# Requesting Changes to Sponsored Awards in GMAS: Guidance by “Other Request” Type

## Introduction
This document is intended to provide guidance to departments on how to request certain changes on sponsored awards. In most cases a formal GMAS Request is required, but not always. All of the requests in this document are handled by your Contracts Team representative in ORA. Department staff should always coordinate with their Contracts Team representative to ensure that appropriate approvals are sought from sponsors according to sponsor terms and conditions, and that appropriate ORA signoff is obtained for such requests to sponsors. For questions about this document, please contact your Contracts Team representative for further guidance.

## Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Additional Subagreement at No Additional Cost</td>
<td>1</td>
</tr>
<tr>
<td>2. At-risk Account(s)</td>
<td>1</td>
</tr>
<tr>
<td>3. Carryforward</td>
<td>2</td>
</tr>
<tr>
<td>4. Change PI</td>
<td>2</td>
</tr>
<tr>
<td>5. Change Tub/Org</td>
<td>3</td>
</tr>
<tr>
<td>6. Early Termination</td>
<td>3</td>
</tr>
<tr>
<td>7. Equipment Rebudget</td>
<td>4</td>
</tr>
<tr>
<td>8. Interfaculty Involvement (IFI) Addition at No Additional Cost (new part-of account)</td>
<td>4</td>
</tr>
<tr>
<td>9. New account(s) within Same Org</td>
<td>4</td>
</tr>
<tr>
<td>10. No-Cost Extension (NCE)</td>
<td>5</td>
</tr>
<tr>
<td>11. Pre-award Expenditure (for federal grants only)</td>
<td>6</td>
</tr>
<tr>
<td>12. Rebudget Restricted Categories</td>
<td>6</td>
</tr>
<tr>
<td>Appendix A – PI Signatures Required (per Request Type)</td>
<td>7</td>
</tr>
<tr>
<td>Appendix B – Rebudget Request Form</td>
<td>8</td>
</tr>
</tbody>
</table>
1. Additional Subagreement at No Additional Cost

GMAS Entry

When requesting any subaward that was not included at the proposal stage, enter a Subagreement Addition at No Additional Cost Request (under Changes to Existing Segment) with the information below:

- Enter the justification for the new Subagreement
- Create new subagreement within the Request: Click Subagreements > Create New Subagreement
  - Enter subrecipient institution
  - Enter subrecipient PI
  - Enter proposed start and end dates of subagreement
  - Click OK
- Enter sub budget: Click on sub institution name > Subagreement detailed budget > Edit subagreement budget
  - Enter Total Proposed Subagreement Costs for each corresponding award period
  - Click OK
- Click on breadcrumb for Request Home

Special Notes

- You may use one Request to enter all subawards known of at that time
- You may also start the process from the Subagreements module, in which case you would click on Create Subagreement, then complete the steps above starting with the justification.

Upload Documents

- Proposal from sub institution including, at minimum, Statement of Intent, Budget with Justification, SOW

Required GMAS Signatures

- Principal Investigator (PI)
- Department Chair or Department Approver
- Sponsored Programs Approver (Contracts Team)

2. At-risk Account(s)

GMAS Entry

Enter an At-Risk Account Request (under Internal Requests) with the information below:

- Justification for at-risk account

If the award is pending (there are no active accounts):

- From the Request homepage, click on the “Edit” button of the “At-Risk Accounts” section
- On the next screen, check the box to select the Main account, then click “Next”
- Enter at-risk amount, start and end date, then click “Finish”

If the award has existing accounts (adding a POA or a main account for a new year):

- From the Request homepage, click on the “Accounts” link > “Add Account”
- Fill in only the required fields (Type, Description and Account Group) and click “OK”
  - If the at-risk is for a new year’s Main account (year logic), choose “00-New Account Group”
- From Request home, click on the “Edit” button in the “At-Risk Accounts” section
- Check the box to select the account you just created, then click “Next”
- Enter at-risk amount, start and end date, then click “Finish”
Special Notes on POAs

If requesting an at-risk for a POA where the main award is managed by another tub/org, the managing org will need to enter the Request in GMAS. Please coordinate with the department administrator in that org to provide the information or documentation they require. They can add required POA signatures in GMAS for your Department Approver.

Upload Documents
- Any relevant documentation. E.g.: If we are receiving a subaward, upload email from the prime award recipient (our sponsor) stating their intention to send a subagreement/amendment granting HMS new funds.

Required GMAS Signatures:
- Department Chair or Department Approver
- Sponsored Programs Approver (Contracts Team)

3. Carryforward

GMAS Entry
Enter Carryforward Request (under Changes to Existing Segment) with the information below:
- Total amount to be carried forward
- Periods to carry forward from and into
- If award includes subaward(s), should carryforward be awarded to subrecipient(s) as well? Amount/periods?
  - To request carryforward on a subaward after a Carryforward Request for our primary award has been processed for the corresponding period, email your Contracts team representative. A separate Request is not required.
- Justification - extent of justification may vary by sponsor; please check award notice or sponsor guidelines or policies. For NIH awards where prior approval is required, check if institute has required procedures. Typically, the following is required (at minimum):
  - a detailed budget for the carryforward amount
  - a scientific justification of why the work is necessary and why it can’t be covered by rebudgeting current awarded amounts
  - an explanation of why the funds weren’t expended in the previous period as originally planned

Upload Documents
- Request letter to sponsor (where required)
- Sponsor’s approval of the carryforward (if already received)

Required GMAS Signatures
- Department Chair or Department Approver
- Sponsored Programs Approver (Contracts Team)

4. Change PI

GMAS Entry
Enter a Change PI Request (under Changes to Existing Segment) with the information below:
- Justification for request
- Names of old PI and new PI, plus tub/org for new PI if different
- PI change effective date and, if applicable, org change effective date
- Breakdown of funds spent by original PI and amount to be transferred to new PI

Special Note on Approvals
Email any ethical approvals (IRB, IACUC, etc.) for the new PI to your ORA Contracts Team representative; he or she will coordinate with Pre-Award to clear GMAS approvals as needed.
Upload Documents
• Any communications with sponsor regarding PI change should be uploaded in GMAS (i.e. transfer application, other approval) – if sponsor issues a formal amendment, email to ORA Contracts to be logged as a Notice

Required GMAS Signatures
• Department Chair or Department Approver for original PI’s department
• Department Chair or Department Approver for new PI’s department (if different)
• Sponsored Programs Approver – HMS ORA (Contracts Team)
• Other signatures, as required by new PI tub and org

5. Change Tub/Org

GMAS Entry:
No entry in GMAS. Notify your Contracts Team representative via email as soon as possible if an award requires a change of tub or org. Your Contracts Team rep will follow ORA’s internal process for changing tub/org. Please provide the following information:
• Justification
• Old and new tub and/or org values
• Is this related to a change in PI?

Upload Documents
• N/A

Required GMAS Signatures
• N/A

6. Early Termination

Early termination of an award often applies to fellowships, where the fellow has procured a faculty position and no longer is eligible for a postdoctoral fellowship. Early termination requests are also used when a PI is leaving HMS. Each of the PI’s awards must be reviewed, and sponsors’ instructions for relinquishing the award and/or changing the awardee institution must be followed.

ORA should be notified as soon as possible in the case of a faculty member leaving HMS. Please refer to the HMS “Faculty Exit Guidelines” as well.

GMAS Entry:
Enter an Early Termination Request (under Changes to Existing Segment) with the information below:
• Justification for request
• Anticipated effective date of termination
• Total funds spent prior to termination

Upload Documents
• Sponsor instructions/communications about termination requirements, approval (if already received) – if sponsor issues a formal amendment, email to ORA Contracts to be logged as a Notice
• For NIH, upload the completed Relinquishing Statement(s) or, for fellowships, the Termination Notice(s).

Required GMAS Signatures
• Department Chair or Department Approver
• Sponsored Programs Approver (Contracts Team)
7. Equipment Rebudget

**GMAS Entry**

N/A – A GMAS Request is not necessary.

**Upload Documents**

Create a folder in the Segment Repository called “Equipment Rebudgeting” and upload the following:
- Completed “Rebudget Request Form” (attached as Appendix B)
- Sponsor approval, if required, and if already received

**Required GMAS Signatures**

No GMAS signatures are required: refer to “Rebudget Request Form.”

8. Interfaculty Involvement (IFI) Addition at No Additional Cost (new part-of acct)

**GMAS Entry**

Enter an Interfaculty Addition at No Additional Cost Request (under Changes to Existing Segment) with the information below:
- Justification for the new interfaculty involvement/part-of account
- From Request homepage, click on Edit button for Interfaculty Involvement component > Add Tub/Org
  - Enter applicable GMAS Org
  - Enter the IFI Principal Investigator
  - Enter start and end dates of involvement
  - Enter Department Administrator
- Click OK until you return to Request Home

**Special Notes**
- As appropriate, add the IFI Principal Investigator and any additional IFI faculty to the Research Team
- In addition to what is entered in GMAS, email your ORA Contracts Team representative with the following information: Dollar amount to add to POA, account to take funds from, activity value for new POA, how to name POA, IFI department administrator(s) for GMAS Admin Team, plus IFI tub, org, and root.

**Upload Documents**
- IFI POA proposal from IFI department, with appropriate signatures/approvals

**Required GMAS Signatures**

- Department Chair or Department Approver for HMS department
- Department Chair or Department Approver for IFI POA department
- Sponsored Programs Approver – HMS ORA (Contracts Team)
- Other signatures, as required by IFI POA tub and org

9. New account(s) within Same Org

**GMAS Entry**

N/A – Request for additional part of accounts (subactivities) within the award’s managing org can be emailed directly to your ORA Contracts Team Representative with the following information:
- Purpose/justification for new account(s)
- Any special instructions on how to name the new account(s)
- Dollar amount to add to new account(s) and where to take funds from
- Period of performance for new account(s)
- Activity value for new accounts(s)
10. No-Cost Extension (NCE)

GMAS Entry
To extend the primary award, enter a No-Cost Extension Request (under Changes to Existing Segment) with the information below as well as the special instructions by NCE Type:

- Justification - scientific/programmatic justification from PI (i.e., not just that there’s a balance)
- Requested new end date (usually 12 additional mos. for an initial NIH extension)
- Approximate remaining balance
- Address the following 2 questions in the Request Comments:
  - If applicable: will any part-of accounts or subawards on the project be extended as well?
    - Note that the subaward end date will NOT change until the amendment is fully executed.
    - To request an NCE on a subaward or part-of account after an NCE Request for our primary award has been processed for the corresponding period, email your Contracts team representative. A separate Request is not required.
  - Will the PI's effort will be reduced by more than 25% during the extension period?
- The Research Team (segment) should be updated to remove anyone no longer working on the project.

Special Instructions by NCE Type (NIH initial, NIH initial after period ends, NIH second NCE, NCE for non-NIH)
All no-cost extension requests should be entered in GMAS as outlined above. Further instructions and due dates by NCE request type should be followed below.

Initial NIH NCE prior to award end date
Request should be signed by the department at least 5 days before the current end date of the award.

NIH Initial NCE Request Sent after the Period Ends
After the Project Period ends, authorized officials will no longer have the option to extend in eRA Commons and you must send a detailed approval request to your ORA Contracts Team representative to forward to NIH.

The request letter to the NIH Grants Management Specialist (GMS) should include:

- Grant number
- Explanation of the need for an extension
- Brief, up-to-date progress report
- Activities to be completed during the extension period (i.e., scientific justification)
- Amount of remaining grant funds
- Detailed description of proposed use of unexpended funds (either a detailed budget or narrative description)
- Updated IACUC and/or IRB approvals, if required

NIH Second NCE Request
Follow the instructions above for NIH Initial NCE Request Sent after the Period Ends, but be sure to send request to NIH no later than 30 days prior to the grants Project Period end date.

The request for the second no-cost extension must be evaluated and approved by the Office of Extramural Activities and, when granted, is for purposes other than completion of manuscripts. Additional no-cost extensions beyond the second will not be considered.
NCE Requests to Sponsors Other than NIH
No-cost extensions for projects funded by sponsors other than NIH should follow the guidelines of the sponsor. Check the award documents, proposal guidelines, and/or sponsor website for instructions on how to submit the NCE request, and coordinate with your Contracts Team Representative.

Note that some sponsors will authorize an NCE via email while others require a formal amendment, which will be processed by ORA as a Notice against the award in GMAS.

Upload Documents
- For NCE requests that require sponsor approval, upload the request letter into the Documents
- Sponsor’s approval of the extension (if already received)

Required GMAS Signatures
- Department Chair or Department Approver
- Sponsored Programs Approver (Contracts Team)

11. Pre-award Expenditure (for federal grants only)

GMAS Entry
If the request for pre-award spending is concurrent with either:

a) At-Risk Account Request – complete “Pre-award expenditure” component within the At-Risk Account Request
b) Award Notice – email your ORA Contracts Team representative with the information below (no need to enter a separate Request in GMAS)
   - Justification
   - Pre-award start date (GMAS defaults to 90 days prior to award start date)
   - Pre-award amount (DC + IDC breakdown)
   - Which account(s) to apply pre-award spending

Upload Documents
- N/A

Required GMAS Signatures
- Department Chair or Department Approver
- Sponsored Programs Approver (Contracts Team)

12. Rebudget Restricted Categories

GMAS Entry
N/A – A GMAS Request is not necessary.

Upload Documents
Create a folder in the Segment Repository called “Rebudgeting of Restricted Categories” and upload the following:
- Sponsor approval, if already received – if sponsor issues a formal amendment, email to ORA Contracts to be logged as a Notice
- Updated budget documents

Required GMAS Signature
- N/A
**Appendix A – PI Signatures Required (per Request Type)**

**PI Signature Required**
Below lists the requests where the PI signature is required and where it is optional

**If the PI’s signature is required,** the PI and any department signers must complete their signatures in GMAS before the ORA Approver will sign and authorize the Request.

**If the PI’s signature is not required,** it is the department’s decision whether a particular request requires a PI signature, or if the Department Approver’s signature is sufficient.

<table>
<thead>
<tr>
<th>PI Signature Required</th>
<th>PI Signature NOT Required (Optional at Department discretion)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial (New)*</td>
<td>At-Risk Account(s)</td>
</tr>
<tr>
<td>Competing Renewal</td>
<td>Carryforward</td>
</tr>
<tr>
<td>Resubmissions (“Revise to Resubmit” a Renewal)</td>
<td>Continuation</td>
</tr>
<tr>
<td>Subagreement Addition at No Additional Cost</td>
<td>Change PI</td>
</tr>
<tr>
<td>Supplement</td>
<td>Change Tub/Org</td>
</tr>
<tr>
<td></td>
<td>Early Termination</td>
</tr>
<tr>
<td></td>
<td>Equipment Rebudget</td>
</tr>
<tr>
<td></td>
<td>Interfaculty Involvement Addition at No Add’l Cost**</td>
</tr>
<tr>
<td></td>
<td>New Account(s) within Same Org</td>
</tr>
<tr>
<td></td>
<td>No-Cost Extension</td>
</tr>
<tr>
<td></td>
<td>Pre-Award Expenditure</td>
</tr>
<tr>
<td></td>
<td>Rebudget Restricted Categories</td>
</tr>
</tbody>
</table>

**Please note the following special rules:**

* 1. For Fellowships (where the fellow is listed as PI) both the PI and faculty mentor’s signature is required. If the fellow or the mentor is not yet at HMS, follow the instructions [HERE](#) to have them added to GMAS so they can sign off on the request and complete their COI disclosure electronically.

2. In cases where the PI (not fellow) is not yet at HMS, but we are submitting an application to be awarded after their arrival, follow the instructions [HERE](#) to have them added to GMAS so they can sign off on the request and complete their COI disclosure electronically.

**IFI Addition at No Additional Cost,** also known as a part-of account (POA): these requests require authorization from the IFI POA’s department and/or school. Please follow the signature requirements of the IFI POA’s org.
Appendix B – Rebudget Request Form

See https://hlcra.harvard.edu/hms-ra-business-processes for form.