## Guidance for Award Modification Requests

<table>
<thead>
<tr>
<th>Modification Request Type</th>
<th>Description</th>
<th>Sponsor Approval Required?</th>
<th>SPA Form Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Revision / Supplement</td>
<td>Add additional funding received that was not originally requested. (Includes supplemental funds awarded NOT budget bumps).</td>
<td></td>
<td>Award document, can come from department or RA</td>
</tr>
<tr>
<td>2 Revision / Supplement</td>
<td>Add Budget Bump payment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 No Cost Extension</td>
<td>Request first-time no cost extension (federal grants only), SPA has expanded authority</td>
<td></td>
<td>No Cost Extension Request Form sent via UVMClick to SPA RA, no signatures needed on internal form unless unit is cost sharing during the NCE.</td>
</tr>
<tr>
<td>4 No Cost Extension</td>
<td>Request no cost extension, where SPA does not have expanded authority</td>
<td>Yes</td>
<td>NCE internal form along with sponsor required documentation, SPA RA will submit to sponsor, once approved and returned to UVM, SPA RA will process through SPA to extend date in PS.</td>
</tr>
<tr>
<td>5 Re-budget</td>
<td>Request to create a new project under an existing award when sponsor funded amount <strong>has not</strong> changed</td>
<td></td>
<td>Attach completed new project request form and rebudget request form, if applicable. LINDA AND EMILY TO DO WORKFLOW</td>
</tr>
<tr>
<td>6 Re-budget</td>
<td>Request approval to rebudget funds within an allocation, when sponsor approval <strong>is not</strong> required. (i.e. direct cost category excludes F&amp;A. Open a zero dollar budget line, add a purpose code to a chartstring, etc..)</td>
<td></td>
<td>Attach completed rebudget request form and any additional information required for the specific budget line being requested (see Rebudget Procedure)</td>
</tr>
<tr>
<td>7 Re-budget</td>
<td>Request approval to rebudget funds within an allocation, when sponsor approval <strong>is</strong> required.</td>
<td>Yes</td>
<td>Attach justification and request for sponsor approval along with completed rebudget request form</td>
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<td>8 Re-budget</td>
<td>Request a budget line that would typically be treated as an indirect cost to be opened on an allocation (federal funds only)</td>
<td></td>
<td>Attach completed rebudget request form along with a direct cost justification form, if not already approved by SPA</td>
</tr>
<tr>
<td>9 Re-budget</td>
<td>Request a budget line that would typically be treated as an indirect cost to be opened on an allocation for Cost Share</td>
<td></td>
<td>Attach completed rebudget request form along with a direct cost justification form, if not already approved by SPA</td>
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<tr>
<td>10 Re-budget</td>
<td>Request sponsor approval to transfer funds budgeted for a specific purposes to other direct cost categories (i.e. participant support costs).</td>
<td>Yes</td>
<td>Attach justification and request for sponsor approval along with completed rebudget request form</td>
</tr>
<tr>
<td>11 Re-budget</td>
<td>Request Sponsor approval to rebudget funds that exceed award limitations (i.e. 10%, 25% of the total budget).</td>
<td>Yes</td>
<td>Attach justification and request for sponsor approval along with completed rebudget request form</td>
</tr>
<tr>
<td>12 Re-budget</td>
<td>Request to increase or decrease budget between existing allocations when sponsor approval is not required (net $0 change)</td>
<td></td>
<td>Attach completed rebudget request form</td>
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<td>13 Re-budget</td>
<td>Request to increase or decrease budget between existing allocations when sponsor approval is required (net $0 change)</td>
<td>Yes</td>
<td>Attach justification and request for sponsor approval along with completed rebudget request form</td>
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<tr>
<td>14 Re-budget</td>
<td>Request a change in cost share/match that is different than what was approved by the sponsor</td>
<td>Yes</td>
<td>Attach justification and request for sponsor approval along with completed rebudget request form</td>
</tr>
<tr>
<td>15 Re-budget</td>
<td>Request additional cost share budgets that do not require sponsor approval</td>
<td></td>
<td>Attach completed rebudget request form</td>
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<tr>
<td>16 Re-budget</td>
<td>Request Sponsor approval to purchase equipment exceeding $25,000 not originally budgeted for and awarded</td>
<td>Yes</td>
<td>Attach justification and request for sponsor approval along with completed rebudget request form</td>
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<tr>
<td>17 Continuation</td>
<td>Adding new non-competing or competing funds awarded under the same sponsor award id, that requires new allocations (projects).</td>
<td></td>
<td>Award Document</td>
</tr>
<tr>
<td>18 Continuation</td>
<td>Adding new non-competing or competing funds awarded under the same sponsor award id, that does not require new allocations (projects).</td>
<td></td>
<td>Award Document</td>
</tr>
<tr>
<td>19 Carryover</td>
<td>Request Sponsor approval to allow carryover from one budget period to the next where carryover is <strong>restricted</strong></td>
<td>Yes</td>
<td>Carryover request form, detailed carryover budget, budget justification, and checklist (if NIH). CHANGE TO CURRENT PRACTICE, LINDA AND LANA TO WORKFLOW</td>
</tr>
<tr>
<td>20 Carryover</td>
<td>Request rebudget to carryover from one budget period to the next where carryover is <strong>not</strong> restricted</td>
<td></td>
<td>Attach completed rebudget request form</td>
</tr>
<tr>
<td>21 NGA Revised</td>
<td>Adding non-competing funds to the existing allocation. Happens if some funds were restricted.</td>
<td></td>
<td>Award Document</td>
</tr>
<tr>
<td>22 Budget Allocation Correction</td>
<td>Rebalance of budget during management and closeout of award when F&amp;A is affected</td>
<td></td>
<td>Attach completed rebudget request form</td>
</tr>
<tr>
<td>23 Budget Allocation Correction</td>
<td>Request a budget correction to the initial setup in PeopleSoft</td>
<td></td>
<td>Attach completed rebudget request form</td>
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<tr>
<td>24 Budget Allocation Correction</td>
<td>Request a budget correction to the initial setup in PeopleSoft for CS</td>
<td></td>
<td>Attach completed rebudget request form</td>
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<tr>
<td>25 Budget Allocation Correction</td>
<td>Request Pre Award Costs after the award is established in Peoplesoft (federal funds only)</td>
<td></td>
<td>Attach Pre-Award Form</td>
</tr>
<tr>
<td>26 Early Termination</td>
<td>Request Relinquishment of an award and transferring to another University</td>
<td></td>
<td></td>
</tr>
<tr>
<td>27 Early Termination</td>
<td>Request award be terminated earlier than originally anticipated. Award spending dates are cut back.</td>
<td>Yes</td>
<td>PI/Dept. Admin. contacts SPA RA to process to sponsor need to terminate early. Once approved by sponsor, process early termination through UVM.</td>
</tr>
<tr>
<td>28 Sponsor Change</td>
<td>Sponsor name change,</td>
<td>Yes</td>
<td>Award Document</td>
</tr>
<tr>
<td>29 Personnel Change</td>
<td>Change in PI, Change to NIH Multiple PI Plan</td>
<td>Yes</td>
<td>PI/Dept. Admin. contacts SPA RA to process to sponsor need for prior approval request. Once approved by sponsor, SPA RA process through UVM.</td>
</tr>
<tr>
<td>30 Personnel Change</td>
<td>PI and Other Named Key Persons reduction of time devoted to the project by 25% or greater,</td>
<td>Yes</td>
<td>PI/Dept. Admin. contacts SPA RA to process to sponsor need for prior approval request. Once approved by sponsor, SPA RA process through UVM.</td>
</tr>
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<td>31 Personnel Change</td>
<td>Change of Key Persons specifically identified in the NOA</td>
<td>Yes</td>
<td>PI/Dept. Admin. contacts SPA RA to process to sponsor need for prior approval request. Once approved by sponsor, SPA RA process through UVM.</td>
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<td>32 Other Changes (T&amp;C, Compliance Update, etc.)</td>
<td>Project Title changes</td>
<td></td>
<td></td>
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<td>33 Other Changes (T&amp;C, Compliance Update, etc.)</td>
<td>Purpose or Activity changes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>34 Other Changes (T&amp;C, Compliance Update, etc.)</td>
<td>Subaward - Ending a Subaward</td>
<td></td>
<td></td>
</tr>
<tr>
<td>35 Other Changes (T&amp;C, Compliance Update, etc.)</td>
<td>Change in Scope</td>
<td>Yes</td>
<td>PI/Dept. Admin. contacts SPA RA to process to sponsor need for prior approval request. Once approved by sponsor, SPA RA process through UVM.</td>
</tr>
<tr>
<td>36 Other Changes (T&amp;C, Compliance Update, etc.)</td>
<td>Adding or removing award Term and Conditions, Updates to FCOI, IRB, IACUC</td>
<td>Yes</td>
<td>Award Document</td>
</tr>
<tr>
<td>37 Other Changes (T&amp;C, Compliance Update, etc.)</td>
<td>CFDA number, FAIN, Changing Responsible Unit; Changes in Project Title, Purpose or Activity Codes</td>
<td></td>
<td>Award Document or Department Communication</td>
</tr>
<tr>
<td>38 Other Changes (T&amp;C, Compliance Update, etc.)</td>
<td>FAIN changed</td>
<td></td>
<td>Award Document or Department Communication</td>
</tr>
<tr>
<td>39 Other Changes (T&amp;C, Compliance Update, etc.)</td>
<td>CFDA Number changes</td>
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