Approval of Post-Award Changes

**Purpose**
To clarify how and when to submit requests for approval of changes to a previously approved grant or contract to comply with sponsor and USU procedures.

**Applicability**
Principal Investigators (PIs) and administrators need to be aware that revisions to awarded project plans or budgets must often be approved, either internally by USU officials or by the sponsor, before they can be applied to the award. Regulated revisions that usually require approvals include:

- Change in scope or objective of the project
- Change of PI or other key personnel
- Change of PI institution
- Extended absence or disengagement of the PI
- Extension of the project and/or budget period
- Budget modifications
- Use of funds remaining from a prior budget period (carryover of funds)
- New subawards

**Instructions**

1. Review the award terms and conditions and sponsor policies to determine whether the proposed revision is allowed for that award and, if so, whether sponsor approval is required.
   a. Some changes may be approved internally by the Sponsored Programs Office (SPO) if sponsor approval is not required. Contact your SPO Grant and Contract Officer for guidance.

2. Depending upon the type of change proposed, a form, email, memo, or submission through a sponsor’s electronic portal may be used to request approval.

3. If sponsor approval is required, SPO will review and submit the request to the sponsor in coordination with the PI and/or department administrator.
   a. Approval must be received from the sponsor in writing prior to the implementation of any changes.
   b. SPO will process the approved change and share the information with Sponsored Programs Accounting (SPA). SPA will then update account records as appropriate for the change that has been approved.
      i. It is the PI and his/her department’s responsibility to monitor these changes in Kuali and Banner to ensure their accuracy.

4. If sponsor approval is not required, SPO and SPA will work with the PI and/or department administrator to update account records as needed. Budget modifications that do not require sponsor approval should be submitted directly to SPA for processing.
   a. **NOTE:** SPA can process these changes independent of SPO only when the requested rebudget is not moving funds into a restricted category, or a new category not previously established.