

**8/23/2021**
**PADR #: 1**
**Office of Sponsored Projects Administration Project Account Data Record**
**PADR Information**
**Account # for posting project expenditures**

<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;"><b>1</b> Account</td> <td>32XXXXXXXXX Awarded</td> </tr> <tr> <td><b>2</b> MIS#</td> <td>202006190830</td> </tr> <tr> <td><b>3</b> Research Administrator</td> <td>RA Name RA-email@uky.edu XXX-XXXX</td> </tr> <tr> <td><b>4</b> Financial Administrator</td> <td>FA Name FA-email@uky.edu XXX-XXXX</td> </tr> <tr> <td><b>5</b> Project History</td> <td></td> </tr> <tr> <td><b>6</b> Principal Investigator</td> <td>PI Name PI Department Department address PI-email@uky.edu</td> </tr> <tr> <td><b>7</b> Sponsor ID</td> <td>2019-1210 3R01AG999999-99S9</td> </tr> </table>	<b>1</b> Account	32XXXXXXXXX Awarded	<b>2</b> MIS#	202006190830	<b>3</b> Research Administrator	RA Name RA-email@uky.edu XXX-XXXX	<b>4</b> Financial Administrator	FA Name FA-email@uky.edu XXX-XXXX	<b>5</b> Project History		<b>6</b> Principal Investigator	PI Name PI Department Department address PI-email@uky.edu	<b>7</b> Sponsor ID	2019-1210 3R01AG999999-99S9	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;"><b>8</b> Project Title</td> <td>Project Title</td> </tr> <tr> <td><b>9</b> CFDA</td> <td>93.866</td> </tr> <tr> <td><b>10</b> Sponsor</td> <td><b>Name:</b> Sponsor Name <b>Number:</b> Sponsor Number</td> </tr> <tr> <td><b>11</b> Project Period</td> <td><b>Start Date:</b>8/19/2019 <b>End Date:</b> 5/31/2022</td> </tr> <tr> <td><b>12</b> Budget Period</td> <td><b>Start Date:</b>5/5/2021 <b>End Date:</b> 5/31/2022</td> </tr> <tr> <td><b>13</b> Account Type</td> <td>Prime</td> </tr> <tr> <td><b>14</b> Indirect Cost Information</td> <td><b>Overhead Rate:</b>53.00</td> </tr> <tr> <td><b>15</b> Award Type</td> <td>Cost Reimbursement Subgrant</td> </tr> <tr> <td><b>16</b> Responsible Unit</td> <td>8GXXX Department Name</td> </tr> </table>	<b>8</b> Project Title	Project Title	<b>9</b> CFDA	93.866	<b>10</b> Sponsor	<b>Name:</b> Sponsor Name <b>Number:</b> Sponsor Number	<b>11</b> Project Period	<b>Start Date:</b> 8/19/2019 <b>End Date:</b> 5/31/2022	<b>12</b> Budget Period	<b>Start Date:</b> 5/5/2021 <b>End Date:</b> 5/31/2022	<b>13</b> Account Type	Prime	<b>14</b> Indirect Cost Information	<b>Overhead Rate:</b> 53.00	<b>15</b> Award Type	Cost Reimbursement Subgrant	<b>16</b> Responsible Unit	8GXXX Department Name
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**PI (Principal Investigator) as listed on the Internal Approval Form**
**Project Period is time frame of project.  
Budget Period is time frame of when allowable expenses can be posted.**
**Award #/Sponsor ID #**
**Co-Investigators**

Co-I Name	Co-I Name (2)
Co-I Department	Co-I Department (2)
Co-I-email@uky.edu	Co-I2-email@uky.edu

**Co-I(s) as listed on the Internal Approval Form**
**Budget Information**
**BudRule: 4**

Sponsor Class	Revision	Amount
E511000 Direct Salary & Benefits	\$162,283	\$162,283
E530300 Direct Current Expense	\$87,717	\$87,717
E590020 F&A Costs	\$132,500	\$132,500
<b>Total</b>	<b>\$382,500</b>	<b>\$382,500</b>

**Source of Funds**

Category	Revision	Amount
New funds, current period	\$382,500	\$382,500
Carry fwd, prior periods	\$0	\$0
Project Fees and other income	\$0	\$0
<b>Total Project Commitments</b>	<b>\$382,500</b>	<b>\$382,500</b>

**Important internal contact information – the RA (Research Administrator in the Office of Sponsored Projects) and FA (Financial Administrator in Research Financial Services).**

**For questions related to the grant: contact your College Grants Officer (Rick Mullins or Katie Riley).**

**The award's budget translated into UK's Financial System (SAP). When funds are added to the account, a detailed budget and justification will be included with the PADR.**

**Sponsors often specify programmatic or financial restrictions for a project. For example, budget revisions into certain budget categories may require sponsor prior approval. Or certain personnel cannot be removed from the grant or have their effort reduced without prior approval. The PADR Remarks section details such requirements. The PADR Remarks also may detail any special PI responsibilities with respect to reporting. PIs are encouraged to review their Sponsor award document in detail as the PADR Remarks are only a summary of Sponsor requirements and PI responsibilities.**

**REMARKS**

PADR1: To establish restricted scope for supp

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval

NOTICE: Any clinical trial(s) supported by this award are required to be registered on ClinicalTrials.gov no later than 21 days after enrollment of the first participant. Many journals require registration prior to enrolling the first participant as a condition of publication. Primary summary results must also be reported on ClinicalTrials.gov not later than one year after the primary completion date. For clarification of these requirements contact OSPA's Clinical Trial Compliance Administrator. Prior Approval is required for the following:

- (1) Change in scope. Potential indicators of a change in scope include, but are not limited to:
  - \* Change in the specific aims approved at the time of award.
  - \* Substitution of one animal model for another.
  - \* Change from the approved use of live vertebrate animals or involvement of human subjects.
  - \* Shift of the research emphasis from one disease area to another.
  - \* A clinical hold by FDA under a study involving an IND or an IDE.
  - \* Application of a new technology, e.g., changing assays from those approved to a different type of assay.
  - \* Transfer of the performance of substantive programmatic work to a third party through a consortium agreement, by contract, or any other means. If the third party is a foreign component, NIH prior approval is always required.
  - \* Change in other senior/key personnel not specifically named in the Award.
  - \* Significant rebudgeting, whether or not the particular expenditure(s) require prior approval. Significant rebudgeting occurs when expenditures in a single direct cost budget category deviate (increase or decrease) from the categorical commitment level established for the budget period by 25 percent or more of the total costs awarded. Significant rebudgeting does not apply to modular grants.
  - \* Incurrence of research patient care costs if costs in that category were not previously approved by NIH or if a grantee desires to rebudget additional funds beyond those approved into or rebudget funds out of the research patient care category.
  - \* Purchase of a unit of equipment exceeding \$25,000
- (2) Change in status of the PD/PI or senior/key personnel named in the Notice of Award
  - \* withdrawal from the project
  - \* absence for any continuous period of 3 months or more, or
  - \* reduction of the level of effort devoted to the project by 25% or more from what was approved in the initial competing year
- (3) Change of institution
- (4) Deviation for award terms and conditions including undertaking activities disapproved or restricted in the award
- (5) Adding a foreign component
- (6) Rebudgeting funds from trainee costs
- (7) Incurrence of participant support costs if not authorized in the specific funding opportunity announcement
- (8) Capital expenditures (construction, land or building acquisition; conveyance, transfer, assignment, mortgage, lease or encumber real property acquired with NIH funds)
- (9) Alterations & Renovation that would exceed 25% of the total approved budget for a budget period or any single expenditure exceeding \$500,000
- (10) Rebudgeting funds between construction and non-construction work
- (11) Retention of research grant funds when a Career Development Award is funded
- (12) Pre-award costs more than 90 days before the effective date of the initial budget period of a project period
- (13) Additional no-cost extension greater than 12 months or late notification of an initial no cost extension

Salary Cap: No funds shall be used to pay the salary of an individual at a rate in excess of Executive Level II of the Federal Executive pay scale.

Reports: The PI must submit a RPPR progress report 45 days (for SNAP awards) or two months (non-SNAP) before the conclusion of the budget period. Future funding is contingent upon progress. The PI must submit a final progress report and Final Invention Statement and Certification within 120 calendar days of the end of grant.

This award is subject to the NIH Public Access Policy which requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central upon acceptance for publication. The Policy requires that these papers are accessible to the public on PubMed Central no later than 12 months after publication.

**Notes for Research Financial Services regarding invoicing or payment.**

**RFS REMARKS**

send monthly invoices to NAME

**ACCOUNT INFORMATION**

1	Billing Rule	RRB – Non-Letter of Credit (0001)
2	Final Fiscal Report	8/29/2022
3	Functional Area	0220
4	IDC Rule	Calculate at Payment (0001)
5	LOC Type	
6	LOC Number	
7	Method of Payment	CASH/CHECK
8	External Fund	XXXXXXXXXX
9	Life Cycle	AW
10	User Status	E0003
11	Award Received	Y

Sponsored Program	ID
7H030-0220	1

Fiscal Report Format	Frequency	ID	Due Date
04 (UKRF Invoice Cost reimbursement)	MONT	1	

**COST SHARING INFORMATION**

**This is the cost share fund number.**

<b>Date</b> 8/23/2021	<b>PI</b>	<b>PI Name</b>
<b>Account</b> 32XXXXXXXXX	<b>UKRF/MIS#</b>	202006190830
<b>Title</b> Project Title	<b>Fund</b>	XXXXXXXXXXXX
<b>Sponsor</b> Name of Sponsor		

The above referenced account has a cost sharing obligation which must be documented in accordance with University of Kentucky Cost Sharing Guidelines. Cost sharing was either committed in the proposed budget or is a result of the actual award totaling less than the proposed budget. Details are outlined below.

- This sponsored project includes a requirement to report cost sharing directly to the sponsor.
- Faculty effort is committed as cost sharing and must be documented through the Faculty Effort System.

**When "checked" these fields indicate whether cost share must be reported to the sponsor or whether faculty effort is cost shared.**

**Sponsored Project Accounting Reporting Details**

F&A Rate	Base	Func.Area	Is Off Campus	Budget Rule
53.00	4	0220	N	4

**PROPOSED COST SHARING COMMITMENT**

**This provides details about the type and amount of cost sharing commitments, if any.**

Completed by Office of Sponsored Projects Administration

Method	Budget Detail	Percent	Year	Amount	Matching Funds
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Total Cost:

Direct Cost:

Remarks:

**The "Remarks" section contains additional details about cost share calculations, including cost shared effort, in any.**

## **PADR-at-a-Glance:**

*What's a PADR? When a PI receives an award for a sponsored project from a source outside of UK, OSPA will set up an account against which a PI and his/her department staff will post project expenses. OSPA generates a "PADR," or Project Account Data Record, for the initial account set up. Each time OSPA changes the account, the Research Administrator (RA) generates a new PADR. They are numbered sequentially. All PADRs are distributed to the Principal Investigator (PI), any Co-Investigator(s) (Co-Is), and College and Departmental Business Officer(s).*

### **PADR Page 1**

1. **Account:** Internal tracking number for awards (also referred to as the WBS number), use when contacting UK staff.
2. **MIS:** Internal tracking number for OSPA.
3. **Research Administrator:** Primary OSPA contact.
4. **Financial Administrator:** Primary Research Financial Services (RFS) contact.
5. **Project History:** "New" for new projects; if project has had previous years, will list previous account number(s).
6. **Principal Investigator:** PI has primary responsibility for the project.
7. **Sponsor ID:** Also referred to as the Award ID number.
8. **Project Title:** Corresponds to the Award title.
9. **CFDA:** Catalogue of Federal Domestic Assistance is a tracking number for funding that is federal in origin, used for federally funded grants and cooperative agreements.
10. **Sponsor:** The sponsor is the agency/entity that has funded the project.
11. **Project Period:** Start and end dates of the entire project, from project start to project completion.
12. **Budget Period:** Start and end dates of the current budget. If a sponsor provides additional funds each year, then the PADR reflects the current budget but not future years of anticipated funding.
13. **Account Type:** Displays the type of account. For example: Scope, Grant, Clinical, etc...
14. **Indirect Cost Information:** The portion of the total award that is budgeted for Facilities and Administrative (F&A) costs (Indirect or Overhead costs). UKRF's federally negotiated F&A rate agreement guides what rate applies.
15. **Award Type:** If Cost Reimbursement, payment is received for allowable expenses incurred. If Fixed Price, then the total payment amount is agreed upon up-front regardless of how much it costs to complete the project.
16. **Responsible Unit:** Name and number of the department with primary financial responsibility for the project.
17. **Co-Investigator(s):** The Co-Is on a project. The information taken from a project's Internal Approval Form that must be electronically approved by the PI and all Co-Is, their department chairs/directors, and ADRs.
18. **Budget Information:** This is the award budget translated into a budget that appears in UK's financial system, SAP. The Sponsored Class is the budget line for each type of funding. As funds are added to the account in increments, "Revision" will show those incremental amounts and "Amount" shows the total available budget in each line. "BudRule" is the budgeting rule that guides how detailed an account budget must be in terms of budget lines. For example, Budget Rule 4 is the most detailed with the greatest number of budget categories to choose from and is used for federally funded projects. Budget Rule 9 is used for Fixed Price agreements and lists only direct and indirect costs. Budget Rule 5 is used for projects that are not federally funded and are not fixed price. Additional restrictions may apply; see PADR Remarks.

**19. Source of Funds:** For a new project, the funds will be New. If the project has had previous accounts, any funding from previous accounts that can be used in the current account is listed as Carry Forward. If a project generates any type of income of fees, then those funds are listed separate from the other account funding as “Project Fees and other Income.”

### **PADR Remarks:**

This page of the PADR is updated each time the account is updated. For example, PADR 1 details when the account was created. When a change is made to the account, PADR 2 is created and a remark entitled “PADR 2” is added to the top detailing why and how your account was updated. Additional remarks detail programmatic and other requirements that are important for the PI and the department in completing the project according to sponsor requirements. RFS remarks are at the bottom of the page detailing accounting code information for RFS.

### **PADR Page 3**

This page of the PADR primarily contains information for Research Financial Services (RFS) regarding how expenses are charged to the account, how any Facilities and Administrative (F&A) expenses are charged, and financial reporting requirements.

### **Cost Share:**

This section details whether there are any cost sharing commitments on the account. Cost Share is any project cost that is not covered by the sponsor. The sample PADR Cost Share Form (page 4) points out critical items of information regarding the cost share form.