

PREPARATION OF GRANT AND CONTRACT CHANGES

Procedure: 8-13

Effective: July 1, 2002

Owner: Office of Sponsored Programs

Latest Revision: August 27, 2018

Scope

This procedure is to document the process for requesting changes in a sponsored project award which may require sponsor or institutional approval.

System References

Grant and Contract Change Request Form (SP-23)

Dept: Office of Sponsored Programs

Policy

Policy VIII.A.5, "Grant and Contract Changes":

Responsibility

The Principal Investigator/Project Director

The Principal Investigator is responsible for initiating and authorizing the request for Award changes and submitting a SP23 form.

The Department Chair

The Department Chair is responsible for approving or denying the At-Risk request, thereby assuming the financial responsibility of the Department in the event that funds are not forthcoming.

School/Departmental Administrators

The School/Department administrator is responsible for preparation and submission of the SP-23 form to the Office of Sponsored Programs, including the provision of appropriate signatures and approvals, as well as any supporting documentation (e.g. email from sponsor, etc.).

Office of Sponsored Programs

OSP is responsible for reviewing SP-23 forms for completeness; including ensuring all requests are in compliance with the sponsor and Institutional policies.

Distribution

- Principal Investigator
- Research Administrator -- School/Department
- Grants Specialist/Accountant -- Office of Sponsored Programs

Ownership

The Assistant Vice President for Research Administration is responsible for ensuring that this procedure is necessary, reflects actual practice, and supports University policy.

Procedure Steps

This activity is performed whenever it becomes necessary to request an "At Risk" Award for training grants or other changes involving a sponsored project that may require sponsor and/or institutional approval. For At Risk PTA set up requests, please also reference the [OSP - Request to Establish or Extend Awards Prior to Receipt of Funding \("At-Risk" Awards\)](#) procedure.

1. Complete top section, to fully identify the grant or contract in question.
2. Complete section A to select the appropriate change request not involving At Risk setups. For At Risk PTA setup request, please reference the [OSP - Request to Establish or Extend Awards Prior to Receipt of Funding \("At-Risk" Awards\)](#) procedure.
3. Complete Part B, Justification.
4. When sponsor approval is required for rebudgeting, attach a letter addressed to the sponsor concisely indicating the specifics and justification for the request. Endorsement by the Director of Sponsored Programs is required prior to submission to the sponsor.
5. In those instances where approval of rebudgeting has been delegated by the sponsor to the University, i.e., National Institute of Health, no letter to the sponsor is required. However, justification for the rebudgeting action must be provided in Part B. Where the request will result in a redistribution of funds within the grant account, show both the complete current budget distribution and how it is to be redistributed.
6. When requesting non-budgetary changes in grant and contract terms and conditions, (i.e., project period extensions, reporting requirements, change of principal investigator, etc.), attach a letter addressed to the sponsor justifying the request.
7. Complete Section C in the case of At Risk Awards. For At Risk PTA set up request, please reference the [OSP - Request to Establish or Extend Awards Prior to Receipt of Funding \("At-Risk" Awards\)](#).
8. Obtain the endorsements (under Section D) attesting to the propriety of the request in relation to the objectives of the project as initially approved by the Sponsor.

End of Activity

