Fiscal Onboarding

OFFICE OF RESEARCH: PRE- AND POST-AWARD

Bridget Duffy, Matthew Foran, Melissa Mullaney

UF Research
Division of Sponsored Programs, Contracts and Grants Accounting
Your name
Where you work
How long you have been at UF
What is your ideal breakfast food?
Objectives

Learners will be able to:

• Gain awareness of the Sponsored Programs Lifecycle

• State the key roles of Division of Sponsored Programs (DSP) and Contracts & Grants Accounting (C&G)

• Participate in short activities to build their knowledge base

• Contact DSP and C&G with questions about Sponsored Programs actions they encounter in their day-to-day jobs
What is a Sponsored Program?
Who is Division of Sponsored Programs (DSP)?

- Review, approve, and submit proposals
- Sign agreements for Sponsored Programs
- Facilitate set-up of awards
- Submit prior approvals and award modifications
Who is Contracts & Grants Accounting (C&G)?

- Responsible for invoicing & financial reporting
- Collect payments from sponsors
- Provide fiscal guidance to departments
- Facilitate audits
We are here for you!
Navigating the Research Lifecycle

- UF has over $1 Billion of research expenditures annually
- Approximately 5,000 active awards
UFIRST

University of Florida Integrated Research Support Tool

Navigation from myUFL to UFIRST:
Research Lifecycle: Submit Proposal

- Scope of Work
- Budget
- Budget Justification
### Proposal Information

<table>
<thead>
<tr>
<th>Principal Investigator</th>
<th>Stephanie Gray</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submitting Department</td>
<td>IT-APPS DEVELOP &amp; INTEGRATION</td>
</tr>
<tr>
<td>Submitting Department ID</td>
<td>14800000</td>
</tr>
<tr>
<td>Sponsor</td>
<td>NATL INST OF HLTH</td>
</tr>
<tr>
<td>Prime Sponsor</td>
<td>No</td>
</tr>
<tr>
<td>Deadline</td>
<td></td>
</tr>
<tr>
<td>Opportunity Limited?</td>
<td>No</td>
</tr>
<tr>
<td>Opportunity ID</td>
<td>DOS-DEO-22-GR-016-070822 PKG00075642-instructions.docx</td>
</tr>
<tr>
<td>Opportunity Name</td>
<td>Diplomatic Training in Economic and Commercial Statecraft</td>
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### Budget Information

<table>
<thead>
<tr>
<th>Project Period</th>
<th>7/1/2023-6/30/2027</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Periods</td>
<td>4</td>
</tr>
<tr>
<td>Total Direct</td>
<td>$700,000</td>
</tr>
<tr>
<td>Total Indirect</td>
<td>$321,560</td>
</tr>
<tr>
<td>Total</td>
<td>$1,021,560</td>
</tr>
</tbody>
</table>

### Cost Sharing Information

| Cost Sharing Direct             | $0               |
| Cost Sharing Indirect           | $0               |
| Cost Sharing Total              | $0               |

### Primary Unit Contact

- **Name:** Lisa Stroud
- **Email:** lseill@ufl.edu
- **Phone:** 352/294-2216

### Core Office Contact

- **Name:**                
- **Email:**                
- **Phone:**                

### Compliance Information

- **Human Subjects:** Yes
- **Animal Subjects:** Yes
PROPOSALS

Proposal submission is a team effort!

• PI
• Department / College Staff
• Sponsored Programs Office
PROPOSALS

What’s included in a budget?

➤ When building a proposal, the budget is the best estimate of the funds needed to support the work.
UFIRST

Primary PI Certification

Proposal → Cost Share Approval → Submitting Unit Chair → Submitting Unit Dean → DSP Review & Approval → Submission to Sponsor

Email notifications to ALL departments with Key Personnel on the proposal showing effort commitment and salary requested.
Research Lifecycle: Negotiate Agreement

*ALL agreements are a compromise!
IFAS ASSESSMENT OF NON-NATIVE PLANTS

Summary

Principal Investigator: Deah Lieurance
Responsible Unit: AG-AGRONOMY
Responsible Unit ID: 60080000
Agreement Start Date: Effective upon full execution
Agreement End Date: 6/30/2020
Agreement Deadline: N/A
Are Human Subjects Used? No
Are Live Vertebrate Animals Used? No

Additional Institutional Approval: None
Sponsor: FL FISH AND WILDLIFE CONSERVATION COMM
Sponsor Award ID: 13416-20022
Prime Sponsor: N/A
Proposal Submitted without Core Office Review: No

Key Personnel

<table>
<thead>
<tr>
<th>Name</th>
<th>Role</th>
<th>Department</th>
<th>Department ID</th>
<th>RSH220</th>
<th>RSH260</th>
<th>RSH500</th>
<th>DSR810</th>
<th>SFI Form Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lieurance, Deah</td>
<td>PI/PI</td>
<td>AG-AGRONOMY</td>
<td>60080000</td>
<td>8/6/2019</td>
<td>8/6/2019</td>
<td>Not Completed</td>
<td>N/A</td>
<td>No Conflicts indicated</td>
</tr>
</tbody>
</table>
We have a new award!

1. Set up in UFIRST – establish projects
2. Integrate to myUFL – establish chartfields
3. Begin working and spending
Award ➔ Project ➔ Allocation
Project ➔ Allocation
Project ➔ Allocation
Project ➔ Allocation
Deep learning analysis of physical activity patterns in knee osteoarthritis

Summary

- Principal Investigator: Kerry Costello
- Responsible Unit: EG-MECH AND AERO
- Responsible Unit ID: 19020100
- Sponsor: RHEUMATOLOGY RESEARCH FOUN
- Sponsor Award ID: AGR00025683
- Prime Sponsor:

Blanket Award Terms and Conditions

- Terms and Conditions
  1.0 General Award Information
  2.0 Personnel
  3.0 Related Items
  4.0 Terms and Conditions
  5.1 PeopleSoft Project Setup
  5.2 Allocation Setup
  5.3 Budget Reconciliation
  5.4 Award Financial Summary
  5.5 Effort Commitment
  6.0 Deliverables
  7.0 Compliance Review

Pending Responsible Unit Edits

- DSP Award Compliance Review
- Update Inbox
- Note to History Log

Funding Award

AWD13012

*UFIRST entry matches the sponsor baseline
AWARD INTEGRATION

You have a fully executed award... let's get to spending!

C&G will integrate your award into myUFL. We will assign:

• KK level
• Chartfield / combo code
Why are KK levels important to me?

The KK level is the indicator for the type of spending restrictions your project has:

- **KK Level 3** allows broad rebudgeting flexibility.
- **KK Level 5** imposes restrictions on rebudgeting.
- **KK Level 6** has very restrictive rebudgeting language.
This provides a high-level overview of important project details. The header provides project demographic information and the lower section displays a summary of the project’s finances.
Research Lifecycle: Manage Award

Stewardship of sponsored funds to maintain public trust

• Understand UF policies and procedures that impact sponsored projects

• Be aware of federal and state laws that govern funding
TERMS AND CONDITIONS

• Understand the terms that apply to your award

• Know who to contact if you are not sure about something

• Always best to confirm, since one term may apply to a specific award that DOES NOT apply to another agreement/award

*Contact DSP at ufawards@ufl.edu
Fiscal Monitoring

Monitoring differs from reconciliation. Monitoring is the added layer to ensure that sponsored project expenses conform to sponsor terms and conditions and benefit the defined scope of work.
What is Myinvestigator?

The online decision-support tool for sponsored projects.

The navigation and information are geared specifically to principal investigators (PIs) with additional details available to administrators to assist with monitoring sponsored projects.

The tool is accessible through myUFL or directly at https://myinvestigator.erp.ufl.edu
myinvestiGator

In myinvestiGator, you can search for a project or a person.
myinvestiGator

Below is the project summary that will be displayed once you select the project. Simply click the highlighted arrow to view additional project demographics.
<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Total Budget</th>
<th>Spent</th>
<th>Committed</th>
<th>Projected</th>
<th>Balance</th>
<th>Health</th>
</tr>
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<tbody>
<tr>
<td>All Payroll</td>
<td>$181,340.00</td>
<td>$117,676.72</td>
<td>$19,187.30</td>
<td>$0.00</td>
<td>$44,475.98</td>
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</tr>
<tr>
<td>Other Expenses</td>
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<td>$714.88</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$(714.88)</td>
<td></td>
</tr>
<tr>
<td>Consultant Services</td>
<td>$45,476.00</td>
<td>$45,476.00</td>
<td>$45,476.00</td>
<td>$0.00</td>
<td>$(45,476.00)</td>
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</tr>
<tr>
<td>Materials &amp; Supplies</td>
<td>$7,275.00</td>
<td>$1,757.34</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$5,517.66</td>
<td></td>
</tr>
<tr>
<td>Tuition</td>
<td>$44,500.00</td>
<td>$31,149.30</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$13,350.70</td>
<td></td>
</tr>
<tr>
<td>Domestic Travel</td>
<td>$18,000.00</td>
<td>$11,134.06</td>
<td>$83.00</td>
<td>$0.00</td>
<td>$6,782.94</td>
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<tr>
<td>Direct Total</td>
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<td>Indirect Total F&amp;A</td>
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<td>$2,393.09</td>
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<tr>
<td>Project Total</td>
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<td>$71,220.92</td>
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<td>$26,329.49</td>
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</tr>
</tbody>
</table>
You can access the myinvestiGator help feature by selecting the "?" in the upper right hand corner of the screen.

Here you will find information on how to access the many tools that myiG provides!

This is one of the tools available to you for monitoring your projects!
Invoicing & Financial Reporting

All invoicing and financial reporting will be completed by or in coordination with C&G.

If you require financial information for a report or receive a request for an invoice or financial report, please reach out to your C&G accountant!
AWARD MODIFICATIONS

*What might need to change along the way?

*Award Modifications in UFIRST include Prior Approval Requests and Internal Changes
AWARD MODIFICATIONS

Prior Approval
We must request approval BEFORE making the anticipated change. Ask for permission rather than beg for forgiveness.

- Carryover
- Change in PI
- No Cost Extension
- Change of Scope, etc...

*Remember, the UFIRST entry matches the sponsor baseline for the life of the award*
Research Lifecycle: Close Award

• The key feature to any closeout is the on-time submission of all technical, financial, and other required reports to the sponsor.

• The department plays an important role in closeout! It is essential to:
  • begin reviews early
  • ensure charges are posted timely
  • ensure corrections are made timely
  • close any open encumbrances in a timely manner

• For more information about closeout, please refer to the UF Research webpage

  https://research.ufl.edu/dsp/award-closeout.html
RESOURCES

• Classes available on myTraining: http://mytraining.hr.ufl.edu/
  • RSH 100 – Sponsored Projects Overview
  • RSH 202 – Solicitation Review & Proposal Development
  • RSH 203 – Budget Development
  • RSH 279 – UFIRST Introduction
  • RSH 280 – UFIRST Proposals
  • RSH281 – Grants.gov Submissions via UFIRST SF424
  • RSH282 – UFIRST Awards
  • RSH 208 – Post Award Management & Monitoring Best Practices
  • PST 130 – Reconciliation

• HR Toolkits: https://learn-and-grow.hr.ufl.edu/toolkits-resource-center/financial-toolkits/grants/

• RAFT Program: https://learn-and-grow.hr.ufl.edu/courses-registration/sponsored-research-training/raft-research-administration-financials-training/
Reporting Fraud

If you are not sure if fraud is happening, talk to someone in Finance & Accounting, a trusted advisor, a supervisor, or someone you trust.

To report potential legal, policy, or ethical conduct violations or concerns.

Anonymous Compliance Hotline: 1-877-556-5356

University of Florida Compliance Hotline:
https://compliance.ufl.edu/uf-compliance-hotline-2/

UF Controller’s Office: 352-392-1321
Budget Activity #1

Your PI wants to submit the following budget and budget justification to the National Institutes of Health (NIH).

Review the example budget and budget justification excerpts to find inconsistencies.
Budget Activity #1

Budget Form

<table>
<thead>
<tr>
<th>Sr. Key Person</th>
<th>Prefix</th>
<th>First Name</th>
<th>Middle Name</th>
<th>Last Name</th>
<th>Suffix</th>
<th>Project Role</th>
<th>Base Salary ($)</th>
<th>Cal. Months</th>
<th>Acad. Months</th>
<th>Sum. Months</th>
<th>Requested Salary ($)</th>
<th>Fringe Benefits ($)</th>
<th>Funds Requested ($)</th>
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<tbody>
<tr>
<td>Mike Gator</td>
<td>D</td>
<td>Mike</td>
<td>D</td>
<td>Gator</td>
<td>Ph.D.</td>
<td>PD/PI</td>
<td>$149,454.00</td>
<td>2.6</td>
<td></td>
<td></td>
<td>$44,036.00</td>
<td>$12,106.00</td>
<td>$56,942.00</td>
</tr>
<tr>
<td>Tupak Griswald</td>
<td></td>
<td>Tupak</td>
<td>Griswald</td>
<td>Ph.D.</td>
<td></td>
<td>Post Doctoral Associate</td>
<td>$56,880.00</td>
<td>12</td>
<td></td>
<td>$56,880.00</td>
<td>$6,655.00</td>
<td>$63,535.00</td>
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</tr>
</tbody>
</table>

Budget Justification

Mike Gator, Ph.D. (Principal Investigator; 3.6 calendar months). Dr. Gator will direct and coordinate the proposed studies. He will participate in the design and interpretation of experiments.

Tupak Griswald, Ph.D. (Postdoctoral fellow; 12 summer months). Dr. Griswald has worked in Dr. Gator’s laboratory for 10 years and has 6+ years of experience working with the Z/p14 knockout mice that will be used in the proposed studies. She will help direct, execute, and interpret the studies described in Aims 1 and 3.
Budget Activity #1 (cont.)

UF Rate agreement:

SECTION I: FRINGE BENEFIT RATES**

<table>
<thead>
<tr>
<th>TYPE</th>
<th>FROM</th>
<th>TO</th>
<th>RATE(%)</th>
<th>LOCATION</th>
<th>APPLICABLE TO</th>
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<tbody>
<tr>
<td>FIXED</td>
<td>7/1/2023</td>
<td>6/30/2024</td>
<td>19.50</td>
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<td>Clinical Faculty</td>
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<tr>
<td>FIXED</td>
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<td>Faculty</td>
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<td>TEAMS/USPS Exempt</td>
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<td>TEAMS/USPS Hourly</td>
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<td>7/1/2023</td>
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<td>House Staff/Clinical Post Docs</td>
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<tr>
<td>FIXED</td>
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<td>Grad Asst &amp; Post Docs</td>
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<td>Other OPS/TEMP Faculty</td>
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<td>PROV.</td>
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<td>Until Amended</td>
<td></td>
<td></td>
<td>Use same rates and conditions as those cited for fiscal year ending June 30, 2024.</td>
</tr>
</tbody>
</table>

** DESCRIPTION OF FRINGE BENEFITS RATE BASE:
Salaries and wages.

Budget Justification:

UF fringe benefit rates are as follows:
Faculty Benefits 27.0%
Postdoctoral Fellow 11.7%
Graduate Student 11.7%

Indirect Costs: UF’s federally negotiated F&A rate for on campus research is 52.5%.
Budget Activity #2

Your PI has a $125,713.06 contract with the Florida Department of Agriculture and Consumer Services that is currently set up as KK 5.

They come to you with a question about a budget transfer.
Budget Activity #2

Your PI has a $125,713.06 contract with the Florida Department of Agriculture and Consumer Services that is currently set up as KK 5. You review the contract and see the following language:

“If the cumulative budget transfers from one approved budget category to another approved budget category meet or exceed 10%, prior approval, evidenced by contract amendment is required. Prior approval, evidenced by contract amendment, is required for: 1.) any transfers from an approved budget category to an unapproved budget category. An unapproved budget category is defined as having no funds allocated in the original Budget Plan. 2.) Any equipment purchases not noted in the original Budget Plan and/or Scope of Work.”
Budget Activity #2

“If the cumulative budget transfers from one approved budget category to another approved budget category meet or exceed 10%, prior approval, evidenced by contract amendment is required. Prior approval, evidenced by contract amendment, is required for: 1.) any transfers from an approved budget category to an unapproved budget category. An unapproved budget category is defined as having no funds allocated in the original Budget Plan. 2.) Any equipment purchases not noted in the original Budget Plan and/or Scope of Work.”

Your PI would like to travel to a conference next month and it will cost about $2,500. The PI would like to move $2,500 from materials and supplies to domestic travel stating they won’t need to purchase as much supplies as initially anticipated.
Budget Activity #3

Your PI has a $308,355.11 award with National Institutes of Health.

They come to you with a question about a budget transfer.
Budget Activity #3

Your PI would like to publish two journal articles, which will cost about $7,000 total. The PI would like to move $7,000 from materials and supplies to publication costs, stating they won’t need to purchase as much supplies as initially anticipated.
Wrap Up

What was your biggest takeaway from today’s session?

What information from today’s session do you think you might use in your job? What would you like to learn more about?

Use the chat or unmute and share.
Thank you for attending!

Bridget Duffy
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352-505-8576

Matthew Foran
Grants Accountant
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352-273-3102

Melissa Mullaney
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