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.

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 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 of 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.

<table>
<thead>
<tr>
<th>Status History “Status”</th>
<th>Description</th>
<th>Submit with Status History Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notice Received</td>
<td>Correspondance from the sponsor that requires action by SPA (Notice of Award, Termination letter, approval of a request, etc.)</td>
<td>Attach a copy of the correspondance.</td>
</tr>
<tr>
<td>Active: Change Requested</td>
<td>Just in time information prior to receiving an award.</td>
<td>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.</td>
</tr>
<tr>
<td>Guarantee Requested</td>
<td>Department wishes to establish a project number prior to receiving a notice of award.</td>
<td><em>For initial request for a new/pending award only.</em> <em>(See Tasks, page 7, for subsequent guarantee requests.)</em> Attach completed guarantee request form and any supporting information from the sponsor.</td>
</tr>
<tr>
<td>Not Submitted</td>
<td>PI has opted not to submit a grant proposal that has been reviewed and approved by SPA.</td>
<td><em>For proposals to be submitted by Dept/PI only.</em> No documentation needed by SPA.</td>
</tr>
<tr>
<td>Active: Change Requested</td>
<td>No Cost Extension <em>(1st NIH)</em></td>
<td>Include:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. # of months to extend <em>(1–12)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Scientific justification for the extension</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Any revised/reduced effort for key personnel for the extension period</td>
</tr>
<tr>
<td>Active: Change Requested</td>
<td>No Cost Extension <em>(all others)</em></td>
<td>Draft letter to sponsor requesting the extension. Include in the letter:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. Justification for extension</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Revised end date</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. What will be accomplished during the extension period</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. Why work was delayed</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. Balance of funds remaining <em>(direct and indirect)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>6. Budget for the extension period</td>
</tr>
<tr>
<td></td>
<td></td>
<td>7. Description of costs that will be covered by department in the extension period</td>
</tr>
<tr>
<td>Active: Change Requested</td>
<td>Carry Forward</td>
<td><em>Only when sponsor approval is needed.</em> Draft letter to sponsor requesting the carry forward. Include in the letter:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1. Remaining balance, direct and indirect <em>(and in which year)</em></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Why work was delayed</td>
</tr>
</tbody>
</table>
| Active: Change Requested | Rebudget | Only when sponsor approval is needed. Draft letter to sponsor requesting the rebudget. Include in the letter:  
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 | Draft letter to sponsor requesting the PI/Key Personnel Change. Include in the letter:  
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)  
**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.** |
| Active: Change Requested | Change of PI or absence of PI for > 3 months. | Draft letter to sponsor requesting the PI Change. Include in the letter:  
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 | Draft letter to sponsor requesting the PI Change. Include in the letter:  
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 | 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. Submit to SPA the information requested by the program officer. This will typically include a formal letter of request.  
**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. Submit to SPA the information requested by the program officer. This will typically include a formal letter of request.** |
| Active: Change Requested | Add a subaward, subproject or site-out agreement | Provide details for the subaward/site-out:  
1. Subrecipient institution and PI |
2. Dates of subaward
3. Budget and justification
4. Scope of work
5. Subrecipient contacts (PI and administrative)

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.

For a subproject:
1. PI and Department for the subproject
2. Budget and justification including effort.
3. Rebudget to/from information

Note: Subprojects will only be created under the following circumstances:
1. Different UTHealth School
2. Subproject PI will dedicate >10% effort to the project and there are other personnel and costs associated with the subproject.

Active: Change Requested | Relinquishment/Termination
--- | ---
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.

PI’s leaving the institution shall complete the [Principal Investigator Separation Checklist](#) found on the Office of Research website.

Upon obtaining approval to relinquish a grant, provide the date of relinquishment and a copy of the written approval.

To initiate a change request, navigate the 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.
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 assignments 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.

<table>
<thead>
<tr>
<th>DUE DATE</th>
<th>REPORT NAME</th>
<th>CATEGORY</th>
<th>FORM</th>
<th>TEMPLATE</th>
<th>REPORT FREQUENCY</th>
<th>COMPLETED / SUBMITTED</th>
<th>STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>16-Jul-2019</td>
<td>PROGRESS_V1</td>
<td>Progress</td>
<td>RPRR</td>
<td></td>
<td>Annual</td>
<td>/</td>
<td>N/A</td>
</tr>
<tr>
<td>28-Dec-2020</td>
<td>PAR_FINAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td>28-Dec-2020</td>
<td>PROGRESS_FINAL</td>
<td>Progress</td>
<td>RPRR</td>
<td></td>
<td>Final</td>
<td>/</td>
<td>N/A</td>
</tr>
</tbody>
</table>

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 is 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.

<table>
<thead>
<tr>
<th>DUE -</th>
<th>REPORT NAME</th>
<th>CATEGORY</th>
<th>FORM</th>
<th>TEMPLATE</th>
<th>OPEN</th>
<th>DELETE</th>
<th>FREQUENCY</th>
<th>COMPLETED / SUBMITTED</th>
<th>STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>16-Jul-2019</td>
<td>PROGRESS_FR 1</td>
<td>Progress</td>
<td>KFR</td>
<td>Annual</td>
<td></td>
<td></td>
<td></td>
<td>Date 25 Jul 2019</td>
<td>N/A</td>
</tr>
<tr>
<td>28-Dec-2020</td>
<td>FSR_FINAL</td>
<td>FSR/Financial</td>
<td>SP423</td>
<td>Final</td>
<td></td>
<td></td>
<td></td>
<td>Date 26 Jul 2019</td>
<td>N/A</td>
</tr>
<tr>
<td>28-Dec-2020</td>
<td>PROGRESS_FINAL</td>
<td>Progress</td>
<td>KFR</td>
<td>Final</td>
<td></td>
<td></td>
<td></td>
<td>/</td>
<td>N/A</td>
</tr>
</tbody>
</table>

**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 3rd guarantee requests. Create a task and assign it to the AVP for Sponsored Projects. Attach any supporting documentation.
2. Assigning any task to any UTHHealth employee.
Proposal Tracking Tabs

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

Summary:

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:

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)**

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)**

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/departamental 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.

Communications:

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 UTHealth’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.

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.
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.

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

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.

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

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 UTHealth’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 UTHealth’s if receiving federal or CPRIT funds.
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:
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
Subrecipient vs. Contractor Form

SECTION 1. SUBRECIPIENT

Definition: A subrecipient is an entity or organization that has the authority and responsibility for the performance of a portion of a Federal program funded through an agreement with a Federal entity. The subrecipient is accountable to the Federal entity for the proper and efficient use of Federal funds and for achieving the objectives of the program.

Each subrecipient must be determined to be eligible by the Federal entity to receive Federal assistance.

1. Criteria for determining eligibility:
   a. Has the capability and capacity to perform the work of the subrecipient.
   b. Has the integrity and business capability to perform the work of the subrecipient.
   c. Has the financial stability to perform the work of the subrecipient.
   d. Has the legal ability to perform the work of the subrecipient.

SECTION 2. CONTRACTOR

Definition: A contractor is an individual or an entity that is not a subrecipient and is not otherwise subject to the terms and conditions of the Federal entity.

Each contractor must be determined to be eligible by the Federal entity to receive Federal assistance.

1. Criteria for determining eligibility:
   a. Has the capability and capacity to perform the work of the contractor.
   b. Has the integrity and business capability to perform the work of the contractor.
   c. Has the financial stability to perform the work of the contractor.
   d. Has the legal ability to perform the work of the contractor.

FINAL DETERMINATION

SUBRECIPIENT

OPTIONAL - SECTION 3. USE OF GUIDELINES (Use only when the determination cannot clearly be made under the above criteria)

Guidelines: The guidelines are intended to provide a framework for making determinations that are consistent with the applicable laws and regulations.

1. Factors to consider:
   a. The nature and scope of the agreement.
   b. The performance record of the entity or organization.
   c. The financial stability of the entity or organization.
   d. The legal ability of the entity or organization to perform the work.

Explanation of Use of Agreement/Performance:

Prepared by: [Name]

Date: [Date]
### Subrecipient Risk Assessment Questionnaire (RAQ)

**Institution:**
- Date: 17-Jul-2019

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

**Date of Audit Review:** 17-Jul-2019
**Date of SAM Review:** 17-Jul-2019

<table>
<thead>
<tr>
<th>Category</th>
<th>Lower Risk (0)</th>
<th>Medium Risk (1)</th>
<th>Higher Risk (2)</th>
<th>Risk Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Foreign vs Domestic</td>
<td>Domestic</td>
<td>Canada, US Territories</td>
<td>All other</td>
<td>0</td>
</tr>
<tr>
<td>Audit Report</td>
<td>Single Audit</td>
<td>Annual 3rd Party Audit</td>
<td>No Financial Audit</td>
<td>0</td>
</tr>
<tr>
<td>Audit Findings</td>
<td>None/Not related to grants</td>
<td>Immaterial</td>
<td>Material</td>
<td>0</td>
</tr>
<tr>
<td>Amount/Percentage of Subaward vs. UTH Award</td>
<td>&lt;25% or &lt;$100K</td>
<td>25%-49% or $100K-$500K</td>
<td>&gt;50% or &gt;$500K</td>
<td>1</td>
</tr>
<tr>
<td>Prior Experience with UTH</td>
<td>Previous Positive Experience</td>
<td>Previous experience, may have some concerns</td>
<td>No Experience of Previous Negative Experience</td>
<td>0</td>
</tr>
<tr>
<td>Difficulty of SOW</td>
<td>Entity must deliverables (e.g., report only)</td>
<td>Dataset Only</td>
<td>Tangible Product, Patent Entitlement</td>
<td>1</td>
</tr>
<tr>
<td>Compliance</td>
<td>No HS or animals</td>
<td>HS, non-clinical, or rodents</td>
<td>HS, clinical, or pure animals</td>
<td>1</td>
</tr>
<tr>
<td>Cost Sharing</td>
<td>No cost sharing</td>
<td>Voluntary cost sharing</td>
<td>Mandatory cost sharing</td>
<td></td>
</tr>
</tbody>
</table>

**Total Risk Score:** 3

*Risk, Lower Risk (0-4) - No additional measures*

### Subaward Agreement

**FDP Cost Reimbursement Research Subaward Agreement**

**Federal Awarding Agency:** National Institutes of Health (NIH)

**Pass-Through Entity (PTE):**
- University of Texas Health Science Center at Houston
- PI: Reuben Investigator
- PTE Federal Award No: R21123123

**Subrecipient:**
- University of Texas MD Anderson Cancer Center (MDACC)
- PI: Roscoe MDA PI
- Subaward No: 0000000146

**Project Title:** SubAward for Institution # P000556

**Subaward Period of Performance (Budget Period):**
- Start: 01/01/2021
- End: 08/31/2021

**Amount Funded This Action (USD):** $
**Incrementally Estimated Total (USD):** $

**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.

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

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 to the PeopleSoft Account Summary Report but provides the ability to drill down to transaction level information by clicking on any of the blue hyperlinks.

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

2. Initial budget – The original awarded budget from the sponsor. This budget will not change. For projects 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:

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

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

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:**

**Using a subtab:**
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.

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.

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

Clinical Trial Invoicing and Revenue

See Clinical Trial Invoicing and Revenue Training Guide