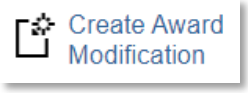
UFIRST Award Personnel Modification

At time of award setup, key personnel, project managers and effort commitments for key personnel or personnel used to meet a mandatory cost-share requirement are entered into UFIRST. At any point during the life of the award, a Personnel Modification may be entered into UFIRST to update key personnel or quantified commitments. The change can be sponsor driven (such as a prior approval request to change key personnel effort) or internally driven (such as a change in the project manager who is not a key person or a change for an effort entry error during Award setup). A personnel modification type may be selected in companion with other modification actions. For example, incremental funding may not only add funding, but change a key person or reduce key person effort for an upcoming budget period.

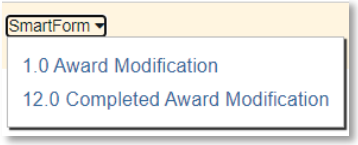
NOTE: A personnel modification that adds a new key person, including PD/PI on page 5.0 will trigger a requirement for the new person to complete the Financial Conflict of Interest (FCOI) activity and for DSP to ensure that they have completed all mandatory training courses. If the individual is not up to date on training requirements, the modification will not move forward until the requirement(s) is satisfied.

UFIRST Procedure

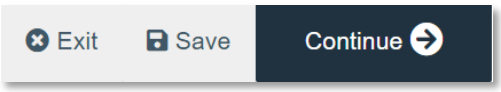
1. From the AWD workspace, ***click*** "Create Award Modification" and then ***click*** "Ok" in the window that pops up.
    a. UFIRST will only allow one modification (MOD) to be entered at a time and will display an error if a MOD is currently in progress. If a MOD is already in progress, you may be able to add to the current MOD. Skip b. and proceed to c.



    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 "Personnel".
    d. On page 1.0, under field 3.0 ***enter*** 'INTERNAL' for the Award ID for the modification if internally driven. If the MOD requires sponsor approval, leave this field blank and DSP will update after sponsor approval is obtained. 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.
    e. 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.



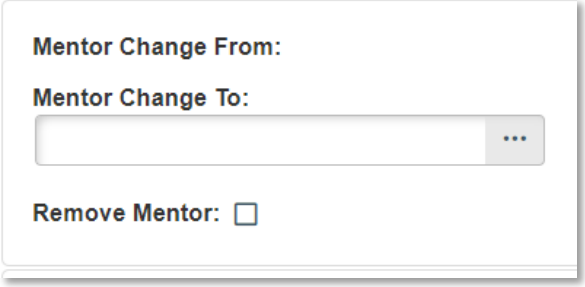
f. On page 2.0, ***relate*** associated proposals, agreements, or awards as applicable. ***Click*** continue to advance.

g. On page 5.0, ***update*** the PD/PI, Mentor, Senior-Key Personnel or Project Managers as necessary, following DSP entry guidance for all fields.

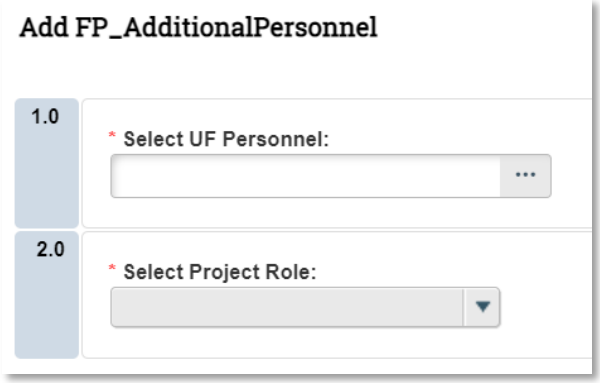
   i. Field 1.0, any updates to the PI will require separate ad hoc approval to the appropriate Unit Approvers. This will occur when the MOD is submitted for review.

      1. Click the ellipse and a slide-in box will appear that will enable select the desired individual.

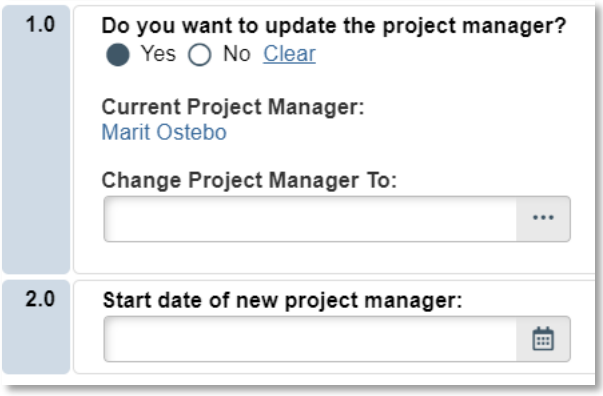
   ii. Field 2.0 will allow you to change the mentor or remove the mentor, if applicable.



   iii. Field 3.0, if Updating Senior/ Key Personnel, a slide in box will appear that will allow you to add the desired individual and assign their specific role.



   iv. Field 4.0, if updating the Project Manager, a slide-in box will appear. If yes is selected under question 1.0 of the slide-in, question 2.0 will appear and the start date of the new project manager must be entered before moving forward.

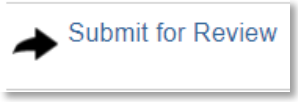


h. On page 8.8, ***add*** effort commitments as required, following DSP entry guidance for all fields.
   i. Note, if existing effort lines need to be updated, only DSP staff can make the change. Please add a description of the desired change to the Effort Commitment Notes field and DSP will update commitments upon review.

i. On page 8.8, under "Effort Commitment Notes" enter any information helpful to subsequent reviews by the department, DSP, C&G, and Cost Analysis.

j. On page 12.0, enter the effective date of the modification as the date of the desired change, ***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 the record to 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.