Project Modification Request

9.2 Financial System

Campus Users Guide

Request Types & Timeframes

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:

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
How to gain access to PMR:

A SARs REQUEST IS NOT REQUIRED TO GAIN ACCESS TO PMR

- A Principal Investigator (PI) is granted access to PMR via a PI name feed from the RADAR system. The RADAR feed is a list containing PI names and associated roles (i.e., lead or Co-PI). This information is fed nightly. The PI name feed also provides access to the PI Portal, and other financial systems.

- A Department Bookkeeper, Contract Manager, or Grant Manager (i.e., GADM Role) will be granted access through a Grant Approver Table maintained by the Grant Business Officer. To gain access to PMR – contact your Grant Business Officer (formerly, CBO or CRO).

- To search for current department approvals, review the Grant Approver Table.

There are multiple ways to access to the Grant Approver Table:
1) Financial Systems Homepage > Grants Tile > Setup > Grant Approvers
2) Financial CO Systems Homepage > Grants Tile > Setup > Grant Approvers
3) Financial Security Tile > Grant Approvers

Once the Grant Approver Table opens, do the following:
- Enter the desired search criteria (i.e., OUC).
  - Enter a 2, 4 or 6 Digit OUC.
  - **Note:** If a 6 digit OUC is entered and it returns No results, enter the 4 Digit OUC for the unit. *This may mean during the initial setup of roles, your access was provided at a 4 digit level.*
• If you are a College Reviewer or Approver or have “designated” college level approvals (i.e., GBM Role) and need access to PMR – contact your Grant Business Officer (formerly, CBO or CRO).

• If you are a Department Head or Designee and need access to PMR – contact your Grant Business Officer (formerly, CBO or CRO).

• If you are the Grant Business Officer (GBO) or Designee and need access to PMR – Contact Allison Nelson via phone at 919-515-2153 or via email at cnghelpdesk@ncsu.edu.
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:
Listed below are the workflows by request type:

**BUDGET MODIFICATION – ROUTES TO C&G FOR FINAL APPROVAL**

<table>
<thead>
<tr>
<th>INITIATOR</th>
<th>APPROVAL ROUTING</th>
<th>FINAL APPROVAL EMAIL NOTIFICATION RECIPIENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI</td>
<td>GADM, GBM, GBO, C&amp;G</td>
<td>NOT APPLICABLE</td>
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<tr>
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<td>GBM, GBO, C&amp;G</td>
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</tr>
<tr>
<td>GBM</td>
<td>GBO, C&amp;G</td>
<td></td>
</tr>
<tr>
<td>GBO</td>
<td>C&amp;G</td>
<td></td>
</tr>
</tbody>
</table>

**CARRYOVER/CARRY FORWARD – ROUTES TO SPARCS FOR FINAL APPROVAL**

<table>
<thead>
<tr>
<th>INITIATOR</th>
<th>APPROVAL ROUTING</th>
<th>FINAL APPROVAL EMAIL NOTIFICATION RECIPIENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI</td>
<td>GADM, GBM, GBO, SPARCS</td>
<td>Initiator, All GBOs for Assigned Dept. ID, C&amp;G Fiscal Manager</td>
</tr>
<tr>
<td>GADM</td>
<td>GBM, GBO, SPARCS</td>
<td></td>
</tr>
<tr>
<td>GBM</td>
<td>GBO, SPARCS</td>
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</tr>
<tr>
<td>GBO</td>
<td>SPARCS</td>
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**CHANGE IN PI – ROUTES TO SPARCS FOR FINAL APPROVAL**

<table>
<thead>
<tr>
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<th>APPROVAL ROUTING</th>
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</thead>
<tbody>
<tr>
<td>PI</td>
<td>GADM, GBM, DH, GBO, SPARCS</td>
<td>Initiator, All GBOs for Assigned Dept. ID, C&amp;G Fiscal Manager</td>
</tr>
<tr>
<td>GADM</td>
<td>GBM, DH, GBO, SPARCS</td>
<td></td>
</tr>
<tr>
<td>GBM</td>
<td>DH, GBO, SPARCS</td>
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</tr>
<tr>
<td>GBO</td>
<td>SPARCS</td>
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**CHANGE IN SCOPE – ROUTES TO SPARCS FOR FINAL APPROVAL**

<table>
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</thead>
<tbody>
<tr>
<td>PI</td>
<td>GADM, GBM, GBO, SPARCS</td>
<td>Initiator, All GBOs for Assigned Dept. ID, C&amp;G Fiscal Manager</td>
</tr>
<tr>
<td>GADM</td>
<td>GBM, GBO, SPARCS</td>
<td></td>
</tr>
<tr>
<td>GBM</td>
<td>GBO, SPARCS</td>
<td></td>
</tr>
<tr>
<td>GBO</td>
<td>SPARCS</td>
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### EQUIPMENT ACQUISITION – ROUTES TO C&G FOR FINAL APPROVAL

<table>
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<tr>
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<th>FINAL APPROVAL EMAIL NOTIFICATION RECIPIENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>PI</td>
<td>GADM  GBM  DH  GBO  C&amp;G</td>
<td>✓ Initiator  ✓ All GBOs for Assigned Dept. ID</td>
</tr>
<tr>
<td>GADM</td>
<td>GBM  DH  GBO  C&amp;G</td>
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</tr>
<tr>
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<td>DH  GBO  C&amp;G</td>
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<tr>
<td>GBO</td>
<td>C&amp;G</td>
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### FABRICATED EQUIPMENT – ROUTES TO C&G FOR FINAL APPROVAL

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</thead>
<tbody>
<tr>
<td>PI</td>
<td>GADM  GBM  GBO  C&amp;G</td>
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</tr>
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<td>GADM</td>
<td>GBM  GBO  C&amp;G</td>
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</tr>
<tr>
<td>GBM</td>
<td>GBO  C&amp;G</td>
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</tr>
<tr>
<td>GBO</td>
<td>C&amp;G</td>
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</tbody>
</table>

### NO COST EXTENSION (1st/2nd Request) – ROUTES TO SPARCS FOR FINAL APPROVAL

<table>
<thead>
<tr>
<th>INITIATOR</th>
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</tr>
</thead>
<tbody>
<tr>
<td>PI</td>
<td>GADM  GBM  GBO  SPARCS</td>
<td>✓ Initiator  ✓ All GBOs for Assigned Dept. ID  ✓ C&amp;G Fiscal Manager</td>
</tr>
<tr>
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<td>GBM  GBO  SPARCS</td>
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</tr>
<tr>
<td>GBM</td>
<td>GBO  SPARCS</td>
<td></td>
</tr>
<tr>
<td>GBO</td>
<td>SPARCS</td>
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</table>

### PREAWARD COST (<=90/>90 DAYS) – ROUTES TO SPARCS FOR FINAL APPROVAL

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<td>PI</td>
<td>GADM  GBM  GBO  SPARCS</td>
<td>✓ Initiator  ✓ All GBOs for Assigned Dept. ID  ✓ C&amp;G Fiscal Manager</td>
</tr>
<tr>
<td>GADM</td>
<td>GBM  GBO  SPARCS</td>
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</tr>
<tr>
<td>GBM</td>
<td>GBO  SPARCS</td>
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</tr>
<tr>
<td>GBO</td>
<td>SPARCS</td>
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### SUBAWARD MODIFICATION – ROUTES TO SPARCS FOR FINAL APPROVAL

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<td>GADM</td>
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</tr>
<tr>
<td>GADM</td>
<td>GBM</td>
<td></td>
</tr>
<tr>
<td>GBM</td>
<td>GBO</td>
<td></td>
</tr>
<tr>
<td>GBO</td>
<td>SPARCS</td>
<td></td>
</tr>
</tbody>
</table>

- Initiator
- All GBOs for Assigned Dept. ID
- C&G Fiscal Manager

### OTHER – ROUTES TO C&G FOR FINAL APPROVAL

<table>
<thead>
<tr>
<th>INITIATOR</th>
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<tr>
<td>PI</td>
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</tr>
<tr>
<td>GADM</td>
<td>GBM</td>
<td></td>
</tr>
<tr>
<td>GBM</td>
<td>GBO</td>
<td></td>
</tr>
<tr>
<td>GBO</td>
<td>C&amp;G</td>
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</tbody>
</table>

- Not applicable

### TRAVEL (DOMESTIC / FOREIGN) – ROUTES TO C&G FOR FINAL APPROVAL

<table>
<thead>
<tr>
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<tr>
<td>PI</td>
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<tr>
<td>GADM</td>
<td>GBM</td>
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<tr>
<td>GBM</td>
<td>GBO</td>
<td></td>
</tr>
<tr>
<td>GBO</td>
<td>C&amp;G</td>
<td></td>
</tr>
</tbody>
</table>

- Initiator
- All GBOs for Assigned Dept. ID
General PMR Processing Notes

Project Modification Requests requiring C&G approval will “generally” be processed in the PMR system within five (5) business days of receipt of the request.

Project Modification Requests requiring SPARCS approval will “generally” be processed within the PMR system within seven (7) business days of receipt of the request.

Note: The extended processing time in SPARCS is to account for the processing of any requests originally sent directly to C&G that also require additional processing by SPARCS.

If a request is denied and resubmitted, the processing timeframe clock will begin again. The clock will begin when the request is routed back to the appropriate Central Office (i.e., C&G or SPARCS).

Follow-up Process for PMR

The follow-up process for Project Modification requests submitted to the sponsor for approval will be as follows:

- Initial follow-up should occur 30 calendar days after the date the request is submitted to the sponsoring agency
  - Follow-up will include sending an email to the appropriate agency Program or Granting Officer.
  - Notes or a summary of the conversation(s) with the sponsoring agency will be added to the Comments Tab.
    - The actions necessary to obtain agency approval will be handled by the appropriate Central Office (i.e., C&G, or SPARCS).

- Secondary follow-up should occur 10 business days from the initial follow-up.
  - Follow-up will include contacting the appropriate agency Program or Granting Officer by phone.
  - Notes or a summary of the conversation(s) with the sponsoring agency will be added to the Comments Tab.
The actions necessary to obtain agency approval will be handled by the appropriate Central Office (i.e., C&G, or SPARCS).

- Third follow-up should occur 5 *business* days from the *secondary follow-up*.
  - Follow-up will include notifying the Grant Business Officer of the agency’s unresponsiveness and request assistance.
  - Notes or a summary of the conversation(s) with the sponsoring agency will be added to the Comments Tab.

Note: The Grant Business Officer (GBO) may be copied on email correspondence, if additional information is needed by the sponsor.

**Multiple College Approvals:**

When a request is submitted that impacts multiple colleges, it is the responsibility of the GBO to ensure ALL necessary approvals have been obtained prior to submitting the request.

If the request being submitted impacts another PI’s project (i.e., Lead PI), the GBO for the college submitting the request MUST ensure approval is obtained from the Lead PI or designee (i.e., GBO) for the other college. This should be a written approval.

Written approval can be provided in one of the following two (2) ways:

1) Uploaded Document with the PI or Designees’ approval
2) Via the Adhoc process – Adhoc to the GBO
   a. It is the GBO’s responsibility to ensure the PI’s approval is received and maintained within their department files.

**Missing “Other” College Approvals:**

When a request is submitted by the Co-PI, approval is required from the Lead PI or college designee.

When a request is received without the necessary approvals, C&G staff will deny the request.
REQUEST SPECIFIC SECTION

PROJECT MODIFICATION APPROVALS:

Awards for sponsored projects are issued to the identified grantee or contractor via an award document; SPARCS/C&G is designated as the institutional representative to serve as the intermediary between the sponsor and the PI when implementing changes in the project that require institutional and/or sponsor approval (such as changes in the scope of work, senior personnel, budget, and other modifications of award terms and conditions). The user should initiate a PMR describing the desired change, with justification, and forward it to SPARCS/C&G for review and endorsement, if required.

Budget Modification

The Budget is the financial expression of the project or program as approved during the award process. It is not uncommon for a PI to determine that for efficient performance of the project, he/she must re-budget funds from one budget line or category to another.

Some sponsors have delegated this authority to the University to approve these type of changes or modifications.

Some sponsors require the University to formally submit a budget modification with an explanation of the need and the anticipated impact, if any, on the outcome or scope or purpose of the work.
The justification should describe how the proposed budget modification will affect the technical purpose or scope of the project, contain a brief explanation of why the proposed budget modification was not planned originally, and why other budgeted funds are now available for this purpose and the intended use of the funds.

A Budget Modification request may be submitted to realign the funds within specific budget categories. This type of modification may require agency approval.

A Budget Modification request may be submitted to move funds between Project Segments. Funds may only be moved to projects mapping to the Same Project Reference. The allowable list of projects can be found by clicking the magnifying glass.

When the magnifying glass is clicked, the approved list of projects will be displayed (i.e., projects mapping to same project reference).

The Grant Business Officer is responsible for ensuring Budget Modification requests are not submitted within the last month of the project, unless an extenuating circumstance exist.

Note: When the request is submitted within the last month of the project, the Grant Business Officer MUST provide written approval (via upload or comment) of the extenuating circumstance. An example of the required approval statement is: “I, Jane Doe, Grant Business Officer authorize the submission of this request due to …”
**Budget Worksheet Button**

- The Budget Worksheet is an additional resource that provides a financial snapshot of the project.
  - The worksheet information is as of the previous night
- The use of the worksheet is totally **optional**.
- The worksheet information will NOT print via the Print hyperlink.
- If the worksheet information is used to create the journal line, the worksheet information should be printed and kept in the file for future reference.

- Click **Budget Worksheet** button to retrieve financial snapshot of the selected **Project Segment** (i.e., Project ID selected for PMR Request).
- Click **Refresh Worksheet** button to reload financial snapshot information. This is essential if the information displayed was pulled prior to today. This will reload with information as of the previous night.
- The **Calculate Worksheet** button will calculate the Revised Budget based on (Current Budget) +/- (Requested Change).
  - The Budget Balance column = Current Budget – Expenditures. The Budget Balance Available DOES NOT include encumbrances.
  - The Budget Balance does not include expenditures from associated segments, or subcontracts.
Important items to remember:

- The Budget Modification request should NOT be used to circumvent current procedures as it relates to Participant Support Cost (PSC), Research Experience for Undergraduates (REUs), or special / restricted funding.
- Information entered within the worksheet will NOT automatically transfer to the journal.
- Information entered within the journal will NOT automatically transfer to the worksheet.
- The worksheet will display a financial snapshot of the Project ID.

Budget Correction:

A Budget Correction may be needed if the original budget is loaded incorrectly due to a misinterpretation of the budget categories based on the agency approved budget or due to a keying error.

A Budget Modification request requesting a correction to the budget may be submitted within the first 90 days from the date the Project ID is set-up. This type of request may be submitted in two ways:

1) Through the PMR system as a Budget Modification Request.

   *The Justification MUST indicate the request is a Budget Correction.*

2) By email to the Fiscal Manager.

   *The email must indicate the specific change necessary to correct the budget categories.*

All requests submitted 91+ days after the date the Project ID is set-up will be subject to the general rules for the processing a Budget Modification Request.

   *All correction requests are subject to a final review of the agency approved budget and approval by C&G.*
Adhoc Rules for Budget Modification Request:

When a Budget Modification request is entered that will impact project(s) within another college, it is the responsibility of the Initiator, Departmental Approvers, and Grant Business Officer to ensure the necessary approvals are obtained from the other college.

If the approval is obtained prior to submitting the request, the written approval must be uploaded to the request.

If the necessary approvals have not been obtained, the Initiator must ensure the other college’s GBO is inserted as an Adhoc Approver or Reviewer.

**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 when submitted will route directly to the GBO. Therefore, the initiator will not be able to insert the other college GBO prior to their GBO. This means the other college’s GBO approval must be obtained outside of the PMR system (*i.e.*, via email).

If the initiator’s request needs to route for an additional approval prior to their GBO, the initiator will be able to insert the other college’s GBO prior to their GBO. *This is contingent upon the workflow and position of the desired additional approval.*

**Note - For REU and PSC Transfers:**

- A Budget Modification request should ONLY be used to transfer remaining funds from an REU (Research Experience for Undergraduates) or PSC (Participant Support Cost) Segment back to the Prime, **AFTER sponsor approval is obtained.**

- An “Other” PMR should be used to request **sponsor approval to transfer** remaining funds from an REU or PSC Segment back to the Prime.
ACCOUNT CODE LISTING

BUDGET BY “SUMMARY” ACCOUNT STRUCTURE – CALS, COS, CVM, COD, CNR, AND RESEARCH & GRAD STUDIES

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>1000</td>
<td>Salaries</td>
</tr>
<tr>
<td>1800</td>
<td>Fringe</td>
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<tr>
<td>1990</td>
<td>Contracted Services</td>
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<tr>
<td>2000</td>
<td>Supplies</td>
</tr>
<tr>
<td>3000</td>
<td>Current Services</td>
</tr>
<tr>
<td>3100</td>
<td>Domestic Travel</td>
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<tr>
<td>3130</td>
<td>Foreign Travel</td>
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<tr>
<td>4000</td>
<td>Fixed Costs</td>
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<td>5000</td>
<td>Equipment</td>
</tr>
<tr>
<td>6000</td>
<td>Tuition</td>
</tr>
<tr>
<td>6980</td>
<td>Subawards</td>
</tr>
<tr>
<td>8960</td>
<td>Facilities &amp; Administrative Costs (Indirect)</td>
</tr>
</tbody>
</table>

BUDGET BY “DETAILED” ACCOUNT STRUCTURE – COE, COT, EDUC, AND CHASS

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>1112</td>
<td>Salary - Graduate Research Assistant</td>
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<tr>
<td>1116</td>
<td>Salary - Summer Faculty Support</td>
</tr>
<tr>
<td>1118</td>
<td>Salary - Release Time</td>
</tr>
<tr>
<td>1119</td>
<td>Salary - EPA Regular All Other - Post Doc</td>
</tr>
<tr>
<td>1219</td>
<td>Salary - SPA Regular Salary (Technician)</td>
</tr>
<tr>
<td>1410</td>
<td>Salary - Non-Student Regular Wage</td>
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<tr>
<td>1450</td>
<td>Salary - Student Regular Wage</td>
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<td>1899</td>
<td>Fringe Benefits</td>
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<td>Domestic Travel</td>
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<td>3130</td>
<td>Foreign Travel</td>
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<td>3999</td>
<td>Current Services</td>
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<tr>
<td>4999</td>
<td>Fixed Charges - Service centers w/ approved use rate charge in 4998</td>
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<tr>
<td>5999</td>
<td>Equipment</td>
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<tr>
<td>6575</td>
<td>Graduate Tuition</td>
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<td>6961</td>
<td>Undergraduate Tuition</td>
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<tr>
<td>6962</td>
<td>Stipends (No employment obligation)</td>
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<td>6980</td>
<td>Subawards</td>
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<td>Facilities &amp; Administrative Costs (Indirect)</td>
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<td>Budget Pool</td>
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<tr>
<td>CALS - College of Agriculture and Life Sciences</td>
<td>Holly Lipkovich</td>
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<tr>
<td>COD – College of Design</td>
<td>Cheri Lahti</td>
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<td>CoED – College of Education</td>
<td>Stephanie Jackson</td>
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<tr>
<td>COE - College of Engineering</td>
<td>Patrick Hayes</td>
</tr>
<tr>
<td>CHASS - College of Humanities &amp; Social Sciences</td>
<td>Missy Seate</td>
</tr>
<tr>
<td>COM – College of Management</td>
<td>Brian Thomas</td>
</tr>
<tr>
<td>CNR – College of Natural Resources</td>
<td>Rory Loycano</td>
</tr>
<tr>
<td>COS – College of Sciences</td>
<td>Meghan Kerr</td>
</tr>
<tr>
<td>COT – College of Textiles</td>
<td>Kina Morgan</td>
</tr>
<tr>
<td>CVM – College of Veterinary Medicine</td>
<td>Jeneal Leone</td>
</tr>
<tr>
<td>ISSC – Research Administration &amp; Other Groups</td>
<td>Ginny Moser</td>
</tr>
<tr>
<td>WRRI &amp; Sea Grant</td>
<td>Mary Beth Barrow</td>
</tr>
<tr>
<td>ITRE</td>
<td>Carrie Gage</td>
</tr>
<tr>
<td>SBTDC</td>
<td>Barbara Odom</td>
</tr>
<tr>
<td>Kenan Institute</td>
<td>Cordella Rashid</td>
</tr>
</tbody>
</table>
Carry Forward

Some sponsors restrict the amount of funds that may be automatically carried forward to the next budget period. If all funds are not spent by the end of a budget period, the PI may wish to use the unobligated balance or remaining funds in the next budget period. In such cases, the PI must request the carry-forward in writing, countersigned by SPARCS, and explain why there are funds remaining at the end of the budget period and how the funds will be used in the next budget period.

**Note**: Ensure you complete an Interim Closeout to determine the total expenses are captured on an invoice prior to the submission of Carry Forward request.
Change in PI or Key Personnel

Sponsors award funding with the expectation that the named investigator will be responsible for directing or overseeing the project. If the investigator’s involvement is reduced or is not available for any reason, immediate notification to the sponsor is required.

The University may request a change in PI on a grant for any of the following reasons:

- The PI transfers to industry or to another institution and is ineligible to continue the project.
- The university that the PI is transferring to is ineligible to receive funds.
- Untimely death, serious illness, or injury renders the PI unable to continue work on the project.
- Significant change in the PI ability to work on the project (i.e., major reduction in percent of effort, etc.)
- Change of circumstances that require the PI's continued absence from the university or project for more than 3 months (e.g., sabbatical or military leave).
- Other circumstances that, in the opinion of the University, necessitate a change in PI.

A detailed justification must be provided explaining how the change will affect the overall project, effective date of the change, purpose of the change and qualification of the New PI (CV/resume and Current/Pending Report).

These requests must also be approved by the Department Head prior to routing to the SPARCS Office for review and processing.
Change in Scope

Sponsors award funding with the concept that the proposed scope of work will be fulfilled with the approved funds.

In general, the Principal Investigator (PI) may make changes in the methodology, approach, or other aspects of the project objectives. However, the PI must obtain prior approval from sponsoring agency for changes in scope, direction, type of training, or other areas that constitute a significant change from the aims, objectives or purposes of the approved project. The PI must make the initial determination of the significance of a change and should consult with the Grant Business Officer, as necessary.

The PI or sponsor may request a formal change in scope, an explanation for the revised statement of work and budget, purpose of the change, any change in PI’s effort, and if supplemental funding will be needed.

Note: After a grant or contract has been awarded, the PI or sponsor may determine that the approved scope is not consistent with actual needs or direction the project.
“Equipment” refers to tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals $5,000 or more.

The purchase of capital equipment (equipment with a unit cost of $5000 or more) often requires prior approval by the sponsor if:

- the purchase of capital equipment was not included in the award budget, or
- the PI or PD wishes to purchase a piece of capital equipment different from that included in the award budget

Provide a generalized specification (cost, description) and justify the need for the equipment in relationship to the statement of work (why do you need the equipment).

**NOTE:** Equipment should not be purchased within the last 3 months of the project.

These requests must also be approved by the Department Head prior to routing to the Office of Contracts & Grants for review and processing.

Departments need to ensure the equipment does not currently exist on campus. The Department Head is financially responsible for the cost of equipment if the request is denied.
Fabricated Equipment

Fabricated equipment is defined as an item of equipment that is built or assembled in its original form from individual parts by a PI and/or other sponsored project personnel, an internal shop, or an external entity.

If a fabricated equipment item will have an aggregate cost of less than $5,000, the individual costs for all acquisitions are subject to the relevant F&A rate. If you initially anticipate that the total fabrication will cost more than $5,000 and as such exempt the individual components from F&A; however, if the final product cost is less than $5,000 then all component costs will then be subject to F&A.

An instance where components are simply connected together in a system, such as when individual computers and servers are joined to create a network, does not constitute a fabrication.

**Remember:** If ownership of the final product is to transfer to the sponsor, the F&A rate applies to the individual fabrication components.

For fabricated equipment, be prepared to give the following:
- Sponsor and award type (grant/contract)
- Time frame for completing fabrication
- Estimate dollar amount
- Whether the item is a deliverable or not
- Components and individual costs
- Specs and Schematics
**Fabrications Notes:**

1) Request to code for Fabrication must be processed by C&G

2) If coded for fabrication, items under $5,000 can post to 55xxx, as long as they are not listed below as a “Never Capitalizable” item, and they are used in the final fabrication. Spare parts and repair parts cannot be included and would have to be moved back to the supply line.

3) Items simply wired together do not count as a Fabrication and will be reviewed individually.

4) Departments must notify the Asset Management Department upon completion of a Fabrication, with a full listing of all charges included in the final fabrication for a final review, approval, and capitalization (if warranted) of the fabrication into Asset Management.

**Never Capitalizable:**

1) Supplies, consumables, replacement/repair parts
2) Modular workstations and cubicle offices.
3) Warranties
4) Maintenance Contracts
5) Subscription Services
6) Professional Services (Not Installation, Training, or Shipping/Freight)

When a Fabricated Equipment request is approved and the Approval Email generated, it is the Fiscal Manager’s responsibility to update the **Inventory Indicator** attribute. The Fiscal Manager will change the attribute based on whether an inventory is required.

![Equipment Information](image)

The **Equipment Code** is shown in the header section of the WRS Report P1. Contact the assigned Fiscal Manager if the code is incorrect or missing.
Primary Criteria for Capitalization:
Per Asset Management Guidelines

Must qualify under each of the following criteria:

1) Cost Threshold
   o $5,000.00 for a single piece of equipment (1 Computer, 1 Car, 1 RL Recorder)
     ▪ Include additional cost for Shipping/Freight, Installation, & Training
   o $100,000 for a single Software License

2) Life Expectancy
   1) 2 or more years of life (i.e., subscriptions, rentals, leases for less than 1 year – not capital)

3) Physical Makeup of item
   1) Singular Piece of Functional Equipment/Software
      • Computers, Monitors, Keyboards, Printers are all separate items
   2) C&G Approved Fabrication
      • When parts are purchased in order to build a single piece of equipment.
        Ex. Capital Fabrication – Buy tires, an engine, a frame, some axles, etc. to build a car (the pieces used in the final car would be allowed to be capitalized as a Fabrication)
      • Ex. Non-Capital Fabrication – Buy three computers and a router, which are then wired together (This is not a Fabrication)
While sponsors expect Principal Investigators (PIs) to complete projects by the stipulated end date, occasionally extra time is needed. A no-cost extension gives the PI extra time to complete the scope and objectives of the project without additional funds being provided by the sponsor. Although request may not be made for the sole purpose of spending remaining funds, you may expend remaining funds during the no-cost extension period. In the event your request is not approved, costs incurred after the end date would not be allowable.

The justification for the request must include information regarding the current project end date to the expected new end date, the amount of additional time requested, and the reason for the request. You should explain the scientific need for the extension, reason for the delay and what remains to be completed.

When requesting a NCE, sponsor’s terms and conditions must be adhered. This may require additional forms, budget or justification.

**Note:** In some rare instances, a sponsors may consider a NCE to be the extension of the Project Period only. They do not allow for the extension of the budget date, thus restricting the time allowed for payments.

When a request is submitted for a project with a Subcontract budgeted within the Prime, the NCE request will apply to that Prime/Parent only. It will not extend the Subcontract. To extend the Subcontract, a Subaward (Modify) request must be submitted.

**Note:** The SPARCS Office will be responsible to entering the NCE information into the agency databases which include but are not limited to NASA, eRA Commons, research.gov, Grants Online, Grant Solutions.
Pre-Award Cost

Most federal sponsors allow grantee institutions to incur pre-award costs up to 90 days prior to the start date of a grant award.

If pre-award costs are not approved in the signed agreement, then agency approval is needed. The pre-award costs must be for the effective and economical conduct of the project, and allowable on the project.

The request should contain the effective date of the request, a justification, and the total amount of pre-award cost and a description of the type of charges.

A Pre-Award account does not negate the need for a PMR for Pre-Award Cost. If the pre-award account has charges prior to the official start date, the college must review the award terms and take the appropriate action to correct.
Sub-recipients are entities that will contribute to the programmatic portion of the project. Their performance will be measured against whether the objectives of the project are being met. Sub-recipients **ARE** subject to project compliance.

In accordance with Uniform Guidance, SPARCS will perform a Risk Assessment prior to awarding new subcontracts.
As the recipient of an award for a sponsored research project, the University may award financial assistance to a sub-recipient to facilitate performance of and payment for specific work to be conducted by the sub-recipient in connection with the sponsored project. A subaward may be issued by the University as the recipient of a prime award or as the sub-recipient of another institution's prime award.

Therefore, sub-recipients must adhere to the University's awarded terms and conditions. Sub-recipients should provide a detailed budget similar to NCSU's budgeted categories (i.e. salary, fringe benefits, travel, equipment, materials & supplies, consultants, indirect costs, etc.). Please note – if there is a sponsor restriction on F&A, direct costs, etc. then our sub-recipients must also adhere to said restriction in their budgets.

Subcontract agreement must be approved by the sponsor and PMR must include the following:

• A current CV/Resume
• Statement of work
• Budget justification (new, supplemental or de-obligation)
• Budget/project dates must fall within the range of the direct sponsor.
• Final reporting and billing due 30 to 60 days prior to term date of direct sponsor.
• Letter of Intent
• Subaward Checklist

Termination of Subawards

Upon termination of any subaward issued from NCSU to another institution, all financial, technical, property, patent, and other required reports should be received from the sub-recipient along with a statement that it releases NCSU from all further claims under the subaward. The NCSU PI should indicate that the subaward was carried out in accordance with the work statement.
Travel

Domestic and foreign travel is a common activity that Principal Investigators (PIs) and research staff may engage in during the course of an award.

Sponsored travel must be justified, well documented, in compliance with the sponsor requirements, and must be incurred within the period of the award.

The traveler must have effort on the project. The travel charges related to the traveler must be paid or cost shared from the sponsored award.

Travel costs must be:

- **Allowable**: Travel must be allowed under the terms of the award.
- **Allocable**: The travel is necessary to fulfill the programmatic objectives of the award charged for the travel expense.
- **Reasonable**: The travel costs are reasonable and not excessive; examples of excessive include stays at luxury hotels, expensive restaurants, the use of limousines, etc.

Travel must specifically benefit the project.

- Travel must have prior written approval on file
- Travel must occur during the active budget period
- Funds must be available for the travel
- If not in approved budget, agency approval is required
- Is foreign travel being charged to a federal award? If yes, foreign travel must be in compliance with the Fly America Act.
Other

The “Other” PMR should only be used when the request you need to submit does not fit within one of the other ten (10) request type.

Listed below are some examples of the type of requests that should be submitted under “Other”:

✓ Change in the percentage of effort available by the PI to work on the project. This is change in percentage only and does NOT include a Change in PI.

✓ Change of circumstances that require the PI's continued absence from the university or project for more than 3 months (e.g., sabbatical or military leave).

✓ This does NOT include a Change in PI.

✓ De-obligation (Prime Award Only)

  o A sponsor or PI may decide at any time to decrease the level of funding for an active project for various reasons (early termination, stop work, cut in funding, etc.)
  o A detailed justification explaining the purpose, amount, change in scope, PI effort, and period change will need to be documented and approved

Note: Remember to consider any subawards that have been issued and if changes are needed based on type of de-obligation (funding, time, etc.). If so, Subaward Modify PMR is required.
✓ **Outgoing PI Transfer**
   - The initial step is to review the Standard Operating Procedure for PI Transfer in the SPARCS website.
     
   - When a faculty member transfers to another institution and has received permission from his/her department and college to transfer the project:
     - Notify all stakeholders (GBO, SPARCS, C&G FM, etc.)
     - Determine transfer amount and gather required documents (work completed, work to be completed, final progress reports, etc.)
     - **Note:** A certified closeout must be completed before transfer of the award can be approved.
   - Create PMR
     - Include a justification, effective date, where the PI is going, work completed, and work to be completed.

✓ **Early Termination**

If the department is requesting early termination, an “Other” PMR should be submitted.

In certain instances, a project may terminate prior to the original expiration date, due to:

   - PI leaving the institution and the project not being transferred or assigned a new PI
   - Loss of federal funds
   - Sponsor requesting termination
   - Sponsor sending a Stop Work Order or Notice of Suspension (See instructions in the Stop Work Order section)

Award agreements typically include a clause for how an early termination situation will be handled. Generally, such notices would be sent by the sponsor to SPARCS, who should contact the Grant Business Officer (GBO) immediately.
If the notice is sent directly to the PI, a copy should be forwarded to SPARCS immediately. SPARCS will work with the GBO to evaluate the notice and plan a formal response to the sponsor.

**Important:** In the event of early termination, all required reports, such as financial, technical, and patents, must still be provided to the sponsor.

**PMR Processing:**

- A PMR should be submitted with the dates for the termination, the unobligated balance, and a justification for the early termination.

- **“Go/No Go”**

  Under “Go/No Go” projects specific milestones must be accomplished and sponsor must approve to move forward to next stage of work. Work cannot continue until sponsor direction is provided to either stop work or close down project or proceed with the next phase of work. Generally, these awards are incrementally funded based on milestones.

- **Stop-Work Order**

  A Stop-Work Order is a formal notice to temporarily stop work on a contract. If not followed by an order to resume work, or continue to stop work on the project, the stop work order converts to a termination of the contract.

  (a) Stop-Work orders may be used, when appropriate, in any federally-funded fixed-price or cost-reimbursement supply, research and development, or service contract if work stoppage may be required for reasons such as advancement in the state-of-the-art, production or engineering breakthroughs, or realignment of programs.

  (b) Generally, a Stop-Work order will be issued only if it is advisable to suspend work pending a decision by the Government and a supplemental written agreement providing for the suspension is not feasible. Stop-Work orders shall not be used in place of a termination notice after a decision to terminate has been made.
(c) Stop-Work orders should include —

(1) A description of the work to be suspended;

(2) Instructions concerning the contractor’s issuance of further orders for materials or services;

(3) Guidance to the contractor on action to be taken on any sub awards; and

(4) Other suggestions to the contractor for minimizing costs.

(d) Promptly after issuing the Stop-Work order, the contracting officer should discuss the Stop-Work order with the contractor and modify the order, if necessary, in light of the discussion.

(e) As soon as feasible after a Stop-Work order is issued, but before its expiration, the contracting officer shall take appropriate action to do one of the following actions:

(1) Terminate the contract;

(2) Cancel the Stop-Work order (any cancellation of a Stop-Work order shall be subject to the same approvals as were required for its issuance); or

(3) Extend the period of the Stop-Work order if it is necessary and if the contractor agrees (any extension of the Stop-Work order shall be by a modification).

**PMR Processing**

- For a PI-initiated Stop-Work Order, a justification indicating the purpose for the request and official date to stop work are required.

- For agency imposed Stop-Work Order, a copy of the letter from the agency must be sent to sps@ncsu.edu to begin processing the Stop-Work Order.

- C&G will process the Stop-Work Order upon receipt of the Award Notice from SPARCS.
✓ Research Experiences for Undergraduates (REU) is awarded from a sponsoring agency for a specific student.
  o A change in personnel, and a realignment of budget categories should be processed as PMR Type Other.

✓ Participant Support Cost (PSC) requires written prior approval from the agency to reallocate funds provided for PSC.
  o A request should be processed as PMR Type Other.
  o Once approved, a PMR may be needed to transfer funds.

✓ New subawards not originally proposed.
  For new subawards not approved or included in the original agreement, a PMR should be processed for “Approval to Sub”.

**PMR Processing**

- A request should be processed as PMR Type Other.
  - Include the following documents in PMR:
    o Justification for new subaward.
    o Subaward documents - Statement of work, budget, and justification,
    o PI CVM and current and pending documents.
    o In comments section include a note that PMR is for “Approval to sub”
    o The PMR FM will Adhoc SPARCS for approval and processing
Internal Award vs Segment:

INTERNAL AWARDS:

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

- An Internal Award issued under delegated authority will have a RADAR # that is different from the Prime Award.

A Prime Award is identified as the initial award issued to the university. Once the Prime award is received at the University, the Internal Agency Representative will issue awards internally and/or externally based on the funds initially received from the sponsoring agency.

Note:
For an external award (i.e., outside of NCSU), the requests should be submitted as a Subaward New or Modification.
Internal Award Processing Notes

Internal Award – Internal Agency:
Project Modification Requests relating to awards issued by an “Internal Agency” MUST include a detailed justification explaining the type of modification required.

1) The C&G Fiscal Manager or PMR Approvers with the SPARCS Approval Role (i.e., “Triage Stage”) will review the request for completeness and accuracy.

2) Upon review of the request, the C&G Fiscal Manager or PMR Approvers with the SPARCS Approval Role (i.e., “Triage Stage”) will insert the Internal Agency Representative as an Adhoc Approver prior to approving the request.

Note: The Internal Agency Representatives are typically the GBO for the designated college.

3) Campus Users with “Delegated Authority” to act on the behalf of a Sponsoring Agency must next process and submit the request in RADAR. Processing involves Issuance of the Internal Award Notice.

- RADAR will generate an email to the GBO, sps@ncsu.edu and additional recipients entered.

4) The SPARCS Assistant Director of Operations will assign the request in RADAR for processing.

5) The Manager of Coordination of Centers & Institutes will upload and print necessary paperwork.

6) The SPARCS Compliance will perform a final Quality Control (QC) Review of the Award Paperwork.

7) The SPARCS Compliance will forward the Award Paperwork to C&G for processing.

8) Upon receipt of the Award Paperwork, the C&G Fiscal Manager will:
   - Print the PMR
   - Update the attribute information based on the new award or modification documentation
Reasons for requesting a Segment:

- A segment may be requested when a Project ID is needed for either of the following reasons:
  
  - To distribute or issue award funds
    - To separate NCSU Principal Investigator(s) funding
  
  - To separate restricted funds
    For Example: Participant Support Cost (PSC), Research Experience for Undergraduates (REUs), projects requiring the segregation of Next Year Funding, etc.
  
  - To account for specific award changes
    For Example: Change in F&A rate during the life of the project

Note: The RADAR # for the Internal Award “Segment” will be the same as the Prime Award Radar #.

How to request a Segment:

- AFTER the Internal Award Agreement has been approved and processed, submit a request via the Chartfield Request System.

For requests related to a Segment:

PMR Approvers with the SPARCS Approval Role will process the request in the following manner:

- SPARCS (SP) will review request for adherence to applicable guidelines
- The Processor, Negotiator and Sponsor approvals are not required
- SP will not generate an Award Notice
- SP will insert the C&G Fiscal Manager as an Adhoc Approver prior to approving request
  
  - The Fiscal Manager will process the request in the following manner:
    - Review request for completeness and accuracy
    - Approve or Deny PMR
    - Upon approval, print a copy of the request
      - PMR status should be “completed”
    - Update Attribute Information
Segment Modification Processing Notes

Segment Modification(s):
Project Modification Requests relating to an “Internal Agency Award” Segment modification MUST include a detailed justification explaining the type of modification required.

To process modification requests, approval is required from the Lead PI named on the Prime Award.

If the necessary approvals are obtained prior to submitting the request, the written approval must be uploaded to the request.

If the necessary approvals have not been obtained, the Initiator must ensure the GBO is inserted as an Adhoc Approver.

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

For example, if the initiator is the GBM, the request when submitted will route directly to the GBO. 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 needs to route for an additional approval, the initiator will be able to insert the name of the GBO from another college prior to their GBO. This is contingent upon the workflow setup and the position of the desired additional approval.
## The NCSU Internal Agency Representatives include but are not limited to:

**Internal Award – Agency**

<table>
<thead>
<tr>
<th>Center for Dielectrics &amp; Piezoelectrics (CDP)</th>
<th>Contact Name</th>
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</thead>
<tbody>
<tr>
<td>NCSU Sea Grant Program</td>
<td>Pat Hayes / Richard Duckworth</td>
</tr>
<tr>
<td>Laboratory for Analytic Sciences (LAS)</td>
<td>Mary Beth Barrow</td>
</tr>
<tr>
<td>NCSU Future Renewable Electric Energy Delivery &amp; Management Systems Center (FREEDM)</td>
<td>Ginny Moser / Gail Platt</td>
</tr>
<tr>
<td>NCSU NC Space Grant Consortium</td>
<td>Pat Hayes / Brenda Asbury</td>
</tr>
<tr>
<td>NCSU Research &amp; Innovation Seed Funding Program</td>
<td>Pat Hayes / Richard Duckworth</td>
</tr>
<tr>
<td>NCSU Advanced Self Powered Systems of Sensors and Technologies (ASSIST)</td>
<td>Pat Hayes / Brenda Asbury</td>
</tr>
<tr>
<td>NCSU Water Resources Research Institute (WRRI)</td>
<td>Mary Beth Barrow</td>
</tr>
<tr>
<td>NCSU Industrial Extension Service (IES)</td>
<td>Pat Hayes / Richard Duckworth</td>
</tr>
<tr>
<td>NCSU Professional Science Master</td>
<td>Stefanie Saunders</td>
</tr>
<tr>
<td>Center for Integration of Composites into Infrastructure (CICI) – NCSU Research Site</td>
<td>Pat Hayes / Richard Duckworth</td>
</tr>
<tr>
<td>Southern Forest Resource Assessment Consortium (SOFAC)</td>
<td>Rory Loycano</td>
</tr>
<tr>
<td>NCSU Nonwovens Cooperative Research Center</td>
<td>Larisa Slark / Kina Morgan</td>
</tr>
<tr>
<td>NCSU Center for Engineering Applications of Radioisotopes (CEAR)</td>
<td>Larisa Slark</td>
</tr>
<tr>
<td>NCSU Center for Innovation Management Studies</td>
<td>Brian Thomas</td>
</tr>
<tr>
<td>NCSU Precision Engineering Center</td>
<td>Larisa Slark</td>
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Where to get help

Help Processing a Request: (i.e., Help not related to system access)

• How do I enter a request and what is required?
  o Contact your College Grant Business Officer for assistance

• If you have submitted a request and need to check the status of the approval
  o Review the approval and processing comments within the PMR
  o For additional assistance, contact your college Grant Business Officer
  o Contact appropriate Central Office for assistance (i.e., C&G or SPARCS)

• If you have access to PMR but need other assistance with how to process a request, listed below are your contacts in order of priority.

  1) Departmental Representative

  2) College Grant Business Officer

  3) For C&G Requests:
     a. C&G Fiscal Manager assigned to Project
     b. C&G PMR Help Desk Email – cnghelpdesk@ncsu.edu
     c. C&G PMR Help Desk Phone – 919-513-7954

  4) For SPARCS Requests:
     a. Send email to sps@ncsu.edu
Help with system or access issues:

**USERS ARE NOT REQUIRED TO SUBMIT A SAR REQUEST TO GAIN ACCESS**

- If you are Department Bookkeeper, Contract Manager, or Grant Manager (i.e., GADM Role) and do not have access to PMR – **contact your Grant Business Officer (formerly, CBO or CRO)**

- If you are a College Reviewer or Approver or have designated college approvals (i.e., GBM Role) and do not have access to PMR – **contact your Grant Business Officer (formerly, CBO or CRO)**

- If you are a Department Head or Designee and do not have access to PMR – **contact your Grant Business Officer (formerly, CBO or CRO)**

- If you are the Grant Business Officer (GBO) or Designee and do not have access to PMR – **Contact Allison Nelson via phone at 919-515-2153 or via email at cnghelpdesk@ncsu.edu.**

- General System access issues – **Contact Allison Nelson via phone at 919-515-2153 or via email at cnghelpdesk@ncsu.edu.**