



**Step by Step:
Award Management
for Faculty and Department Staff**



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Introduction

This document addresses how faculty and departments will manage awards within the START system on a day-to-day basis. It also describes where proposal and award information is located.

System Support Contact Information:

For Technical Support: Systemsreporting@uth.tmc.edu

For Functional Support: your SPA Specialist

Department Action Items

Award Management begins after a proposal or agreement has been submitted and occurs in the Proposal Tracking (PT) module.

Record Number	Record Type	Record Owner	Record Title	Record Status
SR3549	Subrecipients	Contact, Primary	Cooper Medical School of Rowan University	Compliant
SR2549	Subrecipients	Contact, Primary	Federal Aviation Administration/DOT (FAA)	New-Requires Vetting
P000549	Proposal Development	Investigator, Corey	Dept 8 - Corey Investigator R21 Change Request	Active
AWD-P000549	Proposal Tracking	Eli	Toby Admin testing - MB	Award created

- Submissions (1)
- New/Original
- Summary
- Sponsor
- Personnel (3)
- Budget
- Agreements (0)
- Communications (14)
- Attachments (8)
- Approvals (1)
- Status History (18)
- Alerts/Reminders (3)
- Snapshot
- Assignments
- Distribution Groups
- Access
- Add New PT
- Add New PD
- Admin Staff (1)
- Agreements (0)
- Awards (2)
- Approvals (1)
- Linkages
- Deliverables (3)
- Scheduled Payments (0)
- Keywords (0)
- Classification Codes (0)
- Communications (14)
- Activity Log (0)
- Attachments (8)
- Contacts (8)
- Alerts/Reminders (3)
- Performance Sites (2)
- Locations (0)
- Calendar
- Work Flow
- COI Projects (0)
- Tasks (1)

There are many tabs available in Proposal Tracking. The tabs you can see depends on your security role. Most tabs are view only to faculty and staff with the following exceptions:

- Status History:** Changing status history is used to trigger several actions within the system such as initiating a change request to the project and submitting items to SPA.
- Deliverables:** Mark a deliverable as completed/submitted and attach a copy of the report as well as “proof of submission” such as an email receipt or sponsor system generated message.
- Attachments:** Attach various documents to a record to submit them to SPA or just to retain as associated with the record.
- Contacts:** Add internal and external contacts as needed to associate them with the record and them communicate with them from within the system
- Tasks:** Assign a task related to the project to anyone at any time and track its completion
- Communications:** Send emails internally or externally from within START. All communications are retained within START. Emails are “fetched” by the system. Emails are “fetched” by the system from SPA email boxes and attached to the record.

Communications

See *System Navigation and Basic Functions*, page 29

Status History (Submitting Change Requests to SPA)

Status history will be updated by the departments to accomplish a variety things, predominately to submit items to SPA and to request changes to an award. The table below includes a list of items along with what needs to be submitted to SPA with the request.

Status History "Status"	Description	Submit with Status History Change
Notice Received (only available when proposal is in submitted status and not yet awarded. Active: Change Requested When the award is active.	Correspondance from the sponsor that requires action by SPA (Notice of Award, Termination letter, approval of a request, etc.)	Attach a copy of the correspondance.
JIT Requested	Just in time information prior to receiving an award.	Generally SPA receives these requests from NIH, DOD and CPRIT so SPA will initiate the JIT request. However, if the PI/Department receives the request, the department can initiate the status history change. Attach a copy of the JIT request from the sponsor.
Guarantee Requested	Department wishes to establish a project number prior to receiving a notice of award.	<i>For initial request for a new/pending award only.</i> (See Tasks, page 7, for subsequent guarantee requests.) Attach completed guarantee request form and any supporting information from the sponsor.
Not Submitted	PI has opted not to submit a grant proposal that has been reviewed and approved by SPA.	<i>For proposals to be submitted by Dept/PI only.</i> No documentation needed by SPA.
Active: Change Requested	No Cost Extension (1 st NIH)	Include: <ol style="list-style-type: none"> # of months to extend (1–12) Scientific justification for the extension Any revised/reduced effort for key personnel for the extension period
Active: Change Requested	No Cost Extension (all others)	Draft letter to sponsor requesting the extension. Include in the letter: <ol style="list-style-type: none"> Justification for extension Revised end date What will be accomplished during the extension period Why work was delayed Balance of funds remaining (direct and indirect) Budget for the extension period Description of costs that will be covered by department in the extension period
Active: Change Requested	Carry Forward	<i>Only when sponsor approval is needed.</i> Draft letter to sponsor requesting the carry forward. Include in the letter: <ol style="list-style-type: none"> Remaining balance, direct and indirect (and in which year) Why work was delayed

		<ol style="list-style-type: none"> 3. How the funds will be used in the current grant year (vs. current grant year award). 4. A budget (if required by sponsor)
Active: Change Requested	Rebudget	<p><i>Only when sponsor approval is needed.</i> Draft letter to sponsor requesting the rebudget. Include in the letter:</p> <ol style="list-style-type: none"> 1. Funds to be rebudgeted (to and from which cost categories) 2. Justification for the rebudget 3. What work will be accomplished that was not previously included in the budget as proposed 4. Why funds are available in the “from” category to be rebudgeted
Active: Change Requested	PI/Key Personnel Change	<p>Draft letter to sponsor requesting the PI/Key Personnel Change. Include in the letter:</p> <ol style="list-style-type: none"> 1. Current and proposed level of effort 2. Reason for the change 3. If a reduction of effort, how and to whom work will shift to accomplish the aims of the project. 4. A revised budget (as needed) <p>**CPRIT requires prior approval for all personnel effort changes. Complete the CPRIT PLOE form via the CPRIT grant system. This may also result in a revised budget request.</p>
Active: Change Requested	Change of PI or absence of PI for > 3 months.	<p>Draft letter to sponsor requesting the PI Change. Include in the letter:</p> <ol style="list-style-type: none"> 1. Reason for naming a new PI/interim PI 2. If there will be any delays or negative impact to the work. 3. Revised budget as needed. 4. Attach biosketch and updated other support for new PI
Active: Change Requested	MPI to Single PI or Single PI to MPI	<p>Draft letter to sponsor requesting the PI Change. Include in the letter:</p> <ol style="list-style-type: none"> 1. Reason for the PI change 2. How the work will be redistributed 3. Revised budget (if needed) 4. MPI plan (if moving to MPI model) 5. Biosketch and other support of any new key personnel
Active: Change Requested	Scope of Work Change	<p>If the PI wishes to change the direction, aims, objectives, or purpose of the research the PI needs to first consult with the sponsor’s program officer. For NIH, items considered a Change in Scope (NIH grants policy statement, section 8.1.2.5) are described on NIH’s website.</p> <p>Submit to SPA the information requested by the program officer. This will typically include a formal letter of request.</p>
Active: Change Requested	Add a subaward, subproject or site-out agreement	<p>Provide details for the subaward/site-out:</p> <ol style="list-style-type: none"> 1. Subrecipient institution and PI

		<ol style="list-style-type: none"> 2. Dates of subaward 3. Budget and justification 4. Scope of work 5. Subrecipient contacts (PI and administrative) <p>Note: if the addition of a subaward or site out requires sponsor approval and/or a rebudget of funds, include this information with the change request and provide the required documents/information as indicated in this table.</p> <p>For a subproject:</p> <ol style="list-style-type: none"> 1. PI and Department for the subproject 2. Budget and justification including effort. 3. Rebudget to/from information <p>Note: Subprojects will only be created under the following circumstances:</p> <ol style="list-style-type: none"> 1. Different UTHealth School 2. Subproject PI will dedicate $\geq 10\%$ effort to the project and there are other personnel and costs associated with the subproject.
Active: Change Requested	Relinquishment/Termination	<p>Any relinquishment of a grant award must first be discussed with and approved by the Executive Vice President and Chief Academic Office in consultation with the department chair. This shall occur prior to any communication with the grant sponsor.</p> <p>PI's leaving the institution shall complete the Principal Investigator Separation Checklist found on the Office of Research website.</p> <p>Upon obtaining approval to relinquish a grant, provide the date of relinquishment and a copy of the written approval.</p>

To initiate a change request, navigate to the status history tab and select "Active: Change Requested" from the dropdown. Add comments summarizing the change and attach (via the attachments tab) documentation as outlined in the table above. Be sure to give the attachment a meaningful name so that it can be easily identified. Select the Draft Folder. (The Draft folder is for documents that will not be saved to UTHealth's document warehouse, Documentum.) The final, signed letter will be placed in the Final folder by SPA.

The screenshot shows a software interface with a sidebar on the left containing various tabs. The 'Status History (18)' tab is highlighted with a red box. The main window displays the 'Status History' section, which includes a dropdown menu for 'Status' with 'Active: Change Requested' selected. A red arrow points to this selection. Below the dropdown is a table with columns for STATUS, DATE, RECORDED DATE, and RECORDED BY. The table contains several rows of data, including comments and dates.

Status History also provides a complete list of every action taken on the project, by whom and when. In order to see if there are any open/outstanding actions, Click on the Assignments tab to see who currently has the assignment. Assigned tasks do not appear in the assignment tab. Tasks remain in the tasks tab.

Deliverables

The Deliverables tab includes a list of all the reports that need to be provided to the sponsor throughout the life of the project as well as due dates.

DUE	REPORT NAME	CATEGORY	FORM	TEMPLATE	OPEN	DELETE	FREQUENCY	COMPLETED / SUBMITTED	STATUS
16-Jul-2019	PROGRESS_YR 1	Progress	RPPR				Annual	/	n/a
28-Dec-2020	FSR_FINAL	FSR/Financial	SF425				Final	/	n/a
28-Dec-2020	PROGRESS_FINAL	Progress	RPPR				Final	/	n/a

Departments will need to open the deliverable to complete it. Reminder notices have been set to send out to the PI and department administrator at the following intervals:

- 30 days prior to the due date
- 10 days prior to the due date
- 2 days prior to the due date

If the report is marked as completed prior to the reminder then no reminder will be sent.

DO NOT MARK A DELIVERABLE AS COMPLETED UNTIL IT IS ACTUALLY COMPLETED AND A COPY OF THE REPORT ATTACHED.

Click on the icon in the open column.







Most of the information is populated by SPA when the award is set up and cannot be adjusted by the departments.

1. Check the box under reported/completed when the report is completed. The Department Administrator or the PI can do this. (The date and the name will auto complete.)
2. If the report must be submitted by SPA (NIH, CPRIT, etc.) then SPA will complete the Submitted section. If the department or PI submitting the report to the sponsor then the department must check the box under Submitted. (The date and the name will auto complete.)
3. Attach a copy of the final report and “proof” of submission.

When attaching a document, give it a meaningful name to make it easily identifiable. Choose the category “Progress/Technical Report” and the Final Documents Folder. Locate the file and click Upload.

Note: PAF will upload Financial Reports and closeout documents such as invention statements.

The report now shows as completed and submitted.

DUE	REPORT NAME	CATEGORY	FORM	TEMPLATE	OPEN	DELETE	FREQUENCY	COMPLETED / SUBMITTED	STATUS
16-Jul-2019	PROGRESS_YR 1	Progress	RPPR				Annual	Date 25-Jul-2019 By Kathleen Kreidler / Date 25-Jul-2019 By Kathleen Kreidler	n/a
28-Dec-2020	FSR_FINAL	FSR/Financial	SF425				Final	/	n/a
28-Dec-2020	PROGRESS_FINAL	Progress	RPPR				Final	/	n/a

Patent **Subaward**

Tasks

See *System Navigation and Basic Functions*, page 26 for how to create and assign a task to someone.

SPA will utilize tasks for:

1. Requesting and obtaining RCOI forms from key personnel.
2. Obtaining the Qualifying Questions and Billing Risk (QQBR) certification form from PIs for clinical trials.
3. Requesting specific information and documents from the department such as 3rd party IRB approval letters.
4. Submitting affirmative RCOI disclosures to the COI management office

Departments will utilize tasks for:

1. Requesting 2nd and 3 guarantee requests. Create a task and assign it to to the AVP for Sponsored Projects. Attach any supporting documentation.
2. Assigning any task to any UTHealth employee.

Proposal Tracking Tabs

Note: blue hyperlinks allow you to navigate to additional details contained within other areas of START.

Summary:

The screenshot shows a 'Master Record Control' form for a proposal. It includes fields for Proposal Type (1), Institution Number (P000549), Submitted Date (15-Jul-2019) (2), PS Project # (0004546) (3), Status (Active) (5), and Ref Acct (32514) (4). There are also checkboxes for various proposal attributes (6), a Project Title field (7), a Short Title field (8), and a Comments field (9). At the bottom, there is a table for 'Associated Departments' (10) with columns for DEPARTMENT, PRIMARY, % ALLOCATED, and ALLOCATED AMOUNT.

DEPARTMENT	PRIMARY	% ALLOCATED	ALLOCATED AMOUNT
Training: DB: Office of Clinical Education (dept)	*		0.00

1. Proposal type: Indicates the type of proposal (new, resubmission, monetary agreement, etc.) being submitted.
2. Submitted: The date the proposal was submitted to sponsor
3. PS Project #: The PeopleSoft project number for an award
4. Ref Acct: This is for converted records only from the legacy SPAR system and contains the SPAR project number. This field may not be visible to all.
5. Status: Overall project Status See *System Navigation and Basic Functions, pages 8-11* for a list of different statuses. Note that the status for the overall project may be different than the status of an award increment. For example, the overall project may be “Active” but the year 2 Notice of Award (the award increment) may be “Awarded: Processing”
6. Proposal Attributes: Indicates various attributes that apply to the project.
7. Project Title: Matches the title on the proposal to the sponsor
8. Short Title: This is what the PI calls the project. For example, a grant may have a really long title but the PI refers to it as “Glioma Grant”. A more common example is a clinical trial title that starts with “A Randomized, Double Blind...” but is named by the sponsor as “PERFECT study”. The short title will be used by PAF when setting up the award and will appear on the financial reports.
9. Comments: This field is used by SPA to provide any necessary information regarding the project.
10. Department: UTHealth Department in which the project is based.

Sponsor:

The screenshot shows a 'Sponsor' form with fields for Originating Sponsor (National Institutes of Health/DHHS (NIH)) (1), Opportunity Number (R21), Program (G.g. Training and NIH Ext-UAT F0A (R21-Clinical Trial Not Allowed)), Program Type (Basic/Lab Research or Services) (3), Inst. Type (Grant) (4), Award No. (R21HL044444) (5), Funding Source (Federal) (6), and a Special Requirements field (9). It also includes fields for Sponsor Type (Federal), Sponsor/Agency Code (CRBA 93.865) (8), and FA3N (R21HL044444) (7).

1. Name of Sponsor that is directly funding/contracted with UTHealth

2. Originating Sponsor: Primary Sponsor that is the ultimate source of funding. Governing body of the award.
3. Program Type: Program types are defined in the *Proposal Development Guide, pages 12-13*. Selecting the correct program type is critical to categorizing funding and determining the appropriate indirect cost rate.
4. Instrument Type: Grant, Clinical Trial Agreement, Subaward in, or Contract (non-Clinical Trial)
5. Award Number: The sponsor's award/grant #. For NIH this excludes the Prefix and Suffix for each year.
6. Funding Source: Utilized to categorize funds within UTH and to create schedules of awards as required by federal and state auditors.
7. FAIN: From NIH notice of award. This field will be blank for non-NIH awards.
8. CFDA: Catalog of Federal Domestic Assistance #. From the federal agency notice of award. This field will be blank for non-federal awards.
9. Special Requirements: This field will be used by SPA as needed.

Personnel (Proposed)

Serial/Role	NAME/ROLE	EMAIL	ORGANIZATION / DEPARTMENT	%EFFORT	%ALLOC	ALLC	% Effort	Person Months
1	Co-PI Investigator Co-PI		The University of Texas Health Science Center at Houston Training: Special Purpose Accounts (dept)	0%				
2	Marideth Investigator Co-Investigator Certifications and Training		The University of Texas Health Science Center at Houston Training: Surgery (dept)	20%				
3	Roscoe MDA PI Subaward PI Certifications and Training		University of Texas MD Anderson Cancer Center (MDACC) University of Texas MD Anderson Cancer Center (MDACC)	100%				

Legend:
● Prime
● Subaward - 000000165 (Roscoe MDA PI)

1. Each person, internal and external, included on the grant proposal/award.
2. Effort for each person. Note, if effort changes year to year, this will reflect the blended or average effort across all years of the project.
3. Toggle between % effort and calendar months
4. Legend: if subaward or subaccounts (multi-project) are included in the proposal/award, the legend indicates which project each person is tied to.
5. Organization/Department – Departments are listed for internal personnel. Organizations are listed for external personnel.

Budget (Proposed)

YEAR/PERIOD	START	END	TYPE	STATUS	Sponsor (2018)	TOTAL	INDIRECTS	F&A	TOTAL
1	01-Sep-2018	31-Aug-2018	Funding*	Proposed	\$ 122,824	-	\$ 79,220	\$ 43,704	\$ 122,824
2	01-Sep-2018	31-Aug-2018	Funding*	Proposed	112,721	-	79,000	33,701	112,721
Total:					\$ 235,545	\$ 0	\$ 158,240	\$ 77,405	\$ 235,545

PERIOD 1	PERIOD 2	CHARGE COLLECT
38,100	38,100	76,200
Subtotal Personnel:	\$ 38,100	\$ 76,200

PERIOD 1	PERIOD 2	CHARGE COLLECT
1,300	1,000	2,300
Subtotal Non-Personnel:	\$ 1,300	\$ 2,300

PERIOD 1	PERIOD 2	TOTAL COSTS
\$ 122,824	\$ 122,824	\$ 122,824
Indirect Sponsor Direct Costs	\$ 79,220	\$ 79,220
Sponsor F&A	43,704	33,701
Total Sponsor Costs:	\$ 122,824	\$ 122,721

This budget view is the proposed budget. Awarded budgets are under the awards tab. Be sure you are in the correct section of the navigation tabs.

1. Source View: You can switch between project, sponsor, Institution, and over cap/unallowed budgets:
 - a. Total: captures the total project cost by combining the sponsor budget with cost share and over-the-cap/unallowed costs.
 - b. Sponsor: view only the portion of the budget requested from sponsor.
 - c. Institution: institutional/departmental cost share (excluding salary cap overages)

- d. Over Cap/unallowed: Amount of salaries unallowed because they exceed the sponsors stated maximum salary allowed. Examples of other unallowables costs are foreign travel and equipment. Needed for the project but sponsor will not fund.
2. Budget columns: Same as source view but amounts for cost share and over the cap are combined in the cost sharing column. You can show or hide columns by clicking show or hide next to each column header.
 3. Subawards associated with the proposal (proposed). Awarded subawards are under the awards tab.
 4. Totals, direct and indirect, on the proposal.

The first budget tab is a view of all budget years. Click on “Period 1” or other period tabs to see each budget year separately. You can also navigate to the subaward budgets. See Subawards section, page 13 for additional subaward information.

Project Period: 01-Sep-2018 to 31-Aug-2020

Source View: Sponsor

Budget Summary [Hide]

Periods [hide]				
YEAR/PERIOD	INCREMENT	START	END	TYPE
1	1	01-Sep-2018	31-Aug-2019	Initial
2	2	01-Sep-2019	31-Aug-2020	Initial

Subaward and subaccount budgets are watermarked for easy distinction.

Communications:

See System Navigation and Basic Functions, page 29.

WHEN	TYPE	FROM	SUBJECT**	ATTACHMENTS	SEND	DETAILS	DELETE
20-Jul-2019 3:18:03 AM	Email	From: Administrator, Toby	Progress Report Due				
16-Jul-2019 3:53:24 PM	Email	From: Breeding, Myrna Loy	Proposal Number: P000549				
16-Jul-2019 3:40:12 PM	Email	From: Breeding, Myrna Loy	Proposal Number: P000549 - SR2456. 000000148 requires your attention. Change Request has been approved				
16-Jul-2019 3:37:07 PM	Email	From: Breeding, Myrna Loy	Proposal Number: P000549 - SR2456. 000000148 requires your attention				
16-Jul-2019 2:04:02 PM	Email	From: Grant, Sandra	Proposal Number: P000549				
16-Jul-2019 9:50:39 AM	Email	From: Breeding, Myrna Loy	Proposal Number: P000549 - Award or notice from sponsor received				
16-Jul-2019 9:32:36 AM	Email	From: Breeding, Myrna Loy	Proposal Number: P000549				

Attachments:

All attachments are captured by START and included under this tab. All are viewable. There are three folders available: Root, Draft, and Final. Final documents, such as fully executed agreements or notices of award, will be pushed into UHealth’s document warehouse, Documentum. Draft attachments will live in START only and this folder may not be viewable/accessible based on your security. The Root Folder is the catch-all system folder.

Name	Category	Folder	Managed by	Submission	Version	Last Updated
PD Doc-Personnel		ROOT	Subaward	Initial Application	1	15-Jul-2019 1:28:14 PM
PD Doc-Personnel		ROOT	Subaward	Initial Application	1	15-Jul-2019 1:27:36 PM
PD Doc-Personnel		ROOT	Subaward	Initial Application	1	15-Jul-2019 1:27:57 PM
Progress Report Due - 10 Days		ROOT	Communication	Initial Application	1	23-Jul-2019 5:09:03 PM
Progress Report Due - 10 Days		ROOT	Communication	Initial Application	1	23-Jul-2019 5:09:04 PM
Assembled Doc	Proposed package	ROOT	Submission Package	Initial Application	1	15-Jul-2019 2:59:45 PM
Data Collection	Proposed package	ROOT	Submission Package	Initial Application	1	15-Jul-2019 3:11:02 PM
Summary	Proposed package	ROOT	Submission Package	Initial Application	1	15-Jul-2019 3:11:32 PM

Approvals (Regulatory):

The approvals section includes regulatory approvals as well as any identified conflicts of interest between a key person and the sponsor. START is interfaced with iRIS and will automatically pull IRB and IACUC protocol statuses and dates on a nightly basis. Other approvals including biosafety and radioactive materials will be manually entered by SPA.

INSTITUTION NUMBER *	TYPE	PROTOCOL NUMBER	APPROVAL STATUS	APPROVED DATE	APPROVED FROM	APPROVED TO	REVIEW CATEGORY	OPEN
P000549	BC	MS-19-376	Approved	01-Jul-2019	01-Jul-2019	06-Jun-2020		

Pay Person	Is to COI	Agmt Plan	Active Date	Term Date
Investigator, Corey	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	25-Jun-2019		

The conflict of interest section includes only personnel who have disclosed a conflict with the project's sponsor. Once the COI committee reviews and makes a determination regarding the disclosed conflict, the COI office will update this section to include whether or not a management plan has been activated.

Assignments

If there are any actions to be completed, they will appear on the assignments tab. It shows who has the assignment and when it was assigned. Only the assignee can open the task. It will automatically move to item history when the assignment is completed. Only SPA can reassign to someone else within SPA or remove an assignment entirely.

Assigned Date	Assigned To	Due	Instructions	Open	Remove
25-Jul-2019 9:55:18 AM	SPA-Training Preaward Traffic Cop		requires your attention	<input checked="" type="checkbox"/>	

Assigned Date	Assigned To	Duration	Instructions	Completed Date	Completed By
20-Jun-2019 11:24:36 AM	SPA Postaward Traffic Cop	0 days	N/A	20-Jun-2019 11:24:46 AM	SPA Postaward Traffic Cop

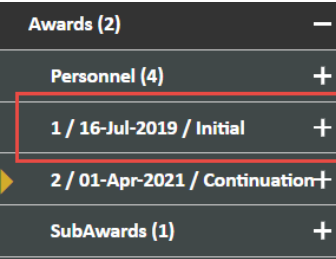
Snapshot –A summary of the proposal/award in its entirety

Summary Information: Institution No. - P000549		Status Active		<input type="button" value="Close"/>	
Proposal Type New/Original	Submitted 19-Jul-2019	PS Project # 0054546	Initial Notif.	Processed Date 15-Jul-2019	
Institution Number P000549	Disapproved	Ref Act 132514	Ref Act 132514	Int Due Date	Ref Act 132514
Previous Prop No	Deadline Date 19-Jul-2019	Deadline Time 5:00:00 PM	Comments	Conflict of Interest	Recovery
Coord. Frances			No Comments Available	On	None
Project Title Dept 8 - Corey Investigator R21 Change Request					
Short Title Dept 8 R21 Change					
Major Goals of the project					
Associated Department					
Department	Training: DB, Office Of Clinical Education (dept)	Primary	Yes	% Allocated	Alloc. Amt. \$0.00
Comments	Camпус	Conflict of Interest	No	Recovery	Cost Share Type
Sponsor Information					
Sponsor Name	National Institutes of Health/DHHS (NIH)	Sponsor Type	Federal	Program Type	Basic/Lab Research or Services
ID No.	PA-EN-R21	CFDA	93.965	Operating Sponsor	No Originating Sponsor Provided
Program	G.g. Training and NIH Ext-UAT FOA (R21-Clinical Trial Not Allowed)	% Federal	100	Acknowled Ind.	No
INSIP type	Grant	Special Requirements			
Funding Source	Federal				
Award No.	R21HL044444				
Personnel Information					
PI Name	Investigator, Corey	Department	Training: Special Purpose Accounts (dept)	% Effort	5
	Investigator, Corey		Training: Special Purpose Accounts (dept)	% Alloc	0
	Investigator, Merideth		Training: Surgery (dept)	Alloc. Amt.	\$0.00
	Investigator, Eli		Training: DB, Office Of Clinical Education (dept)		\$0.00
	MDA PI, Roscoe		University of Texas MD Anderson Cancer Center (MDACC)		\$0.00
Contact Information					
Name	Administrator, Toby	Department	Training: DB, Office Of Clinical Education (dept)	Internal/External	Internal
	Breeding, Myrna		Sponsored Projects Administration (div)		Internal
	Coord. Frances		Training: DB, Office Of Clinical Education (dept)		Internal
	Grant, Sandra		Training: Sponsored Projects Administration (div)		Internal
	Investigator, Eli		Training: DB, Office Of Clinical Education (dept)		Internal
	Traffic Cop, SPA Postaward Training		Training: The University of Texas Health Science Center at Houston		Internal
	Traffic Cop, SPA Preaward		The University of Texas Health Science Center at Houston		Internal
	Traffic Cop, SPA-Training Preaward		Training: The University of Texas Health Science Center at Houston		Internal
Budget Information Requested					
Period	Dates	Cost Sharing	Directs	FBA	Sponsor
1	01-Sep-2018-31-Aug-2019	No	\$79,220	\$43,704	\$122,924
2	01-Sep-2019-31-Aug-2020	No	\$79,020	\$33,701	\$112,721
Project	01-Sep-2018-31-Aug-2020	No	\$158,240	\$77,405	\$235,645
Budget Information Awarded					
Period	Dates	Cost Sharing	Direct	FBA	Sponsor
1	01-Sep-2018-31-Aug-2019	No	\$90,920	\$50,158	\$141,078
2	01-Sep-2019-31-Aug-2020	No	\$115,920	\$54,365	\$170,285
Project	01-Sep-2018-31-Aug-2020	No	\$206,840	\$104,523	\$311,363
Keywords					
No Keywords Found					
Approvals					
Type	Status	Review	Reference		
IBC	Approved		IBC-MS-19-376		

Awards Tabs



The awards tab indicates how many award increments (an increment is any award action – new year, budget increase, NCE, etc.) Click on the **+** to see a list of award increments, subawards, and personnel included in the award.



An increment tab name includes the grant year (1, 2, etc) the date the award was received (not the award start date) and the type of award receive (initial, continuation, amendment).

Continue to click on the **+** to open tabs for additional details.

The award increment includes the awarded budget, personnel and effort.

The screenshot displays a detailed view of an award increment. It includes a sidebar with navigation options like 'Submissions', 'Admin Staff', 'Agreements', 'Awards', 'Personnel', 'Cost Sharing', 'Justifications', 'Setup', 'Terms and Conditions', 'Award AMO', 'Data Center', 'Approvals', 'Linkages', 'Deliverables', 'Scheduled Payments', 'Keywords', 'Classification Codes', 'Communications', 'Activity Log', 'Attachments', 'Contacts', 'Alerts/Reminders', 'Performance Sites', 'Locations', 'Calendar', 'Work Flow', and 'CCA Projects'. The main content area shows the award details, including the award number (1), start and end dates (16-Jul-2019 to 16-Jul-2019), award status (Awarded), and award type (Initial). Below this, there are tables for 'Personnel Costs' and 'Non-Personnel Costs'. The 'Personnel Costs' table lists individuals like 'Investigator: El', 'Investigator: Marideth', and 'Investigator: Corey' with their respective roles, effort, and salary. The 'Non-Personnel Costs' table lists categories such as 'Materials & Supplies', 'Modular Budget Transaction', 'Publication Costs', and 'Travel-Domestic'. At the bottom, there is a 'Subawards' table showing the award number (5) and the subaward name 'MDA PI, Rescue'.

1. The increment is not the same as the budget year. There may be more than one award increment in a budget year. For example, the first Notice of Award for a year is the first increment. A budget increase or any modification to the award year will be numbered as 2, 3 etc.
2. Status of the award increment itself, separate from the overall record status.
3. Increment type – Initial/New, Continuation or Modification.
4. Sponsor’s grant award number. For NIH, this is specific to the award increment and includes the Funding type (the prefix) and the year (suffix) along with supplement numbers.
5. List of active subawards on the project

Terms & Conditions

This includes a list of various restrictions or allowability associated with the award. Most common are whether or not carry forward is automatic or if re-budgeting is allowed. SPA will set the terms & conditions in accordance with the sponsor’s notice of award and grant rules.

Subawards

There are a few ways to access subaward information within start:

1. From the subaward tab within the Budget tab in Proposal Tracking
2. From the subaward tab within the Awards tab in Proposal Tracking
3. Log directly into the Subaward module (you will need the subaward number)

If awarded, use options 2 and 3. Use option 1 if still in “Proposed” status. Open the prime award in proposal tracking and navigate to the subaward tab.

Proposal Tracking Module

All subawards will be listed along with the subaward number assigned in the system, the status, and funding.

SubAwards On Record Number P000549						
Drag a column header and drop it here to group by that column						
Institution Name	SubAward Number	Status	Directs	F&A	Total	
University of Texas MD Anderson Cancer Center (MDACC)	0000000148	Pending	\$ 27,400	\$ 16,440	\$ 43,840	
Begin typing to select a Subaward Institution name		Begin typing to select a subaward PI		Add SubAward		

Hover over the institution name to select what you would like to open.

Drag a column header and drop it here to group by that column		
Institution Name	SubAward Number	Status
University of Texas MD Anderson Cancer Center (MDACC)		
Begin typing to select		

- Recipient Profile New-Requires Vetting
- UNK Full SubAward Subaward Active (0000000148)
- Budget

You can open view key information on the subrecipient entity, view just the budget, or open the entire subaward record:

Recipient Profile:

The recipient profile includes information required from a subrecipient such as DUNS #, FIN, etc. It also includes the subrecipient entity risk level. The risk level is determined by SPA and is based on a variety of factors. The institutional risk level always takes precedence over the project risk level. For example, all foreign entities are considered high risk regardless of the work proposed for a project.

The profile also indicates if the entity is following UHealth’s conflict of interest policy or their own. Most small organizations do not have their own COI policy so they are required to abide by UHealth’s if receiving federal or CPRIT funds.

Summary	Legal Business Name University of Texas MD Anderson Cancer C	DUNS 800772139
Personnel (8)	Doing Business As 	Congressional District TX-09
Status History	URL 	EIN 746001118
Admin Staff (0)	Organizational Abbreviation MDACC	CAGE/NCAGE Code
Keywords (0)	Primary Contact Set	Organization Type H: Public/State Controlled
Classification Codes	Primary Contact	Cognizant Agency DHHS
Departments (1)	<input checked="" type="checkbox"/> Populate in PD <input type="checkbox"/> Use as the Institution Name <input type="checkbox"/> Inactive <input checked="" type="checkbox"/> Subaward <input checked="" type="checkbox"/> Sponsor	
Performance Sites (0)	Risk Level <input type="radio"/> High <input checked="" type="radio"/> Medium <input type="radio"/> Low	
Activity/Comments (0)	Registered in SAM.gov <input checked="" type="radio"/> Yes <input type="radio"/> No	
Addresses	Exempt from reporting executive compensation? <input checked="" type="radio"/> Yes <input type="radio"/> No	
Submissions (2)	Summary	
Reviews (0)	FDP Clearing House <input type="checkbox"/>	
Attachments (1)	Follows UTH COI Policy : Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Linkages	Audit Due Date <input type="text"/>	
Approvals (0)		
Deliverables (0)		
Sponsors (0)		
Agreement Contact Mapping		
Contacts (0)		
Communications (0)		

Budget:

View the detailed, awarded budget for the subrecipient. Note, subaward budgets are watermarked for easy identification.

Full Subaward:

Navigating the subaward tabs is essentially the same as navigating the proposal tracking record for the main award with a few exceptions. You will land on the summary tab.

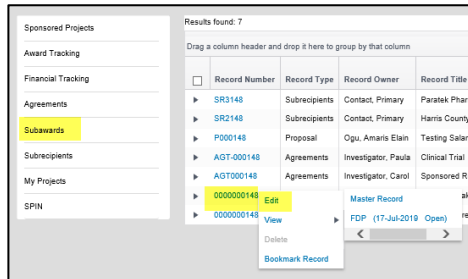
Summary:

Summary	Summary		Edit Mode												
Personnel (1)	Number Edit 0000000148	Status Subaward Active 2													
Status History	Start Date 01-Sep-2018	End Date 31-Aug-2020													
Performance Sites (1)	Contract Number 0044444A 1	Type <input type="checkbox"/>													
Activity/Comments (0)	Final Inv <input type="checkbox"/>	Audit <input type="checkbox"/>													
Submissions (2)	Title Dept 8 - Corey Investigator R21 Change Request														
Budget	Comments 														
FDP Subaward Forms (1)	Subject to FFATA <input checked="" type="checkbox"/>														
Approvals (0)	Entity Risk Level <input type="radio"/> High <input checked="" type="radio"/> Medium <input type="radio"/> Low 3														
Attachments (5)	Subaward Project Risk Level <input type="radio"/> High <input type="radio"/> Medium <input checked="" type="radio"/> Low 4														
Linkages	Performance Period														
Deliverables (0)	<table border="1"> <thead> <tr> <th>DATE RECEIVED</th> <th>DATE SENT</th> <th>DATE PAID</th> <th>ACCOUNT NUMBER</th> <th>PO NUMBER</th> <th>DELETE</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	DATE RECEIVED	DATE SENT	DATE PAID	ACCOUNT NUMBER	PO NUMBER	DELETE								
DATE RECEIVED	DATE SENT	DATE PAID	ACCOUNT NUMBER	PO NUMBER	DELETE										
Addresses	Subawardee University of Texas MD Anderson Cancer Center (MDACC) 1515 Holcombe Blvd, Unit 207 Houston, TX 77030-4017 Edit														
Agreement Contact Mapping	Principal Investigator Roscoe MDA PI 7000 Footloose Lane Houston, TX 77030-5678 foolouse@mda.edu 832123456 Edit														
Sponsors (1)															
Contacts (28)															
Communications (1)															
Relationship Explorer															
Assignments (0)															
Alerts (0)															
Tasks (0)															

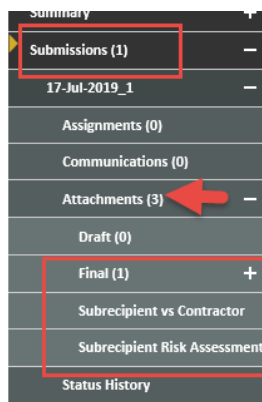
1. The contract number includes the PeopleSoft Project number followed by A, B, C etc. There is one letter assigned for each subaward on the project. This is the subaward number that will appear on the subaward agreement.
2. Subaward status
3. Entity risk level carries over from the Recipient Profile
4. Project risk level is determined by SPA in accordance with the uniform guidance 2 CFR 200
5. Subaward PI information

Subaward Module

Access the subaward directly from the subaward module. You can use a variety of search criteria but the subaward number (SAXXXXXX) is easiest.



Submissions:



The submissions tab has a series of sub-tabs. There is a submission for each Award Increment to the subrecipient, similar to award increments on the parent award.

The Attachments Tab includes:

Subrecipient vs. Contractor Form: This is a document completed by SPA to determine if the sub is a true subaward or a fee-for-service vendor.

Subrecipient Risk Assessment Questionnaire (RAQ) is a scorecard used by SPA to make a risk level determination. This is required by federal regulations.

The fully executed **subaward agreement**

Any other documents associated with the subaward

Name	Category	Folder	Managed by	Submission	Versions	Last Updated
Subrecipient vs Contractor		ROOT	Submission Package	FDP	1	17-Jul-2019 9:42:01 AM
Subrecipient Risk Assessment		ROOT	Submission Package	FDP	1	17-Jul-2019 9:42:01 AM

principal investigator

university proposal number : 0054323A

Checklist to Determine Subrecipient or Contractor Classification

Objective : Generally, the determination of the relationship with an entity is verified through the institutional review of the proposal narrative, budget justifications, and other related proposal documents, as well as through discussions with key personnel prior to proposal submission. When the relationship remains unclear, this form may provide assistance in making an accurate determination.

DEFINITIONS FROM UNIFORM GUIDANCE (2 CFR, PART 200):

Subrecipient:

200.93 Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A Subrecipient may also be a recipient of other Federal Awards directly from a Federal awarding.

Contractor:

200.23 Contractor means an entity that receives a contract as defined in 200.22 Contract.
 200.22 Contract means a legal instrument by which a non-Federal entity purchase property or services needed to carry out the project or program under a Federal award.

Instructions : Complete sections one and two of the checklist by marking all characteristics that apply to the outside entity. The section with the greatest number of marked characteristics indicates the likely type of relationship the entity will have with the University. On occasion there may be exceptions to the type of relationship indicated by the completed checklist. In these situations, the substance of the relationship should be given greater consideration than the form of agreement between the University and the outside entity. Section 3 should be used to provide documentation on the use of judgement in determining the proper relationship classification.

Name of Outside Entity University of Texas MD Anderson Cancer Center [MDACC] (*)

SECTION 1 - SUBRECIPIENT

Description: A subaward is for the purpose of carrying out a portion of a Federal award and creates a Federal assistance relationship with the Subrecipient. Characteristics which support the classification of the non-Federal entity as a Subrecipient includes when the contractor:

- 1. Determines who is eligible to receive what Federal assistance;
- 2. Has its performance measured in relation to whether objectives of a federal program were met;
- 3. Has responsibility for programmatic decision making;
- 4. In accordance with its agreement, uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.

Entities that include these characteristics are responsible for adherence to applicable Federal program requirements specified in the Federal award.

SECTION 2 - CONTRACTOR

Description: A contract is for the purpose of obtaining goods and services for the non-Federal entity's own use and creates a procurement relationship with the contractor. Characteristics indicative of a procurement relationship between the non-Federal entity and a contractor are when the non-Federal entity receiving the Federal funds:

- 1. Provide the goods and services within normal business operations;
- 2. Provides similar goods or services to many different purchasers;
- 3. Normally operates in a competitive environment;
- 4. Provide goods or services that are ancillary to the operation of the federal program.

Entities that include these characteristics are not subject to compliance requirements of the Federal program as a result of the agreement, through similar requirements may apply for other reasons.

FINAL DETERMINATION

SUBRECIPIENT

CONTRACTOR

OPTIONAL - SECTION 3 - USE OF JUDGMENT (use only when the determination cannot clearly be made using the above criteria)

Description : In determining whether an agreement between a pass-through entity and another non-Federal entity casts the latter as a Subrecipient or a contractor, the substance of the relationship is more important than the form of the agreement. All of the characteristics listed above may not be present in all cases, and the pass-through entity must use judgement in classifying each agreement as subaward or a procurement contract.


Explanation of Use of Judgment Determination :
 Previous experience with Subcontractor.


Prepared By : ADS

Date : 17-Jul-2019

Subrecipient vs. Contractor Form

Subrecipient Risk Assessment Questionnaire (RAQ)





PAGE 1

Institution: _____ Date:

Project: SubAward for Institution # P000548 Specialist: Smith, Adriana

Date of Audit Review: Date of SAM Review:

Category	Lower Risk (0)	Medium Risk (1)	Higher Risk (2)	Risk Score
Foreign vs Domestic	Domestic	Canada, US Territories	All other	<input type="text" value="0"/>
Audit Report	Single Audit	Annual 3rd Party Audit	No Financial Audit	<input type="text" value="0"/>
Audit Findings	None/Not related to grants	Immaterial	Material	<input type="text" value="0"/>
Amount/Percentage of Subaward vs. UTH Award	<25% or <\$100K	25% - 49% or \$100K - \$500K	>49% or >\$500K	<input type="text" value="1"/>
Prior Experience with UTH	Previous Positive Experience	Previous experience, may have some concerns	No Experience or Previous Negative Experience	<input type="text" value="0"/>
Difficulty of SOW	Easily met deliverables (e.g., report only)	Dataset Only	Tangible Product, Patient Enrollment	<input type="text" value="1"/>
Compliance	No HS or animals	HS, non clinical, or rodents	HS, clinical, or pure animals	<input type="text" value="1"/>
Cost Sharing	No cost sharing	Voluntary cost sharing	Mandatory cost sharing	<input type="text"/>
Total Risk Score				<input type="text" value="3"/>

All - Reivew of annual audit report / review Federal exclusions / send PI email with R&U

Risk Lower risk (0-4) - No additional measures

Subaward Agreement

FDP Cost Reimbursement Research Subaward Agreement		<input type="button" value="Run Template"/>
Federal Awarding Agency: <input type="text" value="National Institutes of Health (NIH)"/>		
Pass-Through Entity (PTE): <input type="text" value="University of Texas Health Science Center at Houston"/>	Subrecipient: <input type="text" value="University of Texas MD Anderson Cancer Center (MDACC)"/>	
PTE PI: <input type="text" value="Reuben Investigator"/>	Sub PI: <input type="text" value="Roscoe MDA PI"/>	
PTE Federal Award No: <input type="text" value="R21123123"/>	Subaward No: <input type="text" value="0000000146"/>	
Project Title: <input type="text" value="SubAward for Institution # P000556"/>		
Subaward Period of Performance (Budget Period): Start: <input type="text" value="09/01/2019"/> ? End: <input type="text" value="08/31/2021"/> ?		Amount Funded This Action (USD): \$ <input type="text"/>
Estimated Project Period (if incrementally funded): Start: <input type="text" value="09/01/2019"/> End: <input type="text" value="08/31/2021"/>		Incrementally Estimated Total (USD): \$ <input type="text"/>
Terms and Conditions		
1. PTE hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The Statement of Work and budget for this Subaward are as shown in Attachment 5. In its performance of Subaward work, Subrecipient shall be an		

Subaward Recap Form

The subaward recap form is a financial summary for each subaward on a project. It provides the dates, max funding, and detail of invoices received and paid along with balance remaining. PAF will maintain the recap forms but they are viewable at any time by the PI and department.

* P.I. Name : MDA PI, Roscoe		FMS Project # : 0044556A									
Subcontractor : <input type="text"/>											
From Date : 01-Sep-2019	To Date : 31-Aug-2020	** Risk Level <input type="text"/>									
Maximum Cost : 30000	Direct Cost : 20,000.00	Indirect Cost : 0.00									
IDC Rate : 50%	Contract Year : 1	Grant Year : 1									
Billing Instructions : <input type="text" value="Cost Reimbursable - invoice monthly"/>											
PAFT Instructions : <input type="text"/>											
Certification Required : <input type="text" value="Yes"/>											
Recap Setup and Review Information											
Add											
Recap Setup By : kreidler		Reviewed : Turner									
Automatic Carry Forward : <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No											
Direct Cost Amount: 20,000.00	Indirect Cost Amount : 10,000.00	Total Cost Amount 30,000.00									
Payments Billing Period Invoice Processed Amount											
Add											
Voucher ID	Initials	Date	From	To	Initials	Date	CR	<25K 69759	>25K 69778	Balance	Comments :
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	30,000.00	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	01-Sep-2019	30-Sep-2019	kmk	10-Oct-2019	<input checked="" type="checkbox"/>	8,500.00	<input type="text"/>	21,500.00	<input type="text"/>

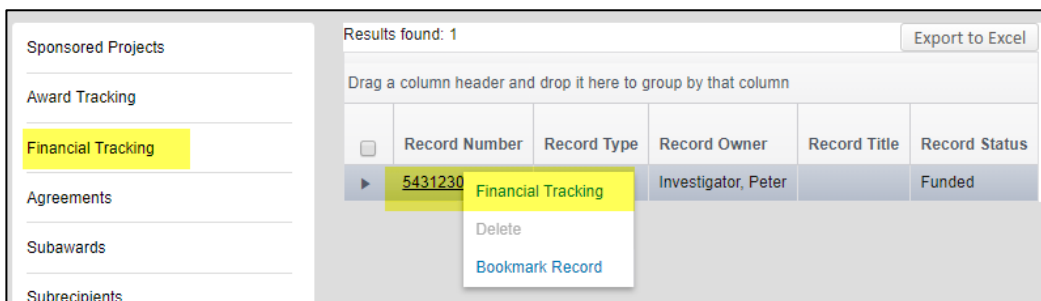
When PAF receives an invoice, PAF will add it to the recap page and then will email the invoice to the department via the Communications tab. The department will need to process the invoice for payment through PeopleSoft.

Financial Tracking

The Financial Tracking module of START capitalizes on an interface to PeopleSoft that allows for nightly updates of financial transactions to the START system. PeopleSoft remains the system of record for all UTHealth financial activity. The financial tracking module provides:

- Financial summary of a project: budget – expenses – encumbrances = balance available
- A list of transactions including payroll by person by pay period and all non-payroll transactions.
- A list of “hard” encumbrances. (Encumbrances that exist in PeopleSoft) – auto-adjusts when an expense posts.
- A list of “soft” encumbrances. (Encumbrances entered by the department e.g. subaward encumbrance to “set aside funds”) – auto-adjusts when an expense posts.
- For Industry Sponsored Clinical Trials (fund 57001 only) – Invoicing, payment tracking and accounts receivable.
- For Clinical Trials (fund 57001 only) – revenue received

Projects can be accessed in the Financial Tracking module by searching on the PeopleSoft Project #.



Financial Tracking Tabs

Summary

Account 5431230 Peter Investigator - The University of Texas Health Science Center at Houston										Account 5431230																																
Edit Mode																																										
Summary - Last Updated on 25-Jul-2019 4:40:12 PM																																										
Parent Account: None																																										
<table border="1"> <tr> <th>Start</th> <th>End</th> <th>Opened</th> <th>Days Remaining</th> <th>Type</th> <th>Status</th> </tr> <tr> <td>01-Jan-2019</td> <td>31-Dec-2019</td> <td>19-Jun-2019</td> <td>159</td> <td>Financial Grant Account</td> <td>Funded</td> </tr> </table>											Start	End	Opened	Days Remaining	Type	Status	01-Jan-2019	31-Dec-2019	19-Jun-2019	159	Financial Grant Account	Funded																				
Start	End	Opened	Days Remaining	Type	Status																																					
01-Jan-2019	31-Dec-2019	19-Jun-2019	159	Financial Grant Account	Funded																																					
<table border="1"> <tr> <th colspan="11">Available Funds</th> </tr> <tr> <th>Account Number</th> <th>Account Charge To</th> <th>Available Funds</th> <th>Soft Encumbrance</th> <th>Hard Encumbrance</th> <th>Expenditures</th> <th>Balance</th> </tr> <tr> <td>5431230</td> <td>National Institutes of Health/</td> <td>222,210.00</td> <td>-</td> <td>22,000.00</td> <td>3,079.32</td> <td>197,130.68</td> </tr> <tr> <td colspan="2">Total</td> <td>222,210.00</td> <td>0.00</td> <td>22,000.00</td> <td>3,079.32</td> <td>197,130.68</td> </tr> </table>											Available Funds											Account Number	Account Charge To	Available Funds	Soft Encumbrance	Hard Encumbrance	Expenditures	Balance	5431230	National Institutes of Health/	222,210.00	-	22,000.00	3,079.32	197,130.68	Total		222,210.00	0.00	22,000.00	3,079.32	197,130.68
Available Funds																																										
Account Number	Account Charge To	Available Funds	Soft Encumbrance	Hard Encumbrance	Expenditures	Balance																																				
5431230	National Institutes of Health/	222,210.00	-	22,000.00	3,079.32	197,130.68																																				
Total		222,210.00	0.00	22,000.00	3,079.32	197,130.68																																				
<table border="1"> <tr> <th colspan="11">Recovery</th> </tr> <tr> <th>Account Number</th> <th>Account Charge To</th> <th>Charges</th> <th>Receivables</th> <th>Payments</th> <th>Write Offs</th> <th>Balance</th> </tr> <tr> <td>5431230</td> <td>National Institutes of Health/</td> <td>-</td> <td>-</td> <td>-</td> <td>-</td> <td>0.00</td> </tr> <tr> <td colspan="2">Total</td> <td>0.00</td> <td>0.00</td> <td>0.00</td> <td>0.00</td> <td>0.00</td> </tr> </table>											Recovery											Account Number	Account Charge To	Charges	Receivables	Payments	Write Offs	Balance	5431230	National Institutes of Health/	-	-	-	-	0.00	Total		0.00	0.00	0.00	0.00	0.00
Recovery																																										
Account Number	Account Charge To	Charges	Receivables	Payments	Write Offs	Balance																																				
5431230	National Institutes of Health/	-	-	-	-	0.00																																				
Total		0.00	0.00	0.00	0.00	0.00																																				
<table border="1"> <tr> <th colspan="11">Cash Position</th> </tr> <tr> <th>Account Number</th> <th>Account Charge To</th> <th>Cash Spent</th> <th>Cash Received</th> <th>Balance</th> </tr> <tr> <td>5431230</td> <td>National Institutes of Health/</td> <td>3,079.32</td> <td>-</td> <td>(3,079.32)</td> </tr> <tr> <td colspan="2">Total</td> <td>3,079.32</td> <td>0.00</td> <td>(3,079.32)</td> </tr> </table>											Cash Position											Account Number	Account Charge To	Cash Spent	Cash Received	Balance	5431230	National Institutes of Health/	3,079.32	-	(3,079.32)	Total		3,079.32	0.00	(3,079.32)						
Cash Position																																										
Account Number	Account Charge To	Cash Spent	Cash Received	Balance																																						
5431230	National Institutes of Health/	3,079.32	-	(3,079.32)																																						
Total		3,079.32	0.00	(3,079.32)																																						

1. Summary fields include start and end date, # of days remaining in the award, and award status
2. Available funds – budgeted amount of total funds available less encumbrances and expenditures to show current balance.
3. Recovery – Indicates sponsor. The remaining fields will be used for Industry Clinical Trials only and will reflect invoiced amount, outstanding receivables, payments, write offs and the balance of cash.
4. Cash position. Will reflect only cash expended at this time.

Budgeting Details

The Budgeting Details tab is similar the People Soft Account Summary Report but provides the ability to drill down to transaction level information by clicking on any of the blue hyperlinks.

☰
Done
Save

Account 5431230
Peter Investigator - The University of Texas Health Science Center at Houston

Summary

Awards (1) +

Budgeting Details

Setups +

Personnel (1) +

Transactions (13) +

Status History

Assignments

Related Proposals

Activity/Comments (0)

Budgeting Details - Last Updated on 25-Jul-2019 4:40:12 PM ⓘ

By Budget Category Show Institution Categories 1

Budget Category	Initial Budget 2	Operating Budget 3	Encumbrances	Expenditures	Income and Expense Recovery	Balance
01.Faculty Salaries	116,667.00	116,667.00	22,000.00	-	-	94,667.00
05.Fringe Benefits	27,625.00	27,625.00	-	-	-	27,625.00
06.Materials & Supplies	-	-	-	2,679.32	-	(2,679.32)
07.Travel	-	-	-	400.00	-	(400.00)
15.Indirect Cost Recovery	77,918.00	77,918.00	-	-	-	77,918.00
Total	222,210.00	222,210.00	22,000.00	3,079.32	0.00	197,130.68

By Account

Account Number 4	Initial Budget	Operating Budget	Encumbrances	Expenditures	Income and Expense Recovery	Balance
5431230	222,210.00	222,210.00	22,000.00	3,079.32	-	197,130.68
Total	222,210.00	222,210.00	22,000.00	3,079.32	0.00	197,130.68

1. Show Institution Categories - This is a toggle between the sponsor categories budget (as shown above) and the Budget Pool Categories.

By Budget Category Show Sponsor Categories

Budget Category	Initial Budget	Operating Budget
61001 - FACULTY SALARIES	116,667.00	116,667.00
61002 - A & P SALARIES	-	-
61005 - BENEFITS	27,625.00	27,625.00
61006 - MAINTENANCE & OPERATION	-	-
61007 - TRAVEL	-	-
61015 - INDIRECT COST RECOVERY	77,918.00	77,918.00
Total	222,210.00	222,210.00

2. Initial budget – The original awarded budget from the sponsor. This budget will not change. For projects that that start with a zero budget and have budgets added as cash is received (e.g. industry sponsored clinical trials) the initial budget will reflect the 100% contracted budget.
3. Operating budget – Reflects any changes to the initial budget such as a rebudget or equals revenue received on cash based budgets. The remaining balance is calculated from the operating budget.
4. By Account – If there is more than one account associated with the project all will be listed.

Click on any expenditure, encumbrance or budget amount to drill down:

EXP Transaction Detail - MAINTENANCE & OPERATION			Parent Account: None	
Date	Type	Description	Amount	Open
25-Jul-2019	EXP	Disposable lab supplies	2,679.32	🔍
Grand Total for all pages			2,679.32	

Click open to see additional accounting information such as voucher number and date paid.

Expenditure Save Save and Close

Date: 25-Jul-2019	Item/Description: Disposable lab supplies	Post To Account: 5431230 / National Institutes of Health/DHHS (NIH)	Amount: 2,679.32
Budget Category: 06.Materials & Supplies	PO/Voucher Number: 54980453	Check Number:	
Object Code: 61006 - MAINTENANCE & OPERATION			

Award Management | July 25, 2019

Page 20

Transactions

The transactions tab provides a full listing of all transactions associated with the project. Note that payroll is summarize by person by pay period. Fringe is by pay period. All transactions includes budget adjustments, expenses, revenue, encumbrances, and transfers.

Date	Type	Description	Additions	Subtractions	Balance	Open	Delete
19-Jun-2019	OBA	Fringe - Peter Investigator	16,375.00		16,375.00		
19-Jun-2019	OBA	Lewis Investigator	41,667.00		58,042.00		
19-Jun-2019	OBA	Fringe - Lewis Investigator	11,250.00		69,292.00		
19-Jun-2019	OBA	F&A	77,918.00		147,210.00		
19-Jun-2019	OBA	Peter Investigator	75,000.00		222,210.00		
19-Jun-2019	I&A	F&A	77,918.00		222,210.00		
19-Jun-2019	I&A	Lewis Investigator	41,667.00		222,210.00		
19-Jun-2019	I&A	Fringe - Lewis Investigator	11,250.00		222,210.00		
19-Jun-2019	I&A	Fringe - Peter Investigator	16,375.00		222,210.00		
19-Jun-2019	I&A	Peter Investigator	75,000.00		222,210.00		
25-Jul-2019	EXP	Airfare to Denver - Dr. Investigator		400.00	221,810.00		
25-Jul-2019	EXP	Disposable lab supplies		2,679.32	219,130.68		
25-Jul-2019	HE	Payroll Encumbrance		22,000.00	197,130.68		
Grand Total for all pages						197,130.68	

You can view specific types of transactions in two ways:

1. Checking or unchecking the boxes next to the transaction types and clicking “Apply Filter”
2. Clicking on any of the sub-tabs under transactions

Applying a filter:

Date	Type	Description	Additions	Subtractions	Balance	Open	Delete
25-Jul-2019	EXP	Airfare to Denver - Dr. Investigator		400.00	-400.00		
25-Jul-2019	EXP	Disposable lab supplies		2,679.32	-3,079.32		
Grand Total for all pages						-3,079.32	

Using a subtab:

Date	Type	Description	Amount	Balance	Open	Delete
25-Jul-2019	EXP	Airfare to Denver - Dr. Investigator	400.00	400.00		
25-Jul-2019	EXP	Disposable lab supplies	2,679.32	3,079.32		
Grand Total for all pages					3,079.32	

Encumbrances

Hard encumbrances are populated through the PeopleSoft interface to START. The reverse symbol indicates that when an expense posts, the encumbrance will be decreased by the same amount.

Transaction Detail				Amount	Balance	Open
Date	Reverse	Type	Description			
25-Jul-2019		ME	Payroll Encumbrance	22,000.00	22,000.00	
Grand Total for all pages					22,000.00	

Soft encumbrances are added by department staff. These can be used to “set aside” funds for an upcoming expenses that is not encumbered in PeopleSoft. The most common expense that can be soft encumbered is subaward funds.

To enter a soft encumbrance, click on the soft encumbrance tab, then click “Add Transaction” button.

1. Enter a description of the pending expense.
2. Enter the amount you wish to soft encumber
3. Select the appropriate object code (budget pool) from the dropdown list. Note, budget category will auto-populate
4. Set the vendor if known. Click Set and the begin typing the vendor name

Click Save and Close.

Transaction Detail				Amount	Balance	Open	Delete
Date	Reverse	Type	Description				
26-Jul-2019		SE	MD Anderson Subaward	20,000.00	20,000.00		
Grand Total for all pages					20,000.00		

The transaction now appears and will decrease as expenses are incurred.

Clinical Trial Invoicing and Revenue

See *Clinical Trial Invoicing and Revenue Training Guide*