



Amendments Policy and Procedures

Nov. 2019

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 completed 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, including (but not limited to) No-Cost Extensions, Changes in PI or Key Personnel, Rebudgeting, and/or a change in scope of work. The campus will follow all applicable laws, regulations, and sponsor requirements and guidelines.

Procedure

Proper documentation of award changes will be included in the respective grant record. Only in the event of contractual changes will an internal Award Amendment Form be completed and routed to the respective departments/colleges and campus officials for approval. Once approved, the amendment document shall be communicated to all appropriate parties, including University Accounting. All award amendments should be processed through ORSP.

No Cost Extension (NCE) Requests:

NCE requests should include a justification for the extension, the new end date, and a plan for use of funds during the extension period. The investigator will coordinate with ORSP or other appropriate campus units to communicate the extension request to the sponsor. If needed, an NCE request template can be provided by ORSP, printed on the PI's department letterhead, and submitted per sponsor's guidelines.

For NSF awards:

The first NCE is considered a grantee authorized extension, initiated and approved by the PI and coordinated with ORSP. If more time is needed after the first extension, the second NCE is a "request" to be approved by NSF. "Notifications" and "requests" are submitted by the PI and ORSP via Fastlane, within the time frame specified by the program/award.

For NIH awards:

If the NCE is allowed on an NIH award, the PI submits a request to ORSP with the required information within the time frame specified on the notice of award/NIH regulations. ORSP will submit the request via eRA Commons.

Internal Amendments for an extended end date, or for other reasons:

Some sponsors do not specify a specific project end date. Internal award documentation may list an appropriate end date so that ORSP, Accounting, and other campus units may include this information in their records. If the project extends beyond the initial end date specified, an internal Award Amendment Form may be routed to provide an "official" record of the change. The new end date is not communicated to the sponsor if the funder does not require it. This process may be followed for other changes where internal documentation is needed.