

Office of Sponsored Programs Administration

Post Award Modifications

Post Award Modifications

- Expanded Authorities – what does it mean?
- Change in Scope of Work
- No-Cost Extension of Time
- Rebudgeting
- Change in PI or Key Personnel
- Absence of PI > 3 months
- PI Reduction in time devoted to project
- Preaward Spending
- PI Transfer
- Carryforward

Expanded Authorities

- Federal agencies that support research have provided award terms that allow significant flexibility on the part of academic institutions being funded.
- Federal agencies have the right to waive certain cost-related and administrative approvals and permit an institution to make decisions regarding these items.
- These waived approvals are often referred to as the “expanded authorities”.

<p>Post Award Changes –when ISU has Expanded Authorities</p> <ul style="list-style-type: none"> <input type="checkbox"/> On select Federal awards only <input type="checkbox"/> Request for a one time, no-cost extension of up to 12 months, <provided reason is not simply to spend remaining funds> <input type="checkbox"/> Preaward spending within 90 days prior to start date of award <input type="checkbox"/> Rebudgeting that does not create a change in the scope work
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<p>Post Award Changes – require Agency approval</p> <ul style="list-style-type: none"> <input type="checkbox"/> Change in scope or objective of project <input type="checkbox"/> Need for additional funding <input type="checkbox"/> Sponsor approved extension <input type="checkbox"/> Rebudgeting <ul style="list-style-type: none"> <input type="checkbox"/> Purchase of some equipment <input type="checkbox"/> Transfer of funds allotted for training allowances (direct payments to trainees) into other categories <input type="checkbox"/> Subaward or transfer of significant portion of work, unless approved in original budget <input type="checkbox"/> Change of PI and/or Key Personnel <input type="checkbox"/> Absence for more than 3 months or a 25% reduction in time devoted by PI <input type="checkbox"/> Preaward costs more than 90 days prior to start date of award

<p>Other Post Award Changes requiring Agency approval</p> <ul style="list-style-type: none"> <input type="checkbox"/> The transfer of amounts budgeted for F&A to absorb increases in direct costs, or vice versa, if approval is required by the Federal awarding agency <input type="checkbox"/> Inclusion, unless waived by the Federal awarding agency, of costs that require approval in accordance with OMB Circular A-21

Changes in Scope of Work

Changes in Scope of Work **ALWAYS** require Sponsor approval. A request must be sent to the sponsor requesting approval of the change. The request should contain PI and OSPA signatures.

ISU Approved Extension

- When sponsor has given ISU expanded authority to approve 1st extension, ISU can approve a one time, no-cost extension, up to 12 months
 - Notice must be sent to sponsor that ISU has approved extension
 - Provide justification for extension
 - Must be done prior to termination of project
 - Notice to sponsor must be sent/received 10 days prior to end date (check sponsor guidelines for exact time notification is required – please give OSPA 30 days lead time)

ISU Approved Extension

- Internal extension request form:
<http://www.ospa.iastate.edu/AwardProcess/docs/NoCostExtRequest.doc>
- For NSF: Initiate “Grantee Approved” notice in FastLane instead

Sponsor Approved Extension

- Provide justification for extension
- Provide estimated remaining balance
- Plan for use of remaining funds
- Also check sponsor guidelines for any other information required
- Signature by both PI & OSPA on letter request
 - when approval is being requested for 2nd (or more) no-cost extension of time
- Request must be submitted 2 months in advance of end date (check sponsor guidelines for exact time notification is required)

Sponsor Approved Extension

- Letter example for a 2nd (or more) no-cost extension request, can be found at:
<http://www.ospa.iastate.edu/AwardProcess/docs/NoCostExt-ltr.doc>
- For NSF: Initiate “NSF Approved No-Cost Extension” request in FastLane instead

Rebudgeting

- Approved shift in dollars from one budget line item to another
- Request prior to cost being incurred
- When sponsor has given ISU Expanded Authority to approve rebudgeting
 - Provide justification for change in budget
 - Show detail of budget changes
 - + and - of budget change must equal
 - Address if budget change affects the scope of work (if scope of work changes, will need agency approval)

Rebudgeting

- Line Item Restrictions
 - (e.g. equipment, subcontracts, trainee allowances (participant costs))
- Budget Deviations
 - Federal Award > \$100,000 cumulative amount of transfer exceeds 10% of total budget

Internal forms

- Rebudget Request Form:
<http://www.ospa.iastate.edu/AwardProcess/docs/RebudgetRequest.doc>
- Subcontract Request Form:
<http://www.ospa.iastate.edu/AwardProcess/docs/SubcontractRequest.doc>

Change of PI or Key Personnel

- External request approval from funding agency
 - Justification for replacement PI
 - Send new PI VITA & Current and Pending support information (also check sponsor guidelines for any other requirements of request)
 - Signatures of PI & OSPA required on request to sponsor
- Internal ISU changes required
 - Revised GoldSheet, or
 - Internal PI Change Request form (used for PI change where dept and admin unit remain the same) – request copy and use of template from ospa-awards@iastate.edu

PI Reduction in time devoted to the project

- 25% reduction in time devoted to the project by PI.
 - Reduce time devoted to the project by 25 percent or more from the level that was approved at the time of award (for example, a proposed change from 40 percent effort to 30 percent or less effort).

90 Day Preaward Spending

- When sponsor has given ISU Expanded Authority to approve Preaward Spending
 - ISU can approve preaward spending up to 90 days prior to start date of the award
 - the advanced funding is necessary for the effective and economical conduct of the project; and the costs are otherwise allowable
 - Request approval from OSPA via e-mail request, provide justification for spending prior to start date of award

> 90 Preaward Spending

- The request must be received and approved by sponsor prior to charging such costs to the award.
- The request must include a justification for the incurrence of the pre-award costs and a general breakdown of how the funds will be used along with the dollar amounts.
- The request must contain the signature of OSPA and the PI.

<p>Other Post Award Actions</p> <hr/> <p><input type="checkbox"/> PI Transfers (to or from ISU)</p> <p><input type="checkbox"/> Carryforward</p>
