

# Request for Amendment

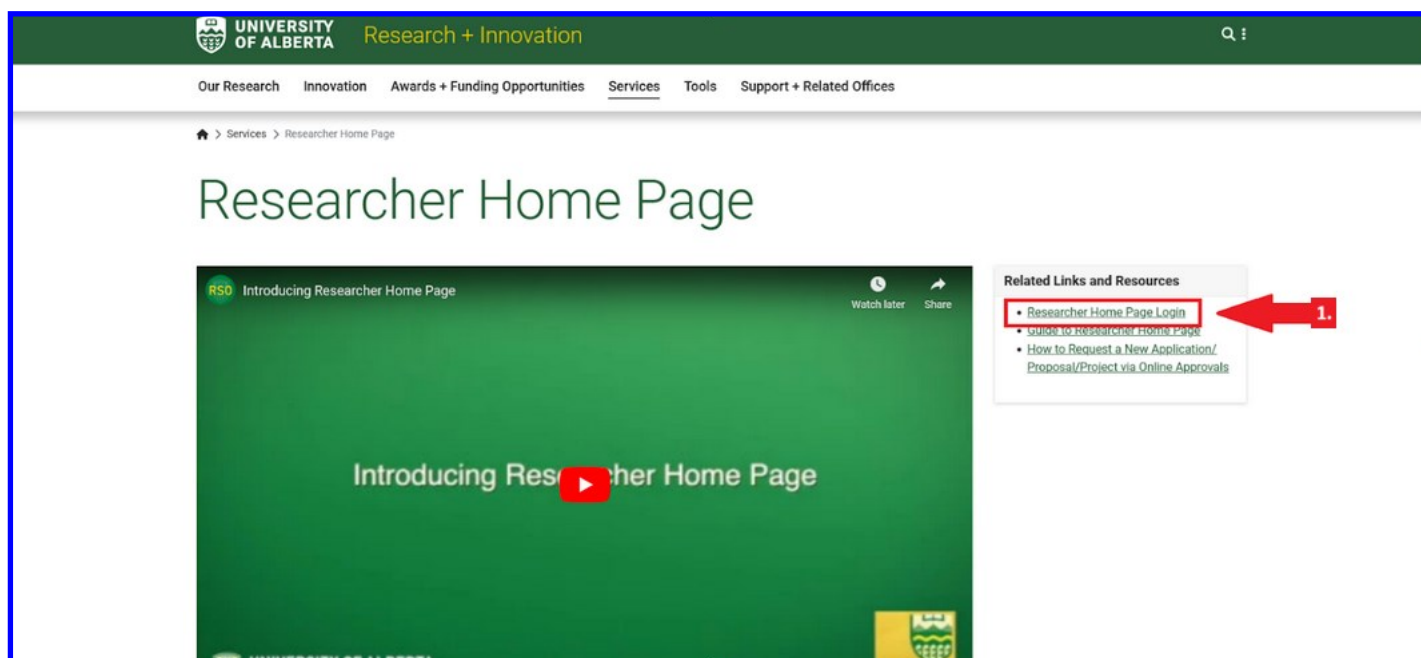
**\*\*See final page for additional links\*\***

## Quick Reference Guide:

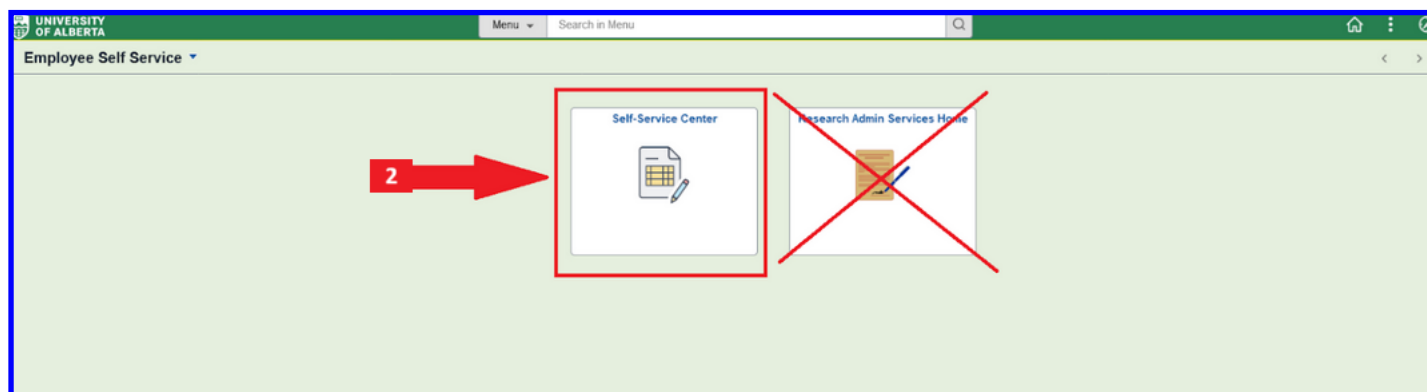
Requests are created through the [Researcher Home Page](#) and are routed electronically to department and faculty for online approvals. Please note:

- ◇ Most types of amendment (see step 6 below) require written approval from the sponsor be included as an attachment
- ◇ Applicable [certifications or renewals](#) must be in place for any new project funds to become available

### 1. To create a proposal request for online approvals, login to your [Researcher Home Page](#)



### 2. Click the Self-Service Centre tile



3. Select “General Inquiry” from the menu on the left, and select “Researcher Home Page”

4. A list of your active projects should appear in the Projects box

5. Find the project that requires amending, and select “Amendment” from the dropdown box on the right. This will open a new window to submit the amendment details

The screenshot shows the 'Self-Service Center' interface. On the left, the 'General Inquiry' menu is selected, and 'Researcher Home Page' is highlighted. The main area displays the 'Researcher Home Page' with a 'Projects' table. The table has columns for 'Project ID', 'Project Title', 'Start Date', 'End Date', 'Total Award', 'Funds Available Before', 'Funds Available After', 'Speed Code', 'Description', and 'Request'. A dropdown menu is open on the right side of the table, showing options: 'Amendment', 'OC Request', and 'Sub Grant'. The 'Amendment' option is highlighted with a red box and a red arrow labeled '5'. A red box labeled '4' is also present on the 'Projects' table header.

6. Choose one or more amendment to make in the Amendment Details box. Note that where it asks for an effective date, the date cannot be previous to the form submission date

The screenshot shows the 'Create Amendment' form. The 'PI Entry' section contains fields for Project ID (RES00), Principal Investigator (PI), Project Holder ID, Department (270800 MED Medicine Department), Faculty (250000 MED Faculty of Medicine Dentistry), Project Title, Start Date, End Date, and Sponsor. The 'Amendment Details' section is expanded, showing a list of amendment options: 'Change of Project End Date' (6a), 'Change in Award Amount' (6b), 'Change in Department' (6c), 'Change in PI/Project Holder' (6d), 'Add/Remove Sponsor' (6e), and 'Other' (6f). Each option has a 'Yes' checkbox and a 'New' field. The 'Change of Project End Date' option is highlighted with a red box and a red arrow labeled '6a'.

6a. Change of Project End Date

6b. Change in Award Amount: Choose whether to increase or decrease the award amount. Note that the form asks for the change in amount, not the new amount. So, if the grant goes from \$20,000 to \$30,000, select “increase in amount” and indicate \$10,000 in the “change in amt” field

6c. Change in Department: Note that the effective date for this change cannot be before the submission date of the amendment

6d. Change in PI/Project Holder: Either the PI, or the Project Holder, or both, can be changed with this field

6e. Add/Remove Sponsor: Check to see if the new sponsor already exists in the system using the magnifying glass by the New Sponsor field. If it doesn't, enter the name of new sponsor in the “Sponsor Change” open field

6f. Other: Other changes not previously noted can be detailed here (ex. Title change, research team member change)

**7. Additional Comments:** Use this space to add any relevant details not noted elsewhere and which may be helpful to the internal approvers.

|                                                                                                                              |                              |
|------------------------------------------------------------------------------------------------------------------------------|------------------------------|
| Other                                                                                                                        | <input type="checkbox"/> Yes |
| *Please ensure that the scope of work and budget for the amendment are attached or entered in the 'Additional Comments' box. |                              |
| Additional Comments:                                                                                                         | <div>7.</div>                |

**8. Certification Info:** Indicate yes or no for each category. Even if there are no changes to this section required, make sure this information is still accurate. For example, if you already noted ethics approvals in the project set up, still include that they are required in this amendment, along with the correct PRO number. If approvals are newly required, but have not yet been obtained, still indicate yes and leave the approval number blank. The amendment can be submitted, but Research Admin Services will require approvals before any new funds are released

**Certification Info**

|   | Certification Code | Approval Required (Yes) | Approval Required (No) | Approval Number |     |   |
|---|--------------------|-------------------------|------------------------|-----------------|-----|---|
| 1 | Animal Welfare 01  | <input type="radio"/>   | <input type="radio"/>  | AUP             | +/- | - |
| 2 | Human Ethics 01    | <input type="radio"/>   | <input type="radio"/>  | PRO             | +/- | - |
| 3 | Biohazards         | <input type="radio"/>   | <input type="radio"/>  |                 | +/- | - |
| 4 | Stem Cell          | <input type="radio"/>   | <input type="radio"/>  |                 | +/- | - |

Where applicable, please proceed to [ARISE](#) to link your approved protocol to the current RES number. This step is required before funding can be released.

**9. Attachments:** Click on the paperclip to upload attachments. Written sponsor approval must be included for most changes. Contact [rsoinfo@ualberta.ca](mailto:rsoinfo@ualberta.ca) if unsure. Attach all documents as a single PDF.

4

Stem Cell

+

-

Where applicable, please proceed to [ARISE](#) to link your approved protocol to the current RES number. This step is required before funding can be released.

Attachments

9.

1-1 of 1

|   | File Name | DateTime Added |                                                                                       |              |
|---|-----------|----------------|---------------------------------------------------------------------------------------|--------------|
| 1 |           |                |  | <div>+</div> |

**10. Additional University Resources:** Identify resources required, over and above funds being requested from the sponsor (eg.; additional lab space, teaching release, background IP, etc). If a resource isn't noted, describe in "Other." For any marked "yes" add details in step 7 Comments. Attach any supporting documentation (step 9).

**Additional University Resources**

\*Project requires additional space or modification to existing research space held by PI: ☐ Yes ☐ No

\*Project requires technical support for installation and operation of specialized equipment or use of Department / Faculty / College and / or Institutional subsidized core research facilities. ☐ Yes ☐ No

\*Project involves graduate student thesis work: ☐ Yes ☐ No

\*Project involves Teaching Relief/Release: ☐ Yes ☐ No

\*Department / Faculty / other UofA unit is providing support (cash or in kind), including additional support (e.g. cash, teaching assistantship) for students: ☐ Yes ☐ No

\*Other (describe):

Comments:

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\*Project Includes honorarium or salary for the Principal Investigator: ☐ Yes ☐ No

\*Does this research involve Aboriginal/Indigenous peoples, their communities or knowledge systems? ☐ Yes ☐ No

**Approvals**

Approval Status: Not Submitted for Approval

**Save** **Submit**

**11. Honorarium or salary for the PI:** Indicate yes or no. Note that researchers cannot hold funds from which they will be paid.

**12. Does this research involve Aboriginal/Indigenous peoples, their communities or knowledge systems? Indicate yes or no.**

**13. Save:** The form can be saved and returned to at any point before submission. To return to the proposal, log in to your researcher home page and search in the proposals section then click on the proposal number

**14. Submit.** Once you click submit, your request will be submitted into workflow for online approval.

## After submission:

**15. Workflow approval chain is displayed on the bottom of the request after submission**

Approvals

Approval Status: Pending Approval

Requester:

Project Amendment Approvals

A001:RES00:Pending

Project Amendment Approvals

Pending

Project Ament PI User List

Not Routed

Proj Amendment Dept Reviewer

Not Routed

Proj Amendment Dept Approver

Not Routed

Proj Amendment Fac. Reviewer

Not Routed

Proj Amendment Fac. Approver

Not Routed

Received by RSO

15.

## To check on submission status:

**Self-Service Center**

General Inquiry ^

SpeedCode Inquiry\*

PER Balance Inquiry\*

**Researcher Home Page\***

eTRAC Home

STRAC Policy Attestation App

Travel and Expenses v

Manage Approvals v

Procurement v

External Links v

**Researcher Home Page**

User ID  Name

Create Application/Proposal/Project

**Advanced Project Search** 16.

Project Holder  Holder Role  Project  RES00  Lookup Project by Speedcode

Status  ☒ Active ☐ Inactive Department

Project Description  Faculty

Project Title  OE Projects Only: ☐

Start Date From  To  Team Member

End Date From  To  Sponsor  Program  Search Clear

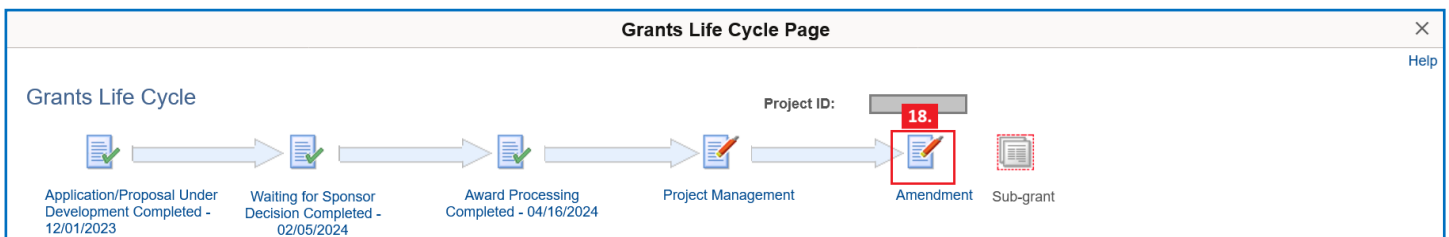
**Projects** Personalize | Find | View All | 1 of 1 | Last

| Grants Life Cycle | Project ID | Award End Date | Total Award | Funds Available Before Commitments | Over Expenditure Status | Funds Available After Commitments | Speed Code | Title | Description | Request |
|-------------------|------------|----------------|-------------|------------------------------------|-------------------------|-----------------------------------|------------|-------|-------------|---------|
| 17.               | RES00      |                |             |                                    |                         |                                   |            |       |             |         |

**16. Project Search:**  
Search by RES or PI to find the Project being amended in question

**17. Grants Life Cycle:** Select the icon: ""

**18.** There should be a "" symbol over "Amendment" in the Grant Life Cycle. Select it.  
(if this symbol isn't present, the draft Amendment was not Saved or Submitted, and will have to be redone.)



**Grants Life Cycle Page**

Grants Life Cycle

Project ID:

Application/Proposal Under Development Completed - 12/01/2023

Waiting for Sponsor Decision Completed - 02/05/2024

Award Processing Completed - 04/16/2024

Project Management

Amendment 19.

Sub-grant

**Amendment** Request ID: A001 Agreement Administrator:  20.

| Step                              | Status           | Completion Date | Comments |
|-----------------------------------|------------------|-----------------|----------|
| Request Initiated                 | Submitted Online | 11/07/2024      | A001     |
| Amendment Request Received by RSO |                  |                 |          |
| Amendment Processed               | In Progress      |                 |          |

**Project Amendment Approvals**

A001:RES0065914:Pending 22.

Project Amendment Approvals

Pending Not Routed Not Routed Not Routed Not Routed Not Routed

Project Ament PI User List Proj Amendment Dept Reviewer Proj Amendment Dept Approver Proj Amendment Fac. Reviewer Proj Amendment Fac. Approver Received by RSO

Return

**19.** Details of the Amendment (ex. Change in Amount, Change in PI, etc.)

**20.** Contact information of the Agreement Administrator working on the Amendment

**21.** Any items that still require completion, along with updates

**22.** Chain of Approvals required before Amendment will go to Research Admin Services. When the final box, "Received by RSO" is ticked, the amendment is not yet approved, it's just been received for central processing

# Request for new Application/Project

Useful links:

## Researcher Services Links

### [Amendments](#)

Home > Services > Receive and Manage Funding  
> Manage Funding > Amendments

### [Research Ethics](#)

Home > Services > Research Ethics

### [Research Partner Network](#)

Home > Services > Contact Research Services >  
Research Partner Network

## UAPPOL Policies

### [Animal Ethics Policy](#)

### [Human Ethics Policy](#)

### [Eligibility to Apply for and Hold Research Funding Policy](#)

For any and all remaining questions, please email  
**[rsoinfo@ualberta.ca](mailto:rsoinfo@ualberta.ca)**