Office of Research Services

Grant Change Approval Request Form

Revised OMB Circular A-110 published in the Federal Register of November 29, 1993, permits granting agencies to waive certain "prior approval" restrictions and expand the post-award authority of grantee institutions to: (1) incur pre-award costs, (2) extend an assistance program, (3) make limited budget revisions or (4) carry forward unobligated balances, unless specifically required by a Federal agency. Please use this form to request approval of these changes for your grant account.

Principal Investigator _______________________________  Phone _______________
Department ________________________________________________
Funding Agency _______________________________  Grant No. ____________
Grant Expiration Date _____________________________  CCU Account #_______
Title ________________________________________________________________

I request approval for the following: (see below for instructions).

____  No-Cost Extension to ___________________________ (date).
____  Pre-Award Costs in the amount of $_________________.
____  Budget Revisions (please provide details of your proposed revision)

Expected start date of the award is ____________________ .
Pre-award costs must be guaranteed by either a department head/chair or a dean/director. Specify who is guaranteeing the pre-award costs: ____________________________.

Please provide a complete explanation / justification of the above request (see accompanying pages for instructions):

_______________________ _____________ ________________________ ____________________
Principal Investigator Date Department Head/Chair Date

_______________________ _____________ ________________________ ____________________
Dean/Director Date Authorized Organizational Representative (OGSR) Date

______________________ ________________
Date request submitted to sponsor Date approval received
NO-COST EXTENSIONS

General Rule: CCU may approve a one-time no-cost extension of up to 12 months beyond the original expiration date of the grant or cooperative agreement (not contracts). Request must be made prior to current expiration date of grant. Review of request will consider summary of progress, estimate of funds remaining, and plans for the completion of the project. Such an extension may be made when one of the following applies: (a) additional time is required to assure completion of the originally approved project scope or objectives; or (b) continuity of grant support is required while a competing application is under review; or (c) the extension is necessary in order to permit an orderly phase out of a project that will not receive continued support. The fact that funds remain in the grant is not in itself justification for a no-cost extension. The CCU Office of Research Services must notify the appropriate Agency Grants Office of an extension at least 10 days prior to the original expiration date. Therefore, please submit your request at least 45 days prior to the expiration.


USDA-CSREES: CCU may approve a first-time no-cost extension of up to 12 months on a grant, up to a maximum award period of five years. The award period will commence as of the effective date cited in the grant, unless a pre-award period has been previously approved. In that case, the date the first pre-award cost has been incurred is considered the start date of the potential five year award period. Requests must include (1) the length of additional time required to complete project objectives and a justification for the extension, (2) a summary of progress to date, (3) an estimate of funds expected to remain unobligated on the scheduled expiration date, and (4) a projected timetable to complete the portion of the project for which the extension is being requested.

NOAA: Requests for a one-time no-cost extension of up to 12 months beyond the original expiration date must be made at least 30 days prior to current expiration of the grant and must include a budget, statement of work, and verification that funds will be used only to support approved activities. See General Rule for review criteria. CCU must notify NOAA 30 days prior to the original expiration date. Therefore, please submit your request at least 45 days in advance.

Army Research Office, Office of Naval Research, AFOSR: See General Rule. CCU must notify ARO within 30 days of the extension.

ALL OTHER AGENCIES: CCU is not authorized to approve no-cost extensions for other agencies. A letter requesting the extension, co-signed by the PI and the Office of Research Services, should be forwarded to the Agency Grants Officer for approval.
PRE-AWARD COSTS

**General Rule:** Approval may be granted for expenditure of funds up to 90 days prior to the expected start date of a new award. Advance funding must be necessary for the effective and economical conduct of the project. Pre-award costs will not be approved unless a Department Head/Chair or a Dean/Director guarantees to cover these costs in the event the grant is not received. Indicate who is making the guarantee in the blank provided.

**AFOSR, AID, ARO, DOE, EPA, NEH, NASA, NOAA, NSF, ONR, PHS, and USDA-PNW:** See General Rule

**USDA-CSREES:** In addition to the General Rule (above), the CCU Research Office must notify CSREES of pre-award cost approvals within 10 days of the approval.

**ALL OTHER AGENCIES:** CCU is not authorized to approve pre-award costs for other agencies. However, it may be possible to set up a "Risk Account" for awards which have passed the start date, but for which the award document has not yet been received. Contact the Office of Research Services for more information.

BUDGET REVISIONS

**General Rule:** Transfers of funds may be made between direct cost categories to further the goals of the project without prior approval unless they result in significant re-budgeting, changes to the scope or objectives of the award, changes in key personnel, or are specifically prohibited by the terms and conditions of the award. In general, any change that exceeds 25% of a line item category or 10% of the total award costs would be considered as “significant re-budgeting,” however, the definition of “significant” varies with sponsoring agencies therefore it is important to discuss your request with the Office of Research Services.

When requesting a budget revision, the Project Director must follow grant guidelines in determining allowability of budget revisions.

Budget revisions should be completed no later than 45 days before the end of the grant period.

**NSF, NIH/PHS, NEH, NOAA (except SC Sea Grant), US Depts. Agriculture, Commerce, Defense (AFOSR, ARO, ONR), Education, Energy:** see General Rule

**ALL OTHER AGENCIES:** When budget revisions do not fall under the institution’s “expanded authority” they must be reviewed and approved by the OGSR before being sent to the agency.