

# Change Request for Depts – Quick Guide

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## 1 Introduction

This guide has the high-level steps for submitting Advance Spending Requests and Change Requests in Princeton ERA, which replaces the OPAR PDF. See the Change Request Detailed Guide for step-by-step instructions and screenshots. Note that for awards that originated from Coeus proposals and for which there are no proposals in Huron, you will still have to continue using the OPAR form because in that scenario, there is nothing to tie the award to Princeton ERA.

## 2 Summarizing the differences between Advanced Spending Requests and Change Requests

### 2.1 The differences in the definitions of the requests

#### What is the difference between Advanced Spending Request + Change Request?

##### Advanced Spending Request

- Award has not arrived
- No PS award #
- FP is in “Pending Sponsor Review” or “Pending Sponsor Review Award Anticipated” state
- Use out-of-box Send Grants Status Update activity that’s been customized

##### Change Request

- Award is set up in PS
- PS award # exists
- FP is in Awarded state
- Use our custom Change Request activity

### 2.2 Differences in submitting Advanced Spending and Change Requests

#### Advanced Spending Request Steps

##### 1. Obtain PI + dept approval (via email or AR) first

- **Email:** PDF their approval emails before proceeding
- **AR:** Add ARs to PI and dept approver with “Review Type” of “Advance Spending Request”. Wait for the PI + dept approver to submit ARs before proceeding.

##### 2. Click on the Send Grants Status Update activity

- Select the new Advance Spending option
- Approved via email? Upload the PDF approval in Q3.
- Click OK to submit the request to ORPA.

##### 3. Don’t see the Send Grants Status Update activity?

- Only available on proposals in “Pending Sponsor Review” or “Pending Sponsor Review Award Anticipated” states
- Only available to the Admin Contact (AC) – but you can change the AC to yourself
  - Click on the Manage Access activity to change the AC to you, then you’ll see the Send Grants Status Update activity

# Change Request (CR) Steps

## PI and Dept approve via email

1. Obtain email approvals first + PDF the responses.
  - If you are the dept approver, you will not send an email to yourself.
2. Click on the Change Request activity
3. Complete Q1-Q5, uploading the email approvals in Q5.
4. Check the box in Q6 to indicate the request is ready to submit
5. Click OK and OK again to save and submit the request to ORPA.

## PI and Dept approve via AR

1. Click on the Change Request activity first.
2. Complete Q1-Q5. Do not check the box in Q6. Click OK and OK again to save the request.
3. Click on Manage AR. Send ARs to the PI and dept approver. Select type Change Request and check off the CR#s in Q6.
  - If you are the dept approver, you will not send an AR to yourself.
  - Don't see the CR #s in AR Q6? Go back to the CR and uncheck the box in CR Q6. It's also possible the second OK was not pressed on the CR summary screen.
  - You will have to close your AR and start your AR over again after unchecking the Q6 box or clicking the second OK.
4. After the PI and dept approvers submit their ARs, click on the Change Request activity and click on update next to that CR.
5. Check the box in Q6 to indicate the request is ready to submit.
6. Click OK and OK again to save and submit the request to ORPA

### **Notes:**

- The Change Request activity is available only on proposals in the Awarded state.
- PI + Dept approval not required for additional project(s) requests.

## 3 Advance Spending Requests

### 3.1 Submitting the request

- Before starting the request, obtain the approval from the PI and the dept approver first, either by email or by Ancillary Review (AR). Department approvers are people with delegated authority by their department (chair/dept manager) to approve advance spending requests. Delegation should be consistent with dept processes. If you are the dept approver, you will not add an email to yourself or an AR to yourself.
  - Send the PI and the dept approver an email asking for their approval.
    - The email should include the FP number, title, and sponsor, to orient the PI and dept approver to which proposal the advance spending is being requested. It should also include the advance spending start and end dates and the backup chartstring.
    - Example: "Dear PI, Do you approve of an advance spending request on (FP number) (FP title and FP sponsor)? The advanced spending dates will be between (start date) and (end date). The backup chartstring is deptID-fundID-programID."
  - Or, send the Ancillary Reviews to the PI and dept approver.
    - Q2 AR type: "advance spending request"
    - Q4 comments: The ancillary review email sent to the ancillary reviewer includes the FP# and Title, but not the sponsor. Adding the sponsor in the Q4 comments helps orient the PI and dept approver to which proposal the advance spending is being requested. Q4 comments should also include the advance spending start and end dates and the backup chartstring.
      - Example: "Dear PI, Do you approve of an advance spending request on this proposal (FP sponsor). The advanced spending dates will be between (start date) and (end date). The backup chartstring is deptID-fundID-programID."
- Click on the Send Grants Status Update Activity.
  - If you don't see the activity:
  - The proposal has to be in the "Pending Sponsor Review" or "Pending Sponsor Review Award Anticipated" states.

- The activity is only available to the Admin Contact, but you can change the Admin Contact to yourself. Click on Manage Access, change the admin contact to yourself, then click OK. Then you will see the Send Grants Status Update activity.
- In the pop-up window, select Advance Spending.
- Complete Q1a-1e.
- Enter any comments in Q2.
- If PI and dept approvals were obtained via email, upload the PDFs of their approvals in Q3.
- Click OK. The request is sent to ORPA.

## 3.2 What happens after the request is submitted to ORPA?

- The status of the proposal changes from “Pending Sponsor Review” or “Pending Sponsor Review Award Anticipated” to “Proposal Status Confirmation”.
- Any comments entered in Q2 and attachments in Q3 appear on the History tab. The Q3 attachments also appear on the Attachments tab.
- Click on the Send Grants Status Update activity name in the History tab to view a slide-in window to see how the questions were answered.
- The admin contact and Specialist listed on the proposal receive an automated email.
- The proposal appears in the “My Inbox” tab for the Specialist (GCA) assigned on the workspace.
- The GCA reviews the request.
  - If the GCA returns the request to you, the status of the proposal will change to Pending Sponsor Review. Automated email is not sent, but the GCA can use the Send Email activity to let you know that they returned it to you. Execute the activity again if you need to make changes and resubmit your request.
- Otherwise, the GCA will move the request to the Pending Sponsor Review Award Anticipated state and follow the process they use today to assign the proposal to an Award Specialist for processing in PS. Automated email is not generated, but the GCA can use the Send Email activity to let you know the request has been assigned to the Award Specialist for setup in PS.

## 4 Change Request

1. Note: Almost all automatic system notifications generated during this process are sent to the person listed as the Admin Contact on the Personnel page.
  - a. To see who is the Admin Contact on this FP, click on the Manage Access activity in the left navigation bar.
  - b. The Admin Contact is displayed. If you are not the Admin Contact and you want the system notifications to go to you, change the Admin Contact to yourself and click Save.
2. Before adding your change request to the system, determine how your request will be approved by the PI and the dept approver, either by email or by AR, as that impacts the order of steps for submitting a change request.

### 4.1 Additional project(s) requests -or-requests the PI and dept approves via email

- Additional project(s) requests do not require PI nor dept approver approval.
- All other requests require approval. In this scenario, the PI and dept approver are approving via email instead of the AR process. Department approvers are people with delegated authority by their department (chair/dept manager) to approve change requests. Delegation should be consistent with dept processes. If you are the dept approver, you will not send an email to yourself.
- Send the PI and the dept approver each an email asking if they approve of the request, before you start the request in Princeton ERA.
  - The email should include the PS Award number, award title, and award sponsor, to orient the PI and dept approver as to which award the request is for. It should also include the information that is in the change request fields for that request.
  - For example, a no cost extension request: “Dear PI, Do you approve of an no cost extension on (awardID) (award title) (award sponsor) to extend the end date from (current award end date) to (new award end date)?”
- PDF their approvals.
- Click on the Change Request activity in the left navigation bar. Note, the Change Request activity is only available on proposals in the awarded state that are not -REV proposals—navigate to the original proposal and add the change request there.
- Click on Add.
- Answer Q1-Q5.

- Select your GCA in Q4
- Be sure to upload the email approval PDFs in Q5.
- Check the box in Q6 to submit the request to ORPA.
- Click OK on the change request screen for that request.
- Click OK on the change request summary screen. This second OK saves your answers and submits the request to ORPA.

## 4.2 Requests the PI and dept approves via Ancillary Review

- In these directions, the PI and the dept approver are approving via ancillary review. Department approvers are people with delegated authority by their department (chair/dept manager) to approve change requests. Delegation should be consistent with dept processes. If you are the dept approver, you will not add an AR to yourself.
- First, start the change request in Princeton ERA. You will not be able to add ancillary reviews for your change request until you start the request and complete Q1-Q5.
  - Select your GCA in Q4.
- Do not complete Q6 because that submits the request to ORPA.
- Click OK on the request screen.
- Click OK on the summary screen. This second OK saves your request.
- Click Manage AR, then Add.
  - Q2: Select “Change Request” as the ancillary review type.
  - Q4: Enter the request. These comments appear in the email sent to the person in Q1.
    - The comment should include the PS Award number, award title, and award sponsor, to orient the PI and dept approver as to which award the request is for. It should also include the information that is in the change request fields for that request. The email sent to the PI will contain the comment you write here.
    - For example, a no cost extension request: “Dear PI, Do you approve of a no cost extension on (awardID) (award title) (award sponsor) to extend the end date from (current award end date) to (new award end date)?”
  - Q6: Select the change request numbers. If no change request numbers are available for selection:
    - The second OK on the change request summary screen might not have been clicked. Close the AR screen without saving and see if the Change Request summary screen is still open. Click OK, then start a new AR.
    - Q6 in the change request screen was checked, but it has to be unchecked to select CR#s in AR Q6. Close the AR screen without saving. Click on the Change Request activity, then click Update next to the CR you are working on, then uncheck Q6. Click OK on the Change Request screen, then OK on the Change Request summary screen. Start a new AR.
  - Repeat for the dept approver.
- After the ARs are completed by both the PI and the dept approver, navigate back to your change request and check the box in Q6 to submit your request to ORPA.
- Be sure to click OK on the CR screen and click OK on the CR summary screen, as that second OK is what saves your answers.

## 4.3 What happens after the Change Request is submitted

- An automated email is sent to the person listed in Q4.
- The GCA in Q4 will review the request.
- The admin contact receives automated email as change requests flow through the system, such as when the person listed in Q4:
  - Initially reviews the request and returns it to you.
  - Sends it to the sponsor for approval, if required.
  - When the sponsor reviewed and rejects the request.
  - Sends the request to the Award Specialist for processing in PS either because sponsor approval was not required or the sponsor approved the request.
  - To let you know the request does not require sponsor review nor PS updates.
  - When the Award Specialist has completed processing the updates in PS.

## 4.4 How to track requests

- Automated emails notify the admin contact at each stage of ORPA review and processing (see the next section for email samples).
- Navigate to the proposal, click on the Change Request to view the Change Request summary screen, then click on Update to view any ORPA comments in Q8 and Q12.
- ORPA staff should use the Add Comment activity to add the CR# and comments to the History tab at key stages (returning request, pending sponsor approval, rejected by sponsor, approved by sponsor and needing PS updates, PS updates

complete, sponsor approval not required but requires PS updates, sponsor approval not required and PS updates not required.)

- In the future, an IW report will be developed later to allow you to see all of your dept's change requests and their status at one time