Project Modification Request
9.2 Financial System
Campus Users Guide
Glossary of Terms & Acronyms
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:

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

PMR
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:
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.
  
  o **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.
  
  o The other SPARCS roles are:
    ▪ PMR SPARCS Processor
    ▪ PMR SPARCS Negotiator
    ▪ PMR SPARCS Sponsor Approval
Worklist Filters:

- **PMR GADM Approval** – Request submitted by PI awaiting GADM approval.
- **PMR GBM Approval** – Request submitted or approved by GADM awaiting GBM approval.
- **PMR Department Head Approval** – A Change of PI or Equipment Acquisition request awaiting Department Head approval.
- **PMR GBO Approval** – Request submitted or approved by GADM (if no GBM role), GBM (if applicable), DH (if applicable) awaiting GBO approval.
- **PMR Fiscal Manager** – Request awaiting C&G review and approval.
- **PMR SPARCS Approval** – Request awaiting initial review and approval routing by SPARCS Staff. This is the “Triage” period where additional approvals are designated.
- **PMR SPARCS Processor** – Request awaiting review and approval by a SPARCS Processor. This approval is designated during the SPARCS Approval review.
- **PMR SPARCS Negotiator** – Request awaiting review and approval by a SPARCS Negotiator. This approval is designated during the SPARCS Approval review.
- **PMR SPARCS Sponsor Rep Approval** – Request approved by SPARCS staff but awaiting final approval from agency. This approval is designated during the SPARCS Approval review.
- **Transaction Denied** – Request denied by C&G, or SPARCS. Request denied due to incomplete or incorrect information.
NC State University Glossary of Research Terms

A

- **A-110** – OMB Circular/Uniform Administrative Requirements for Grants and other Agreements This Circular sets forth standards for obtaining consistency and uniformity among Federal agencies in the administration of grants to and agreements with institutions of higher education, hospitals, and other non-profit organizations. The standards set forth in this circular are applicable to all Federal agencies. *This has been merged into the new Federal Circular.*

- **A-21** – OMB Circular/Cost Principles for Educational Institutions This Circular establishes principles for determining costs applicable to grants, contracts, and other agreements with educational institutions. The principles deal with the subject of cost determination. The circular applies to all Federal agencies that sponsor research and development, training, and other work at educational institutions shall apply the provisions of this circular in determining the costs incurred for such work. A-21 determines the terms of direct and indirect costs, allowable and unallowable expenditures, and now sets the terms of Cost Accounting Standards. *This has been merged into the new Federal Circular.*

- **A-133** – Audits of States, Local Governments, and Non-Profit Organizations - used in auditing federal assistance and federal grant programs, as well as their respective recipients.

- **Account Number** – Refers to the financial account number used for spending money associated with the project.

- **AERL** – Applied Energy Research Laboratory

- **AFOSR** – US Air Force Office of Sponsored Research

- **Agencies** (also known as sponsors) – Institutions (usually a state or federal body) that sponsor a research endeavor, providing funds and other support. There are very many of these, and most of them are referred to using acronyms. The National Council of University Research Administrators (NCURA) offers and explanation of these acronyms, with links to the relevant agency sites: [http://www.ncura.edu/agencies/default.html](http://www.ncura.edu/agencies/default.html)
• **Allowable Costs** – Except where otherwise authorized by statute, costs must meet the following general criteria in order to be allowable under Federal awards: (a) Be necessary and reasonable for the performance of the Federal award and be allocable thereto under these principles. (b) Conform to any limitations or exclusions set forth in these principles or in the Federal award as to types or amount of cost items. (c) Be consistent with policies and procedures that apply uniformly to both federally-financed and other activities of the non-Federal entity. (d) Be accorded consistent treatment. A cost may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost. (e) Be determined in accordance with generally accepted accounting principles (GAAP), except, for state and local governments and Indian tribes only, as otherwise provided for in this Part. (f) Not be included as a cost or used to meet cost sharing or matching requirements of any other federally financed program in either the current or a prior period. See also § 200.306 Cost sharing or matching paragraph (b). (g) Be adequately documented. See also §§ 200.300 Statutory and national policy requirements through 200.309

(Formerly: Determined by the Office of Management and Budget (OMB), the sponsor's requirements and/or university policy. OMB circular A-21 defines allowable costs as those that are: 1. Reasonable, 2. Allocable to the project, 3. Given consistent treatment by the use of generally accepted accounting principles, 4. Conform to any limitations or exclusions set forth by the sponsored agreement or OMB Circular A-21).

• **Allocable Costs** – A cost is allocable to a particular cost objective (i.e., a specific function, project, sponsored agreement, department, or the like) if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received or other equitable relationship. Subject to the foregoing, a cost is allocable to a sponsored agreement if it is incurred solely to advance the work under the sponsored agreement; it benefits both the sponsored agreement and other work of the institution, in proportions that can be approximated through use of reasonable methods, or it is necessary to the overall operation of the institution and, in light of the principles provided in this Appendix, is deemed to be assignable in part to sponsored projects. (formerly: Those allowable costs that actually benefit the grant or contract to which they are being charged)
- **AOR** – Authorized Official Representative – an individual who is authorized to sign and submit proposals on behalf of the University

- **ARO** – Army Research Office

- **Award** – Funds provided from an external sponsor for support of a project at the NC State University. This term is used for both original award and supplements.

**B**

- **BAA** – Broad Agency Announcement - a technique for United States government agencies to contract for basic and applied research and certain development.

- **BOT** – NCSU Board of Trustees – Per the UNC Code, The Board of Trustees shall promote the sound development of its institution within the functions prescribed for it, helping it to serve the people of the state in a way that will complement the activities of the other institutions and aiding it to perform at a high level of excellence in every area of endeavor. Each board of trustees shall serve as an advisor to the Board of Governors on matters pertaining to its institution and shall also serve as advisor to the Chancellor concerning the management and development of the institution.

- **Budget** – An estimate of expenditures proposed to be incurred in the performance of a proposed statement of work.

- **Budget Category** – A portion of the budget designated for certain kinds of expenditures, e.g., salaries, operations, travel, equipment.

**C**

- **CAS** – Cost Accounting Standards

- **CDC** – Center for Disease Control

- **CES** – Cooperative Extension Service
• **CFDA** – The Catalog of Federal Domestic Assistance – government-wide list of Federal programs, projects, services, and activities which provides assistance and benefits to the American public.

• **CFR** – Code of Federal Regulations

• **CIS** – Centers and Institutes

• **CO** – Contracting Officer

• **Colleges** – NC State University
  
  o **CALS** – College of Agriculture and Life Sciences
  
  o **COD** – College of Design
  
  o **CoED** – College of Education
  
  o **COE** – College of Engineering
  
  o **CHASS** – College of Humanities & Social Sciences
  
  o **COM** – College of Management
  
  o **CNR** – College of Natural Resources
  
  o **COS** – College of Sciences
  
  o **COT** – College of Textiles
  
  o **CVM** – College of Veterinary Medicine

• **Co – I / Co – Investigator** – An individual involved with the principal investigator in the scientific development or execution of a sponsored project.
• **Conflict of Interest (COI) and COI Certifications-(Disclosure of Financial Interest)** – Faculty, EPAs and SPAs/Grads paid from a ledger 5 account must annually disclose their financial interests outside of the university via the university’s electronic COI disclosure system. Institutional representatives certify that the institution has implemented and is enforcing a written policy on conflicts of interest consistent with federal regulations, all financial disclosures required by the conflict of interest policy were made; and that conflicts of interests, if any, were, or prior to the institution's expenditure of any funds under the award, will be satisfactorily managed, reduced or eliminated in accordance with the institution's conflict of interest policy and/or disclosed to the agency (as required by the agency).

http://www.ncsu.edu/sparcs/coi/index.php

• **Consortium** – A consortium is two or more institutions working on the same research project, either funded directly by the supporting agency or one prime institution subcontracting out the funds to the other members of the consortium.

• **Contract** – A contract is an agreement to acquire services that primarily benefit the sponsor. For an award to be considered a contract, it normally must contain all of the following elements:
  1. Detailed financial and legal requirements must be included with a specific statement of work to be performed.
  2. A specific set of deliverables and/or reports to the sponsor is required
  3. Separate accounting procedures are required
  4. Legally binding contract clauses must be included
  5. Benefits of the project accrue first to the sponsor, then to the university, then to the nation.

• **Contracts and Grants office (C&G)** – Post Award office at NC State University, who oversees the financial management of sponsored project accounts.

• **Contributed Effort** – Effort expended on a sponsored project that the sponsor does not compensate for; a form of cost sharing.

• **Cooperative Agreement** – A funding mechanism which can be used by federal agencies when a program requires more agency involvement and restrictions than a grant but requires less agency supervision than a contract.
• **Co-Principal Investigator (Co-PI)** – One investigator sharing equal responsibility for the direction of a research program. (PHS/NIH does not recognize the concept of co-principal investigator.)

• **Copyright** – A copyright is a form of protection provided for under the U.S. Constitution to the authors of an "original work of authorship" that is in a tangible form. An original work of authorship protected by U.S. Copyright law could include literary works, musical works, pantomimes, choreographic works, pictorial, graphic and sculptural work, motion pictures and other audiovisual works, sound recordings, and architectural works. Copyright protection exists from the time the authored work is created in a fixed tangible form and the work of authorship immediately becomes the property of the author who created the work.

• **Cost Reimbursement (CR)** – A type of agreement whereby payments are based on actual allowable costs incurred in performance of the work.

• **COR** – Contracting Officer’s Representative

• **COS** – Community of Science/Scholars

• **Cost Share** – University and nonfederal sponsor resources provided in support of sponsored programs; includes contributed effort and matching funds.

• **CRA** – Certified Research Administrator

• **CRO** – College Research Office

• **CV** – Curriculum Vitae – primarily use for faculty, the CV provides a comprehensive overview of a person’s experience, publications and other qualifications.

**D**

• **Dean** – Person with highest authority over a specific academic unit (college).

• **DEHNREDENR** – Department of Health, Environment and Natural Resources
- **DFAR** – Department of Defense Federal Acquisition Regulation Supplement
- **DHHS** – US Department of Health & Human Services and/or NC Department of Health & Human Services
- **Direct Costs** – Direct costs are all costs that can be directly attributed to the conduct of the project and are specified in the proposal budget. These costs can be readily identified and are itemized by name and amount.
- **Direct Sponsor** – Refers to the organization that funds the project.
- **DOD** – Department of Defense
- **DOE** – Department of Energy
- **DOEd** – US Department of Education
- **DOT** – US Department of Transportation
- **DTRA** – Defense Threat Reduction Agency

**E**  
- **Effort** – The amount of time, usually expressed as a percentage of the total, that a faculty member or other employee spends on a project. Effort is certified and documented through the TEARS Effort Certification Reporting system.
- **Effort Reporting** – Effort reporting and certification form required for compliance with federal regulations.
- **EHRA Employee** – Employee who is exempt from the State Personnel Act of NC. These employees do not earn overtime and are exempt from federal Fair Labor Standards.
- **EPA** – Environmental Protection Agency
• **Equipment** – Tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of $5000 or more per unit.

• **ERA (Electronic Research Administration)** – Many sponsors now rely upon electronic communication (email) with their grantees and upon secure sites to receive grant applications, to communicate funding decisions, to accept reports, and to close out research projects. Electronic Research Administration is the term used to describe the method most sponsors are employing to handle the grant application, award, and management process.

• **Expanded Authorities** – Policy implemented by some federal granting agencies which delegates certain prior approval authorities to grantee institutions. This delegation allows for internal university approval of administrative and spending actions, thus avoiding delays in project progress.

• **Facilities and Administrative (F&A) Cost Rates** – Facilities and Administrative costs (F&A; also referred to as indirect costs or overhead) are those costs associated with the conduct of sponsored activities that are incurred for common or joint objectives and therefore are not readily identifiable with a specific project. Examples of costs normally considered to be F&A costs include administrative/clerical; facilities management and utilities; general-purpose equipment; office supplies; postage; memberships and dues; subscriptions/books/periodicals and local telephone charges. Negotiated, approved rates are to be used for all agreements with the federal government and for most non-federal projects, as allowable.

• **FAQ** – Frequently Asked Questions

• **FAR** – Federal Acquisition Regulations - is the principal set of rules in the Federal Acquisition Regulation System. This system consists of sets of regulations issued by agencies of the federal government of the United States to govern what is called the "acquisition process"; this is the process through which the government purchases ("acquires") goods and services. That process consists of three phases: (1) need recognition and acquisition planning, (2) contract formation, and (3) contract administration. The FAR System regulates the activities of government personnel in carrying out that
process. The FAR is codified in Title 48 of the United States Code of Federal Regulations

- **FAS** – Financial Accounting System

- **F&B** – NC State University Division of Finance and Resource Management. C&G is part of this division. *(formerly known as Finance & Business)*

- **FDP** – Federal Demonstration Partnership - The Federal Demonstration Partnership (FDP) is an association of federal agencies, academic research institutions with administrative, faculty and technical representation, and research policy organizations that work to streamline the administration of federally sponsored research.

- **FFATA** – Federal Funding Accountability and Transparency Act; requires reporting of all sub-recipient awards above $25,000.

- **FRPD** – Faculty Research & Professional Development - this individual investigator fund is intended to assist faculty members in initiating research and professional development activities. A primary objective from an award should be to use the funding as "seed" money leading to support from outside granting agencies. This funding is made available via a partnership of resources from the division of Research, Innovation and Economic Development (ORIED) and college Dean’s offices.

- **FSR** – Financial Status Report – report completed by C&G

- **Firm Fixed-Price (FFP)** – A type of agreement whereby payment is not based on actual costs expended but upon a mutually agreed upon price.

- **Formal Proposal** – Any proposal submitted by a university employee to an outside entity that may directly lead to an award. All formal proposals require an institutional endorsement by an official authorized to commit university resources. NOTE: ONLY ELECTED MEMBERS OF THE FACULTY MAY SUBMIT GRANT PROPOSALS. ELECTED MEMBERS OF THE FACULTY INCLUDE: Professors, Associate and Assistant Professors, Instructors and Lecturers.
G

- **GA** – General Administration of UNC system

- **Gift** – A unilateral transfer of money, property, or other assets to the recipient for the recipient's ownership and use by a donor who makes no claims on the recipient in connection with the gift. Gifts normally have the following characteristics:
  1. The statement of work allows the project director significant freedom to change emphases within the general area of work as the project progresses.
  2. No deliverables are involved
  3. Separate accounting procedures are not required
  4. Benefits of the project are to accrue to the nation and the world
  5. Sponsor has no audit rights
  6. No regulatory issues are involved, such as human subjects or animal care.

- **GL** – General Ledger

- **Grant** – An agreement to transfer money, property, services, or anything of value to accomplish a purpose, such as support or assistance in an area of interest to the grantor. For an award to be considered a grant, it normally will contain the following elements: 1. The statement of work allows the project director significant freedom to change emphasis within the general area of work as the project progresses. 2. Deliverables are minimal, usually consisting of reports only. 3. Separate accounting procedures are required.

- **Grantee** – A grantee is the recipient of a grant. When the university accepts a grant award, on behalf of an individual, it becomes the grantee.
• **Human Subjects** – A living individual about whom an investigator conducting research obtains: 1. Data through intervention or interaction with the individual. 2. Identifiable private information.

• **HUD** – Housing and Urban Development

• **In-Kind Contribution** – A non-cash commitment (such as contributed effort, facilities use, or supplies) to share the costs of a sponsored project.

• **Indirect Costs** – See Facilities and Administrative (F&A) Costs.

• **Informal Proposal** – A short (generally 2-5 pages) description of the proposed project that does not involve a commitment of university resources or a signature on behalf of the university. An informal proposal may include a total cost estimate but does not include a budget and is not expected to result directly in an award. The purpose of an informal proposal is usually to inform and interest the potential sponsor enough to request a more detailed formal proposal. Also sometimes called a letter proposal, mini-proposal, preliminary proposal, pre-application, or concept paper.

• **Informed Consent** – The voluntary agreement obtained from a subject (or the subject's legally authorized representative) to participate in research or related activity, before participating in that activity. The consent must permit the individual (or legally authorized representative) to exercise free power of choice without undue inducement or any element or deceit, fraud, force, duress, or other form of coercion or constraint.

• **Institutional Authorized Officials** – Individuals authorized by the Board of Regents to sign grants, contracts, and agreements on behalf of NC State University.

• **Institutional Review Board (IRB)** – A board or committee organized at the university to provide review at the institutional level for ethical concerns in research, such as laboratory animal care and the use of human subjects in research.
• **Intellectual Property (IP)** – Intellectual property is a broad term that encompasses the various intangible products of the intellect of inventors. These include patents, trademarks, copyrights, trade secrets, know-how, and other proprietary concepts, including an invention, scientific or technological development, and even computer software and genetically engineered microorganisms.

• **Internal Award** – An Internal Award is where the University awards funds under the delegated authority issued by a Sponsoring Agency.

• **IACUC** – Institutional Animal Care and Use Committee - Campus committee charged with ensuring compliance with regulations governing research with animals.

• **IPA** – Intergovernmental Personnel Act – The Intergovernmental Personnel Act Mobility Program provides for the temporary assignment of personnel between the Federal Government and state and local governments, colleges and universities, Indian tribal governments, federally funded research and development centers, and other eligible organizations.

J

• **JV** – Journal Voucher

K

• **Key Professional Personnel** – Key professional personnel (or key personnel) are all individuals who participate in the scientific development or execution of the project. Typically, key personnel have a Ph.D. E.D., or M.D., but may also include the master's or baccalaureate level, provided they contribute in a substantive way to the research.

L

• **Ledger 5** – An ‘account’ number established in the Financials system, which categorizes sponsored project funds.

• **LOC** – Letter of Credit

• **Letter of Inquiry** – A letter of inquiry is initiated by an applicant to determine if a proposed project is within a private agency's fundable program areas and to request agency policy and program information, as well as instructions and forms.
• **Letter of Intent** – A letter of intent advises a funding agency that an application will be submitted in response to their solicitation. The letter may contain general program information, unofficial cost estimates, and a request for specific application guidelines, instructions and forms.

• **Limited Submission** – When a program limits the number or dollar value of proposals that each institution may submit.

**M**

• **Matching Funds** – A cash commitment to share the costs of a sponsored project. See also Cost Share.

• **MOA** – Memorandum of Agreement - The Memorandum of Agreement (MOA) is a standard document format and policy for the establishment of research agreements under which the Vice Chancellor for Research, Innovation and Economic Development has delegated authority to the Colleges to sign MOA agreements on behalf of the University in order to expedite the processing and handling of these agreements. An equally important purpose of this policy is to minimize, to the maximum extent possible, the review, administrative handling, and oversight of research agreements by the administrative offices of the University. The MOA should be used with Industry Partners as an enticement to do business with the University and to establish an ongoing relationship in which any follow-on-agreements would carry our full federally negotiated Facilities and Administrative (F&A) rate.

• **Modification** – Any change made to an existing sponsored agreement.

• **Modified Total Direct Costs (MTDC)** – The portion of direct costs on which the indirect costs are based, namely: salaries and wages, fringe benefits, materials and supplies, services, travel, and up to $25,000 on each subgrant and subcontract. Tuition, scholarship and fellowship costs, participant support costs, equipment (or fabricated equipment) greater than $5,000 are excluded from the basis of computing indirect costs.
• NASA – National Aeronautics and Space Administration

• NCDA – NC Department of Agriculture

• NCDHHS – NC Department of Health & Human Services

• NCDENR – NC Department of Environment and Natural Resources

• NCDOT – NC Department of transportation

• NCDPI – NC Department of Public Instruction

• NEH – National Endowment for the Humanities

• NGA – Notice of grant award

• NIH – National Institute of Health (*Also known as, Public Health Services-PHS*)

• **No-Cost Extension (NCE)** – Provides for an additional period of performance to accomplish project goals. May be handled internally in certain circumstances or sought externally from the sponsor.

• NOAA - National Oceanic and Atmospheric Administration

• **Notice of Intent (NOI)** – NC State’s electronic system that captures faculty and EPAs’ External Professional Activities for Pay

• NSA – National Security Agency

• NSF – National Science Foundation
Office of Management and Budget (Federal) – OMB, working cooperatively with Federal agencies and non-Federal parties, establishes government-wide grants management policies and guidelines through circulars and common rules. These policies are adopted by each grant-making agency and inserted into their Federal regulations. Their website is available here: http://www.whitehouse.gov/OMB/grants/index.html

ONR – Office of Naval Research

ORIED – Office of Research, Innovation and Economic Development. SPARCS is part of this division.

OSP – Office of Sponsored Programs

OTT – Office of Technology Transfer

OUC – Organizational Unit Code

Participant Support Costs – Participant support costs refer to costs paid to or on behalf of participants, trainees/fellows attending conferences, meetings, symposia, training activities and workshops. A participant must be an individual who is attending in the context of a "student." -Participant support costs may include transportation, per diem, stipends, supplies, conference fees, and other related costs (registration fees, books, instructional materials) for participants only. Honoraria and travel for speakers and receptions are not considered participant support costs.

- Employees of NC State, including Graduate Research Assistants (who are considered employees), may be considered a participant under the definition above, but should not be included under participant support cost in a proposal budget because they are a NC State employee. Their costs should be incorporated into other budget categories (i.e. travel).

- Participant support costs (non-employee participants) are exempt from indirect costs.
• **Patent** – A patent may be granted for a new, useful, and non-obvious invention and gives the patent holder an exclusive right to commercially exploit the invention for a certain period of time (typically 20 years from the filing date of a patent application).

• **Personal Services Contract** – A Personal Services Contract (PSC) is with an individual and that individual is usually considered a consultant. They are paid a specific rate to deliver and we own what they deliver.

• **PHS/NIH** – Public Health Service / National Institute of Health

• **PI** – Principal Investigator - typically, a faculty member who submitted a proposal that was accepted and funded by an external sponsor, also referred to as the project director. The PI has primary responsibility for technical compliance, completion of programmatic work, and fiscal stewardship of sponsor funds.

• **PINS (Project Information and Navigation System)** – An internal electronic system used to track proposal data and to verify approvals from all faculty and administrators involved in submitting a particular proposal. The use of the PINS system is a required part of the submission process for all proposals submitted by NC State faculty.

• **Pre-Proposal** – A patent may be granted for a new, useful, and non-obvious invention and gives the patent holder an exclusive right to commercially exploit the invention for a certain period of time (typically 20 years from the filing date of a patent application).

• **PS** – PeopleSoft Application

• **PMR** – Project Modification Request

• **Prime Award** – The initial award issued to the university
• **Project Modification (Prior Approval)** – The requirement for written documentation of permission to use project funds for purposes not in the approved budget, or to change aspects of the program from those originally planned and approved. Examples of actions requiring prior approval are: budget modifications, no-cost extensions, pre-award costs, subaward requests/modifications, and change in scope/objective of project, change in PI. Prior approval must be obtained before the performance of the act that requires such approval under the terms of the agreement.

• **Purchase Order** – A purchase order is a kind of agreement issued to enter into a legally binding commitment with an outside vendor for the acquisition of goods and services. Normally, a purchasing department is responsible for purchase orders, and for their negotiation or revision when necessary.

Q

• **Q&A** – Questions and Answers

R

• **RADAR (Research Administration Data and Reporting)** – An NC State system used for capturing proposal and award information.

• **REALLS or Redistributions** – Payroll Reallocations – moving costs to another university account.

• **Rebudgeting** – Process by which funds available for spending are reallocated between budget categories to allow best use of funds to accomplish project goals. *(Also known as Budget Modification)*

• **Request for Applications (RFA)** – Any resulting awards would normally be funded by a grant. The RFA instructions include the information necessary to complete the application and mailing instructions.

• **Request for Proposals (RFP)** – An RFP contains the detailed information that must be supplied in the proposal. The proposal procedure is often complex and must satisfy very specific requirements. Any resulting award(s) would normally be funded by a contract. See Invitation to Bid.
• RFQ – Request for Quotation

• ROC – Research Operations Council – Advisory Group to the Vice Chancellor for ORIED, composed of associate deans of research from each college and representatives from research administrative offices at university level.

• RSC – Research Support Council – Advisory Group of college research officers and representatives from research administrative offices at university level.

S

• Segment – A Segment is an additional Project ID setup for either of the following reasons:
  
  o To distribute award funds
  o To separate restricted funds
  o To account for specific award changes

• Service Center – (or Recharge Center) is a University unit/facility organized to provide goods and/or services to other University departments/units.

• Signature Authority Delegation – Part of the cutting edge efforts NC State has undertaken is to delegate signature authority to the most distributed level reasonable. This allows us to ensure that the review, approval and signature process on proposals and agreements is in fact far less bureaucratic and much more value-added. UNC office of the President has authorized individuals in each college. To see a list of Signature Authority Delegates go to the following website:
  http://www.ncsu.edu/sparcs/sops/signature_authority.php

• Site Visit – An agency-initiated review of a proposed project conducted at the applicant's institution.

• SL – Sub-Ledger

• Sole Source Acquisition – A procurement that does not provide full and open competition, but is effected because only one source is available.
• **SHRA Employee** – Employee who is subject to the State Personnel Act of NC.

• **Sponsor** – An external funding source which enters into an agreement with the university to support research, instruction, public service or other sponsored activities. Sponsors include private businesses, corporations, foundations and other not-for-profit organizations, other universities, and federal, state and local governments.

• **Sponsored Programs & Regulatory Compliance Services (SPARCS)** – Sponsored Programs & Regulatory Compliance Services (SPARCS) provides services to facilitate the submission of proposals, negotiation of agreements, and the administration of internally and externally funded projects. SPARCS also provides services involving sub-agreements supported by funding provided to North Carolina State University. All aspects of the externally sponsored research and scholarship enterprise, including the pre-award management and the non-fiscal post-award management, fall under the leadership of SPARCS personnel.

  o All administrative bodies at the university with responsibility to oversee grants and contracts or matters of regulatory compliance are responsible for seeking guidance from SPARCS to provide optimal stewardship of external funds, regulated research subjects and other matters. To facilitate this guidance, an Associate Vice Chancellor for Research Administration, who also serves as the Director of the office, leads SPARCS.

  o An Associate and an Assistant Director and a team of EPA professionals provide additional leadership. The directors and EPA professionals hold overall responsibility to negotiate and accept legal terms and conditions for conducting externally sponsored research, as well as for managing compliance with a myriad of federal and state regulations. External sponsors include federal, state, local governments and private enterprise. These sponsors provide funding via grants, cooperative agreements or contracts wherein deliverables are identified and progress reporting is expected.
The office enjoys a robust and close relationship with the development arm of the institution. Both entities foster excellent coordination in determining the best fit between opportunities and sponsorship. Additionally, SPARCS partners with the Office of Technology Transfer to ensure that NC State University remains in the best possible position to execute licensing agreements for intellectual property disclosed and ready for commercial application by our federal, state and industrial governments also maintains primary Regulatory Compliance responsibilities, including Human and Animal Subjects, Conflicts of Interest and commitment management, export controls, facility security matters, and research integrity.

Our goal is to provide stellar continuing education necessary to facilitate the understanding of these critical areas of compliance as we endeavor to reduce the overall regulatory burden on the institution's faculty and staff. This goal extends throughout the SPARCS' organization and is illustrated in its motto to Achieve.

- **Sub-award (formerly known as Subcontract)** – The subaward process is used when NC State passes through a portion of the sponsored award to another entity for the purpose of programmatic effort on the project or when NC State receives a portion of a sponsored award from another organization. All the terms and conditions that are part of the primary award must be included in the subaward document. Signature of acceptance of these terms by the receiving entity is required.

A budget that includes a subaward to another organization must include the following:

- a separate detailed budget signed by the subaward's authorized official
- a statement of work and/or letter of intent signed by the subaward's authorized official
- a budget justification
When NC State is the organization receiving the subaward, we process:

- a separate detailed budget and budget justification
- a statement of work
- a PINS record must be initiated and routed

T
- **T&Cs** – Terms and Conditions
- **TDC** – Total Direct Cost - the F&A costs are charged on ALL costs, no exclusions or exceptions.
- **TEARS** – The Employee Activity and Reporting System – NC State University is required by Federal Regulations (OMB Circular A-21) to maintain an Effort Reporting System which assures salaries and wages charged to sponsored research awards for a specific period accurately reflect the time devoted to the project.
- **Technology Transfer (TT)** – Technology transfer refers to the formal licensing of inventions, software, research tools, and other technologies developed within a university's research programs. The primary goal of technology transfer is to ensure that university's innovations are diligently developed into goods and services that are ultimately made available to the public.
- **TFFA** – Total Federal Funds Awarded
• **URC** – University Research Council – group of faculty appointed from each college, to develop policies and procedures for the administration of research, advise the Vice Chancellor for ORIED.

• **USAID** – US Agency for International Development

• **USDA** – US Department of Agriculture

• **USDC** – US Department of Commerce

• **USDI** – US Department of the Interior

• **USDOT** – US Department of Transportation

• **Vice Chancellor (VC)** – Person with highest authority over an administrative division at NC State University. For example: Finance and Business, Advancement, or Research, Innovation and Economic Development.

• **WRS** – Wolfpack Reporting System – C&G’s financial management system
University of North Carolina System Schools

ASU – Appalachian State University - Boone, NC
ECU – East Carolina University – Greenville, NC
ECSU – Elizabeth City State University – Elizabeth City, NC
FSU – Fayetteville State University – Fayetteville, NC
GA – UNC General Administration – Chapel Hill, NC
NCA&T – NC Agricultural & Technical State University - Greensboro, NC
NCCU – North Carolina Central University – Durham, NC
NCSSM – North Carolina School of Science and Mathematics – Durham, NC
NCSU – North Carolina State University – Raleigh, NC
UNC-A – UNC Asheville – Asheville, NC
UNC-C – UNC-Charlotte – Charlotte, NC
UNC-CH – UNC-Chapel Hill – Chapel Hill, NC
UNC-G – UNC-Greensboro – Greensboro, NC
UNC-P – UNC-Pembroke – Pembroke, NC
UNC-SA – UNC School of the Arts – Winston Salem, NC
UNC-W – UNC-Wilmington – Wilmington, NC
WCU – Western Carolina University – Cullowhee, NC
WSSU – Winston Salem State University – Winston-Salem, NC