NC STATE UNIVERSITY

Financial System

Project Modification Request
9.2 Financial System
Campus Users Guide
Explanation of Form & Header Sections

6/2014
Revised 3/2018

Project Modification Request

INTRODUCTION:

A project modification request is used to initiate updates and modifications to sponsored projects.

The Project Modification Request (PMR) Module was created within the Financial System to help streamline the project modification process. The PMR module will provide a more efficient and relatively easy method for campus users to submit and track Project Modifications. The PMR module will provide multiple college approval functionality, along with enhanced transparency, during the life of a request.

PMR VS CHARTFIELD REQUEST SYSTEM:

<u>Chartfield Request System</u>

For Contract & Grant Projects (i.e., ledger 5s), the Chartfield Request System should ONLY be used to request a New Segment – <u>ADD</u>, to <u>INACTIVATE</u> existing segments, or to <u>MODIFY</u> attribute information on an existing segment.

<u>PMR</u>

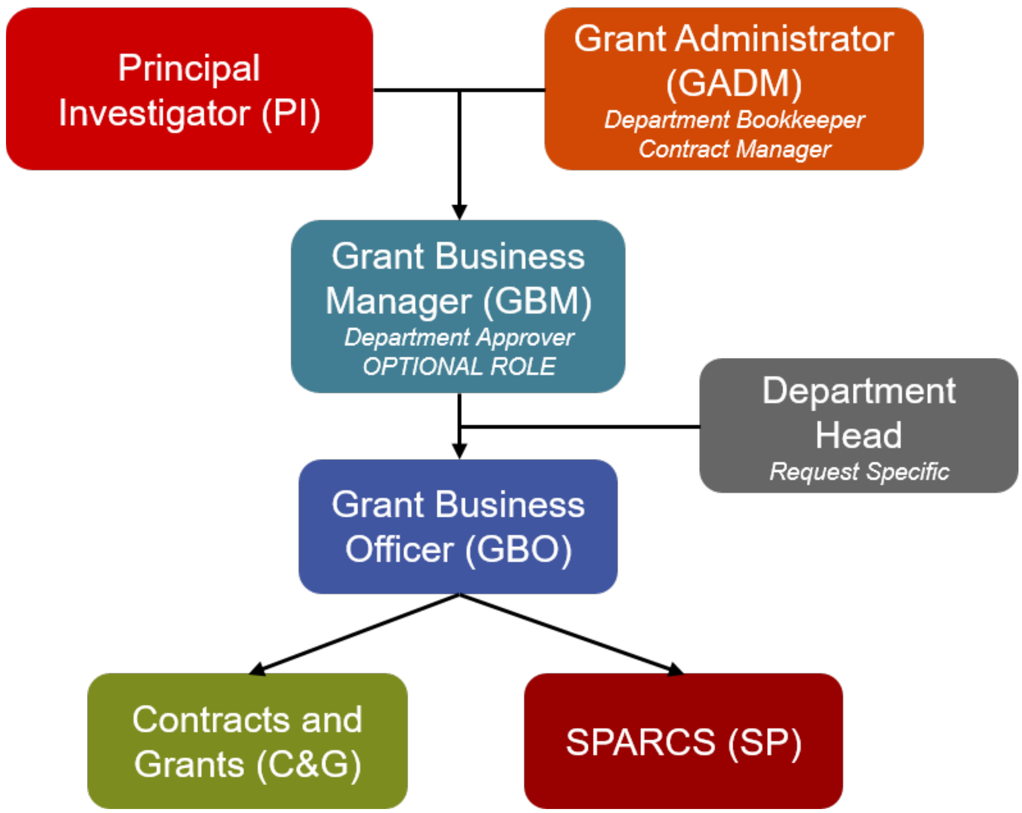
The Project Modification Request System should be used to submit the following type of requests for Contract & Grant Projects (i.e., ledger 5s):

Type of award actions that may require a Project Modification Request:

1. Budget Modification
2. Carry Forward
3. Change in PI / Key Personnel
4. Change in Scope
5. Domestic & Foreign Travel
6. Equipment Acquisition
7. Fabricated Equipment
8. No Cost Extension
9. Pre-Award Cost
10. Sub-award
11. Other

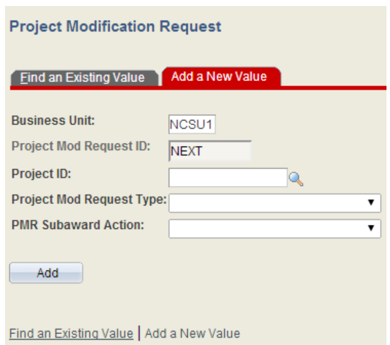
Who can initiate a Project Modification Request (PMR)?

A PMR can be initiated by the Principal Investigator (PI), or the department or college representative. Most PMRs follow a workflow similar to the one shown below:



How to Initiate and Submit a Request:

- Select the “Add a New Value” tab on the Project Modification Request (PMR) landing page
- Enter the Project ID in the provided field or search for the desired Project ID using the 
- Next, select the desired <u>Request Type</u> and the click <u>**Add**</u> button to begin the request process



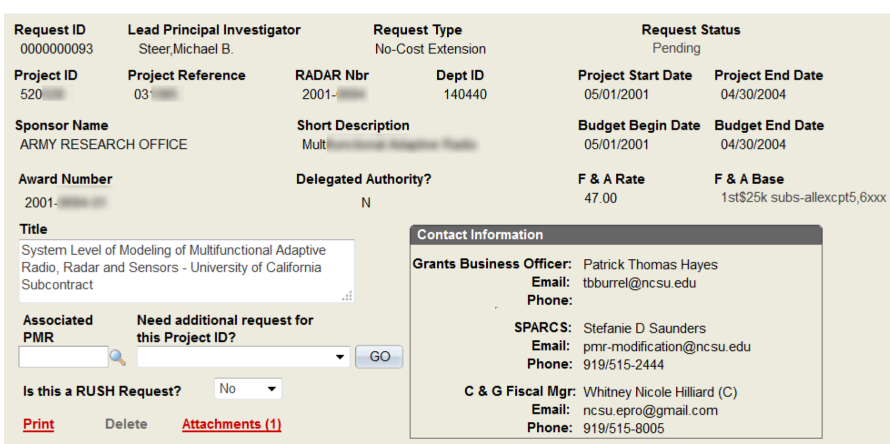
Note: For subaward actions, you must also select a PMR subaward Action:

a) Issue New
b) Modify or Terminate

This field will be greyed out for all other transaction types.

The Request Form is split into three (3) sections:

1) **HEADER SECTION** – This section provides key information about the project. This information feeds from data entered by the Office of Contracts & Grants in the Project Maintenance section of financials.



Header Field Descriptions:

Note: *For attribute issues, please send an email to the assigned C&G Fiscal Manager and cnghelpdesk@ncsu.edu. If the information is ALSO incorrect in RADAR, copy sps@ncsu.edu on the email.*

The Subject Line for email should say: Attribute Correction: then list the Project ID. The body of the email should include the Project ID, and a description of the attribute issue.

PI's should notify their College Grant Business Officer of any issue.

The Fiscal Manager will review the request and make any necessary changes. This review process will be inserted into their normal daily duties, and processed as soon as possible.

- **Request ID** – This field provides the identifying PMR Number associated with the request. The request number increases based on the number of previous transactions for all projects and not the number of requests for this specific project. Numbering is sequential.
- **Lead Principal Investigator** – The Lead PI listed for the Project, per feed from RADAR
- **Request Type** – Indicates the type of request submitted for review and approval.
- **Request Status** – The current status of the request. There are six (6) status types.
  - New – Request has been initiated, saved, and PMR ID assigned. The request has not entered the approval process.
  - Pending – Request has been entered and submitted for approval and processing. The request will remain in a "pending" status while routing through the various approvals until final approval provided.

- Denied – Request has been entered and submitted for approval and processing but was denied by NCSU due to missing information, incomplete request.

- Waiting for Sponsor Response – Request has been entered and submitted for approval and processing. The request will remain in a "waiting for sponsor response" until agency approval is provided.

- Completed – Request has been entered, submitted, processed, and approved. The request was final approved by C&G or SPARCS.

- Terminated – Request has been entered and submitted for approval and processing. The request was denied by the sponsor.

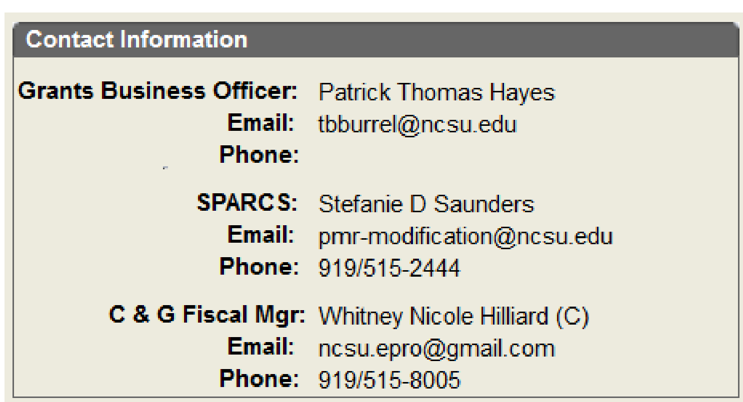
- **Project ID** – Project ID associated with the request
- **Project Reference** – Project Reference associated with the Project ID
- **RADAR Nbr** – Represents the Proposal Nbr.

  The format is XXXX-XXXX.
- **Dept. ID** – Represents the OUC or Department Identification code.
- **Project Start Date** – Project Start Date of Project ID
- **Project End Date** – Project End Date of Project ID
- **Sponsor Name** – The Sponsor Name
- **Short Description** – Abbreviated version of the long description. This field may include agency name, or name of subcontractor.
- **Budget Begin Date** – Budget Begin Date of Project ID
- **Budget End Date** – Budget End Date of Project ID

- **Award Number** – This is the Award No., Contract No. Agency Reference No.
- **Approp Awd Date** – Appropriation Award Date represents the date the funds associated with this award will expire. This is particularly important for No Cost Extension Requests.
- **Guidance** – The circulars governing this project.
    - Subject to Agreement T/C
    - Subject to Uniform Guidance
    - Subject to A-21, A-110, A-133
- **F&A Rate** – The approved F&A rate
- **F&A Base** – F&A Base.

  Translation values are as follows:

    - A – S&W (Salary & Wages)
    - B – MTDC (1st $25K – Subs, All Except 5, 6XXX)
    - C – Spec (Special)
    - D – TDC
- **Delegated Authority?** – Yes / No check box. This information feeds from an attribute flag maintained by Contracts & Grants.
- **Title** – The Long Description
- **Contact Information Box**:



Contact Information

Grants Business Officer:	Patrick Thomas Hayes
Email:	tbburrel@ncsu.edu
Phone:	
SPARCS:	Stefanie D Saunders
Email:	pmr-modification@ncsu.edu
Phone:	919/515-2444
C & G Fiscal Mgr:	Whitney Nicole Hilliard (C)
Email:	ncsu.epro@gmail.com
Phone:	919/515-8005

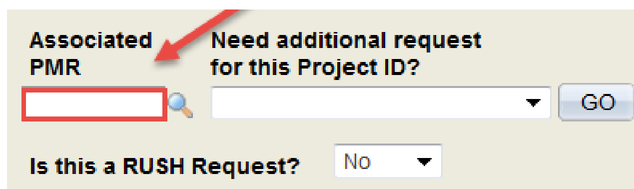
- **Grants Business Officer** – This field will default to lead GBO for the College or Unit. It will default to the person assigned the role for the 2 digit OUC associated with the project id. This section will also include the name, email address and phone number of the person identified as the Lead GBO for the college.

- **SPARCS** – This field will default to the person assigned the SPARCS Role. It will include the name, email address and phone number of the person assigned.

- **C&G Fiscal Manager & Code** – This field will default to the person assign the C&G Role and Fiscal Manager Desk Code for the assigned project. It will include the name, email address, phone number and fiscal manager code.

Other features within the Header section:

- **Associated PMR** field



  - If submitting multiple requests, this field can be used to link the requests together.

    - Usage of this field is necessary to ensure proper communication with the agency. Agency communications should include all necessary information to avoid multiple agency communications at a specific time.

    - This feature may only be used to link other requests that have a “Pending” status. The “Pending” status indicates the request has been routed for approval but the final approval has not been provided.

    - If submitting multiple requests, the user should link the requests in the following manner

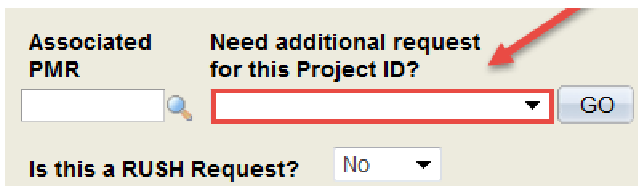
        - The 1st request should reference the 2nd request
        - The 2nd request should reference the 1st
        - The 3rd request should reference the 2nd, etc.

      Note: This will create a "chain" showing the requests linked together

    - It is the GBO's responsibility to ensure the FIRST request has a note to indicate multiple requests are being submitted for review and processing.

    - It is the GBO's responsibility to ensure the Associated PMR field references the other request number.

- **"Need additional request for this Project ID?"** field



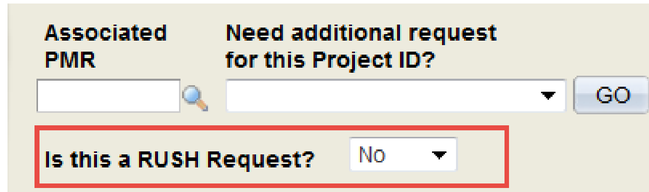
    - This field can be used to change the type of request to submit.

        - If the incorrect request type is selected from the main menu, the initiator does not have to navigate back to the main menu to select the correct request type. The initiator can change the request type from within the current request type.

    - This field should be used if multiple requests are needed for the **<u>same</u>** project. Once the initial request is submitted, the initiator must select the next type of request to submit.

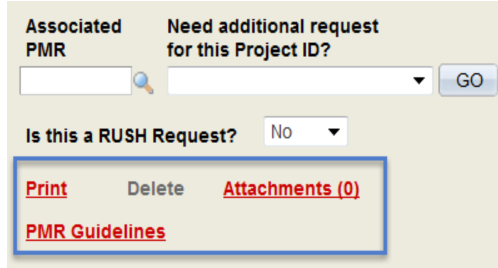
        - **Note:** If a request is needed for a different project, the initiator must return to the main menu to begin the request process.

- **Is this a RUSH Request?** field



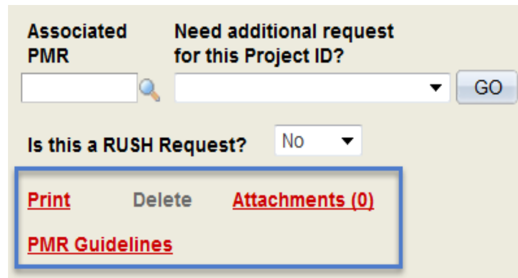
  - This field will default to “NO”
    - This field should ONLY be used to flag a request as a “RUSH” when the following criteria exist:
      - Approaching “Agency Imposed” deadline to submit the request
      - Risk of loss of funding
      - Risk of loss of award
      - Risk of audit finding
  - To flag a request as “RUSH” change the value to “YES”
  - If a request is deemed not a “rush,” approvers within the workflow will have the ability to change the flag back to “NO”
  - The email notification for RUSH request will indicate this status within the body of the request.

- **Print** hyperlink
    - This hyperlink can be used to produce a PDF copy of the request.



Note: It is highly recommended campus users print a copy of the completed PMR. A copy should be maintained in the departmental file.

- **Attachments (0)** hyperlink



    - This hyperlink can be used to attach documents.
    - The number within the parenthesis ( ) indicates the number of files attached to the request.
        - Acceptable file types
            - Adobe (.pdf)
            - MS Word (.doc or .docx)
            - MS Excel (.xls or .xlsx)
            - .TXT Files
    - Note: Please make sure the file name is clear to ALL users.

      ***For example**: If attaching the Vita for the PI, the file name should be john_doe_vita.doc.*

- **Delete** hyperlink
    - A hyperlink will appear when the request is at the Initiator’s level. It will allow the initiator to delete any requests they have submitted that have a current a status of “Pending”.

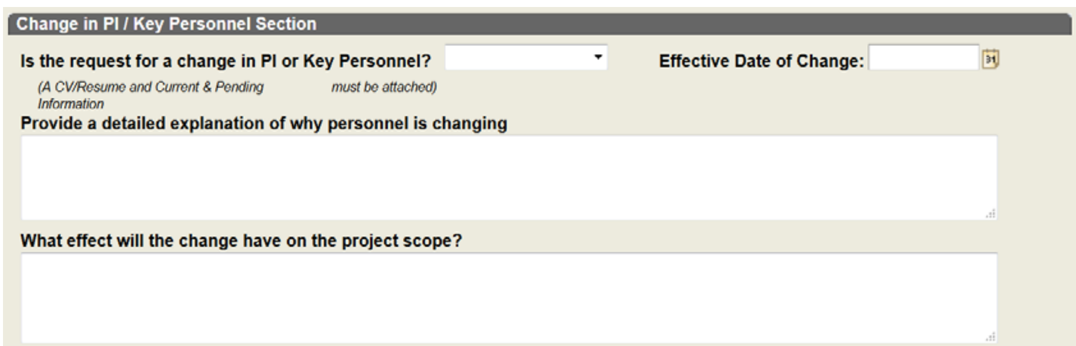
      Note: You cannot delete a request with a current status of “completed.”

        ***Reminder**: Deleting unnecessary PMRs will clean your list and help eliminate potential issues when trying to submit a similar future PMR*

    - The request will be permanently removed from the PMR Search and Main Menu.
    - The Request Id number will not be available for re-use.

- **PMR Guidelines** hyperlink
    - This hyperlink will transfer the user to the PMR section of the Office of Contracts & Grants website: (*http://C&G.ncsu.edu/systems/pmr*)

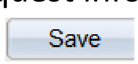
2. **REQUEST SECTION** – This section is specific to the type of request selected. The questions and information provided are particularly important to submit the request and obtain agency approval.



- The initiator should answer the questions within the request and upload all required documentation to support the request.

- If the user is not ready to submit the request for processing and approval, the request can be saved.

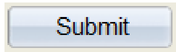
To save a "draft copy" of your request:

- Enter request information
- Click the 

 button

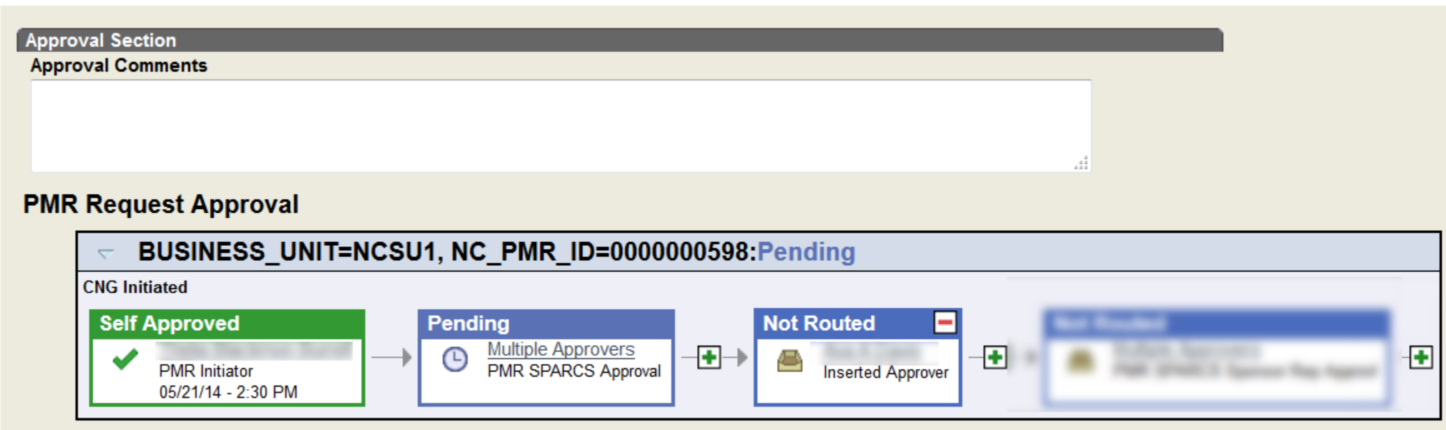
A PMR Request ID will be generated. The Request Status will remain as "New" until the request is routed for approval.

To submit a request for approval:

- Click the 

 button
- The workflow will be initiated and the request will be routed to the next level for approval.

3. **APPROVAL SECTION** – This section will outline the route a request must "travel" to obtain final approval. It will also indicate where other approvals have been inserted within the workflow approval process.



This section will also include any comments entered in the "Approval Comment" box. The comments could be necessary information for approvers to make the final decision.

Note: Comments entered within the <u>Approval Comment</u> box will be included within the email notifications.

Routing of Project Modification Requests

A request can be initiated by the Principal Investigator, staff within the Department or College Research Office. Depending on the college approval requirements, a request initiated by the Principal Investigator or Grant Administrator must be approved by both the Grant Business Manager and Grant Business Officer, or just the Grant Business Officer, prior to routing to Contracts & Grants or SPARCS. ***The required approvals are contingent upon approval setups.***

PMR Role Definitions:

- **PI (Principal Investigator) –** This role may initiate requests. When this role initiates the request, there will be no prior routing history and the role will be listed as the PMR Initiator.

- **PMR GADM**: This role is for the Grant Administrator. This role is similar to Departmental Bookkeeper or Contract Manager. Person(s) who potentially works for/reports to a GBO or GBM. ***This role may initiate requests. When this role initiates the request, there will be no prior routing history and this role will be listed as the PMR Initiator.***

- **PMR DH**: This role is for the Department Head or Designee functioning as the Department Head. ***This role may initiate requests. When this role initiates the request, there will be no prior routing history and this role will be listed as the PMR Initiator.***

- **PMR GBM**: This role is for the Grant Business Manager. This role has limited college level approval or is responsible for review and approval of the GADM work. Person(s) who potentially works for/reports to a GBO. This role is responsible for ensuring all necessary internal approvals, documentation, and information is received and include prior to routing to the GBO. ***This role may initiate requests. When this role initiates the request, there will be no prior routing history and this role will be listed as the PMR Initiator.***

- **PMR GBO**: This role is for the Grant Business Officer. This role was formerly called the College Business Officer (CBO) or College Research Officer (CRO).

  This is the final level of approval prior to routing to Contracts & Grants or SPARCS. This role is responsible for ensuring all necessary internal approvals, documentation, and information is included within the request. This role is also responsible for ensuring the requests meet the University, State, and Agency Guidelines prior to approving request. ***This role may initiate requests. When this role initiates the request, there will be no prior routing history and this role will be listed as the PMR Initiator.***

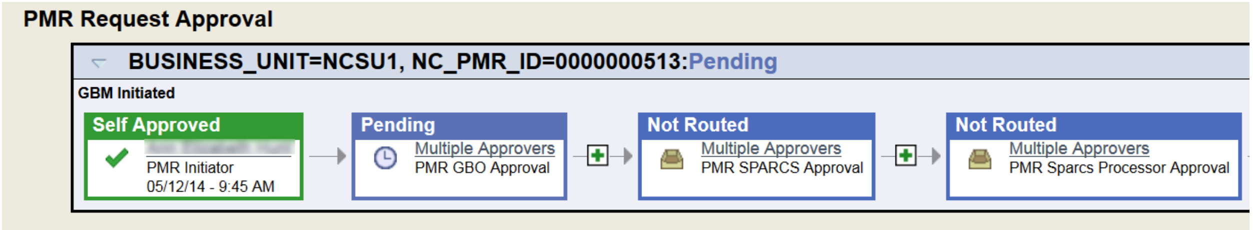
- **PMR FM:** This role is for the C&G Fiscal Manager assigned to this project. This role is responsible for ensuring University, State and Agency Guidelines are followed when deciding whether to approve or deny a request. The approval or denial at this level is contingent upon prior level approvers ensuring the request is complete and contains valid information prior to submitting to the Office of Contracts and Grants for final approval.

- **PMR AM:** This role is for the Asset Management Unit. The PMR AM role is no longer included in the request approval workflow. The PMR FM (i.e., C&G Fiscal Manager) is responsible for the review and processing of all Fabricated Equipment Requests. The PMR FM will Adhoc the Asset Management Unit Administrator as a Reviewer after Final approval of the request is processed.

- **PMR SPARCS.** This role is for the Office of Sponsored Programs staff (SPARCS). There are three (3) specifics roles with SPARCS. This role is responsible for ensuring University, State, and Agency Guidelines are adhered to when deciding whether to approve or deny a request. The approval or denial at this level is contingent upon prior level approvers ensuring the request is complete and contains valid information prior to submitting to SPARCS for final approval.

    - **PMR Approval:** This is the “Triage” area for requests routed to SPARCS for final approval. This role determines if a PMR needs to go to the other SPARCS levels for review and approval/denial or processing.

    - The other SPARCS roles are:
        - PMR SPARCS Processor
        - PMR SPARCS Negotiator
        - PMR SPARCS Sponsor Approval



- When a request is routed for approval, the designed workflow will appear in the PMR Request Approval box.

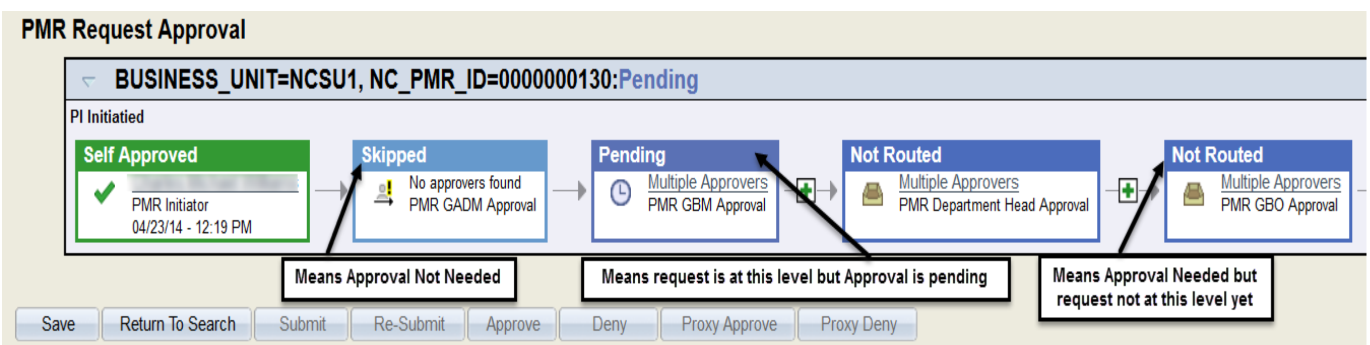
  Note: The workflow will NOT display until the actual workflow is initiated through the submit function.

- The workflow will display a box for each role from the initiator through the final approver.

- If specific approval roles have not been selected for your Departmental ID, the role will show as ***Skipped*** in the workflow.

- If there is only one approver for a designated area, the approvers name will be displayed within the approval box.

Approval Box Definitions:



- If there are multiple approvers for a designated area, "Multiple Approvers" will be displayed within the approval box.

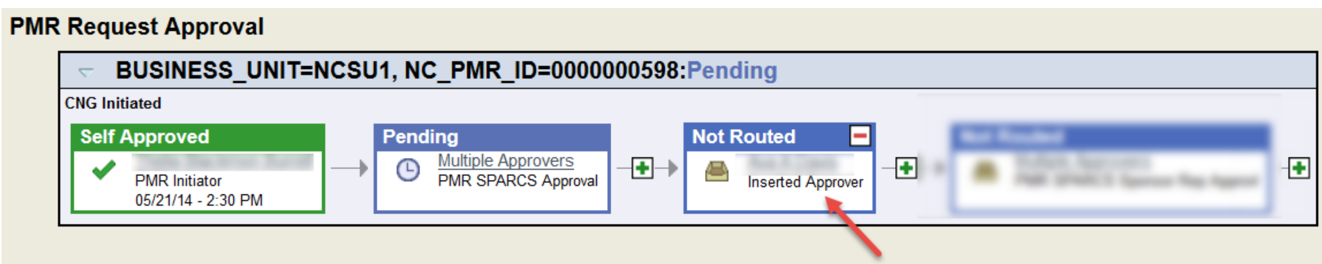
- When a request is initiated and submitted the initiator's box will turn green and the words "Self Approved" will be displayed on top of box. The box will display the initiators name, date, and time submitted.

- When a request is approved, the box will be green and the word “Approved” will be displayed on top of box. The box will display the approver’s name, date, and time approved.

- When a request has been routed for approval, but the approval is pending, the box will be blue and the word “Pending” will be displayed on top of box.

- When a request has not been routed for approval, but a future approval is required, the future approval box will be blue and the words “Not Routed” will be displayed at the top of the box. This indicates the approval is needed but the request is not at that level yet.

- When a request has been routed for approval, but a future approval box is not needed, the future approval box will be light blue and the word “Skipped” will be displayed at the top of the box. This indicates the approval is NOT needed.



Adhoc Approvals:

- The initiator or approver can insert additional approvers or reviewers <u>only after</u> the workflow has been initiated.

- An Adhoc approver or reviewer can be inserted at any point within the approval routing processes.

Note: An email will be generated when the user inserts an Adhoc Approver or Reviewer within the workflow routing.

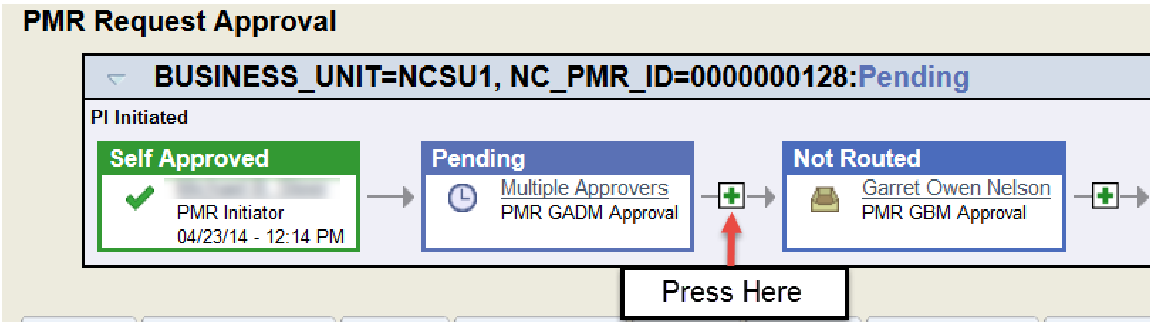
- When the user inserts an Adhoc Approver, the request will appear on the Worklist.
- When the user inserts an Adhoc Reviewer, the request will NOT appear on the Worklist.
- When trying to insert an approver between the current and next approver, timing is an important factor.

Adhoc Approver/Reviewer Rules:

- **What to do when written approval from other colleges is <u>NEEDED</u>:**
  - If a request is submitted that will impact another college(s), the initiating college is **required to Adhoc at least the Lead GBO** for all of the other impacted colleges.
    - The GBO should be inserted **as an APPROVER**. This will ensure all necessary approvals are received and properly documented.
    - When an Adhoc <u>Approver</u> has been inserted within the workflow, that approval is REQUIRED to move the request forward to the next level.
- **What to do when written approval from other colleges is ALREADY received:**
  - If a request is submitted that will impact another college(s), the initiating college is **required to Adhoc at least the Lead GBO** for all of the other impacted colleges.
    - The GBO should be inserted **as a REVIEWER**. This will ensure all necessary notifications are received and properly documented.
    - When Adhoc <u>Reviewer</u> is inserted within the workflow, their approval is NOT required to move the request forward to the next level.

To add an Adhoc Approver or Reviewer:

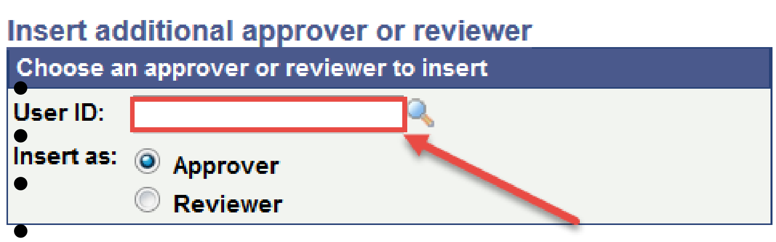
- From within the **Approval Section** of the request,
  - Click the **+** to insert an approver or reviewer within the already initiated workflow.



  - If the PMR Approver needs to insert an additional approver prior to the next approval level, the Adhoc Approver <u>must</u> be inserted and workflow change saved prior to clicking the **Approve** button.

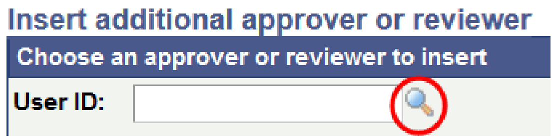
  - An “Insert additional approver or reviewer” sub-window will appear

    - If the person’s Unity ID is known,
      - Enter the Unity ID of the desired approver or reviewer in the **User ID:** field



      - ID <u>MUST</u> be entered in All CAPS

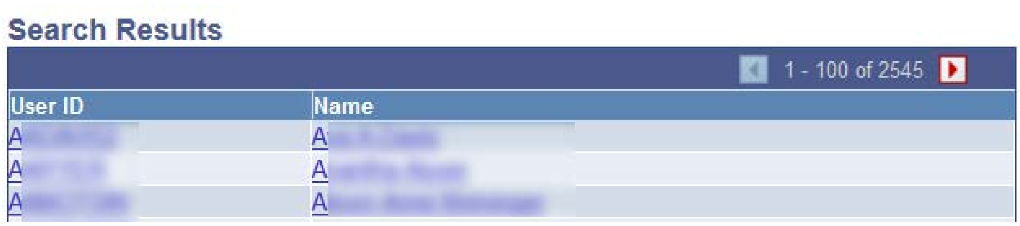
- If Unity ID is NOT known,
    - Click the **magnifying glass** to search using the name



    - Enter a portion of the user name or ID

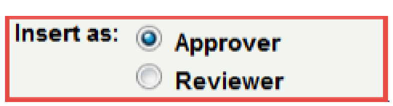
    - Click **Search** button

    - Locate desired name in search results list



    - Click hyperlink for desired name
        - User ID will be automatically transferred the “Insert additional approver or reviewer” sub-window

    - Select desired Adhoc Role



Adhoc Role Definitions:

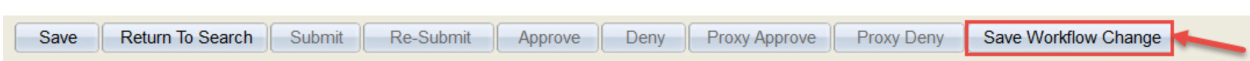
- **Inserted Approver:** This role is for the Adhoc Approvers inserted within the workflow of the request. The Adhoc functionality can be used to request approval from other colleges or personnel not already within the designed workflow.

- **Reviewer:** This role is for the Adhoc Reviewer inserted within the workflow of the request. The Adhoc functionality can be used to copy another colleges or personnel not already within the designed workflow

- Click Insert button

YOU MUST SAVE THE WORKFLOW CHANGES OR CHANGES WILL NOT SAVE AND YOU WILL HAVE TO REPEAT THESE STEPS.

- To **SAVE WORKFLOW CHANGE** click the button



Note: The ability to specifically insert another College GBO prior to the initiator's GBO depends on the initiator's PMR Role and whether their requests will route directly to the GBO.

For example, if the initiator is the GBM, the request will route directly to the GBO when submitted. Therefore, the initiator will not be able to insert the other college GBO prior to their GBO. This means the other college GBO approval must be obtained outside of PMR.

If the initiator's request will route for an additional approval prior to their GBO, the initiator will be able to insert the other college GBO prior to their GBO.