AURA Meeting Agenda  
Wednesday, November 30, 2011  
10:00 a.m. – 11:30 a.m.  
MSB 2.135

- Introductions  
  Jodi Ogden

- ecrt ™ Update & Training  
  Robin Cavalier-Brown

- Subcontracting Plans (Federal Contracts)  
  Shaun McGowan

- Budgeting Tool  
  Krystal Toups & Heather Cody

- Retracting Proposals  
  Krystal Toups

- Hot Topics  
  Jodi Ogden

Next meeting: January 25th
Effort certification reporting technology (ecrt™) Update

Robin Cavalier-Brown
Financial Analyst
ecrt Updates

• July-December Period of Performance Delay
• Training for EC’s to begin in January (3-1 hour sessions to be set up)
• TRC Mandatory Training Module
• Upgrade v3.0.3 coming 2012
• Data Load (Payroll)
• New Website
HCM Effort System

• UTHealth’s prior HCM effort reporting system needs to close. All outstanding effort reports will be escalated to Dr. Colasurdo for review to determine action plan.

• The last reports generated were for the reporting period July-December 2010 and monthly reporting period December 2010.
Subcontracting Plans for Federal Contracts

Shaun A. McGowan
Manager, HUB and Small Business Program
713-500-4862
Shaun.a.mcgowan@uth.tmc.edu
Subcontracting Plans for Federal Contracts

UTHealth-Houston HUB Manager’s involvement up front on Federal Contracts

• Assist you in preparing pre-award subcontracting plans
• Only applies to Federal Contracts $650,000+ not Grants
• Opportunities for small businesses to participate in the Federal Contracts
• Accurate Subcontracting Plans
• 25% of selection criteria is past performance on Federal Contracts
• Responsible for monitoring small business subcontracting plan performance
• Questions
Budget Templates & Tools

Heather Cody, MHA
Financial Analyst, Post-award Finance

Krystal Toups
Assistant Director, Grants, OSP
Budget Templates & Tools

PAF needs clear, accurate, detail budgets for setup and management of restricted sponsored projects

- Detail budgets are used for:
  - Setting up projects in FMS
  - Identifying IDC exclusions
  - Establishing personnel data
  - Recognizing restricted items made allowable by inclusion in the agency approved budget (food, meeting costs, & tuition & fees)

- Budgets are imaged as part of the award file. For audit purposes the budgets must be legible after imaging.
Budget Templates & Tools

Common problems

- Budgets after printing and imaging are illegible
- Items excluded from IDC are not clearly identified
- Highlighted items from spreadsheets cause clarity issues with imaging
- Highlights used to distinguish items are meaningless after imaging in black and white
- Budgets do not match award amount after exclusions are applied
## Budget for Project Setup (Single)

**PI Name**

**FMS Project #**

**FMS Dept ID**

List key personnel per NGA and % effort per approved budget

<table>
<thead>
<tr>
<th>Item</th>
<th>Code</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty Salary</td>
<td>61001</td>
<td>35,790.00</td>
</tr>
<tr>
<td>Classified Salary</td>
<td>61003</td>
<td>239,946.00</td>
</tr>
<tr>
<td>Other Wages</td>
<td>61004</td>
<td>-</td>
</tr>
<tr>
<td>Benefits</td>
<td>61005</td>
<td>70,434.00</td>
</tr>
<tr>
<td>M&amp;O (supplies/services)</td>
<td>61006</td>
<td>32,796.00</td>
</tr>
<tr>
<td><strong>(Tuition &amp; Fees, Utilities)</strong></td>
<td>exempt (a)</td>
<td>-</td>
</tr>
<tr>
<td>Travel</td>
<td>61007</td>
<td>2,584.00</td>
</tr>
<tr>
<td>Equipment</td>
<td>61009</td>
<td>6,970.00</td>
</tr>
<tr>
<td>Patient Care</td>
<td>61012</td>
<td>-</td>
</tr>
<tr>
<td>Subcontracts Total (line 1 and 2)</td>
<td>61014</td>
<td>-</td>
</tr>
<tr>
<td><strong>(Subs earn IDC on list $25,000 per institution)</strong></td>
<td>earning (1)</td>
<td>-</td>
</tr>
<tr>
<td><strong>(Subs earn IDC on list $25,000 per institution)</strong></td>
<td>exempt (2)</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total DC</strong></td>
<td></td>
<td>388,520.00</td>
</tr>
<tr>
<td><strong>MTDC</strong></td>
<td></td>
<td>381,550.00</td>
</tr>
<tr>
<td><strong>IDC</strong></td>
<td>61015</td>
<td>190,775.00</td>
</tr>
<tr>
<td><strong>Total Award</strong></td>
<td></td>
<td>579,295.00</td>
</tr>
</tbody>
</table>

### Directions

1. Fill in the budget for each applicable expense pool. The highlighted cells are excluded from IDC and not included in MTDC.
2. Enter the IDC rate in the green box next to pool 61015. The IDC will be calculated against the MTDC.
3. List all M&O items exempt from IDC and place total amount in **(a)**
   - The exempt items should be included in the 61006 total.
4. List each subcontract recipient. Include the subcontract amount that will earn IDC in **earning 1** and the total exempt from IDC in **exempt 2**.
   - The amounts will sum into the 61014 row.
5. The total direct costs and IDC should match the award notice.

Additional Comments for PAF
Budget Templates & Tools

Budget for Project Setup

- Mandatory effective 12/1/11
- Use for all budgets except cash based projects
- Located on the PAF and OSP website
- Two options to complete the Budget for Project Setup:
  1. Use the Budget for Project Setup template
  2. Utilize the Detailed Budget Template which will automatically feed into the Budget for Project Setup
Budget Templates & Tools

Detailed Budget Template

- Tool to build detailed internal budgets for proposals/grant applications
- Not required but a suggested tool
- Use for all budgets except cash based projects
- Two template versions available:
  1. Simple Detailed Budgets – for standard proposals
  2. Complex Detailed Budgets – for large projects (i.e. u-grants or large projects)
- Located on the PAF and OSP website
## Detailed Budget Worksheet

### Principal Investigator: Dr. John Doe

#### School/Department:

<table>
<thead>
<tr>
<th>Year</th>
<th>Direct Costs</th>
<th>Indirect Costs</th>
<th>Total Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Year</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Project Period</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

### A. SENIOR/KEY PERSON

#### Faculty Salary

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Percent Effort</th>
<th>Base Salary</th>
<th>Requested Salary</th>
<th>Fringe Rate</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dr. John Doe</td>
<td>PI</td>
<td>0%</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Dr. John Doe</td>
<td>Co-PI</td>
<td>0%</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>TBD</td>
<td></td>
<td>0%</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>TBD</td>
<td></td>
<td>0%</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>A&amp;P Salary</td>
<td></td>
<td>0%</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>TBD</td>
<td></td>
<td>0%</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

**Senior/Key Person Total from All Personnel**

**Senior/Key Person Total**

### B. OTHER PERSONNEL

#### Classified Salary

<table>
<thead>
<tr>
<th>TBD</th>
<th>Percent Effort</th>
<th>Base Salary</th>
<th>Requested Salary</th>
<th>Fringe Rate</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>$</td>
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<td></td>
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<td>$</td>
<td>$</td>
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<td>$</td>
</tr>
</tbody>
</table>

**Other Personnel Total from All Personnel**

**Other Personnel Total**

**All Personnel Fringe Benefits Total from All Personnel**

**All Personnel Fringe Benefits Total**

**ALL PERSONNEL TOTAL**

- **Salary Cap:**
  - Annual Inflation/Consumer Price Index Increase: 3%
  - Indirect Cost Rate: 52.0%
### Table: Costs

**EQUIPMENT** (permanent use items $5,000 or more)

<table>
<thead>
<tr>
<th>#1</th>
<th>#2</th>
<th>#3</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>$</td>
<td>-</td>
<td>$</td>
<td>-</td>
</tr>
</tbody>
</table>

**TRAVEL**

<table>
<thead>
<tr>
<th>Domestic</th>
<th>Foreign</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>$</td>
<td>-</td>
<td>$</td>
</tr>
</tbody>
</table>

**PARTICIPANT/TRAINEE COSTS** - **Leave Blank Unless Specifically Stated Otherwise in the Announcement for NIH and Other PHS Agencies**

<table>
<thead>
<tr>
<th>Expense Item 1</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>$</td>
<td>-</td>
</tr>
</tbody>
</table>

**OTHER DIRECT COSTS**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Budget Templates & Tools

Detailed Budget Template

https://inside.uthouston.edu/finance/sponsored-projects/grants/forms/index.htm
Revising Routed Proposals

Krystal Toups
Assistant Director, Grants, OSP
Revising Routed Proposals

• Submit only complete A&F packets (not drafts) – including the “on-time” proposals.

• A complete A&F Packet includes:

• Administrative pages of the Cayuse application should be complete once routed to OSP.

• If changes must be made to the administrative documents, notify OSP before making any changes.

• Proposals run the risk of not being submitted on time if they are changed after OSP applies the approval. They may also need to be re-reviewed.
General Info

Krystal Toups
Assistant Director, Grants, OSP
General Info

• Please follow-up on your requests to send documents to an agency.

• New team added to the matrix
  Contact My OSP Representative

• R&A form agency vs. prime

<table>
<thead>
<tr>
<th>SPONSOR</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsor/Agency</td>
<td>M.D. Anderson Cancer Center</td>
<td>Prime (Funding Agency If Subcontracting)</td>
</tr>
</tbody>
</table>
Hot Topics

Jodi Ogden, MBA, CRA

Executive Director, Sponsored Projects Administration