Awards: New Award Setup

The UFIRST Award (AWD) Module allows Principal Investigators, Departments, and Core Offices at UF to collaboratively manage and access information about sponsor funded awards at the University.

When UF receives a funding document that establishes a new award, a new UFIRST AWD record must be setup to manage that AWD. Funding documents may take a variety of forms and can consist of a letter, a federal Notice of Award, a purchase order, a task order, or a bilateral agreement that was negotiated and signed by the Sponsor and a UF Authorized Official. If you are in doubt whether the document officially awards funds to the University, or if you are uncertain if the document indicates a brand new award (as opposed to continued or supplemental funding on an existing award), please reach out to the Division of Sponsored Programs (DSP) for guidance (ufawards@ufl.edu).

Each AWD 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. Projects are setup with a designated Project Manager. This person is generally a UF faculty member that is responsible for the budget released into their project. An "allocation" is a single release of funds into a project and can be used to release one budget period, option period, or supplement (such as an administrative supplement) for a single project.

To Create a New UFIRST AWD Record:

1. ***Locate*** the UFIRST proposal (PRO) which was routed for this award. Every AWD requires a UFIRST PRO to be routed and approved by the appropriate unit. If no proposal was routed to request the funding, you will need to ***create*** one now and route it for appropriate approvals. (See the New Proposal Setup instruction guide under Additional Resources.) Note: Any limits on funding, including F&A, for an award which was not routed prior to sponsor consideration may have to be renegotiated. When the PRO is in state of *Pending Sponsor Review*, come back to this instruction guide and start at step 1.

2. In the PRO workspace, ***click*** on the "Related Items" tab.
    a. If no agreement (AGR) record is associated with the PRO, ***click*** on the "Create Award" button under "My Activities."


    b. If an agreement (AGR) record is associated with the PRO, ***click*** on the AGR##### link to navigate to the AGR workspace. From the AGR workspace, ***click*** on the "Create Award" button under "Activities", if available. Although you may start a new AWD from the PRO record, it will not automatically pull in all of the Compliance activities that were completed in the AGR. Please

note the "Create Award" button will not be available on an AGR record that is not fully executed and/or was not created from a funded PRO.
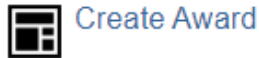

3. The "Create Award" activity will generate a new AWD record and will open this new record to the first page of the AWD Smartform in the same browser window. It may take a few moments to generate this AWD record depending on the complexity of the PRO.

Note: When DSP starts the AWD it begins in a state of *Draft.* DSP sends to the department for additional review and verification by *clicking* "Send to Responsible Unit" under "My Activities." The state transitions to *Pending Responsible Unit Edits*. This is also the state that the AWD starts in when a department user starts the AWD.

4. ***Complete*** all of the fields in page 1.0 of the Smartform. Note that many of the fields on this page will be populated with data from the PRO (or AGR) record. Please review this data to ensure it is still accurate according to the award documents. You may use the Notes box on this page to add any additional or pertinent information (e.g. "Budget was cut by 3% by Sponsor at time of award and PI has elected not to change the Scope of Work") that will assist core office staff in processing the AWD.

   a. DSP staff must ensure ALL official documentation is attached to the award record, including the Notice of Award or Fully Executed Agreement, approved proposal, budget, and budget justification if one is present, along with any documentation unique to the specific record, such as F&A rate determination. See Official & Supporting Documents.

      i. If you see an item that should be in official that is incorrectly uploaded, move to the correct location before moving forward. If duplicate entries are included, resolve by removing from the incorrect location before moving forward.

   b. Once page 1.0 is completed, *save* the page either by *clicking* on "Save" or by *clicking* "Continue" at the bottom right corner.
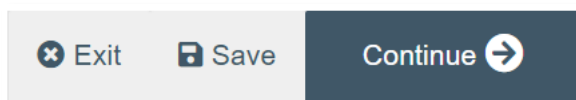
5. On page 2.0, Personnel, you may add or remove access to the AWD record under field 2.0 and 3.0 for editing and viewing privileges. Changes to field 1.0, for Senior-Key Personnel, should not be made without first consulting DSP. Most Sponsors require prior approval for changes to Senior-Key Personnel. The Senior-Key Personnel identified should match those that are named in the official award document. When complete, *click* "Continue" to advance to the next page.

6. On page 3.0, Proposals and Agreements, *review* and ensure that any related UFIRST records are listed.

    a. If the award is a work order or a task assignment, it is likely issued under a master agreement. In addition to any AGR record in UFIRST for the work order or task assignment, the master agreement should also be listed under field 2.0.

    b. If the award is related to any existing AWDs in UFIRST—particularly any AWD that are in a state of *Expired*—*list* them in field 3.0. For example, if this is an NIH Competing Continuation (renewal), the prior competing segment should be listed.

    c. You may use field 4.0 to identify the AGR record in UFIRST that includes the terms applicable to this award. If this AWD record was generated from an AGR workspace, these Terms will automatically be included. **Campus users can review this step but DSP will be ultimately responsible for the accuracy of this information.**

    d. *Click* "Continue" to advance.

7. On page 4.0, Terms and Conditions, *review* that the Terms and Conditions were accurately pulled into the AWD record from the AGR record from which the AWD was created or an AGR entered on Page 3.0 field 4.0. **Campus users can review this step but DSP will be ultimately responsible for the accuracy of this information**. *Click* "Continue" to advance.

8. On page 5.1, Project Setup, verify that the number and structure of projects for the AWD is as needed based on the award conditions and responsible unit preference. You may add projects as needed using the "Add" function on this page. The number of projects originally shown in the AWD is based on the number of budget workspaces in the related PRO. *Click* "Update" on each project and fill in required information, indicated by a red asterisk.

    a. Return of F&A to Institutes or Centers is designated in the project set up, question 10.0 of the Project slide-in. Each project may return a total of 7.5% of its F&A return to up to 3 official University Centers or Institutes. This is not a mandatory field at new award set-up; the

allocation can be added at any point during the life of the award using an activity from the award workspace.

   b. **Pay special attention to 11.0 "Purpose" and 12.0 "Project Type".** If you are uncertain of which type or purpose to select, please consult the [definitions](#) on the DSP website and/or reach out to DSP. Once all projects are reviewed and updated, *click* "Continue" to advance.

Note: Additional projects may be required for several reasons, including but not limited to: the AWD does not allow for automatic carryover between budget years; the AWD includes participant support costs or patient care costs which cannot be rebudgeted to other categories without prior approval; the faculty leads of separate components within the award choose to manage budget separately; or a portion of the award has a different project purpose or type. A new project cannot be added without an associated allocation that is first set up on page 5.2 (step 10 below). Complete step 10 and then return to step 9 to complete the project set-up. Additional guidance can be found in the Additional Resources and References.

9. On page 5.2, Allocation Setup, verify that the number and structure of allocations for each project is appropriate. Note: it is best practice to create a new allocation for each increment of funding for the award. This provides greater visibility into the funding history of the award.

   a. The initial structure of allocations in the AWD is driven by the number of budget periods in the related PRO. Budget periods are usually set to a twelve-month or annual period although they may be structured in alternate ways to administer the project efficiently.

   b. You may add allocations as needed using the "Add" function or by *clicking* the hyperlink for a current allocation under "Name." *Checking* the "Delete" box will mark the allocation for removal when the AWD is finalized by Contracts & Grants Accounting. (Please note that the allocation must first be unchecked on the associated project on page 5.1, slide-in box question 2.0 in order to mark the allocation for deletion on page 5.2.) *Click* the hyperlink under "Name" on each listed allocation and ensure that all required fields are complete and accurate. Changes to project start and end dates are driven by the earliest allocation start date and latest allocation end date for each project. You may alter the "Allocation Name" (question 4.0) to identify allocations more easily during the life of the award (i.e. Participant Support Year 1; Participant Support Year 2). Associating the correct proposal to the allocation (question 5.0) allows the budget from that proposal to be automatically pulled in during future steps in the setup process. *Click* "Continue" to advance.

      i. If you add a *new* Allocation on page 5.2, you must return to page 5.1 and associate the new allocation with a project.

      ii. Allocations may be added for future use, but not released at time of new award setup. If Question 1.0a on the allocation set-up box is toggled to 'No', the allocation is not releasing any budget at time of initial set-up, but may still be associated with a project and "prepared" for future use.

Note: Temporary awards are indicated based on the answers to questions 1.0b on the allocation set-up. Releasing budget with "request authority to spend…prior to…official award" (answering 'yes' to both a and b), indicates this award will initially be released in TEMP status. See Temporary Award set-up guide for additional information on this process.

> **Create or Edit Funding Allocation**
> **1.0**
> * Release budget or report award amount for this allocation?
> ● Yes ○ No Clear
>
> Are you requesting authority to spend this released allocation prior to receipt of an official award or fully executed agreement (is this a temp)?
> ● Yes ○ No Clear

10. On page 5.3, Award / Authorized Budget Reconciliation, UFIRST presents each project in order to distribute the overall budget. It is vitally important that the categorical budgets entered on this page match the sums for those same categories in the official award document. Without this maintenance of the sponsor baseline, there is no way to determine if we have exceeded our sponsor approved rebudgeting threshold. (Note: NSF may categorize tuition as "Other" but UF will account for these costs in the "Tuition" category.) The "Sponsor Authorized Amount" in the top right corner and the "Active Allocation Total" just below it should match.

	Total
Sponsor Authorized Amount: ❓	$11,500.00
Active Allocation Total: ❓	$11,500.00
Difference ❓	$0.00

   a. Allocate budget appropriately to each project by *selecting* the funding allocation to display from the dropdown menu

> **Select the Project:**   **Project Name:**
> P0210714 ▼   2021 TEST Project- Ye
>
> ❓ **Select the Funding Allocation to display:**
> Participant Support Year 1 ▼   Undo All Changes

   b. *Import* the budget by *clicking* "import" under "Baseline"(if identified in a linked proposal, 10.b. above), or *enter* the budget manually in the adjustment column.
   c. For awards that fall under Research Terms and Conditions (RTC), all personnel costs can be lumped together in the 'Person' category, rather than split out between Personnel, OPS, Postdoc, and Graduate Student. All other categories need to be mapped 1:1. When all budgeted dollars are accounted for in each project, *click* "Continue" to advance.

11. On page 5.4, Award Financial Summary, verify that the totals align to each other and to the award document. ***Click*** "Continue" to advance.

    a. **Total Budget Release Amount:** The total of all allocations that have been reconciled on page 5.3. This will be the total myUFL budget amount.

    b. **Total Current Sponsor Authorized Amount to Date:** The total the sponsor has granted per the official award document. This is the sum of all sponsor authorized amounts on all Allocation Set Up pages. In most cases (except for Temps and new awards already inclusive of carryover), #1 should match #2.

    c. **Sum of All Project Cost Share Amount:** This is the amount of cost share allocated to a specific project(s).

    d. **Total Award Cost Share Requirement:** This is the sum of the overall Award cost share that has been committed to the sponsor.

12. On page 5.5, Effort Commitments, ***review*** the commitments that were pulled into the AWD smartform from the UFIRST proposal record. The effort commitments <u>must</u> match the amounts shown on the official award documents. (***Note***: Frequently, the budget period dates on the award differ from what was originally proposed. The dates must be adjusted on the Award first before they can be altered on page 5.5.) If changes to the key persons or their effort commitments have been approved by the sponsor or if you need to update the commitment dates to match the award, ***click*** "Update". Utilize the "Effort Commitment Notes" box to explain the rationale for these changes. In addition, you will be required to associate each person's commitment to a project. At the end of each row, ***select*** the Project on which that individual will be paid or working. For additional guidance on effort commitment, please see the Additional Resources section. ***Click*** "Continue" to advance.

13. Page 6.0, Deliverables, is a voluntary mechanism to assist the PI, Department, and any other Unit personnel in managing Deliverables for the AWD. When a deliverable is entered, a reminder will be emailed to the responsible party when the deliverable is due. If you wish to enter a deliverable, ***click*** the "Add" button and enter the necessary information. Continue to add deliverables using the add button. When finished, ***click*** "Continue" to advance.

14. On page 7.0, Compliance Review, ensure that Human Subjects Including Human Data or Tissue and Live Vertebrate Animal Use are appropriately marked "Yes" or "No". The initial values are pulled from the UFIRST PRO or AGR the Award was created from. Generally this information should not be changed unless there was an error on the PRO/AGR. If the values need to be changed, contact DSP.

    a. If Human Subject Including Human Data or Tissue are used within any component of the award including by subawardees, the answer to this question must be "Yes". Select the "Add" button to ***enter*** the IRB Protocol that covers the work. Ensure that you associate the protocol number with the correction Project ID(s). DSP will validate that the funding source on the IRB database matches this award.

    b. If Live Vertebrate Animals are used within any component of the award including by subawardees, the answer to this question must be "Yes". Select the "Add" button to ***enter*** the

IACUC Protocol that covers the work. Ensure that you associate the protocol number with the correction Project ID(s). DSP will validate that the funding source on the IACUC database matches this award.

c. If the Award includes delayed onset work with humans/animals, a [protocol exception](#) may be allowable.

d. **Click** "Continue" to advance.

15. Page 8.0 is the final page of the AWD Smartform. **Click** "Validate" in the gray bar at the top left of the Smartform. If any errors are revealed, you must address these before you will be able to submit the AWD for review to DSP. If there are no errors, **click** "Finish" to return to the AWD workspace. If you cannot resolve an error, please reach out to DSP.

16. When the unit admin completes their review of all information, **click** the "Submit for Review" Activity from the AWD workspace to route the AWD.

a. If any compliance items are incomplete (indicated by a red or yellow stoplight in the Completion Status box in the AWD workspace), additional activities will be required and the AWD will be in a state of *Pending Compliance Activities*. In the AWD workspace, review the Completion Status stoplights to see if any items require attention. The AWD will not move forwarding for processing and review until all of these compliance items are shown as complete and the AWD status updated to *DSP Review*. Once all compliance activities are complete, the AWD will transition to a state of *DSP Review*.

b. If any allocations were marked TEMP, the AWD will enter a state *Awaiting Advance Spending Authority.* The Unit Fiscal Authority (UFA) must approve the TEMP before the AWD will transition to a state of *DSP Review.* Note: DSP does not approve the TEMP request. DSP will review and advise if known terms and conditions prevent a TEMP from being processed, but the UFA approves and guarantees the time and funding associated with the TEMP.

Scenarios, Solutions, and Additional Information:

1. I'm having a problem with my AWD in UFIRST but the DSP Contact on the AWD workspace is blank. Who do I contact for help?

    Send an Outlook email to ufawards@ufl.edu with the following information so that DSP can assist: 1) Name of the PI of the award; 2) AWD##### of the award; 3) a concise description of the error or difficulty you are experiencing.

2. My award is in Draft or DSP review state, what do I do now?

a. DSP makes every attempt to process awards as fast as possible. If the request is urgent, please send a UFIRST message to the DSP Contact listed on the award workspace. If the DSP owner field is blank, ***send an Outlook email*** to ufawards@ufl.edu with the following information so that DSP can assist: 1) Name of the PI of the award; 2) AWD##### of the award; 3) nature of the urgency of your request.

3. I submitted an Award to DSP Review state and I need to make changes. What do I do?

    a. Send a message through UFIRST to the DSP Contact on the Award. DSP may be able to make the corrections for you, or can send the Award back to *Pending Responsible Unit Edit* (PRUE) state.

4. I need to make corrections but the Award is active. What do I do?

    a. A UFIRST Modification will need to be entered to correct the error. Consult UFIRST Modification guidance to assist with starting the Modification. Alternatively, please send an email to ufawards@ufl.edu.

Additional Resources:

- Award ID Format Guidance
- Official & Supporting Documents
- Purpose and Project Type Definitions
- Commitment Entry Guidelines
- Protocol Exceptions
- Allocations, Budgets, and Projects Instructional Guide
- Budget Revisions in UFIRST Instructional Guide
- Temporary Award Set-up Instructional Guide
- Research Terms and Conditions https://www.nsf.gov/awards/managing/rtc.jsp