I. PI Road Map

![Diagram](Image)

II. Description and Purpose

The purpose of the procedure is to provide guidelines by which TJU manages award modifications for sponsored accounts. An award modification is a change or an addition to the award that may require internal/sponsor approval.

Most TJU award modifications require the completion of the University Prior Approval System (UPAS) which is located on the Office of Research Administration (ORA) website at [www.jefferson.edu/ora/](http://www.jefferson.edu/ora/).

III. Definitions

A. ORA- Office of Research Administration
B. SPAO- Sponsored Programs Accounting Office
C. NOA- Notice of Award
D. RACE- Research Administration Center of Excellence
E. PI- Principal Investigator
F. GA- Grants Administrator
G. UPAS- University Prior Approval System

IV. Roles and Responsibilities

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<tr>
<th>Personnel</th>
<th>Responsibility</th>
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| RACE Grants Administrator | a. Identifies need for award modification that requires ORA or sponsor prior approval  
|                        | b. Completes UPAS (if applicable)                                             |
|                        | c. Completes ePTF (if applicable)                                             |
|                        | d. Completes letter of request to the sponsor (if applicable)                   |
|                        | e. Forwards to ORA for approval                                               |
|                        | f. Communicates directly with sponsor for modification (if applicable)         |
| Sponsor                | a. Approves modification                                                      |
| ORA/SPAO              | a. Reviews request for modification                                            |
|                        | b. Forwards request to sponsor (if applicable)                                 |
|                        | c. Makes necessary changes in internal systems (e.g. PeopleSoft)               |
V. Procedure
A. The process begins when the need for an award modification is identified by RACE. In some cases ORA will know first and notify RACE Grants Administrator. If the award modification requires internal or sponsor approval, the RACE Grants Administrator must determine what internal form is required.
B. RACE will determine if a UPAS is necessary to complete. A UPAS must be completed for the following types of modifications:
   1. Advance Accounts
   2. Pre-award Spending
   3. No Cost Extensions
   4. Re-budgeting requests (for unbudgeted equipment or foreign travel)
      a. It is important to note that a UPAS is only necessary for grants covered under expanded authorities. For all other grants, follow sponsor guidelines.
C. A UPAS is completed electronically and routed for wet signatures from:
   1. The PI
   2. The Department Chair (only for Advance Accounts or pre-award spending)
   3. The Department Senior Administrator (only for Advance Accounts or pre-award spending)
   4. The College Finance Office (only for Advance Accounts or pre-award spending)
D. The RACE Grants Administrator then determines if an ePTF is required (updated/new). This is required when the budget is affected.
E. The RACE Grants Administrator then completes the letter to the sponsor, if necessary. A letter is most often necessary for the following types of modifications:
   1. Changes in effort (significant changes only: > 25% change)
   2. Changes in Key Personnel
   3. If additional funds are needed
F. The RACE Grants Administrator will forward the internal forms and sponsor letter (if required) to ORA for review and approval for the majority of grants.
   1. ORA will review the request for award modification and forward it to the sponsor.
G. The RACE Grants Administrator will forward requests for award modifications directly to the sponsor in the case of some industry contracts and some foundation grants.
   1. This is dependent on size of sponsor and therefore relationship with sponsor.
   2. RACE must inform ORA and keep ORA updated of this communication.
H. The sponsor will review and approve the award modification. In the case where modifications are not approved by the sponsor, no changes need to be made in TJU’s internal systems, but all parties should be notified (PI, RACE, ORA).
I. ORA will make the necessary changes in the system and confirm with the PI and RACE Grants Administrator that the updates have been made.

VI. Enabling Tools/Technology
A. General Ledger
B. ePTF
C. UPAS
Title of SOP: Award Modifications

VII. References
   A. UPAS Form: http://www.jefferson.edu/content/dam/tju/research_administration/UnivPriorApprovalSystem.pdf