

EXHIBIT B: ATTACHMENT 3

Science Program Guidelines for Grant Amendment Requests

Science Program Amendment Policy

The following procedures summarize the amendment policy for CALFED Science Program grants. The Science Program reserves the right to change this policy at any time for any reason.

Grant amendment types:

1) Budget changes:

- no amendments to increase the amount of project funding will be allowed.
- line item adjustments (with no increase in total project funding) in excess of the lesser of \$250,000 or 15% of the agreement total, must be approved by the Science Program Manager and a grant amendment executed by both parties.

2) Time extensions: the Technical Grant Manager may allow extensions of time (with no increase in funding) of up to 6 months. An amendment for an extension longer than 6 months requires the approval of the Science Program Manager and a grant amendment executed by both parties.

3) Scope of work: any proposed change to the scope of work, deliverables, or major personnel, must be approved by the Science Program Manager and a grant amendment executed by both parties.

Amendment Request Letter Content

All amendments must be requested in writing on letterhead to the Science Program Technical Grant Manager. Electronic submission of the amendment request letter is acceptable as an attached Word document on letterhead. Amendment requests within the body of an email message are not considered official requests. If any edits to previous documents are made they should be tagged electronically by using the “track changes” function in your word processing software. Amendments must contain the following:

1. Exactly what is being requested?
 - Budget line-item change
 - Time extension (clearly state, the number of months requested, the previous grant expiration date and the proposed new grant expiration date)
 - Scope of work change
 - Senior personnel change
2. Provide a complete but brief summary of the history of the grant and previous amendments.

Example: In (year), the (granting agency, i.e., Resources Agency, Bureau of Reclamation, etc.) awarded a grant of (\$ total dollar amount of original award) to the (recipient organization), to (one phrase description of the work to be completed). The agreement was amended in (month) of (year) to (increase budget, change scope or extend the agreement). If a previous amendment extended the agreement period, include number of months and new end date (month, date, year). The purpose of the amendment was to (one sentence description of why the amendment was requested).

3. Is there any cost share associated with this amendment? If so, please briefly describe including the amount and contributing agency(s).
4. Reasons for request (justification).
5. If a change of scope, please explain why the requested amendment falls within the parameters of the approved project and is not a new project.
6. If a no cost time extension, please provide a revised schedule of deliverables and a revised budget in the format presented in Exhibit B of your grant agreement.
7. What is the current project status?
8. For projects requiring environmental review and/or permits, what review and approvals have occurred to date? Does the requested amendment impact the ongoing review and approval process or timeline?
9. How does the project as amended continue to fall within the CALFED Program goals?
10. If the requested amendment ultimately gets denied, how will the project be changed to work within the existing budget or time, i.e., what are the consequences of not granting the amendment?