

### Award: Allocations, Budgets, and Projects

Awards in UFIRST may be divided into smaller separate “projects” which are further made of “allocations”. These divisions of the overall award budget assist faculty and departments in appropriately managing funds. This document will briefly describe allocations, budgets, and projects and provide some best practices for review and setup.

#### Allocations

1. An allocation is a single release or increment of funds into a project. This may take the form of a budget period, option period, or financial release (i.e. administrative supplement) for a single project. DSP best practice is a new allocation for each increment or release of funds. Awards where all funds are received up front, regardless of period of performance, do not require multiple allocations (examples include some state of Florida or National Science Foundation awards), but DSP best practice is to setup in one allocation per budget period.
2. At time of award creation, each period in the proposal budget will generate an allocation in the UFIRST award record.
3. By default, the allocation name is the name of the associated budget in the UFIRST proposal record. The allocation name does not map to myUFL or myinvestiGator, but should be helpful and allow for identification of the action occurring. DSP does not have a best practice for standard allocation naming convention; this is up to the discretion of the unit.
4. Under each allocation, dollars that are entered as “Sponsor Authorized” are counted and reported in the University Awards reports quarterly and annually.
5. If allocations created at time of initial award setup are not needed, they may be deleted.
6. Sponsor Authorized should rarely be reduced. This is because dollars are counted based upon what was awarded. A future action to reduce funding does not change the fact that the dollars were initially awarded to UF.
  - a. One situation that warrants reducing sponsor authorized is setup/ release error-such as adding the same check to an award record more than once or incorrectly releasing budget.
  - b. A standard closeout deobligation amendment does not warrant reducing sponsor authorized.

If unclear, discuss w/ DSP Leadership prior to reducing.

#### Projects

1. A project is a distinct chartfield that maps to myUFL and is used for managing funds at the departmental, unit, or project level. An award may be managed in one or split into many projects, depending on the needs of the award and/or responsible unit.
2. At time of award creation, each budget created in the UFIRST proposal will generate a project in the UFIRST award record. Projects may be added or deleted as necessary.
3. Project title naming convention is up to the PI and/or Department. Best practice is to name the project something unique to identify projects in searches in myUFL, myInvestiGator, UFIRST and other UF reporting tools. Simply naming is “Smith Subproject” may not be useful assuming Dr. Smith works on many awards and it would be difficult to identify to which award this relates. Similarly, Year 1, Year 2

would be difficult assuming that other awards also have Year 1, Year 2 projects. Including “Smith, Y1, Helmet Safety” might be more useful.

4. Project Manager is the individual responsible for overall direction and financial management of the project. The Project Unit Administrative Contact (PUAC) is the individual responsible for the administration of the project. Project Manager is not the same as a Key Personnel designation; it simply means that individual is responsible for management of funds under the award umbrella. The award sponsor may or may not know that they are working on the award. A project manager does not need to have PI eligibility status.
5. The project purpose is based on the fundamental focus of the scope of work outlined in the proposal or award documentation. UF definitions can be found here: <http://research.ufl.edu/dsp/award-management/notice-of-award-acceptance-noa.html>.
  - a. While largely subjective, some award types or programs should generally match 1:1: Clinical Trials – Applied Research, IFAS Extension programs – Extension/Public Service, NIH Training Grants (T) – Research Training. An award that is export controlled is not usually Basic Research (unless only the equipment is controlled).
  - b. In general the purpose should be in line with the F&A type entered on page 5.1 ‘Project Setup’.
6. Project Type is an attribute that further defines the project purpose reflected in the scope of work. UF definitions can be found here <http://research.ufl.edu/dsp/award-management/notice-of-award-acceptance-noa.html>.
  - a. Some key award types or programs should always match a particular project type. Examples include: Clinical Trials, NSF CAREER awards, Equipment projects, and REU projects (Participant support).
7. New projects should be created when any of the following occur:
  - a. Multiple F&A rates are in use within the award.
  - b. Sponsor restricts re-budgeting between specific categories such as patient care or participant support.
  - c. A supplement or specific amount is provided for a restricted purpose (NIH Diversity supplements).
  - d. Financial management and reporting needs require. Examples include: tracking by task or prior approval is required for carryforward therefore tracking by budget/ funding year is required.
  - e. Project managers or responsible units desire to segregate and manage funds at the project manager level.

### Budgets

1. Budgets are initially created in the UIRST proposal module at the direction of the responsible unit.
2. After the UFIRST award is created and the proposal is linked to the appropriate allocation, budget category values can be imported into the Award budget reconciliation page (5.3).
3. Budget release upon new award setup will match the sponsor documentation in order to establish initial sponsor baseline.
4. If initial release categories or amounts are unacceptable to the PI or department, further communication with the sponsor, facilitated by DSP, is necessary.
5. The ‘Indirect Manual Adjustment’ line should be used sparingly and when rounding has brought the difference to within +/- \$1.

6. Larger amounts in the indirect manual adjustment budget category indicate a need for further discussion between departmental staff, DSP and the C&G accountant assigned to the award.
7. Participant support budgets must be in their own project and the budget should be allocated to their native spending categories (i.e. books, travel).
8. Scenarios with Budget > Sponsor Authorized should be reviewed thoroughly.