

Requesting a Temporary Release via a New Award

When work needs to begin prior to the receipt of the official award document, a temporary (TEMP), advance or at-risk advance award can be requested. This award allows you to track expenses related to the work and reduces the need for cost transfers once the funds arrive. Funds released into temporary awards must be guaranteed by a Unit Fiscal Authority (UFA) prior to the UFIRST AWD record being routed from the Unit to DSP. This is the unit's guarantee to cover any expended funds in the event that the funding document never materializes or the parties are unable to come to an agreement on the terms. For assistance identifying the UFA over a department or unit, review:

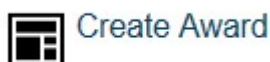
<http://my.research.ufl.edu/DivisionofSponsoredPrograms/Proposals/UFIRSTAdminsandApprovers.aspx>

A temporary release is not limited to any specific amount of time or budget. The UFA determines how much budget authority and for how long the unit is willing to authorize spending.

If you require additional time or budget authority on an existing TEMP or have received the official award document, see the Additional Resources section at the end of this guide.

UFIRST Procedure

1. **Locate** the UFIRST proposal (PRO) record related to the TEMP award. The option to create a new Award will only be available from within a Proposal that has reached the Pending Sponsor Review state. If no PRO record is established in UFIRST for this award, you will need to **create** a new PRO and route it for appropriate approvals. This is to ensure that all appropriate approvals are in place before award processing takes place. If the requested TEMP funds are a continuation, supplement or renewal of existing funds, you may not need a new award but might be able to add them to an existing award or project. NEW AWARDS are only required when the Sponsor requires complete financial segregation of these funds. If you are uncertain about whether you can add funds to an existing award or you require a new award, contact [DSP](#).
2. In the PRO workspace, **click** on the "Related Items" tab.
 - a. If no AGR record is associated with the PRO, **click** on the "Create Award" button on the left side of the page, directly below the My Activities section. ~~top left corner.~~



- b. If an agreement (AGR) record is associated with the PRO, **click** on the AGR##### link to navigate to the AGR workspace, noting the AGR type. If the related AGR is a fully executed grant, contract, or task order, no Temporary AWD is necessary. From the AGR workspace, **click** on the "Create Award" button in the left corner, if available. Although you may start a "New Award" from the PRO record, it will not automatically pull in all of the Compliance activities that were

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

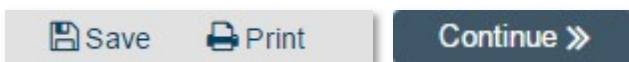
- i. DSP recommended Best Practice is to communicate with the Document Negotiator assigned to the AGR record prior to Temp AWD creation to have a better understanding of where the AGR is in the negotiation process; if the AGR will be executed promptly a Temporary AWD may not be necessary.

NOTE: If Compliance activities (FCOI, Award Compliance Form) were completed on the AGR in process, and the AWD is created from the PRO (instead of the AGR), the compliance activities will not transfer over to the AWD and will need bypassed by the Core Office.

3. The “Create Award” activity will generate a new AWD record and will open this new record to the first page of the AWD Smartform in the same browser window. It may take a few moments to generate this AWD record.
4. **Complete** all of the fields on page 1.0 of the Award Smartform that are marked with a red asterisk. Note that many of the fields on this page will already be completed for you since data is pulled into the AWD record from the PRO record. Please review this data to ensure it is still accurate based on your knowledge of the pending award. You may use the Notes box on this page to add any additional or pertinent information that will assist core office staff in processing the AWD.

NOTE: *These data points will need updated when the permanent award is received, but can be entered as follows for TEMP awards:*

- Question 6.0 Sponsor Award ID enter “Temporary”.
 - Question 10.0 Sponsor Award Date enter today’s date.
5. Once page 1.0 is completed, **save** the page either by clicking on “Save” at the top or bottom gray header in the AWD record or by **clicking** “Continue” at the top right corner.



6. On page 2.0, Personnel, you may add or remove access to the AWD record under field 2.0 and 3.0 for editing and viewing privileges. Changes to field 1.0, for Senior-Key Personnel, should not be made without first consulting DSP. Most Sponsors require prior approval for changes to Senior-Key Personnel. The Senior-Key Personnel identified should match those that are named in the official award document when it is received. When complete, **click** “Continue”.
7. On page 3.0, Proposals and Agreements, **review** the listed UFIRST records in fields 1.0 to 4.0. Any related records in UFIRST should be listed here appropriately.
 - a. Field 1.0 will display the PRO from which this AWD record was generated.
 - b. If there is an agreement currently in negotiations, enter that AGR record on field 2.0.

- c. If the award is related to any existing AWDs in UFIRST—particularly any AWD that are in a state of *Expired*—**list** them in field 3.0. Examples include renewals, continuations, or matching awards.
 - d. **Click** “Continue” to advance.
8. Skip page 4.0 Terms and Conditions. This page is completed by DSP. **Click** “Continue” to advance.
9. On page 5.1 Project Set-up, **verify** that the number and structure of projects for the AWD is as needed based on the award conditions (if known) and responsible unit preference. You may add or remove projects as needed using the “Add” function on this page. The number of projects originally shown in the AWD is based on the number of budget workspaces in the related PRO. **Click** “Update” on each project and fill in required information, indicated by a red asterisk. If you are uncertain of how to answer any of these fields, please reach out to DSP.

NOTE: If you are unsure how many projects will be needed, only one project need be setup at time of temporary request. A modification that adds projects can be entered at a later date.

5.1 Project Setup

1.0 Define Project:

Project ID	Project Manager	Unit	Unit ID	Project Title	IDC Rate	Project Begin Date	Project End Date
<input type="button" value="Update"/>	P0111901	Lisa Stroud	OR-DIRECTOR SPONS. RESEARCH	11060000 New Temporary Project	52.5%	4/1/2019	3/31/2021

- a. Return of F&A to Institutes or Centers is designated in the project set up, question 10.0 of the Project pop-up. Each project may return a total of 7.5% of its F&A return to up to 3 official University Centers or Institutes. This is not a mandatory field at new award set-up; the allocation can be added at any point during the life of the award using an activity from the award workspace.
- b. **Pay special attention to 11.0 “Purpose” and 12.0 “Project Type”.** If you are uncertain of which type or purpose to select, please consult the [definitions](#) on the DSP website and/or reach out to DSP. Once all projects are reviewed and updated, **click** “Continue” to advance.

Additional projects may be required for several reasons, including but not limited to: the AWD does not allow for automatic carryover between budget years; the AWD includes participant support costs or patient care costs which cannot be rebudgeted to other categories without prior approval; the faculty leads of separate components within the award choose to manage budget separately; or a portion of the award has a different project purpose or type. **A new project cannot be added without an associated allocation that is first set up**

on page 5.2 (step 10 below). Complete step 10 and then return to step 9 to complete the project set-up. Additional guidance can be found in the Additional Resources and References.

- On page 5.2, Allocation Setup, you will need a minimum of one allocation per project. If you want to track the potential of future budget periods, you can have more than one allocation per project. Add allocations as needed using the “Add” function and enter information about existing allocations using the “Update” function on this page. **NOTE: It is on the allocation level that you denote a temporary release!** To denote a temporary allocation, **click** “Update” on the budget period allocation that you wish to release in temp status and answer the first question *Release budget for this allocation?* “YES”. An additional question will appear. **Answering “YES” to the second question will designate this as a Temporary Release Request.** When submitted for review, this award will route to the responsible UFA for approval before landing in DSP for setup.



Question 1.0c of the Allocation Setup pop-up must remain blank; UFIRST will not allow you to enter Sponsor Authorized dollars if your allocation is a temp as we have not actually received sponsor authorization for the funding. **Complete** Step 9 for any remaining Allocations that should be released as temporary. **Click** “Continue” to advance.

11. On page 5.3, Award / Authorized Budget Reconciliation, UFIRST presents each project in order to distribute the overall budget. Allocate budget appropriately to each project by **selecting** the funding allocation to display from the dropdown menu, **import** the budget as needed (if identified in a linked proposal, 10.b. above), or **enter** the budget manually in the adjustment column. The “Sponsor Authorized Amount” in the top right corner and the “Active Allocation Total” just below it will not match. Note that at time of official award release (when the temporary request becomes permanent), all categorical budgets entered on this page must match the sums for those same categories in the official award document. Without this maintenance of the sponsor baseline, there is no way to determine if we have exceeded our sponsor approved rebudgeting threshold.
 - a. Allocate budget appropriately to each project by **selecting** the funding allocation to display from the dropdown menu
 - b. **Import** the budget (if identified in a linked proposal, 10.b. above), or **enter** the budget manually in the adjustment column.
 - c. For awards that fall under Research Terms and Conditions (RTC), all personnel costs can be lumped together in the ‘Person’ category, rather than split out between Personnel, OPS, Postdoc, and Graduate Student. All other categories need to be mapped 1:1. When all budgeted dollars are accounted for in each project, **click** “Continue” to advance.

12. On page 5.4 Award Financial Summary, **review** the categories presented. If the second row does not show “Total Current Sponsor Authorized Amount to Date: \$0.00,” please go back to Step 10 and review. **Click** “Continue” to advance.

5.4 Award Financial Summary

1.0	Total Budget Release Amount:	\$38,125.00
	Total Current Sponsor Authorized Amount to Date:	\$0.00
	Sum of All Project Cost Share Amount:	\$0.00
	Total Award Cost Share Requirement:	\$0.00

13. On page 5.5 Effort Commitments, entry of commitments at the time of a temp are *optional*. There is no obligation to enter effort commitments as the University does not have an award to which it can be held accountable. If the department wishes to log anticipated commitments, commitments can be entered at the proposed amount. When processing the UFIRST Award Smartform finalizing the temp, any commitments entered will be scrutinized confirming they remain accurate.

14. Page 6.0 Deliverables can be completed now if the unit so chooses or at a later date via an activity from the Award Workspace.

15. On page 7.0, Compliance Review, ensure that Human Subjects Including Human Data or Tissue and Live Vertebrate Animal Use are appropriately marked “Yes” or “No”. The initial values are pulled

from the UFIRST PRO. Generally this information should not be changed unless there was an error on the PRO. If the values need to be changed, contact DSP.

- a. If Human Subject Including Human Data or Tissue are used within any component of the award including by subawardees, the answer to this question must be “Yes”. Select the “Add” button to **enter** the IRB Protocol that covers the work. Ensure that you associate the protocol number with the correction Project ID(s). DSP will validate that the funding source on the IRB database matches this award.
- b. If Live Vertebrate Animals are used within any component of the award including by subawardees, the answer to this question must be “Yes”. Select the “Add” button to **enter** the IACUC Protocol that covers the work. Ensure that you associate the protocol number with the correction Project ID(s). DSP will validate that the funding source on the IRB database matches this award.
- c. If work needs to begin prior to a protocol being approved and the award conditions permit such, the unit may petition to a Director of DSP for a protocol exception. The unit must send an email through UFIRST to Stephanie Gray with the following information: why does work need to begin prior to a protocol being in place, when is the protocol expected to be approved, and assurance from the PI that human and/or animal work will not begin prior to the UF IRB or UF IACUC approval being granted.
- d. **Click** “Continue” to advance.

16. Page 8.0 is the final page of the AWD Smartform. **Click** “Hide/Show Errors” in the gray bar at the top (or bottom) of the Smartform. If any errors are revealed, you must address these before you will be able to submit the AWD for review to DSP. If there are no errors, **click** “Finish” to return to the AWD workspace. If you cannot resolve an error, please reach out to DSP.

17. **Execute** the “Submit for Review” activity. The AWD will transition to *Awaiting Advanced Spending Authority* state. Emails are automatically sent to the Unit Fiscal Authority (UFA) of the responsible unit(s) for each temporary project requesting their review and approval. After UFA approval, if the PI and all key personnel have not completed their mandatory training or their FCOI and Award Compliance form activities, the award will stop at *Pending Compliance Activities* state. Once the UFA has approved and the PI and all key personnel have met their compliance obligations, the award will transition to *DSP Review*. DSP will review the set up then submit to Contracts and Grants Accounting for release of the budget in myUFL.

Additional Resources and References:

- UF: [Award ID Format Guidance](#)
- UF: [Purpose and Project Type Definitions](#)
- UF: [Commitment Entry Guidelines](#)
- UF: Budgets, Allocations, and Projects
- UFIRST: New Award Set-up Instructional Guide
- UFIRST: Temporary-to-Permanent Modification Instructional Guide