WUSM RA Forum
September 2007
Grants & Contracts
NIH Update
Announcing 2008 NIH Regional Seminars in Program Funding and Grants Administration

The 2008 seminars will be held:

March 25-26, 2008 – San Antonio, Texas. This two day seminar will be hosted by the University of Texas Health Science Center at San Antonio.

June 19-20, 2008 – Chicago, Illinois. This two day seminar will be hosted by the University of Illinois at Chicago.

G&C Update
Budgets with No Guidelines

- In situations where the sponsor does not require a budget justification, G&C will handle proposal similar to a NIH/Modular proposal as a default.

- Personnel costs should be justified.

- Non-personnel costs will not require justification.
How to Create a PC Form in PDS

1. Go To: Research Administration --> Proposal Development --> Proposal Forms > Proposal Certification

2. Enter PDS Doc #, Search

3. Enter appropriate information under "Proposal Certification" Tab

4. Go To "Proposal Certificate Generation" Tab

5. Click: Yellow "Produce Certificate" Button

6. Click: Yellow "Refresh" Button until "Run Status" changes to "Success" and View Proposal Certificate appears

7. Click: View Proposal Certificate
At this point, one of two things will happen:
1. The PC form will generate in a new window (OR)

2. A new window will appear stating A) an error has occurred or B) Please sign in to AIS
   With either option, sign into the new window

At this point, one of two things will happen:

1. The PC form will generate in the new window you just signed into (OR)

2. The new window will sign you into AIS
   At this point, go back to the original window used to generate the PC form and click View Proposal Certificate again. The PC form will generate in a new window.
# How to Calculate the Percentage of Unobligated Balance

## Scenario:

<table>
<thead>
<tr>
<th></th>
<th>Year 1</th>
<th>Year 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>NoA (approved budget)</td>
<td>$382,500</td>
<td>$382,500</td>
</tr>
<tr>
<td>Previous Year Carryover</td>
<td>0</td>
<td>$50,000</td>
</tr>
<tr>
<td>Total Expenditures</td>
<td>$332,500</td>
<td>$327,000</td>
</tr>
<tr>
<td>Unobligated Balance</td>
<td>$50,000</td>
<td>$105,500</td>
</tr>
</tbody>
</table>

- Account keeps the same fund number for the entire competitive segment
- All amounts are Total Costs (Direct Costs plus F&A)
How to Calculate the Percentage of Unobligated Balance (Cont.)

Question:
Is it anticipated that the year two estimated unobligated balance (including prior year carryover) will be greater than 25 percent of the current year’s total budget?

Calculations:
Divide the unobligated balance by the applicable year’s NoA approved budget
Examples:
Year 2: $105,500/$382,500 = .275 or 28%

Answer:
Yes, year two estimated unobligated balance is anticipated to be greater than 25 percent

Why:
The year 2 NoA amount is $382,500 and the unobligated balance is $105,500. $105,500 divided by $382,500 = .275 or 28%.

Note: 25 percent of $382,500 is $95,625.
How to Calculate the Percentage of Unobligated Balance (Cont.)

What not to do:

Do not add the $50,000 carryover to the year 2 NoA approved budget when calculating the percent of the unobligated balance

Example:
Year 2: $105,500/$432,500 = .244 or 24%

Reminder:
When providing an explanation of an unobligated balance greater than 25%, you should explain why there is a significant unobligated balance and how you plan to spend the unobligated balance during the next budget period.

NOTE: How you plan to spend the unobligated balance should not include any budgetary overlap with the next budget period. If NIH picks up on any budgetary overlap, NIH will deduct the overlapping funding from the next award period.
New Procedure

Salary, Effort and Cost Sharing Documentation

- **Effort**
  All competitive grants – If personnel from another department are devoting effort on a grant, the prime Department Administrator (DA) needs to identify, in the PDS Doc Comments section, who in that person’s department verified the effort.

- **Salary**
  Competitive, full-budget grants only (not Modular) – If salary is requested for personnel from a department other than the prime department, the prime DA needs to identify, in the PDS Doc Comments section, who in that person’s department verified the salary.

- **Cost Sharing**
  All competitive grants - If personnel from another department are devoting effort on a grant and all or part of their effort is being cost shared, this information needs to always be verified through email, by the respective DAs and forwarded to G&C.

Note: *Instances where the Cost Sharing is directly related to the NIH Salary Cap will be excluded from this practice.*
Reminder:

When dropping items off (applications, letters, etc.) to G&C for review and signature, please provide the following:

- **Signature page(s):**
  The original(s) and a copy of all page(s) that require Institutional signature

- **All other page(s):**
  One copy of all other applicable page(s).
## Fiscal Year Comparison

### Proposal Submissions - Historical Comparison

<table>
<thead>
<tr>
<th>QUARTER ENDED</th>
<th>FY06</th>
<th>FY07</th>
<th>FY08</th>
<th>FY09</th>
<th>FY00</th>
<th>FY01</th>
<th>FY02</th>
<th>FY03</th>
<th>FY04</th>
<th>FY05</th>
<th>FY06</th>
<th>FY07</th>
<th>% CHANGE FROM FY06</th>
</tr>
</thead>
<tbody>
<tr>
<td>September</td>
<td>372</td>
<td>356</td>
<td>321</td>
<td>360</td>
<td>311</td>
<td>352</td>
<td>318</td>
<td>396</td>
<td>537</td>
<td>530</td>
<td>524</td>
<td>472</td>
<td>-9.92%</td>
</tr>
<tr>
<td>December</td>
<td>335</td>
<td>363</td>
<td>327</td>
<td>341</td>
<td>359</td>
<td>347</td>
<td>358</td>
<td>385</td>
<td>488</td>
<td>465</td>
<td>470</td>
<td>562</td>
<td>19.57%</td>
</tr>
<tr>
<td>March</td>
<td>452</td>
<td>430</td>
<td>479</td>
<td>486</td>
<td>482</td>
<td>472</td>
<td>552</td>
<td>650</td>
<td>749</td>
<td>789</td>
<td>730</td>
<td>766</td>
<td>7.67%</td>
</tr>
<tr>
<td>June</td>
<td>370</td>
<td>445</td>
<td>409</td>
<td>450</td>
<td>453</td>
<td>492</td>
<td>457</td>
<td>684</td>
<td>660</td>
<td>762</td>
<td>741</td>
<td>749</td>
<td>1.08%</td>
</tr>
<tr>
<td>TOTAL</td>
<td>1529</td>
<td>1594</td>
<td>1536</td>
<td>1637</td>
<td>1605</td>
<td>1663</td>
<td>1725</td>
<td>2015</td>
<td>2424</td>
<td>2555</td>
<td>2465</td>
<td>2569</td>
<td>4.22%</td>
</tr>
</tbody>
</table>

### FY07 / FY06 Comparison

<table>
<thead>
<tr>
<th>PROPOSALS PROCESSED*</th>
<th>FY07</th>
<th>FY06</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number Processed</td>
<td>% of Total</td>
<td>Number Processed</td>
</tr>
<tr>
<td>Government</td>
<td>1580</td>
<td>62%</td>
</tr>
<tr>
<td>Non-government</td>
<td>988</td>
<td>38%</td>
</tr>
<tr>
<td><strong>Total Processed</strong></td>
<td>**2569</td>
<td>2465**</td>
</tr>
<tr>
<td>Processed Prior to Last 3 Days Before Deadline</td>
<td>1201</td>
<td>47%</td>
</tr>
<tr>
<td>Processed Last Day Before Deadline**</td>
<td>777</td>
<td><strong>30%</strong></td>
</tr>
<tr>
<td>Processed Last 3 Days Before Deadline***</td>
<td>1388</td>
<td>53%</td>
</tr>
</tbody>
</table>

* Proposals submitted to external funding agencies

** Last Day = processed the day the proposal must be submitted to the agency

*** Last 3 Days = processed within 3 days before the agency deadline date (includes Last Day numbers)

- The number of proposal submissions increased by 4.22% in Fiscal Year 2007
G&C is Moving!

- The Grants and Contracts Office Will Be Moving
- Location - 22 N. Euclid (just beyond Einstein's)
- Time Frame - Late 2nd Quarter, FY08-Still TBD
- Additional information will be forthcoming when times and dates are more definitive.
G&C Website
Updated Items
PLEASE NOTE: Samples are provided for illustration purposes only; they may NOT represent the most current version of the form.

- WUSM Populated PHS 2590 Face Page (Form Page 1)
- WUSM Populated PHS 398 Face Page (Form Page 1)
Updated Human Education Letter
Go to “http://grantsandcontracts.wustl.edu”
Click on “Forms and Letters”
Click on “Human Subjects Education Letter & Template”

Updated G&C Organizational Chart
Go to “http://grantsandcontracts.wustl.edu”
Click on “Contacts”
Click on “Grants and Contracts Office”
Questions