



Amendments Policy and Procedures

August 2018

Policy Objective

It is the policy of Cal State East Bay that the campus shall have policies and/or procedures in place to ensure that all amendments to awards are done in accordance to sponsor award terms and conditions.

Policy Statement

It is the responsibility of the Principal Investigator/Project Director to notify the appropriate personnel in the Office of Research and Sponsored Programs (ORSP) of any modifications to their award. A modification or amendment is an award document that changes any aspect of an existing award. Modifications include but are not limited to the following:

- No-Cost Time Extensions (NCTE/NCE)
- Administrative changes initiated by the sponsor
- Adding or deleting special terms and conditions
- Change of PI or senior key personnel
- Change of effort beyond what is allowed by PI or senior key personnel
- Rebudgeting (Supplemental Funding or Budget Reduction)
- Carryover of unspent funds or Overdraft of funds
- Incremental/continuation funding
- Any modification in the overall scope of the project.

This policy requires that the campus ensures that there are guidelines established to comply with sponsor requirements and applicable laws, regulations, and sponsor guidelines.

Departments impacted

- Academic Affairs
- ORSP
- Accounting and Finance
- Risk Management

Procedure

Many times during the life of an award changes are needed and these changes can include but are not limited to the following:

- Changes in PI
- Change in Co-PI
- Change in Institution
- Change in Scope of Work
- Modification of Subrecipient
- Supplements
- Other

In any of these cases it is important that ORSP be immediately informed of these changes. Loss of funding may result if these matters are not contractually negotiated and may put the PI and University at risk. All award amendments must be processed through ORSP.

Most agencies require a notice of 10-90 days prior to an award's original end date. ORSP must be notified for all NCE approvals requested/received from an award's sponsor. ORSP is also responsible for updating appropriate departments of award amendments. The NCE request template is provided by ORSP analysts and must be printed on the PI's department letterhead.

No Cost Extensions

NCE must always include the following:

- Justification for NCE with progress-to-date
- Length of NCE, new end date, and new final report date
- Estimate of funds expected to remain unobligated on the scheduled end date
- Plan for use of funds during the extension period.

A Grants Amendment Form is filed after the NCE request is approved by the University; Accounting and University Advancement are notified (and provided with the attached Grant Amendment package).

For NSF awards:

1. The first NCE is considered a "notification" and is approved by the grantee.
2. If more time is needed after the first extension, the second NCE is a "request" to be approved by NSF.
3. "Notifications" and "requests" are submitted by the PI via Fastlane.

For NIH awards:

1. If the NCE is allowed on an NIH award, the link for the "extension" is posted under "status" of the NIH Commons 90 days before the award's end date
2. Once the link is posted, ORSP submits a request – to initiate the request, the PI submits a request to his/her ORSP analyst with the required information.

Budget Modification

The PI initiates budget revisions in writing notifying ORSP staff (usually via e-mail).

- For the budget revisions which require funding agency approval, ORSP will submit a re-budgeting request to the sponsor upon justification provided by the PI.
- Internally approved budget revision requests are submitted in writing (usually via e-mail) and are reviewed and approved by ORSP staff.
- Externally approved budget revision requests are submitted to the sponsor and require approval from the ORSP and the sponsor.