

Proposal/Grant/Contract Request for Modification Instructions and Form

If there will be changes from the agreed-upon project, a Request for Modification form needs to be completed and forwarded to the Research and Sponsored Programs (RSP) office. The RSP office will review the request and determine what action is needed (including contacting the sponsor). If you have questions about whether the submission of a Request for Modification is necessary please contact the RSP office. If this modification is for REF or FSG, return the Request for Modification form to the Vice President for Research office.

The Request for Modification form contains three sections that need to be completed by the PI before it is submitted to the RSP or VPR office. They are:

Sponsor Information Section
Type of Modification Section
Approvals Section

- **Sponsor**
Your sponsor is the organization that is providing funding for your project. Please list the sponsor's name in the space provided.
- **MTU Proposal #**
This is a tracking number for your proposal assigned by the RSP office. You can find this number on the monthly financial statements provided by your departmental coordinator. Please enter this number in the space provided.
- **Sponsor's Agreement #**
This is a number assigned by your sponsor to the funded project. This number can be found on the monthly financial statements provided by your departmental coordinator. Please enter this number in the space provided.
- **Index #(s)**
When your project is funded, Research Accounting assigns an index number (e.g. E2xxxx). This number can also be found on the monthly financial statements provided by your departmental coordinator. Please enter this number in the space provided.

TYPE OF MODIFICATION

There are nine types of modifications listed on the form. Check **only one** type of modification on each form and provide a short technical description of why the modification is necessary where indicated. If there is more than one type of modification for your project, submit a separate request form for each. The types of modifications are:

- **No-Cost Time Extension**
Check this box if the **only** change to the project is a request for a time extension beyond the project end date. Enter a new end date in the space provided. To avoid multiple requests, make sure you request enough time to complete the project. Indicate if this extension applies to any sub(s) associated with the project. Please be aware that if you are expecting a funding supplement or a continuation to your project you may need to request an Advance of Funds rather than a no-cost time extension. If you have questions, please contact the RSP office for guidance. Sponsor approval may be necessary for this type of modification. Please specify what work will be accomplished during the extension period.
- **Grant Transfer**
Check this box if the PI is moving to another university and wants to take his/her project with them. Please indicate the effective date of the transfer and specify the anticipated amount available for transfer (make sure all expenditures, including payroll and encumbrances, are taken into consideration). Indicate the effective date of transfer. This type of modification requires the signature of the Dean of the College or School.

TYPE OF MODIFICATION – continued

- **Budget Modification**

Check this box if significant project expenditures do not or will not fall within the lines of the approved budget. Common causes for this type of modification are: changes to the amount of salary a PI or co-PI may draw, changes in cost share amounts and/or contributors, unbudgeted purchases of equipment and unbudgeted international travel. Sponsor approval may be necessary for this type of modification. Please specify the categories and amount that will be decreasing and the categories and amount that will be increasing.

- **Personnel Change**

Check this box if key personnel are being added to or removed from the project. If the PI is leaving the University and would like the project to remain at MTU under the direction of a new PI, the new PI must sign the Request for Modification form and attach a current biographical sketch. The proposed new PI must also answer the conflict of interest question incorporated on the form.

- **Scope of Work**

Check this box when significant changes to the approved work plan are anticipated. Sponsor approval may be necessary for this type of modification.

- **Transfer and Close** (applicable only to FFP projects)

Check this box if the objectives of the project have been met, final payment from the sponsor has been received, and there are funds remaining in the project account that you would like to transfer to your incentive account. The indirect cost portion of the balance will be transferred to the central indirect cost index. If the amount you are transferring is 20% or more of the project amount, the approval of Dean of the College is required.

- **Carry Forward Unexpended Balance**

Check this box if, on a multi-year project, you would like to transfer unexpended funds from the end of one budget period to the next budget period.

- **Other**

Check this box if your proposed modification does not fit into any of the other categories. Indicate the modification requested.

- **Withdraw Proposal**

Check this box if you want to withdraw the proposal.

APPROVALS

By signing the Request for Modification form, you affirm that all required technical reports are up to date and complete.

- **Principal Investigator(s)**

Signs the completed form, makes a copy for the project file and then forwards the form to his/her Department Chair or School Dean for approval and signature.

- **Department Chair/School Dean**

Reviews the completed form and signs it, makes a copy for the file and routes it to the RSP office or to the College Dean's office in the cases of a grant transfer request or a transfer and close request where the amount to be transferred is 20% or more of the project amount.

- **College Dean**

The College Dean reviews grant transfer requests and transfer and close requests where the transfer amount is 20% or more of the project budget. The Dean approves the request by signing the form and routing it to the RSP office.

**Proposal/Grant/Contract
Request for Modification**



Sponsor _____ MTU Proposal # _____

Sponsor's Agreement # _____ Index #(s) _____

TYPE OF MODIFICATION [check one only - use separate form for each modification]

- No-Cost Time Extension**
 New end date _____
 extension applies to sub(s)
- Grant Transfer**
 \$ _____
 effective date _____
- Budget Modification**
 (Includes cost share
and/or cost share contributors)
- Personnel Change***
**Does a conflict of interest exist between the new personnel
and the sponsor? No Yes
If yes, conflict must be disclosed to MTU's Conflict of Interest Coordinator*
- Scope of Work**
- Transfer & Close**
 \$ _____
- Carry Forward Unexpended Balance**
- Other** _____
- Withdraw Proposal**

Please provide a short technical description of why modification is requested (see instructions for required details). The proper course of action will be determined by the special terms and conditions of the agreement.

APPROVAL(S) [by signing this form I affirm that all required technical reports are up to date and complete]

Principal Investigator(s)

Name _____ Signature _____ Date _____
Please print

Name _____ Signature _____ Date _____
Please print

Department Chair/School Dean/Supervisor

Name _____ Signature _____ Date _____
Please print

College Dean (if applicable, see instructions)

Name _____ Signature _____ Date _____
Please print

DO NOT WRITE BELOW THIS LINE

ACTION Approved Disapproved Request sent to sponsor

By _____ Date _____