EX FORM CHECKLIST

Rice Policy 302, Cost Transfers, and related procedures require that cost transfer requests be timely, well-documented and properly approved. Additionally, the procedures call for such requests to be submitted on a properly completed EX form.

From President's Office website, University Policies Section:

> Rice Policy 302, Cost Transfers
> http://www.professor.rice.edu/professor/Cost_Transfers1.asp?SnID=1345842402

From Controller's Office website:

> Cost Transfer Procedures (Research and Cost Accounting Section, Guidelines and Procedures)
> http://www.professor.rice.edu/professor/Guidelines_and_Procedures.asp?SnID=1632667170#CostTransfers
> Sample Cost Transfer Justifications (Forms Section, Research and Cost Accounting Forms)
> http://www.professor.rice.edu/images/professor/controllers/Cost%20transfer%20justification%20samples.pdf
> EX form and instructions (Forms Section, Current Funds Forms)
> http://www.professor.rice.edu/professor/Forms9.asp?SnID=1632667170#currentfunds

☐ **WHICH FORM TO USE?**

☐ **EX Form**: Expense and Revenue Correction Form.
EX Form is to correct previously posted non-salary transactions. Non-salary Cost Transfers require the EX Form.

☐ DT Form: Interdepartmental Transfer Form.
DT Form is used for original posting of internal sales from one Rice department to another.

☐ Budget Transfer Memorandum: This form is used to change a budgeted amount in A1 or move a pre-determined amount or transfer cash between funds. It cannot be used for R Funds.

☐ Rebudgeting Request: Research Funds Form: This form is used to rebudget R Funds within the same project.

☐ **HAS THE LATEST VERSION OF THE EX FORM BEEN USED?**
IF NO, download the form from the above website.

IF YES, complete the form, being sure to provide all needed information, including:

☐ An 8-digit EX number assigned by the department. Possibilities include: (1) assigning the first 3 digits of the department code or abbreviation and then using a sequential number (e.g., EX987001, EX987002, etc. or EXADM503, EXADM504, etc.); or (2) using user initials and then assigning a sequential number (e.g., EXJD0049, EXJD0050, etc.).

☐ DOC REF column completed for all lines, using Banner document # for transaction being corrected.

☐ A description for all lines consistent with the transaction being corrected.

☐ For the transaction(s) being corrected, a copy of the Banner posting(s) or a transaction download attached.
(Note: It is helpful to indicate the transaction(s) with a check mark, as highlighting does not copy/scan well.)

☐ Each transaction being recoded listed individually. (To move partial charges from/to an R fund, reverse the total amount of the original transaction and then use two or more lines to enter the revised distribution of the total.)

☐ A reason for the cost transfer that complies with the Cost Transfer Policy, Procedures and Instructions.

☐ Explanation of how the error occurred.* Examples: (1) why the expense was originally charged to the fund from which it is now being transferred; (2) what has changed (e.g., events, circumstances, etc.) that initiated the request.

☐ Explanation of how the charge directly benefits the R fund receiving the charge*.

> *A generic statement such as "to correct error" is insufficient. The explanation should describe what is known now that wasn't known at the time of the original charge.

☐ **IS THE REQUEST BEING SUBMITTED LATER THAN 90 DAYS AFTER THE END OF THE MONTH IN WHICH THE CHARGE POSTED OR LATER THAN 30 DAYS AFTER THE END OF THE PROJECT?**
IF YES, THEN EX FORM ALSO NEEDS:

☐ Signature of the chair. (If for more than one department, the signature of each chair is needed.)

☐ A reason for the delay in processing the request.

☐ Description of what steps are being taken to prevent a similar occurrence.