

New Fund Number (Includes Sponsored Award Waiver) - Instructions

New Funds are requested when it is necessary to segregate funding sources; e.g. when a new funding source is identified and must be monitored for a specific purpose or project. If a cost share fund is being requested a Cost Share Close Out form is required.

For restricted funds only:

Pre-Award Waiver: Requesting a Pre-Award Waiver set-up allows for work to begin, hiring of staff and posting of incurred expenditures to the appropriate funding source while awaiting receipt of a fully negotiated sponsored award. There are no date limitations to request a Pre-Award Waiver. The minimum required fields for Pre-Award Waiver fund set-up are indicated with an asterisk. Please note the fund start and end dates can be modified if the executed award differs from the dates specified below. Also, a funding amount is not required, but an estimate will aid in monitoring. Refer to section 3.15.15 of the [Business Procedures Manual](#) for conditions that must be met to setup an award on Pre-Award Waiver.

Form submission:

Restricted request submit to:

- Plant Funds route to SPA at spa_plant@nmsu.edu
- Sponsored awards, submit through NMSU SPA Workflow
- Financial Aid, Federal/County/Local appropriations, submit through NMSU SPA Workflow
- Gift or Endowment route to Foundation giftacct@nmsufoundation.org

Unrestricted & Agency requests:

- Enter a ticket in [Aggie Service Desk](#)

Section 1: Must be completed by the Requestor.

1. The effective date for fund determines the fiscal year
2. Select what type of fund it should be: Unrestricted, Restricted, Agency, Loan or Other. Restricted funds are those where an external party is defining how the University can spend the funding. *Note: If the fund is restricted continue with #3, otherwise go to #7.*
3. Select Yes or No if there is an existing grant. If Yes, continue with question #4. If No, go to #5.
4. Provide the existing Grant ID.
5. Enter Institution number. Contact Research Administration Services (RAS) if this is not known.
6. Enter Budget end date.
7. Contact spa_sysadmin@nmsu.edu for additional EEC information.
8. The fund will account for all net assets items such as Cash, Accounts Payable, Fund balance, etc. It is also the equivalent to the General Ledger.
9. The amount that is allowed for the funding.
10. Describe the funding source for this new fund.
11. This person will be responsible for entering the requisitions for the new fund number.
12. This person will be report the expenditures for the new fund number.
13. Enter the F&A percentage rate allowed by the Sponsor next to the appropriate Campus (On or Off) box.
14. Enter the Financial Manager/Responsible Person Name, their Aggie ID# and email address.
15. Enter the Fund Title (no more than 35 characters long). The title should be representative of the specific funding source while staying within the guidelines set for a fund type (e.g. restricted may differ from unrestricted).
16. The index title should match the title of the Fund title to represent the funding source. (no more than 35 characters long)
17. The date that funding is expected to be available needs to be the Effective Date for the fund. The index will also have the same Effective Date. The Banner Effective Date for Restricted funds should match the Budget Start Date in most cases.
18. Choose funding source from drop down menu for UNRESTRICTED funds only. This information is used by the Budget Office in their review
Note: If there is more than one major funding source, then multiple funds should be created.
19. Enter:
Org # and Org Name. The Org# is the string that represents the department, college, and executive level organization.
Program # and Program Name. The program defines how the funds are spent.
Activity # and Activity Name (if applicable). The active code is used to track special events
Location # and Location Name (if applicable). This is used to track the building and room number to be placed on the fixed equipment records.
***If the program code is research, research rolls up to 16, you must complete page 3.**



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***Restricted Routing Below**
Unrestricted & Agency
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SECTION 1: REQUESTOR INFORMATION

* Date (mm/dd/yyyy): _____ * Requestor Name: _____ * E-mail Address: _____

* Phone: _____ * Department: _____

SECTION 2: REQUEST DETAILS **Note: A New Fund and a New Index will be created.**

1. FY: _____ 2. Please check one:

Unrestricted: _____

***Restricted:** ☐ Gift ☐ Plant ☐ Endowment ☐ Grant/Contract _____

☐ Loan ☐ Agency _____ ☐ Other _____

If Restricted, please go to number 3, if Unrestricted proceed to number 8.

3. * Is there an existing Grant ID established for the fund? ☐ Yes ☐ No - Indicates New Grant 4. * If yes, provide existing Grant ID #: _____

5. * Streamlyne Institutional Proposal # : _____ 6. * Budget End Date (mm/dd/yyyy): _____

7. * EEC Admin: _____ * ID: _____ EEC Pre-Rev: _____ ID: _____

8. Purpose of New Fund: _____ 9. Funding Amount: _____

10. Describe funding source for New Fund: _____

11. Who will enter requisitions for this fund? (Required) _____ Department: _____

12. Department to report these expenditures: _____

13. * F&A Rate Allowed: ☐ On Campus: _____ % ☐ Off Campus: _____ %

14. * Financial Manager Name: _____ * Aggie ID: _____ * E-mail: _____

15. * Title of Fund (35 characters): _____ * 16. Title of Index (35 characters): _____

17. * Fund Effective Date (mm/dd/yyyy): _____ Budget Start Date (restricted only): _____

18. For Unrestricted Funds only, Click down menu for options for source of funding: _____ Other Sources: _____

19. * This fund is associated with: *If the program code is research 1600, please complete page 3.							
Org #:		Org Name:		Program #:		Program Name:	
Activity #:		Activity Name:		Location #:		Location Name:	

SECTION 3: APPROVAL

* Printed Name: _____ * Signature: _____ * Date: _____

☐ Principal Investigator ☐ Dean/VP/CC President ☐ Designee **OR** **For Aggie Service Center Units** ☐ Dept Head/Dir ☐ Principal Investigator

SECTION 4: REVIEW AND APPROVAL

Printed Name: _____ Signature: _____ Date: _____

SECTION 5: INTERNAL USE ONLY

New Fund #: _____ Fund Type #: _____ Index #: _____ Predecessor Fund #: _____

Processed by: _____ Date: _____

To help us accurately report information to the National Science Foundation, please indicate the following for all restricted and unrestricted Research Program Codes that roll up to 16:

1. Source of Funding (check only one)

- ☐ **A. U.S. Federal Government:** Any Agency of the United States Government.
- ☐ **B. State and Local Government:** Any State, County, Municipality, or Local Government entity in the United States, including State Health agencies. Include State Funds that support R&D at Agricultural and other Experiment Stations.
- ☐ **C. Business:** Domestic or Foreign Nonprofit Foundations or Organizations.
- ☐ **D. Nonprofit Organizations:** Domestic or Foreign Nonprofit Organizations.
- ☐ **E. Institutional Funds:** Institutionally financed organized research.
- ☐ **F. Other:** Other sources not reported above, such as funds from Foreign Governments.

2. Type of Research (check only one)

- ☐ **A. Basic research:** Research undertaken primarily to acquire new knowledge without any particular application or use in mind.
- ☐ **B. Applied research:** Research conducted to gain the knowledge or understanding to meet a specific, recognized need.
- ☐ **C. Development:** The systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems or methods, including the design and development of prototypes and processes.

3. Field of Science (check only one)

Please contact afr@nmsu.edu for questions regarding any of the below NSF classifications.

- | | |
|---|---|
| <input type="checkbox"/> A. Computer and Information Sciences | <input type="checkbox"/> F. Physical Sciences |
| <input type="checkbox"/> B. Engineering | <input type="checkbox"/> G. Psychology |
| <input type="checkbox"/> C. Geosciences, Atmospheric, and Ocean Sciences | <input type="checkbox"/> H. Social Sciences |
| <input type="checkbox"/> D. Life Sciences | <input type="checkbox"/> I. Other Sciences |
| <input type="checkbox"/> E. Mathematics and Statistics | <input type="checkbox"/> J. Non-S&E Sciences |

4. For Unrestricted Research Only (check only one)

- ☐ **A. Organized Research:** Funding that is derived from institutional funds (e.g., gifts, endowment income, interest income, technology licensing income, operating budget, etc.) through a competitive application and award process, and when the research activity has the same general characteristics of an externally sponsored research project.
Funds provided by the University that are used to cover costs committed and incurred on behalf of an externally sponsored project.
- ☐ **B. Departmental Research:** Any research and development activity that does not meet the criteria of Organized Research.
Examples include:
1) New faculty startup funds which are provided on a non-competitive basis
2) University support of faculty salaries for non-sponsored research