When requesting budget modifications, carry forwards and no cost extensions to a New York State contract, the strength of the justification is critical to the State’s ability to approve the request. In addition to reviewing the request for mathematical accuracy, they must consider the following:

· what are the circumstances that gave rise to the need for the request?
· are the requested changes scientifically justified while allowing for completion of the contracted specific aims?
· are the requested changes cost-effective given changes that have occurred since the application was originally submitted?
· are the requested changes sufficiently thought out so that additional tangential changes will not be required?
· what efforts are being/can be made to offset delays, to reduce the amounts needed to be carried forward into a subsequent budget year or no cost extension?
· was the request made in a timely fashion according to established NYSTEM policies?

Feel free to contact your assigned contract manager with questions at nystemgrants@wadsworth.org.

Please reference the below tip sheet for further instruction.
**CONTRACT MANAGEMENT**

- Submit vouchers and progress reports according to schedule
- Stay within budgeted amounts – voucher payment will be reduced if budget lines are over-expended
- Communicate regularly with internal administrators
- Communicate with NYSTEM contract managers at: nystemgrants@wadsworth.org or 518-474-7002
- Request all changes in advance (see below for details and time frames); provide complete justifications; approval not guaranteed; late requests will not be approved
- Respond promptly to inquiries from NYSDOH; ability to approve request may depend on response time
- No reimbursement if request denied (“working at risk”)

**REQUEST CHANGE TO WORKPLAN OR SPECIFIC AIMS**

- Approval of a progress report that notes a change does not guarantee approval of a contract amendment for related budget impact of the change
- Separate request for contract amendment must also be made if the budget is impacted (see other side for details)
REQUEST FOR CONTRACT AMENDMENT (Appendix X)

BUDGET MODIFICATION

✓ Justification must include description of the impact of each change on other aspects of the workplan and budget
✓ Must request equipment, travel and other items not contained in budget
✓ Request to shift less than 10% of budget category (Personal Services, Other Than Personal Services, and Equipment) requires NYSTEM review and approval (approximately 1 month)
✓ Request to shift in excess of 10% of budget category requires additional DOH and OSC review (approximately 4-6 months)
✓ Avoid request for funds change between PS and OTPS
✓ Approval is not guaranteed

CARRY FORWARD OF FUNDS

✓ Estimate and request 2 months prior to end of budget year
✓ Request to carry forward less than 10% of funding for the year requires NYSTEM review and approval (approximately 1 month)
✓ Requests in excess of 10% of funding for the year will require OSC approval (approximately 4-6 months – working at risk)
✓ Approval is not guaranteed
✓ Requests for carry forward of equipment funds to the final year of the contract will generally be denied

NO-COST EXTENSION (NCE)

✓ Justification must include a description of originally contracted work not yet completed, with explanation
✓ Estimate and request 6 months prior to scheduled end of contract
✓ Request requires additional DOH, DOB and OSC review (approximately 4-6 months)
✓ Approval is not guaranteed
✓ Requests for NCEs received after original contract end date will be denied

Contact NYSTEM at nystemgrants@wadsworth.org or 518-474-7002