



Award Modification Requests

Instructional Guide

Last Updated: February 26, 2020

<p>PI/Dept Administrator initiate each request noted below thru the UVMClick - Award Modification Module.</p>							
<p>Requests requiring Sponsor Approval: SPA will review/sign and submit or coordinate submission to the sponsor. Upon reply, SPA will complete the action in UVMClick and PeopleSoft.</p>							
	Find Your Request Type Below	Who Approves Request	Type of Modification	Upload the Completed Document	Description of Requested Changes	Forms or Resources	SPA Next Steps
1	Award Set-up, continuations (i.e. competing, non-competing) or supplemental funds awarded	SPA	<p>Stop: Do not complete the Award Mod Request SmartForm. Send Award document to spa@uvm.edu.</p>				SPA will Review & Complete Process
2	First time No-Cost Extension of a federal grant	SPA	No Cost Extension	Upload completed NCE Request Form.	Provide a brief summary of request.	NCE Request Form	SPA will Review & Complete Process

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3	No-Cost Extension	Sponsor	No Cost Extension	Upload letter going to sponsor, signed by PI. Letter should explain any 25% or more reduction of time devoted to the project of the PI, Co-PI, Co-I. Upload any other required sponsor documentation. Upload completed NCE Request Form.	Provide a brief summary of request. Identify sponsor's eSystem being used.	Sample NCE Request Letter, NCE Request Form	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
4	Request re-budget of funds (within or between existing projects) when sponsor approval is not required	SPA	Re-Budget	Upload completed Re-Budget Request Form.	Provide a brief summary of request.	Re-Budget Request Form	SPA will Review & Complete Process
5	Request re-budget of funds (within or between existing projects) when sponsor approval is required	Sponsor	Re-Budget	Upload letter going to sponsor signed by PI, completed Re-Budget Request Form, and any other required sponsor documentation.	Provide a brief summary of request.	Re-Budget Request Form	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
6	Request a decrease in mandatory cost share amount	Sponsor	Re-Budget	Upload letter going to sponsor signed by PI, Re-budget Request Form, and any other required sponsor documentation.	Provide a brief summary of request.	Re-Budget Request Form	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
7	Request an increase to the current cost share budget(s) setup in PeopleSoft	SPA	Re-Budget	Upload completed Re-Budget Request Form.	Provide a brief summary of request.	Re-Budget Request Form	SPA will Review & Complete Process
8	Request additional cost share budget(s) be setup in PeopleSoft	SPA	Re-Budget	Upload completed Re-Budget Request Form.	Provide a brief summary of request.	Re-Budget Request Form	SPA will Review & Complete Process

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9	Request a normally indirect cost item be charged as a direct cost (federal funds only)	SPA	Re-Budget	Upload completed Re-Budget Request Form, and Direct Cost Justification Form (if required).	Provide a brief summary of request.	Re-Budget Request Form, Direct Cost Justification Form	SPA will Review & Complete Process
10	Request a new project be created, under an existing award	SPA	Re-Budget	Upload completed New Project Request Form.	Provide a brief summary of request.	New Project Request Form	SPA will Review & Complete Process
11	Request re-budget of funds restricted to a specific purpose (i.e. participant support costs) to other direct cost categories	Sponsor	Re-Budget	Upload letter going to sponsor signed by PI, completed Re-Budget Request Form, and any other required sponsor documentation.	Provide a brief summary of request.	Re-Budget Request Form	SPA will review/submit request to Sponsor. Upon reply SPA will complete process.
12	Request re-budget of funds that exceed Sponsor limitations (i.e. 10%, 25% of the total budget)	Sponsor	Re-Budget	Upload letter going to sponsor signed by PI, completed Re-Budget Request Form, and any other required sponsor documentation.	Provide a brief summary of request.	Re-Budget Request Form	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
13	Request purchase of equipment exceeding \$25,000, not originally budgeted for and awarded	Sponsor	Re-Budget	Upload letter going to sponsor signed by PI, completed Re-Budget Request Form, and any other required sponsor documentation (quote, specs).	Provide a brief summary of request.	Re-Budget Request Form	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
14	Request approval to carryover the unspent balance of funds from one budget period to the next budget period.	Sponsor	Carryover	Upload carryover request letter, include a detailed carryover budget, budget justification, and any other sponsor required information.	Provide a brief summary of request.	Carryover Procedures	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.

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15	Request a budget rebalance between direct and indirect cost line items	SPA	Budget Allocation Correction	Upload completed Re-Budget Request Form.	Provide a brief summary of request.	Re-Budget Request Form	SPA will Review & Complete Process
16	Request a budget correction to the initial budget setup in PeopleSoft	SPA	Budget Allocation Correction	Upload completed Re-Budget Request Form.	Provide a brief summary of request.	Re-Budget Request Form	SPA will Review & Complete Process
17	Request pre award costs after the award is established in PeopleSoft (federal funds only)	SPA	Budget Allocation Correction	Upload completed Pre-Award Request Form	Provide a brief summary of request.	Pre-Award Request Form	SPA will Review & Complete Process
18	Relinquish Award that will be transferred to another University and cut back budget period end date	Sponsor	Early Termination	Upload sponsor required Relinquishment Statement. Upload other sponsor required information.	Provide a brief summary of request, include stop spending date. Identify sponsor's eSystem being used.	Relinquishment Procedures	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
19	Terminate award early and cut back budget period end date	Sponsor	Early Termination	Upload early termination letter, signed by PI. Include stop spend date, any other information required by sponsor.	Provide a brief summary of request, include stop spending date. Identify sponsor's eSystem being used.		SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.

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20	Change in PI, Change in contact PI	Sponsor	Personnel Change	Step 1 is to receive Vice President for Research (VPR) internal approval to change PI, see VPR Change of PI memo . Step 2, upload VPR approval, upload letter requesting change, signed by the new PI/new contact PI. The letter should address the amount of time devoted to the project by the new PI. Upload updated Other Support document and biosketch of the new PI.	Provide a brief summary of request. Identify sponsor's eSystem being used.	Prior Approval Procedures	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
21	Change of Key Persons specifically identified in the Sponsor Notice of Award	Sponsor	Personnel Change	Upload letter requesting change, signed by the PI. The letter should address the change, amount of time devoted to the project by the new key person. Upload updated Other Support document and biosketch of the new key person.	Provide a brief summary of request. Identify sponsor's eSystem being used.	Prior Approval Procedures	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
22	Request a 25% reduction or more in time devoted to the project by the PI and Other Named Key Persons	Sponsor	Personnel Change	Upload letter requesting change, signed by the PI. The letter should explain why the need to reduce effort. Explain any impacts on the project completing on time. Explain how the cost savings will be used to support the project.	Provide a brief summary of request. Identify sponsor's eSystem being used.	Prior Approval Procedures	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
23	Change to NIH Multiple PI Plan	Sponsor	Personnel Change	Upload letter, signed by the contact PI, requesting the change. Upload a revised Multi-PI Leadership Plan, addressing all changes, per NIH Policy requirements.	Provide a brief summary of request.	Prior Approval Procedures	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
24	Subaward - early termination	SPA	Other Changes (T&C, Compliance Update, etc.)	Upload letter, signed by the PI, requesting the change. The letter should explain the circumstances.	Provide a brief summary of request.	Contact the outgoing Subaward Specialist	SPA will Review & Complete Process

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25	Add a domestic or foreign Subaward not included in the award	Sponsor	Other Changes (T&C, Compliance Update, etc.)	Upload letter requesting change, signed by the PI. The letter should explain why the new subaward is needed. Include the subaward scope of work, budget, budget justification, biosketch of the subaward PI, Co-I.	Provide a brief summary of request. Identify sponsor's eSystem being used.	Prior Approval Procedures	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
26	Change in Scope/Significant changes/Significant changes in methods/procedures including a change in animal model	Sponsor	Other Changes (T&C, Compliance Update, etc.)	Upload letter, signed by the PI, requesting the change. Letter should describe in detail the need for the change.	Provide a brief summary of request. Identify sponsor's eSystem being used.	Prior Approval Procedures	SPA will review/sign/submit request to Sponsor. Upon reply SPA will complete process.
27	Change Project Title	SPA	Other Changes (T&C, Compliance Update, etc.)	Upload any other relevant information/documents	Provide a brief summary of request.		SPA will Review & Complete Process
28	Change the Award's Responsible Administrative Unit (i.e. Department)	SPA	Other Changes (T&C, Compliance Update, etc.)	Upload any other relevant information/documents	Provide a brief summary of request.		SPA will Review & Complete Process
29	Change Terms and Conditions (T&C) changes	SPA	Other Changes (T&C, Compliance Update, etc.)	Upload any other relevant information/documents	Provide a brief summary of request.		SPA will Review & Complete Process