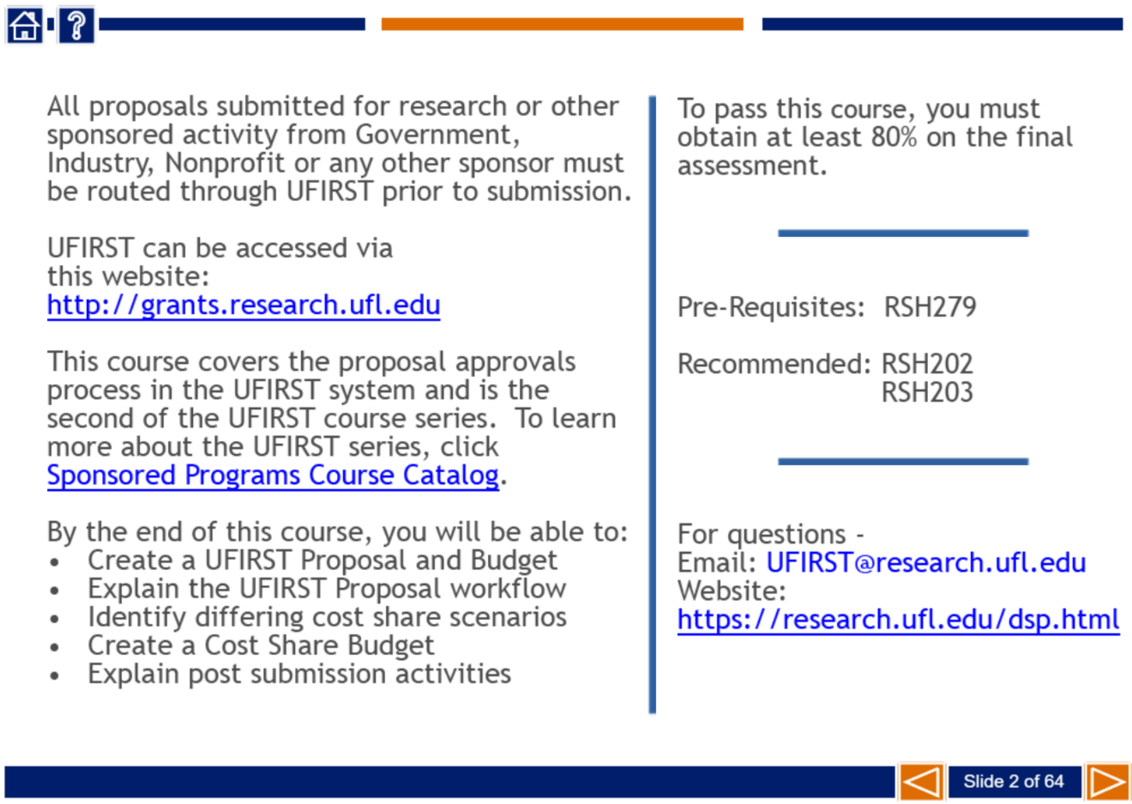
Training & Organizational Development
Human Resources
UNIVERSITY of FLORIDA

UFIRST | University of Florida Integrated Research Support Tool

RSH280: UFIRST PROPOSALS



UFIRST – http://grants.research.ufl.edu

Sponsored Programs Course Catalog - https://learn-and-grow.hr.ufl.edu/courses-registration/sponsored-research-training/

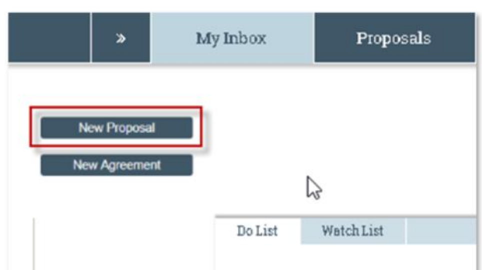
UFIRST Email – ufirst@research.ufl.edu

UF Research Website – http://research.ufl.edu/dsp.html

Chapter 1

Creating a Proposal

Once logged into UFIRST, simply click the New Proposal button from My Inbox.



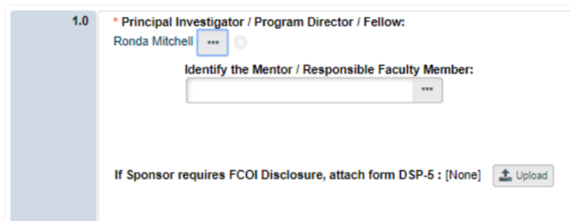
As you will remember from RSH279, you'll be presented with several pages of questions asking for information. Due to the dynamic nature of the SmartForms, the data entered and selections made will determine what additional questions appear.

For example, if the proposal is federal rather than non-federal, you will get different questions presented on the SmartForm.

Principal Investigator/Program Director/Fellow

UFIRST includes you as the PI by default. Assuming you are supporting another individual who is serving as PI, either clear your name using the x and type in the PI's name or use the … select button to proceed to the lookup.

Only if the application is for a mentored program and the PI listed is not PI eligible should you enter a mentor.



Do not use this field to circumvent the Eligibility Policy when the program is not mentored. Review UF Policy for more information.

If the Sponsor requires disclosure of Significant Financial Interests (SFI) prior to submission of the proposal, you must load the PI (and mentor's) certification here. See Conflict of Interest and Outside Activities information for more detail.

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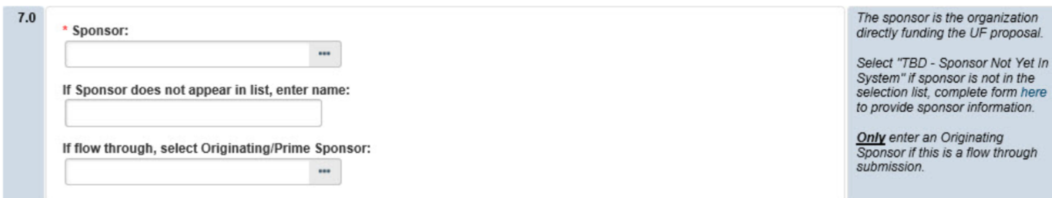
UF Policy - https://research.ufl.edu/dsp/proposals/eligibility-to-submit-a-proposal-for-external-funding.html

Conflict of Interest and Outside Activities Information - https://research.ufl.edu/research-operations-services/conflict-of-interest-and-outside-activities.html

Sponsor

Use broad wildcards to search for the sponsor (for example N%S%F). If you are unable to locate the name of the sponsor, enter TBD and select "TBD-Sponsor Not Yet in System" and type in the name in the second box. If the application is being submitted to another organization and then onto a prime sponsor, please include the prime sponsor in the third box.



IMPORTANT! If the sponsor cannot be located, please complete this form to request the sponsor be added to UFIRST.

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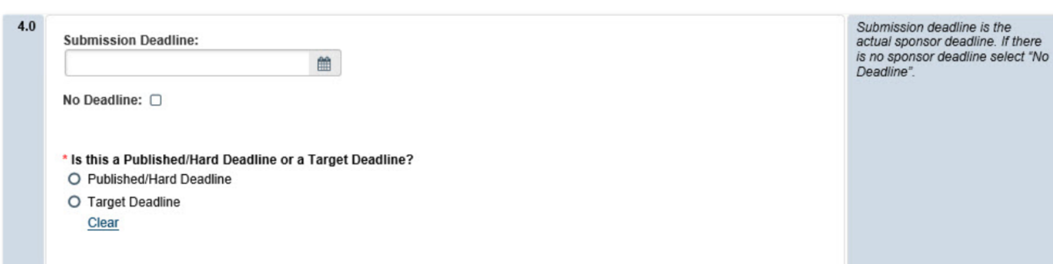
New Sponsor Request Form - https://research.ufl.edu/dsp/proposals/sponsor-code-request-form.html

Submission Deadline

Nearly all proposals routed through DSP are prioritized by deadline. Provide the actual deadline. If UF is a subrecipient under a prime sponsor and the sponsor indicates they must have the materials by a certain date, please include that information here.



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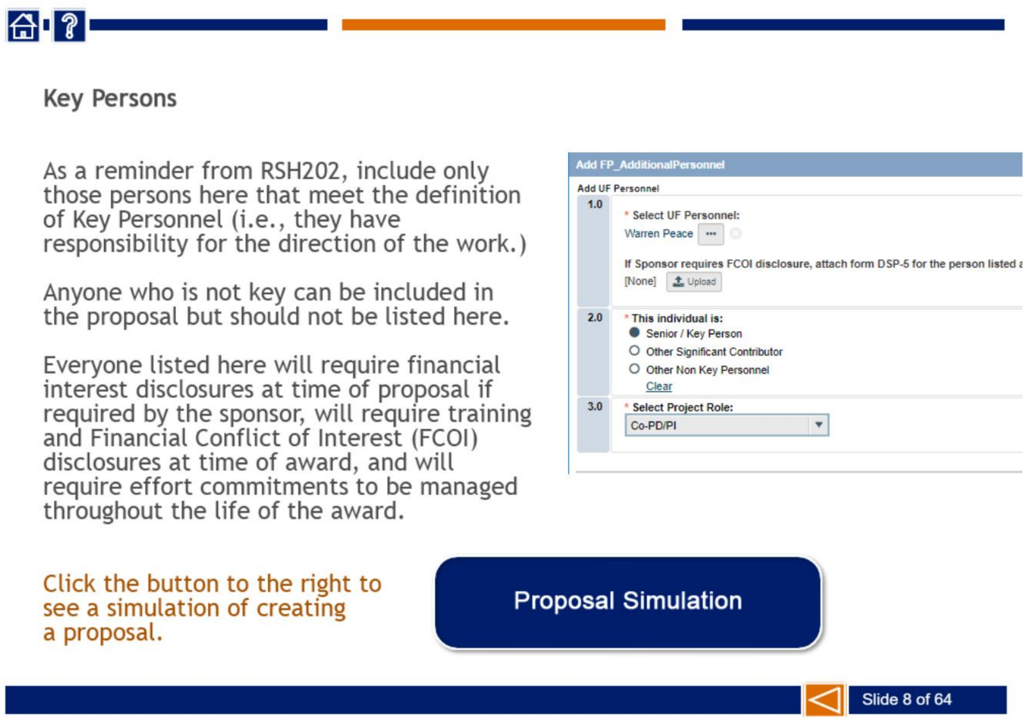
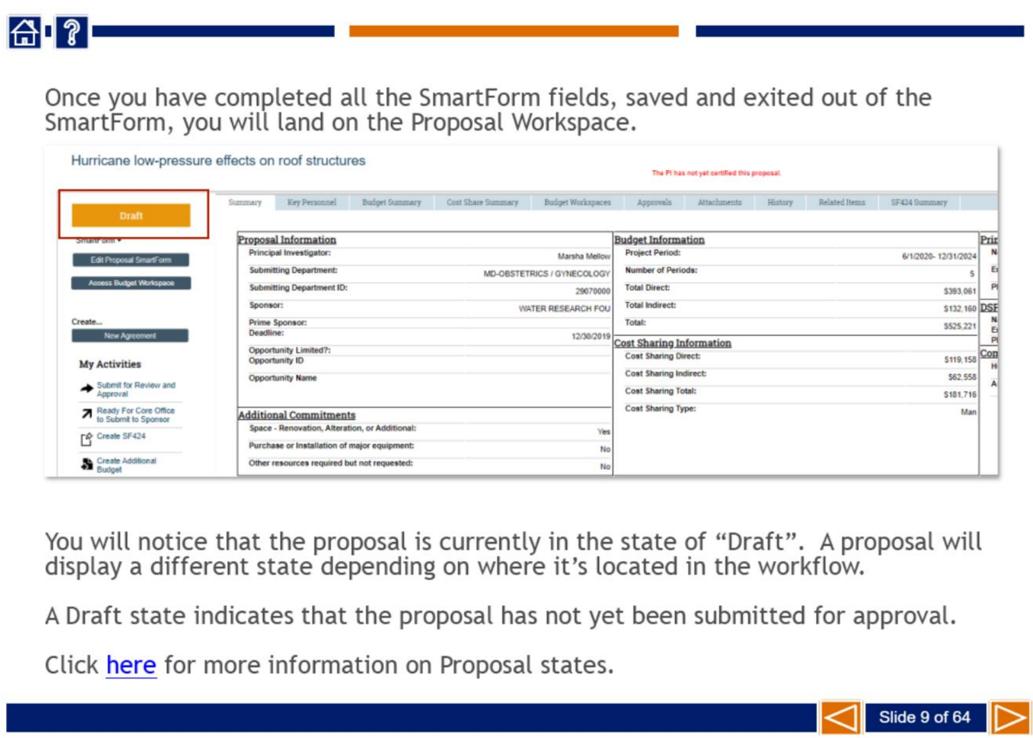


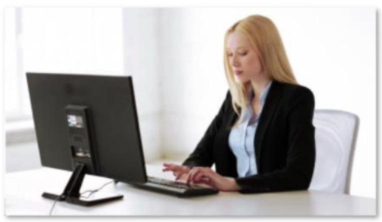
Proposal Simulation - http://training.hr.ufl.edu/resources/RAFT/RSH280/create_proposal/index.html

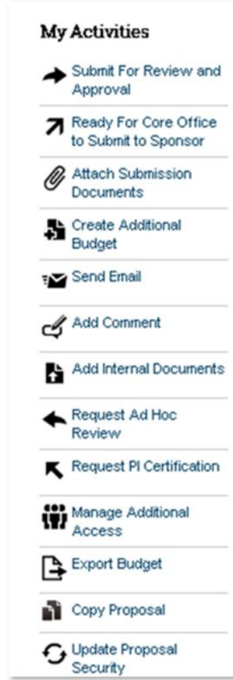


Proposal State Information - http://training.hr.ufl.edu/resources/ufirst/RSH280/UFIRST_proposal_states.pdf

The My Activities section appears on the left side of the Workspace. This will display actions you can perform based on the current state of the proposal and your role in the system.

As you work through workflow, the state and listed available actions will change.





The PI must certify the proposal sometime after it is created but before the final Department Approver approves the proposal. A best practice is to certify before submitting into workflow.

The certification is a federal mandate that requires the PI agree to oversight of the work and to comply with all regulations regarding ethical conduct of sponsored activities.

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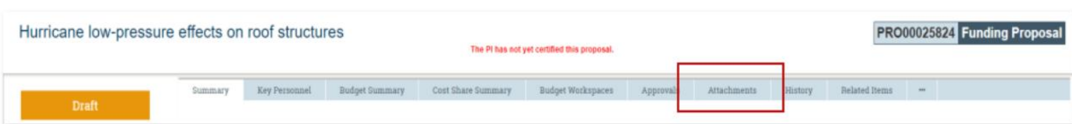
All documents that support any UF approvers' review including excel budgets, statements of work, letters of support, and the full proposal should be attached in UFIRST. You can view any document that has been loaded by clicking on the Attachments tab.



Types of documents:

Submission Documents - These are documents required by the sponsor as part of the proposal. Examples include statement of work, cover letters and cost proposals. These are loaded using the Attach Submission Documents activity.

Internal Documents - These are items that are specific to UF and do not need to be submitted to the sponsor. Examples include internal excel budget files supporting the final budget which may be presented to the sponsor in much less detail. These are loaded using the Add Internal Documents activity.

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Types of documents:

Solicitation Documents - These are attachments loaded into the SmartForms Solicitation Page (1.1, 1.2, or 1.3 depending on the Sponsor type and submission method). All proposals should have a PDF of the sponsor's solicitation loaded. Hyperlinks can be removed over time and a downloaded copy provides the option for permanent retrieval.

Personnel FCOI Attachments - These are documents loaded into the PI and key personnel sections of the SmartForms. They are only required during the proposal submission process by certain sponsors. More information on FCOI is available here.

Activity Documents - Many activities in the UFIRST proposal module such as send email, funding denied, or request ad hoc review include supporting documents. For ease of access, UFIRST extracts all documents included in any activity executed at any time and shares them with you here.

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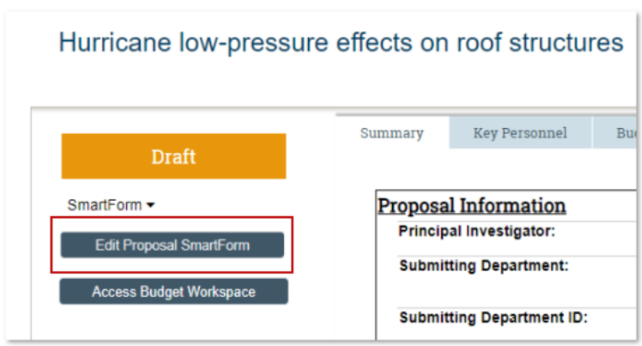
At any time prior to submission into UFIRST workflow, you can add information or make edits by clicking on the Edit Proposal SmartForm button in the Workspace.

Once you SUBMIT FOR REVIEW, you will not be able to edit the UFIRST Proposal or Budget.

You will be able to Attach Submission Documents and Add Internal Documents as well as execute a number of other activities.



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Chapter 2

Creating Budgets

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Two of the major functions and features of UFIRST are to improve ease and consistency of budgeting and to facilitate business review of the proposal budget by Chairs, Directors and Deans. To achieve this, every proposal is created by default with one linked budget.

The Budget SmartForm initially displays 3 financial grids: Personnel Costs, General Costs and Tuition Costs. If you indicated that your proposal includes subrecipients, you will see an additional Subaward Costs grid. The “grids” are where you enter the actual figures for the budget.

UFIRST also automatically calculates inflation rates, fringe benefits, F&A (indirect costs) and totals for you based on the values entered.

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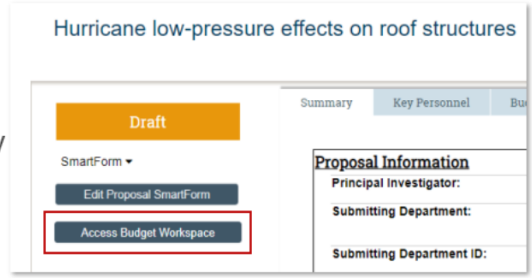
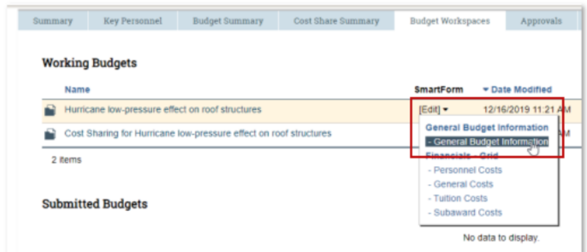
To access the budget created automatically during the Proposal SmartForm entry, click the Access Budget Workspace button.



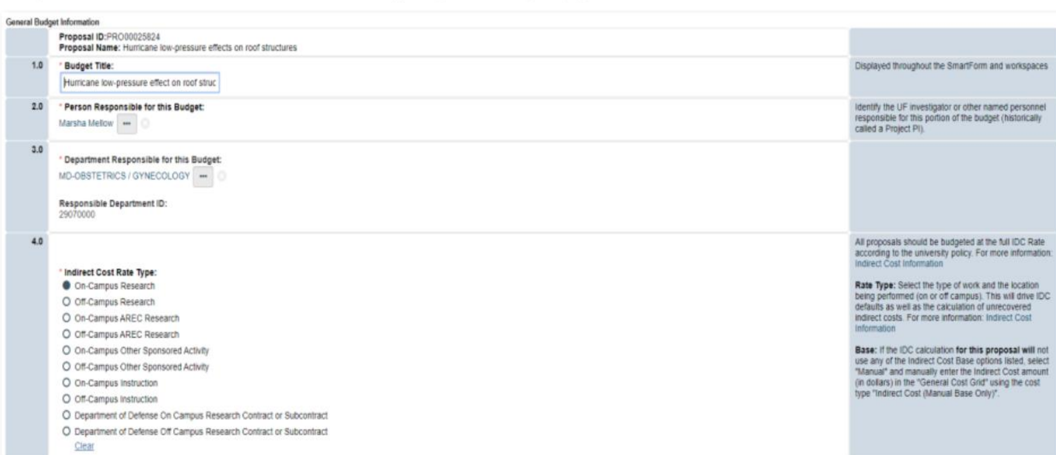
Then click the Edit drop-down arrow and click General Budget Information.



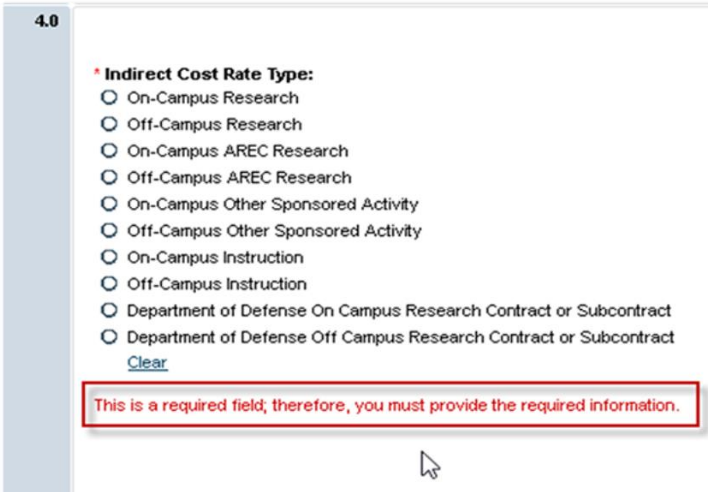
You'll notice the Budget SmartForm appears very similar to the Proposal SmartForm. Answer each question as you go down the page.

As a reminder, this course only covers entry of the budget into the UFIRST budget forms and not best practices in developing a sponsored project budget.

If you need assistance in developing a budget, please take course RSH203.



Remember! All required fields must be completed before moving to another page. If you've missed a required field, you will not move forward and messages will appear on the page in red text indicating the areas you must address.



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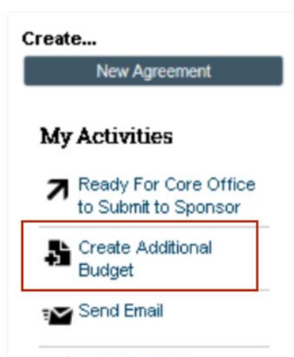
When you first work through the budget creation steps, UFIRST will auto create just one budget.

However, you can create multiple budgets. For example, if there are 2 other PIs from other departments on the project, you can separate the budgets to stay organized when itemizing costs.

To create multiple budgets, click the Create Additional Budget button from My Activities.

Note: you cannot create additional budgets from within the Budget Workspace itself.



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The last question on the initial Budget SmartForm page asks about including this budget in the final proposal. There are situations when you may need multiple budgets for a single proposal (i.e., when including faculty from many departments or when submitting multiple projects or cores as part of a single application).

UFIRST also allows you to create 'sandbox' budgets to review different scenarios.

If you want to create different scenarios to compare budgets, you can do so without overwriting other options. Simply uncheck the scenarios that are NOT the ones you ultimately decide to submit.

Click each block below to view examples of different scenarios.

How do my costs differ if I hire two graduate students vs. a postdoc?

Is it better to contract out services or hire a postdoc to do some of the work?

My proposal is to USDA NIFA where I have to compare the lesser of UF's negotiated F&A to USDA's F&A Cap.

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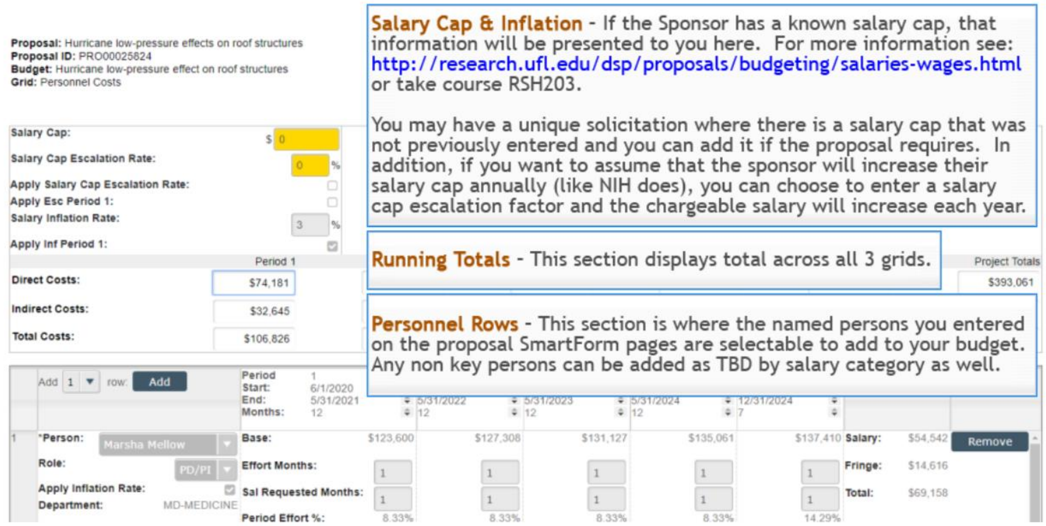
Personnel Costs Grid

Click each block below to learn more about important areas on this grid.



Salary Cap & Inflation - If the Sponsor has a known salary cap, that information will be presented to you here. For more information see: http://research.ufl.edu/dsp/proposals/budgeting/salaries-wages.html or take course RSH203.

You may have a unique solicitation where there is a salary cap that was not previously entered and you can add it if the proposal requires. In addition, if you want to assume that the sponsor will increase their salary cap annually (like NIH does), you can choose to enter a salary cap escalation factor and the chargeable salary will increase each year.

Running Totals - This section displays total across all 3 grids.

Personnel Rows - This section is where the named persons you entered on the proposal SmartForm pages are selectable to add to your budget. Any non key persons can be added as TBD by salary category as well.

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To add an additional person to the budget:

1. From the Personnel Cost grid, click the Add button to add a new personnel row.
2. Select the name of the person you wish to add.
3. Notice the fringe rate automatically populates based on position.
4. Enter the number of effort months presenting to the sponsor.
5. If the effort is going to be consistent throughout the project, click the arrow to distribute this value across all budget periods.

Remember, salary information comes from job data in myUFL. If you feel this is inaccurate, you must address it in myUFL.

Don't adjust the monthly salary for any key personnel unless a known promotion is anticipated. If you do change monthly salary, you will get a warning message at top of screen.

Budget salaries do not match actual salaries for the following: Sheremet

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The UFIRST recommended practice for salaries is to budget in person months. This provides a University standard and minimizes risk of extended percentages when the timeline of a proposal changes.

To support this practice, all salaries of individuals on 9 month appointments are annualized to a 12-month and all less than full FTE are normalized to 1.0 FTE.

To assist in calculations, whenever effort months entered exceeds salary requested months, a cost share budget will be created automatically. Any explicit statement of commitment that is not recovered by the sponsor is either voluntary committed cost sharing or mandatory cost sharing.

For more information see:
http://research.ufl.edu/dsp/proposals/budgeting/cost-sharing.html or RSH203.

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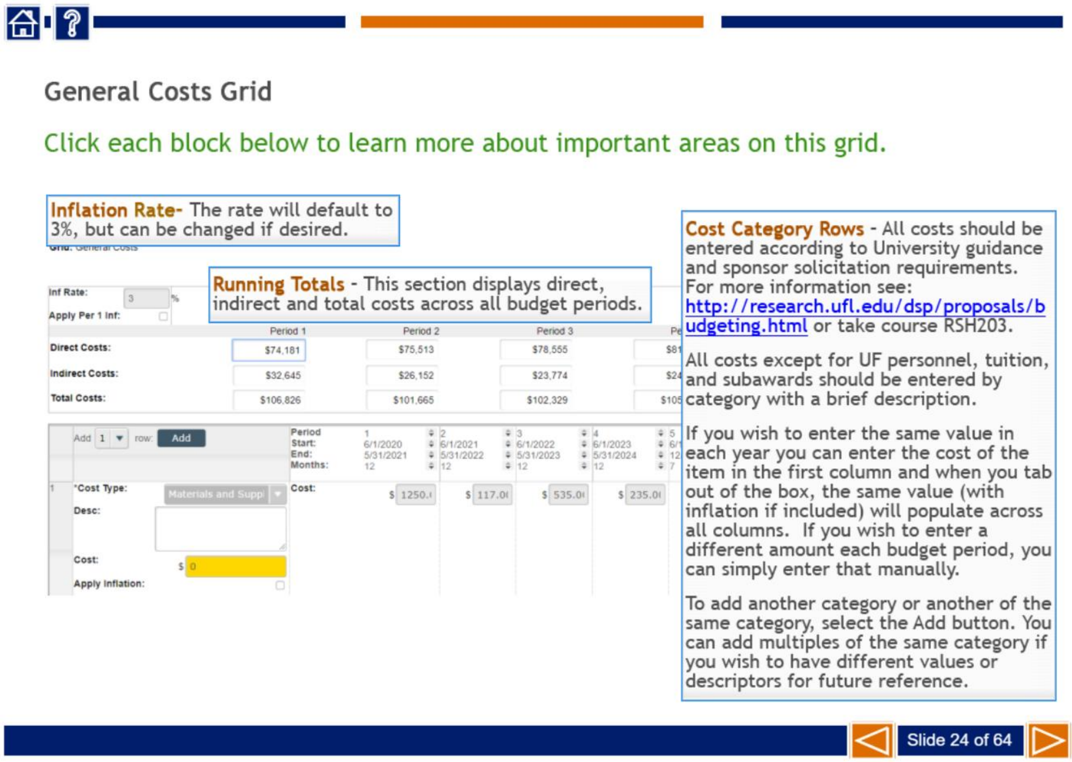
More Information - https://research.ufl.edu/dsp/proposals/budgeting/cost-sharing.html


General Costs Grid
Click each block below to learn more about important areas on this grid.
Inflation Rate- The rate will default to 3%, but can be changed if desired.
Running Totals - This section displays direct, indirect and total costs across all budget periods.
Cost Category Rows - All costs should be entered according to University guidance and sponsor solicitation requirements. For more information see: http://research.ufl.edu/dsp/proposals/budgeting.html or take course RSH203.
All costs except for UF personnel, tuition, and subawards should be entered by category with a brief description.
If you wish to enter the same value in each year you can enter the cost of the item in the first column and when you tab out of the box, the same value (with inflation if included) will populate across all columns. If you wish to enter a different amount each budget period, you can simply enter that manually.
To add another category or another of the same category, select the Add button. You can add multiples of the same category if you wish to have different values or descriptors for future reference.
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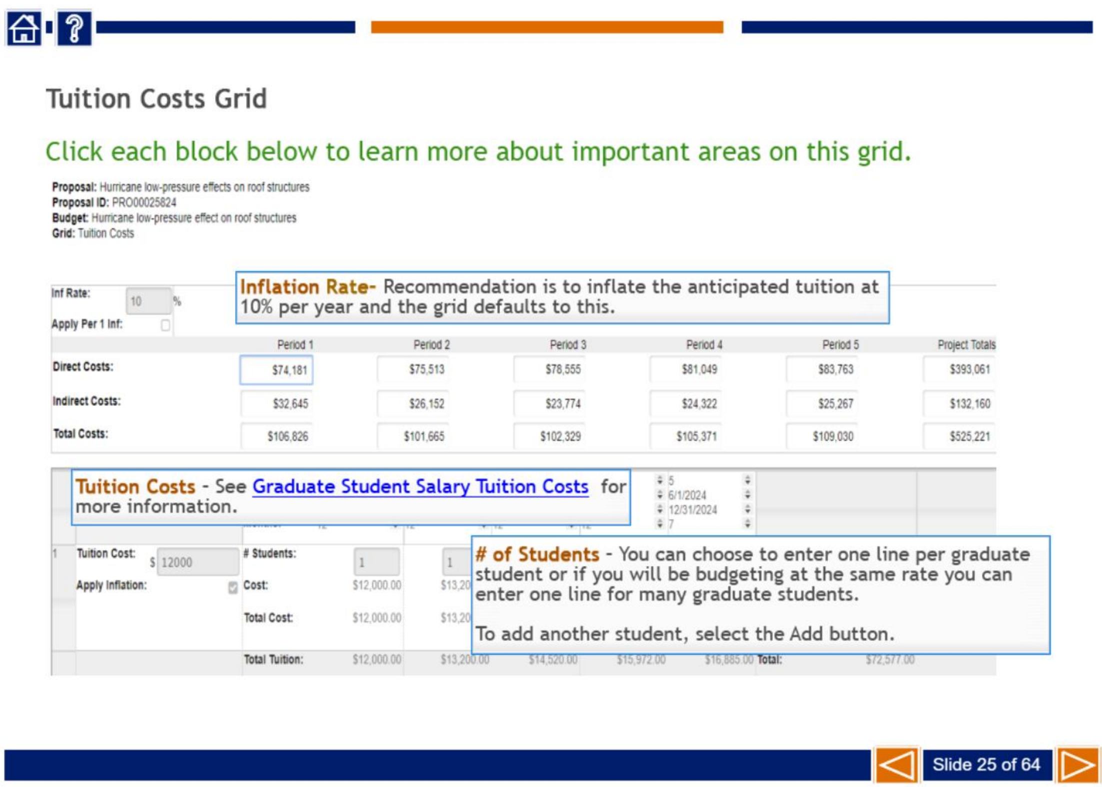
Tuition Costs Grid
Click each block below to learn more about important areas on this grid.
Proposal: Hurricane low-pressure effects on roof structures
Proposal ID: PRO00025824
Budget: Hurricane low-pressure effect on roof structures
Grid: Tuition Costs
Inflation Rate- Recommendation is to inflate the anticipated tuition at 10% per year and the grid defaults to this.
Tuition Costs - See Graduate Student Salary Tuition Costs for more information.
# of Students - You can choose to enter one line per graduate student or if you will be budgeting at the same rate you can enter one line for many graduate students.
To add another student, select the Add button.
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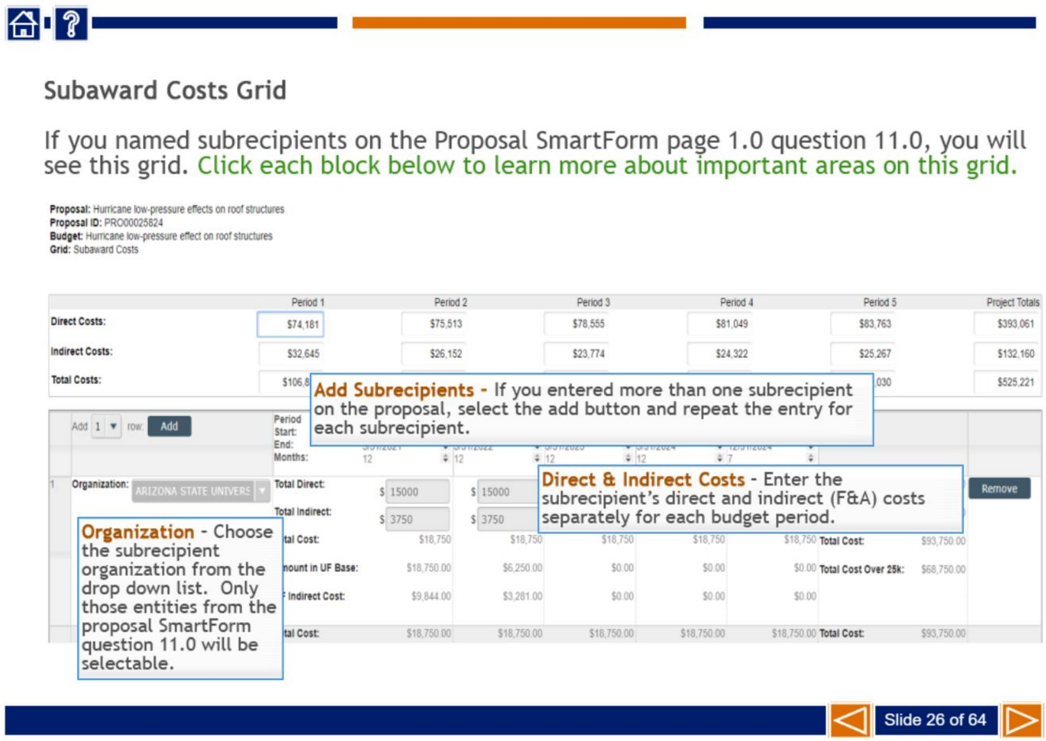
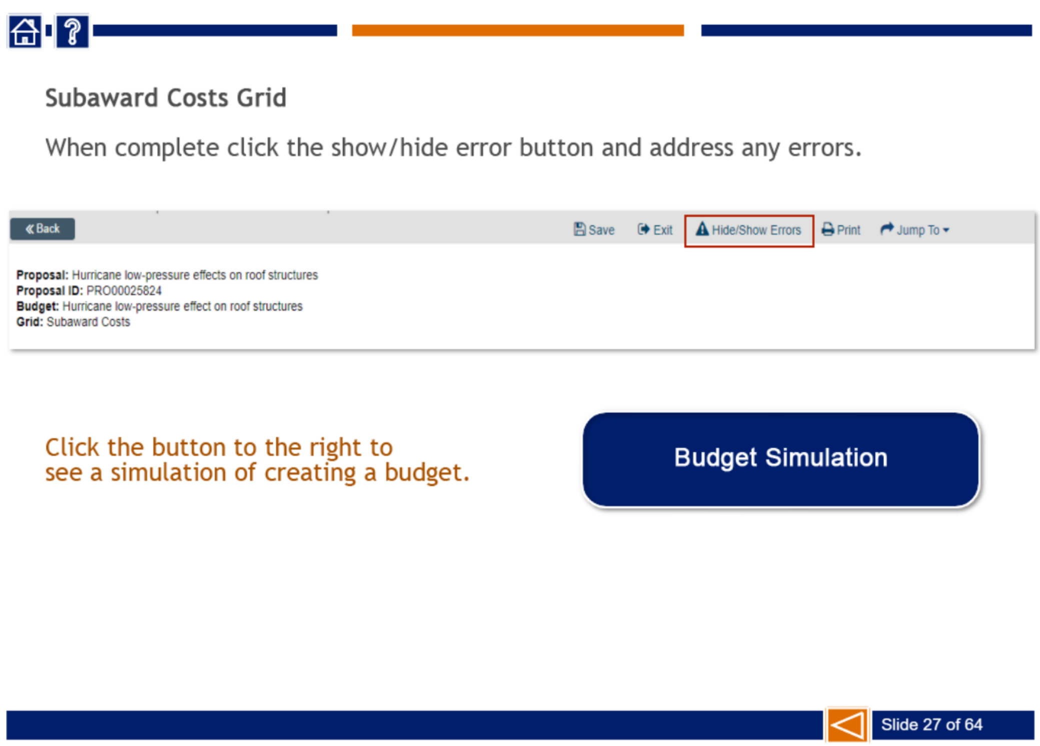
Graduate Student Salary Tuition Costs - https://research.ufl.edu/dsp/proposals/budgeting/graduate-student-salary-tuition-costs.html





Budget Simulation - http://training.hr.ufl.edu/resources/RAFT/RSH280/create_budget/index.html

Chapter 3

Cost Share

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Cost Share

Cost Share is any cost needed to complete the project for which the sponsor is not paying.

Cost Share costs can be salary or non-salary (tuition, equipment, land, etc.).

This course will only cover the entry of cost sharing into UFIRST and not the definition or justification for cost sharing.

For this information see: https://research.ufl.edu/dsp/proposals/budgeting/cost-sharing.html or take class RSH203.

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Cost Sharing Policy - https://research.ufl.edu/dsp/proposals/budgeting/cost-sharing.html

Click each button for definitions.

Salary Cost Share

Any effort greater than the salary requested will *automatically* create a cost sharing budget.

Non-Salary Cost Share

Cost share in any other category than salary. The Cost Share Budget grid must be *manually* created.

If you have voluntary committed or mandatory non-salary cost sharing, you must first indicate this by answering Yes to question 5.0 on the General Budget Information SmartForm on your requested budget.

On this general budget SmartForm, you will also indicate all units who will be responsible for covering any portion of the cost sharing for this project.

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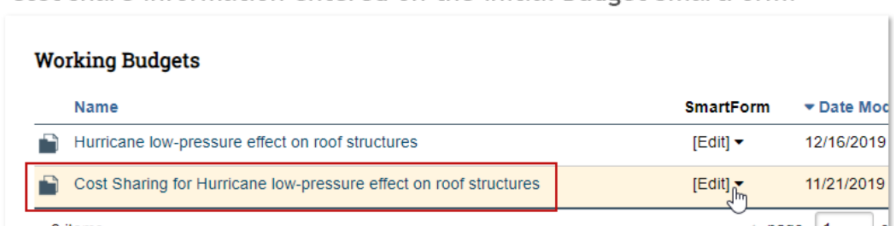
In the image below you can see the new cost sharing budget that was created from the salary cost share information entered on the initial Budget SmartForm.



The details of the payroll cost sharing responsible sources are selected in the cost sharing personnel grid. You cannot enter any other figures on the personnel grid as salary cost sharing is calculated solely as the difference between effort and salary requested. Any changes other than responsible unit must be entered on the primary budget grid.

Any non-salary cost sharing (General, Tuition, Subaward) will be added to the appropriate grids in the Cost Sharing Budget. With each line of cost sharing, also select the unit who will cover the cost of the item. Only units entered on the General budget SmartForm P1.0 Question 5.0 will be selectable here.

Note: This step should be familiar to you as you have just seen an example in the Budget Simulation.

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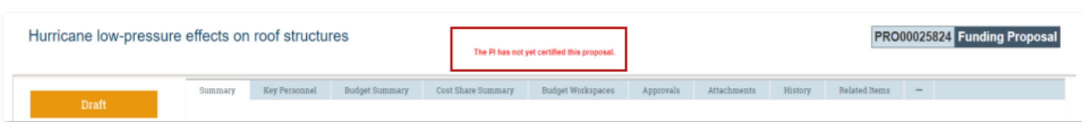
Chapter 4

Completing & Submitting the Proposal

Remember! The PI *must* certify the proposal before it reaches the DSP Review state. You are notified that the PI hasn't certified the proposal by the warning in red text at the top of the proposal workspace.



A best practice is for the PI to certify the proposal before submitting into workflow for approvals.

Once the PI certifies, this warning will go away.

Before submitting your proposal into workflow, make sure all SmartForm questions are answered and documents uploaded.

Common errors at this step are:

- If FCOI forms are required by the sponsor, have I uploaded them for all key persons? If not, be sure to load them. See http://research.ufl.edu/forms.html for more information
- Have I run the Hide/Show Errors button on the proposal and on the budget pages? Have I resolved all errors it provided?
- Have I loaded all the Sponsor required documents?
- If the proposal is being submitted online via a sponsor portal, have I granted DSP access to the proposal in that system? Go to the source system and provide access the way that system requires

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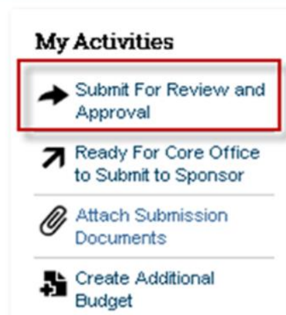
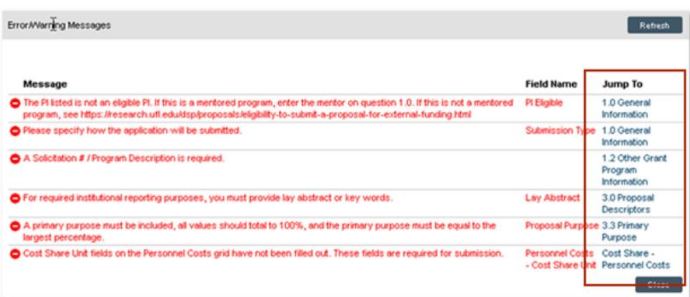
Once you have reviewed the proposal and are ready to submit, click the Submit for Review and Approval link under My Activities.



Executing the Submit for Review and Approval activity will trigger email notifications to the first required approver.

UFIRST will review the submission and notify you of any errors/warnings. Any errors must be addressed and any FCOI forms must be attached for this activity to execute.


Error/Warning Messages

Refresh

Message	Field Name	Jump To
The PI listed is not an eligible PI. If this is a mentored program, enter the mentor on question 1.0. If this is not a mentored program, see https://research.ufl.edu/dsp/proposals/eligibility-to-submit-a-proposal-for-external-funding.html	PI Eligible	1.0 General Information
Please specify how the application will be submitted.	Submission Type	1.0 General Information
A Solicitation # / Program Description is required.		1.2 Other Grant Program Information
For required institutional reporting purposes, you must provide lay abstract or key words.	Lay Abstract	3.0 Proposal Descriptors
A primary purpose must be included, all values should total to 100%, and the primary purpose must be equal to the largest percentage.	Proposal Purpose	3.3 Primary Purpose
Cost Share Unit fields on the Personnel Costs grid have not been filled out. These fields are required for submission.	Personnel Costs - Cost Share Unit	Cost Share - Personnel Costs

Click the Jump To link on the Error/Warning Messages screen to be taken to the page where each error/warning is located.

If your proposal contains cost share from departments outside of the submitting department, cost share approvals for the outside units must take place, then the next approver will be the submitting unit's level 1 reviewer.

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Once all errors/warnings have been addressed, the submission can continue. After clicking the Submit for Review and Approval activity, click OK on the next page.

Remember! Once you've submitted the proposal, you will no longer have access to edit the Proposal or Budget SmartForms.

Once the Proposal is submitted, the state will change to either Cost Share Review or Department Review.

If there is no cost sharing from a responsible unit other than the proposal submitting department, then the proposal state will change to Department Review.

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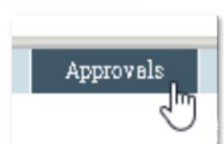
Whomever is next slated to review will receive an email with a link to the record and details about their review.

To check on the status of approvals, click the Approvals tab. You can see who is an approver at each step and who has already approved.



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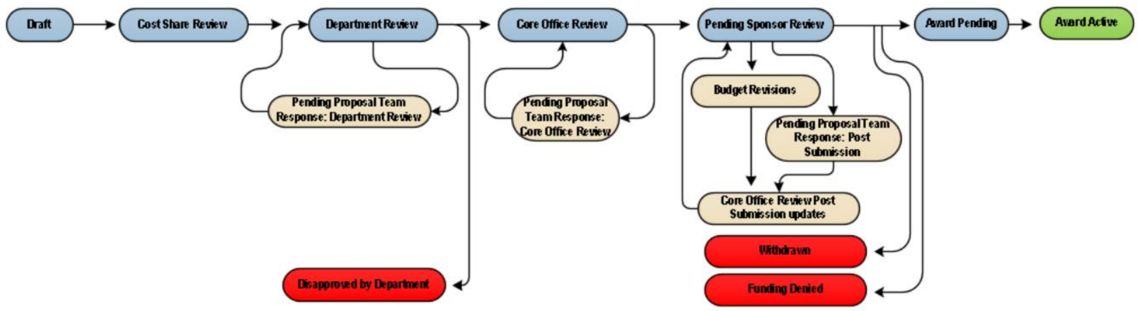
There are many different states that a proposal can display depending on its condition and where it is located in workflow.



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Chapter 5

Post Submission Updates & Revised Budgets

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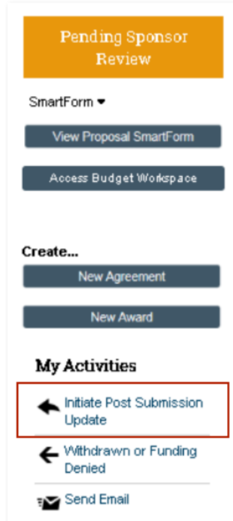
After your proposal has been submitted, sponsors may request changes to the proposal, additional information, or budget revisions.

These types of activities can be routed through UFIRST by using the “Initiate Post Submission Update” or Initiate Budget Revision” activity.

Post Submission Updates (PSU) may be routed in one of two ways:
1. Route information to DSP for action.
2. Route information to responsible unit for action.



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Common Post Submission Requests

Just-in-time (JIT) - Before awarding any proposal, the NIH requires applicants provide updated other support, and if appropriate, certification of IRB training, IRB approval and IACUC approval. More information at: [http://research.ufl.edu/dsp/proposals/just-in-time-and-post-submission-documents.html.](http://research.ufl.edu/dsp/proposals/just-in-time-and-post-submission-documents.html)

Budget Revisions - Many sponsors (frequently NSF) will decide to fund UF but at a different amount than originally proposed. Before releasing the award, the sponsor will request an updated budget with current figures and a new total amount. These budgets must be routed through UFIRST for approval prior to submission to the sponsor.

Additional Quotes - Some sponsors may require quotes confirming budget estimates for major pieces of equipment or additional breakout for items such as travel prior to funding a proposal.

Certifications - Certification of IRB or IACUC approval, or of a necessary training.

Other docs - And some sponsors require a myriad of forms or supplemental documentation both technical or administrative before they can release the funding.

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Just-in-Time (JIT) & Post Submission Documents – https://research.ufl.edu/dsp/proposals/just-in-time-and-post-submission-documents.html

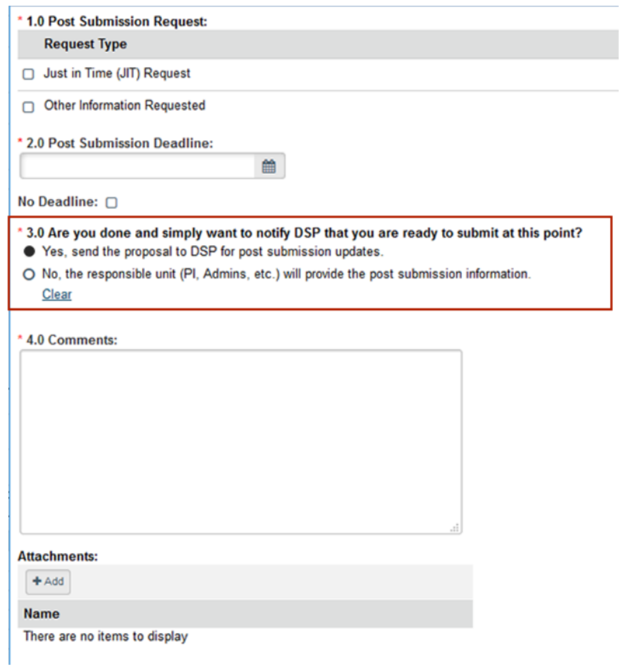
Post Submission Updates

When notifying DSP of information being requested:

- attach all email requests from the sponsor
- include any documents DSP will need to review
- include instructions on where to send the requested information

Be sure to complete all required fields indicated by the red asterisk.

Then click Yes, send the proposal to DSP for post submission updates.



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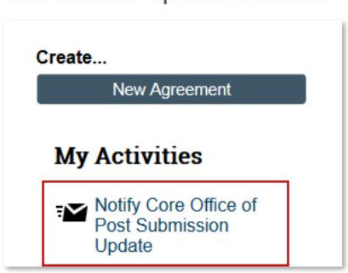
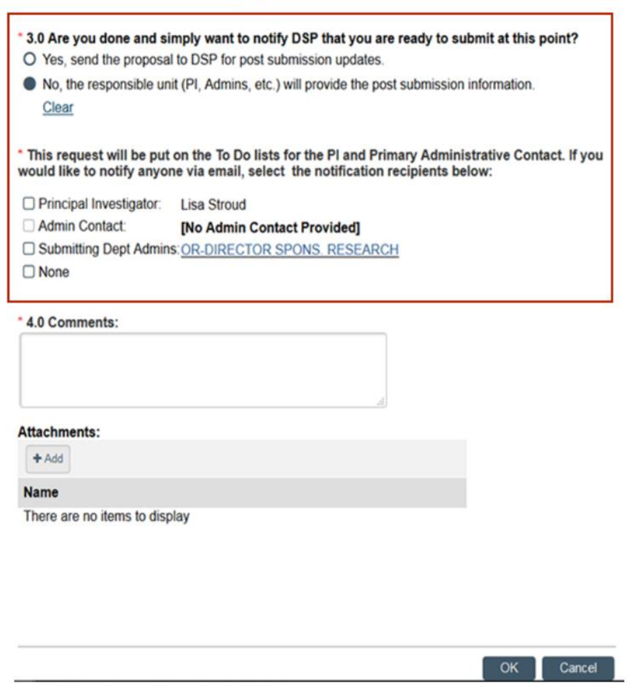
Post Submission Updates

When notifying unit of information being requested:

- Select No to question 3.0
- Complete the additional fields that appear

Once the Unit has completed the necessary requirements, the updates should be routed to DSP for review and action by clicking the Notify Core Office of Post Submission Update button.





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Budget Revisions

If the sponsor is requesting revisions to the submitted budget, you can complete this in UFIRST directly.

To revise a budget, click the Initiate Budget Revision activity under My Activities.

This function will create a locked snapshot of the submitted budget and opens a copy for editing. After editing the second copy, click the Complete Budget Revision activity.

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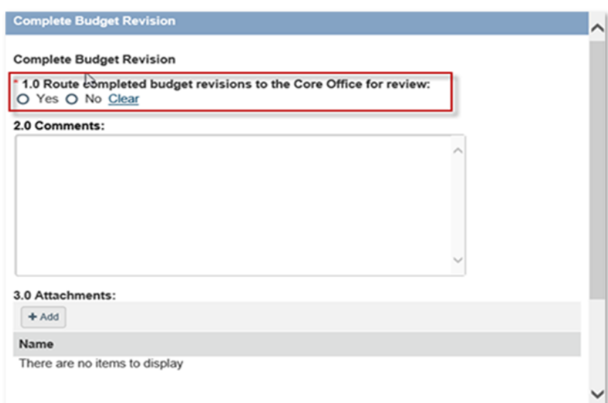
When completing the budget revision activity, choose YES to submit it to DSP for review and action.



Click the button to the right to see a simulation of creating a post submission update.

Post Submission Update Simulation

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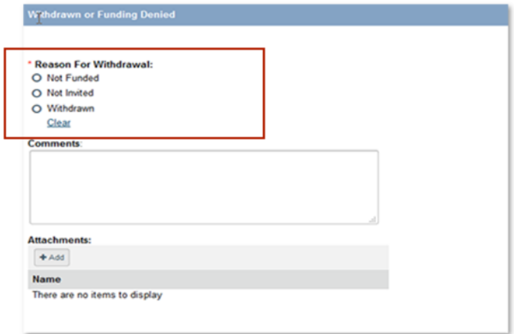
Post Submission Update Simulation – http://training.hr.ufl.edu/resources/RAFT/RSH280/post_submission_updates/index.html

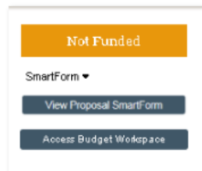
Proposals Not Funded

If the PI's department has already been notified the proposal was NOT funded, click the Withdrawn or Funding Denied button under My Actions to bring up the Withdrawn or Funding Denied screen.



1. Select Not Funded.
2. Add any optional comments, as desired.
3. Add any relevant attachments, as desired.
4. Click OK.

The Proposal state will now display as Not Funded.



Note: If you think Not Invited or Withdrawn should be selected, please reach out to DSP for further information.

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Additional Resources

Grants Toolkit - https://learn-and-grow.hr.ufl.edu/toolkits-resource-center/financial-toolkits/grants/

UFIRST Site - http://research.ufl.edu/ufirst.html

Proposal deadline policy:

http://research.ufl.edu/dsp/proposals/proposal-deadline-policy.html

Proposal guidance: http://research.ufl.edu/dsp/proposals.html

Proposal budgeting guidance: https://research.ufl.edu/dsp/proposals/budgeting.html

PI eligibility policy: http://research.ufl.edu/dsp/proposals/eligibility-to-submit-a-proposal-for-external-funding.html

Cost sharing policy: http://research.ufl.edu/dsp/proposals/budgeting/cost-sharing.html

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Grants Toolkit - https://learn-and-grow.hr.ufl.edu/toolkits-resource-center/financial-toolkits/grants/

UFIRST Site - https://research.ufl.edu/ufirst.html

Proposal Deadline Policy - https://research.ufl.edu/dsp/proposals/proposal-deadline-policy.html

Proposal Guidance - https://research.ufl.edu/dsp/proposals.html

Proposal Budgeting Guidance - https://research.ufl.edu/dsp/proposals/budgeting.html

PI Eligibility Policy –
https://research.ufl.edu/dsp/proposals/eligibility-to-submit-a-proposal-for-external-funding.html

Cost Sharing Policy - https://research.ufl.edu/dsp/proposals/budgeting/cost-sharing.html