

UFIRST Award Financial Modification

Award Financial Modifications are entered in UFIRST to add or remove funds from an active Award, to shift already obligated funds from one project to another, to rebudget between categories under a single project, to document or move funds approved for carry forward, or to change the cost sharing committed to an award. The Financial Modification may be selected in companion with other modification actions and has the following subtypes:

- **Change in overall budget-release or obligated amount:** Select this option to add funds to an existing award (incremental or supplemental) or when a Sponsor has decreased the overall budget. This includes making a temporary-release project permanent once the Sponsor has released an award or an agreement has been fully negotiated.
- **Change in voluntary committed or mandatory cost share:** Select this option if the Sponsor has increased or decreased cost share requirements.
- **Carryover:** Select this option if carryover is being requested or has been approved on an Award that does not grant carryover automatically between the budget periods.
- **Rebudgeting categories within an existing project:** Select this option to rebudget funds within a single project's budget categories. This is only required on a project released in KK level 5. If released into KK level 3, a mod of this type is only necessary if there is need to significantly change the direct/indirect breakout. In general, the projects with KK level 3 budget categories should be managed using tools such as myinvestiGator.
- **Moving budget between existing projects (Net \$0 change):** Select this option if funds are being moved from one existing project under the award to another, and the overall impact on the award is \$0. For instance if the PI is moving \$5,000 from their project to another project under their award, use this option. Do not use this option if you are adding funds to the award.
- **Create new project:** Select this option if a new project is being created. This could be either with funds moved from an existing project(s) or if new funds have been new released from the Sponsor. This option also requires selection of Change in overall budget-release or obligated amount or Moving budget between existing project (Net \$0 change) to indicate from where the new project is getting its budget.

UFIRST Procedure

1. From the AWD workspace, **click** "Create Award Modification" and then **click** "Ok" in the window that pops up.
 - a. UFIRST will only allow one modification (MOD) to be entered at a time and will display an error if a MOD is currently in progress.



- b. Once the new MOD record appears in the list on the “Modifications” tab, **click** on “SmartForm”. A drop-down menu appears. **Click** on “1.0 Award Modification” to navigate to the first page of the SmartForm. The MOD is now in Pending Responsible Unit Edits state.



- c. On page 1.0, under field 2.0 “Select Modification Type”, **mark the box** for “Financial”, **mark the box** for the appropriate “financial modification type”, and then **mark the box** is there is a change in foreign collaborators/subrecipients, scope, foreign travel, or shipment of items abroad:

* **Select Modification Type:**

- Financial
- Dates
- Personnel (Including effort commitments)
- Terms and Conditions (including spending/KK dates)
- Compliance (IRB, IACUC)
- Early Award Termination
- Project Demographics (Name, Project Type)
- Award Demographics (Sponsor, CFDA, FAIN, Responsible Unit)
- Core Office Correction

* **Select Financial Modification Type:**

- Change in budget-release or obligated amount
- Change in voluntary committed or mandatory cost share
- Carryover
- Re-budgeting categories within an existing project
- Moving budget between existing projects (Net \$0 change)
- Create new project

Is there a change in any of the following? Check all that apply. (If you are unsure of previous answers, navigate to the award workspace Compliance Tab).

- New foreign collaborator/subrecipient
- Scope
- New foreign travel greater than one month over a twelve month period
- New shipment or transfer of items abroad

- d. If any allocation under your Award is currently released as a Temporary/At-Risk/Advanced Award, an additional question will be displayed under Page 1.0, Question 2.0.: “Are you indicating that sponsor authorization has been received for any current temporary projects (temporary-made-permanent)?” If the award has been approved and your intent is to release the budget as no longer temp (and update the budget and award amounts), **select** “Yes” and select the appropriate project(s) to make permanent. **This is the only way to transition an award out of temporary status.** See the Temporary/Temp-to-Permanent Instructional Guide for additional guidance.
- i. If you simply wish to *increase the budget allocated to a temp*, without an official award document, **select** “No”. You will be allowed to increase the budget but the award will

remain in temp status. See the Temporary/Temp-to-Permanent Instructional Guide for additional guidance.

- e. On page 1.0, under field 3.0 **enter** 'INTERNAL' for the Award ID for the modification if internally driven. Leave blank if sponsor driven and DSP will update upon review. On page 1.0, under fields 4.0 and 5.0 **attach** related modification documents, if applicable. Any supporting information (such as an email history) should be placed under field 5.0.
- f. On page 1.0, under field 6.0a, **enter text** under "Brief Description", providing as much detail as you can about the who, what, when, where, how and why behind this modification. **Click** "Save" at the bottom of the page and then **click** "Continue" to advance.
- g. On page 2.0, **relate** associated proposals, agreements, or awards as applicable.

NOTE: Depending on the type of financial modification checked some of the following pages will not show (i.e., if you did not select a change in cost sharing then page 3.2 will not display). The list of steps below is for every possible page that will open. You may not have to follow each step. If the page does open, guidance is provided below on how to complete the requested information. **Click** "Continue" after completion of each page to move to the next.

- h. On page 3.1, **mark the box** to indicate if the modification results in an increase or decrease in funding, including an increase in budget, an increase in the sponsor authorized amount, or an increase in the total anticipated award amount. If "increase" is selected, **mark the box** to indicate the type of increase. Descriptions related to the type of increases follow:

Does this modification result in an overall increase or decrease in funding?

Increase

Decrease

[Clear](#)

If increase, is this the result of:

Incremental (Continuation or Option Release) funding

Supplemental – administrative

Renewal (typically requires new award)

Request for Additional Temporary Release Funds

[Clear](#)

- i. **Incremental:** The release of an expected amount of funding that was included and approved in the initial Proposal, including option years.
- ii. **Supplemental:** Can be administrative or change in scope. Awarded typically to meet a budget shortfall (administrative) or awarded to add additional funds for work not described in the original proposal (change in scope). Includes funding for additional tasks, additional personnel (minority diversity supplements), or additional unanticipated years. Note, if a change in scope see 1.c. above.
- iii. **Renewal (typically requires new award):** Some Sponsors fund competitive segments using the same award number and do not require UF to segregate billing between these segments. When this happens, renewal is the appropriate description. Contact DSP if you are unsure if the funds can be added to the same award.

- iv. **Request for additional temporary release funds:** Award is currently in Temporary/At-Risk/Advanced status and you wish to maintain this status but increase budget authority.
- v. **New (release of permanent funding on a new award):** Only available for selection after identifying the modification is making a Temporary award permanent on page 1.0 Question 2.0. Select when releasing permanent funding.
- i. Page 8.1 “Allocation Setup”: any time funds are added or removed from an award or rebudgeting needs to occur between projects a new allocation must be created, or existing allocations must be modified. Both changes are initiated on this page. It is **best practice** is to add a new allocation for each increment of funding received. This provides greater visibility into the funding history of the award.
 - i. Click “+Add” to create a new allocation. A slide-in box will appear. Ensure the Sponsor authorized amount (the amount UF is currently able to spend across the overall award), effective dates (the start and end dates for the period in which the sponsor has or will authorize use of the funds), and allocation name are entered (best practice is to simplify the allocation name for ease of selecting the allocation on future UFIRST pages).

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](#)

Sponsor Authorized Amount:	
Direct:	<input type="text" value="\$0.00"/>
Indirect:	<input type="text" value="\$0.00"/>
New Total:	\$0.00

2.0

* Start Date:

3.0

* End Date:

4.0

* Allocation Name:

- j. Page 8.3 “Project Setup”: a new project may be needed for a variety of reasons, including but not limited to:
 - i. separate participant support funds from the parent award
 - ii. segregate other restricted funds such as for a diversity or research experience supplement
 - iii. funds to be expended for a different project purpose or type, or
 - iv. the need to provide funds to a coinvestigator or another department.

To start this process **click** the “+Add” button in Field 1.0 *Add New Project* to access the Create or

Edit Projects slide-in window. When creating a new project, the correct allocation must be associated in question 2.0, along with the appropriate project manager (3.0), responsible unit (5.0), Indirect cost rate type (6.0), Indirect cost base (7.0), indirect cost rate (8.0) purpose (11.0), and project type (12.0). **Click** “ok” when completed and the slide-in will disappear.

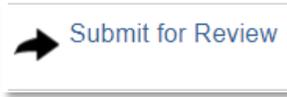
- k. On page 8.6 “Award/ Authorized Budget Reconciliation”, enter funds at the project budget category level. **Select** the project and funding allocation to display from the dropdown menus. There are two options to enter category level data: **import** the budget from a linked proposal, or **enter** the budget changes manually in the adjustment column. **NOTE:** UFIRST must match the sponsor documentation for budget categories. Without this maintenance of the sponsor baseline, there is no way to determine if we have exceeded the sponsor’s rebudgeting threshold. For awards that fall under Research Terms and Conditions (RTC), personnel costs do not need to be itemized by category. They can be lumped together in the ‘Person’ category, rather than split out between Personnel, OPS, Postdoc, and Graduate Student. All other categories need to match the sponsor’s award document or the proposal that was last submitted to the sponsor.
 - i. When the sum of all allocation’s adjusted in this action match the award document (budget is reconciled), **click** save, then **click** continue.
- l. On page 8.7 Award Financial Summary, review the fields in 1.0 for accuracy.
 - i. **Total Budget Release Amount:** The total of all allocations that have been reconciled for this modification and all previously released allocations. This is the total myUFL budget amount.
 - ii. **Total Current Sponsor Authorized Amount:** The total the sponsor has granted per the formal funding document. In most cases, #1 should match #2. This is the sum of all sponsor authorized amounts on all Allocation Set Up pages.
 - iii. **Sum of All Project Cost Share Amount:** This is the sum of the cost share for each project.
 - iv. **Total Award Cost Share Requirement:** This is the total cost share required.
- m. On Page 8.8, question 2.0, add any necessary anticipated award adjustment. For example, if you have already been awarded \$115,096, and receive an increment to add an additional \$25,000, \$25,000 should be entered under adjustment for a New Total of \$140,096.

Total Anticipated Award Amount:	
Current:	\$115,096.00
Adjustment:	\$25,000.00
New Total:	\$140,096.00

- n. On page 8.8, **review** effort commitments following UF Effort Commitment Guidance. Note, if existing effort lines need to be updated, only DSP staff can make the change. Please add a description of the desired change to the Effort Commitment Notes field and DSP will update commitments upon review.
- o. **Click** save at the bottom of the page, then click **continue**.
- p. On page 11.0, field 1.0, **note** if any subawards present on the award as you are responsible for initiating any necessary modifications to them in the UFIRST Subaward module.

- q. **Click** save at the bottom of the page, then click **continue**.
- r. On page 12.0, enter the effective date of the modification as the effective date on the amendment. **Click** “Finish”.

2. **Complete** the ‘Submit for Review’ activity.



3. The modification is now in DSP Review state. DSP will review the MOD and will reach out with any questions. If DSP does not have any questions, and the MOD can be approved internally, the DSP Owner will submit to the Contracts & Grants (C&G) Accounting. If Sponsor approval is required, DSP will facilitate the prior approval request. The MOD will move to the Awaiting Sponsor Approval state until UF receives a reply from the sponsor.
- a. If the Sponsor denies the request, the Department and PI will be notified before further processing of the MOD. After campus notification, if no further questions, the MOD will be completed and move to a state of Sponsor Denied.
 - b. If the Sponsor approves the request, the MOD will transition to the DSP Review state where the DSP Owner will run the “Complete DSP Review” activity and transition the MOD to C&G.
4. C&G will review and finalize the modification. If required, C&G and/ or DSP will engage the Primary Unit Admin Contact to resolve any issues. Once C&G review is complete, the AWD MOD will enter a state of *Completed* in UFIRST.