College of Agriculture and Life Sciences (CALS) Business Operations

Project Modification Request
Standard Operating Procedures

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CBO-C&G-401	**Project Modification Request**
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Effective Date:	**09/04/2018** **Last Revision Date:**

1. PURPOSE

1.1. This SOP describes the process Principal Investigator undergoes when requesting a modification for a sponsored project, or Project Modification Request (PMR).

1. The University has policies which allow CALS CBO departments/units to make updates or modifications on a sponsored project to ensure the project information is up-to-date.

2. The PMR System was created to simplify the modification request and provide transparency during the life of the request so that all individuals involved are up-to-date on the progress of the request.

2. CBO GUIDELINES

2.1. The Project Modification Request System is required for the following types of C&G Project requests: Budget Modification 7.1.1, Carry Forward 7.1.2, Change in PI/ Key Personnel 7.1.3, Change in Scope 7.1.4, Domestic & Foreign Travel 7.1.4.b), Equipment Acquisition 7.1.5.b), Fabricated Equipment 7.1.7, No Cost Extension 7.1.8, Pre-Award Cost 7.1.9, and Subaward 7.1.10. All SOPs are subject to Federal, Sponsor, and University restrictions.

3. ASSOCIATED SYSTEMS/FORMS

3.1. Systems

1. Wolfpack Reporting System (WRS)- PI Portal
2. MyPack Portal- Financial System (PMR System)
3. RADAR

3.2. Forms

1. Petition to Delay Close-Out (CALS) Form: This form should be completed when a sponsored programs project is scheduled to end, but the sponsor has communicated an intent to continue support for the work and add funds to the project.
2. NCSU Subaward Process and Forms: Used for the issuance of subaward agreements to outside entities.
3. Sponsor specific forms, noted in the award terms and conditions.

4. ROLES AND RESPONSIBILITIES

Relevant Parties	Roles and Responsibilities
Department	
Department Head	For certain types of PMRs, the Department Head is responsible for approving the request before routing to SPARCS/University C&G.
Department Administrator	If the PI has inputted the PMR, the PI's Department Administrator is responsible for approving during the routing process and reviewing departmental information.
Principal Investigator (PI)	Responsible for contacting the PAC to input the PMR and providing required information (can also input the PMR themselves).
CALS CBO	
Director of Research Administration	Responsible for signing the Petition to Delay Close Out to ensure a no cost extension account remains active pending approval.
Senior Post Award Consultant	Responsible for reviewing PMRs inputted by the PAC.
Post Award Consultant (PAC)	If inputting the request, the PAC is responsible for obtaining the information and PI approval for the request. If not inputting, the PAC is responsible for ensuring all information is inputted accurately and is relevant to the type of PMR, before routing to University C&G.
University	
University Contracts and Grants (C&G)	Responsible for final review and approval of the PMR.
Sponsored Programs And Regulatory Compliance Services (SPARCS)	Responsible for final review and approval of the PMR.
External	
Sponsors	Responsible for providing clarification and/or approval (via email), if applicable, for PMRs.

5. PROCEDURE
5.1. **Project Modification Request**
1. A PMR is inputted by accessing the PMR system and selecting the correct request type (see Appendix for full list).

a) If the PI is not the inputter, they will gain access to the PMR request once it is inputted.

2. Once the PMR has been inputted, depending on the request, the applicable information will be submitted and added to the form.

   a) If the PI is not the inputter, this information is provided to the PAC along with the PI's approval.

3. After the PMR is completed and the appropriate attachments are uploaded, the system will route the PMR to the Department Administrator to review any relevant departmental information and approve the request.

   a) If the PI is not the inputter, then the Department Administrator will not be a part of the routing; instead it will route from the PAC to Senior Post Award Consultant to University C&G and SPARCS.

4. After the Department Administrator has reviewed and approved the request, the system will route the PMR to the PAC for review and approval.

   a) If the PI is not the inputter, the system will route the PMR to the Senior Post Award Consultant for review and approval.

5. The reviewer will ensure the appropriate request was selected for the proper modification, all information is accurate, classification is set as rush (if applicable), appropriate documents are attached, and accurate justification was given.

   a) The four rush criteria are:
   - Impending "agency imposed" deadline to submit request
   - Risk of loss of funding
   - Risk of loss of award
   - Risk of audit finding

6. Upon review, if there is an issue and/or item that needs to be corrected for the PMR, the reviewer will reach out to the inputter to obtain the missing information. (The PMR is not routed back, the communication occurs while the PMR is still routed to approver.)

7. Once received, the PMR is approved and routed to University C&G or SPARCS, depending upon which PMR type is selected for the request.

8. University C&G or SPARCS will follow up with the sponsor, if appropriate, and review/approve the PMR in the system.

9. Once the PMR has been approved, the system will generate a notification to alert the inputter, Senior Post Award Consultant, and CALS C&G Managers.

   a) If the PI is not the inputter, the Senior Post Award Consultant will notify the PAC to notify the PI and the Business POC of the approval of the PMR.

5.2. **Checking the PMR Status**

1. The status of the PMR can be checked by accessing the PMR system and searching by the PMR number or the ledger 5 project number.

2. Alternatively, the PI Portal has a PMR tab which will show the status of the PMR request.

6. REFERENCES

1. Abbreviations and Definitions- https://cals.ncsu.edu/intranet/cals-business-operations/abbreviations-and-definitions/
2. Create and Manage Outgoing Subawards- https://research.ncsu.edu/sparcs/awards/subawards/
3. Project Modification Request Manual- https://cng.ncsu.edu/systems/pmr/
4. PMR User Guide- https://drive.google.com/file/d/1Ye4ctO1ip_3VNcha0FyGilNocqjXmui9/view
5. PMR Budget Codes- https://cng.ncsu.edu/cng-docs/systems/account-code-listing.pdf
6. PMR Justification Checklist- https://cng.ncsu.edu/wp-content/uploads/2018/03/PMR-Justification-Checklist.pdf
7. CBO Internal Training PowerPoint - https://docs.google.com/presentation/d/11idDx0x9VkkX3E52kYTJjc2Prvtw7G6S5_3dppjAJRs/edit#slide=id.g25bbabcb6d_2_72

7. APPENDIX

7.1. **Types of PMR**

1. Budget Modification
   a) For any requests that adjust a budget, the requestor must work with the PAC to review the terms and conditions of the award and determine the next steps.
   b) The request must include a detailed budget showing the requested modification and a justification describing how the proposed budget modification will affect the technical purpose or scope of the project, 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.

2. Carrying Forward
   a) A carry forward PMR may be needed if all funds are not spent by the end of a budget period and the PI wishes to use the unobligated balance or remaining funds in the next budget period. In such cases, the PI must request the carry-forward PMR in writing, with a detailed budget, 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.
   b) SPARCS will then submit the request to the Sponsor for final approval.
   c) Once approved, SPARCS will approve/process the PMR.

3. Change in PI/Key Personnel
   a) A change in PI/key personnel PMR may be needed if the PI/key personnel assigned to the sponsored project reduces his/her involvement or is not available for any reason.
   b) Reasons for a change in PI/key personnel includes, but is not limited to, the PI assigned to the project 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.), or any 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).

c) The request must include a detailed justification explaining how the change will affect the overall project, effective date of the change, purpose of the change, Curriculum Vitae (CV) and current and pending support for the requested new PI/Key Personnel.

d) These requests must also be approved by the Department Head prior to routing to SPARCS for review and processing in the system.

- If per the terms and conditions, Sponsor approval is required, SPARCS will submit the request to the Sponsor for final approval.
- Once approved, SPARCS will approve/process the PMR.

4. Change in Scope

a) A change in scope PMR may be needed if the PI/key personnel makes changes in the methodology, approach, or other aspects of the project objectives.

b) The PI or sponsor may request a formal change in scope; this will include 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.

- If per the terms and conditions, Sponsor approval is required, SPARCS will submit the request to the Sponsor for final approval.
- Once approved, SPARCS will approve/process the PMR.

5. Domestic & Foreign Travel

a) A domestic and foreign travel PMR may be needed in cases that an investigator or any key personnel/students, with effort on the project, needs to travel during the course of an award.

- If the current budget does not include a budget line for travel, then it will need to be requested/approved by the sponsor.
- If the travel budgeted for will be changed from domestic to international (or vice versa), then approval will need to be requested/approved by the sponsor.
- For certain sponsors, even budgeted travel will require prior approval to confirm the travel specifics.

b) These requests should be in writing including an explanation for the travel and revised budget (if applicable), purpose of the trip, and other relevant information.

c) If per the terms and conditions, Sponsor approval is required, SPARCS will submit the request to the Sponsor for final approval.

d) Once approved, SPARCS will approve/process the PMR.

6. Equipment Acquisition

a) An equipment acquisition PMR may be needed if the investigator needs to purchase equipment related to the sponsored project.

b) The purchase of capital equipment (equipment with a unit cost of $5,000 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 needs to purchase a piece of capital equipment different from that included in the award budget.

c) Provide an itemized quote that includes equipment specification (cost, description) and justify the need for the equipment in relationship to the statement of work (why do you need the equipment).

- If unable to obtain multiple quotes for the specific type of equipment, then a sole source justification (explaining why you only went with a specific vendor) is required.

d) These requests must also be approved by the Department Head prior to routing to the University Contracts and Grants for review and processing.

e) If per the terms and conditions, Sponsor approval is required, SPARCS will submit the request to the Sponsor for final approval.

f) Once approved, SPARCS will approve/process the PMR.

7. Fabricated Equipment

a) A fabricated equipment PMR is required anytime there is fabricated equipment for the project. These requests should be in writing and countersigned by SPARCS. SPARCS will then submit the request to the Sponsor for final approval.

b) The request should contain the sponsor and award type (grant/contract), time frame for completing fabrication, estimated dollar amount, detail description of the components & their costs, an equipment sketch, whether the item is a deliverable or not and the overall purpose and use of the fabricated equipment.

8. No Cost Extension

a) A no cost extension PMR may be needed if the PI needs 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, the PI may expend remaining funds during the no cost extension period.

b) The request should contain information regarding the current project end date to the expected new end date, the amount of additional time requested, and the scientific justification for the request.

c) If per the terms and conditions, Sponsor approval is required, SPARCS will submit the request to the Sponsor for final approval.

d) Once approved, SPARCS will approve/process the PMR

e) Additionally, to keep the account active pending the approval of the requested no cost extension, the Petition to Delay Close Out is required to be completed and signed by

the PI, Department Head and Director of Research Administration.
- This allows for expenditures to continue past the current end date of the project.
- This form needs to be completed prior to the end of the project and in conjunction with the submission of the no cost extension request.

    f) In the event the request is not approved, costs incurred after the end date would not be allowable and would need to be removed from the grant.

9. Pre-Award Cost
    a) A pre-award cost PMR may be needed if the project has incurred charges prior to the official start date of the project. The pre-award costs must be for the effective and economical conduct of the project, and allowable on the project.
- This is required when applying salary prior to the start date of the project, before the salary distribution change is completed in the system.

    b) The request should contain the effective date of the request, a justification, and explanation of the type of change (payroll will require additional changes).
    c) If per the terms and conditions, Sponsor approval is required, SPARCS will submit the request to the Sponsor for final approval.
    d) Once approved, SPARCS will approve/process the PMR.

10. Subaward
    a) A subaward PMR may be needed in instances that the University awards 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.
    b) This PMR is utilized for both modifications and new subaward agreements.
    c) The PMR needs to include the supporting documentation to be included in the subaward agreement; including but not limited to budget, budget justification, specific terms and conditions/prime award, subaward proposal information/letter of intent, and if applicable, subaward PI/Key Personnel's CV and current and pending support.
- NCSU Subaward Process and Forms

    d) Please note that if the inclusion of the subaward would constitute a change in scope or requires prior approval per the Sponsor's terms and conditions, the Change in Scope PMR should be completed prior to the subaward PMR request.

8. REVISION LOG

Date	Version	Nature Of Change	Author
09/04/2018	Draft 1.0	Initial Document	