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Kuali Build Award Modification Request Guide

I. PURPOSE

Kuali Build Forms Guide for using the Award Modification Request Form

II. SCOPE

The Award Modification Request Form is used to request modifications to existing awards at UMass Boston. This document provides guidance on how to complete the request, for additional guidance, please refer to the related resources below.

III. Related Resources

[ORSP Forms, Policies, & Processes](#)

- Award Modifications section of Award Management:
 - Award Modification Request Form
 - Kuali Build Guide – Award Modification Request Form
 - Rebudgeting Policy for Sponsored Programs
 - No Cost Extension Guidelines
- Allowability and Allocability section of Award Management:
 - Sponsored Expenditure Guidance
- Advance Accounts section for guidance on At Risk

Kuali Build Guide in the ORSP [Kuali](#) (Kuali Build section) – General use and navigation of Kuali Build Team Assignment in the [About Us](#) section of the ORSP website

IV. Form Guidance

The Award Modification Request Form includes information at the beginning of the form to help orient you. This document walks through all components of the form, providing guidance on how to complete each section. For general Kuali Build navigation and use, see the Kuali Build guide referenced above.

[Using the Award Modification Request Form](#)

Anyone wishing to request a modification to an existing award must submit their request using this form.

- Request Initiation
 - Department Research Administrator (DRA), unit level support staff, or any authorized signatory to the award may initiate the request.
- Request Editing
 - Your request may be saved, you do not need to complete the request in one sitting.



- The request initiator and DRA Leads will have edit access to the form until it is submitted.

Form Navigation

When the form is initiated, you will begin on the Award Information page. ***Additional fields and pages will become available as you work through the form based on the selections you make.***

You may navigate through the pages using the lefthand navigation menu or by clicking the Next and Back action buttons on the right.

A vertical list of four items, each with a radio button to its right. The first item, 'Award Information', has a blue checkmark inside its radio button. The other three items, 'Modification Request', 'Documentation', and 'Certifications', have empty white radio buttons.

A vertical stack of five buttons. The top two are 'Back' (light gray) and 'Next' (dark blue). Below them are 'Submit' and 'Save' (both dark blue). At the bottom is 'Discard' (light gray).

Award Information Page

Request Number and Created By

A form number will be automatically generated by Kuali, this is an easy way to reference your request or look for your document in the Kuali Build Document list for this form. (See the Kuali Build Guide referenced above).



Created By will be automatically filled in by Kuali, this is the name of the person who initiated the request form. The person listed here will receive notifications for the request.

I Agree Attestation

“I have read and understand the related policies and procedures noted above and linked here.”
See Advance Account and Sponsored Expenditure Guidance under Research Policies A-Z on the ORSP Website.

[I have read and understand the related policies and procedures noted above and linked here.](#) *

See [Forms, Policies, & Processes](#) on the ORSP Website, specifically:

- Advance Accounts
- Award Management
 - Sponsored Expenditure Guidance under Allowability and Allocability
 - Deficits Procedure Write-Offs on Sponsored Awards under Award Closeout

I Agree

Action Needed: Check the box to confirm

Kuali Award Lookup

Enter the full Kuali Award Number (format 000000-00001) and select the valid Kuali Award ID Number from the grey pop-up box below the lookup data field. Once selected, the award data will automatically populate below.

It is important to enter the Parent Award Number (ends in -00001) to ensure the information that pulls in is the most recent and up to date for your award.

Award Information

Kuali Award Lookup *
Enter Full Kuali Award Number for the Previous Award (format 000000-00001)

Be sure to enter the parent award number (ends in 1) and select the results returned by clicking on the number that populates for the lookup.

Q 010908-00001|

010908-00001

Action Needed: Enter and select the Parent Kuali Award Number



Award Information Correct?

Review the Award Information that populates to verify it is accurate to your current award. If anything needs to be updated in the Kual system, select No and describe the correction needed in the form field that becomes available for that purpose.

Award Information Correct? *

Is the award information returned accurate to the current award?

Yes

No

Identify Incorrect Award Information *

Describe what is inaccurately captured above, ORSP will address these issues as part of this modification request. Please be specific.

Type here

Action Needed: Select Yes or No and if no, let us know what is incorrect

Modification Request Page

On this page you will identify the award modification actions needed for your award.

Award Modification Type

Select the Award Modification Type needed for your award. Selection options are checkboxes allowing you to request multiple modification types in one form submission. Additional form pages and fields will populate based on selections made here.

Each Modification Type is defined on this page to help guide you on the appropriate selections to make for your award.



Modification Request	
<p>Award Modification Type *</p> <p>ORSP will review and validate the requested modification, and will work with the sponsor for any prior approvals required.</p> <p>Check all that apply </p> <ul style="list-style-type: none"><input type="checkbox"/> No Cost Extension<input type="checkbox"/> Budget Modification<input type="checkbox"/> Award Continuation<input type="checkbox"/> At Risk Reconciliation for Award Modifications<input type="checkbox"/> Carryforward<input type="checkbox"/> Key Personnel Change<input type="checkbox"/> Add Project (e.g. Participant Support/Supplement)<input type="checkbox"/> Award Transfer/Relinquishment<input type="checkbox"/> Scope of Work Update<input type="checkbox"/> Terms and Conditions<input type="checkbox"/> Administrative Correction<input type="checkbox"/> Type not listed	<p>Modification Definitions</p> <p>No Cost Extension</p> <ul style="list-style-type: none">• Extension of award end date without additional funding <p>Budget Modifications</p> <ul style="list-style-type: none">• Budget adjustments only, no change to period of performance, award scope, or terms and conditions. <p>Award Continuation</p> <ul style="list-style-type: none">• Sponsor obligation of funding periods, competitive or non-competitive <p>At Risk Reconciliation for Modifications</p> <ul style="list-style-type: none">• Removes At Risk status from existing award, applies to At Risk Modifications only• New At Risk Awards are reconciled through your Pre-Award contact <p>Carryforward</p> <ul style="list-style-type: none">• Carryforward unobligated balances to subsequent budget periods <p>Key Personnel Change</p> <ul style="list-style-type: none">• Investigator Changes - PI, Co-PI, Multi-PI• Change of named personnel on an award• Change of effort committed to an award by any key person <p>Add Project</p> <ul style="list-style-type: none">• Funding that must be reporting upon separately or has a different overhead rate• Example: Participant Support or Supplemental Funding <p>Award Transfer/Relinquishment</p> <ul style="list-style-type: none">• The process by which an award is transferred or relinquished to another institution, typically is associated with a PI employment change <p>Scope of Work Update</p> <ul style="list-style-type: none">• Changes to the agreed upon areas of focus and boundaries, the what and how of the project. <p>Terms and Conditions</p> <ul style="list-style-type: none">• Changes to award terms and conditions (the specific rules, requirements, and guidelines that govern the award)• Examples: Payment terms, delivery schedules, compliance requirements <p>Administrative Correction</p> <ul style="list-style-type: none">• Data entry error or clerical corrections <p>Type Not Listed</p> <ul style="list-style-type: none">• You will be prompted to describe the modification being requested

Action Needed: Check the box(es) for any modification type(s) applicable to your request

Describe the Award Action Needed

Text field to capture details for your requested modification(s). Include anything that might be helpful to ORSP in processing your request.

Describe the Award Action Needed *

Explain in detail what modifications are needed on this award.

Examples include:

- Extend the end date to...
- Budget category reallocation (include details)
- Obligation of funding for period of performance (include dates)

Type here

Action Needed: Complete the text field

Justification for Sponsor

Text field to capture a justification for the request that may be submitted to the sponsor in the event sponsor prior approval is required. Justifications must be in line with sponsor requirements, for instance a No Cost Extension justification cannot be for the purpose of spending unallocated budget amounts. There must be a programmatic need for the action being requested.



Justification for Sponsor *

For the sponsor, enter a detailed explanation of why this action is necessary for this award, include any of the following as applicable:

- Reason for modification request
- Explanation for change in scope
- Justification for budget reallocation
- Plan for use of unobligated funds

Type here

Action Needed: Complete the text field

Sponsor Approval

Let ORSP know if the sponsor has provided an approved modification amendment for this award. If Yes is selected, you will be prompted to upload the amendment in the Required Documents section.

Sponsor Approval

Sponsor has provided an approved modification amendment for this award.

- Yes
- No

Action Needed: Select Yes or No

Sponsor Notification

Here you can alert ORSP to the sponsor's level of knowledge of this modification request. This allows ORSP to be fully informed in their communications to the sponsor when processing the modification. You will be prompted to upload the communications in the Documents section.

This question only populates if Sponsor Approval is answered, No.

Sponsor Notification *

Is the Sponsor aware of this modification request?

- Yes
- No
- Unknown

Action Needed: Select the most accurate response

Modification Requested by Date

Enter the date you wish the modification to be complete.



This question only populates if Sponsor Approval is answered, No.

Modification Requested By Date *

Enter the desired effective date for this modification request. This is the date the modification needs to be completed by.

Action Needed: Enter desired completion date for this modification request

Justification for Late Request

Based on the Modification Requested by Date, if your desired completion date is in the past or after the Award End Date, explain the reason for the late request, otherwise leave blank. This is not a required field.

This question only populates if Sponsor Approval is answered, No.

Justification for Late Request

If this is being submitted after the Award End Date or after the Modification Request by Date, provide an explanation for the late request, otherwise leave blank.

Type here

Action Needed: Complete the text field if applicable

Carryforward page

This page will only populate if the Award Modification Type of Carryforward is selected. Carryforward is a request to bring unobligated balances from previous budget periods into the current budget period. Typically, this applies if these funding periods have different award reference numbers, require annualized reporting, and/or separate invoicing. Sponsor prior approval is required for carryforward requests sponsor defined supporting documentation. You will need to identify the other award (previous or current year).

A validation check is made to ensure the same award number is not entered in both places.



Carryforward
The Kualii Award entered below is the: *
<input type="radio"/> Previous year award
<input type="radio"/> Current year award
Kualii Award Lookup for Carryforward *
Enter Full Kualii Award Number for the Previous Award (format 000000-00001)
Be sure to enter the parent award number (ends in 1) and select the results returned by clicking on the number that populates for the lookup.
<input type="text" value="000000-00001"/>

Action Needed: Identify if the award number being entered is for the previous or current year, then enter the award number following the instructions provided for entering original award information

At Risk page

This page will only populate if the Award Modification Types No Cost Extension, Award Continuation, or Adding Project are selected. At Risk status allows ORSP to complete the request ahead of receipt of approval or notice of award from the sponsor. Should the sponsor approval or notice of award fall through, any expenditures made during the At Risk status that are unallowable will be transferred to the Lead Unit RTF per ORSP policy.

At Risk
At Risk status is only available for No Cost Extension, Award Continuation, and Adding Project modification requests.
Use "At Risk" status to:
<ul style="list-style-type: none">• Make the modification requested available ahead of receiving fully approved award documents.• Initiate expenditures for an anticipated funding cycle or continuation.• Extend an end date on an existing award to allow spending to continue while awaiting sponsor approval for a No Cost Extension (NCE).
All unallowable expenses (for any reason) will be written off to the lead unit RTF.
See Forms, Policies, & Processes on the ORSP Website, specifically:
<ul style="list-style-type: none">• Advance Accounts• Award Management<ul style="list-style-type: none">• Sponsored Expenditure Guidance under Allowability and Allocability• Deficits Procedure Write-Offs on Sponsored Awards under Award Closeout
At Risk Request *
Do you need this modification completed in at risk status while this request is being processed?
<input type="radio"/> Yes
<input type="radio"/> No



Action Needed: Select Yes if At Risk status is needed for this request, otherwise select No

[Documentation page](#)

Here is where you will provide any supporting documentation that might be needed for this request. If any documentation is required based on the modification type(s) selected, they will populate within the Documentation – Required section. Otherwise, you will always have the option of uploading sponsor communications and any additional attachments that may be helpful.

Documentation – Required

Award Documentation

- Required for Sponsor Approved modifications, Key Personnel or Terms and Conditions Changes

Budget Workbook

- Required for any modification request that includes a budget

At Risk Documentation

- Required for any modification where At Risk status is requested

Documentation for Carryforward

- Required for any Carryforward request
- Budgets for both the increase and the decrease (moving funds from one award to another)
- Sponsor Approval for Carryforward

Action Needed: Upload all required documentation

Documentation – Optional

Sponsor Communications

- PDF of any sponsor related communication
- Anything from the sponsor as well as anything that may need to be communicated to the sponsor

Additional Attachments and Supporting Documents

- Upload any additional documentation not already provided that might be needed or helpful in processing this request
- Describe the attachment in the text field provided
- Click the +Add Another for any additional documents you are uploading

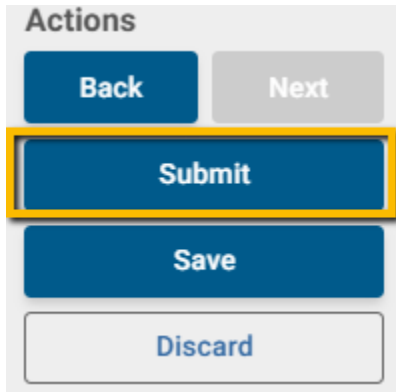
Action Needed: Upload additional documentation (not required)

Certifications

Complete the certifications, only those applicable to this award modification request will populate.

[Submission and Next Steps page](#)

Once you have completed the form, click Submit on the right.

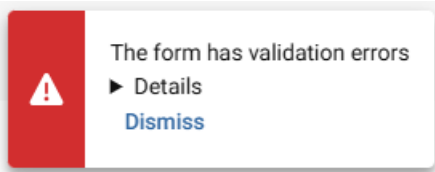


Action Needed: Click the Submit button in the upper right corner of the form

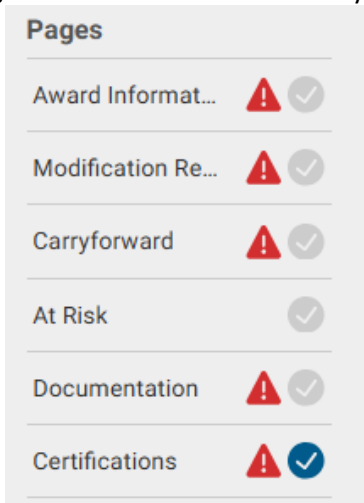
Validation Errors

An error message will appear if the required fields on the form are incomplete. If this happens, review the form and complete any field you may have missed. Required fields are marked with a red asterisk.

Example of an error message:



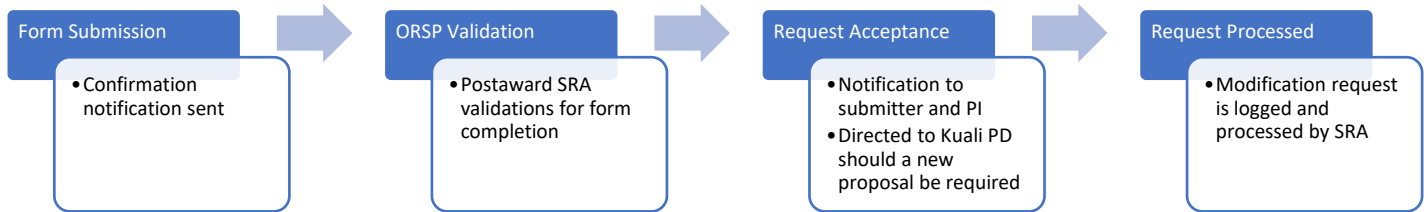
The Pages menu on the left will alert you to which pages contain the validation errors.



Once all required fields have been completed, you should be able to complete the submit action.

Workflow

Below is an overview of the workflow steps for the Award Modification Request form. Notifications are sent by the Kuali system through the Request Acceptance step. Confirmation of the form submission as well as a notification of request acceptance are included in this process. Processing the modification request is completed in PeopleSoft and communicated separately.



Troubleshooting/Questions

Technical questions involving how to complete the form or viewing the status of your application – Please review the Kuali Build guide linked above or reach out to ORSP Training and Education at ORSPTraining@umb.edu

Policy or process questions, please review the resources linked above or reach out to your DRA contact, see the [ORSP Contacts by Department](#) page.