

UCD AS SUBRECIPIENT INFORMATION FORM

Subrecipient Legal Name: The Regents of the University of California on behalf of its Davis Campus

Subrecipient Address: University of California, Davis
Office of Research, Sponsored Programs
1850 Research Park Drive, Suite 300
Davis, CA 95618

Email Address to Send Subaward Documents: awards@ucdavis.edu

Subrecipient Fiscal Year Ends (Month): June

Subrecipient Duns Number: 04-712-0084

Subrecipient EIN Number: 94-6036494

Section A - Certifications (check all that apply)

- 1. Is subrecipient a Historically Black College or University (HBCU)?
2. Is subrecipient a for-profit entity?
3. Classification: 501(c) non profit educational institution
4. Does Subrecipient have a Federal Cognizant Audit Agency?
5. Does Subrecipient negotiated Federal Facilities and Administrative Rate?
6. Does Subrecipient negotiated Federal Fringe Benefit Rate?
7. Does Subrecipient have a formal written policy regarding:
Pay Rate and Benefits?
Time and Attendance?
Leave?
Discrimination?
Travel?
Purchasing Procedures?
Conflicts of Interest?
PHS COI Compliance?

Section B - Federal Funding Accountability and Transparency Act (FFATA)

1. Location of Subrecipient (City, State, Congressional District, and Country):

Davis, California
District 003

2. Officers:

Provide the names and total compensation below of each of the five most highly compensated officers for the calendar year in which the subaward will be awarded if—

- A. In the subawardee's preceding fiscal year, the subawardee received—
i. 80 percent or more of its annual gross revenues in Federal Contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements; and
ii. \$25,000,000 or more in annual gross revenues from Federal contracts (and subcontracts), loans, grants (and subgrants) and cooperative agreements.
B. The public does not have any access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

\*\* Check this box if the above does not apply

Section C - American Recovery and Reinvestment Act (ARRA) and FFATA

1. Central Contractor Registration

Yes, I am currently registered in the Federal Government's Central Contractor Registration (CCR)

**Financial Management Systems Questionnaire:**

**Organizational Data**

Name of Organization: The Regents of the University of California

Address: Office of the President, 1111 Franklin Street, 10<sup>th</sup> Floor, Oakland, CA 94607-5200

Employer Identification Number (EIN): 94-6036494 DUNS Number: 04-712-0084

Organization Type:  Non-Profit  For Profit  Educational  State/Local Govt.

===== Financial Statement Audit Data =====

Date of Last Financial Statement Audit: October 2015

Fiscal Period Audited: 07/01/14 - 06/30/15

URL Link: <http://www.ucop.edu/financial-accounting/financial-reports/a-133-audit-reports.html>

===== Accounting System Data =====

What books of account are maintained?

General Ledger	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	Cash Receipts Journal	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Project Cost Ledger	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	Payroll Journal	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Cash Disbursements Journal	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No			

Does the accounting system provide for the recording of grant/contract costs according to categories of the approved budget?  Yes  No

Does the system identify the receipt and expenditure of funds separately for each grant or contract?  Yes  No

Does the system provide for the recording of cost sharing/matching for each project, and ensure that documentation is available to support recorded cost sharing/matching?  Yes  No

Does the system provide for the recording of participant support costs as a separate cost category?  Yes  No

===== Timekeeping System Data =====

Are time distribution records maintained for each employee to account for his/her TOTAL effort (100%)?  Yes  No

Is your organization familiar with the time and effort reporting requirements related to Federal awards made to your type organization?  Yes  No

===== Purchasing System =====

Are asset inventory records maintained?  Yes  No

Does your organization have policies relating to buy/lease analysis and competitive purchases over \$25,000?  Yes  No

What is the dollar threshold for capitalization of equipment? \$5,000

===== Funds Management =====

Is a separate bank account maintained for Federal grant/contract funds?  Yes  No

If a separate bank account is not maintained, can the Federal grant/contract funds and related expenses be readily identified?  Yes  No

Does your organization have procedures in place to minimize the time elapsing between the transfer of funds to your organization by a Federal agency and your organization's expenditure of such funds?  Yes  No

**Certification of Compliance A-133:**

Does the subrecipient receive an annual audit in accordance with OMB Circular A-133  Yes  No

Has the audit been completed for the most recent fiscal year?  Yes  No

**CERTIFICATE OF COMPLIANCE WITH OMB CIRCULAR A-133**

Please fill out with using your most recent completed audit

For fiscal year ended 06/30/15, the administration of Federal projects at this institution has been audited in accordance with the requirements of OMB Circular A-133.

1. Check the statement that applies:

- There were no material instances of noncompliance with federal laws and regulations and there were no reportable conditions.
- Material noncompliance issues and/or reportable conditions were noted in the A-133 audit report. A copy of the report and our responses are enclosed.

2. Were any audit findings reported?  Yes  No

Please see the attached Notification to Pass Through Entities Letter

3. If reportable conditions or findings, please attach a copy of subrecipient's most recent audit report, or the Internet URL link to a complete copy.

Attached; or internet URL link:

<http://www.ucop.edu/financial-accounting/financial-reports/a-133-audit-reports.html>

Comments:

I certify to the best of my knowledge and belief that the foregoing statements are true and accurate.

**See the attached Notification to Pass Through Entities Letter**

Name (Typed)

Title (Typed)

The Regents of the University of California, Davis  
Institution

Signature

Date