UFIRST Awards Training Manual

INTRODUCTION

This manual supports the use of the University of Florida Integrated Research Support Tool (UFIRST) Awards module. The functions of UFIRST Awards include:

- Collecting institutional award data
- Ensuring all compliance requirements have been met prior to releasing awards
- Releasing and hosting Notices of Award
- Tracking of award management requests

Use of UFIRST for management for all projects managed by the Division of Sponsored Programs (DSP) and Contracts & Grants Accounting (C&G) is mandatory.

Data in UFIRST is stored securely, visible to only parties with a business purpose to access the data. For those records the user sees, UFIRST allows transparent tracking throughout the lifecycle of the award from proposal development to proposal submission to award negotiation, set up and management.

TABLE OF CONTENTS

UFIRST AWARD STRUCTURE AND MANAGEMENT

UFIRST Awards focuses on the management of each sponsored program from the perspective of the "**Award**". Each **Award** may have several internal **Projects** that exist under it to provide separate accounting for specific individuals or departments or to manage financial restrictions.

Each project is made up of **Allocations**. Simply, an **Allocation** is one budget period, option period or financial release (i.e. administrative supplement) for a single project. For example the graphic below depicts a single **Award**. Under this award are two **Projects**. Each project has 3 allocations. Additionally each Project will have a designated **Project Manager**. The **Project Manager** is the UF person (generally a faculty member) responsible for the budget released into their **Project**.

Allocation structure will be highly dependent upon two criteria:

1) The terms and conditions present in the funding document and
2) The budget forecasting needs and rules of each unit/college
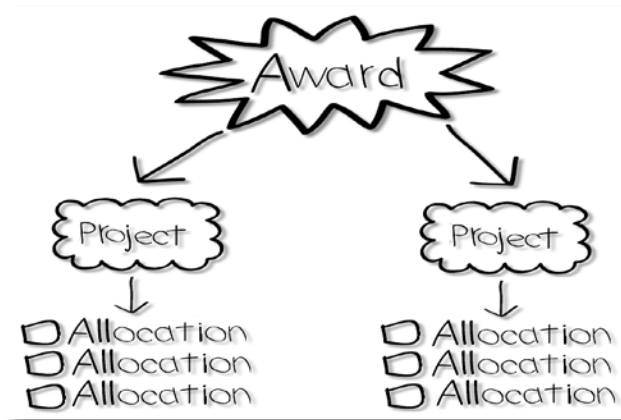
SECURITY

All UF employees have access to UFIRST. Access to specific Awards, Projects and activities is based upon your role and unit affiliations identified in UFIRST. You can view and edit awards for which you are listed as named personnel. You can also view awards that include investigators from units for which you are a Grant Administrator or a Viewer. You cannot view awards for which you are not listed as named personnel or as a Grant Administrator where no faculty or staff in your unit are named.

UFIRST roles are determined at the college level by individuals specified as Grant Workflow Administrators (GWAs). An updated list of these administrators can be found here: http://research.ufl.edu/faculty-and-staff/initiatives/ufirst/grants-workflow-administrators.html

Below is a list of roles that are specific to the Awards module.

Role	Indications/Functions
Unit Fiscal Authority	The Unit Fiscal Authority (UFA) is the person empowered to make financial decisions for a unit. This person's primary role in the Awards module is to approve or disapprove Advanced Spending Authority requests. In the proposal module the UFA is responsible for approving Cost Share.
Compliance Specialist	This role is specific to staff members of the Division of Research Compliance. This role enables them to respond to potential compliance concerns present in an award.
Contracts & Grants	This role is specific to staff members in Contracts and Grants Accounting Services. This role enables a user to approve budgets for release and integration into myUFL.
Viewer	This role allows staff members within a unit to view all Awards in UFIRST without receiving notifications or being able to edit or act on those Awards.

NAVIGATION

Upon accessing the UFIRST Awards Module the Award Worklist will appear.

A **Worklist** contains all the records for which you have security to view or edit. The **Awards Worklist** is divided into six pre-configured lists.
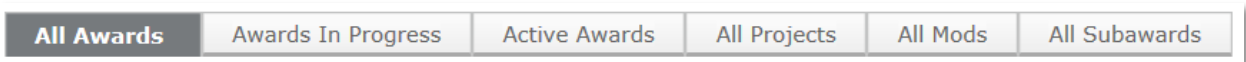
All Awards: Contains every Award that you have access to edit or view. This will contain all Awards active in myUFL as of July 1, 2016 (converted Awards with the Award ID as it was in myUFL) and all UFIRST-originated Awards (award IDs starting with AWD).

Awards in Progress: Contains all Awards that have originated in UFIRST and have not been released for spending in myUFL. This list should be referred to regularly by the unit to review their pending items and take action as needed.

Active Awards: Contains all Awards that have been released for spending in myUFL and have not Expired or been Terminated.

All Projects: Contains every Project that you have access to edit or view. This will contain all Projects active in myUFL as of July 1, 2016 (converted Projects with the project ID as it was in myUFL) and all Projects under UFIRST-originated Awards (project IDs starting with P). This list allows for searching by Project Manager or Project Department as opposed to Award level information.

All Mods: Contains all modifications in all states that you have access to view or edit.

All Subawards: Contains all Subawards in all states that you have access to view or edit.

STARTING A NEW AWARD

Upon receipt of a funding document which establishes an entirely new award, a new UFIRST Award record is required. The option to create a new Award will only be available from within a Proposal that has reached the Pending Sponsor Review state. This is to ensure that all appropriate approvals are in place before award processing takes place. Note that NEW AWARDS are only required when the Sponsor requires complete financial segregation of these funds. If you are uncertain whether you can add funds received to an existing award or you require a new award, contact DSP.

> **!** **ALERT!**
>
> If a funding document/award has been received, and an approved UFIRST proposal does not exist, a new UFIRST Proposal is required. You will not be able to continue without a fully approved Proposal.

STEP 1

To create a new award locate the corresponding Proposal and navigate to the Proposal Workspace. For example, PRO00002498 can be found using the entire number or the Wildcard "%" as seen below:

All Proposals	Pre Submission	Post Submission	Awarded	DSP Unassigned	424 Applications

Filter by ⊘ ID	%2498	Go	Clear	Advanced

Once located, click the PRO ID Number to open the proposal.

ID	Name	Smart Form	Date Modified	State	PI	Sponsor	Deadline	Agency #	Unit Contact	Submitting Dept	Dept ID	Start Date	DSP Contact	Application Type	Ready to Submit To Sponsor
PRO00002498	20160314 US ED Budget V1.2/V1.3 Test ▾	SmartForm	3/18/2016 2:08 PM	Pending Sponsor Review	StudyStaff1	NATL INST OF HLTH - EIES LOC	4/4/2016			MD-MEDICINE	29050000	5/5/2016		New	no

1 items		◁ page 1 of 1 ▷		25 / page

STEP 2

From the Proposal Workspace select the **New Award** button.

Create...
- New Agreement
- New Award

The Award SmartForm will now generate. All fields with red asterisks must be answered before the Award can be saved and the next page can be accessed.

BEST PRACTICE!

All data elements from the Proposal that apply to the Award have mapped into the Award SmartForm, but some elements may have changed between proposal and award. All fields should be carefully reviewed.

STEP 3

Complete all fields in the Award SmartForms. The following steps will provide greater detail on the intent and use of each field.

PAGE 1.0 GENERAL AWARD INFORMATION, QUESTION 1.0

The name of the PI/Program Director/Fellow will auto-populate from the Proposal. If this is a mentored project, the Mentor will be the "PI" listed on the myUFL Award upon integration. If there are any changes to the PI, Mentor or Fellow, the UFIRST Proposal must be updated and recertified as certifications relating to the PI's willingness and ability to manage the Award are only collected in the Proposal module. (See the Proposal Post Submission Updates Toolkit for more guidance.)

PAGE 1.0 GENERAL AWARD INFORMATION, QUESTION 2.0

The department will auto-populate from the Proposal, however if this is the not the Department within which the Unit and/or PI wishes to manage the Award, update this to a more appropriate Department. The overall unit only drives institutional reporting and UFIRST approval. There is no conveyance of this information to the Sponsor or for return of F&A.

PAGE 1.0 GENERAL AWARD INFORMATION, QUESTION 3.0

The Primary Unit Administrative Contact will auto-populate from the Proposal. However, if this is not the most appropriate person to whom questions about the award should be addressed, update this field to reflect the most appropriate contact.

3.0	**Primary Unit Administrative Contact:** Kelly Jacoby Select... Clear

PAGE 1.0 GENERAL AWARD INFORMATION, QUESTION 4.0

The Short Title will auto-populate from the Proposal. This field is used to search for an Award (using the Name field) in the Worklist. The short title should include enough of the title to produce a meaningful result from a search.

4.0	*** Short Title of Award:** Crime Prevention Through Environmental Design

PAGE 1.0 GENERAL AWARD INFORMATION, QUESTION 5.0

The Full Title will auto-populate from the Proposal. This title must match the title listed on the Official Award Document from the Sponsor. If there are any discrepancies in the title correct it here.

5.0	**Full Title of Award:** Crime Prevention Through Environmental Design: A Study of Alachua County Public Housing

PAGE 1.0 GENERAL AWARD INFORMATION, QUESTION 6.0

Sponsor and Sponsor Award ID are two crucial pieces of information on every Award; the Sponsor Award ID is critical to identifying the Award and in producing accurate reports not only to our auditing bodies and Federal agencies, but also for development of current & pending reports and other UF reporting and business needs as well.

When identifying the Sponsor be as specific as possible. If the award is from the National Cancer Institute within the National Institutes of Health, enter the National Cancer Institute not the National Institutes of Health.

ALERT!

Note that most proposals for NIH awards are entered in UFIRST Proposals to NIH. Therefore, nearly ALL NIH awards will need to be updated at this time.

When entering the Sponsor's Award ID be sure to enter in the direct sponsor's Award ID exactly as it is referenced on the official funding document from the Direct Sponsor and not any other Award ID that may be present, as is the case on subaward agreements.

Additional guidance on sponsor Award IDs can be found here: http://research.ufl.edu/faculty-and-staff/award-management/notice-of-award-acceptance-noa/award-id-formats.html

PAGE 1.0 GENERAL AWARD INFORMATION, QUESTION 7.0

Originating or Prime Sponsor will auto-populate from the Proposal if this was properly identified and entered. At time of award, special attention should be made to the award documents to ensure that any Originating/Prime Sponsor has been identified. As with the Direct Sponsor, be as specific as possible.

The Direct Sponsor should provide the Originating/Prime Sponsor Award ID. Enter this in question 7.0 as well.

PAGE 1.0 GENERAL AWARD INFORMATION, QUESTION 8.0

Catalog of Federal Domestic Assistance (CFDA) numbers are associated with Federal assistance (all grants and some cooperative agreements). They are 5 digit numbers in which the first two digits indicate the funding agency and the last three indicate the specific program. For example, CFDA number 10.310 breaks down as follows:

      10 = United States Department of Agriculture
      310 = Agriculture and Food Research Initiative

If you have a Federal grant or cooperative agreement a CFDA number will be present in the funding document. To add this number select **Add** under the Primary and Additional CFDAs field. A pop-up box will appear.

Some funding documents will contain more than one CFDA number. In that event be sure to identify the primary CFDA and mark it appropriately using the Primary CFDA checkbox. Also be sure to add any other CFDA numbers listed on the funding document.

In the majority of Federal grant and cooperative agreements, only one CFDA will be present. When there is only one CFDA, you must still check the Primary CFDA checkbox. Once all CFDAs have been entered, click OK.

Once back at Question 8.0, enter the Federal Award Identification Number. The Federal Award Identification Number (FAIN) is unique within the Federal agency to each financial assistance award and is used for federal reporting, such as for recipients to report sub-awards. It should be entered for any federal grant, cooperative agreement or subaward under a federal grant or cooperative agreement.

Instrument type refers to funding mechanism. The four available options are defined as follows:

Grant- A type of financial assistance where, as opposed to a cooperative agreement, the awarding office anticipates no substantial programmatic involvement with the recipient during the performance

of the activities. Grants are normally awarded by sponsors whose purpose in supporting research is scientific, cultural or philanthropic. For Federal awards, this can often by identified the existence of a CFDA number.

Contract- A funding document for the procurement of goods and/or services. The Sponsor specifies the desired outcome and UF proposes the methodology and cost to reach the predetermined need. For the purposes of UF's reporting, this will also include any other award from a Federal or non-Federal sponsor that is not a grant or cooperative agreement (e.g. IFAS SPAs, State Contracts). If the Award to the Prime Sponsor is a contract, UF's award is also a contract. Federal contracts can be identified by the existing of FAR clauses. In general, most awards not clearly labeled a grant are a legal and binding contract.

Cooperative Agreement- Assistance from the Federal government where substantial involvement of the sponsor is expected. Cooperative Agreements are normally clearly labeled.

Other Transaction Authority- OTA is a very rare and very specific funding mechanism used for projects when it has been determined that it is in the Government's best interest to enter into an agreement that is not a contract, grant, or cooperative agreement. These will be clearly labeled as such by the Federal Sponsor.

After familiarizing yourself with these definitions select the instrument type for the current funding document.

The sponsor award date is the date that the award is effective or issued. In the case of bilateral agreements without an explicit effective date, it is the last date of execution. In the case of a unilateral letter of award without an effective date, it is the date of transmission from the Sponsor.

The Overall Award Start Date is the first day of the award as identified in the funding document.

11.0 *** Overall Award Start Date:**
10/1/2016

The Overall Award End Date is the last day of the award as identified in the funding document.

12.0 *** Overall Award End Date** (including future years):
9/30/2019

This question identifies if the award is transferred from another applicant or awardee to UF. If the proposal was either awarded or proposed and not yet awarded at another institution, select Yes. If this project was originally proposed at UF, select No.

13.0 *** Was this award proposed or awarded at another institution?**
◯ Yes ◉ No   Clear

Cost share is any expense quantified in the proposal and needed to complete a project for which the sponsor is not paying. In UFIRST Proposals, cost share is entered on the Cost Share Budget Grids. Within the Cost Share Budget Grids cost share is identified as mandatory, voluntary, or both, and is assigned to a Unit responsible for providing the cost share funds.

The figures entered on the Proposal's Cost Share Budget Grids will map over to the UFIRST Award SmartForm. Over-the-Cap cost sharing is not mapped to the Award.

Proposal Cost Share Summary		
SR-AWARDS ADMINISTRATION	**Period 1**	**Cumulative**
PERSONNEL COST		
TBD: Faculty (Vol)	$20,112	$20,112
GENERAL COST		
Other Expenses (Mand)	$12,630	$12,630
INDIRECT COST		
Voluntary	$0	$0
Mandatory	$0	$0
OTC	$0	$0
TOTAL		
Voluntary	$20,112	$20,112
Mandatory	$12,630	$12,630
OTC	$0	$0
GRAND TOTAL SR-AWARDS ADMINISTRATION	**$32,742**	**$32,742**

Award SmartForm

14.0
* Does this award include voluntary or mandatory cost share?
● Yes ○ No   Clear

Indicate the total anticipated amount for each type (including future years):
Voluntary Committed:
20112
Mandatory:
12630

PAGE 1.0 GENERAL AWARD INFORMATION, QUESTION 15.0

Upload the Official funding document. This is the finalized agreement or notice or letter of award. Files can be added by selecting Add or by dragging the files from your desktop and dropping them into the field.

15.0   **Official Award Documents:**
Add   Drag and drop files to upload
Name
There are no items to display

PAGE 1.0 GENERAL AWARD INFORMATION, QUESTION 16.0

Upload any supporting documentation that provides useful background information on the award. Files can be added by selecting Add or by dragging the files from your desktop and dropping them into the field.

16.0   **Supporting Documents:**
Add   Drag and drop files to upload
Name
There are no items to display

Step 4

Once all fields on Page 1.0 General Award Information have been completed, click Continue to access Page 2.0 Personnel.

Continue >>

Step 5

On Page 2.0 Personnel, verify that all (and only) named senior/key personnel are listed with their correct project roles and that any staff or faculty who need access to this award are listed. The PI, and if

applicable, the Mentor will populate at the top of this page based upon the information entered on Question 1.0 on Page 1.0 General Award Information.

2.0 Personnel

PI & PI Mentor:

Last Name	First Name	Role	RSH220	RSH260	DSR810
Fagan	Adrienne	PD/PI	1/12/2016	1/12/2016	N/A
Steiner	Ruth	Mentor	2/20/2014	1/4/2013	N/A

PAGE 2.0 PERSONNEL, QUESTION 1.0

The information here will auto-populate from the Senior/Key personnel identified on the Proposal. If there are any changes to Senior/Key personnel this should be updated here. Please note that typically any changes to Senior/Key Personnel require prior approval from the Sponsor. If such approval has already been secured, please include it on page 1.0 question 16.0 Supporting Documents. If not, please send an email from the Awards Module to DSP requesting the changes.

1.0 **Select all Senior-Key Personnel:**
Add

	Last Name	First Name	Role	RSH220	RSH260	DSR810	
Update	Zwick	Paul	Co-PD/PI	2/14/2014	11/28/2012	N/A	Delete

BEST PRACTICE!

This page outlines the training status of each Key Person. If training is incomplete for any Key Person listed on the Award, funds cannot be released for any project. Take note of the training status of each Key Person and take action to ensure completion.

PAGE 2.0 PERSONNEL, QUESTION 2.0 & 3.0

Fields **2.0 Select Individual who can EDIT this award** and **3.0 Select Individuals who can VIEW this award** are available to provide edit and view rights to users that do not have this access by default.

ALERT!

Award security should only be altered in order to serve a specific UF business purpose.

Default access includes View access for all Key Personnel and their Grant Administrators and Viewers.

STEP 6

Once all applicable fields on Page 2.0 Personnel have been completed, click Continue to access Page 3.0 Proposals and Agreements.

STEP 7

This page is used to link all proposals and agreements related to this award for easy access, navigation, and reporting.

PAGE 3.0 PROPOSALS & AGREEMENTS, QUESTION 1.0

The proposal used to start this award will be auto-populated on Page 3.0 Proposals and Agreements, field **1.0 Proposals Funded by this Award**. For the set-up of a brand new award it is expected that only one proposal will be listed here. If the correct proposal is listed, no further action is required.

For any Award Modification for which a proposal was submitted, this field is used to select and link those proposals. This process will be covered in more detail in the Award Modification section of this manual.

PAGE 3.0 PROPOSALS & AGREEMENTS, QUESTION 2.0

This question will auto-populate with all agreements that are related to the Proposal used to start this award.

In this example, PRO00002430 was created and a proposal was submitted. A funding document was received and it was entered into the Agreements module under AGR00000125 and was related to PRO00002430. An Award was then created from PRO0002430. Because AGR00000125 was related to the Proposal the agreement information is mapped to the Award.

This field should also be used to identify any master agreements, confidentiality agreements, etc. that are related to this award.

2.0	**Agreements Associated with this Award:**					
	ID	Name	Principal Investigator	Sponsor	Project State	
	AGR00000125	Pulmonary Infarction and Diaphragm	Leonardo Ferreira	NATL INST OF HLTH	Under Review	Remove
	AGR00000003	Master Agreement	Master Agreement	NATL INST OF HLTH	Under Review	Remove

PAGE 3.0 PROPOSALS & AGREEMENTS, QUESTION 3.0

Select the Agreement that includes the Terms and Conditions that govern this award. Note, that this selection is highly dependent upon your individual award. If this award falls under a master agreement, you can select the master agreement related to this award. If you are unsure, leave this selection blank. DSP will ensure that this selection is correct.

3.0	**If applicable, choose the Agreement from which to import Terms & Conditions:**
	AGR00000003 Select... Clear

STEP 8

Once all applicable fields on **Page 3.0 Proposals and Agreements** have been completed, click Continue to access **Page 4.0 Terms and Conditions**

Continue >>

If an Agreement was identified **in Field 3.0 of Page 3.0 Proposals and Agreements**, the terms from that Agreement record will auto-populate. For definitions of Term and Condition, and how they impact the management of this Award see information on the DSP website at: Award Terms & Conditions. (http://research.ufl.edu/faculty-and-staff/award-management/terms-conditions.html)

4.0 Terms and Conditions

1.0	**Terms and Conditions:**
	☐ 252.204-7012 applies
	☑ Carryover of unexpended balances - Automatic
	☐ Carryover of unexpended balances - Requires Sponsor Prior Approval
	☐ China Entity Restriction (NASA)
	☑ ClinicalTrials.gov reporting required
	☐ Confidentiality - Sponsor restricts disclosure of information

If an Agreement is not identified in **Field 3.0 of Page 3.0 Proposals and Agreements** or if there are additional terms that apply to the award not identified in that Agreement**,** select the terms that you are able to identify. DSP and C&G will review this page once it arrives at DSP and C&G Review.

Field **2.0 Special Terms and Conditions** should be used to identify all crucial terms that are not available in the preconfigured options in **Field 1.0 Terms and Conditions.**

To add a Special Term and Condition click Add to access the Special Terms and Conditions.

2.0	**Special Terms and Conditions:**
	Add
	There are no items to display

The Special Terms and Conditions pop-up window will appear. Add the required information and click **OK** or **OK and Add Another** to add another special term.

Add Award Special Terms And Conditions

Special Terms of Conditions

1.0	**Special Terms And Conditions:**
	Sponsor requires weekly WebEx Meetings

* Required   OK | OK and Add Another | Cancel

STEP 10

Once all applicable fields on **Page 4.0 Terms and Conditions** have been completed, click Continue to access **Page 5.1 myUFL Project Set Up.**

Continue >>

STEP 11

On **Page 5.1 Project Set Up** the number of projects that auto-populate here is determined by the number of budgets that exist in the UFIRST Proposal. If more or fewer projects are required for award management projects can be created or deleted here. The number of projects required for each award is determined by the sponsor's financial management requirements. Departments can choose to add MORE projects to support improved financial tracking or to support splitting of F&A (IDC) return to each faculty member.

In the example below, this Award was created from a Proposal that contained two included budgets; a research budget for the PI and an instruction budget for the Co-PI.

The numbering convention for projects that originate in UFIRST is P followed by seven digits or "P*******." These numbers are auto-generated and will integrate into myUFL exactly as shown and be used in your project chartfield.

5.1 MyUFL Project Setup

1.0	Define Project Structure:								
Add									
		ID	Name	Project Manager	Unit	Purpose	Project Type	Start Date	End Date
Update	P0000020		Adventures in Mycology-Smith Research	Matthew Smith	AG-PLANT PATHOLOGY			10/1/2016	9/30/2019	Delete
Update	P0000021		Adventures in Mycology-Polston Instruction	Jane Polston	AG-PLANT PATHOLOGY			10/1/2016	9/30/2019	Delete

STEP 12

For each Project click the Update button and enter information for each field in the pop-up box.

5.1 MyUFL Project Setup

1.0 Define Project Structure:

Add

	ID	Name	Project Manager	Unit	Purpose	Project Type	Start Date	End Date	
Update	P0000020	Adventures in Mycology-Smith Research	Matthew Smith	AG-PLANT PATHOLOGY			10/1/2016	9/30/2019	Delete

In the **Create or Edit myUFL Projects Pop-up** we are introduced to the concept of the **Allocation**. An Allocation is a single budget period, option period or financial release for a single project. Allocations can remain separated by each individual budget period or can be combined and extended into one large budget period depending upon the following criteria:

1) Sponsor expectations of fund management
2) Timing of the Sponsor's release of funds AND
3) Unit preference

Edit PeopleSoft_Project

Create or Edit PeopleSoft Projects

1.0 * **PeopleSoft Project Name:**
Adventures in Mycology- Smith Research

2.0 * **Select Associated Allocation(s):**

	Name	IDC Rate	IDC Type	IDC Base	Start Date	End Date	Released	Sponsor Authorized	Sponsor Anticipated
☑	Adventures in Mycology- Smith Research - 1	50.00%	Research On	MTDC	10/1/2016	9/30/2017	No	$0.00	$0.00
☑	Adventures in Mycology- Smith Research - 2	50.00%	Research On	MTDC	10/1/2017	9/30/2018	No	$0.00	$0.00
☑	Adventures in Mycology- Smith Research - 3	50.00%	Research On	MTDC	10/1/2018	9/30/2019	No	$0.00	$0.00
☐	Adventures in Mycology-Polston Instruction - 1	50.00%	Instruction On	MTDC	10/1/2016	9/30/2017	No	$0.00	$0.00
☐	Adventures in Mycology-Polston Instruction - 2	50.00%	Instruction On	MTDC	10/1/2017	9/30/2018	No	$0.00	$0.00
☐	Adventures in Mycology-Polston Instruction - 3	50.00%	Instruction On	MTDC	10/1/2018	9/30/2019	No	$0.00	$0.00

In this example, the first project has three budget periods that pulled over from the Proposal.

POP-UP CREATE OR EDIT PROJECTS, QUESTION 1.0

Project Name maps over from the Budget Name entered on the Proposal. This can be edited to be more relevant for management. This name will also be the name of the project in myUFL; be sure to provide a name that can also be easily identified in a myUFL and myinvestiGator searches.

Edit PeopleSoft_Project

Create or Edit PeopleSoft Projects

1.0 * **PeopleSoft Project Name:**
Adventures in Mycology- Smith Research

Select Associated Allocation(s) is a list of all budget periods from all included UFIRST Proposal budgets. In this example, the project being defined is the PI's Research Project and the correspondingly titled allocations are identified for selection. If the Proposal Budgets are named in meaningful ways from the outset, this will assist in selecting the correct allocations to be mapped to this project.   Select all allocations that will be posted to the project you are working on.

Name	IDC Rate	IDC Type	IDC Base	Start Date	End Date	Released	Sponsor Authorized	Sponsor Anticipated
☑ Adventures in Mycology- Smith Research - 1	50.00%	Research On	MTDC	10/1/2016	9/30/2017	No	$0.00	$0.00
☑ Adventures in Mycology- Smith Research - 2	50.00%	Research On	MTDC	10/1/2017	9/30/2018	No	$0.00	$0.00
☑ Adventures in Mycology- Smith Research - 3	50.00%	Research On	MTDC	10/1/2018	9/30/2019	No	$0.00	$0.00
☐ Adventures in Mycology-Polston Instruction - 1	50.00%	Instruction On	MTDC	10/1/2016	9/30/2017	No	$0.00	$0.00
☐ Adventures in Mycology-Polston Instruction - 2	50.00%	Instruction On	MTDC	10/1/2017	9/30/2018	No	$0.00	$0.00
☐ Adventures in Mycology-Polston Instruction - 3	50.00%	Instruction On	MTDC	10/1/2018	9/30/2019	No	$0.00	$0.00

Project Manager is the responsible individual for this project. This is typically a faculty member directing that portion of the work (formerly Project PI).

3.0 * **Project Manager for this Project:**
Matthew Smith   [Select...]   [Clear]

Project Unit Administrative Contact is the individual to be contacted for project management matters and will typically be a Unit's post-award management contact.

4.0 **Project Unit Administrative Contact for this Project:**
Stephanie Miller   [Select...]   [Clear]

Unit Responsible for this Project is the department responsible for management of this project. The deptID of this department is the chartfield under which the budget will be released and the department to with Indirect Cost returns will be made (subject to college policies).

5.0 *** Project Unit Responsible for this PeopleSoft Project:**
AG-PLANT PATHOLOGY [Select...] [Clear]

> ❗ **ALERT!**
>
> **Field 5.0 Unit Responsible for this Project**: The department ID entered here will be used to generate the myUFL chartfield. If you are completing an Award containing projects in multiple departments, confirm with your colleagues which Department ID they prefer. Once integrated to myUFL, this cannot be changed and a new project will need to be generated.

POP-UP CREATE OR EDIT PROJECTS, QUESTION 6.0

Add Centers or Institutes Contributing to or Supporting the Project

This field should be used to identify Centers or Institutes that are providing resources to support the completion of the project.

Click **Add** to select the centers to receive IDC returns from this project and the percentage they should receive. Multiple centers can be selected, however the percentage of returns indicated cannot total more than 7.5% for all centers combined.

6.0 **Add Centers or Institutes Contributing to or Supporting the Project:**
[Add]

	Center	Center ID	IDC Percentage	
[Update]	Emerging Pathogens Institute	10.229	3.25%	[Delete]
[Update]	Center for Public Issues Education in Agriculture and Natural Resources	10.25	3.25%	[Delete]

> ❗ **ALERT!**
>
> **Field 6.0 Add Centers or Institutes Contributing to or Supporting the Project** will be used to identify the units for indirect cost returns. This field replaces the F&A Manager.

POP-UP CREATE OR EDIT PROJECTS, QUESTIONS 7.0 & 8.0

The **Project Purpose** is designated based upon the fundamental focus of the scope of work.

The available selections for **Project Purpose** are:

* Purpose:	
⚪ RSCHA	Applied Research
⚪ RSCHB	Basic Research
⚪ RSCHD	Developmental Research
⚪ EXTPS	Extension/Public Service
⚪ INST	Instruction-Non-Research Training
⚪ OSA	Other Sponsored Activity
⚪ RSTRN	Research Training

The **Project Type** is an attribute that further defines the purpose reflected in the scope of work. It is used for both institutional reporting and for improving business processes, such as identifying projects not requiring effort commitments, identifying projects with special rebudgeting restrictions, or identifying projects of strategic institutional importance.

> ❗ **ALERT!**
>
> These fields are critical for proper reporting at both the Federal and internal levels. If an answer is not 100% certain, the definitions of each purpose and project type should be consulted. These definitions can be found in "Appendix II – UFIRST Purpose and Project Type Definitions " as well as in the Help Text links to the right of these fields. A conversation with the faculty may also be required to help make a final determination.

The available selections for Project Type are:

* Project Type:

○ ANML	Animal Trials	○ INSTR	Instruction
○ CAR	Career Development	○ IPA	Inter-governmental Personnel A
○ CT	Clinical Trial	○ OTHSP	Other Sponsored Activity
○ CTOA	Clinical Trial Operating Accou	○ PTSUP	Participant Support
○ CONF	Conference/Workshop	○ PXCAR	Patient Care
○ CUDEV	Curriculum Development	○ PILOT	Pilot/Internal PJ
○ DDIG	Doctoral Dissertation	○ FWSPG	Post Graduate Fellowship
○ EDIT	Editorship	○ RENO	Renovations/Construction
○ EQUIP	Equipment	○ RSHA	Research Applied
○ EXTPS	Extension/Public Service	○ RSHB	Research Basic
○ FWSO	Fellowship Other	○ RSHD	Research Developmental
○ FLDTR	Field Trials	○ RSHT	Research Training
○ FWSG	Graduate Fellowship	○ TEST	Testing Services
○ HSR	Human Subject Research	○ TRAV	Travel
○ IFSP	IFAS Faculty Service Program	○ UGRSH	Undergraduate Research Pj
○ ITG	Institutional Training Grant		

STEP 13

After making a determination on the proper selections to these questions, click OK.

Repeat Step 12 for each Project that requires definition.

STEP 14

Once all Projects have been set up, click Continue on Page 5.1 to access **Page 5.2 Allocation Setup**.

Continue >>

STEP 15

The primary function of Page 5.2 Allocation Setup is to identify how much money should be released for spending from each allocation (or budget period). Similar to the Project Setup on the previous page, each allocation has specific information that must be identified. For each allocation click the Update button and answer each question in the Edit Funding Allocation Pop-Up Window.

5.2 Allocation Setup

1.0	**Add / Edit and Remove Award Allocations:**									

Add

	Associated Project	Name	Start Date	End Date	Release	Budget Release	Sponsor Authorized	Remaining Sponsor Anticipated	Delete?
Update	PJ000188	Adventures in Mycology - 1	3/28/2016	3/27/2017	no	$0.00	$0.00		☐
Update	PJ000188	Adventures in Mycology - 2	3/28/2017	12/27/2017	no	$0.00	$0.00		☐
Update	PJ000188	Adventures in Mycology - 3	12/28/2017	8/27/2018	no	$0.00	$0.00		☐
Update	PJ000188	Adventures in Mycology - 4	8/28/2018	3/27/2019	no	$0.00	$0.00		☐
Update	PJ000188	Adventures in Mycology - 5	3/28/2019	9/27/2019	no	$0.00	$0.00		☐

POP-UP CREATE OR EDIT FUNDING ALLOCATIONS, QUESTION 1.0

Release Budget for this Allocation?

Select **Yes** if it is the intention to release funds under this allocation. Upon selecting **Yes**, another question will appear.

This second question seeks to identify whether or not these requested funds are being released without an award being executed or received by the University (a temporary/advance/at-risk basis). Answering **Yes** to this second question means no award is in hand and the unit is asking to release funds, guaranteed by the department. Each Unit has an identified Unit Fiscal Authority in UFIRST. Individuals with this UFIRST role are empowered to approve these requests and guarantee the funds in the event an award document never materializes.

Create or Edit Funding Allocation

1.0	* **Release Budget 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?
	○ Yes ○ No Clear

BEST PRACTICE!

Temporary/Advance/At-Risk projects should be requested whenever a project needs to be started before the receipt of a formal award document. Requesting a Temporary/Advance/At-Risk project is always preferred to using unrestricted funds to jumpstart a project as this will necessitate cost transfers.

For this allocation, enter the sponsor authorized amount and **For this allocation, enter the remaining sponsor anticipated amount**

In Question 2.0 enter the dollar amount that the sponsor has authorized UF to spend for this allocation/budget period. Any funds anticipated --for this time frame --but not released by the Sponsor in this funding action should be entered in Question 3.0.

2.0	For this allocation, enter the sponsor authorized amount:
	$25000
3.0	For this allocation, enter the remaining sponsor anticipated amount:
	$75000

As another example, if a sponsor issues all years of funding at the award outset, the full amount of the project can be entered in Question 2.0 and $0 should be entered in Question 3.0. This indicates that the award has been funded completely upfront and no other funds are expected.

2.0	For this allocation, enter the sponsor authorized amount:
	$435,890.00
3.0	For this allocation, enter the remaining sponsor anticipated amount:
	$0.00

Start Date and End Date

Enter the Allocation Start and End Dates as indicated by the award. If the Sponsor allows for automatic carryover, allocations for all budget periods may be rolled into a single allocation. Remember to know your local business rules as some departments or colleges prefer that even if all budget period funds are released up front that separate allocations be entered in UFIRST.

For example, a three year NSF award will map from the Proposal into the Award with three allocations. If the Unit would like to reconcile each allocation individually then the individual allocations should remain as they initially populated.

Or, if it is allowed by the Award and the Unit prefers, the first allocation can be extended to cover the entire budget period.

POP-UP CREATE OR EDIT FUNDING ALLOCATIONS, QUESTION 6.0

Allocation Name

This field does not map to myUFL, but it can be utilized to provide greater clarity to which allocation you are working on.

POP-UP CREATE OR EDIT FUNDING ALLOCATIONS, QUESTION 7.0

Associated Proposal: In all cases, a new award can only be created from an existing Proposal. The Proposal from which this Award was created will be populated in this field. This field will become more crucial when modifying an Award.

POP-UP CREATE OR EDIT FUNDING ALLOCATIONS, QUESTION 8.0

Indirect Cost Rate Type: This field will auto-populate form the Proposal budget. If the indirect cost rate type has changed from the Proposal, change it now. All allocations under a single project must have the same indirect cost rate type, base and rate.

8.0	**Indirect Cost Rate Type:**
	○ On-Campus Research
	○ Off-Campus Research
	○ On-Campus AREC Research
	○ Off-Campus AREC Research
	○ On-Campus Other Sponsored Activity
	○ Off-Campus Other Sponsored Activity
	○ On-Campus Instruction
	○ Off-Campus Instruction
	○ Department of Defense On Campus Research Contract or Subcontract
	○ Department of Defense Off Campus Research Contract or Subcontract
	Clear

Indirect Cost Base: This field will auto-populate form the Proposal budget. If the indirect cost base has changed from the Proposal, change it now. All allocations under a single project must have the same indirect cost rate type, base and rate.

9.0	* **Indirect Cost Base:**
	○ MTDC
	○ TDC
	○ TDC less Subcontracts
	○ NIHTR
	○ NONE
	○ Manual
	Clear

Indirect Cost Rate: This field will auto-populate form the Proposal budget. If the indirect cost rate has changed from the Proposal, change it now. All allocations under a single project must have the same indirect cost rate type, base and rate.

10.0	* **Indirect Cost Rate:**
	[ ]

Notes: This field may be used to provide any notes that may be useful for the unit or institutional review. Once complete click OK.

Once back on Page 5.2 Allocation Setup click Continue.

STEP 16

The purpose of **Page 5.3 Award / Authorize Budget Reconciliation** is to obtain categorical budget breakouts for each allocation. A **reconciliation** is the amount of funds to be released into the myUFL project upon approval. There are six informational boxes located at the top of the page.

1) **Direct**: The total direct amount of funds that have been reconciled for release (entered into the reconciliation grids below) for this allocation.
2) **Indirect**: The corresponding amount of indirect costs for the direct amount of reconciled funds.
3) **Total**: The sum of the direct and indirect funds that have currently been reconciled for release for this allocation.
4) **Sponsor Authorized Amount**: The funds Sponsor has agreed to pay UF for this Award as entered into the Funding Allocation page Question 2.0.

5) **Active Allocation Total**: The amount of direct and indirect funds that have currently been reconciled for release for this allocation. This figure should match item number 3.

6) **Difference**: Sponsor Authorized Amount (#4) less the Active Allocation Total (#5). There may be times when a Unit/College may intentionally not reconcile/release the full sponsor authorized amount. Otherwise, the difference should be $0 after the reconciliation is complete.

STEP 16.1

In the **Select the Funding Allocation to Display** dropdown menu, only the allocations that were selected for release will be available for reconciliation. Select an Allocation.

Once an allocation is selected, the allocation start and end date will auto-populate. You will then have the option to 1) import the budget information from the Proposal or 2) manually enter the budget using the adjustments column.
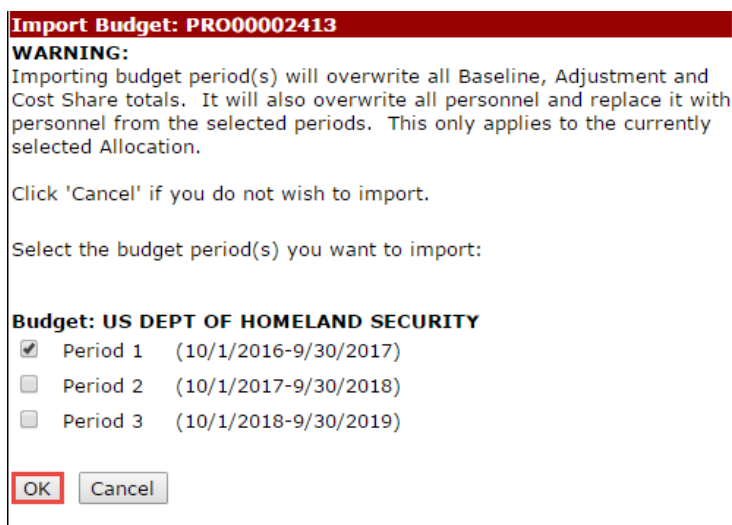
STEP 16.1.1

Option 1: Importing the budget from the Proposal.

To Import the budget click the Import button.

In the Import Budget pop-up window, select the budget periods to be imported as a baseline to this reconciliation. Once the selection has been made, click OK.

STEP 16.1.2

Option 2: Manual entry

If the unit elects to not import the budget directly from the Proposal - or if the budget is imported but requires changes from the Proposal, the Adjustments column may be used to enter budget figures into each budget category. **The total of the budgets entered in the reconciliations should generally match the Sponsor's authorized budget. Even if rebudgeting is allowed, the reconciliations must match the Sponsor's award.**

Approved Budget		Baseline Import ($) Clear	Rollup Adjustments	Adjustment (+/-)	Cost Share Excluding OTC	Active Allocation Total
-Person	PERSON	$0.00	$0.00	$5,931.00	$0.00	$5,931.00
-OPS	OTPERS	$0.00	$0.00	$0.00	$0.00	$0.00
-Post Doc	PSTDOC	$0.00	$0.00	$0.00	$0.00	$0.00
-Graduate Student	GRADST	$0.00	$0.00	$0.00	$0.00	$0.00
-Undergraduate Student	UNGRAD	$0.00	$0.00	$0.00	$0.00	$0.00
Fringe Benefits	FRINGE	$0.00	$0.00	$3,260.00	$0.00	$3,260.00

> **! ALERT!**
>
> UFIRST will not allow for participant support funds to be reconciled with any other budget categories. Participant support funds should be broken out into their own projects and funding allocations. They are then reconciled into the budget categories in which they will be utilized (e.g. travel, supplies, etc.)

Once all funding allocations have been reconciled for release, click Continue to access **Page 5.4 Award Financial Summary.**

Continue >>

STEP 17

On **Page 5.4 Award Financial Summary** review the fields presented for accuracy.

5.4 Award Financial Summary

1.0			
Total Budget Release Amount:	$ 27,278.00	①
Total Current Sponsor Authorized Amount to Date:	$ 50,000.00	②
Total Remaining Sponsor Anticipated Amount:	$ 150,000.00	③
Total Sponsor Authorized and Anticipated Award Amount:	$ 200,000.00	④

1) **Total Budget Release Amount:** The total of all reconciled allocations. This is the total budget amount that will be released into myUFL for all projects.

2) **Total Current Sponsor Authorized Amount**: The total the sponsor has granted per the formal funding document. As mentioned previously, a Unit/College may intentionally choose to release only a portion of the fully authorized amount. However, in most cases, #1 should match #2. This is the Sum of all Sponsor Authorized Amounts on all Allocation Set Up pages.

3) **Total Remaining Sponsor Anticipated Amount**: The amount UF is still expecting to receive in support of this Award. The Sponsor may be providing funds one year at a time. If that is the case, we "anticipate" future funds. This is the Sum of all the Total Remaining Amounts from all Allocation Set Up pages.

4) **Total Sponsor Authorized and Anticipated Award Amount**: This is the total amount of the Award.

> ⚠ **ALERT!**
>
> UFIRST will validate that the amount being released does not exceed the Total Sponsored Authorized and Anticipated Award Amount. If your Total Budget Release Amount is in excess of the Total Award Amount this will require corrections to the budget released on the allocation set up and reconciliation.

Once all amounts have been verified, click Continue to access **Page 5.5 Effort Commitments.**

Continue >>

STEP 18

Page 5.5 Effort Commitments collects effort commitment information. There is one line of Commitment Data for each Key Person within each budget period. At the time of award, all commitments in the proposal become binding. Any changes to the commitments must be made in the proposal budgets and may need prior approval.

Use the Project Drop Down to identify to which project each row of commitment data should be linked.

⚠ ALERT!

Effort data is auto-populated from the Proposal budget. Changes to effort commitments must be entered on the UFIRST Proposal and the Update button must then be clicked to refresh the commitment data.

This will determine under which project each Key Person will report their effort.

Once an Award has been activated the information entered in this SmartForm is transmitted to the appropriate core office for entry into the Effort Commitment Module. If there are any questions, the Project's Unit Contact will be contacted for clarification.

Once all effort commitments have been verified and attributed to the correct projects, click Continue to access **Page 6.0 Deliverables.**

Continue >>

STEP 19

A Deliverable is any report or work product that is due to the Sponsor according to the funding document. This function *may* also be leveraged to provide reminders to any person on the award for any purpose.

> ❗ ALERT!
>
> **Page 6.0 Deliverables** is an optional feature unit's may leverage to track Award deadlines. Any items entered here will be done so by the Unit; Core Offices will not enter deliverables for any Award.

Any Deliverable entered will trigger notifications to the assigned responsible contact 30 days before the deliverable is due. Additionally, Deliverables will be visible on the Deliverables tab in the Award Workspace.

In order to stop the notifications for a specific deliverable the **Manage Deliverables** activity must be executed in the Award Workspace.

To add a Deliverable click the **Add** button.

6.0 Deliverables

1.0	Add, Remove, or Edit Deliverables:

Add

Name   Due Date   Responsible Party   Status   Completion Date

POP-UP ADD DELIVERABLE, QUESTIONS 1.0 & 2.0

In the Add Deliverable pop-up window enter a name and description for this Deliverable, in Fields 1.0 and 2.0.

Add Deliverable

1.0	* Name:
	[ ]
2.0	Deliverable Description:
	[ ]

POP-UP ADD DELIVERABLE, QUESTION 3.0

Set a Number of Occurrences: Enter the number of times this deliverable will be due throughout the life of this Award. For example, if a report is due Quarterly and this is a 2 year Award enter "8."

3.0	* Set Number of Occurrences:
	8

POP-UP ADD DELIVERABLE, QUESTION 4.0

Frequency: Select the Frequency with which this deliverable is required by the Sponsor.

4.0	* Frequency:
	○ Monthly
	○ Quarterly
	○ Semi-Annual
	○ Annual
	○ Final
	○ On Demand
	Clear

POP-UP ADD DELIVERABLE, QUESTION 5.0

Due Date: Set the first deadline for this deliverable. If there are multiple occurrences this will set all future expected deadlines and notifications for this deliverable.

5.0	* Due Date:
	10/1/2016 ▦

POP-UP ADD DELIVERABLE, QUESTION 6.0

Responsible Party: Identify the person who is responsible for completing this Deliverable. This person will receive notifications about the approaching Deliverable deadline.

POP-UP ADD DELIVERABLE, QUESTION 7.0

Additional Staff receiving deliverable notification: Additional personnel can be selected to receive the Deliverable deadline notifications. Once someone has been selected they will be present below the search box.

Once all deliverable information has been entered, Click OK to access **Page 7.0 Compliance Review.**

STEP 20

On page **7.0 Compliance Review**, the responses to the Human Subject and Laboratory Animals questions from the Proposal will auto-populate. However, if they require any changes be sure to complete them here. Note that typically including Human or Animal Subjects where none was identified at the time of proposal or removing Human or Animal Studies when they were originally included is typically a change in scope and must have prior approval from the Sponsor.

Selection of **Yes** to either of these items will generate subsequent pages to identify the approved protocol(s) and identify under which projects the human or animal work will be performed.

If there the work being conducted under this Award does not include either Human Subjects or Laboratory Animals, select **No** to each and click **Continue** to access **Page 8.0 Complete Award.**

Otherwise identify your research subjects by selecting **Yes** to the appropriate questions and then follow steps 20.1-20.4 for Human Subjects, and/or Steps 20.5-20.8 for Laboratory Animals.

Upon selecting Yes to Human Subjects and clicking Continue, you will arrive at Page 7.1 Human Subjects Research. In field 1.0 IRB Protocol Information select **Add**.

7.1 Human Subjects Research

1.0	IRB Protocol Information:

Add

IRB Protocol #	Expiration Date	Applicable Projects
There are no items to display		

Step 20.2

In the **Add Compliance Protocol Information pop-up window** use question 1.0 IRB Protocol Number to search for the IRB protocol(s). This can be done by typing the protocol number into the field, or by clicking **Select** to search by additional criteria, including PI name.

Add ComplianceProtocolInformation

IRB Protocol Information

1.0	**IRB Protocol Number:**

Select...

STEP 20.3

Once the corresponding IRB protocol has been identified use field **2.0 Select Applicable Project(s)** to identify which projects are subject to the identified protocol. Note there may be more than one protocol used in the performance of an Award. Each protocol must be added separately and then have the corresponding projects identified. Once complete, click OK.

STEP 20.4

Click Continue to access the next applicable page.
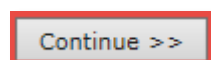
STEP 20.5

Upon selecting Yes to Laboratory Animals and clicking Continue, you will arrive at Page 7.2 Laboratory Animals. In field 1.0 IACUC Protocol Information select **Add**.

STEP 20.6

In the **Add Compliance Protocol Information pop-up window** use question 1.0 IACUC Protocol Information to search for the IACUC protocol(s). This can be done by typing the protocol number into the field, or by clicking **Select** to search by additional criteria, including PI name.

Edit ComplianceProtocolInformation

IACUC Protocol Information

1.0 Select the IACUC Protocol:

[   ] [Select...]

STEP 20.7

Once the corresponding IACUC protocol has been identified use field **2.0 Select Applicable Project(s)** to identify which projects are subject to the identified protocol. Note there may be more than one protocol used in the performance of an Award. Each protocol must be added separately and then have the corresponding projects identified. Once complete, click OK.

Add ComplianceProtocolInformation

IACUC Protocol Information

1.0 Select the IACUC Protocol:
IACUC2016103109   [Select...]

2.0 Select Applicable Project(s):

☑ P0000166   Smith - Adventures in Mycology

☐ P0000165   Dufault Extension

* Required   [OK] [OK and Add Another] [Cancel]

STEP 20.8

Click Continue to access **Page 8.0 Complete Award**.

Continue >>

STEP 21

On page **8.0 Complete Award** click Show/Hide Errors in the navigation bar to review any items that you may have overlooked. Any errors will appear at the bottom. Please note that the Award cannot be routed for review with any errors.

<< Back   Save | Exit | Hide/Show Errors | Print... | Jump To: 8.0 Complete Award ▾

8.0 Complete Award

In the toolbar, select "Hide / Show Errors" to validate that the form is complete. Update any errors or incomplete sections.

To complete the award setup process, click the Finish button on the right and execute an activity in the Award's workspace.

AWARD WORKSPACE

The Award Workspace is the Command Center for your Award; all of the activities and resources necessary to complete your Award are accessible from this area. The Award Workspace is divided into the following Summary Pages and sections:

Summary Tab– General Information

Summary	Modifications	Terms	Compliance	Subrecipients	History	Comments	Related Items	Deliverables	Attachments	Approvals

Principal Investigator:	Matthew Smith	**Primary Unit Admin Contact:**	Stephanie Miller	**Sponsor Date Awarded:**	2/25/2016
Responsible Unit:	AG-PLANT PATHOLOGY	**Contracts and Grants Contact:**		**Award Start Date:**	2/22/2016
Sponsor:	NATL SCIENCE FOU	**DSP Contact:**		**Award End Date:**	2/21/2020
Sponsor Award ID:	11765491	**Human Subjects:**	No	**Released Amount:**	$0
Prime Sponsor:		**Laboratory Animals:**	No	**Sponsor Authorized Amount:**	$126,000
Prime Sponsor Award ID:				**Remaining Sponsor Anticipated Amount:**	$104,000
				Total Sponsor Authorized and Anticipated Award Amount:	$230,000

This area of the Award Workspace provides high level information about the Award.

PI: The person responsible for the overall planning and execution of this Award

Responsible Unit: The department is responsible for administrative oversight of the Award

Sponsor: The party issuing UF the Award

Sponsor Award ID: The sponsor's ID number. When communication regarding this Award is sent to the sponsor this number should be referenced.

Prime Sponsor: The point where UF's funds originated.

Prime Sponsor Award ID: The Prime Sponsor's ID number for the originating Award.

Primary Unit Admin Contact: The person to be contacted for all administrative matters related to this Award

DSP Contact: The person is responsible for the DSP review of this Award

Human Subjects: Indicator if an IRB approval is required

Laboratory Animals: Indicator if an IACUC approval is required

Released Amount: The total amount of all reconciled allocations - the amount that will be released into myUFL for spending.

Sponsor Authorized Amount: The total amount that the sponsor has authorized UF to spend to date. If this amount is less than the Released Amount this indicates that the Award is in Temporary Release status.

Remaining Sponsor Anticipated Amount: The amount that the sponsor has indicated will be funded for this award in the future/future budget periods.

Total Sponsor Authorized and Anticipated Award Amount: The total anticipated amount of the Award including funds released to date and future anticipated periods.

Summary Tab - Completion Status

Below the **Summary General Information** is the **Completion Status** indicators list. This list is a visual representation of the remaining items that must be completed before the Award can be released into myUFL. This section only appears if the Award is *not yet Active*.

N/A indicates that this item does not pertain to this Award and will not affect activation of the Award.

Red lights indicate that an item is incomplete. This means that the form has not yet been completed or the activity has not been executed.

Yellow lights indicate that a specific item requires additional follow up or approval.

- Advanced Spending Approval: The Advanced Spending Request has been made and is pending approval from the Unit Fiscal Authority.
- FCOI: A Key Person has identified a potential financial conflict of interest which is pending review by the Division of Research Compliance.
- Award Compliance: There was a positive answer to a question on the Award Compliance activity and this information is pending final review from the Division of Research Compliance.
- IRB and IACUC: A protocol has been identified but it is not yet approved, has already expired or is awaiting a protocol exception request response from DRC.

Green lights indicate that this requirement has been met. When all lights are green this Award is eligible to be sent to DSP for Review.

Summary Tab – Key Personnel

The Key Personnel list includes the PI, all Key Personnel and any mentors. This list includes each person's Role on the Award, Department, and Training and FCOI statuses. For converted awards, initially only the Award PI will be listed.

RSH220 and RSH260 are required trainings for all key people on every award. DSR810 is only required for key people on NIH awards. If there is a date listed in any of these training fields, this requirement has been met. "Incomplete" indicates that this training is required but that the Key Person has not yet completed it. "N/A" means that this training is not required for this Award.

Be sure to verify that the correct Roles are identified for each Key Person.

Key Personnel

Name	Role	Department	RSH220	RSH260	DSR810	FCOI Form Complete
Smith, Matthew	PD/PI	AG-PLANT PATHOLOGY	3/6/2014	11/27/2012	N/A	No
StudyStaff1, Test	Mentor	MD-MEDICINE	1/25/2012	1/25/2013	N/A	No
Kruse, Jason	Co-PD/PI	AG-ENVIRONMENTAL HORTICULTURE	1/12/2016	2/15/2014	N/A	No
Polston, Jane	Co-PD/PI	AG-PLANT PATHOLOGY	3/1/2014	1/15/2013	N/A	No

Modifications Tab

This section contains a list of all Modifications, or changes, that have been initiated. A new Award will not have any Modifications listed. However, as the Award ages, modifications will likely be needed. All changes to the Award will be tracked as a Modification and each will be accessible from this Tab.

The Modifications section is divided by the following columns:

Name	ID	SmartForm	Mod Type	Mod Type Detail	Internal/Sponsor-Driven	Net Dollar Change	Sponsor #	Effective Date	Date Modified	Status
Bacterial symbiosis and truffle odor - Modification #1	AWD00205_MOD0001	SmartForm	Dollar, Person, Protocol	This modification is...		AWD00205_MOD0001	23	AWD00205_MOD0001	4/19/2016 4:07 PM	Withdrawn
Bacterial symbiosis and truffle odor - Modification #2	AWD00205_MOD0002	SmartForm	Dollar	advance of year 2...		AWD00205_MOD0002	23	AWD00205_MOD0002	4/20/2016 3:22 PM	Withdrawn
Bacterial symbiosis and truffle odor - Modification #3	AWD00205_MOD0003	SmartForm				AWD00205_MOD0003	23	AWD00205_MOD0003	4/20/2016 3:22 PM	Withdrawn
Bacterial symbiosis and truffle odor - Modification #4	AWD00205_MOD0004	SmartForm	Date			AWD00205_MOD0004	23	AWD00205_MOD0004	4/20/2016 3:24 PM	Draft

Name: This defaults to the Name of the Award record followed by the Modification number but can be modified when each Modification is created.

ID: This is the Award ID followed by a sequential Modification ID number

Mod Type: This is a brief description of what types of changes are being made in each Modification. Available Modification types are "Date", "Financial", "Person", "Protocol", "T&C", "Demo" (for demographics)

Mod Type Detail: The first words of the short description entered on the first page of the Modification Smartform populate here.

Internal/Sponsor Driven: Upon approval of each modification DSP must mark if a modification is sponsor driven (formal change from the sponsor) or internal (change made that effects only internal management of Award). That determination will populate here.

Net Dollar Change: If a modification altered the total budget of the Award that figure will populate here.

Sponsor #: When a modification is sponsor driven, each modification will be numbered. If the sponsor does not provide a number then the sponsor number must be tracked and numbered by the unit and/or DSP.

Effective Date: The date the modification is to be effective. For sponsor driven modifications this may be clearly stated in the modification document.

Date Modified: Tracks the last date and time of the Modification has been updated.

Status: Displays the State of the Modification. See the modifications section of this manual for more information.

Terms Tab

This section of the Award Workspace contains the Terms and Conditions that have been identified and will affect how your project will be managed. If you have questions about any of the terms and conditions identified in this section, see: Award Terms and Conditions.

Terms and Conditions:
Carryover of unexpended balances - Automatic
Confidentiality - Sponsor restricts disclosure of information
Equipment - Conditional title vests with UF
Intellectual Property - Silent
No Cost Extension - Requires Sponsor Prior Approval
Publication - Sponsor Review and Comment Period XXXXXX days: **30**

IRB/IACUC Tab

This section of the Award Workspace contains the IRB and IACUC protocols that have been identified. If a protocol is not selected for an Award that section will say "No Protocols Defined." When a protocol is listed, there will be an option to Expand and Collapse to view the full protocol and project details.

IRB Compliance

IRB Protocol #	Status	Expiration Date	Additional Info
No IRB Protocols defined			

IACUC Compliance

IACUC Protocol #	Status	Expiration Date	Additional Info
201508915	Approved	Wed Jul 27 00:00:00 EDT 2016	Collapse

Associated Projects:

Project	Project ID	Project PM	Project Unit	Project Type
Bacterial symbiosis and truffle odor	P0000166	Matthew Smith	EG-BIOMEDICAL	Research- Basic

Compliance Tab

Due to the sensitive and sometimes confidential nature of these responses, the Compliance section is only visible to the PI.

46

| | Summary | Project Details | Modifications | Terms | IRB/IACUC | **Compliance** | FCOI | Subrecipients | History | Related Items | Deliverables | Attachments | Approvals |

Award Compliance

Completed By: Adrienne Fagan

	You will have the opportunity to save your work for later by answering "no" to question 11.
1.0	**Has the Sponsor or any other party indicated that the project is restricted under Export Control Regulations?** ○ Yes ● No
2.0	**Do you currently have anything identified as Export Controlled that will be used in this project?** ○ Yes ● No
3.0	**Will you purchase or receive anything that will be used for the project that the vendor/manufacturer/source has indicated is Export Controlled (except EAR99)?** ○ Yes ● No
4.0	**Will this project involve foreign travel?** ● Yes ○ No **To what countries?** Iran
5.0	**Does the project include the transfer of data, items, equipment, or materials to locations outside the United States?** ○ Yes ● No
6.0	**Will the project include any interaction (travel, collaboration, shipment, effort) with the embargoed countries listed below?** Iran
7.0	**Does the project involve any of the following areas, including components, technical information, or software related to any of the items (select all that apply)?** Weapons of Mass Destruction **Give the make and model:** **Provide the ECCN/USML category, if known:** **Provide the specifications or performance characteristics, if known:**
8.0	**Does the project involve any of the following biological materials listed below (select all that apply)?** None
9.0	**Does this project involve the use of adeno associated virus (AAV) technologies?** ○ Yes ● No
10.0	**Is there a Non-Disclosure Agreement, incoming Material Transfer Agreement, Software Agreement, or other agreement related to the performance of this project?** ○ Yes ● No
11.0	**Indicate if this activity is complete:** ○ No - Save work to allow for further edits ● Yes - Submit information for review By submitting this form to DSP, you attest that all information contained is true and accurate to the best of your knowledge. If the form is completed by anyone other than the PI it is understood that the PI will be held responsbile for the responses.

FCOI Tab

Like the Compliance Tab, the FCOI Tab contains confidential personal financial information that necessitates heightened security. The responses can only be viewed by core office members in DSP and

DRC.

Key Person	Project Role	Home Department	FCOI Indicated	Additional Info
Matthew Smith	PD/PI	AG-PLANT PATHOLOGY	N/A	Expand
Jason Kruse	Co-PD/PI	AG-ENVIRONMENTAL HORTICULTURE	N/A	Expand
Jane Polston	Co-PD/PI	AG-PLANT PATHOLOGY	N/A	Expand
John Ralphio Sapperstein	Co-PD/PI	MD-MEDICINE	Yes	Collapse

1.0	**Do you or your immediate family own stock with an entity that has an interest in the resulting product, materials, or results from this project?** **No** **What percent of the company do you own?** N/A	
2.0	**Do you or your immediate family receive payments or royalties with an entity interested in the resulting product, materials, or results from this project?** **No**	
3.0	**Do you or your immediate family hold a position with an entity interested in the resulting product, materials, or results from this project?** **Yes** **If yes, please indicate the position:** Unpaid board member of biomedical technology company in Atlanta, Georgia.	
4.0	**Do you or your immediate family work for an entity that has an interest in any resulting product, materials, or results from this project?** **No** 	Name · Version · Date Uploaded · Uploaded By	
5.0	Have you had a status change in Significant Financial Interest (SFI) since proposal submission? **No** 	Name · Version · Date Uploaded · Uploaded By	

Subrecipients Tab

This section contains links to the Subaward Workspaces for each Subaward that has been established under this Award. A Subaward should be created whenever UF must transmit funds from an Award to another institution or entity. This action collects the information and documentation required for the creation of a Subaward Agreement by the DSP Subcontracts Team. Note that for all records converted from myUFL, subaward information will NOT be presented until subawards are created in UFIRST.

Subawards

Name	Recipient	State	Start Date	End Date	Awarded
Subaward 1 (AWD00062)	UNIV OF CALIFORNIA SAN FRANCISCO	Complete: Pending Active Award	12/1/2016	11/30/2017	$18,000

History Tab

Every major action that has taken place on the Award as well as the action's "author" is tracked in the History Tab. The content and recipients of any emails sent through UFIRST will be viewable here.

	Activity	Author	▼ Activity Date
✔	Modification Approved	Stroud, Lisa C	5/25/2016 10:28 AM
✔	Modification Approved	Stroud, Lisa C	5/25/2016 10:27 AM
	🗒 Award Modification Approval Status...		
✖	Administration	Irwin, William K	5/25/2016 10:26 AM
✔	Modification Approved	Stroud, Lisa C	5/25/2016 10:02 AM
	🗒 Award Modification Approval Status...		
🗋	Award Modification Created	Stroud, Lisa C	5/25/2016 9:45 AM
	🗒 New Award Modification Created: Metabolic Changes Supporting Myeloma Drug Resistance - Modification #1 (AWD00051_MOD0001)		
✉	Budget Release Message Received	Web, Services	5/25/2016 9:15 AM
🖉	MyUFL Integration Initiated	Stroud, Lisa C	5/25/2016 9:13 AM
	🗒 Integration initiated.		
	Data has been sent to MyUFL successfully, awaiting its response...		
➤	Submitted for Review	Stroud, Lisa C	5/25/2016 9:12 AM
◤	Award Compliance Reminder Sent	Wetherington, Karrelyn	5/25/2016 9:11 AM
✉	FCOI Certification Reminder Sent	Stroud, Lisa C	5/25/2016 9:11 AM
👤	Assign Ownership	Stroud, Lisa C	5/25/2016 9:10 AM
➤	Sent to Responsible Unit	Stroud, Lisa C	5/25/2016 9:09 AM
🗋	Created	Helgeson, Sally	5/25/2016 8:39 AM
18 items		◁ page 1 of 1 ▷	

Related Items Tab

Any item that has been linked to this Award via page **2.0 Proposals and Agreements** will be present in this section. This keeps all related records tied in one central place.

Each record can be accessed by clicking the ID link.

ID	Name	PI	Sponsor	State	Date Modified
AWD00000717	Bacterial Symbiosis Year 1	Smith, Matthew	GM02432	Active	Wed Feb 24 09:43:23 EST 2016
AWD00000731	Bacterial Symbiosis Year 2	Smith, Matthew	GM02432	Active	Wed Feb 24 10:23:12 EST 2016
PRO00002461	Bacterial Symbiosis	Smith, Matthew	GM02432	Awarded	Mon Mar 28 17:43:27 EDT 2016

Deliverables Tab

A list of every Deliverable that has been entered is viewable in the Deliverable Tab. This tab includes the deliverable name, owner (responsible party) information, due date, and status. When a deliverable is managed via the **Manage Deliverable** activity the status, completion date, and completed by fields will be updated.

| Summary | Project Details | Modifications | Terms | IRB/IACUC | Compliance | FCOI | Subrecipients | History | Comments | Related Items | **Deliverables** |

The deliverables associated with this award are listed below. If you want to modify the deliverables, use the **Manage Deliverables** activity.

Name	Deliverable	Owner First	Owner Last	Due Date	Status	Completion Date	Completed By
Technical Reports	Technical Reports	Pamela	Soltis	7/1/2016	Not Started		
Technical Reports 2	Technical Reports 2	Pamela	Soltis	10/1/2016	Not Started		
Technical Reports 3	Technical Reports 3	Pamela	Soltis	1/1/2017	Not Started		
Technical Reports 4	Technical Reports 4	Pamela	Soltis	4/1/2017	Not Started		

Attachments Tab

All attachments uploaded into the Award are available for easy viewing in the Attachments tab. Clicking the Document Link will open the attachment.

| Summary | Project Details | Modifications | Terms | IRB/IACUC | Compliance | FCOI | Subrecipients | History | Related Items | Deliverables | **Attachments** |

Official Award Documents:

Name	Version	Date Modified	Uploaded By
Soltis_NSF_Award_116908768 | History	0.01	6/8/2016 11:06 AM	Adrienne Fagan

Supporting Award Documents:

Name	Version	Date Modified	Uploaded By
Soltis_NSF_Award_116908768_SponsorCorrespondence | History	0.01	6/8/2016 11:06 AM	Adrienne Fagan

UFIRST provides a status of where an Award is in the release process in the blue "State" box in the Award Workspace. Each state drives who the responsible party is and which activities are still pending.

The Award Workflow (state transition) is very nimble and responds to conditions present in your Award. For instance, if the Award Smartform is complete and has been submitted, but the PI has not completed the Award Compliance Form (ACF), the Award will transition from Pending Responsible Unit Edits to Pending Compliance Activities. If the all compliance activities are complete and there are no UFIRST identified red flags when the Smartform is submitted for review, the Award will transition to DSP Review.

Review the flow chart below to learn more about each Award state:
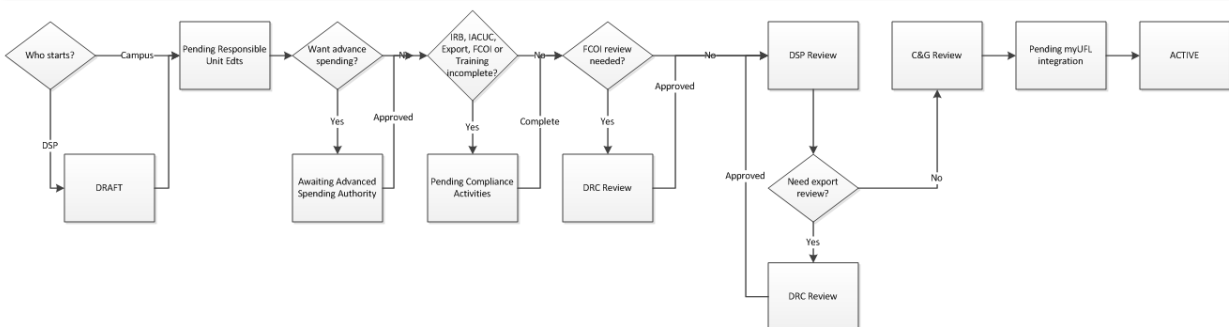
DRAFT

How the Award got here: DSP has created received the formal Award document from the sponsor and created the Award. The Award has not yet been sent to the Responsible Unit for completion.

Who needs to act: DSP must execute the Send for Responsible Unit Edit activity. This will trigger an automatic notification to the Unit.
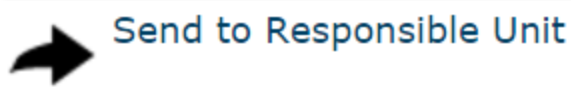
PENDING RESPONSIBLE UNIT EDITS

How it got here: Either DSP has created the Award and routed it to the Unit, or the Unit created the Award.

Who needs to act: The Responsible Unit, or in the absence of departmental support, a key person must log into UFIRST and complete the following:

1. Award Smartforms (with the exception of Page 4.0 Terms and Conditions)
2. Ensure all compliance and training activities have been completed
3. Submit for Review

COMPLIANCE & TRAINING

In order to release an Award for spending the PI and key personnel must complete required trainings and compliance activities in UFIRST.

Required trainings for key personnel are RSH220 Effort Fundamentals, RSH260 Cost Principles, and if from a PHS Sponsor, DSR810: Conflict of Interest.

Required compliance activities include the Award Compliance Form (1 per Award) and FCOI Certifications (1 per key person listed on the Award). To assist faculty in the completion of these activities instructional guides are available in the UFIRST toolkits documents.

When compliance activities are still pending utilize the following activities to notify the PI and key personnel about any pending compliance requirements.

All key personnel will receive this notification regarding pending FCOIs whether or not they have completed their own FCOI
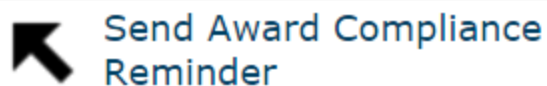
The PI or Award Compliance Delegate will receive this notification.

SUBMIT FOR REVIEW

Once the Unit has completed the Award SmartForms and all errors have been addressed, execute the Submit for Review activity.
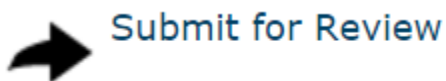
Depending upon the circumstances, the Award can transition to three possible states:

1) Awaiting Advanced Spending Authority: Unit has requested Advanced Spending Authority. The Award will be routed to the Unit Fiscal Authority (UFA) for their response to the Advanced Spending Authority request.
2) Pending Compliance Activities: Either the PI or Award Delegate has not completed the Award Compliance Form and/or there are pending FCOI Certifications from the key personnel and/or all key personnel have not completed the required training.
3) DSP Review: The compliance activities have all been completed and there are no compliance red flags identified.

AWAITING ADVANCED SPENDING AUTHORITY

How it got here: Unit has requested advanced spending authority.

Who needs to act: The Unit Fiscal Authority (UFA) must respond, with either approval or disapproval, to the request. The UFA must execute the Respond to Advanced Spending Request activity.

Respond to Advanced Spending Authority
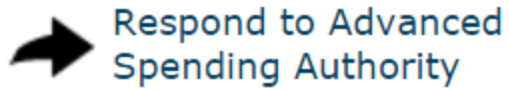
If the UFA has not responded, the Unit can execute the Send Advance Spending Authority Reminder which will trigger notification to the UFA.

Send Advance Spending Authority Reminder

PENDING COMPLIANCE ACTIVITIES

Pending Compliance Activities

How it got here: The Unit has completed the Award Smartform however there are pending compliance activities (Training, FCOI, and/or Award Compliance) that must be completed by the PI and/or key personnel.

Who needs to act: The Unit Administrator should use the Summary Workspace to identify the outstanding items and use the appropriate reminder activities to trigger notifications to faculty.

Note, there is not a pre-configured activity for training reminders. This email will have to be done using the Send Email activity in UFIRST.

Send FCOI Certification Reminder

Send Award Compliance Reminder

Send Email
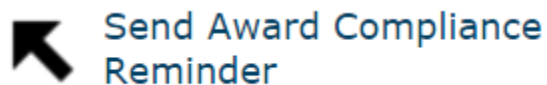
DRC REVIEW

DRC Review

How it got here: Any key personnel answered FCOI Certification questions that indicated potential conflicts or DSP has identified potential export compliance concerns and has routed the Award to DRC Review.

Who needs to act: The Division of Research Compliance is responsible for the Award and will conduct their activities. The PI or Key Person whose FCOI Certification is being reviewed or the PI/Compliance Form delegate should be as responsive as possible to any questions from DRC staff members.

Once DRC has completed their review they will execute the Manage FCOI and/or Manage Award Compliance activities. The Award can then transition to the next state.

Manage FCOI

Manage Award Compliance

DSP REVIEW

DSP Review

How it got here: The Smartforms are complete and all compliance activities are cleared.

Who needs to act: A DSP staff will Take Ownership and review all data in the SmartForms, inclusive of budget information and compliance form responses. This is to ensure the budget release request is allowable per the terms and conditions of the funding document and to verify that the Award Compliance Form does not contain any obvious errors.

DSP will input the terms and conditions for your Award. These terms and conditions will be present on the UFIRST Notice of Award.

DSP has the following activities available to communicate with the Unit or PI, and to transition the Award to either DRC Review or Contracts & Grants Review states.

DSP REQUEST CHANGES

DSP will request changes if necessary. The Request Changes activity gives DSP the following options:

1) Request a re-work of the Award Compliance Form or FCOI Certifications
2) Categorize the DSP change request
3) Choice of which state to return the Award for edit

Request Changes

Request Changes

* **1.0 Select Email Recipients:**

☑ Principal Investigator: Perd Hapley
☑ Administrative Contact: Joan Callamezzo
☑ Responsible Unit Admins: EG- MECH & AERO ENGINEERING

* **2.0 Require rework of Award Compliance Form (PI and Award Compliance Delegate will be notified)?**
◉ Yes ○ No   Clear

* **3.0 Require rework of FCOI Form(s)?**
○ Yes ◉ No   Clear

* **4.0 Categorize the DSP change request:**
[Allocation Correction   ▼]

* **5.0 Comments:**

Award compliance forms does not indicate use of satellites however title of Award is
"Approach to study satellite attitude determination algorithms."

Also, the first year's allocation for Dr. Hapley's project shows a budget release for foreign
travel and foreign travel is prohibited under the terms and conditions of this Award. Please
reallocate and review funding document page 7 for more information on budgeting
restriction.

6.0 Attachments:
[Add]

	Name	Version	Date Modified	Uploaded By	
[Upload Revision]	satellite determination algorithms_Funding Document	0.01	6/21/2016 9:26 AM	Adrienne Fagan	[Delete]

* **7.0 Is this only a compliance request (FCOI, Award Compliance) where the award team does <u>not</u> need edit access to the Award SmartForm in order to perform these changes?**
○ Yes - Route the award to the Pending Compliance Activities state
◉ No - Route the award to the Pending Responsible Unit Edits state
Clear

[OK] [Cancel]

Depending upon the selections made above, different individuals will be notified of a required action.

DSP AWARD COMPLIANCE

Before the DSP Owner can complete DSP Review, the DSP Award Compliance Review activity must be completed. This provides DSP an opportunity to identify any compliance issues not captured in the FCOI Certification or Award Compliance Form and route to the DRC Review state.

COMPLETE DSP REVIEW

Once DSP has completed all levels of review and there are no pending issues to address, the DSP Owner will execute the Complete DSP Review activity to transition the Award to Contracts & Grants Review.

CONTRACTS AND GRANTS REVIEW

Contracts and Grants Review

How it got here: DSP has indicated their review is complete and execute the DSP Review Complete activity.

Who needs to act: Awards will be assigned automatically based upon department ID of the Award. C&G Owners will review the financial and management data. If changes are required they will send the Award back to DSP.

When the Award is ready for release C&G will execute the Initiate MyUFL Integration activity. Here C&G will assign the chartfield and billing type. Upon completion the Award will transition to Pending MyUFL Integration state.

Request DSP Changes

Initiate MyUFL Integration

PENDING MYUFL INTEGRATION

Pending MyUFL Integration

This is an information state to indicate that the Award is in process of being released into myUFL for spending.

ACTIVE

Active

The Award is active in MyUFL and funds may be utilized. HR combo codes will still follow the same timeline for creation and are not automatically created.

The Award is also eligible for Modification.

TERMINAL STATES

A UFIRST Award has three terminal states:

- Expired: The Award has reached its natural and anticipated conclusion. The Award can still be modified to re-open it.
- Terminated: The Award has been terminated prior to the original anticipated completion date. This can be sponsor or PI initiated.
- Transferred Out: The Award has been transferred to another institution.

When an active Award needs to be updated or changed, an Award Modification must be created and routed for review and approval. Award Modifications include both financial and administrative changes that impact the management of the Award.

There are eight Modification Types. Award Modifications will often include more than one Modification Type. These can be entered on the same modification. There are some combinations of Modification Types that are mutually exclusive and cannot be done in the same Award Modification. When this occurs UFIRST will alert the user of this with an error message.

The first two, Financial and Dates Modifications have additional subtypes:

- **Financial:** Select this option whenever new funds are being added to an active Award or existing funds are being shifted from one project to another or rebudgeted between categories under a single project.
    - o **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 Award amount. This option is also utilized to make a temporary-release project permanent once a formal award document has arrived.
    - o **Change in voluntary committed or mandatory cost share:** Select this option if the cost share requirements have increased or decreased.
    - o **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 years
    - o **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, the budget should be managed using tools such as myinvestiGator.
    - o **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. For instance if the PI is moving $5,000 from their project to the project of an internal collaborator, use this option.
    - o **Create new project:** Select this option if a new project is being created with funds moved from an existing project(s) or a new release from the Sponsor. Note this option also requires selection of *Change in overall budget-release or obligated amount or Moving budget between existing project (Net $0 change).*
    - o **Non-federal clinical trial or miscellaneous donor or IFAS FSP:** Select this option to add funds to an existing fund 214 clinical trial, miscellaneous donors account, or IFAS Faculty Service Program award.
    - o **Core office correction:** This option is available to DSP and C&G staff to make correction to the award.
- **Dates**: Select this option whenever the date (award or spending dates) require an update.

- o **No cost extension:** Select this option to request a no-cost extension from DSP or once sponsor approval for the no-cost extension has been granted in writing.
  - o **Spending start dates (KK Begin Date):** Select this option to request a change to the spending start dates, for example to request pre-award spending.
  - o **Revised Award or Project Start and End Dates:** Select this option to update the Award or Project dates.
- **Personnel**: Select this option for the addition or removal of key personnel or departmental contacts, or to request a change of Award PI or Project Managers. Effort commitments are also updated through this modification.
- **Terms and Conditions**: Select this option to update the Terms and Conditions applicable to the Award.
- **Compliance (IRB, IACUC)**: Select this option to update IRB or IACUC protocol information or to which projects those protocols apply.
- **Early Termination**: Select this option if the award is being terminated prior to the original anticipated end date. Examples include relinquishment to transfer to another University or Sponsor initiated early termination agreement.
- **Project Demographics (Name, IDC Center, Project Type)**: Select this option when details of a specific project under the Award require updating
- **Award Demographics (Sponsor, CFDA, FAIN, Responsible Unit)**: Select this option when details at the Award level require updating

CREATING AN AWARD MODIFICIATION

STEP 1

Locate the Award for which the modification is needed. From the Award Workspace, execute the Create Award Modification activity.
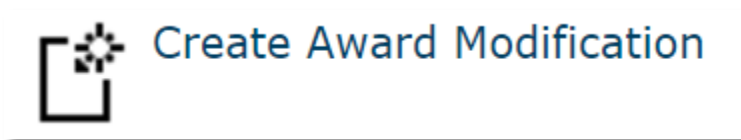
STEP 2

The **Create Award Modification** pop-up window will appear. It will contain information about the Award and the Modification number. Click OK to generate the Modification.

STEP 3

ALERT!

Modifications will take a minute or more to process. Once complete, the Modification will be accessible under the Modifications tab in the Award Workspace.

From the Modification tab select the Modification you would like to edit. You will then land in the Modification Workspace.

STEP 4

From the Modification Workspace click the **Edit Award Modification** button to access to the Award Modification SmartForms.

The SmartForms outlined on the following pages will not apply to every modification. The SmartForms that generate for your Modification are determined by your Modification Type and Modification Subtype selections on Page 1.0 Award Modification, Field 1.0 Select Modification Type. Page 1.0 Award Modification will be the only universal Award Modification pages.

STEP 5

The Award Modification General Information Page is required for all modifications. Selection of different modification types drives what information will be requested on subsequent pages.

PAGE 1.0 AWARD MODIFICATION GENERAL INFORMATION QUESTION 1.0

In **Field 1.0 Select Modification Type** make the selections that apply to your Modification. If either **Financial** or **Dates** are selected, a new drop down list will appear exposing the Financial and Date Modification Subtypes.

1.0

* **Select Modification Type:**
- ☑ Financial
- ☑ Dates
- ☐ Personnel (Including effort commitments)
- ☐ Terms and Conditions
- ☐ Compliance (IRB, IACUC)
- ☐ Early Award Termination
- ☐ Project Demographics (Name, IDC Center, Project Type)
- ☐ Award Demographics (Sponsor, CFDA, FAIN, Responsible Unit)

* **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
- ☐ Industry Clinical Trial or Miscellaneous Donor or IFAS FSP
- ☐ Core office correction
- ☐ Post-Conversion update

* **Select Date Modification Type:**
- ☐ No Cost Extension
- ☐ Spending Start Dates (KK Begin Date)
- ☐ Revised Award or Project Start and End Date

If your Award was initially released as a Temporary/At-Risk/Advanced Award and a formal award document has arrived, Select **Yes** for the final section of Question 1.0 – "**Are you indicating that sponsor authorization has been received for any current temporary projects (temporary-made-permanent)?**" and see the Instructional Guide for completing a Temp-to-Permanent Modification.

If the Award was not initially set up as a Temporary/At-Risk/Advanced Award *or* your Award is a temp and there is still not a formal award document, select **No** in this section.

PAGE 1.0 AWARD MODIFICATION GENERAL INFORMATION QUESTION 2.0

Enter the sponsor's Award ID for this modification: If the modification is the result of the sponsor issuing UF a formal amendment or modification, enter the Sponsor's ID number for this modification.

PAGE 1.0 AWARD MODIFICATION GENERAL INFORMATION QUESTIONS 3.0 & 4.0

Attach the official notification of Award Modification in question 3.0. Attach any supporting documentation such as emails in question 4.0. Note: The drag and drop functionality can be used for any document upload in UFIRST.

PAGE 1.0 AWARD MODIFICATION GENERAL INFORMATION QUESTIONS 3.0 & 4.0

Describe the modification: Provide as much detail as you can about the who, what, when, where, how, and why behind this modification.

5.0 *** Describe the modification**

> This modification adds funds via an administrative supplement for year 1. Funds will be added to both existing projects (Smith and Polston projects) to add travel money for the key personnel to attend a meeting in Washington, DC.

Once all fields are complete, click **Continue**.

PAGE 2.0 PROPOSALS

PAGE 2.0 PROPOSALS QUESTION 1.0

This question contains two sections: **Awarded Proposals** and **Additional Awarded Proposals**. These sections may seem confusing but they serve important and distinct purposes.

Awarded Proposals contains the initial Proposal record from which this Award was first created. **Additional Awarded Proposals** contains any other Proposal records used for proposals funded to this

award.

2.0 Proposals

1.0	**Awarded Proposals:**				
	ID	Name	Principal Investigator	Primary Sponsor	Project State
	PRO00002589	Bacterial symbiosis and truffle odor	Matthew Smith	NATL SCIENCE FOU	Awarded

Additional Awarded Proposals:

ID	Name	Principal Investigator	Primary Sponsor	Project State	
PRO00002629	Bacterial symbiosis and truffle odor	Matthew Smith	NATL SCIENCE FOU	Award Pending	Remove

In field **2.0 If applicable, choose the agreement from which to import Terms and Conditions,** use the text box to identify the Agreement ID that contains the terms and conditions that pertain to this modification.

2.0	**If applicable, choose the Agreement from which to import Terms and Conditions:**
	[ ] Select...

Once complete click **Continue**.

PAGE 3.1 CHANGE IN OVERALL BUDGET

In **Field 1.0 Does this Modification result in overall increase or decrease in funding?** Make the selection that describes your modification. If an increase of funding has been selected, an additional question clarifying the increase will appear.

3.1 Change in Overall Award Budget

Award ID: AWD00313
Award Name: Bacterial symbiosis and truffle odor

1.0	**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
	○ Supplemental – change in scope
	○ Renewal (typically requires new award)
	Clear

- **Incremental:** The release of an expected amount of funding that was included and approved in the initial Proposal, including option years.
- **Supplemental – administrative:** Awarded typically to meet a budget shortfall. Any additions of tasks or changes in the work to be performed are NOT administrative supplements.
- **Supplemental – change in scope:** Any additional funds for work not proposed and awarded in the original award. Includes funding for additional tasks, additional personnel (minority diversity supplements), or additional unanticipated years.
- **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, this modification can be used. Contact your DSP or C&G RA if you are unsure if the funds can be added to the same award.

Once complete click **Continue.**

PAGE 3.2 CHANGES IN VOLUNTARY COMMITTED OR MANDATORY COST SHARE

Question 1.0 is divided into two sections: **Adjustment to Voluntary Committed** and **Adjustment to Mandatory**. Use the applicable fields to update your cost share commitments. Once the page is saved the **Updated** fields will reflect the adjusted amounts.

1.0
Current Voluntary Committed:
$0.00

Adjustment to Voluntary Committed:
$2,000.00

Updated Voluntary Committed:
$2,000.00

Current Mandatory:
$0.00

Adjustment to Mandatory:
$2,000.00

Updated Mandatory:
$2,000.00

Once complete click Continue.

PAGE 3.3 RE-BUDGETING WITHIN AN EXISTING PROJECT

PAGE 3.3 RE-BUDGETING WITHIN AN EXISTING PROJECT QUESTION 1.0

Why are the funds available in the category from which the funds are being transferred? Use the text box to provide a detailed programmatic explanation for the availability of the funds that are being re-budgeted. e.g. why weren't the funds spent according to the awarded budgets?

1.0	Why are the funds available in the category from which the funds are being transferred?

PAGE 3.3 RE-BUDGETING WITHIN AN EXISTING PROJECT QUESTION 2.0

Why are the funds needed in the category from which the funds are being transferred? Use the text box to provide a detailed programmatic explanation, e.g. why is it imperative to the success of this project to rebudget these funds? How will the funds be used in the new category?

2.0	Why are the funds needed in the category to which the funds are being transferred?

PAGE 3.3 RE-BUDGETING WITHIN AN EXISTING PROJECT QUESTION 3.0

Has there been a change in the scope of the project? Make the selection that is appropriate for your modification. Selecting **Yes** to this question will open a text box to describe the how the scope is being changed. Note changes in scope must generally be approved by the Sponsor.

3.0	Has there been a change in scope of the project? ● Yes ○ No Clear
	* If Yes, Describe the scope change:

Once complete, click **Continue**.

PAGE 4.0 DATE MODIFICATION

Question 1.0 Modified Overall Award Start Date should be used for editing the Award Start date when the Sponsor changes the start date or to correct an erroneous entry. Note that when requesting preaward spending, do NOT change the overall award start date but select the date modification subtype to update spending dates on Modification SmartForm page 1.0.

Question 2.0 Modified Overall Award End Date should be used to extend the Award End Date. This can be edited when extending the original award period or correcting an erroneous date.

Once complete, click Continue.

PAGE 4.1 NO COST EXTENSION

Provide a programmatic justification to be submitted to sponsor: Provide details that illustrate the programmatic or technical need for a no cost extension. This will only be submitted to the sponsor if the Award terms indicate sponsor approval is required.

Once complete, click **Continue**.

PAGE 5.0 PERSONNEL

Changes to any named personnel who are part of the project team including the Award PI, Mentor, or other Key personnel, Project Manager(s), or to any project or award level administrators are made through this page.

PAGE 5.0 PERSONNEL QUESTION 1.0

PD/PI Change To: Use the search field to enter the name of the new PI. Note that any changes to the PI typically require *prior* Sponsor approval. It will also require the new PI to complete an ad hoc approval indicating they accept responsibility for the award. Note, that changing the Award PI does not

automatically update the Project Program Manager of any Project. Updates must also be made using question 5.0.

PAGE 5.0 PERSONNEL QUESTION 2.0

Mentor Change To: Use the search field to enter the name of the Mentor. Note that any changes in the Mentor typically require *prior* Sponsor approval.

PAGE 5.0 PERSONNEL QUESTION 3.0

Primary Unit Administrative Contact Change to: use the search field to enter the name of the new Primary Unit Administrative Contact for the Award. This should be done whenever a department administrator leaves and/or another takes over the management of the Award.

PAGE 5.0 PERSONNEL QUESTION 4.0

Update Senior-Key Personnel: If any named senior or key personnel are added to or leave the award or their role changes, use this Add, Delete or Update function. Note that any changes to key personnel typically require *prior* Sponsor approval.

PAGE 5.0 PERSONNEL QUESTION 5.0

Update Project Manager and/or Project Unit Administrative contact(s): Each project under the award is listed. Note, that changing the Award PI does not automatically update the Project Manager of any Project listing the previous Award PI. Click the **Update** button to access the **Update Project Manager and/or Responsible Unit** pop-up window for EACH project you need to update.

5.0	**Update Project Manager and/or Project Unit Administrative contact(s):**							
		ID	Name	Project Manager	Unit	Purpose	Project Type	Start Date End Date
Update		P0000435	PAWNEE RACOON FEST	Leslie Knope	HHP-TOURISM & RECREATION	Extension	Extension /Public Service	10/1/2016 9/30/2017

UPDATE PROJECT MANAGER AND/OR RESPONSISBLE UNIT POP-UP QUESTION 1.0

Do you want to update the project manager? If you need to change the Project Manager, select **yes**. Note that this does not imply ANY status on the award, just the manager of the project (typically a faculty responsible for management of the project). Once you select yes, select the new project manager in **Change Project Manager To:** box.

1.0	**Do you want to update the project manager?**
	⦿ Yes ◯ No Clear
	Current Project Manager: Leslie Knope
	Change Project Manager To:
	Ann Perkins [Select...]

UPDATE PROJECT MANAGER AND/OR RESPONSISBLE UNIT POP-UP QUESTION 2.0

Do you want to update the project unit administrative contact? If you need to change the administrator to be contacted with questions on this project, select **yes**. Once you select yes, enter the new contact in **Change Project Unit Administrative Contact To:** box. If the old administrator is not listed as a departmental grants administrator of any of the key personnel, they will lose access to the award record in UFIRST.

2.0	**Do you want to update the project unit administrative contact?**	
	⦿ Yes ◯ No Clear	
	Current Project Administrative Contact: Donna Meagle	
	Change Project Unit Administrative Contact To:	
	April Ludgate [Select...]	

Click **OK** to close the pop-up window and return **to Page 5.0 Personnel.** If more than one project needs to be updated, click the **Update** button next to each project to repeat the project manager and/or project unit administrative contact updates.

Once all applicable fields have been addressed, click Continue**.**

PAGE 6.0 AWARD DEMOGRAPHICS

If any of the descriptors or award information changes or needs to be updated, the Award Demographics can be updated. Only changed fields should be updated. All others can be skipped. Some changes may require sponsor prior approval.

PAGE 6.0 AWARD DEMOGRAPHICS QUESTION 1.0

Changed responsible unit for overall award: The responsible unit for the overall award only drives institutional reporting. There is no conveyance of this information to the Sponsor or in use for return of F&A. To change, enter the new reporting department in response to question 1.0

PAGE 6.0 AWARD DEMOGRAPHICS QUESTION 2.0

Generally when the Sponsor of funding at UF changes a new award is required. If the Sponsor has changed (as opposed to making a correction to a converted record), work with DSP and C&G to ensure that changing rather than closing out the award is the most appropriate step. If it is determined that this is appropriate, use the **Change Sponsor to:** field to select the new Award Sponsor.

PAGE 6.0 AWARD DEMOGRAPHICS QUESTION 3.0

Change Sponsor Award ID is used to update the Sponsor Award ID. This field is likely being updated during the Temp-to-Permanent process or in order to correct an error. Modifications that have clarifying reference numbers or suffixes should be simply entered on Modification SmartForm page 1.0 and not through this page.

3.0

Current Sponsor Award ID: AGR DTD 09-12-2015

Change Sponsor Award ID:
65-PD930-PRF

If there is an error in identification of the Prime Sponsor or if one was not originally identified but does exist, the award must be reviewed to determine if the funds can remain in the same project or if new projects are required. This is because the Prime Sponsor drives both the Fund & Source of Funds Chartfields. If the award requires an update, please contact your C&G RA to determine if new projects are required. If the Prime Sponsor can simply be updated, use **Change Originating/Prime Sponsor to:** to update the Prime Sponsor for the Award.

4.0

Current Originating/Prime Sponsor: US DEPT OF ED

Change Originating/Prime Sponsor to:
US DEPT OF INTERIOR   Select...

Change Originating/Prime Sponsor ID to: to update the Prime Sponsor's Award ID.

5.0

Current Originating/Prime Sponsor Award ID: 118963-01

Change Originating/Prime Sponsor ID to:
119881-01

This question can be used to update an existing CFDA number, add an additional CFDA number, delete a CFDA number, or update the Federal Award Identification Number (FAIN). Note that any federal grant cannot be left without a primary CFDA. If you delete the primary CFDA, you will be asked to update an existing CFDA and designate it as primary.

Once all changes have been entered click **Continue.**

PAGE 7.1 MODIFIED TERMS AND CONDITIONS

When an Award's terms and conditions are updated via a formal amendment with the sponsor or when the terms and conditions have been entered into UFIRST inaccurately, they require updating. On **Page 7.1 Modified Terms and Conditions** update the selection to reflect the Award document.

Once complete, click **Continue.**

Continue >>

PAGE 8.1 ALLOCATION SET UP

Any time funds are added or removed from an award, new allocations must be created or existing allocations must be modified. Both changes are initiated on this page.

⚠ **ALERT!**

New allocations are required when changing any funding on a Converted Award. These new allocations can have the same start and end dates as other allocations already associated with the Converted Award and projects.

PAGE 8.1 ALLOCATION SET UP QUESTIONS 1.0 & 2.0

When a new project is needed or when the unit desires to add funds received to new allocation (note some local business rules require this for any additional funds received), select Add under **Question 1.0**. The first financial change performed on any converted project will REQUIRE addition of a new allocation.

1.0	**Add New Award Allocations:**							
	Add							
	Associated Project	Name	Start Date	End Date	Release	Budget Release	Sponsor Authorized	Remaining Sponsor Anticipated
	There are no items to display							

To increase or decrease funds on an existing allocation/budget period. Click the Update button on the appropriate allocation under **Question 2.0 Edit Existing Allocations**

2.0	**Edit Existing Allocations:**							
		Associated Project	Name	Start Date	End Date	Release	Budget Release	Sponsor Authorized	Remaining Sponsor Anticipated
	Update	P0000549	Polston - Bacterial symbiosis and truffle odor - 1	10/1/2016	9/30/2017	yes	$187,147.00	$187,146.00	$0.00
	Update	P0000550	Smith- Bacterial symbiosis and truffle odor - 1	10/1/2016	9/30/2021	yes	$538,260.00	$561,262.00	$0.00

ADD NEW ALLOCATION POP UP

ADD NEW ALLOCATION POP UP QUESTION 1.0

Similar to setting up a new Award, you must answer if this new allocation should be released and if you are doing so before the receipt of an official award document. Make the selection the best fits your modification. Selecting **Yes** to both fields will indicate that this allocation is a Temporary/Advanced/At-

75

Risk Request and the Award Modification will route to the Unit Fiscal Authority upon executing the Submit for Review activity.

ADD NEW ALLOCATION POP UP QUESTION 2.0

Use **Field 2.0 Project** to identify to which Project this new allocation should be linked. If the Project has not yet been defined (Project Setup takes place subsequently on Page 8.3) this field can remain unselected. However, once the new Project is set up this field will have to be revisited.

ADD NEW ALLOCATION POP UP QUESTIONS 3.0 & 4.0

If releasing this allocation in Temporary/Advanced/At-Risk status, enter $0 in **Field 3.0 For this allocation, enter the sponsor authorized amount.** If the funding document has been received, enter the amount the sponsor has authorized.

In **Field 4.0 For this allocation, enter the remaining sponsor anticipated amount** enter the remaining dollar amount you expect to receive for this allocation.

ADD NEW ALLOCATION POP UP QUESTIONS 5.0, 6.0 & 7.0

In **Field 5.0 Start Date** enter the start date of this allocation. It should be within the bounds of the existing Award period.

In **Field 6.0 End Date** enter the end date of this allocation. It should not extend beyond the existing Award Period.

In **Field 7.0 Allocation Name** name this allocation. This becomes helpful when dealing with multiple allocations and you need to differentiate between then when selecting which allocation to reconcile on Page 8.6 Award / Authorized Budget Reconciliation.

ADD NEW ALLOCATION POP UP QUESTION 8.0

In **Field 8.0 Associated Funding Proposal** select the Proposal from which the budget for this new allocation was approved. If the proposal is a supplement or renewal, a new Proposal is required.

ADD NEW ALLOCATION POP UP QUESTIONS 9.0, 10.0 & 11.0

Make the appropriate selections for Field 9.0 Indirect Cost Rate Type, 10.0 Indirect Cost Base, and enter the Indirect Cost Rate in Field 11.0. As a reminder, all allocations under a project must have the same type, base, and rate.

ADD NEW ALLOCATION POP UP QUESTION 12.0

Provide any notes that may be helpful for historical purposes, or for core offices in review of the allocation.

Click **OK** to close out the Add Funding Allocation pop-up window.

EDIT EXISTING ALLOCATION POP UP

If you are editing an existing allocation, the questions presented will differ slightly.

EDIT EXISTING ALLOCATION POP UP QUESTION 1.0

Similar to setting up a new Award or allocation, you must answer if the budget entered under this edited allocation should be released and if you are doing so before the receipt of an official award document.

Make the selection the best fits your modification. Selecting **Yes** to both fields will indicate that this allocation is a Temporary/Advanced/At-Risk Request and the Award Modification will route to the Unit Fiscal Authority upon executing the Submit for Review activity.

Create or Edit Funding Allocation

1.0	* **Release Budget 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?
	○ Yes ○ No Clear

EDIT EXISTING ALLOCATION POP UP QUESTION 3.0

Enter the new allocation amount – an increase or decrease. **Please note this is the NEW total, not the adjustment to the existing amount.**

3.0	**Current Sponsor Authorized Amount for this allocation:**
	$12,345.00
	Change Sponsor Authorized Amount for this allocation to:
	$25,000.00

EDIT EXISTING ALLOCATION POP UP QUESTION 3.0

Enter the new Remaining Sponsor Anticipated Amount for this allocation. This field will likely be used for Awards that are funded in small increments throughout the course of the life cycle. Note that if you are adding incremental funds that were previously provided and listed under the read only box of 3.0, be sure to reduce the remaining amount by this new authorized amount under question 2.0 above.

4.0	**Current Remaining Sponsor Anticipated Amount for this allocation:**
	$40,000.00
	Change Remaining Sponsor Anticipated Amount for this allocation to:
	$15,000.00

EDIT EXISTING ALLOCATION POP UP QUESTIONS 4.0, 5.0 & 6.0

Use Field 5.0, 6.0, and 7.0 to adjust the allocation Start and End Dates, and Allocation Name as necessary. Note that the project end date that will be shown in myUFL (and all related reporting tools) is the latest end date of all released allocations (released have checked yes on question 1.0).

5.0	**Current Start Date:** 6/6/2016
	* Change Start Date to:
	6/1/2016

6.0	**Current End Date:** 6/5/2017
	* Change End Date to:
	6/30/2017

7.0	*** Name:**
	Perkins Supplemental Allocation 1

EDIT EXISTING ALLOCATION POP UP QUESTION 7.0

Field 7.0 will have the Proposal from which this allocation originated auto-selected for association.

7.0	**Associated Funding Proposal:**			
	ID	Name	Principal Investigator	Status
	⦿ PRO00002629	Bacterial symbiosis and truffle odor	Matthew Smith	Awarded
	◯ PRO00002589	Bacterial symbiosis and truffle odor	Matthew Smith	Award Pending
	Clear			

EDIT EXISTING ALLOCATION POP UP QUESTIONS 8.0, 9.0, & 10.0

Make the appropriate selections for Indirect Cost Rate Type, Indirect Cost Base, and enter the Indirect Cost Rate. As a reminder, all allocations under a project must have the same type, base, and rate.

9.0	**Indirect Cost Rate Type:**
	◯ On-Campus Research
	◯ Off-Campus Research
	◯ On-Campus AREC Research
	◯ Off-Campus AREC Research
	◯ On-Campus Other Sponsored Activity
	◯ Off-Campus Other Sponsored Activity
	◯ On-Campus Instruction
	◯ Off-Campus Instruction
	◯ Department of Defense On Campus Research Contract or Subcontract
	◯ Department of Defense Off Campus Research Contract or Subcontract
	Clear

10.0	*** Indirect Cost Base:**
	◯ MTDC
	◯ TDC
	◯ TDC less Subcontracts
	◯ NIHTR
	◯ NONE
	◯ Manual
	Clear

11.0	*** Indirect Cost Rate:**
	0%

Provide any notes that may be helpful for historical purposes, or for core offices in review of the allocation.

Click **OK** to close out the Edit Existing Allocation pop-up window.

If you have multiple allocations to add time and money to, add or update the corresponding allocations.

PAGE 8.2 ADVANCE SPENDING AUTHORITY BY ALLOCATION

A temporary release can be issued in two ways:

1) As an entirely new award- An award is not yet established but it is being released in temporary/advance release status
2) As a modification to add advance funds to an existing award- A permanent award already exists, but a temp request has been approved for the next increment of funds.

In order to transition the Award out of Temporary status to Permanent, the temporary allocations must be identified.

When making a new Award (option 1) permanent, all allocations should be selected for transition. When making a modification permanent only the advance release allocations should be selected for transition from temporary to permanent status.

PAGE 8.3 PROJECT SETUP

STEP 1

A new project may be needed for a variety of reasons: the addition of new participant support funds, the identification of an additional project purpose or type, or the need to provide funds to a co-investigator. To start this process click the **Add** button in **Field. 1.0 Add New Project** to access the Create or Edit Projects pop-up window.

1.0	**Add New Project:**						
	Add						
	ID Name	Project Manager	Unit	Purpose	Project Type	Start Date	End Date
	There are no items to display						

STEP 1.1

In the Create or Edit Projects pop-up window provide a short title for the new project. This name will be the searchable title in UFIRST projects, myUFL and other reporting tools.

1.0	* **Project Name:**
	Unity Fest Participant Support

STEP 1.2

Only newly created allocations will be selectable in **Field 2.0 Select Associated Allocations**. If there are no selectable allocations, navigate back to **Page 8.1 Allocation Setup** and add new allocations.

Select the corresponding allocations for the new project.

2.0	* Select Associated Allocation(s):								
	Name	IDC Rate	IDC Type	IDC Base	Start Date	End Date	Released	Sponsor Authorized	Sponsor Anticipated
☑	Perkins Partcipant Support Supplement	0.00%	Research On	MTDC	6/1/2016	6/30/2017	Yes	$6,000.00	$4,000.00
☐	Knope Unity Fest - 1	50.00%	Research On	MTDC	6/6/2016	6/5/2017	Yes	$807.00	$12,345.00
☐	Knope Unity Fest - 2	50.00%	Research On	MTDC	6/6/2017	6/5/2018	Yes	$0.00	$5,000.00
☐	Knope Unity Fest - 3	50.00%	Research On	MTDC	6/6/2018	6/5/2019	No	$0.00	$0.00
☐	Knope Unity Fest - 4	50.00%	Research On	MTDC	6/6/2019	6/5/2020	No	$0.00	$0.00
☐	Knope Unity Fest - 5	50.00%	Research On	MTDC	6/6/2020	6/5/2021	No	$0.00	$0.00

STEP 1.3

Use Field 3.0 **Project Manager** to identify the project manager (formerly Project PI). This person will be responsible for the oversight of these funds.

3.0	* **Project Manager for this Project:**
	Ann Perkins Select... Clear

Use **Field 4.0 Project Unit Administrative Contact** to add the administrator to contact with questions regarding this project.

4.0 | **Project Unit Administrative Contact for this Project:**
April Ludgate [Select...] [Clear]

Use **Field 5.0 Responsible Unit** to identify the department that will manage this project. This selection will also determine the Dept ID to be used in the Chartfield and the department to receive IDC (F&A) returns.

5.0 | *** Project Unit Responsible for this Project:**
HH-TOURISM / REC / SPORTS MGMT [Select...] [Clear]

Field 6.0 Add Centers or Institutes Contributing to or Supporting the Project should be used to identify Centers or Institutes that are providing resources to the completion of the project.

Click **Add** to select the centers to receive IDC returns from this project and the percentage they should receive. Multiple centers can be selected, however the percentage of returns indicated cannot total more than 7.5% for all centers combined.

6.0 | **Add Centers or Institutes Contributing to or Supporting the Project:**
[Add]

	Center	Center ID	IDC Percentage	
[Update]	Emerging Pathogens Institute	10.229	3.25%	[Delete]
[Update]	Center for Public Issues Education in Agriculture and Natural Resources	10.25	3.25%	[Delete]

Make selections for **Field 7.0 Project Purpose** and **8.0 Project Type**.

The **Project Purpose** is designated based upon the fundamental focus of the scope of work.

The available selections for **Project Purpose** are:

* Purpose:

⚪	RSCHA	Applied Research
⚪	RSCHB	Basic Research
⚪	RSCHD	Developmental Research
⚪	EXTPS	Extension/Public Service
⚪	INST	Instruction-Non-Research Training
⚪	OSA	Other Sponsored Activity
⚪	RSTRN	Research Training

The **Project Type** is an attribute that further defines the purpose reflected in the scope of work. It is used for both institutional reporting and for improving business processes, such as identifying projects not requiring effort commitments, identifying projects with special rebudgeting restrictions, or identifying projects of strategic institutional importance.

> **❗ ALERT!**
>
> These fields are critical for proper reporting at both the Federal and internal levels. If an answer is not 100% certain, the definitions of each purpose and project type should be consulted. These definitions can be found in "Appendix II – UFIRST Purpose and Project Type Definitions " as well as in the Help Text links to the right of these fields. A conversation with the faculty may also be required to help make a final determination.

The available selections for Project Type are:

* Project Type:

⚪	ANML	Animal Trials	⚪ INSTR	Instruction
⚪	CAR	Career Development	⚪ IPA	Inter-governmental Personnel A
⚪	CT	Clinical Trial	⚪ OTHSP	Other Sponsored Activity
⚪	CTOA	Clinical Trial Operating Accou	⚪ PTSUP	Participant Support
⚪	CONF	Conference/Workshop	⚪ PXCAR	Patient Care
⚪	CUDEV	Curriculum Development	⚪ PILOT	Pilot/Internal PJ
⚪	DDIG	Doctoral Dissertation	⚪ FWSPG	Post Graduate Fellowship
⚪	EDIT	Editorship	⚪ RENO	Renovations/Construction
⚪	EQUIP	Equipment	⚪ RSHA	Research Applied
⚪	EXTPS	Extension/Public Service	⚪ RSHB	Research Basic
⚪	FWSO	Fellowship Other	⚪ RSHD	Research Developmental
⚪	FLDTR	Field Trials	⚪ RSHT	Research Training
⚪	FWSG	Graduate Fellowship	⚪ TEST	Testing Services
⚪	HSR	Human Subject Research	⚪ TRAV	Travel
⚪	IFSP	IFAS Faculty Service Program	⚪ UGRSH	Undergraduate Research Pj
⚪	ITG	Institutional Training Grant		

After updating the project demographics for all the appropriate projects click **OK.**

PAGE 8.4 PROJECT DEMOGRAPHICS

To update the Name, Center receiving IDC (F&A) returns, or Project Type for a project complete Page 8.4 Project Demographics. If you are seeking to change the project purpose this will necessitate closing down the current project and establishing a new one as it is linked to the Program Code Chartfield. If this change is being sought reach out to your C&G Accountant.

Also note that this page must be updated upon the first modification of each converted Award.

STEP 1

Select **Update** for the project requiring revision in field 1.0 Update Project Demographics. In this example we are using a converted award. Each project will require the identification of a project type.

PROJECT DEMOGRAPHICS POP-UP QUESTION 1.0

Use the text box provided to update the Project Name. This will be the searchable name in in UFIRST projects, myUFL and other project reporting tools.

PROJECT DEMOGRAPHICS POP-UP QUESTION 2.0

Select **Add** in Question 2.0 to add a new center to this project or **Update** to adjust the IDC distribution information an existing center entry.

This field should be used to identify Centers or Institutes that are providing resources to support the completion of the project.

Use the text box to type the name of the Center or click **Select** to search for the Center. Once the appropriate center is identified enter the percentage of IDC to be distributed in the text box for Question 2.0.

Multiple centers can be selected, however the percentage of returns indicated cannot total more than 7.5% for all centers combined.

Click OK to close the pop-up window and return to page 8.4 Project Demographics.

Project Name: P0000003

| 1.0 | * Select the center: Diabetes Institute [Select...] [Clear] | |
| 2.0 | * Define the percentage of returned IDC for the selected center:
7.5 % | |

* Required   [OK] [OK and Add Another] [Cancel]

PROJECT DEMOGRAPHICS POP-UP QUESTION 3.0

The **Project Type** is an attribute that further defines the purpose reflected in the scope of work. It is used for both institutional reporting and for improving business processes, such as identifying projects not requiring effort commitments, identifying projects with special rebudgeting restrictions, or identifying projects of strategic institutional importance.

> ! **ALERT!**
>
> These fields are critical for proper reporting at both the Federal and internal levels. If an answer is not 100% certain, the definitions of each purpose and project type should be consulted. These definitions can be found in "Appendix II – UFIRST Purpose and Project Type Definitions " as well as in the Help Text links to the right of these fields. A conversation with the faculty may also be required to help make a final determination.

The available selections for Project Type are:

Project Type:

○ ANML	Animal Trials	○ INSTR	Instruction
○ CAR	Career Development	○ IPA	Inter-governmental Personnel A
○ CT	Clinical Trial	○ OTHSP	Other Sponsored Activity
○ CTOA	Clinical Trial Operating Accou	○ PTSUP	Participant Support
○ CONF	Conference/Workshop	○ PXCAR	Patient Care
○ CUDEV	Curriculum Development	○ PILOT	Pilot/Internal PJ
○ DDIG	Doctoral Dissertation	○ FWSPG	Post Graduate Fellowship
○ EDIT	Editorship	○ RENO	Renovations/Construction
○ EQUIP	Equipment	○ RSHA	Research Applied
○ EXTPS	Extension/Public Service	○ RSHB	Research Basic
○ FWSO	Fellowship Other	○ RSHD	Research Developmental
○ FLDTR	Field Trials	○ RSHT	Research Training
○ FWSG	Graduate Fellowship	○ TEST	Testing Services
○ HSR	Human Subject Research	○ TRAV	Travel
○ IFSP	IFAS Faculty Service Program	○ UGRSH	Undergraduate Research Pj
○ ITG	Institutional Training Grant		

After updating the project demographics for all the appropriate projects click **OK.**

PAGE 8.5 PROJECT UNIT

To update the Responsible Unit on a project a Core Office Correction modification must be selected as it affects the department chartfield for the project. This type of modification must be initiated by someone in DSP or C&G. Contact the Award's DSP or C&G Owner to complete this change.

The steps below illustrate what the Core office staff member will see.

STEP 1

Select the **Update** button for the project requiring the change of department/unit.

8.5 Project Unit

	Award ID: 00097005 **Award Name:** PAWNEE UNITY FEST							
1.0	**Update the project responsible department/unit:**							
	ID	Name		Project Manager	Unit	Purpose	Project Type	Start Date	End Date
	Update P0000019	PAWNEE UNITY FEST		Jeremy Jamm	HH-TOURISM & REC	OSA	Public Service	9/1/2014	8/31/2016

EDIT PROJECT RESPONSIBLE DEPARTMENT/UNIT POP-UP

Use the text box in Question 1.0 of the Edit Project Responsible Department/Unit pop-up to identify the new responsible unit.

Update Project Responsible Department/Unit
Project Name: PAWNEE UNITY FEST

1.0

Current Responsible Department/Unit: HH-TOURISM & REC

Change Responsible Department/Unit To:

hh-   [Select...]

Department ID	Department
26010000	**HH**-HHP DEAN'S OFFICE
26010100	**HH**-HHP DEAN'S OFFICE-ADMIN
26010200	**HH**-HHP COMPUTING SERVICES
26010300	**HH**-HHP-DEVELOPMENT
26010400	**HH**-HHP-INTERNATI INIITIATIVES
26010500	**HH**-HHP-MAINTENANCE SERVICES
26010600	**HH**-HHP-OUTREACH
26010700	**HH**-HHP-PUBLIC RELATIONS
26010800	**HH**-HHP-RESEARCH
26010900	**HH**-HHP-SPORT / FITNESS

* Requir   [OK] [Cancel]

Once the appropriate unit has been selected, click OK.

PAGE 8.6 AWARD/AUTHORIZED BUDGET RECONCILIATION

In a modification only the funds being added to the project are reconciled. For example, imagine an active Award with a budget of $75,000. A Modification is created to add $25,000. In the reconciliation page of the Modification provide a reconciliation (budget category breakout) for the additional $25,000.

STEP 1

In the **Select the Funding Allocation to Display** dropdown menu, only the allocations that were selected for release will be available for reconciliation. Select an Allocation.

Select the Funding Allocation to display:	Start Date:	12/1/2016	End Date:	11/30/2019
Polston Budget - 1 ▼ [Undo All Changes]				
None Selected				
Polston Budget - 1				
Colquhoun Budget - 1				
Matt Smith Direct Budget - 1				
Matt Smith Direct Budget - 2				
Polston Budget - 2				
Colquhoun Budget - 2				

Once an allocation is selected, the allocation start and end date will auto-populate. You will then have the option to 1) import the budget information from the Proposal that captured the budget for the additional funds or 2) manually enter the budget using the adjustments column.

STEP 2.1 RECONCILIATION

Option 1: Importing the budget from the Proposal. This can only be done if the budget exists in either the original proposal or another proposal that was linked to the allocation.

To Import the budget click the Import button.

In the Import Budget pop-up window, select the budget periods to be imported as a baseline to this reconciliation. Once the selection has been made, click OK.

STEP 2.1

Option 2: Manual entry

If the unit elects to not import the budget directly from the Proposal - or if the budget is imported but requires changes from the Proposal, the Adjustments column may be used to enter budget figures into each budget category. **The total of the budgets entered in the reconciliations should generally match the Sponsor's authorized budget. Even if rebudgeting is allowed, the reconciliations must match the Sponsor's award.**

Once all funding allocations have been reconciled for release, click Continue to access **Page 8.7 Award Financial Summary.**

PAGE 8.7 AWARD FINANCIAL SUMMARY

On **Page 8.7 Award Financial Summary** review the fields presented for accuracy.

8.7 Award Financial Summary

1.0			
Total Budget Release Amount:	$ 23,406.00	①
Total Current Sponsor Authorized Amount to Date:	$ 123,406.00	②
Total Remaining Sponsor Anticipated Amount:	$ 50,000.00	③
Total Sponsor Authorized and Anticipated Award Amount:	$ 173,406.00	④

1) **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.

2) **Total Current Sponsor Authorized Amount**: The total the sponsor has granted per the formal funding document. As mentioned previously, a Unit/College may intentionally choose to release only a portion of the fully authorized amount. However, in most cases, #1 should match #2. This is the Sum of all Sponsor Authorized Amounts on all Allocation Set Up pages.

3) **Total Remaining Sponsor Anticipated Amount**: The amount UF is still expecting to receive in support of this Award. The Sponsor may be providing funds one year at a time. If that is the case, we "anticipate" future funds. This is the Sum of all the Total Remaining Amounts from all Allocation Set Up pages.

4) **Total Sponsor Authorized and Anticipated Award Amount**: This is the total amount of the Award.

Click **Continue**

> ⚠ ALERT!
>
> UFIRST will validate that the amount being released does not exceed the Total Sponsored Authorized and Anticipated Award Amount. If your Total Budget Release Amount is in excess of the Total Award Amount this will require corrections to the budget released on the allocation set up and reconciliation.

PAGE 8.8 EFFORT COMMITMENTS

Use Page 8.8 Effort commitments to add new effort commitments and to edit existing ones. This should be done to whenever there is a change of key personnel or to formally request reductions in effort. Effort commitments should only be entered and maintained for Key Personnel or anyone that is contributing effort on the Award to meet a mandatory cost sharing requirement.

ALERT!

Note that converted awards will not initially display commitments previously entered. To make changes or to extend existing commitments, you must add a new commitment row.

NEW EFFORT COMMITMENTS

Select the **Add** button in the New Effort Commitments field.

ADD PERSON DETAIL POP-UP

STEP 1

Use the Person text box to select the name of the new key person or cost shared individual. Then enter the committed effort months in the appropriate fields (either cost shared or salary requested/direct charge.) Select the project to which this commitment will be applied. Once complete, click **OK**.

EDIT EXISTING COMMITMENT DATA

To request an update to commitment data edit the Cost Share Months and Salary Requested Months fields in the Edit Existing Commitment Data field on Page 8.8 Effort Commitments.

The date fields can also be edited to reflect that effort will be met during a specific time frame or semester.

To associate this person's effort commitment with another project identify the new project by selecting it in the Project drop down menu.

PAGE 9.0 COMPLIANCE REVIEW

When the Compliance Modification type is selected on Page 1.0 Award Modification Information Page 9.0 Compliance Review will become available for edit. This allows for IRB and/or IACUC protocols to be updated as appropriate.

Ensure that the compliance information for the Award is correct, then click Continue to access Page 9.1 Human Subjects Research. Note that any changes to the responses on page 9.0 (not necessarily subsequent compliance pages) generally indicates a change in scope and requires Sponsor prior approval.

PAGE 9.1 HUMAN SUBJECTS RESEARCH

Page 9.1 Human Subjects Research contains options to Add New IRB Protocol information in Question 1.0 and to Edit Existing IRB Protocol Information in Question 2.0. Any existing IRB protocols that have been linked to this Award will be present in Question 2.0.

Adding and editing an IRB protocol follow the same steps.

STEP 1

Click the Add button in Question 1.0 to access the IRB Protocol Information pop-up.

9.1 Human Subjects Research

	Award ID: 00097005 **Award Name:** Potato Breeding Improved Quality Eastern US
1.0	**Add New IRB Protocol Information:** Add
	IRB Protocol # Expiration Date Applicable Projects There are no items to display
2.0	**Edit Existing IRB Protocol Information:** IRB Protocol # Expiration Date Applicable Projects There are no items to display

IRB PROTOCOL INFORMATION POP-UP QUESTION 1.0

IRB Protocols can be identified by typing the protocol number in the text box or by clicking Select. The Select option will allow the user to search by IRB Protocol ID, IRB Protocol Name, Status, PI name, and Expiration Date.

IRB Protocol Information

1.0	**IRB Protocol Number:**	Select...

IRB PROTOCOL INFORMATION POP-UP QUESTION 2.0

Select the project(s) to which the IRB protocol applies. Note that more than one IRB Protocol can be added to an award, however they must be added separately.

Once the appropriate project(s) have been selected, click OK.

2.0	**Select Applicable Project(s):**	
	☐ 00120159	Knope Pawnee Raccoon Fest
	☑ 00120160	Perkins Pawnee Unity Fest

* Required   OK   OK and Add Another   Cancel

PAGE 9.2 LABORATORY ANIMALS

Page 9.2 Laboratory Animals contains options to **Add New IACUC Protocol information** in Question 1.0 and to **Edit Existing IACUC Protocol Information** in Question 2.0. Any existing IACUC protocols that have been linked to this Award will be present in Question 2.0.

STEP 1

Click the **Add** button in Question 1.0 to access the IACUC Protocol Information pop-up.

1.0	**Add New IACUC Protocol Information:**		
	Add		
	IACUC Protocol #	Expiration Date	Applicable Projects
	There are no items to display		

IACUC PROTOCOL INFORMATION POP-UP QUESTION 1.0

IACUC Protocols can be identified by typing the protocol number in the text box or by clicking Select. The Select option will allow the user to search by IACUC Protocol ID, IACUC Protocol Name, Status, PI name, and Expiration Date.

IACUC Protocol Information

1.0	**Select the IACUC Protocol:**	
		Select...

IACUC PROTOCOL INFORMATION POP-UP QUESTION 2.0

Select the project(s) to which the IACUC protocol applies. Note that more than one IACUC Protocol can be added to an award, however they must be added separately.

Once the appropriate project(s) have been selected, click OK.

2.0	**Select Applicable Project(s):**		
	☑	00120159	Knope Pawnee Raccoon Fest
	☐	00120160	Perkins Pawnee Unity Fest

* Required   OK   OK and Add Another   Cancel

PAGE 10.0 EARLY TERMINATION

Early Termination of an Award can take place for a variety of reasons. When this occurs an Early Termination modification is required. Note, this type of modification cannot be combined with any other modification type. It must be processed independently.

STEP 1

Identify the option that best describes why this Award is being terminated prior to its anticipated conclusion.

Transfer Out: A PI has left UF and taken this Award to their new institution. If this option is selected the new institution must be identified in the text box at the bottom of this question.

PI Left Institution: Award not transferred. A PI has left UF but elected to not move the project and wishes to terminate the work.

Accept Other Award: The PI has accepted another award that has created a conflict requiring relinquishment of this Award.

Sponsor Initiated: The sponsor has notified UF that the Award is being shut down. This can be due to a sponsor's financial hardship or a sponsor's dissatisfaction with work being produced.

UF Initiated: Although the PI is remaining at the University has decided to discontinue the project due to unavailable key personnel, compliance risk, financial loss, or a change in direction of the program.

Withdrawn After Activation: Used when an award was activated in error.

STEP 2

Attach documents that support the request for early termination. This may be emails from the PI or the formal notification from the sponsor to stop work.

Once complete click Continue.

PAGE 11.0 SUBAWARD MODIFICATIONS

When active subaward exist on an Award page 11.0 Subaward Modifications will appear. This provides the option to initiate a modification to the subaward. If the subaward institution needs to be issued a formal modification to continue or update their agreement, select the check box for the appropriate subwards.

Once complete click Continue.

PAGE 12.0 COMPLETE AWARD MODIFICATION

Identify the Effective date of this modification. It will either be a sponsor defined date within the formal modification document, the date of last signature on the modification document, the date the University is notified of approval, or if UF initiated – use today's date.

At this time click the Show/Hide Errors option at the top of the page to check for other errors.

Once all errors have been addressed click Continue. Continue >>

AWARD MODIFICATION COMPLETION PROCESS

In order for an Award Modification to be processed it must be routed for review like the Award SmartForm. Once the Award Modification SmartForms have been completed execute the Submit for Review Activity.

Submit for Review
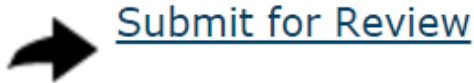
APPROVING A REQUEST FOR MODIFICATION

Any user with edit access to the Award (PI, Key Personnel, and Unit Administrators for Projects under the Award) can create a modification. When the user submitting the modification is not the Award PI or the **Award** Primary Unit Administrative Contact, those two individuals will receive a request to approve the modification request. This ensures that the Award is being managed from the Award level by the appropriate administrator, and not in project-level silos.

To approve to a Modification request execute the Approve Modification Request activity.

Approve Request for Modification

To deny a modification request, E-mail the DSP Owner of the Award and notify them that you wish to deny the Modification. Provide details as to why the Modification should not be approved.

Send Email
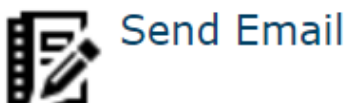
DSP will then execute the Withdraw activity.

Withdraw
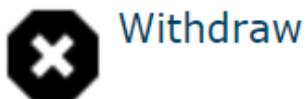
AWARD MODIFICATION STATES

The States for Award **Modification** vary slightly from the Award States. Most importantly, the Draft state in Award Modification is very different than the Draft state from in the Award. However, the remaining States function the same as they do in the Award Workflow.

DRAFT

Unlike the Draft state in the Award, Draft is the first state of all Award Modifications regardless of which user (DSP or Unit) creates it. If there is a modification in Draft this means the Unit is responsible for completion of pending items and routing for review.

Different UFIRST Activities are available to users based upon their security roles and the state of the UFIRST Award.

PI/KEY PERSONNEL ACTIVITIES IN PENDING RESPONSIBLE UNIT EDITS & PENDING COMPLIANCE ACTIVITIES STATES

1) **FCOI Certification**: All Key Personnel listed on an Award must complete the FCOI certification activity. In this activity Key Personnel respond to questions that identify any potential financial conflicts of interest. Answers to these questions have an additional security applied for privacy. The responses are reviewed by the Divisions of Sponsored Programs and the Division of Research Compliance.
2) **Complete Award Compliance Form**: The PI or the Award Compliance Delegate (see activity 3) must complete this activity for each award before an agreement can be executed or an Award can be reviewed by DSP. This activity captures information related to export control, foreign collaborations, environmental health and safety, recombinant DNA, and biohazards.
3) **Assign Award Compliance Delegate**: The PI may delegate another individual with intimate knowledge of the technical direction of the project to execute the Complete Award Compliance activity.
4) **Submit for Review**: Routes the Award for review.
    a. If a Temporary/Advanced/At-Risk release has been requested, the Award will transition to the state of **Awaiting Advanced Spending Authority.**
    b. If there are outstanding Training, FCOI or Award Compliance Activities, the Award will transition to the state of **Pending Compliance Activities**
    c. If the compliance activities have been completed and a key person has identified a potential conflict, the Award will transition to the state of **DRC Review.**

d. If all compliance activities are completed by the key personnel, there are no indications of FCOI, and there are no requests for Temporary/Advance/At-Risk releases, the Award will transition to the state of **DSP Review.**

5) **Send FCOI Certification Reminder**: Notifies Key Personnel listed on the Award to log in and complete the FCOI Certification activity. The Award cannot move on for review until all key personnel have completed their FCOI Certification in UFIRST.

6) **Note to History Log**: Adds a comment to the Award history log. This does not trigger an e-mail to anyone related to the Award. It is simply a note to the file.

7) **Manage Additional Access:** Permits additional users to view or edit the Award.

8) **Send Email**: One form of in-system communication. Use this to reach out to anyone with access to the Award. This includes a link back to the award record.

9) **Request Ad Hoc Review**: Functionality to obtain a non-standard review or approval of the Award. This can be triggered by anyone with edit access to the Award.

10) **Attach Supporting Award Documents:** Use this activity to quickly attach supporting documentation in lieu of attaching it within the SmartForm.

11) **Manage Deliverables:** Adds a deliverable to the Award. Each deliverable that is added will trigger automatic notifications to the individual identified as the Responsible Party for that deliverable.

12) **Complete Deliverable:** Marks a deliverable as complete and halts automatic notifications regarding specific deliverables.

DEPARTMENT ADMINISTRATOR ACTIVITIES IN PENDING RESPONSIBLE UNIT EDITS STATE

My Activities

1 Submit for Review	**6** Send Email
2 Send FCOI Certification Reminder	**7** Request Ad Hoc Review
3 Send Award Compliance Reminder	**8** Attach Supporting Award Documents
4 Note to History Log	**9** Manage Deliverables
5 Manage Additional Access	**10** Complete Deliverable

1) **Submit for Review**: Routes the Award for review to the next step of workflow.
   a. If a Temporary/Advanced/At-Risk release has been requested, the Award will transition to the state of **Awaiting Advanced Spending Authority.**
   b. If there are outstanding training, FCOI or Award Compliance Activities, the Award will transition to the state of **Pending Compliance Activities.**

c. If the compliance activities have been completed and a key person has identified a potential conflict, the Award will transition to the state of **DRC Review.**

d. If all compliance activities are completed by the key personnel, there are no indications of FCOI, and there are no requests for Temporary/Advance/At-Risk releases, the Award will transition to the state of **DSP Review.**

2) **Send FCOI Certification Reminder:** Triggers a notification to all Key Personnel on the Award listing the key people that have not completed their FCOI Certification in UFIRST.

3) **Send Award Compliance Reminder:** Triggers a notification to the PI or Award Compliance Delegate that the Award Compliance Form is still pending in UFIRST.

4) **Note to History Log**: Adds a comment to the Award history log. This does not trigger an e-mail to anyone related to the Award. It is simply a note to the file.

5) **Manage Additional Access:** Permits additional users to view or edit the Award.

6) **Send Email**: One form of in-system communication. Use this to reach out to anyone with access to the Award.

7) **Request Ad Hoc Review**: Functionality to obtain a non-standard review/approval of the Award. This can be triggered by anyone with edit access to the Award.

8) **Attach Supporting Award Documents:** Use this activity to quickly attach supporting documentation in lieu of attaching it within the SmartForm.

9) **Manage Deliverables:** Adds a deliverable to the Award. Each deliverable that is added will trigger automatic notifications to the individual identified as the Responsible Party for that deliverable.

10) **Complete Deliverable:** Marks a deliverable as complete and halts automatic notifications regarding specific deliverables.

UNIT FISCAL AUTHORITY ACTIVITIES

The Unit Fiscal Authority (UFA) will only need to take an action in the **Awaiting Advanced Spending Authority** state. The primary purpose of this state is for the UFA to **Respond to the Advanced Spending Authority request.**

1) **Respond to Advanced Spending Authority:** Approves or disapproves Advanced Spending Requests.
2) **Send Advance Spending Authority Reminder:** Notifies UFAs with outstanding Advanced Spending Requests to review and approve or disapprove the request in UFIRST.
3) **Note to History Log**: Adds a comment to the Award history log. This does not trigger an e-mail to anyone related to the Award. It is simply a note to the file.
4) **Send Email**: One form of in-system communication. Use this to reach out to anyone with access to the Award.
5) **Request Ad Hoc Review**: Functionality to obtain a non-standard review/approval of the Award. This can be triggered by anyone with edit access to the Award.
6) **Attach Supporting Award Documents:** Use this activity to quickly attach supporting documentation in lieu of attaching it within the SmartForm.
7) **Manage Deliverables:** Adds a deliverable to the Award. Each deliverable that is added will trigger automatic notifications to the individual identified as the Responsible Party for that deliverable.
8) **Complete Deliverable:** Marks a deliverable as complete and halts automatic notifications regarding specific deliverables.

DRC REVIEW ACTIVITIES
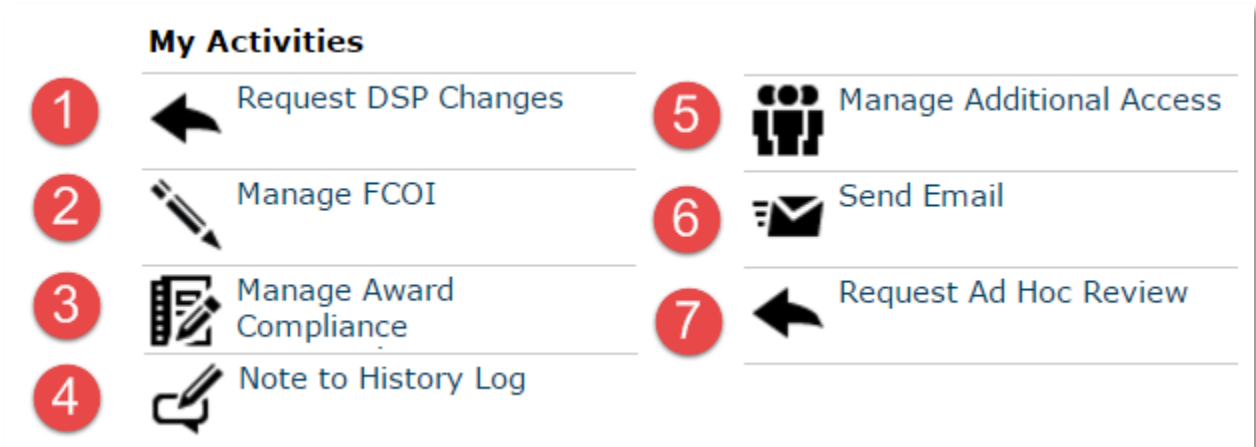
1) **Request DSP Changes:** Sends the Award back to DSP for changes
2) **Manage FCOI:** Used to indicate whether or not a management plan is needed for an identified conflict for any key personnel.
3) **Manage Award Compliance:** Used to indicate whether or not a Technology Control Plan is needed.
4) **Note to History Log**: Adds a comment to the Award history log. This does not trigger an e-mail to anyone related to the Award. It is simply a note to the file.
5) **Manage Additional Access:** Provides access to users that do not have default edit or view access
6) **Send Email**: One form of in-system communication. Use this to reach out to anyone with access to the Award.

7) **Request Ad Hoc Review**: Functionality to obtain a non-standard review/approval of the Award. This can be triggered by anyone with edit access to the Award.

1) **Complete DSP Review:** Moves the Award from DSP Review to Contracts and Grants Review.
2) **Request Changes:** Sends the Award back to the Responsible Unit for Edits or back to the PI or Key Personnel to revisit the compliance activities.
3) **DSP Award Compliance Review:** Logs DSP's Award Compliance review. If DSP logs any findings, this activity will route the Award to DRC Review.
4) **Note to History Log:** Adds a comment to the Award history log. This does not trigger an e-mail to anyone related to the Award. It is simply a note to the file.
5) **Assign Owner:** Assigns a DSP Owner that will be responsible for the review of the Award.
6) **Set Award Relationships:** Establishes a reporting reference that links renewals, continuations requiring new awards each year or other relationships between UFIRST Awards.
7) **Manage Additional Access:** Provides access to additional individuals to either view or edit the Award.
8) **Send Email:** One form of in-system communication. Use this to reach out to anyone with access to the Award.
9) **Request Ad Hoc Review:** Functionality to obtain a non-standard review/approval of the Award. This can be triggered by anyone with edit access to the Award.
10) **Attach Official Award Documents:** Option to quickly attach the final Award document in lieu of attaching it within the SmartForm**.**

11) **Attach Supporting Award Documents:** Option to quickly attach supporting documentation in lieu of attaching it within the SmartForm**.**

12) **Manage Deliverables:** Adds a deliverable to the Award. Each deliverable that is added will trigger automatic notifications to the individual identified as the Responsible Party for that deliverable.

13) **Complete Deliverable:** Marks a deliverable as complete and halts automatic notifications regarding specific deliverables.

14) **Withdraw:** Ends further processing of the Award and transitions Award to the state of Withdrawn. This is only available prior to activation of the award.

CONTRACTS AND GRANTS REVIEW ACTIVITIES
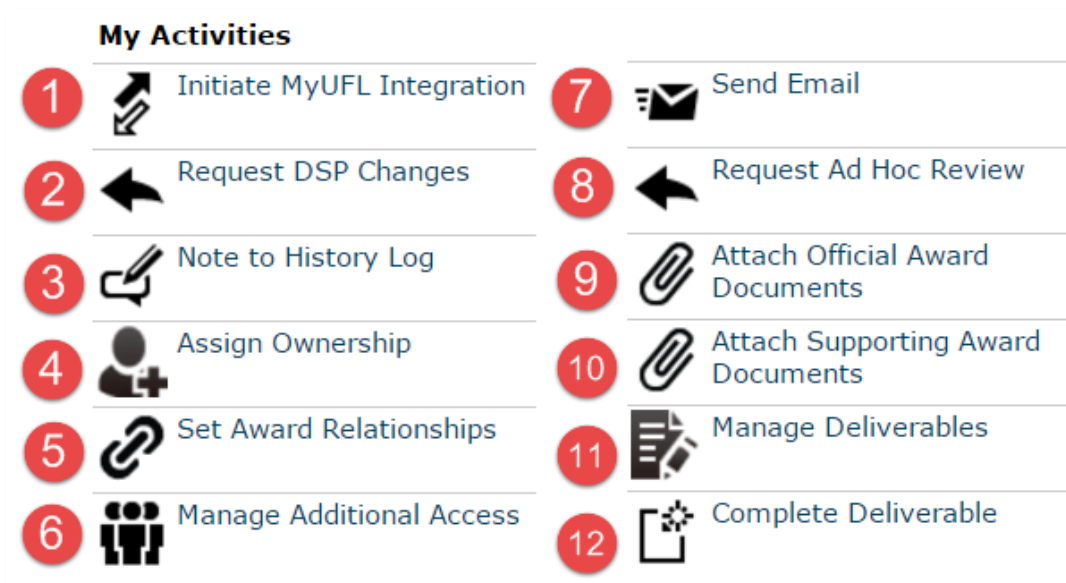
1) **Initiate myUFL Integration:** Assigns chartfield information and integrates budget data from UFIRST into myUFL for spending.

2) **Request DSP Changes:** Sends the Award back to DSP Edits

3) **Note to History Log:** Adds a comment to the Award history log. This does not trigger an e-mail to anyone related to the Award. It is simply a note to the file.

4) **Assign Owner:** Assigns a C&G Owner that will be responsible for the review of the Award.

5) **Set Award Relationships:** Establishes a reporting reference that links renewals, continuations requiring new awards each year or other relationships between UFIRST Awards.

6) **Manage Additional Access:** Provides access to additional individuals to either view or edit the Award.

7) **Send Email:** One form of in-system communication. Use this to reach out to anyone with access to the Award.

8) **Request Ad Hoc Review:** Functionality to obtain a non-standard review/approval of the Award. This can be triggered by anyone with edit access to the Award.

9) **Attach Official Award Documents:** Option to quickly attach the final Award document in lieu of attaching it within the SmartForm**.**

10) **Attach Supporting Award Documents:** Option to quickly attach supporting documentation in lieu of attaching it within the SmartForm**.**

11) **Manage Deliverables:** Adds a deliverable to the Award. Each deliverable that is added will trigger automatic notifications to the individual identified as the Responsible Party for that deliverable.

12) **Complete Deliverable:** Marks a deliverable as complete and halts automatic notifications regarding specific deliverables.

When UF receives an Award and has been approved by the Sponsor to issue a subaward to another institution, subaward information must be entered in UFIRST Awards by the Award or appropriate Project Primary Unit Administrative Contact. This information is then transmitted to the Division of Sponsored Programs Subaward Team. The Subaward Team must have this information and documentation in hand before they can create and issue a Subaward Agreement to our collaborators at outside institutions.

Follow the steps below to complete a Subaward request.

STEP 1

From the Workspace of your Award click the New Subaward button.
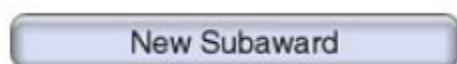
New Subaward

STEP 2

Complete the Subaward Smartforms.

PAGE 1.0 SUBAWARD INFORMATION, QUESTION 1.0 AND 2.0

Review Question 1.0 to ensure that you are creating a Subaward on the correct award.

1.0 Subaward Information

1.0		
	Award Name:	PAWNEE COMMONS ARCHAEOLOGICAL SIGNIFICANCE
	Award Sponsor:	NATL SCIENCE FOU
	Award Start Date:	1/1/2017
	Award End Date:	12/31/2021

In Question 2.0 enter the name of the Subrecipient or use Select to search by Name, Alternate Name, or Acronym. Subrecipient information from the Proposal does not map over to the Award. All Subaward information is done by manual entry.

2.0	* Subrecipient:	
	EAGLETON UNIVERSITY	Select...

PAGE 1.0 SUBAWARD INFORMATION, QUESTION 3.0

Provide a name for this Subaward in Question 3.0. A name will be auto-populated here with the sequential Subaward number and the UFIRST Award ID but you may wish to change for easier searching within the overall subaward tab.

3.0	* Name:
	EAGLETON UNIV - PAWNEE COMMONS YEAR 1

PAGE 1.0 SUBAWARD INFORMATION, QUESTION 4.0 AND 5.0

Provide the start and end date for this Subaward. It should not pre-date nor exceed dates of the Sponsor Authorized budget allocations for this Award.

4.0	* Start Date:
	12/1/2016

5.0	* End Date:
	11/30/2017

PAGE 1.0 SUBAWARD INFORMATION, QUESTION 6.0

Provide the direct and indirect dollar amounts to be released at this time to the Subrecipient.

6.0	* Enter the direct and indirect costs that were obligated for this subrecipient:
	Direct Costs: $19,501
	Indirect Costs: $8,972
	Total Costs: $28,473

Click Continue to access Page 2.0 Subrecipient Personnel.   **Continue >>**

PAGE 2.0 SUBAWARD PERSONNEL, QUESTION 1.0

Provide the contact information of the lead collaborator at the Subrecipient Institution.

2.0 Subrecipient Personnel

1.0	Identify the Subrecipient PI:	
	* First Name:	Ben
	Middle Name:	
	* Last Name:	Wyatt
	* Phone:	505-247-1762
	* Email:	benwyatt@icetown.com

PAGE 2.0 SUBAWARD PERSONNEL, QUESTION 2.0

Provide the contact information for the authorized organizational official/administrative contact at the Subrecipient Institution.

Click Continue to access Page 3.0 Subrecipient Documents.

PAGE 3.0 SUBAWARD DOCUMENTS, QUESTION 1.0

In order to issue a subaward a scope of work, budget, and budget justification, specifically describing this Subrecipient's work must be attached in UFIRST. Attach all subrecipient documents by clicking the **Add** button.

PAGE 4.0 SUBAWARD DELIVERABLES

Similar to the Deliverables pages in the Award SmartForms, this is optional. The minimum required reporting used in all subwards are: annual and final technical reports due within 60 days of the end of each budget year and final period of performance for most Federal Awards or a variable date range for non-federal Awards; for federal awards a final invention report. DSP will not enter any deliverables for Awards or Subawards.

To add any report or deliverable not identified above, click the **Add** button.

SUBAWARD DELIVERABLE POP-UP QUESTION 1.0

In the text box for Question 1.0 enter a name for the deliverable. This should be short descriptive title.

SUBAWARD DELIVERABLE POP-UP QUESTION 2.0

In the text box for Question 2.0 provide further information about this deliverable inclusive of where and how the deliverable should be submitted.

SUBAWARD DELIVERABLE POP-UP QUESTION 3.0

Select the Frequency with which this deliverable is due.

SUBAWARD DELIVERABLE POP-UP QUESTION 4.0

Enter the first date the deliverable is due. This date, conjunction with the selection in Question 3.0, will set up the due dates of any future deliverables.

SUBAWARD DELIVERABLE POP-UP QUESTION 5.0

Identify the individual at UF who should receive this deliverable. The person entered in this field is responsible for ensuring that the subrecipient is complying with their programmatic requirements. There will not be a UFIRST generated reminder for Subaward Deliverables.

SUBAWARD DELIVERABLE POP-UP QUESTION 6.0

Use Question 6.0 to identify additional individuals can assist the responsible party above in ensuring the subrecipient is complying with programmatic requirements. Once complete click **OK.**

Review the Deliverables that have been entered.

Repeat these steps for all deliverable types. Once complete, click **Continue** to access Page 5.0 Completed Subrecipient.

PAGE 5.0 COMPLETED SUBRECIPIENT

Review the text on this page and click the Hide/Show Errors option to ensure the Subaward SmartForms have been completed correctly. Once all errors have been addressed click **Finish.**

STEP 3

To Submit the Subaward SmartForms execute the **Complete** activity.

STEP 3.1

If a subaward was set up in error, execute the **Withdraw** activity. This will remove it from the list of pending Subawards.

SUBAWARD STATES

Subawards have four informational states:

1) **Draft: Pending Active Award**

The Subaward has been created but **has not** been marked as finished via the **Complete** activity. Additionally, the Award under which this Subaward issued **has not** been released for spending in myUFL. The Subaward information **has not** been routed to the DSP Subawards team for processing.

2) **Complete: Pending Active Award**

Complete: Pending Active Award

The Subaward has been marked as finished via the **Complete** activity, but the Award under which this Subaward will be issued **has not** been released for spending in myUFL. The Subaward information **has not** been routed to the DSP Subawards team for processing.

3) **Draft: Active Award**

Draft: Award Active

The Subaward has been created but **has not** been marked as finished via the **Complete** activity. The Award under which this Subaward issued has been released for spending in myUFL. The Subaward **has not** been routed to the DSP Subawards team for processing. To do so, execute the **Complete** activity within the Subaward Workspace.

4) **Complete: Active Award**

Complete: Award Active

The Subaward has been created and has been marked as finished via the Complete activity and the Award under which this Subaward issued has been released for spending in myUFL. The subaward information has been sent to the DSP Subawards team for processing.

SUBAWARD MODIFICATIONS

When an Award is modified or when there are any changes required within the subaward (to deliverables, subrecipient PI, etc.), Subawards require a modified subaward agreement. These are triggered via a modification to the UFIRST Subaward.

STEP 1

To complete a Subaward Modification navigate to the *Subaward* Workspace (use the Subawards tab under the Award Workspace and select the appropriate Subaward). Execute the **Create Subaward Modification** activity.

STEP 2

Two changes have occurred: the user is sent to the Subaward Modification Workspace, evident by the State **Modification Draft**. Click the **Edit Subaward** button to access the Subaward Smartforms.

STEP 3

On Page 1.0 Subrecipient Information use Questions 3.0-6.0 to update the Subrecipient details. The name, dates, and amounts of the subaward can be updated.

3.0	* Name: Subaward 1 (AWD00009) - Modification
4.0	* Start Date: 1/1/2017
5.0	* End Date: 12/31/2018
6.0	* Enter the direct and indirect costs that were obligated for this subrecipient: Direct Costs: $40,000 Indirect Costs: $20,000 Total Costs: $30,000

Once complete, click Continue to access Page 2.0 Subrecipient Personnel.

STEP 4

If applicable, update the Subrecipient personnel.

2.0 Subrecipient Personnel

| 1.0 | Identify the Subrecipient PI:

* First Name: Leslie
Middle Name:
* Last Name: Knope
* Phone: 501-566-2012
* Email: leslie@ucsf.edu |
| 2.0 | Identify the Subrecipient Administrative Contact:

* First Name: April
Middle Name:
* Last Name: Ludgate
* Phone: 501-566-2013
* Email: april@ucsf.edu |

Once complete click Continue to access Page 3.0 Subrecipient Documents.

STEP 5

Review the attached documents for this subaward. If the existing documents do not support the modification request upload the appropriate documents. For example, if the Subaward Modification is for incremental funding, review the existing budget to see if the original increment is included and presented exactly how this increment is expected to be spent. If not, upload a revised budget to be transmitted with this modification.

Once complete click Continue to access Page 4.0 Subaward Deliverables.

STEP 6

Add to or Update the Subaward Deliverables using the corresponding buttons. As previously mentioned, this is optional based on the requirements of the subaward.

Once complete click Continue to access Page 5.0 Completed Subaward.

STEP 7

Review the text on this page and click the Hide/Show Errors option to ensure the Subaward SmartForms have been completed correctly. Once all errors have been addressed click **Finish** to access the Subaward Workspace.

STEP 8

From the Subaward Workspace execute the **Submit Subaward Modification** activity. This will route the updated information to the DSP Subawards Team who will create a modified subaward agreement.

The state of the Modification has now changed to DSP Subaward Mod Review.

STEP 9

You must also return the parent subaward back to the Active status? When Navigate back to the Subaward Workspace using the Navigation Breadcrumb

STEP 10

Execute the **Complete** activity to bring the Subaward back to Complete: Active Award state. This indicates that there are no pending actions for this Subaward.

✓ Complete

SUBAWARD MODIFICATION STATES

There are four Subaward Modification States:

1) **Modification Draft:**

The Subaward Modification has been created but not submitted for DSP Review.

2) **DSP Subaward Mod Review:**

The Subaward Modification has been completed and routed for DSP Review.

3) **Modification Complete:**

The Subaward Modification has been approved by DSP.

4) **Modification Terminated:**

The Subaward Modification has been disapproved by DSP.