

## UAH OVPRED RISK MEMO PROCEDURE

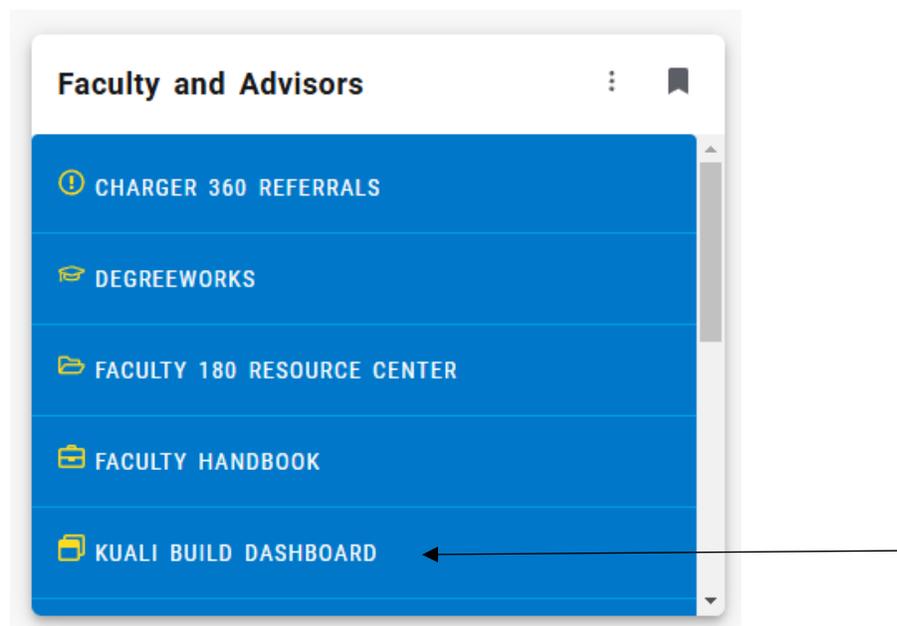
A situation may arise during the course of a contract or grant where work and/or expenditures may be necessary to fulfill obligations of a project while putting university funds at risk. Examples include, but are not limited to, the following: continuing to work past a contract end date with a contract extension request in place; issuing a letter of authorization to a subcontractor; ordering un-proposed equipment without prior agency approval; submitting expenditures against an account with a deficit balance pending receipt of additional funds; or opening an account prior to receipt of the award document and funding. In any circumstance such as these, the university cannot proceed without a risk memo stating that in the event that the agency action does not take place, expenses incurred at risk will be paid from non-contract/grant funds. Risk memos should be used judiciously.

### HOW TO SUBMIT A RISK MEMO IN KUALI BUILD

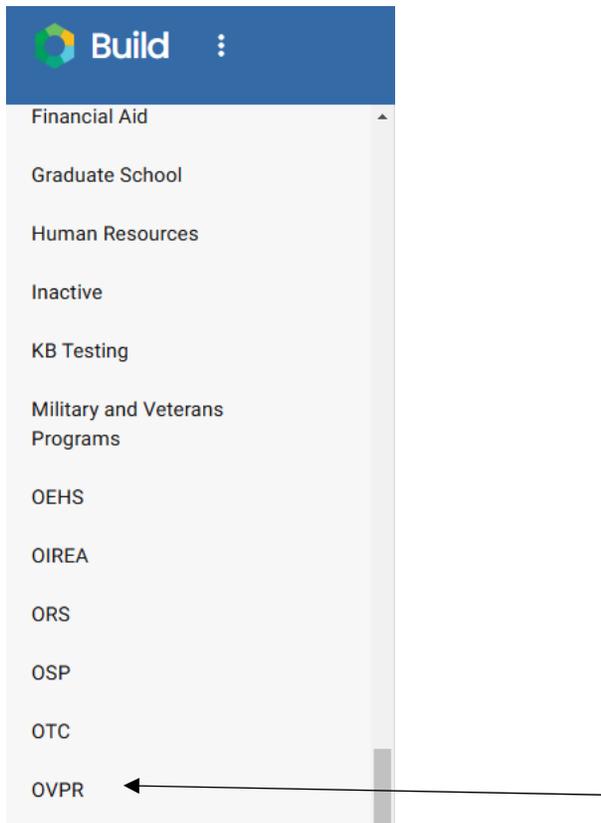
**Form is Live on 1/29/2025 – no paper pdf forms accepted after this date unless RM already in process**

Start by logging into my.uah.edu using single sign on.

On the Faculty and Advisors tile, click [Kuali Build Dashboard](#).



Click on the OVPR section:



Find the Risk Memo form, hover over it, so you can click the heart icon in the top left. This will allow the form to appear in your Favorites so it's easier to locate in the future.



Click to open the form.

The form will pre-populate with your information since you are logged in using Single Sign On.

**Request Type:** The first question is Risk Memo for a Pending research grant/contract account OR Risk Memo for an Existing research grant/contract account.

Select **Pending** if you have submitted a proposal, have been notified of an award, but need to get the org set up before the award documents are received from the sponsor and the terms and conditions are negotiated.

Select **Existing** if you already have an org # in Banner with the project set up.

---

## PENDING ACCOUNT

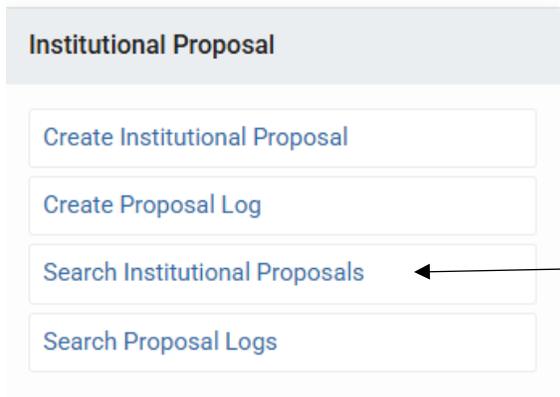
### Risk Request:

Select either **Initial Request** – Select this option if this is the first request to set up a research contract or grant at-risk on this proposal.

or **Second 90-day Extension** – Select this option if your initial request is expiring and you wish to extend the amount of time the project is at risk.

### Enter Institutional Proposal Number

For those of you with Kualu Research access, you can look up the 8-digit institutional proposal number.



If you do not have access to Kualu Research, ask your Contract Administrator for this proposal number for the Risk Memo form. The Project Title, PI, PI email will be pre-populated now.

### Risk Period Start Date:

Typically, this will be today's date. In some cases, you may want to back date the risk period to the authorized spending date given to you by your sponsor.

### Risk Period End Date:

Normally, this should be 90 days after the risk period start date. It can exceed 90 days if the reason you are putting the account on risk is to cover an entire semester for a GRA offer letter. If a GRA letter is the reason, please note that.

### Risk Amount (in USD):

Dollar amount you would like to put on risk. The amount at risk cannot exceed the balance in the Risk Org.

### Enter Risk Org to be used if funding sponsor does not cover risk amount:

This is a state funded org that will be charged if the funding sponsor does not cover your spending at risk. It cannot be a cost share or sponsored org.

### Please type and select the Budget Unit Head of the risk org:

Begin typing an employee's name, then select their name from the list.

Please select Division to which the risk org belongs:

If you are unsure, which Division the risk org falls under, consult with the Resource Manager of your unit (College or Research Center). Select any sub-departments that appear.

Enter Risk Org account title:

Provide the name of the Org account (for example "Biology Department" or "SMAP Center").

Current balance in Risk Org (in USD):

Perform a Banner Budget Query as of period 14 in the current fiscal year and enter the account balance on the form

FY25/PD14 Year to Date	FY25/PD14 Encumbrances	FY25/PD14 Reservation	FY25/PD14 Available Balance
------------------------	------------------------	-----------------------	-----------------------------



Amount currently at risk on Risk Org (in USD):

Leave blank. This will be filled in by OVPRED Budget Office upon review of the risk memo.

#### SUPPORTING DOCUMENTATION

Please add any relevant documentation for your request.

Attach documents, pdfs of emails, budget queries or anything to support your request. You can even leave comments/notes in the File description field. A justification for the risk memo is required.

At the end of the risk period, if the agency has not provided funding:

- (1) The related expenses will be charged to the Risk Org by C&G Accounting, and
- (2) The C&G Research Org will be frozen.

Should the agency provide the funding after the Risk Org has been charged, OSP will notify C&G Accounting to reverse the journal entry to the Risk Org.

---

## EXISTING ACCOUNT

Does this account have a previously approved Risk Memo?

Select either Yes or No

Enter 11-digit Research Account Number

Ex. 845xxx2Dxxx – You can look this up by doing a [Banner Budget Query](#). Once you type the Org # in the Index field, the fund number appears in the query screen. Combined, this is the 11-digit Research account number. Org number followed by Fund number with no spaces in between.

The screenshot shows a 'Create New Query' form with several fields. A callout box points to the 'Index' dropdown menu, stating: 'Type the Org# in the index field in a Banner Budget Query and the Fund number will auto populate.' An arrow points to the 'Fund' dropdown menu, which currently shows 'Choose Fund'. The 'Organization' dropdown menu shows 'Choose Organization'. The 'Chart' field is set to 'H The University of AL in Huntsville'.

The Project Title, PI, PI email will be pre-populated now.

Account POP Start Date:

If you have access to the [PI Dashboard](#), this date can be found there.

ORGN	TITLE	START DATE	END DATE
------	-------	------------	----------

Account POP End Date:

The Project Period of Performance End Date can also be found in the [PI Dashboard](#).

ORGN	TITLE	START DATE	END DATE
------	-------	------------	----------

Risk Period Start Date:

Typically, this will be today's date. In some cases, you may want to back date the risk period to the authorized spending date given to you by your sponsor.

### Risk Period End Date:

Normally, this should be no more than 90 days after the risk period start date. If more time is needed, a second risk memo must be completed and submitted for approval prior to the end of the first risk memo. Exception: It can exceed 90 days if the reason you are putting the account on risk is to cover an entire semester for a GRA offer letter. If a GRA letter is the reason, please note that in the Supporting Documentation section.

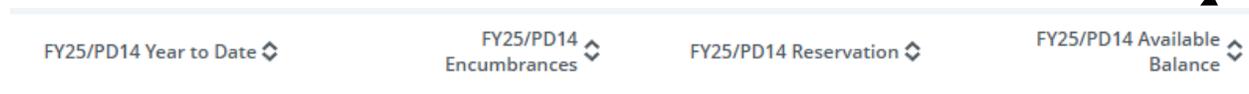
### Current balance in Research Account (in USD):

You can find this information either from the [PI Dashboard](#):



ORGN	TITLE	START DATE	END DATE	PI	FUND	BUDGET	EXPENSE	ENCUMBRANCES	AVAILABLE
------	-------	------------	----------	----	------	--------	---------	--------------	-----------

OR by performing a [Banner Budget Query](#) as of period 14 in the current fiscal year and enter the account balance on the form



FY25/PD14 Year to Date	FY25/PD14 Encumbrances	FY25/PD14 Reservation	FY25/PD14 Available Balance
------------------------	------------------------	-----------------------	-----------------------------

### Please select applicable box(es):

- Pending No Cost Extension** – Choose this box if working past the contract end date with a contract extension request in process. Include the amount at risk; this amount cannot exceed the current balance available in the Research Org.
- Pending Additional Funds** – Choose this box if expecting expenditures against an account with a deficit, or anticipated deficit, pending receipt of new funds. Include the Amount of Overrun Allowed with the additional funding expected.
- Pending Additional Funds and Extension of POP** – Choose this box if working past the contract date and additional expenditures will produce a potential deficit. Include the Amount of Overrun Allowed with the additional funding expected.
- Pending approval for specific expense** – Choose this box if the item to be purchased is not in the original budget. List the item to be purchased and the expected amount of the purchase. The item must be received or the event must have occurred (if travel or labor charges) by the end of the award. Check with your Contract Administrator to see if approval to purchase the unbudgeted item is needed from the Sponsor.
- Second 90-day extension of risk period** – Choose this box if an existing risk memo is about to expire or has expired and you wish to extend the amount of time the project is at risk.
- Fixed Price Award Overrun** – Choose this box if estimated costs on a fixed price award will exceed the amount of the award due to an increase in LLS between the time the proposal was submitted and the receipt of the award. Include the amount of the expected overrun.
- Materials and Supplies or Equipment in last 60 days of POP** – Choose this box if purchasing materials and supplies OR equipment during the last 60 days of an award. Include the amount of the purchases as the amount at risk. All items must be received by the end of the award. If not received by the end of the award, the charges will be moved to the risk org. **Attach a justification memo explaining why the purchase is required so close to the end of the award and how it will directly benefit the project.** The justification memo will be submitted by OSP to the sponsor's contracting officer (not technical officer) for approval.

### Risk Amount (in USD):

Typically, you will not want to exceed the current balance in the Research Account unless you are expecting additional funding. If the additional funding does not materialize, any charges made while the account was on risk will be transferred to the state funded risk account below. In all cases, the risk amount cannot exceed the balance in the risk org.

### RISK ACCOUNT

Enter Risk Org to be used if funding sponsor does not cover risk amount:

This is a state funded org that will be charged if the funding sponsor does not cover your spending at risk. It cannot be a cost share or sponsored org.

Please type and select the Budget Unit Head of the risk org:

Begin typing an employee's name, then select their name from the list.

Please select Division to which the risk org belongs:

If you are unsure, which Division the risk org falls under, consult with the Resource Manager of your unit (College or Research Center). Select any sub-departments that appear.

Enter Risk Org account title:

Provide the name of the Org account (for example "Biology Department" or "SMAP Center").

Current balance in Risk Org (in USD):

Perform a Banner Budget Query as of period 14 in the current fiscal year and enter the account balance here.

Amount currently at risk on Risk Org (in USD):

Leave blank. This will be filled in by OVPRED Budget Office upon review of the risk memo.

### SUPPORTING DOCUMENTATION

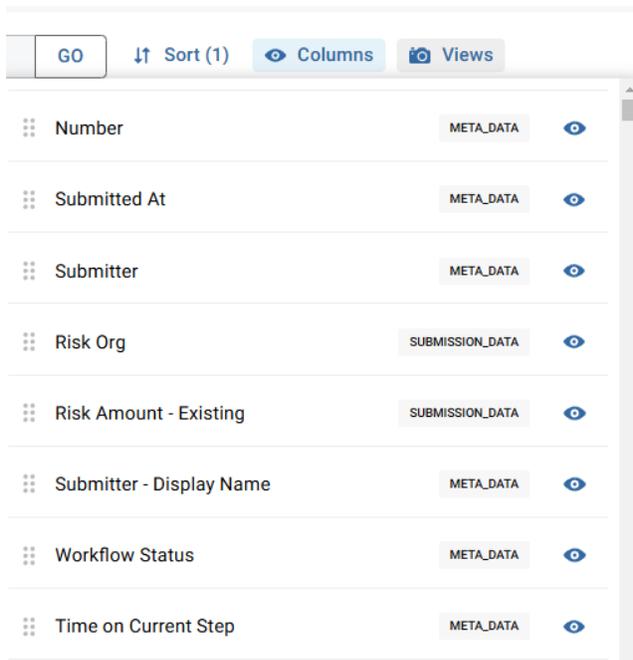
Please add any relevant documentation for your request.

Attach documents, pdfs of emails, budget queries or anything to support your request. You can even leave comments/notes in the File description field. A justification for the risk memo is required.

---

## TO CHECK THE STATUS OF A KUALI BUILD FORM

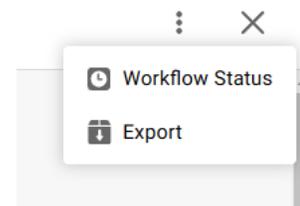
First, know that you can click on the View Columns icon to customize the columns you see in the workflow. Click the View icon on and off to add or remove columns from your view.



Then you can see the status of any form you have submitted with the columns you want to view.

Number	Submitted At	Submitter	Risk Org	Risk Amount - Existing	Submitter - Display Name	Workflow Status	Time on Current Step
0008	January 27, 2025	Shurtz, Teresa	600003	\$1,000.00	Shurtz, Teresa	IN PROGRESS	less than a minute
0007	January 27, 2025	Shurtz, Teresa	600003		Shurtz, Teresa	IN PROGRESS	Principal Investigator Review 4 minutes
0005	December 18, 2024	Rodgers, Jessica	600009		Rodgers, Jessica	WITHDRAWN	Risk Org Budget Unit Head Review
0002	December 10, 2024	Sandlin, Duane	123456		Sandlin, Duane	COMPLETE	
0001	December 10, 2024	Sandlin, Duane	123456		Sandlin, Duane	COMPLETE	

If you open a form by clicking on it, then selecting the 3 dots icon in the upper right hand corner, you can view the Workflow Status to see which approver is next in the queue.



The Action List is all of the Kuali Build forms that you need to review and approve. The My Documents list is all Kuali Build forms that you have personally submitted.

