



These **Research Project Guidelines** are excerpted from the “Master Agreement for Services for Research and Development and Training Projects,” NCSU Contract No. 98-1783, with additional requirements, dates and clarification necessary for SPR funded project management.

*[You may download a copy of the Master Agreement, these guidelines, and other documents from ITRE's website (<http://itre.ncsu.edu/research/>)]*

### **Funding, Budgets and Time Periods**

- Research funding is contracted by University Academic Year (August 16 – August 15).
- In the case of multi-year projects:
  - The Project Authorization period may be up to three academic years in duration.
  - There will be only one financial account number.
  - Authorized funds are awarded at the start of each academic year. Awards for subsequent years will be added to the existing financial account number in the beginning of the respective academic year.
  - Deficit spending during any authorized academic year against subsequent academic year funding is not allowed.
  - Should it be necessary to adjust funds between academic years, prior approval and a revised project authorization and a revised budget spreadsheet will be required.
- For exceptional circumstances, should you need additional time to complete the project work, without any changes in scope of work, submit a written request for a no-cost extension through your university to ITRE at least 30 days before the authorized expiration date of the project. You must include documentation of your Steering and Implementation Committee (StIC) chair approval. Such approval shall be requested through the State Research Engineer.

### **Budget Revisions**

- A budget revision must be submitted if a new line item is created.
- If any reallocation of funds among approved project budget items is necessary and such amount exceeds \$3,000, then prepare a formal budget revision through your university with a written justification, including StIC chair and State Research Engineer approval; then, submit the budget revision package to ITRE as soon as the need becomes evident, but **no later than July 15** for the academic year.
- Subject to the requirements above, and only if it is needed, funds may be reallocated among approved budget line items without a formal budget revision for budget shifts at or under \$3,000. To do so, submit electronically to ITRE and the State Research Engineer a revised budget spreadsheet with justification for the shift. Once you receive an approval notification from the State Research Engineer, show these reallocations, and justification thereof, in the next quarterly progress report or end of year report.
- Unless the project scope changes or there are justifiable extenuating circumstances, budget revisions involving requests for additional funds for a given academic year are not allowed.
- If changes in the project scope of work or extenuating circumstances warrant supplemental funds, submit revised project and budget authorizations along with detailed justification in writing through your university to ITRE as soon as the need becomes evident, but **no later than May 31** for a given academic year. The StIC chair and State Research Engineer must concur with the proposed revisions in order for them to be considered by the NCDOT.
- The budget template and budget revision template (spreadsheets) are available on ITRE's website <http://itre.ncsu.edu/research/> under “full proposal submissions” and “ongoing research project guidelines” and must be used for all projects.



## Documents, Publications, and Presentations

### ▪ **Quarterly Progress Report**

- Submit a Quarterly Progress Report on or before the last day of the quarter being reported. Use standard forms as provided at <http://itre.ncsu.edu/research/ongoingguidelines.htm>. Submit the progress report electronically to the NCDOT Research Engineer assigned to your project and to ITRE ([rsf@unity.ncsu.edu](mailto:rsf@unity.ncsu.edu)).
- In the quarterly progress report budget table, under “Current” column, show cumulative academic year expenditures (not balance remaining). For each line item, show your best estimate of cumulative expenditures to date. Do not substitute printouts from your financial office.

### ▪ **Draft Final Report**

- Submit to the State Research Engineer a Draft Final Report in the specified format within 45 days of the end date of the research project. Submit as many hard copies as number of members of the StIC and one hard copy to ITRE. Include software, data, etc., in appropriate electronic media.
- The draft final report should follow the outline provided at <http://itre.ncsu.edu/research/ongoingguidelines.htm>. The draft final report shall also contain a standard disclaimer and a technical documentation page, both found at the same web address.
- StIC comments will be provided back to you usually within 45 calendar days of receiving the draft final report.
- The draft final report shall present findings in U.S. Customary units. S.I. units may be shown parenthetically in the text. Empirical formulae derived in the research shall be provided in dual units.
- The hard copy version of the draft final report shall not contain any color fonts, color graphs, or color photographs. Software, data, etc., provided in appropriate electronic media may contain color images and fonts.

### ▪ **Final Report**

- Submit to the State Research Engineer the Final Report in the specified format within 30 calendar days of receiving StIC comments. Submit a single document on a CD-ROM in MS Word and PDF format. All pages, graphs, photos, etc., included in the hard copy version of the report shall be contained within each one of these files and formatted accordingly. Multiple files for the Technical Documentation Page, Title Page, appendices, etc., are not acceptable. However, software, data, etc., shall be included on the CD-ROM as separate files. In addition, submit a camera-ready hard copy manuscript.
- The final report should follow the outline provided at <http://itre.ncsu.edu/research/ongoingguidelines.htm>. The final report shall also contain a standard disclaimer and a technical documentation page, both found at the same web address.
- The final report shall present findings in U.S. Customary units. S.I. units may be shown parenthetically in the text. Empirical formulae derived in the research shall be provided in dual units.

The hard copy version of the final report shall not contain any color fonts, color graphs, or color photographs. The CD version of the final report may contain color images and fonts.



▪ ***Presentations and Papers***

- Should you plan to make a presentation or submit a paper based on your on-going research project, send a copy of the presentation or paper, including initial abstract, with a request for approval to the State Research Engineer at least 60 days in advance of the activity.
- For on-going research projects, papers or presentations should be limited to the scope of the work, plan of research, and methods for the research, etc., and should not contain actual raw data, preliminary findings and assessments, or results of analyses.

▪ ***On-Going Project***

- A project is considered to be on-going throughout the approved period of performance and continuing through 45 calendar days beyond the submittal date of the draft final report.

**Project Travel Necessary for Conducting Research Activities**

- Travel out of the U.S.A. is not allowed under these project authorizations.
- Travel costs must be an approved budget line item covering conducting the research only.
- Details of all in-state and out-of-state travel completely identified as necessary to perform research tasks in the signed project authorization can be considered as pre-approved. Travel must be specifically identified and by academic year with a clear purpose related to the project research only.

**Conference/Workshop/Seminar Travel**

- All in-state and out-of-state travel to conferences, workshops, and seminars will be limited to the purpose of presenting a paper that is being considered for or has been accepted for presentation and publication in a proceeding or journal.
- Such travel approved for reimbursement will be limited to one person.
- Submit a written or electronic request for travel approval to the State Research Engineer at least 45 calendar days before the departure date with a copy to ITRE. Include (1) Purpose of travel (2) Destination, (3) Dates inclusive of departure and return, (4) Registration fee, and (5) Total amount requested. *[The State Research Engineer will copy ITRE on NCDOT's response.]*
- If the State Research Engineer approves the travel, fill out the NCSU Travel Reimbursement Request Form (or other approved form by ITRE) and submit to ITRE for processing for reimbursement once the travel is complete.

**Non-expendable Equipment**

- To be reimbursable, non-expendable equipment having an initial acquisition cost of \$5,000 or more must be identified in the academic year project budget authorization under "Equipment."
- Submit requests for approval for acquisition to the State Research Engineer at least 30 calendar days before purchase.
- Following acquisition, receipt of non-expendable equipment should be documented in the quarterly progress report.
- Within 30 calendar days after completion of the project, submit an itemized list to the State Research Engineer of all non-expendable equipment purchased by the project funds.
- All P.I.s should expect NCDOT to request the return of non-expendable equipment.