# CDC GUIDE FOR SUBMITTING AMENDMENT REQUESTS

# VIA ERA COMMONS / ASSIST

*NOTE: The institutional SO or PI must initiate the prior approval request within eRA Commons – those with an ASST role cannot initiate this process. See FAQ's at the end of document for more details.*
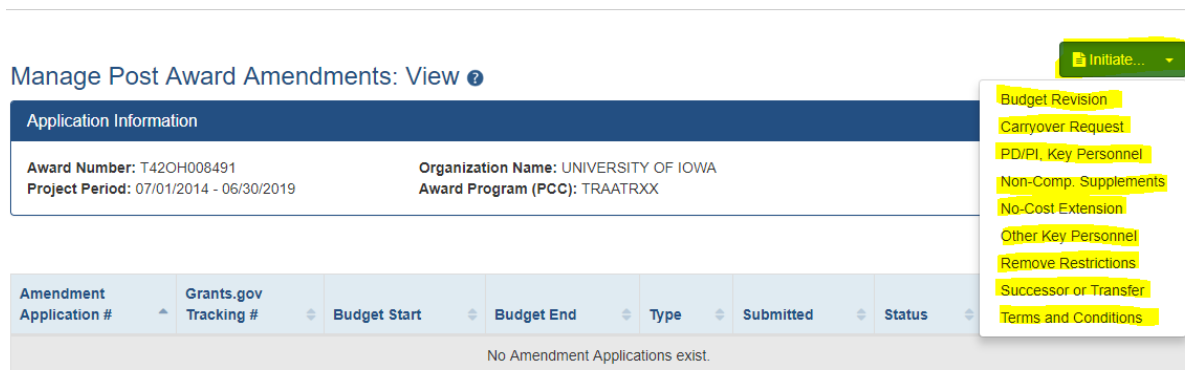
To initiate the prior approval request:

1. Navigate to the "Status" menu in eRA Commons.
2. Locate the appropriate grant under "List of Applications/Awards."
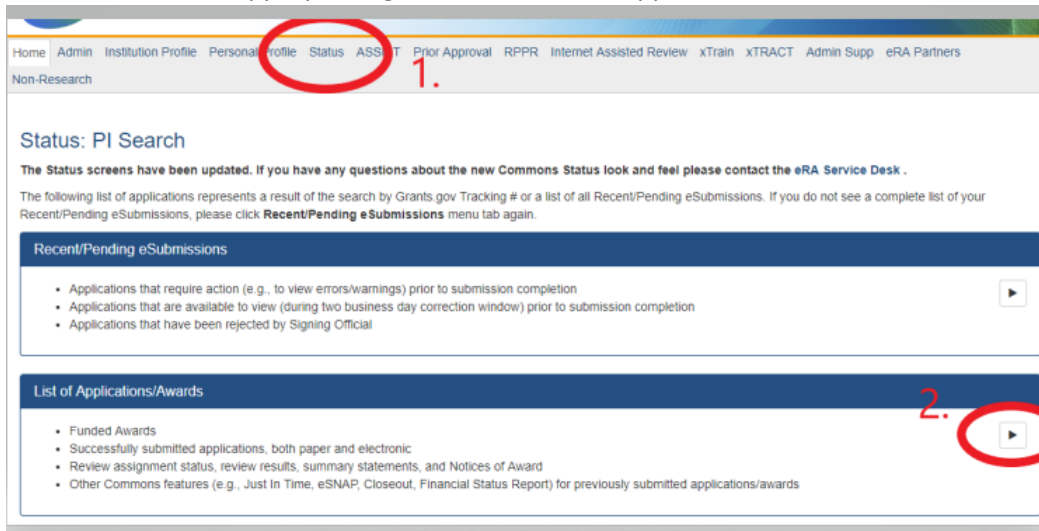


3. Select the appropriate award and award year and under "Available Actions," click the "Manage Amendments" button



4. Indicate the appropriate Prior Approval Request application from drop down menu

**Summary of Amendment Types and Documents Required for Submission to CDC:**

| Amendment Type from pull down menu | Use this amendment type if: | Documents Required for submission in the specific section of ASSIST |
|---|---|---|
| *Budget Revision* | Requesting significant rebudgeting of over 25% of funding amount or exceeding allowable expanded authority;<br><br>Notice of Award terms and conditions require a revised budget or budget related documentation. | Upload RR_Budget form in *Section K, Budget Justification*<br><br>Upload a Cover letter, summary table of budget by budget category (ie Salary, Fringe, supplies, etc), and budget narrative in *Research Plan Section, 3. Research Strategy* |
| *Carryover Request* | Requesting carryover of prior year unobligated funding that exceeds allowable expanded authority or where there is no expanded authority indicated in the notice of award. | Upload RR_Budget form in *Section K, Budget Justification*<br><br>Upload a Cover letter, summary table of budget by budget category (ie Salary, Fringe, supplies, etc), budget narrative, and final FFR in *Research Plan Section, 3. Research Strategy* |
| *PD/PI Key Personnel* | Requesting a correction or change of Principal Investigator (PI) / Project Director (PD).  Notification of a change must be submitted to CDC to ensure proper staff have access to award data and ASSIST for submissions. | ASSIST may require a budget on a non-budget request, just upload cover letter in *Section K, Budget Justification*<br><br>Upload a Cover letter that includes full names, title, effective dates, contact information, along with CV/Resume under *Research Plan Section, 3. Research Strategy* |
| *Non-Comp Supplements (Non-competitive Supplements)* | Applying for CDC-initiated supplemental opportunities.  CDC will solicit guidance and instructions on how and what information to submit.<br><br>Requesting a recipient initiated supplemental requested | Enter RR_Budget form in *Section K, Budget Justification*<br><br>Upload a Cover letter, summary table of budget by budget category (ie Salary, Fringe, supplies, etc), budget narrative, and final FFR in *Research Plan Section, 3. Research Strategy*<br><br>FFR is requested to document any unobligated funds available. |
| *No-Cost Extension* | Requesting a no cost extension, where expanded authority is not available.<br><br>"No Cost" Extensions are extensions that will be funded with available unobligated funding. | Enter RR_Budget form in *Section K, Budget Justification*<br><br>Upload a Cover letter, detail the timeframe required for extension, reason for delays, justification for extension, proposed activities during extension, summary table of budget by budget category (ie |

| | | |
|---|---|---|
| | If funding is required due to no available unobligated, a non-competitive supplement (above) should be requested. | Salary, Fringe, supplies, etc), budget narrative, and final FFR in *Research Plan Section, 3. Research Strategy*<br><br>FFR is requested to document any unobligated funds available. |
| *Other Key Personnel* | Requesting a correction or change of key staff, other than Principal Investigator (PI) / Project Director (PD). This is typically a change of SO/AOR, co-PI, or key staff named in the terms and conditions.<br><br>Notification of a change must be submitted to CDC to ensure proper staff have access to award data and ASSIST for submissions. | ASSIST may require a budget on a non-budget request, just upload cover letter in *Section K, Budget Justification*<br><br>Upload a Cover letter that includes full names, title, effective dates, contact information, along with CV/Resume under *Research Plan Section, 3. Research Strategy* |
| *Remove Restrictions* | Requesting release of any restriction, due to human subjects, administrative requirements, or other listed in terms and conditions. | ASSIST may require a budget on a non-budget request, just upload cover letter in *Section K, Budget Justification*<br><br>Upload a Cover letter that includes all details regarding restriction, attach key documents such as IRB, FWA, and other protocol documents or documents releasing the restriction under *Research Plan Section, 3. Research Strategy* |
| *Successor or Transfer (Change of Institution)* | If you are requesting a change of institution, successor in interest, or transfer, please contact your grants management officer before submitting. | |
| *Terms and Conditions* | Responding to requirements of terms and conditions, such as response to summary statement or technical review, administrative requirements.<br><br>Requesting other, miscellaneous requests, not specifically detailed above. | ASSIST may require a budget on a non-budget request, just upload cover letter in *Section K, Budget Justification*<br><br>Upload a Cover letter that includes all details regarding request. |

Notes:

- Do not change budget period or project period dates.
- Do not change pre-populated award data or personnel names.
- Do not make any corrections or changes to auto-populated budget data within the ASSIST record.
- All changes or revisions must be processed through Notice of Award.
- If you have questions on the specific types of documents to submit or format, reach out to your SPO or GMS.

Once you select the amendment type from the pull down menu, this will initiate an application within ASSIST with an Application Identifier. Once an application has been created, users that will be involved in completing the application must be added to the application. This can be done within ASSIST, under the "Manage Access" Actions menu tab:
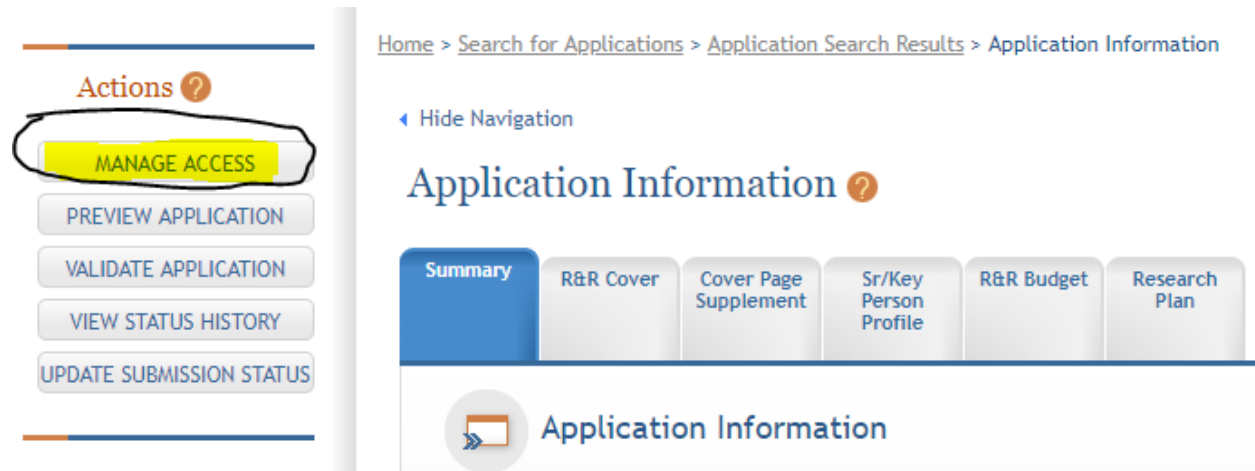


The application will have the above-listed standard tabs:

- Summary
- R&R Cover
- Cover Page Supplement
- Sr/Key Person Profile
- R&R Budget
- Research Plan

Other forms can be added if necessary. Relevant sections of the application should be completed, based on the type of prior approval request.

For CDC specific guidance on submitting post award amendments, visit:

**https://www.cdc.gov/grants/documents/CDC-research-prior-approvals.pdf**

**Budget Related Requests**

If your request involves any change to the budget (ie Carryover, Revised Budget, etc.), do <u>not</u> modify or enter budget information in the prepopulated portion of the ASSIST budget sections. Any changes to the data transfers to CDC as a supplemental funding request. As an attachment with your request, please submit a spreadsheet that has budget categories with three columns: Original Budget, Revised Budget, and Summary of Changes.

Ensure your budget includes a narrative description of costs. Please use the sample budget guidelines found on this website as your guide for preparing a budget:

https://www.cdc.gov/grants/documents/budget-preparation-guidance.pdf

Requests that involve a change in budget should include a Budget Summary, including all supplements and carryovers. Tables A and B are examples of summaries of a revised budget request:

Use this table if you want to detail plus and minus changes per budget category:

| Table A: Budget Redirection (to show plus / minus changes) | Original Budget | Budget Changes (Plus or Minus) | Revised / Requested New Budget |
|---|---|---|---|
| Salary & Wages | $100,000 | $50,000 | **$150,000** |
| Fringe | $25,000 | $0 | **$25,000** |
| Consultants | $0 | $0 | **$0** |
| Equipment | $0 | $0 | **$0** |
| Supplies | $5,000 | -$1,500 | **$3,500** |
| Travel | $5,000 | $1,500 | **$6,500** |
| Other | $20,000 | $0 | **$20,000** |
| Contracts | $500,000 | -$50,000 | **$450,000** |
| Total Direct Costs | *$655,000* | *$0* | *$655,000* |
| Indirect Costs | $245,000 | $0 | $245,000 |
| Total Award | *$900,000* | *$0* | *$900,000* |
| Instructions: Please delete these rows prior to submission. | Pull information off most recent notice of award budget. | Total changes must be zero, since we are not adding any funds. | The total award amount must equal the total original award amount. |

Use this table if you want to show comparison between original and revised budgets:

| Table B: Budget Redirection (to compare old/new budget) | Original Budget | Revised / Requested New Budget | Budget Changes |
|---|---|---|---|
| Salary & Wages | $100,000 | $150,000 | $50,000 |
| Fringe | $25,000 | $25,000 | $0 |
| Consultants | $0 | $0 | $0 |
| Equipment | $0 | $0 | $0 |
| Supplies | $5,000 | $3,500 | -$1,500 |
| Travel | $5,000 | $6,500 | $1,500 |
| Other | $20,000 | $20,000 | $0 |
| Contracts | $500,000 | $450,000 | -$50,000 |
| Total Direct Costs | *$655,000* | *$655,000* | *$0* |
| Indirect Costs | $245,000 | $245,000 | $0 |
| Total Award | *$900,000* | *$900,000* | *$0* |
| Instructions: Please delete these rows prior to submission. | Pull information off most recent notice of award budget. | The total award amount must equal the total original award amount. | Total changes must be zero, since we are not adding any funds. |

For Carryover, use this table:

| Carryover Request | Original Budget | Carryover | Revised Budget |
|---|---|---|---|
| Salary & Wages | $100,000 | $150,000 | $250,000 |
| Fringe | $25,000 | $0 | $25,000 |
| Consultants | $0 | $0 | $0 |
| Equipment | $0 | $0 | $0 |
| Supplies | $5,000 | $250,000 | $255,000 |
| Travel | $5,000 | $1,500 | $6,500 |
| Other | $20,000 | $0 | $20,000 |
| Contracts | $500,000 | | $500,000 |
| Total Direct Costs | *$655,000* | *$401,500* | *$1,056,500* |
| Indirect Costs | $245,000 | $0 | $245,000 |
| Total Award | *$900,000* | *$401,500* | *$1,301,500* |
| Instructions: Please delete these rows prior to submission. | Pull information off most recent notice of award budget. | Total changes must be zero, since we are not adding any funds. | The total award amount must equal the total original award amount. |

**Total amount requested for Unobligated based on FFR dated, _____: $401,500**

*If your budget includes use of carryover, always summarize the total unobligated included in your budget, as highlighted above. Always include a copy of the FFR that reflects the unobligated balance used in your request.*

If you have multiple components, it is helpful to show a summary of changes per component. However, this is only required when program requires tracking of budgets per component.

In all cases, multiple or single component, a budget summary must be submitted with your request that shows the total budget (including all new funding and use of carryover). This is your approved budget for this budget period. This information is used to complete your revised notice of award.

Remember: If you are requesting carryover, your budget should only increase by the amount of unobligated funds used. If you are requesting a budget revision, your budget should not increase. It should be the same total as original.

Helpful Hints:

- Complete the R&R Cover page FIRST; this will pre-populate relevant information to other forms within the application.
- If the application is not a Change in PI or key personnel request, enter only the PI in the Sr/Key Person Profile section. If it is a change in PI or key personnel request, enter the names of relevant personnel, and upload current biosketches in this section.
- For Revised Budget requests, complete the budget for the Overall Center, including carryover (if applicable).
- For all types of prior approval requests, an upload in the Research Strategy of the Research Plan section is REQUIRED. It may be appropriate to upload a copy of the cover letter request and documentation in this section. For a revised budget request, we uploaded a copy of our Overall Center Description and attached our letter explaining the revised budget request within the budget justification upload section in the R&R Budget tab.

If you have any additional questions on how to prepare an amendment request, reach out to your assigned grants management specialist (GMS). Look on your notice of award under terms and conditions for who your GMS is.

Other Frequently Asked Questions:

- How does a recipient SO obtain AOR credentials?
  - AOR credentials are used in [Grants.gov](Grants.gov). In [Grants.gov](Grants.gov), the initial AOR role is given to the person who registered the organization. An AOR can give other users in their organization the AOR role.

- How can a recipient delegate SO authority to a PI/PD, who approves that?
  - An SO gives the PI role for their organization to a Commons account when they create the account or when they affiliate an existing account. Note that a user cannot have both the SO role and the PI role on the same account.

- What exactly is an SO and what is the difference between an SO and AOR?  I've defined how CDC defines an AOR…but I've never heard of an SO.
  - Signing Official and Authorized Organization Representative are equivalent terms used in two different systems. SO credentials are used in eRA Commons. AOR credentials are used in [Grants.gov](Grants.gov).

- How does a CDC recipient become an SO?
  - The user who first registers an organization in eRA Commons is given the SO role. They are then able to give other user the SO role.

- Is it possible for a recipient AOR not to be an SO?
  - Yes, the President of a University may be an AOR in [Grants.gov](Grants.gov), but never log into eRA Commons. The Vice President of Research may be the official with the SO role in eRA Commons.

- How and who authorizes a PD/PI an SO designation….the recipient SO?
  - The SO is the user that create other SO accounts in eRA Commons. If a PD/PI also needs to have SO role, an existing SO would need to create a new account for the PD/PI. The SO role and the PI role cannot be on the same user account.