ORDM

Come Soon. Come Often.

Grants Development & Management Handbook

Office of Research Management and Development

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SECTION 1: GRANTS MANAGEMENT OVERVIEW

The Office of Research Development and Management (ORDM) provide specific assistance to faculty and staff with the management and administration of grants for the College of Education. Specifically, we:

- Assist with the electronic submission of grant proposals.
- Assist in the preparation of grant proposals, to include guidance and assistance in budget preparation and interpretation of funding agency or organization regulations and requirements.
- Assist with processes and compliance issues related to funding agency or organization regulations and standards, and monitors adherence to college administrative, fiscal and accounting policies, procedures and fiscal reporting related to grant proposals and funding.
- Meet regularly with Principal Investigators (PIs) to review and reconcile budget(s).
- In collaboration with the Principal Investigator and Grants & Contracts Administration (Central Office) prepare financial reports.
- Work with Grants & Contracts Administration to ensure that fund codes are acquired in a timely manner.
- Maintain current knowledge of grant funding policies, regulations, and procedures, disseminates and present information to staff; advises on the implementation of changes and on the impact of changes on funded operations.
- Monitor grant programs accounting, audits, and fiscal reporting. Perform internal control reviews, and assist with the development of internal control plans and internal accountability procedures.

SECTION 2: PRE-AWARD HIGHLIGHTS

2.1 Identify

Locate an appropriate funding opportunity, and print the announcement and/or guidelines. Send the ORDM a copy of the guidelines and/or announcement.

2.2 Notify

Complete ORDM "Advance Notice Proposal Information Form." This form ensures that the ORDM is aware of the PI's intentions to submit a grant proposal, and will also aid in entering an electron Internal Processing Form (eIPF) into the Niner Online Research Management (NORM) system.

2.3 NORM

All new proposals must be entered into NORM as an eIPF prior to submission of the grant proposal. The ORDM can assist with completing the NORM entry, but will require some basic information about the project. Completing and submitting the Advanced Notice Proposal Information Form will provide most of this information.

2.4 Budget Support

Please work with the ORDM in the development of the budget to ensure that funding requests are compliant with both institutional guidelines in terms of using the correct F&A and fringe benefit rates, as well as having the correct salary allocations. The ORDM will also ensure that agency guidelines are adhered in terms of budget item restrictions and/or cost limitations.

2.5 Obtain

Institutional Review Board (IRB) APPROVAL: Contact the IRB Office (Cat Runden) for necessary IRB approvals, or if you have questions as to whether your project will need IRB approval.

2.6 Formal Submission

Submit completed, approved project (including narrative, budget, and appendices) by the required internal deadline (a minimum of five days prior to submission deadline). If the proposal requires electronic submission (Grants.gov, E-Grants, Fastlane, etc.), allow even more time prior to the internal due date to complete the process of online submission and confirmation.

2.7 Receiving the Contract/Award

When a grant issues an award (or declination), official notification will be made via phone, letter, and/or email. Please forward a copy of the notification to ORDM. All fully executed award notifications will be kept on file in the ORDM. The office will begin the process to establish a fund for the award. ORDM will meet with the PI and Department Administrator to review the key elements of the funded project.

2.8 Institutional Eligibility

When a grant or subaward is awarded, it is awarded to the university, not to the individual. When seeking funding opportunities, make sure to choose opportunities that are open to public and/or state universities or colleges.

2.9 Individual Eligibility

Funding opportunities often require that the principal investigator has the skills, knowledge, and resources necessary to carry out the proposed research. This may mean that the principal

investigator has published extensively in the field, has had previous grants, and that the university has ample resources to support the research.

2.4 Contact with Program Officials

Principal investigators are encouraged to make contact with agency program managers. Communicating with program officers prior to writing a proposal makes for a more successful proposal and saves time in the long run. The researcher can obtain a better grasp of the agency's funding priorities as well as gauge the agency's level of interest for your particular research idea. It is invaluable to build a relationship with the program officer and generally, these individuals are pleased to be consulted and to assist in your proposal development.

Please note, foundations are not normally available for this pre-proposal consultation.

SECTION 3: POST-AWARD HIGHLIGHTS

3.1 Principal Investigator/Project Director Award Management Monthly Meetings

This meeting will take place shortly after a grant fund has been established by the Office of Grants & Contracts Administration (GCA). The purpose of the meeting is to provide an opportunity to review the project and respond to questions. Attendees should include the Principal Investigator, and the Administrative Support employee who will provide grant support to the project. The monthly meetings will serve to review the following:

1) Sponsor's approved budget
2) Terms and Conditions
3) Reporting requirements
4) Subcontract obligations
5) Personnel to be hired
6) Travel plans
7) No Cost Extension Requests
8) Budget Revision Requests
9) Fund balances

It may not be necessary to provide all services during all meetings, but the services will be available. Please note, this is not an all-inclusive listing; services will change.

3.2 Responsibility and Compliance

Grant awards are made to the University, not an individual Principal Investigator; therefore, the University assumes full legal responsibility for ensuring that all funds received through the awards are used for the purposes and intent outlined in the conditions of the contractual agreement and grant proposal. Grants and contracts carry administrative responsibilities involving strict accountability.

3.3 Principal Investigator/Project Director (PI/PD)

The PI/PD has administrative and technical responsibilities when managing a grant. It is the PI's/PD's responsibility to be cognizant of all award requirements and contract details, as well as the policies and procedures of the University. It is duty of the PI/PD to review and oversee the successful completion of the funded activities. The PI/PD will be responsible for communicating all programmatic, curricular, and budgetary issues for auditing purposes.

3.4 Time and Effort Certification

All effort, whether paid by grant or provided as match/cost share, must be verified and is auditable. The time and effort of personnel assigned to a sponsored project, whether compensated or not, must be certified by the employee and/or the Principal Investigator. The PI/PD will ensure that faculty working on a grant certifies the accuracy of this time (i.e. effort) according to the procedures established by the University. Levels of effort charged to the grant should be consistent with the proposed effort on the project. All effort (i.e. grant related activities; teaching activities) is to be certified in the effort reporting system for activities during the effort period. Total effort from all activities should be 100%.

The University certifies effort twice a year. Effort is expended during the academic period of August 16th – May 15th; and the summer period of May 16th – August 15th. The certifications will likely be released at the same time, but will cover two separate periods.

3.5 Salary Allocations

Academic Salary – The academic period usually covers the span of August 15 through May 15. Any work performed on a sponsored project during this period **must** be processed at a minimum of the equivalency of .1125 month of base salary for nine month faculty, or one month of calendar year support for twelve month faculty. Faculty should not work on a funded grant project during the academic period, and not charge the effort to the grant project.

Summer Salary – Federal Regulations (Uniform Guidance Section C:10) stipulates that summer work is for a period outside of the academic pay period, and must be for actual work performed on the sponsored project from which the funds are paid, and must be paid for work performed during the actual period stipulated. A faculty member cannot be paid from a sponsored project during the summer period for work that was done on a sponsored project during the academic period; nor can a faculty member be paid during the summer from a sponsored project for work that will be performed during the upcoming academic period.

UNC Charlotte's summer period usually covers the period of May 16 through August 15. Any work performed on a funded sponsored project during this period will be processed as summer pay. Nine month faculty is allowed three months of summer pay (3/9 of base salary) and eleven month faculty is allowed one month of summer salary (1/11 of base salary). Twelve month faculty is not allowed summer salary pay from a sponsored project. The faculty member's cumulative compensation is inclusive of all university activities during the summer (e.g. summer teaching, professional development, administrative stipends, sponsored activities, etc.).

The payment of summer salary from a sponsored project obligates the faculty member to provide the proposed percentage of effort on the sponsored project for the period for which compensation is paid.

3.5.A. Summer Salary Requests

During April of each year, faculty should begin thinking about the time they will spend on grant-related activities during the summer period (May 16-August 15). Once a determination has been made, faculty is to complete the *Faculty Summer Salary Request Form*, and submit it to the ORDM for grant compliance and financial review. The ORDM will work with departmental personnel to submit the summer salary requests via the University's Electronic Personnel Action Form (ePAF) system. Appendix A provides a copy of the summer salary request form.

University Policy 101.15 states faculty members can earn up to 3/9ths additional compensation from all sources paid through the University Payroll Office during the summer.

3.6 Hiring Employees or Students

Employees are anyone (including students) hired to work on grants administered by the College of Education as College employees. Hiring and all other actions relating to their employment must be coordinated by the Human Resources (or the Dean) and handled in the same manner as for other employees. Salaries and wages are determined by Human Resources (or the Dean) based on the job description, not by the amount in the approved budget.

3.7 Facilities & Administration (F&A) – Indirect Costs (IDC)

F&A charges are calculated based on the specifics of the grant budget approved by the funding source and are posted on a daily basis. The F&A costs are typically calculated as a percentage of a specific expense category. The PI is responsible for reviewing the F&A costs charged to the grant for accuracy.

University's current F&A rates for the period of 7/1/14 through 6/30/17:

Rate %	Location	Applicable to
51%	On-campus	Organized Research
26%	Off-campus	Organized Research
51.5%	On-campus	Instruction
35%	On-campus	Other Sponsored Activities
26%	Off-campus	Other Sponsored Activities

3.8 Grant Match (Cost Share)

Grant matches are handled in a one of two ways, depending on the final determination by the Office of Grants & Contracts Administration.

1) A separate fund number may be assigned for the cost share/grant match obligation. At the beginning of the grant period, a journal entry to move College funds into the grant matching fund will be executed. All applicable expenses must be charged directly to the grant match/cost share fund.

2) The College match will not have a separate fund number, but rather the match will come from other budgeted areas of the College. It is the responsibility of the PI to verify and document that the match has been fulfilled. The documentation should be reported to Grants & Contracts Administration to review and put in the grant file.

All university cost share, whether as in-kind or as real dollar commitment is subject to audit just as the grant funds are subject. Accurate records regarding all expenditures and commitment must be maintained and be made accessible to an auditor upon request.

Note: Grant proposals should not include a cost share/match commitment unless it is specifically required by the funding agency.

3.9 Monitoring Expenses and Managing the Grant

The PI is responsible for monitoring all expenses charged to the grant. The PI can also view fiscal year transactions and fiscal year financial reports at any point in time by signing into the University's financial system (Banner).

The PI should review grant expenditures with the ORDM on a monthly basis, to ensure all invoices, vouchers, and payroll charges have been properly charged to the grant. If an error is noticed, it can be corrected by submitting a Journal Voucher along with a Cost Transfer Justification Form to the Office of Grants & Contracts Administration. Cost transfers should be the exception, not the routine. If multiple cost transfers are submitted. Any grant budget overruns will be charged to the department's overhead fund.

3.10 Budget Revisions/Changes

The budget plan summarizes the financial aspects of the project or program. There are times when budget revisions will be necessary. In some instances, budget revisions/changes will require agency approval. On these occasions, the ORDM will prepare an external budget revision request, and will submit it to the Office of Grants & Contracts Administration who is responsible for requesting budget revisions from the sponsoring agency.

For budget revisions that fall under federal expanded authorities, the ORDM will submit an internal budget revision, that the Office of Grants & Contracts will approve and process. Budget revisions/changes may be necessary for items that were not included in the original proposed budget.

3.11 Program Income

Income/revenue generated by the recipient or subrecipient that was directly generated by an award supported activity, or that was earned only as a result of the award during the award period

is program income. "During the award period" is the time between the effective date and the ending date of the federal award.

3.11.A Use of Program Income – In the event that the federal agency does not specify in the regulations or the award notice how program income is to be used, the addition method (see below) is generally the default approach. Funds should be used to further eligible project or program objectives during the term of the award.

If the award is silent on the treatment of program income, the additive method is generally the default approach used for applying program income to research awards. Funds may be retained and used to further eligible project or program objectives during the term of the award.

i. Deduction Method – Program income shall be used for current costs unless the Federal agency authorizes otherwise. Program income shall be used to reduce the Federal agency and recipient contributions rather than to increase the funds committed to the project.
ii. Addition Method – When authorized, program income may be added to the funds committed to the award by the Federal agency and the recipient. The program income shall be used for the purposes and under the conditions of the Federal award.

Unless specified otherwise in the award, federal regulations require the University to expend program income funds before spending sponsor funds. Funds remaining in the project or program income account after the project has terminated will be returned to the sponsor.

3.12 Reporting

3.12.A Technical/Narrative - The PI/PD will be responsible for submitting the technical or narrative reports as required by the funding agency, as well as maintaining all appropriate documentation for the narrative. The PI/PD, in collaboration with the ORDM and the Office of Grants & Contracts Administration, will submit the financial reports. The ORDM will communicate financial reporting and close-out dates to the PI/PD.

3.12.B Financial - Various financial reports are required by the sponsoring agency. The PI/PD must not provide any financial information to a sponsor without verification by the Office of Grants & Contracts Administration. The ORDM will work with the PI and the central office to obtain the financial information required for the report, but ORDM will not provide the financial information, including budget/financial information required for technical reporting. Financial reports are submitted by the Office of Grants & Contracts Administration. The exception will be when budget projections for the use of carryover/unexpended funds are required by the agency. For this purpose, the ORDM will work with the PI/PD to prepare this budget information.

3.13 No-Cost Extensions

When conducting a project for a sponsor, it may become necessary to request additional time to complete the project. Some sponsoring agencies allow the grant termination date to be extended, if more time is needed. With a no-cost extension, additional time is granted but not additional funding. The principal investigator will need to provide a rationale for the request and the length

of time that will be needed. The fact that funds remain at the end of the grant is not sufficient justification or rationale for an extension. Many federal grants allow the University to authorize a no-cost extension, through expanded authorities. In all cases, such extensions must be requested well in advance of the approved termination date. Contact the ORDM to begin the process for requesting the extension.

As per UNC Charlotte Policy 50.9, a no-cost extension of up to 12 months can be requested to allow the PI additional time to complete the stated objectives of the project. Should a PI need this additional time to complete the work, a "No-Cost Extension Request" form must be completed. A copy of the form is available in Appendix B. The form can also be retrieved at http://research.uncc.edu/departments/grants-contracts-administration-gca/forms. Make sure to complete all fields in the form. Once completed, email to grants-contracts@uncc.edu . Your request should be submitted no less than 30 days prior to the project end date. Some agencies may request a spending plan on how the funds will be used during the no-cost extension period.

NOTE: Until a formal approval is received from the sponsor, the project end date will not be revised.

3.14 Pre-Award/Pre-Agreement Costs

Pre-award costs are those incurred prior to the effective date of an award. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the award. Pre-award costs are at the recipient's own risk. A funding agency's award notices should indicate if there are any pre-award cost restrictions.

3.15 Files Management and Archiving

The ORDM will ensure that all files are prepared for storage and/or archiving at the end of the grant cycle. Records should be able to be readily, reasonably, retrievable upon request by the funding agency for a period of not less than 3 years for most agencies. After three years, records will be destroyed in accordance with the Office of Grants and Contracts Administration.

SECTION 4: PRINCIPAL INVESTIGATOR RESPONSIBILITIES

4.1 Pre-award Responsibilities

- Develop the idea and knowing the literature.
- Write the proposal.
- Provide ORDM with the Request for Proposal or other agency guidelines.
- Complete and submit the Proposal Information Form. The form is now web-based and can be completed and submitted online. Click the following link for the form https://webforms.uncc.edu/edresearch/advance-notice-proposal-information-form. ORDM will use the information from the form to complete the eIPF in NORM. The Principal

Investigator will be notified to review and certify the eIPF. Complete instructions can be found in Section 7 – Preparing the Proposal Information Form. A copy of the form can be found in Appendix G.

- Complete the Financial Conflict of Interest online training offered in NORM (Research & Economic Development).

- Complete and submit the appropriate Human Subjects Research or Animal Research approval forms to the IRB or IACUC offices. It is advisable to start this process early. If IRB approval is not in place prior to funding, a University fund number will not be released which will delay spending on the project.

- Determine and obtain estimated cost of project staff, supplies, travel, and partnerships that are necessary to complete the project for budget development.

- Obtain the letters of support and/or commitment required as well as any authorizations to conduct the research at sites off campus.

- Deliver the proposal in the format required by the funding agency, and if submitting electronically, ensuring that the final documents get to ORDM in a timely fashion or per an agreed upon schedule.

4.2 Post-award Responsobilities

- Notify ORDM of all pending externally funded proposals, including proposals and incoming subawards to foundations, federal agencies, state agencies, corporations and other institutions.

- Manage the relationships with project officers and project partners (sub-recipients), when applicable.

- Prepare and submit required grant status and financial reports to the funding agency by due date.

- Ensure all spending meets award terms and is relevant and necessary to the project purpose, reasonable in amount, in compliance with laws, regulations, University policies and sponsor guidelines.

- Avoid over-expenditure of award funds, and promptly identifying an alternative source of funds for any inadvertent excess spending.

- Ensure that goods and services are received during the project period.

- Contact ORDM to obtain prior approval for expenditures such as pre-award spending, budget modification, equipment purchase, international travel, no-cost extension. Our

office will work with the Office of Grants & Contracts Administration (GCA) to process these requests.

- Certify (Maximus Reports) that expenditures made for personnel services are in direct proportion to the time and effort expended on sponsored awards. That means making sure academic and summer effort is charged to the grant fund during the appropriate periods.

- Understand and fulfill the contractual/agreement requirements.

- Keep ORDM informed of all externally funded research activities so that ORDM can accurately account for the funds received from outside sponsors and the commitments made by the university.

SECTION 5: DEPARTMENTAL ADMINISTRATIVE RESPONSIBILITIES

5.1 Transactional Processes

This section is specifically tailored for the Office Managers and Departmental Administrator. It will provide insight into how to complete purchases using grant funds. All expense transactions charged to grant funds (5xxxxx) should be approved by ORDM, via an Expense Approval Request Form (see Appendix C) prior to incurring the expense. Following are some highlights in completing various University requests, as it relates to grant funds. For the most part, the process for grant funds is similar to the process for non-grant funds, but there may be one or two additional steps that will be required.

Transaction Type	Process
Finance Transaction Request (FTR) Form	*Complete a Cost Transfer Justification Form (see Appendix D) when transferring an expense onto a grant fund (5xxxxx). *Enter the expense in SAM as an encumbrance. *Select/Enter an ORDM approver. *Complete the transaction according to University guidelines. Be sure to attach any supporting documentation, including a snapshot from Banner.
Electronic Travel Authorization (eTA) ***(Please review the Travel Guidelines in Section 5.5)***	*Complete the eTA according to University guidelines. *Attach supporting documentation for each expense (airfare, lodging, registration) *Enter the expense in SAM *Select/Enter an ORDM approver. *Once approval has been granted, move forward to make final arrangements. ***If using PCard for travel expenses, see PCard instructions.*** *Blanket TAs: When issuing a Blanket TA, attached a copy of all expected travel activities (meetings, workshops, etc), or a note explaining the travel activities. ORDM will only approve Blanket

	TAs for in-state travel. No Blanket TAs will be approved for out-of-state travel.
Travel Reimbursement (TR)	*If the reimbursement is less than or equal to the amount previously submitted on the TA, then ORDM does not need to approve the TR. Forward the TR to Travel & Complex Payments for processing. *If a Blanket TA is on file, ORDM does not need to approve the TR. *If the reimbursement is greater than the previously submitted TA, then ORDM will need to approve the TR. Forward to ORDM for approval. *Enter the revised amount in SAM.
Mileage and Parking Reimbursement	*Complete the paperwork according to University procedures. *Attach any supporting documentation. *Enter expense in SAM. *Forward to ORDM for approval.
ePAFs, NinerTalent, PD7s, etc. ***(See Appendix M for instructions on how to update NinerTalent)***	*ORDM will facilitate and inform departmental admin support of ePAF, NinerTalent, PD7s, etc. Notification will come in the form of a Grant Fund Action Form (GFAF) (See Appendix E). *Complete the transaction according to University procedures. *Enter the expense as an encumbrance in SAM *Route the personnel action to ORDM for approval.
eGAs	*Obtain confirmation from PI to hire a graduate assistant. *Complete an Expense Approval Request Form and submit to ORDM for approval. *Enter the expense in SAM as an encumbrance. *Once approved, complete the eGA in accordance to University guidelines. (NOTE: ORDM may also submit a Grant Fund Action Form for tuition and health insurance payments)
49er Mart	*Complete an Expense Approval Request Form and submit to ORDM for approval. Attach supporting documentation. *Enter the expense in SAM as an encumbrance. *Once the EAR Form has been approved, complete the transaction in 49er Mart according to the established University guidelines. (Please note there may be instances where the vendor is not in 49er Mart. If this is the case, please contact Purchasing for guidance.)
Purchasing Card (PCard)	*Complete an Expense Approval Request (EAR) Form for any expenses that will be charged to a PCard. *Enter the expense in SAM as an encumbrance. *Once the EAR Form has been approved, move forward with making the travel arrangements. *When the PCard is used to pay for travel-related expenses, and approval for the expense has already been granted via the EAR Form, then ORDM does not need to review/approve the eTA. *If there was no approval provided prior to using the PCard to pay

	for any expense, including, but not limited to travel, then the department will be responsible to cover the charge, if the expense is determined to be unallowable on the grant fund.
SEA	*Complete an EAR Form for student educational award transactions (tuition, stipends, health insurance). *Maintain detailed records of the students being provided educational awards. This information is no longer available in FRIGITD (Banner). *Enter the expense in SAM under account code 960550. *If adequate funding is not available in account code 960550, the award will not be processed.
SAM	*All expense transactions must be entered into SAM *No expense transaction will be approved if not entered into SAM
Budget Revisions	*ORDM will be responsible for all budget revisions pertaining to grant funds (5xxxxx).
Other	*Please forward any questions regarding an expense transaction that was charged to a grant fund (5xxxxx) to ORDM.

5.2 Award Setup in SAM

ORDM will take the lead in setting up grant awards in SAM. The SAM setup process includes adding the members (personnel), creating the project; creating the sponsor (if applicable); and entering the budget. This process will be finalized within three days of ORDM receiving notification from the Office of Grants & Contracts Administration of the new fund. Once setup is complete, we will notify the Department that the award has been entered into SAM.

5.3 Award Closeouts

The Office of Research Development and Management will work directly with the Department Admin in closing out grant awards. We will contact the Department to obtain and/or request information. Examples of requested information may include:

1) Confirmation that all expenses have posted to Banner
2) Confirmation that SAM (non-personnel entries) has been reconciled
3) Copies of all expense documents that have not cleared Banner
4) Request liquidation of any open commitments

5.4 Purchases

Prior approval must be obtained prior to incurring any costs. This includes educational supplies, books (special instructions for purchasing books will follow), computing devices (special instructions when purchasing computing devices will follow), travel-related expenses, etc. regardless of the purchasing mechanism being used (i.e. PCard, 49er Mart, DPR, etc.). When a purchase is needed, the Department must complete the Expense Approval Request Form (EAR). The completed form must also include a sufficient explanation for the expense, a description of

the expense, as well as all supporting documents. The support documents must show the cost of the item(s), and a description of the item.

EAR Forms will generally be approved within two (2) business days. Incomplete forms and packages will not be approved. Expenses not entered into SAM will also not be approved.

Purchasing Books, Journals, Periodicals, and Subscriptions

These items are normally treated as indirect costs, and should be paid from overhead funds (12xxxx). Specifically, general or reference texts, including dictionaries; manuals and books used only to assist in keeping up with a field of research; publications that provide a general benefit to research and/or teaching activities; and subscriptions to journals. The aforementioned items should specifically be charged to overhead funds, or use library copies.

In some special circumstances, books can be directly charged to a sponsored project. These instances are allowed on a case-by-case basis, and will require additionally information before approval is made. The following questions must be addressed when making any book, journal, periodical, or subscription purchases:

1) What role will the book, journal, periodical, or subscription play in meeting the objectives of the research project?
2) Is the book, journal, periodical, or subscription available at the library?
3) If the item is available at the library, provide an explanation detailing why it is still necessary to purchase the book.

Purchasing Computing Devices

It may become necessary to purchase a computing device using grant funds. To ensure the University is in compliance with the Uniform Guidance, the cost of the item must be appropriately allocated to all funding sources that will benefit from the usage of the device. Only in rear occasions can the total cost of a computing device be charged to only one grant fund.

5.5 Travel Guidelines for Externally Funded Projects

Travel in support of an externally funded project (5xxxxx funds) must be necessary for the accomplishment of the project. It is the responsibility of the Office of Research Development and Management (ORDM) to provide review and approval of travel requests, and to maintain strict adherence to any applicable state, federal or sponsor requirements. When specific travel guidelines are included in the terms of a contract or grant, the provisions of that contract or grant will govern reimbursement. In cases where the sponsor is silent on travel requirements, ORDM will apply federal travel requirements, which always consist of the "prudent person test" (i.e. the reasonableness of an expense) as the criteria for decision making.

According to Federal guidelines, a cost is reasonable in its nature or amount, if it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time

the decision was made to incur the costs. In determining the reasonableness of a given cost, consideration shall be given to:

1) Whether the cost is necessary for the performance of the project.
2) Whether the individual involved acted with prudence.

REQUEST FOR TRAVEL (APPROVAL)

Request for travel must be submitted through normal University practices. ORDM must approve the allowability and budget availability of the trip. In some rare instances, some projects require prior approval from the sponsoring agency before engaging in travel activities. ORDM will refer to the terms and conditions of the sponsored project to determine when and if prior approval from the sponsor is required; and will work with the Central Office to obtain this approval.

NOTE: Unallowable costs could result in personal expenses to the traveler, Principal Investigator, and/or the University.

REIMBURSEMENT OF TRAVEL EXPENSES

Ordinary and necessary travel related expenses that are adequately substantiated and that are otherwise allowable will be reimbursed. These expenses generally include, airfare, lodging, meals, ground transportation (taxi, Uber), etc.

In most cases, reimbursement of allowable travel expenses will follow the University's standard processes. However, following is specific guidance to follow when implementing the "prudent person test" on travel expenses.

Air Transportation

Economy/coach or other special discount fares are to be used. Federal regulations prohibit reimbursement of business or first class airfare unless it is required to accommodate a special need. If a fare above economy/coach class is used, it must be for the purpose of a special need. Justification must be provided in writing prior to incurring the cost.

Lodging and Meals

Whenever possible, the travel should have lodging costs paid via a University Pcard. Some hotels may require additional documentation on file if the traveler is not the credit card (Pcard) holder. Make sure to inform the hotel that only room and taxes are to be charged to the Pcard. Additionally, the traveler may need to present a personal credit card to the hotel for incidental charges (i.e. room service). If meal receipts are not thoroughly itemized, obtain in writing from the traveler that no alcohol was purchased, or exclude the expense from the reimbursement.

Rental Vehicle

When using a rental vehicle as the primary mode of transportation to get to the travel destination, it must be more economical than traveling by other means (airplane, train, bust, taxi, etc.), and must

be thoroughly justified. A copy of the transportation (usually airfare) quote will be necessary for comparison.

A rental vehicle used during business travel is also held to the "prudent person test." That means it must be more cost effective to have a rental vehicle than using a taxi, Uber, etc. In order to minimize costs, an economy class vehicle should be rented. Justification must be provided for the need of a rental vehicle. When determining the need for a rental vehicle, consider the following scenario.

SCENARIO: Traveler is attending a three-day conference in another state. The hotel hosting the conference charges $30 a day for parking. The conference hotel is completely booked, so the traveler will need to stay at another hotel that that is two miles from the conference venue. Because of the distance, the traveler wants to rent a car to get to and from the conference. The cost of the economy rental is $30 a day. A taxi to and from the hotel would cost $10 each way; or $20 a day.

It would not be more cost effective to rent a vehicle for the traveler because the usage of the rental to attend the conference would cost $60 a day (rental cost + parking).

Miscellaneous Expenses

Reimbursable miscellaneous expenses can include the following. This list is not all inclusive.

1) Baggage Fees: Limited to one bag per trip; business justification must be provided if more than one bag is being checked.
2) Overweight/Oversized Baggage Fees: Business justification must be provided.
3) Gasoline for rental cars: Only if determined an allowable expense.
4) Books and Training Materials: Justification explaining how the materials meet the need of the project must be provided.
5) Long-term Parking at the airport
6) Transportation to and from airport: Taxi, Uber, Lift, etc.

FOREIGN TRAVEL

In general, foreign travel is defined as travel outside of the United States, U.S. Territories and Possessions, Canada and Mexico. However, sponsors differ in defining this term, so travelers should contact ORDM to be sure the travel is correctly classified.

Air Transportation

Generally, if a traveler is traveling on funds provided by the federal government, s/he must use a U.S. Flag Air Carrier (an airline owned by an American company). If you are scheduling international travel that is federally funded, you must ensure that all flights, where possible, are scheduled on U.S. Flag Air Carriers or on foreign air carriers that code share with a U.S. Flag Air Carrier. Travel not booked on U.S. Flag Air Carriers or on foreign air carriers that code share will be disallowed by the Office of Grants and Contracts.

SECTION 6: SUB-RECIPIENTS

Sub-recipient means the legal entity to which a subaward is made and which is accountable to the University for the use of the funds provided in carrying out a portion of the University's programmatic effort under a sponsored project. The term may include institutions of higher education, for-profit corporations, and foreign organization/international organizations at the discretion of the Federal awarding agency. All potential subrecipients must complete the Subrecipient Commitment Form (see Appendix F).

The University has the responsibility, on an ongoing basis throughout the life of the award, to monitor the activities of sub-recipients in accordance with the governing agreement, to assure that awarded funds are used for authorized purposes in compliance with the provisions of the agreement, and to ensure that performance goals are achieved. The PI and the ORDM should jointly determine the frequency and scope of monitoring procedures.

6.1 Progress Monitoring, Technical Reports, and Deliverables

The PI is responsible for monitoring the progress of sub-recipient work, using a variety of means to make this determination. Such review should generally take place at the time invoices are submitted to ensure that activity is in alignment with spending. The PI might receive informal progress reports via phone conversations, e-mail communications, or face-to-face discussions; or the PI might receive more formal technical reports, and/or specific deliverables might be required and due on predetermined due dates. If formal technical reports are required, they should be filed with the grant file in the ORDM and retained in the same manner as other grant documents. Technical progress reviews by the PI are documented by the PI's signature on the invoice.

Sub-recipient invoices must be submitted in accordance with the format provided by the Office of Grants & Contracts Administration. The PI must submit sub-recipient invoices to the Office of Grants & Contracts Administration for payment within 5 days of receiving the invoice, unless there are extenuating circumstances that have been approved by the Office of Grants & Contracts Administration. The PI must send a copy of the signed invoice to ORDM. The PI's signature on the invoice indicates that review has taken place and that the invoice adheres to budget.

If, after review of the invoice, a concern with sub-recipient's performance is identified, the PI should request clarification from the sub-recipient PI. Invoices should not be approved for payment until all issues or concerns have been resolved.

SECTION 7: PREPARING THE PROPOSAL INFORMATION FORM

The Proposal Information Form is specific to Cato College of Education. It is a web-based for that can be completed and submitted online. The form is located at: https://webforms.uncc.edu/edresearch/advance-notice-proposal-information-form (See Appendix G). The information in the form is used to assist ORDM in completing the Electronic Internal Processing Form (eIPF) in NORM. The eIPF is required for all externally submitted proposals. Following are instructions for completing the Proposal Information Form.

CONTACT INFORMATION	
	What to Do?
UNCC PI	Enter your (PI) name
Department	Choose your department from the drop-down box
Sponsor	Enter the name of the agency that the proposal will be submitted to
Submission Deadline	Enter the proposal submission deadline, if known.
Funding Opportunity Program Name	If a federal proposal submission, enter the name of the program *(ex: Discovery Research PreK-12)*
Funding Opportunity URL	If known, enter the website address for the proposal guidelines
Working Title	Enter the title of the project
Start Date	Enter the expected start date (Unless otherwise determined, allow 4-6 months for federal proposals)
End Date	Enter the expected end date of the project
LEAD INSTITUTION SECTION	
	What to Do?
Lead Institution	If award will be via a subcontract/subaward, enter the name of the institution that UNCC will subcontract with.
Lead Institution's PI and contact Information	Enter the name of the PI from the other institution, and his/her email address and phone number.
KEY PERSONNEL/F&A DISTRIBUTION	
	What to Do?
Who are the key personnel and what are the F&A allocation for each	Enter the names of all key personnel who will work on the project. If some of the employees are outside your department, you may want to allocate a portion of the F&A to that department. In fact, some chairs will expect a portion of the F&A to be allocated to their department.
SUBCONTRACTS	
	What to Do?
Will there be a subcontract on your budget?	If you plan to subcontract to another institution, choose "yes". A subcontract is not the same as a consultant agreement.
If yes, please provide subcontract PI and contact information.	Enter the name, email address, and phone number of the individual you plan to subcontract with.
BUDGET INFORMTION	
	What to Do?
What is your targeted budget?	Enter the amount you expect to request, or the maximum amount allowed.
How many years?	Enter the number of years you expect the project to last.
Is there required cost sharing?	Enter "yes" only if cost sharing is required. If voluntary cost sharing, enter "no" and explain in next section.
If cost sharing, please identify items and	Enter the fund number that will be used for the cost share requirement. Also, enter the items that will be used as cost share (ex: academic

sources of funding.	salary)
PROJECT ABSTRACT	
	What to Do?
Please provide a project abstract	Provide an abstract of the project.
COMPLIANCE	
	What to Do?
Is this project considered research	Enter "yes" only if this project is true research. Enter "no" if this is a training grant, conference grant, or other sponsored activity.
Will there be human subjects?	If the project will require IRB approval, enter "yes." Do not enter yes if there will be training participants.
If yes, is it exempt from full IRB review?	If you
COMMUNITY ENGAGEMENT	
	What to Do?
Can this project's activities be considered community engagement:	If the project meets the community engagement standards as described in the form, indicate yes, and the percentage of activities that meet the standards.
Will part of the budget be used for community engagement?	If yes, indicate the percentage of the budget that meets the community engagement standards.

SECTION 8: PREPARING THE PROPOSAL & BUDGET

8.1 The Proposal

Carefully reading and following the guidelines contained in the funding opportunity announcement are absolutely crucial to the preparation of a winning proposal. If these directions are not carefully followed, the funding agency may doubt your ability to conduct a program of research and manage grant activities. ORDM is available to assist in finding the guidelines for a project and interpreting them. Most federal program guidelines and application forms are now available online through www.grants.gov, an application which makes it easy to search for funding opportunities using a number of criteria such as agency name or Catalog of Federal Domestic Assistance number (CFDA number).

Innovative ideas based on solid science and proven methods get funded. It is essential that the proposal be technically sound and clearly written. Avoid jargon. The proposal should address the requirements listed in the guidelines and describe the project in the most complete, clearest, and succinct possible terms. Funding agencies generally review and evaluate proposals with reference to five major considerations:

- significance of the results to be obtained from the research project

- resources required to conduct the project in terms of existing and projected commitments of the agency and the university
- reasonableness of the budget
- competency of the investigator undertaking the proposed research
- protection of research subjects

Other criteria may also exist as set by specific granting organizations, and the principal investigator is expected to carefully review the guidelines to determine that his/her proposal meets all funding criteria. A general guide for what to include in a proposal can be found in Appendix H: Sample Proposal Format.

The ORDM provides a wide range of resources to support the principal. If provided enough lead time, ORDM can review the proposal prior to submission to confirm its completeness.

8.2 The Budget

The budget of a grant proposal is second in importance only to the research or project plan. Although the budget statement is a straightforward discussion of how you plan to spend grant funds, budget preparation needs to comply with the various policies of the university and the funding agency. The ORDM can offer suggestions when preparing your budget.

If the funding agency provides a specific budget form, it must be used whether this is in hard copy or electronic format. In most cases, the sponsoring agency will include special forms as part of the application package.

It is always useful to prepare a detailed budget breakdown for your proposal. This detailed budget can help you better understand the total costs of your project. Also, a detailed budget allows for an easier internal review by the university administrators and is helpful in determining the actual extent of any university commitment (matching or cost sharing on a cash or in-kind basis) required by the funding opportunity. With electronic submissions you are usually required to provide only the first year in detail, although this may vary from program to program. A sample budget is included in Appendix I: Sample Budget.

ORDM encourages the principle investigator to seek assistance in developing the budget. All budgets will be checked for accuracy and for appropriate salary levels, fringe benefit percentages, and eligible expenditures. The proposal will not be approved until the budget, and any university commitments are accurate and in accord with university policy.

The following considerations will help you prepare a comprehensive budget:

i. Review the rules and regulations for the budget, as provided in the agency's guidelines. Ask ORDM for assistance when you need it.

ii. All costs associated with sponsored research must be both allocable and allowable. The Allowable means that the project costs are eligible, reasonable, necessary, and allocable to the project. Allocable means that the costs are assignable or chargeable to one or more

cost objectives in accordance with the relative benefits received or other equitable relationships defined or agreed upon by contractual parties. In other words, the cost has to be clearly related to the scope of the research project within the parameters agreed upon by the researcher and the sponsor.

iii. Calculate the amount of time that you and other professionals involved in the project will have to contribute. How much of this time will the project funds pay for and what does the university have to contribute to make this project "work"? University contributions are match/cost share funds, which should only be included if it is specifically required by the funding agency.

iv. Match/cost share funds can be a concern for the principal investigator. Occasionally, the program will require not just in-kind funds but real cash match/cost share. Contact ORDM if there is a specific requirement for cost share/match.

v. Calculate the time required for assistants and administrative/secretarial help, consultants, travel, lodging, and per diem. Some federal agencies expect that all administrative costs, including secretarial and clerical assistants, will be paid out of facilities and administrative (indirect) costs. In these cases, such positions cannot be funded out of program funds.

vi. Estimate costs for equipment, materials and supplies, printing, duplication, postage, and telephone, (long distance), etc. Some federal agencies expect that all administrative costs, including office supplies, will be paid out of facilities and administrative (indirect) costs. Get accurate quotes on all items.

vii. Calculate the facilities and administrative (F&A) costs (See Section 3.7 "Facilities & Administration" for rates) for the project period. Facilities and administrative costs are considered revenue for the university and, in essence, reimburse the institution for the expense of having the project on campus. They are added to the direct costs of the project to give a total project cost.

viii. The final budget is included with the narrative portion of the application and processed through the approval and review process. ORDM can assist with final budget preparation, including use of the appropriate forms provided.

The total project cost includes 1) direct costs, 2) facilities and administrative (indirect) costs or F&A, and 3) any **required** university commitment. Only when all of these items are totaled do you have an idea of the real cost of your project.

Usually only the direct and F&A costs are requested from the funding agency. However, it is important to understand that any match/cost share (in-kind or cash) committed by the university does impact the project and must be identified with a value assigned. All costs, funded externally or match/cost share internally, are auditable. Therefore, it is wise not to extend more institutional match/cost share to a project than necessary.

The most common costs are described next.

8.3 Direct Costs

Direct costs include all items that can be categorically identified and charged directly to the specific project. Most sponsors allow direct cost funding for the following categories, although equipment may not always be allowed.

8.3.A Personnel

Personnel time is usually the first budget line item and frequently the most costly. Calculate the percent of time spent on the project for each individual and prorate the salary for the proposed implementation period of the grant. All personnel decisions should be cleared with your department head and Dean prior to final budget preparation. Multi-year projects should take into consideration any expected annual increases for salaries and wages. The following are the types of personnel often associated with grants.

i. *Principal Investigator (PI) or project director*. Cost is based on the salary of the selected individual in relation to the percentage of time devoted to the activity. Some programs may impose a limit on the amount of time that can be devoted to a project. Always check your program guidelines to be sure you are computing personnel costs correctly. The College of Education may require a course buy-out or its equivalency (1.125 months) to be charged to a grant fund during the academic period.

ii. *Other on-campus professionals*. This includes faculty release or course buy-out costs. Any faculty who works on a grant project during the academic year are subject to the requirements for a course buy-out/release time. To obtain an accurate dollar cost, check with the ORDM.

iii. *Graduate assistants* may be employed on sponsored research projects in research. Pay rates should be determined prior to proposal submission, in accordance with the pay scales of university supported graduate assistants. The funding source must include the salary, tuition, and health insurance:
   a. Tuition must be included in your proposal at the in-state tuition rate, at the same proportional rate as the salary. Graduate assistants who are out-of-state students will have to pay the difference, as well as all fees.
   b. Salary should be computed at the current rate.
   c. Health insurance must be included in the proposal. The health insurance for a graduate assistant is calculated as part of the fringe benefit rate.

iv. *Undergraduate students* may be employed through funded projects. Students working under the college work study program cannot receive payment from a second federal source. The wage will be determined by the current University wage schedule for student workers.

v. *Technicians, statisticians, coordinators, and other professionals* can be employed under sponsored projects. All university personnel regulations, as well as the regulations of the funding agency, must be adhered to regarding advertising the position(s), interviewing and hiring. UNC Charlotte is an equal opportunity employer and does not discriminate regarding race, sex or disability.

vi. *Secretarial and all other clerical help* necessary for the performance of the funded project must be hired in strict compliance with all university and funding agency regulations (see technicians, etc. above). Many federal agencies consider clerical support as included in the facilities and administrative (indirect) costs and will not pay for these as a line item charge. Be sure to check the guidelines carefully, and if in doubt, contact the agency to clarify this point.

vii. *Other Personnel* hired under the auspices of a funded project are classified as temporary, soft money personnel and generally have limited employment contracts. The following issues should be noted about hiring other personnel:

a. The principal investigator should recognize that such personnel in this category receive appropriate salary, duties, responsibilities, and benefits comparable to those for individuals in similar positions elsewhere in the university. The principal investigator should consult with the Human Resources Office concerning current or projected salaries for these positions.

b. All personnel hired under a specific award/grant must be informed by the principal investigator that their employment period coincides with the award period, and that the university cannot assure continued employment beyond the period for which grant funds are available.

c. Annual increases/raises should coincide with established University protocols as long as funds exist within the award budget for such raises. If you did not compute raises into your budget for subsequent years of funding you may have difficulty providing these to your project staff.

d. Sick and vacation leave is accrued based on the policy of the university as it relates to the position.

8.3.B Fringe Benefits

Fringe benefits accompanying employee salaries paid by the grant must also be charged to the grant. Fringe benefits are budgeted as a percentage of salaries and wages for each employee.

	FY17	FY18
EHRA Faculty/Staff	33.5%	33.8%
SHRA Staff	42.7%	43.9%
Post Doc	18.7%	19.2%
Graduate Student	14.9%	16.1%

Undergrad Student	0.11%	0.11%
Grad/Undergrad (Summer)	07.8%	07.8%
Temporary	11.4%	11.6%

Always check with ORDM to ensure the current rates are used.

8.3.C Consultants

A consultant is an independent contractor that is not affiliated with the University, and will be providing a specific service for a limited period of time. Compensation to consultants should be based on the consultant's established rates. The method used to determine the consultant's rate of pay must be provided. That is, the daily rate of pay, and the number of days of pay. The individual agreements are based on the nature of the work being performed, plus any travel requirements. Consultants can be reimbursed for travel expenses. Consultants do not receive fringe benefits, and are not provided office supplies.

8.3.D Subcontract/Subaward

A subcontract or subaward represents any portion of the sponsored project that is performed by another agency. Subcontracts/subawards can be incoming or outgoing. All costs associated with the subcontract must be identified in the budget, with appropriate justification. If a subcontract is essential to the successful completion of a sponsored project, a statement of work, budget, and budget narrative should be provided by the outside entity at the time of proposal preparation. The University will also require a completed Subrecipient Commitment form from the agency.

8.3.E Travel

Expenses incurred for travel that will be paid from grant funds must conform to university travel policies. The Travel Manual can be found at http://finance.uncc.edu/resources/manuals-guides-procedures/travel-manual.

8.3.F Equipment

Equipment may be purchased or rented, according to the policies of the grantor under the program guidelines and general university policy. The equipment budget should reflect comprehensive costs, not only purchase, rental, or leasing costs, but freight, installation costs, and maintenance contracts, as necessary.

8.3.G Supplies and Materials

Supplies and materials should be itemized on the budget explanation (narrative) page in general terms or as detailed as required by the guidelines. However, general purpose materials and supplies should not be directly charged to sponsored projects. Such supplies include copy paper and office supplies. Items purchased specifically for a research project include supplies purchased for a program/project, materials required for poster or publication preparation, and in specific instances, computing devices (see 8.3.H).

8.3.H Computing Devices

Computing Devices that are used specifically to record data in field research; attached to another piece of scientific equipment and/or require for collection and analysis of information/data; and used primarily on the designated sponsored award can be charged to a sponsored award if the project's portion of the use can be reasonably estimated. The expense should be properly allocated to all benefiting activities. If the device will be used only in part for an award's activities, or if the useful life of the device exceeds the project, the award should only be charged for a portion of the device's expense.

8.3.I Participant Costs/Stipends/Training Fees

Participant Costs, stipends or training fees are another category that may be required based on the nature of the award. The stipend (participant costs) may be paid to a participant as compensation for costs incurred in participating in the grant-funded activity. Usually, grant funded-activities includes participating in a training workshop, conference, seminary, or a symposium. If participant costs are part of a project the budget form will have a specific line for that item. Stipends or training fees usually do NOT factor into direct costs when computing the Facilities and Administrative (F&A) costs.

An honorarium paid to a guest speaker is not a participant cost. Guest speakers are providing a service. These payments are process via a Direct Pay Request, and will require a fully executed personal service agreement between the University and the speaker. Additionally, payments to faculty and other University employees are not stipends. Employees cannot receive a stipend payment from a funded project. Payments to faculty are processed in the form of release/course buy-out, or summer pay for nine-month faculty who worked on the grant project during the summer period.

8.3.J Honorarium

Honorariums paid to guest speakers are not participant costs, and cannot be charged to sponsored projects. Guest speakers are providing a service to the grant project. These payments are processed via a Direct Pay Request (see Appendix J), and will required a fully executed personal service agreement (see Appendix K), as well as a completed Vendor Information Form (see Appendix L).

8.3.K Tuition

In adherence to Policy 50.5, grant proposals that include the salary of a graduate student must also include in-state tuition and health insurance based on the percentage of effort the student will work on the project. The Dean of the College of Education can elect to exclude tuition expenses in the proposal. The calculation to determine the amount of tuition and health insurance to pay a student is as follows:

Tuition:	% of effort x Tuition Cost = Tuition cost to student
Health Ins:	% of effort x Insurance Cost = Insurance cost to student

8.3.L Other Direct Costs

Other direct costs are items that can be identified and related to the project and not included in the facilities and administrative (indirect) costs calculations such as:

8.4 Indirect Costs

Also referred to as Facilities and Administrative or F&A, these costs refer to those items that are difficult to assign to a specific cost area or portion of the activity. These costs are 'real' costs but because they are difficult to quantify, are called indirect costs. The Federal Government expects universities to cover costs such as secretarial support under the recovered F&A costs. Not all agencies allow these costs, and when they do, the rate they allow varies. Always check the language of the guidelines regarding indirect costs so that the correct rate is charged.

To cover the costs of having a funded project on campus, the University has, through its cognizant agency, negotiated a rate currently set at 51% MTDC. This negotiated rate is used when applying for grants from many federal agencies. For projects that are conducted off site, an indirect cost rate of 26% has been negotiated.

Not all agencies, however, accept the negotiated rate. Some, such as the U.S. Department of Education have set lower rates, usually 8% or 12% of all direct costs. Some agencies refuse to allow any F&A cost recovery and most private foundations disallow all indirect costs. The State of North Carolina generally allows a reduced F&A rate. When a rate is written into the program guidelines, then that is the rate that must be accepted by the institution. When a rate is allowed, whatever that rate may be, the full extent of that rate should be used.

8.5 University Commitment

Frequently called match or cost share, the university commitment is a direct cost of the project whether in the form of in-kind or cash. University commitment may come in the form of equipment, personnel time, etc. The principal investigator should work with the ORDM to define exactly what can be committed to the project. All university cost share, whether as in-kind or as real dollar commitment is subject to audit just as the grant funds are subject. Accurate records regarding all expenditures and commitment must be maintained and be made accessible to an auditor upon request.

SECTION 9: TYPES OF AWARD INSTRUMENTS

Grant: A grant is an assistance award to accomplish a public purpose. The sponsoring agency has very little involvement in the award activities. In this case, the sponsor functions as a patron. Grants provide some flexibility in the time frame and delivery in products and services. The funding mechanism for grants is cost reimbursement.

Cooperative Agreement: A cooperative agreement is another assistance award to accomplish a public purpose. The difference between a grant and a cooperative agreement is that there is substantial involvement between the sponsoring agency and the recipient during performance of the award activities. In this case, the sponsor and recipient are partners. The funding mechanism for cooperative agreements is usually cost reimbursement.

Contract: A contract is an instrument used to acquire property or services for the direct benefit or use by the contracting agency. This award instrument is usually more restrictive and will include clauses and terms that describe penalties for not meeting delivery dates. Contracts can be paid either by cost reimbursement or fixed price.

SECTION 10: TYPES OF FUNDING MECHANISMS

Cost Reimbursement: The sponsor pays up to the stated amount for the research. If there is an unobligated balance or funds remain unspent, the University is not entitled to them.

Fixed Price: The sponsor agrees to pay the stated amount for the project. If there are funds remaining at the end of the project, the University may be entitled to keep those funds. If however, there are no funds available and the work has not yet been completed, the University is responsible to complete the project at the expense of the University.

SECTION 11: OTHER ITEMS

Un-funded Proposals

If your proposal was not funded, do the following:

- Notify ORDM so that records can be brought up to date.
- Request comments from the sponsor, unless otherwise noted. Use these comments to improve your proposal and submit again. Most Federal applications are not funded the first time.
- Inform ORDM if you will reapply during the next proposal cycle.
- Never throw out a proposal. Your work can be recycled and improved.

SECTION 12: GRANT TERMINOLOGY

Allocation: The process of assigning a cost, or a group of costs, to one or more cost objective(s), in reasonable and realistic proportion to the benefit provided or other equitable relationship. A cost objective may be a major function of the entity, a particular service or project, a Federal award, or an indirect (F&A) cost activity, as described in the Uniform Guidance - Subchapter F: Cost Principles. The process may entail assigning a cost(s) directly to a final cost objective or through one or more intermediate cost objectives.

Allowable Costs: Expenditures under grant projects that are specifically permitted by law, regulation, or guidance.

Application Deadline: The date and time by which an applicant must submit a grant or cooperative agreement application for it to be considered for funding. Electronic applications must be received by the deadline date and time specified in the application notice. Paper applications must be mailed and postmarked by (or in some cases, received by) the deadline date.

Application Notice: A notice published in the *Federal Register* and posted on Grants.gov that invites applications to one or more grant cooperative agreement competitions; describes basic program and fiscal details for each competition; gives potential applicants instructions for making an application to the competition; and cites the deadline date for submitting an application for each competition.

Application Package: A package that contains the application notice for one or more programs, and all the information and forms needed to apply for a grant or cooperative agreement, including applicable program regulations and legislation.

Award Agreement: The document that details the terms, conditions and amounts of the funding for a particular award, including the amounts obligated, and the project period.

Budget: Used in connection with an award, means the financial plan for the project or program that the Federal awarding agency or pass-through entity approves during the award process or in subsequent amendments to the award. It may include the Federal and non-Federal share or only the Federal share, as determined by the Federal awarding agency.

Budget Period: An interval of time into which a project period is divided for budgetary purposes, usually 12 months.

CFFA Number: The number assigned to a Federal program in the Catalog of Federal Financial Assistance (CFFA). This is the same number that was previously known as the Catalog of Federal Domestic Assistance (CFDA) number.

Code of Federal Regulations (CFR): A compilation of all final regulations issued by federal agencies and published annually by the National Archives and Records Administration. The CFR is divided into numbered titles.

Cognizant Agency for Indirect Cost: The Federal agency responsible for reviewing, negotiating, and approving cost allocation plans or indirect cost proposals developed under this guidance on behalf of all Federal agencies. OMB publishes a listing of cognizant agencies for indirect costs (available at insert updated list location here). The cognizant agency for indirect cost is not necessarily the same as the cognizant agency for audit.

Conflict of Interest: An issue that can arise in many areas of federal activity (such as a grant application review, financial transactions, conduct of research) where a competing personal interest could affect, or appear to affect, an individual's judgment or could cause an individual's impartiality to be questioned.

Continuation Award: A grant made following the first budget period of a multi-year project, which extends the funding for another budget period, within the approved project period.

Contract: A legal instrument by which a recipient purchases property or services needed to carry out the project or program under an award. The term as used in this guidance does not include a legal instrument, even if the recipient considers it a contract, when the substance of the transaction meets the definition of a subaward (see definition of Subaward).

Contractor: A dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of a Federal program. These goods or services may be for an organization's own use or for the use of beneficiaries of the Federal program.

Cooperative Agreement: A type of federal financial assistance which is awarded by a federal entity when it anticipates having substantial continuing involvement with the grantee during the performance of a funded project.

Cost Sharing or Matching: The portion of project costs not paid by Federal funds.

Direct Costs: Those items in a grant project that can be identified specifically with a particular activity or cost objective. Examples of direct costs are compensation of employees for the time devoted and identified specifically to the performance of grant activities; cost of materials acquired, consumed, or expended specifically for the purpose of the grant; equipment and approved capital expenditures; and travel expenses incurred specifically to carry out the activities of a grant project.

Disallowed Costs: Those charges to a Federal award that the Federal awarding agency determines to be unallowable, in accordance with the applicable Federal cost principles or other terms and conditions contained in the award. Additionally, costs questioned by an audit organization that the entity responsible for management decisions has determined should not be charged to the government.

Expenditures: The charges made by a non-Federal entity to a project or program for which Federal financial assistance was received.

Facilities and Administrative (indirect (F&A)) Costs: Costs an organization incurred that cannot be readily and specifically identified with a specific grant project.

Federal Awarding Agency: The Federal agency that provides an award directly to a non-Federal entity.

Federal Award: The Federal financial assistance (grants & cooperative agreements) and Federal cost-reimbursement contracts that non-Federal entities receive directly from Federal awarding agencies or indirectly from pass-through entities. It does not include procurement contracts, including procurement contracts under grants or contracts that are used to buy goods or services from contractors (vendors). Contracts to operate Federal government owned, contractor operated facilities (GOCOs) and direct Federal contracts are excluded from the requirements of this guidance.

Federal Cost-reimbursement Contract: A Federal procurement contract under which the contractor or subcontractor is paid on the basis of the costs it incurs, with or without a fee.

Federal Register: A daily compilation of Federal proposed and final regulations, legal notices, presidential proclamation and executive orders, Federal agency documents having general applicability and legal effect, documents required to be published by an act of Congress, and other Federal agency documents of public interest. The *Federal Register* is the publication of record for the Federal government.

Federal Share: The percentage of the total project costs that are paid by Federal funds.

Funding Period: The period of time when funding is available for the recipient.

Funding Priorities: Priorities focus a competition on certain areas of concern or emphasis. Priorities take the form of specific kinds of activities that applicants are asked to include in an application or certain conditions that must exist for applicants to be eligible.

G5: The Department of Education's grant administration and financial system. Grantees request payments and access grant accounts through G5 to obtain current payment information.

Grant Award Notification: An official document issued by a Department of Education program official who is authorized to obligate the Department in financial matters. The GAN states the amount and the terms and conditions of an award for a discretionary grant or cooperative agreement, and is issued electronically through the G5 System.

Grantee: An organization that has been awarded financial assistance in the form of a grant or a cooperative agreement. Also known as a "grant recipient" or, simply a "recipient."

Indirect Cost Rate: A percentage established by a federal department or agency for a grantee organization, which the grantee uses in computing the dollar amount it charges to the grant to reimburse itself for indirect costs/F&A of a grant project.

Non-Federal Entity: A state, local or tribal government or nonprofit organization including institutions of higher education.

Obligations: When used in connection with a recipient's utilization of funds under an award, means amounts for which the recipient has made binding commitments for performance under grant awards or for orders placed for property and services, contracts and subawards made, and similar transactions during a given period that require payment by the recipient during the same or a future period.

Pass-through entity: A non-Federal entity that provides a Federal subaward to a subrecipient to carry out part of a Federal program.

Performance/Technical Report: A report of the specific activities that were performed during the budget or project period.

Prior Approval: Written approval by an authorized official evidencing prior consent. The term includes both approvals—

(1) By agency officials for recipients' actions that require approval; and

(2) By OMB for agencies' actions that require approval.

Project or Program Period: The period established in the award during which Federal financial assistance begins and ends. If an award is terminated before the end of the period previously established in the award, the project or program period ends at the time the termination takes effect.

PR/Award Number: The identifying number for a grant or cooperative agreement application and award. It is also referred to as the Federal Award Identification Number (FAIN).

Questioned cost: A cost that is questioned by the auditor because there exists:

(1) A violation or possible violation of a provision of a law, regulation, contract, grant, cooperative agreement, or other agreement or document governing the use of Federal funds, including funds used to match Federal funds;
(2) Costs which, at the time of the audit, are not supported by adequate documentation; or

(3) Costs incurred which appear unreasonable and do not reflect the actions a prudent person would take in the circumstances.

Simplified Acquisition Threshold: Currently set $150,000 in the Federal Acquisition Regulation at 48 C.F.R and authorized by 41 U.S.C. 1908.

Small Award: A grant or cooperative agreement not exceeding the simplified acquisition threshold set in the Federal Acquisition Regulation at 48 CFR 13 and authorized by 41 U.S.C. § 1908.

Subaward: An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a program for which the recipient received Federal support. It but does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the recipient calls a contract.

Subrecipient: A non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

Supplies:

(1) This term means all tangible personal property other than equipment.

(2) The term therefore excludes Intangible property, as defined in __.503 Property Standards paragraph (f) (1).

System for Award Management (SAM): The primary registrant database for the federal government, which collects, stores, and disseminates data related to federal agency contract and grant applicants and recipients.

Unobligated Balance: The amount of Federal funds under an award that the recipient has not obligated. The amount is computed by subtracting the cumulative amount of the recipient's obligations of Federal funds under the award from the cumulative amount of the funds that the Federal awarding agency authorized the recipient to obligate.

Unrecovered Indirect Cost: The difference between the amount awarded and the amount which could have been awarded under the recipient's approved negotiated indirect cost rate.

SECTION 13: APPENDICES

Appendix A: Summer Salary Request Form

Appendix B: No Cost Extension Request Form

Appendix C: Expense Approval Request (EAR) Form

Appendix D: Cost Transfer Justification Form

Appendix E: Grant Fund Action Form

Appendix F: Subrecipient Commitment Form

Appendix G: Proposal Information Form

Appendix H: Sample Proposal Format

Appendix I: Sample Budget

Appendix J: Direct Pay Request (DPR)

Appendix K: Personal Service Agreement (Template)

Appendix L: Vendor Information Form

Appendix M: NinerTalent Update Instructions

APPENDIX A - SUMMER SALARY REQUEST FORM

THE UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

College of Education

OFFICE OF RESEARCH DEVELOPMENT AND MANAGEMENT

ORDM

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COMMITMENT OF SUMMER EFFORT/SALARY REQUEST FORM

Faculty Name _____ **Department** _____

According to University Policy 101.15 faculty members can earn up to 3/9ths additional compensation from all sources paid through the University Payroll Office during the summer. Nine-month faculty who are requesting summer salary from a sponsor funded project must complete this request detailing how you will expend this effort during the summer period (May 16-August 15).

SUMMER COURSE(S)			SPONSOR FUNDED PROJECT(S)			
Periods	**Select Course Period(s)**	**Amount**	**Periods**	**Select Summer Period(s)**	**Amount**	**Funding Source**
Summer I			May 16th – May 31st			
Summer II			June 1st – June 15th			
			June 16th – June 30th			
			July 1st – July 15th			
			July 16th – July 31st			
			August 1st – August 15th			

I certify that the time I have indicated above is actual time I will devote in support of my summer activities.

_____

Signature **Date**

For the Office of Research Development and Management Use Only

3/9ths Salary	$_____	Monthly Salary	$_____
Total Summer Course(s)	$_____	Total per month summer course(s)	$_____
Total Sponsor Payments	$_____	Total per month sponsor payments	$_____

Completed by:_____ Date:_____

EPAF Summary

Funding Source _____

Period Covered: _____

Amount: _____

Comments:_____

_____

_____

Appendix B: No Cost Extension Request Form

UNC CHARLOTTE

OFFICE OF GRANTS & CONTRACTS ADMINISTRATION

No Cost Extension Request

Date: _____

Principal Investigator: _____ Telephone No.: _____

Department: _____ Dept. Contact: _____

Grant Title: _____ Banner No.: _____

Sponsor: _____ Proposal No (if known): _____

Requested End Date: _____ Current End Date: _____

Expected budget remaining at end of current period: $ _____

This is the (choose one): ☐ 1st ☐ 2nd ☐ 3rd ☐ other extension request for this project.

Justification for No Cost Extension and planned spending for remaining budget, including progress to date and scientific/ programmatic reason for the extension. (The fact that excess, unspent funds are anticipated is not a sufficient justification for an extension.)

☐ Yes ☐ No Will the level of effort for the PI/Key Personnel change more than 25%?

☐ Yes ☐ No Will IRB (Human Subjects) work be conducted during the extension period?

☐ Yes ☐ No Will IACUC (Animal Care) work be conducted during the extension project?

Subaward(s)?

☐ Not Applicable ☐ Subawards are excluded from extension.

☐ The following subaward(s) is/are to receive an extension.

_____ _____ _____ _____

Principal Investigator Assurance: I certify that the information submitted within this request is true, complete and accurate to the best of my knowledge. I agree to accept responsibility for the scientific and financial conduct of the project(s) and to submit all required reports if the request is approved. ☐

Save Print Submit

Please SUBMIT for processing by GCA. We will contact you if we have any questions.

Appendix C: Expense Approval Request (EAR) Form

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ORDM Use Only:

EXPENSE APPROVAL REQUEST FORM

All departments must use this form to request approval for expenses charged to grant funds (5xxxxx)

Submit this form to the Office of Research Development and Management. Once ORDM makes a determination, a signed copy will be returned to the Department (Requestor). No purchase should be made from grant funds without prior approval from ORDM. Attach a copy to the purchasing documentation.

Please select the purchase mechanism below.

Expense Type

REQUESTOR/PRINCIPAL INVESTIGATOR INFORMATION

Requester

Department

Requester's Phone#

Principal Investigator

PURCHASE INFORMATION

Estimated Cost

Vendor

Item/Description

Fund Number

Account Number

Justification/Explanation: Reason expense is necessary

Comments:

Appendix D: Cost Transfer Justification Form

UNC CHARLOTTE

Save Print

OFFICE OF GRANTS & CONTRACTS ADMINISTRATION

COST TRANSFER JUSTIFICATION FORM

All cost transfers require adequate supporting documentation to identify amounts and original dates.

1. Why was this expense originally charged to the program/project from which it is now being transferred?

2. Why should this charge be transferred to the proposed receiving program/project? (PI should explain how the charge directly relates to the scope of work) (Attach any necessary supporting documentation)

3. If applicable, why is this cost transfer being requested more than 90 days after the original date the transaction was recorded? (Attach any necessary supporting documentation)

4. What corrective action has been taken to eliminate future need for cost transfers of this type?

Principal Investigator's Signature: _____ Date: _____

Printed name, Title and Phone No.:_____

NOTE: By signing above, I certify that the cost transferred is an appropriate expenditure for the sponsored grant/contract being charged and that the expenditure complies with the terms and restrictions governing that sponsored grant or contract.

GCA Authorization: _____Date_____

GCA 0812

Appendix E: Grant Fund Action Form

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Office of Research Development and Management

Grant Fund Action Form

Personnel Actions

☐ ePAF ☐ PD-7 ☐ PD-17 ☐ eGA

Salary Type: ☐ Summer ☐ Release ☐ Appointment ☐ Re-appointment ☐ Change

Employee Name:	Employee ID:
Department:	Action Period:
Funding Source/Acct #:	Salary Amount: $
Reason for Action	

Tuition, Stipend, and Student Health

This request is only for graduate students who are being paid from a grant fund. All other tuition and scholarship payments will follow normal business procedures.

Student Name:	Student ID:
Department:	Term:
Funding Source/Acct #:	Tuition Amount: $
Funding Source/Acct #:	Stipend Amount: $
Funding Source/Acct #:	Health Insurance Amount: $

Other (49er Mart, FTRs, DPRs, etc.)

Transaction Type:	Funding Source/Acct#:
Vendor:	Amount: $
Reason for Transaction	

Appendix F: Subrecipient Commitment Form

UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

SUBRECIPIENT COMMITMENT FORM

SECTION A: UNCC Proposal Information

Name of UNCC PI: _____ **UNCC Department:** _____

Sponsor: _____

UNCC Proposal Title: _____

Period of Performance: From: ____/____/____ **To:** ____/____/____

Proposed Period of Performance of Subrecipient (if different): From: ____/____/____ **To:** ____/____/____

SECTION B: Subrecipient Eligibility

Dear (Potential) Subrecipient:

Any organization planning to enter into a collaborative subrecipient relationship with UNCC must complete this form at the proposal stage. Please answer the following questions to determine if a formal subrecipient partnership can be established between your organization and UNCC. This form will be considered valid for one year from the date of signature by your organization's Authorized Official.

Please answer the following questions BEFORE completing the rest of the form.

☐ **Yes** ☐ **No** Is your organization presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in any Federal department or Agency?

☐ **Yes** ☐ **No** Is your organization delinquent on repayment of any Federal debt including direct and guaranteed loans and other debt as defined in OMB Circular A-129, "Managing Federal Credit Programs"?

If you answered "Yes" to either of the above questions it will not be possible to establish a subagreement with your organization and you need not complete the remaining sections of this form. Please notify the UNCC Principal Investigator (PI) as soon as possible.

SECTION C: Subrecipient Requirements and Responsibilities

UNCC views a subrecipient organization as a true partner in carrying out a sponsored project. The requirements and responsibilities of UNCC subrecipients are different from that of a vendor/supplier. The following chart outlines the differences:

Subrecipient	Contractor
(a) Subrecipient's PI (named in Section D below) will take a significant role in programmatic decision making and assist the UNCC PI in achieving the project's goals and objectives. (b) Subrecipient will be subject to all of the compliance requirements from the prime award that are pertinent to the subrecipient, e.g., effort reporting on federal awards. (c) Subrecipient will be expected to provide a complete copy of the subrecipient's most recent audit report, or the URL link to a complete copy, before a subagreement can be established.	(a) Provides routine goods and/or services to other customers or clients and/or (b) Provides goods or services developed according to the specifications of the UNCC PI and/or (c) Provides personnel services that are primarily advisory in nature and/or (d) Provides other ancillary services related to the sponsored project per the instructions of the UNCC PI.

☐ **Yes** ☐ **No** My organization is properly categorized as a subrecipient as described above and agrees to the project roles, compliance responsibilities, and audit requirements listed above.

If "No," please contact the UNCC PI about procuring your organization's products and services as a supplier/vendor.

Subrecipient Name:_____ Page 1 of 5

UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

SUBRECIPIENT COMMITMENT FORM

SECTION D: Subrecipient Information

Legal Name: _____	**DUNS #**: _____ (Dun & Bradstreet)
Organization's Address: Include ZIP Code +4 or other postal code:	**Congressional District**: _____ **(if in U.S.)**
Performance Site Address (if different from above): Include ZIP Code +4 or other postal code:	**Congressional District**: _____ **(if in U.S.)**
Domestic Organizations: **Federal Employer Identification Number (EIN):** _____ **Registered in SAM?** ☐ **Yes** ☐ **No** **Expiration Date:** ___/___/___ **CAGE Code:** _____ (Commercial and Government Entity)	**International Organizations:** **NAIS Code**: _____ (North American Industry Classification System) **(NCAGE) Code**: _____

Executive Compensation (complete when collaborating on a U.S. federal project only):

☐ **Yes** ☐ **No** During the previous fiscal year my organization received eighty percent (80%) or more of its annual gross revenues in federal awards AND twenty-five million dollars ($25M) or more in annual gross revenues from federal awards.

☐ **Yes** ☐ **No** My organization regularly reports information on the compensation of its senior executives in response to section 13(a) or 15 (d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78(d) or section 6104 of the Internal Revenue Code of 1986?

Name of Subrecipient's Project Director/PI (Required): _____

Phone: _____ **Email:** _____

Amount of Funding Requested by Subrecipient: $_____

Cost Sharing Provided by Subrecipient (if applicable): $ _____

Are All Members of the Project Team U.S. Citizens? ☐ Yes ☐ No

SECTION E: Proposal Documents

The following documents are included in our proposal submission and covered by the certifications below. (Check those that apply.)

☐ **STATEMENT OF WORK (must describe the subrecipient's specific role within the UNCC project) (required in all proposals)**

☐ **BUDGET (required in all proposals)**

☐ **NARRATIVE BUDGET JUSTIFICATION (required in all proposals)**

☐ BIOSKETCHES OF KEY PERSONNEL, in agency-required format (if required by agency)

☐ SMALL/SMALL DISADVANTAGED BUSINESS SUBCONTRACTING PLAN, in agency-required format (for federal subcontract budgets over $650,000 only)

☐ OTHER: _____

UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

SUBRECIPIENT COMMITMENT FORM

SECTION F: Certifications

1. **Facilities and Administrative Rates** included in this proposal have been calculated based on (check as applicable):
   - ☐ Our federally negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept.
     (If this box is checked, please attach a copy of your F&A rate agreement or provide a URL link to the agreement below.)
     URL: _____
   - ☐ Other rates (please attach a description of the basis on which the rate has been calculated)
   - ☐ Not applicable—subrecipient is not requesting payment of F&A costs
   - ☐ 10% de minimus rate
2. **Fringe Benefit Rates** included in this proposal have been calculated based on (check as applicable):
   - ☐ Rates consistent with or lower than our federally negotiated rates
     (If this box is checked, please attach a copy of your organization's composite employee rate projections or your federally negotiated rate agreement. Alternatively provide a URL link to this information.)
     URL: _____
   - ☐ Other rates (please attach a description of the basis on which the rates have been calculated)
3. **Research Subject Compliance Information** (check as applicable):
   - ☐ **Yes** ☐ **No** Human Subjects will be involved in the subrecipient's portion of this project
     If "Yes," please provide your organization's OHRP approved FWA #: _____
     (If your organization does not have an FWA #, attach an explanation on how your organization will comply with U.S. federal regulations and policies for the protection of human subjects.)
   - ☐ **Yes** ☐ **No** Animal Subjects will be involved in subrecipient's portion of this project
     (If "Yes," provide a copy of IACUC approval to the UNCC PI as soon as it is available. IACUC approval is required before a subagreement will be issued.)
4. **Responsible Conduct of Research (RCR) (for NSF-funded projects only):**
   - ☐ **Yes** ☐ **No** My organization certifies that it has an Institutional Plan to meet NSF's Educational Requirements for the Responsible Conduct of Research, as required under the "America COMPETES Act" PUBLIC LAW 110-69-August 9, 2007.
   - ☐ **Yes** ☐ **No** My organization certifies that it has a training program in place and will train all undergraduate and graduate students and postdocs in accordance with NSF's RCR requirements.
5. **Lobbying (for U.S. federal projects only):**
   - ☐ **Yes** ☐ **No** My organization certifies that no payments have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this proposed project. (If "No," attach explanation.)
6. **Conflict of Interest (applicable only to PHS, NSF, or other sponsors that have adopted the federal financial disclosure requirements)** (check as applicable):
   - ☐ Subrecipient Organization/Institution certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research" and 45 CFR Part 94 "Responsible Prospective Contractors." Subrecipient also certifies that, to the best of Institution's knowledge, (1) all financial disclosures have been made related to the activities that may be funded by or through a resulting agreement, and required by its conflict of interest policy; and, (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced or eliminated in accordance with subrecipient's conflict of interest policy prior to the expenditure of any funds under any resultant agreement.
   - ☐ Subrecipient does not have an active and/or enforced conflict of interest policy and agrees to abide by UNCC's policy, located at http://legal.uncc.edu/policies/up-102.2.

UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

SUBRECIPIENT COMMITMENT FORM

7. **Additional Debarment and Suspension Information** (check as applicable):

☐ **Yes** ☐ **No** Is the PI (or any other employee/student planning to participate in this project) debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities? (If "Yes," attach explanation.)

☐ **Yes** ☐ **No** Is the organization presently indicted for, or otherwise criminally or civilly charged by a government entity? (If "Yes," attach explanation.)

☐ **Yes** ☐ **No** Has the organization within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency? (If "Yes," attach explanation.)

8. **Audit Status / Fiscal Responsibility:**

☐ **Yes** ☐ **No** **Does your organization receive an annual audit in accordance with OMB Circular A-133?**

If "Yes," respond to the following:

Please note: Your most recent A-133 audit report will be requested prior to the establishment of a subagreement.

☐ **Yes** ☐ **No** **Has your organization's A-133 audit been completed for the most recent year?**

☐ **Yes** ☐ **No** **Were there any findings or exceptions noted? If "Yes" attach an explanation.**

If "No," please indicate why your organization is not subject to A-133 audit requirements:

☐ My organization is a non-profit that expended less than $500,000 in U.S. federal funds during our previous fiscal year.

☐ My organization is a foreign entity.

☐ My organization is a for-profit entity.

☐ My organization is a U.S. government entity.

When applying for funds from agencies under the U.S. Department of Health and Human Services, foreign organizations and for-profits that have expended a total of $500,000 or more under one or more awards from the U.S. Department of Health and Human Services (as a direct grantee and/or under a consortium participant) will be required to have a financial-related audit of all HHS awards as defined in, and in accordance with, the Government Auditing Standards or an audit that meets the requirements of OMB Circular A-133.

9. **For-Profit Organizations (only):**

☐ **Yes** ☐ **No** Subrecipient represents that it is a small business concern as defined in 13 CFR 124.1002.

If "Yes": Subrecipient represents that it is a (check as applicable):

☐ Small/Small disadvantaged business as certified by the Small Business Administration

☐ Women-owned small business concern

☐ Veteran-owned small business concern

☐ Service-disabled veteran-owned small business concern

☐ HUBZone small business concern

☐ Other: _____

UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

SUBRECIPIENT COMMITMENT FORM

SECTION G: Authorized Representative Approval

APPROVED FOR SUBRECIPIENT

The information, certifications and representations above have been read, signed and made by an authorized official of the Subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policy in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies. **Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the Subrecipient's own risk. No work involving human subjects and/or animals may begin until the subrecipient has obtained registered Institutional Review Board and/or Animal Care and Use Committee review and approval.**

_____ **Signature of Subrecipient's Authorized Official** **Date:** _____ **Name and Title of Authorized Official:** _____ **Email:** _____ **Phone:** _____ **Fax:** _____	**If Subrecipient is owned or controlled by a parent entity, please provide the following information:** **Parent Entity Legal Name:** _____ **Parent Entity Address, City, State, ZIP+4:** **Parent Entity Congressional District:** _____ **Parent Entity DUNS:** _____ **Parent Entity EIN:** _____

For Internal Use Only
Proposal Deadline: _____
Date of Receipt: _____
Award # (when received): _____

Appendix G: Proposal Information Form

Advance Notice Proposal Information Form

Please complete as much of this form as possible. Once completed press submit at the bottom of the form.

Contact Information

UNCC PI

Department *

- Select -

Sponsor

Submission Deadline Month Day Year

Funding Opportunity Program Name

Funding Opportunity URL

IF UNCC IS NOT THE LEAD INSTITUTION, PLEASE IDENTIFY

Lead Institution

Lead Institution's PI and contact information

KEY PERSONNEL/F&A Distribution

Who are the key personnel and what are the F&A allocations for each? (Ex: John Smith, Special Education, 5%)

SUBCONTRACTS

Will there be a subcontract on your budget?

○ Yes

○ No

If yes, please provide subcontract PI and contact information:

BUDGET INFORMATION

What is your target budget?

How many years?

Is there required cost sharing?

○ Yes

○ No

If cost sharing, please identify items and source of funding

PROJECT ABSTRACT

Please provide a project abstract.

Can the abstract be included in UNC Charlotte's Research Abstracts Database (RAD)

○ Yes

○ No

Working Title

Start Date Month Day Year

Term Date Month Day Year

COMPLIANCE

Is this project considered research?

○ Yes

○ No

Will there be human subjects?

○ Yes

○ No

If yes, is it exempt from full IRB review?

○ Yes

○ No

○ Don't know

COMMUNITY ENGAGEMENT

Community Engagement describes the collaboration between institutions of higher education and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity. The purpose of community engagement is the partnership of college and university knowledge and resources with those of the public and private sectors to enrich scholarship, research, and creative activity; enhance curriculum, teaching and learning; prepare educated, engaged citizens; strengthen democratic values and civic responsibility; address critical societal issues; and contribute to the public good. (Carnegie Foundation for the Advancement of Teaching)

Can this project's activities be considered community engagement? If so, what percentage is community engagement?

Will part of the budget be used for community engagement? If so, what percentage of the budget is community engagement?

Appendix H: Sample Proposal Format

The following is provided only as a general guide to the basic sections contained in a proposal. Always follow the directions contained in the grant application instructions.

Title Page

This page should include the following information:

- Short title that gives a clear indication of the essential nature of the project
- Name and address of the agency to which the proposal is being submitted
- Name, title, address, and telephone number of the PI
- Legal name and address of the University: 9201 University City Blvd., Charlotte, NC 28223.
- Date of project duration
- Total estimated cost of the project
- Signature of the PI, and
- Signature and title of the University President or his designate (The Office of Research Services & Outreach)

Abstract

The abstract should be written in simple, straightforward language. It should include: 1) issue or problem to be addressed, 2) objectives to be achieved, 3) kinds of activities to be conducted (methods), and 4) the total cost of the project. Most abstracts for grant purposes have a word limit of about 350. The abstract may be the first part of your proposal to be read, so it should be well written to interest the reader.

Table of Contents

A separate page, showing the major sections of the proposal with referenced page numbers, is sufficient in most instances. The proposal pages should be numbered sequentially. Every page should have a page number. This protects against confusion if a proposal gets 'out-of-order' somewhere along the way. It is essential in hard copy submissions.

Introduction or Description of the University

The introduction should be a statement containing information about the region, the university, your college, your department, and the student body. It should also include the broad objectives of the project, as well as background information leading into the body of the proposal. Check the proposal guidelines for word and/or page limitations.

Problem Statement or Project Description

This section includes at least the following elements:

- Statement of the problem and objectives
- A review of the literature and related research, in terms of need for the project
- Hypotheses to be tested or results expected
- Project design, methodology, and evaluation

- Benefit of effort (increase in knowledge, new curriculum, etc.)

Facilities
List such items as laboratory equipment and apparatus, laboratory space, field resources, library services, data processing capabilities, and other institutional services. Include an explanation of any equipment you propose to buy with grant funds, as well as any university facilities to be utilized in conjunction with the proposed project.

Personnel
Vitae and bibliographic information for the principal investigator and other professionals are necessary in this section. Your vitae should be SHORT. This means usually no more than two to three pages. Always put only what is relevant for the particular project you are working on at the moment and leave out everything else! Many agencies are getting very demanding about the size of vitae and may allow only a paragraph for your professional information.

Describe the number and academic level of any graduate and undergraduate assistants, as well as secretarial and clerical personnel who will work on the project. Frequently a short description will be appropriate here with full vitae included only for key personnel in the appendix.

Project Period
Describe the activities over the entire length of the project, from anticipated date of award through the final reporting period. Often the entire length of the project extends beyond the period for which initial funds are requested.

Research Plan/Evaluation Section
This is an extremely important aspect of your project. This section will decide how you collect data; report your results, whether you have success or failure. Always remember that, in this section, you design the evaluation process and you set the standards for success. Be very careful to not set your standards too high so they are unattainable or so low that the results are meaningless. If you have difficulties in setting up valid evaluation plans reach out to other faculty who may be skilled in this area. A good evaluation can frequently make a project fundable while a poor evaluation plan may kill a very good project. It pays to pay attention to how the results will be gathered and reported.

Budget (Line Item)
The budget must be a carefully considered, accurately estimated cost plan, which is second in importance only to the central project idea. To assure conformity with university and sponsoring agency policies, the budget should be reviewed by ORDM staff prior to finalizing the proposal.

Budget Explanation (Budget Narrative)
The narrative explains how the costs were estimated and the need for the costs. The budget narrative explains the distribution of salaries and wages, nature of fringe benefits, prices of equipment, travel costs, major supply items, and computation of indirect costs. ORDM will provide assistance in development and format for the budget and budget narrative if requested. Never make your reader guess about how you arrived at a particular amount.

Biographical Sketch

A biographical sketch is usually limited to two pages. It is required for each individual identified as senior personnel on a grant proposal. Following is the most acceptable format for a biographical sketch.

(a) Professional Preparation

List the undergraduate and graduate education and postdoctoral training as indicated below:

Undergraduate Institution(s)	City, State	Major	Degree & Year
Graduate Institution(s)	City, State	Major	Degree & Year
Postdoctoral Institution(s)	City, State	Area	Inclusive Dates (years)

(b) Appointments

List in reverse chronological order all academic/professional appointments beginning with the current appointment.

(c) Products

List up to five (5) products that are most closely related to the proposed project; and up to five (5) other significant products, whether related to the project or not. These products must be citable and accessible and can include publications, data sets, software, patents, and copyrights. Unacceptable products include unpublished documents that have not yet been submitted for publication; invited lectures; etc.

(d) Synergistic Activities

List up to five (5) examples that demonstrate the broader impact of the individual's professional and scholarly activities and that focus on the integration and transfer of knowledge as well as its creation. Examples could include innovations in teaching and training; contributions to the science of learning; development and/or refinement of research tools; computation methodologies, and algorithms for problem-solving; development of databases to support research and education; broadening the participation of groups underrepresented in STEM; and service to the scientific and engineering community outside of the individual's immediate organization.

Do not submit any personal information (i.e. home address, home phone, fax, cell phone number, personal email, drivers' license number, marital status, hobbies, etc.) in the biographical sketch.

Current & Pending Support

List all current & pending support, including the proposal being submitted, and any subsequent funding in the case of continuing grants whereas a portion of time of the principal investigator and other senior personnel must be included, even if they are to receive no salary support from the project(s). The current and pending support must sow the number of person-months being devoted to the project. All current project support from whatever source (e.g. federal, state, local, foreign, public and private foundations, industrial and commercial organization, or internal funds allocated toward specific project, must be listed.

Collaborators & Other Affiliations
Depending on the agency, this section may be included in the biographical sketch, or in the case of NSF proposal submissions, it must be a separate document. The following information regarding collaborators and other affiliations must be provided for each individual listed as senior personnel.

Collaborators and co-Editors. A list of all persons in alphabetical order, including current organizational affiliation, who currently, or who have been collaborators or co-authors with the individual on a project, book, article, report, abstract or paper during the 48 months preceding the submission of the proposal. Individuals who are currently or have been co-editors of a journal, compendium, or conference proceedings during the 24 months preceding the submission of the proposal can also be included. If there are no collaborators or co-editors to report, indicate "None."

Graduate Advisors and Postdoctoral Sponsors. A list of the names of the individual's own graduate advisor(s) and principal postdoctoral sponsor(s), and their current organizational affiliations, if known. If there are none, indicate "None."

Thesis Advisor and Postgraduate-Scholar Sponsor. A list of all persons, including their organizational affiliation, if known, with whom the individual has had an association as thesis advisor. Also list all persons with whom the individual has had an association within the last five years as a postgraduate-scholar sponsor. If there are none, indicate "None."

Data Management Plan
If a Data Management Plan is required, work with College of Education Office of Information Technology. The plan must be limited to no more than two pages, and must conform to the agency's policy on the dissemination and sharing of research results.

Specifically, the plan may include; (1) the types of data, sample, physical collections, software, curriculum materials, and other materials to be produced in the course of the project; (2) the standards to be used for data and metadata format and content (where existing standards are absent or deemed inadequate, should be documented along with any proposed solutions or remedies); (3) policies for access and sharing including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements; (4) policies and provisions for re-use, re-distribution, and the production of derivatives; and (5) plan for archiving data, samples, and other research products, and for preservation of access to them.

Appendix I: Sample Budget

Grants / Contracts
1 Year Budget

Sponsoring Agency : Agency XYZ
Principal Investigator : Jane Doe
NORM ID #: 17-0000
Titled : Project ABC

Period : 01/01/17 thru 06/30/18

						Year 1			CUMULATIVE
A. Salaries						Sal	FB	Total	
Senior Personnel		App't Type	% Effort	PM	Salary				
PI	Jane Doe	ACAD	12.50%	1.13	$ 115,000	14,375	$4,744	19,119	19,119
PI		SUMR	75.00%	2.25	$ 38,333	28,750	$9,488	38,238	38,238
Co		ACAD	0.00%	0.00	$ -	-	$0	-	-
		SUMR	0.00%	0.00	$ -	-	$0	-	-
Co		ACAD	0.00%	0.00	$ -	-	$0	-	-
		SUMR	0.00%	0.00	$ -	-	$0	-	-
Co		ACAD	0.00%	0.00	$ -	-	$0	-	-
		SUMR	0.00%	0.00	$ -	-	$0	-	-
Co		CAL	0.00%	0.00	$ -	-	$0	-	-
			0.00%	0.00	$ -	-	$0	-	-
	Senior Personnel Subtotal :					43,125	14,232	57,357	57,357
B. Other Personnel									
Position		Name							
SPA Staff			0.00%	0.00	$ -	-	0	0	-
SPA Staff			0.00%	0.00	$ -	-	0	0	-
SPA Staff			0.00%	0.00	$ -	-	0	0	-
Post Doctoral Support			0.00%	0.00	$ -	-	0	0	-
Graduate Students			100.00%	12.00	$ 18,000	18,000	2,943	20,943	20,943
Undergrad Students			0.00%	0.00	$ -	-	0	0	-
Temporary Staff			0.00%	0.00	$ -	-	0	0	-
	Sub Totals					18,000	2,943	20,943	20,943
	Total Salaries & Fringe					61,125	17,175	78,300	78,300
Total Salaries and Fringe Benefits :						**78,300**			**78,300**
D. Equipment									
(list)						-			-
(list)						-			-
Total Equipment :						**-**			**-**
E. Travel									
Domestic		(list)				5,000			5,000
International		(list)				-			-
Total Travel :						**5,000**			**5,000**
G. Supplies and Other Direct Costs									
Materials & Supplies									-
Publication Costs						1,000			1,000
Consultant Services						-			-
Participant Costs						3,000			3,000
Tuition rates (Not Subject to Indirect)						-			-
Other (Please specify)						-			-
Other (Please specify)						-			-
Subcontracts	**1)**					-			-
	2)					-			-
	3)					-			-
	4)					-			-
Total Supplies and Other Direct Costs :						4,000			4,000
			TOTAL DIRECT COSTS:			**87,300**			**87,300**
			Facilities and Administrative Cost Base:			87,300			87,300
Facilities and Administrative Costs Calculation:									
F&A Cost (on MTDC):		51.00%				44,523			44,523
Sub-Contract <$25,000 1):		51.00%				0			0
Sub-Contract <$25,000 2):		51.00%				0			0
Sub-Contract <$25,000 3):		51.00%				0			0
Sub-Contract <$25,000 4):		51.00%				0			0
Total F&A Cost :						**44,523**			**44,523**
Total Cost						**131,823**			**131,823**

Facilities and Administrative Data

Purpose of Grant / Contract :	R	(R = Research, I = Instruction, P = Public Service, S = Special Rate on Total Costs)
Special F&A Rate :	51.00%	
Campus Status :	C	(C = On Campus, O = Off Campus)

Last Revised: 11/06/2015

Appendix J: Direct Pay Request (DPR)

UNC Charlotte - Direct Pay Request Date Prepared **08/18/16**

Last Revised 5/20/2016

Document Number _____

1. Vendor Information

○ Individual/Vendor ○ UNC Charlotte Student ○ UNC Charlotte Employee

Before a check can be processed for a vendor (including Employees & Students), they must be established as a vendor in Banner Finance. Query for vendor with only **ALL** ☐ selected on FTIIDEN. Look for a "Y" under the "V" column. Check here if there is an "N". If a vendor is not found on FTIIDEN, a *Request for Taxpayer Information* form or *W-9*, must be attached for all vendors except Employees & Students.

UNC Charlotte ID #:

Payable to:

Address: Address Type

City:

State: Zip:

To verify address - access form SOADDRQ

If correct address is not found, complete Vendor Maintenance Form and send to TCP with Direct Pay Request.

(Non-employee vendors only)

2. Citizenship Status - one of the following boxes must be checked

☐ Payee is a U.S. Citizen or a Permanent Resident Alien

☐ Payee is a Nonresident Alien

☐ This payment *may* be taxable. Check box to gross up payment.

3. State Residency - check box if appropriate

☐ Out-of-state payee subject to 4% NC withholding

☐ This payment *may* be taxable. Check box to gross up payment.

4. Type of Payment (Check box that applies)

○ Reimbursement for _____

○ Invoice for (attach Invoice) _____

○ Participant Award Stipend for Continuing Education (attach Intent Letter)

○ Stipend/Award/Fellowship for Students

○ Prepayment (See prepayment tab for form)

○ Honorarium (attach Invitation Letter)

○ Reseach Subject Participation Payment (attach Documentation of Participation)

○ Other - Specify _____

5. Accounting Information

Authorized Signature	Invoice Date	Invoice # (if applicable)	Index/Fund	Account	Amount
				Total:	$0.00

6. Check Stub Information (i.e. Vendor Customer ID #, Account #, Subscription Name, Membership Name, or Student's ID)

7. Select Method of Check Distribution (check will be mailed to address given unless designated below)

☐ Mail to Payee ☐ Direct Deposit (see instructions) ☐ Pick up Check at Cashier's Window (special permission required) ☐ Return to Payroll (for Payroll use only) ☐ Enclosure copy attached

8. Signatures

The University requires W9 Tax information on file in the Accounts Payable Office before payments are issued.

Preparer's Printed Name	Preparer's Signature	Date	Phone Number	Requesting Department
Authorized Approver's Printed Name	**Authorized Approver's Signature**	**Date**	**Phone Number**	

9. Financial Services Approval and Routing Use Only

1099 Type

Additional Approval Required By:

Taxable Fringe for: _____

(Banner ID & Name)

Amount: _____

AP001 - Direct Pay Request

Appendix K: Personal Service Agreement

UNC CHARLOTTE
9201 University City Boulevard, Charlotte, NC 28223
Purchasing Department

Contractor's Name
Contractor's Address

Date

Dear Contractor's Name:

This letter confirms the terms and conditions of the agreement to serve as Contractor's Role for the University of North Carolina at Charlotte's Insert name of event. In all instances you and your firm are referred to as the 'Contractor' and UNC Charlotte as the 'University.'

Period of performance: This agreement is in effect from Enter start date and end date. If through any cause, excluding a Force Majeure event, the Contractor shall fail to fulfill in a timely manner the obligations under this Agreement, the University shall have the right to terminate this Agreement by giving written notice to the Contractor and grant the Contractor ten (10) days in which to correct such failure. If correction is not possible, all finished or unfinished assignments by the Contractor shall be entitled to receive compensation for any satisfactory work completed. The Contractor shall not be relieved of liability to the University for damages sustained by the University by virtue of any breach of this Agreement, and the University may withhold any payment due to the Contractor until such time as the exact amount of damages due the University from such breach can be determined.

Description of work to be performed: Describe project and include the total cost

Payment schedule: The Contractor shall invoice the University upon the completion of major tasks as outlined above. The University shall pay the Contractor within thirty (30) days of the receipt of invoice. The University is tax exempt and should not be billed for federal or state sales or use taxes. Any and all payments to the Contractor are dependent upon and subject to the availability of funds to UNC Charlotte per the State Budget Act, NCGS Ch. 143C. List progress payment schedule (if applicable) in this section.

Confidentiality Statement: The Contractor must maintain in confidence any confidential information obtained during the course of performing under this Agreement. "Confidential information" is any information designated as confidential by the University, including but not limited to information about personnel and students of the university to the extent such information is not available to the public in accordance with the N.C. Personnel Act and the Family and Education Records Privacy Act (FERPA). If there are any questions about what is or what is not covered by this confidentiality

obligation, please consult with the University's Office of Legal Affairs. With respect to confidential information, the Contractor will not release, copy or discuss in any format, any confidential information, and must at the completion of work under this agreement and at the University's option, shred or otherwise completely destroy or return any documents, or other records that contain confidential information.

Tax Provisions: The Contractor is responsible for their own federal and state taxes. If the Contractor is not a resident of North Carolina and is not otherwise exempt from federal income taxation or exempt under NC General Statute 105-163.1, UNC Charlotte will withhold a 4% nonresident income tax from payment(s) greater than $1,500 to the Contractor during any one calendar year for the consultation or Contractor's services, in accordance with NC General Statutes 105-163.1 - 163.3. The Contractor may not represent themselves as an employee or agent of UNC Charlotte. Payments made directly or indirectly to foreign national individuals or companies may be subject to an additional withholding tax of as much as 30%. Any contracted services with foreign national individuals or companies are contingent on proper immigration authorization.

Intellectual Property: Copyright in all deliverable items produced in whole or in part under this Agreement vests in University and may not be the subject to an application for copyright by or on behalf of the Contractor. To the extent that such deliverable are not works made for hire, the Contractor assigns all copyright in such items to the University and will execute any further documents necessary to perfect title in the University. Further, all inventions conceived or reduced to practice as part of the Contractor's performance of this project vests in the University, and the Contractor must assign all rights therein to the University.

Reimbursement Provisions: All expenses incurred in the course of performing the work described above will be reimbursed by UNC Charlotte, in accordance with the university's policies on reimbursements of employees.

NOTICE FOR FORMER STATE EMPLOYEES NOW RETIRED AND RECEIVING STATE RETIRMENT SYSTEM BENEFITS: State retirees returning to work for a state entity, even as an independent contractor, may be at risk of losing their retirement benefit and having to repay benefits already received. Under the new State definition of "retirement," a State employee may only receive their retirement benefit when that person has: (1) completely separated from active service with "no intent or agreement, express or implied, to return"; and (2) not performed work of any kind for the State, including "part-time, temporary, substitute, or contractor service," during the first six months following retirement.

Earnings limits for State retirees also apply. The formation of a corporation does not exempt retired employees from the statutory earnings cap. If the corporation is formed for the purpose of providing services to a State employer based on a contract, and the employees are primarily State retirees, then the corporation is not exempt from earnings restrictions. However, if a retiree goes to work for an established corporation that (1) has multiple employees not predominately former State employees, and (2) the corporation provides contract services to multiple employers that are not Public agencies, then those earnings would not be subject to restrictions under N.C.G.S.135-3(8)c.

Indemnification and Hold Harmless Provisions:
a. Any personal injury to the Contractor or third parties or any property damage incurred in the course of performance of this Agreement is the Contractor's responsibility, unless such injury or damage is the result the negligent act or omission of a university employee such that the injury or damage is compensable under the N.C. Tort Claims Act, NCGS Ch. 143-291, et seq.
b. The Contractor must indemnify UNC Charlotte, The University of North Carolina, their governing boards, officers, employees, agents, and students from and against any and all costs, losses, damages, liabilities, expenses, demands, and judgments, including court costs and attorney's fees that arise out of the Contractor's performance of this Agreement, except to the extent such are caused by the sole fault or negligence of UNC Charlotte.

Contract Venue: It is agreed between the parties hereto that the place of this contract whether sounding in contract or tort relating to the validity, construction, interpretation, and enforcement of this Agreement shall be Mecklenburg County, North Carolina, in accordance with the substantive law of North Carolina.

Access to Persons and Records: The State or university auditor shall have access to persons and records as a result of all contracts or grants entered into by State agencies or political subdivisions in accordance with General Statute 147-64.7

This Agreement may be amended by mutual written agreement of the parties.

Agreed to and accepted by:

CONTRACTOR

Printed Name: _____
(Contractor's Authorized Representative)

Signature: _____

Title: _____

Date: _____

DEPARTMENT

Requested by: _____
(Printed Name)

Signature: _____

Date: _____

UNIVERSITY

Approved by: _____

Title: _____

Date: _____

Appendix L: Vendor Information Form

UNC Charlotte
Vendor Information Form (aka Taxpayer Information Form)

PAYMENTS WILL NOT BE RELEASED UNTIL THIS FORM IS COMPLETED AND RETURNED.

We are required by federal law to obtain this information for each person to whom the University makes a payment. Failure to provide this information may result in payments being subject to 28% backup withholding and penalties imposed by the IRS. Once the form is completed, fax to 704-687-1450, or mail to UNC Charlotte, Travel & Complex Payments, 9201 University City Blvd, Reese Building, 3rd Floor, Charlotte, NC 28223. Completed forms containing an Employer Identification Number (EIN) may be emailed to ImageNowVend@uncc.edu. **This form is for U.S. persons only.** A resident alien is considered a U.S. person for tax purposes.

If you are a foreign person, complete Vendor Information Form-Foreign Persons (Form W-8BEN) and the Foreign National Information Form-Visitor Version.

For questions regarding any of these forms, please contact vendor-setup@uncc.edu or 704-687-5764.

Requesting Department: College of Educatio **Contact name:** Denise Fluellen **Contact Phone:** 7-7546

Purpose of Payment: Keynote Speaker

Part 1: TAX STATUS (complete the section that applies)

US Individuals: (Form 1099 reportable) (Individuals are *not* a "doing business as", a company name, or alternative)

Individual Name (as shown on your tax return): _____

Individual Social Security Number: (If providing SSN, DO NOT EMAIL FORM) _____

US Sole Proprietor: (Form 1099 reportable) (A sole proprietorship may have a "doing business as" trade name, but the legal name is the business owner). If you supplied your personal SSN as the Tax ID, you must provide your name as it is issued with your SSN. If you provided an EIN provided to you by the IRS for your business, you must provide the legal business name registered for EIN.

Business Owner's Name (as shown on your tax return): _____

Business Owner's Social Security Number: (PLEASE DO NOT EMAIL FORM) _____

Business or Trade Name: _____

Business EIN: _____

US Partnership, Limited Liability Partnership, Limited Liability Company or Trust, etc.: (Form 1099 reportable) (Non-corporations)

Name of Partnership/Company Name (as shown on your tax return): _____

Partnership's/Company's EIN: _____

US Corporation (must be a "C" or "S" corporation only), Exempt organization, or Federal, State or Local Government Agency:

Name of Corporation or Entity (as shown on your tax return): _____

Corporation's EIN: _____

Required: Check the correct status below. If a status is not selected, a 1099 will be issued regardless of status.

_____ Corporation: Not medical, healthcare or legal service provider
_____ Corporation: Medical, healthcare or legal services (all 1099 reportable)
_____ Tax exempt organization under 501 or IRA
_____ The United States or any of its agencies or instrumentalities (federal government)
_____ A state, the District of Columbia, a possession of the United States, or any of their political subdivisions
_____ A foreign government or any of its political subdivisions located in the U.S. or U.S. Territories

Part 2: OTHER INFORMATION

Business Classification (Check all that apply)

_____ Asian American _____ African American _____ Hispanic American
_____ Disabled Owned _____ American Indian _____ Women Owned

Does your company accept Purchase Orders?
If so, please provide your preferred method. ☐ Email ☐ Yes ☐ No ☐ Fax ☐ CXML

UNC Charlotte Payment Terms are Net 30.

If alternate terms have been approved through contract with the University, indicate those terms here _____ (Purchasing Approval required)

Contact Person's Name: _____

Part 3: ADDRESS

	Order/Physical Address	Payment Remittance (Remit to) Address
Address Line 1:		
Address Line 2:		
City, State, Zip Code:		
Country:		
Phone Number:		
Fax Number:		
Email Address:		
Contact Person's Name:		

NOTE: If providing a P.O. Box remit address, you must also provide a Physical Address.

Part 4: CERTIFICATION **Signature (NOT a typed name) is required.**

Under penalties of perjury, I certify that (1) the number shown above is my correct taxpayer identification number; (2) I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the IRS that I am subject to backup withholding; (3) I am a U.S. person (including a U.S. Resident Alien); and (4) the information provided is complete and accurate as of this date.

Signature: _____ Date: _____

Printed Name: _____

AP010 - Vendor Information Form Last Revised: 7/16/2015

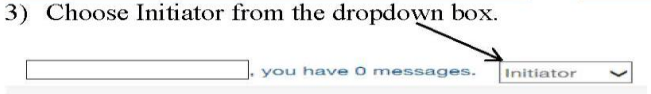
Appendix M: NinerTalent Update Instructions

How to Update Positions in NinerTalent

Changes/updates made to an employee's position will require both a PD7 and a NinerTalent update. Below are summarized instructions to follow when updating NinerTalent.

1) Login to NinerTalent
2) Choose Position Management from the dropdown box.

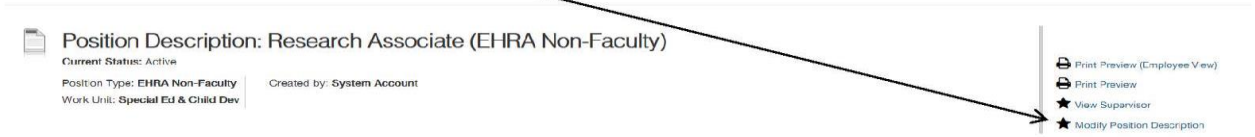
3) Choose Initiator from the dropdown box.



4) Choose the Position Descriptions type (SHRA, EHRA, etc.) from the dropdown box.

5) Click on the Position Number or choose "View" from the Actions dropdown box for the position to be updated.

6) Choose Modify Position Description



7) Scroll down to the section to be updated. Modify this section and save.
8) Upload a copy of the PD7 relating to the change.
9) Forward to CCOED Business Office (Katrina White) for approval. The document will then be routed to ORDM for approval.

NOTES