up ID numbers
  - Verify effort commitment in the on-line Effort Commitment System
  - 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 Extramural
  - 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:**

OMB Circular A-110; subpart .23 - Cost Sharing or Matching, [http://www.whitehouse.gov/omb/circulars/a110/a110.html](http://www.whitehouse.gov/omb/circulars/a110/a110.html)

OMB Circular No. A-21, Cost Principles for Educational Institutions, [http://www.whitehouse.gov/omb/circulars/a021/a021.html](http://www.whitehouse.gov/omb/circulars/a021/a021.html)


UCOP Web Site for Research Administration [http://www.ucop.edu/raohome/](http://www.ucop.edu/raohome/)
