

No Cost Extensions, Carry Forwards and PI Transfers

Office of Grants and Contracts

Presenters:

Stephanie Chandler Thompson, Postaward Manager

Garrett Steed, Preaward Manager

May 11, 2022

Agenda

No Cost Extensions

Carry Forwards

Principal
Investigators (PI)
Transfers

No Cost Extension

The Types of Extensions and Process



What is a No Cost Extension (NCE)?

Specific projects may allow for the final budget period to be extended for a period depending on the sponsor guidelines.

The action affirms that additional work remains to be completed on the project and that resources are available to continue to support the project, or that additional time is needed to provide for an orderly closeout.



Types of NCE Requests

- 1st no cost extension
- 2nd and 3rd no cost extension

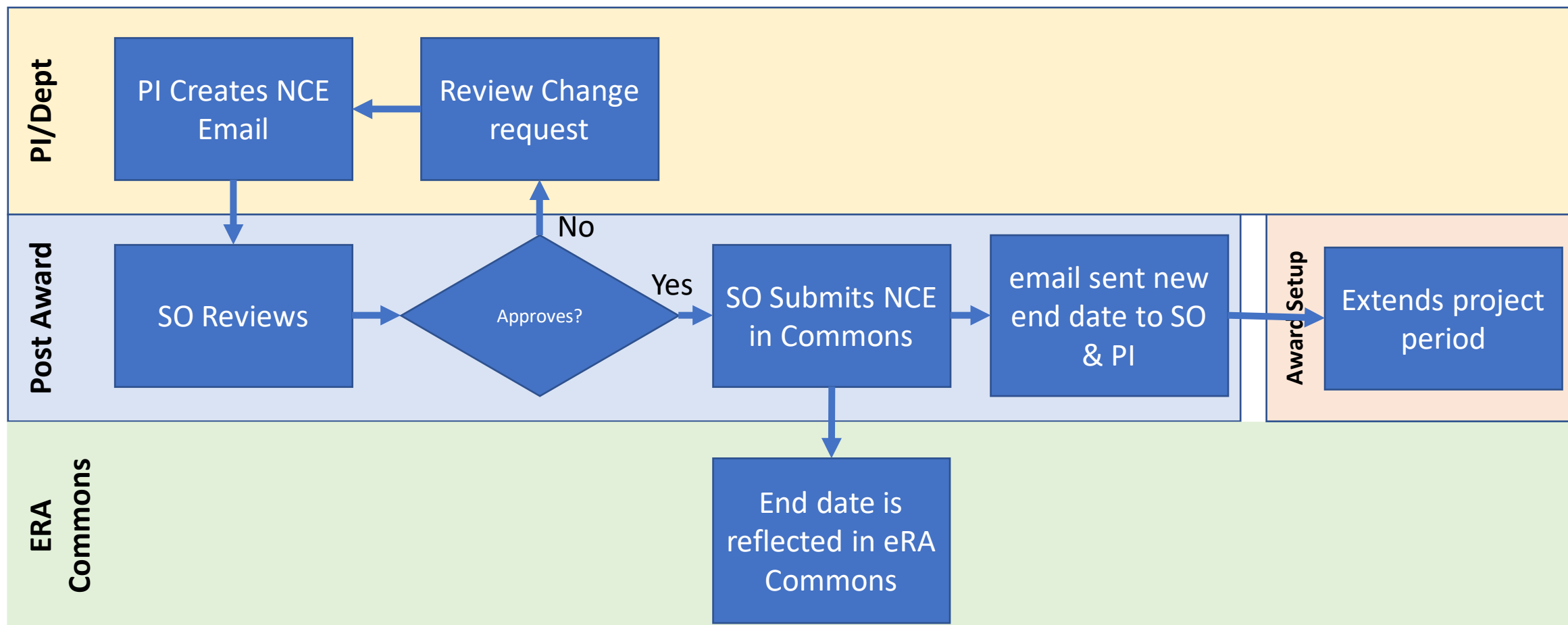
NIH 1st No Cost Extension (NCE) Request

The first no-cost extension for NIH grants may be approved by the Institution unless otherwise stated in the Notice of Award. NCEs approved by the Institution **must** be submitted by the OGC Signing Official (SO) between **90 and 10 calendar** days prior to the end of the project period.

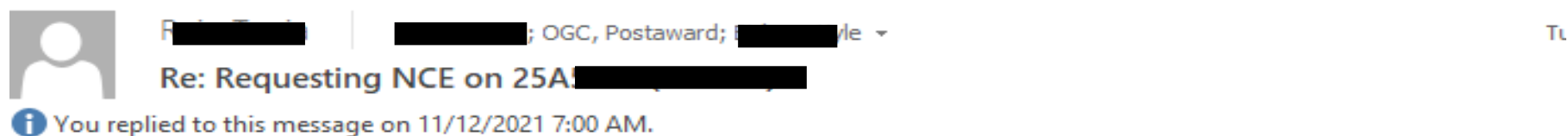
Process the 1st NCE Request:

- The PI sends an email requesting the NCE to OGC.Postaward@ucdenver.edu containing the following information:
 - Proposal Number
 - Brief (2-3 sentence) scientific justification for needing additional time
 - Project Number
 - NIH Grant Number
 - Length of Extension Requested (up to 12 Months)
- Signing Official (SO) reviews the NCE request
- SO extends the final budget period per the request for the grant via eRA Commons (only the SO can complete this step).
- The PI and SO will receive an automated email notification from eRA Commons of the revised project end date.
- SO forwards the notification of the revised project end date to Awards Intake
- Awards Intake updates the project end date in InfoEd and PeopleSoft. The PI and fiscal manager will receive an email notification when this step is complete

1st NCE Process Flow



Example of the Email Request



Hello OGC Postaward,

On behalf of Dr. T [REDACTED] is, I would like to request a no cost extension for her NIH R01.

Dr. [REDACTED] – Please indicate concurrence by replying all to this email.

- **Proposal number:** [REDACTED]
- **Project number:** 2 [REDACTED]
- **Brief (2-3 sentence) scientific justification for the additional time:** Due to COVID-19 closure and safety restrictions throughout the last almost 2 years, laboratory experiments were severely limited. The continued expenditure of award funds to support salary/stipend and benefits has not been matched by productivity in terms of experiments performed, or by the expenditure of award funds on research supplies/materials. We thus request a no-cost extension of one year to allow us to finish the proposed work in Aims 2 and 3 of the award.
- **NIH grant number:** R [REDACTED] 7
- **Length of extension requested** - 12 months

If this is acceptable, please submit through Commons.

Many thanks!

eRA Commons Module



ID: S. THOMPSON
Institution: UNIVERSITY OF COLORADO DENVER
Roles: AO SO BO FSR
[Logout](#) | [Contact Us](#) | [Help](#)

[Home](#) [Admin](#) [Institution Profile](#) [Personal Profile](#) **Status** [ASSIST](#) [Prior Approval](#) [RPPR](#) [FFR](#) [xTrain](#) [xTRACT](#) [Admin Supp](#) [eRA Partners](#) [Non-Research](#) [IBO Portal](#)

Status Result - General Search ?

>>If your application was not awarded, please do not use the MYPR link in the Action column to submit a Progress Report for Multi-Year Award.<<

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI awards.

1- 1 of 1 1								
Application/Award ID	Grants.gov Tracking #	Proposal Title	PD/PI Name	Application Status	Budget Start Date	FFATA	Show All Prior Errors	Action
		Recovering Proteoforms from Cardiovascular Omics Datasets: A Multi-omics Secondary Analysis	YU	Awarded. Non-fellowships only	12/31/2020	Yes		RPPR Extension

NIH Email Notification of the Submitted Request




era-notify@mail.nih.gov

Chandler-Thompson, Stephanie

5/23/2021

Project Extension Submitted for Grant: [REDACTED] to the NIH.

 You forwarded this message on 5/24/2021 10:38 AM.

A Project Extension Request was completed by Signing Official: Chandler-Thompson, Stephanie for grant application: [REDACTED] associated with Principal Investigator [REDACTED] using the NIH Commons. The new project end date for this grant is: 06/30/2022

This new date will now be reflected in the Application Detail section of Commons. If you have any questions about this email, please contact Stephanie Chandler-Thompson at Stephanie.Chandler-Thompson@cuanschutz.edu, who initiated this action.

For any further questions about this email, call the eRA Service Desk at 1-866-504-9552 or refer to <http://grants.nih.gov/support> for additional methods of contact. Please access Commons at <http://public.era.nih.gov/commons/>. For more information please visit <http://era.nih.gov/>

NIH 2nd/3rd No Cost Extension Request

All second and subsequent NIH NCE requests must be submitted through eRA Commons prior approval module by the Institution SO.



NIH 2nd/3rd No Cost Extension Request



The request **must** be submitted to the sponsor by the SO between **90 and 30 calendar days** prior to the end date of the current extension or budget period to prevent a possible disruption in spending.

PI or Department Administrator prepares each NCE document (PDF format) and emails the NCE request to OGC.Postaward@ucdenver.edu for processing:

- Official letter requesting the reason and the amount of time needed on the Department's letterhead
 - Progress Report
 - Detailed budget for unobligated balance on PHS 398 Page 4 with PHS 398 checklist page
 - Scientific Justification (memo format with PI signature)
- SO reviews the NCE request documents
 - SO submits the NCE request to the sponsor via eRA Commons or the provided sponsor contact for non-NIH requests. The SO will copy the PI and any requested department staff on applicable email submissions. eRA Commons submissions will generate an automated email to the SO, and Principal Investigator (PI).
 - Sponsor reviews NCE request and provides notification of decision
 - SO forwards notification of revised project end date to Awards Intake
 - Awards Intake updates the project end date in InfoEd and PeopleSoft. An email notification will be sent to the Department staff when this step is completed

eRA Commons-Prior Approval Module


  Electronic Research Administration


  National Institutes of Health
Office of Extramural Research

Prior Approval |

Prior Approval ?

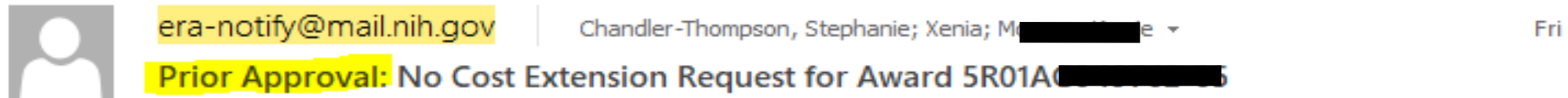
Initiate a Prior Approval Request

Request type: 



No Cost Extension (NCE) Request

Example of a 2nd/3rd NIH NCE submission notification:



[External Email - Use Caution]

*** This is an automated notification - Please do not reply to this message. ***

A No cost Extension request has been submitted for Award 5R01A... to the awarding agency by Stephanie Chandler-Thompson.

This request can now be viewed in eRA commons within the Prior Approval module.

Please contact Stephanie Chandler-Thompson at Stephanie.Chandler-Thompson@cuanschutz.edu, who initiated this action, if you have any questions about this email.

For any further questions about this email, call the eRA Service Desk at 1-866-504-9552 or refer to <http://grants.nih.gov/support> for additional methods of contact. Please access Commons at <http://public.era.nih.gov/commonsplus>.

For more information please visit <http://era.nih.gov/>

No Cost Extension (NCE) Request

Non-Federal requests

- All other sponsor requirements vary by the sponsor terms and conditions of those awards and should be reviewed prior to creating/submitting a NCE request. The submissions can be done via email or the sponsors portal.

Carryover Request

- What is a Carryover and the Process?

What is Carryover?

Carryover is a process through which unobligated funds remaining at the end of the budget period may be carried forward to the next budget period. The carryover of funds allows the Grantees to use the unused prior year funds in the current budget period.

Grantees are allowed to carryover funds automatically if they have the Expanded Authority for their application for all others, Grantees need to submit a carryover request to their respective Grants Management Specialists and Program Officials who will review their request.

NIH-Carryover Documentation Required

PI or Department Administrator prepares the carryover request and emails the request to OGC.Postaward@ucdenver.edu for processing:

- Official letter requesting the reason and amount to carryover to the new budget period
- Progress report
- Detailed budget for unobligated balance on PHS 398 Page 4 with PHS 398 checklist page
- Scientific Justification (memo format with PI signature)
- SO/Postaward Administrator reviews the request documents to ensure that amount being requested is accurate.
- SO submits the request to the sponsor via eRA Commons or the provided sponsor contact for non-NIH requests. The SO will copy the PI and any requested Department staff on applicable email submissions. eRA Commons will generate an automated email to the SO and Principal Investigator (PI).
- Sponsor reviews the request and provides notification of the decision and the account is updated based upon that decision.

Example of a Carryover Submission Notification

Sent: Wednesday, July 14, 2021 12:47 PM

To: Chandler-Thompson, Stephanie <STEPHANIE.CHANDLER-THOMPSON@CUANSCHUTZ.EDU>; Xenia
<Xenia@ucdenver.edu> <[REDACTED]>

Subject: Prior Approval: Carryover Request for Award [REDACTED]

[External Email - Use Caution]

*** This is an automated notification - Please do not reply to this message. ***

A Carryover request has been submitted for Award [REDACTED] to the awarding agency by Stephanie Chandler-Thompson.

This request can now be viewed in eRA commons within the Prior Approval module.

Please contact Stephanie Chandler-Thompson at Stephanie.Chandler-Thompson@cuanschutz.edu, who initiated this action, if you have any questions about this email.

For any further questions about this email, call the eRA Service Desk at 1-866-504-9552 or refer to <http://grants.nih.gov/support> for additional methods of contact. Please access Commons at <http://public.era.nih.gov/commonsplus>.

For more information please visit <http://era.nih.gov/>

eRA Prior Approval Module

Prior Approval

Initiate a Prior Approval Request

Select the type of request you wish to initiate.

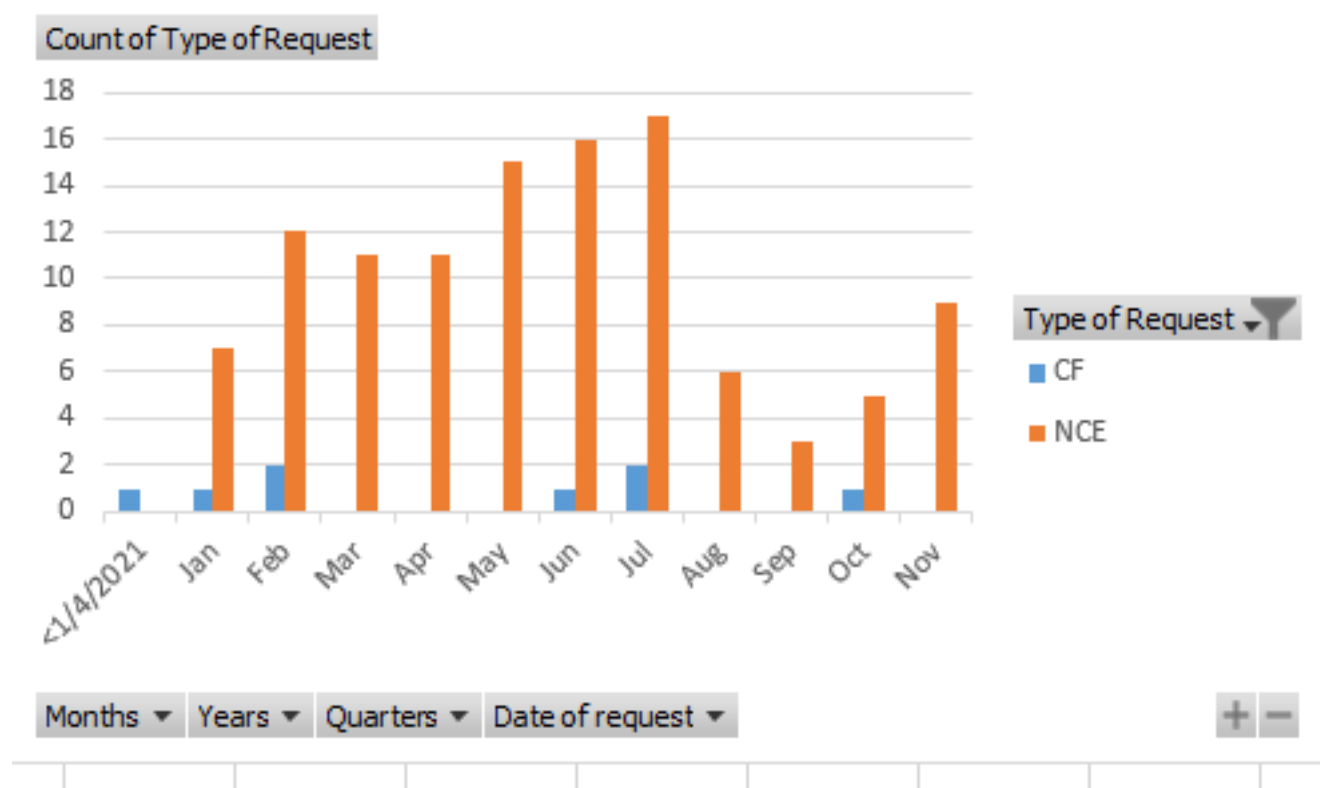
Request type:

Carryover Request



Go

2021 NCE and Carryover Statistics



PI Transfer

- What is a Relinquishment and the Process?



What is a Relinquishment?

The change of Institution, or change of recipient organization, is the transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the completion date of the approved project period (competitive segment). Can only be done if: (NIH 8.1.2.7 Change of Recipient Organization)

- The original recipient has agreed to relinquish responsibility for an active project before the completion date of the approved project period. This includes any proposed change of recipient as a result of a PD/PI on a research project transferring from one organization to another organization.
- The project under the same PD/PI may be supported at a new organization for a period up to the remainder of the previously approved project period in an amount not to exceed that previously recommended for **direct costs (plus applicable F&A costs) for the remaining period.**

NIH - Relinquishing Statement (RS) Going out

- UCD has two documents for transferring a grant out
 - Internal Transfer Approval Form
 - NIH Memo
- Please notify OGC as soon as possible when you know a PI will be leaving UCD

University of Colorado Denver | Anschutz Medical Campus Webmail

T

- [Time and Effort Reporting \(ePER\)](#)
- [Transaction Matrix \(Project Status Matrix\)](#)
- [Transfer Sponsored Projects Template](#) - Internal Transfer Approval Form
- [Transfer of Sponsored Project Template](#) - NIH Memo

NIH - RS Going out: Internal Documents

- Internal Transfer Approval Form
 - List each award
 - Supplements are included with the parent
 - Correct Direct & Indirect Cost
 - Email address of contact at new institution
 - Signatures

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Request for Approval to Transfer Sponsored Project Financial Commitments Not Involving Assets to Other Organizations

Instructions: UC Denver Fiscal Policy 4-16, *Transfer of Sponsored Project Commitments Not Involving Assets to Other Organizations*, requires the completion and approval of this form before any proposed award transfer can take place. Please enter all requested information and submit for review.

Name of Principal Investigator: _____ Campus Box: _____

Department and School: _____ Phone: _____

Official Name of New Institution: _____

For all NIH grant transfers, please provide the following information regarding the new institution:

1. DUNS Number:
2. IPF Code:
3. Contact email at the institution:
4. Requested Termination date:
5. Will there be an equipment costing \$5,000 or more to transfer? If so, please list in the comments section below

NOTE: The PI/Department is only required to complete this internal form for grant transfers/terminations. The Official Relinquishing Statement for NIH will be completed and submitted by OGC ~~PreAward~~. Include all supplements amounts with their parent awards.

Award(s) Requested for Transfer

Awarding Agency: _____

Award No.: _____

PeopleSoft Project No.: _____ Current Award Termination Date: _____

Proposed Date for Transfer: _____

Balance for Relinquishment (Total Cost): \$ _____ : (Direct Cost \$ _____); (Indirect Cost \$ _____)

Awarding Agency: _____

Award No.: _____

NIH - RS Going out: Internal Documents

- Internal Transfer Approval Form

- List each award
- Supplements are included with the parent
- Correct Direct & Indirect Cost
- Email address of contact at new institution
- Signatures



Office of Grants and Contracts
Research Administration
Mail Stop F428
13001 East 17th Place
Room W1124
Aurora, CO 80045-2571
o 303-724-0090
f 303-724-0814

Date:

TRANSFER: PI Last, PI First
NIH Award:

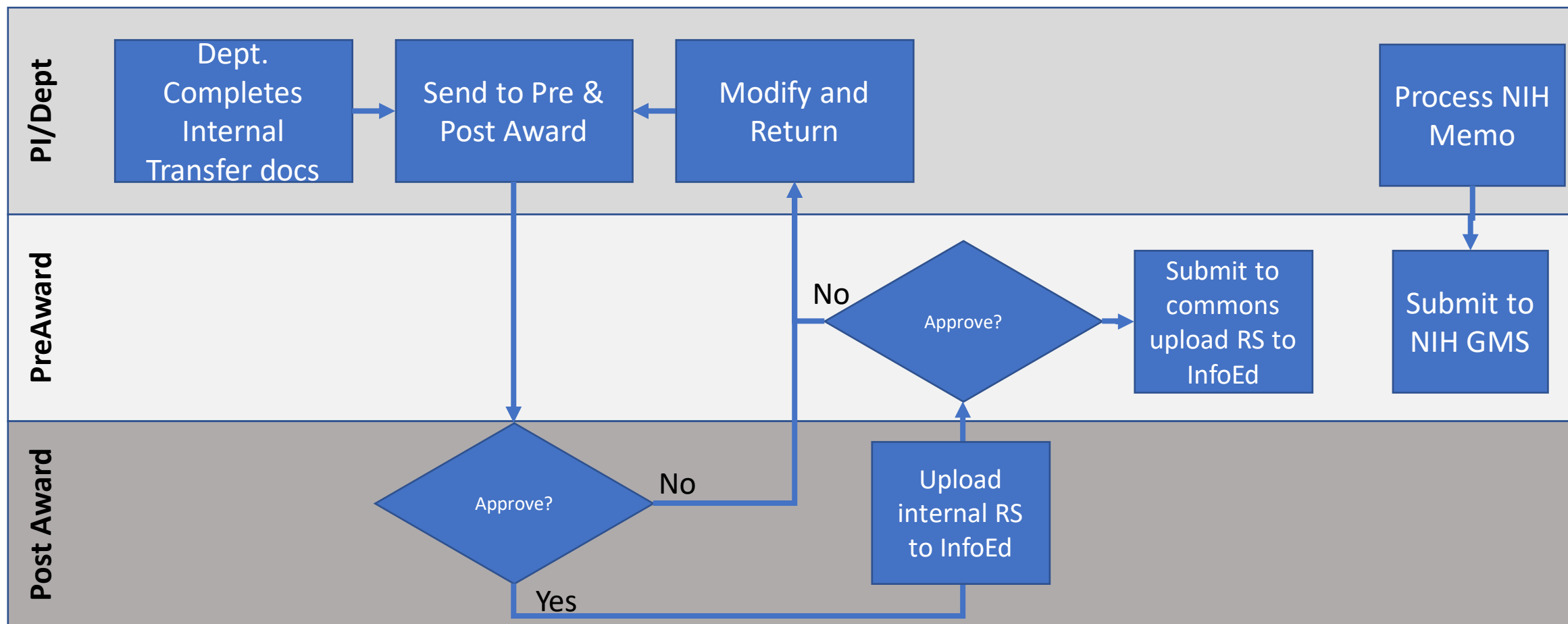
To (NIH GMS)

Regarding the transfer of (NIH Award) this transfer is NOT related to concerns about safety and/or work environments including, concerns about harassment, bullying, retaliation, or hostile working conditions involving the PD/PI.

This transfer is also not related to or occurring within the context of an ongoing or recent investigation of misconduct of any kind, including but not limited to professional misconduct or research misconduct.

Regards,

NIH - RS Process Flow Out going



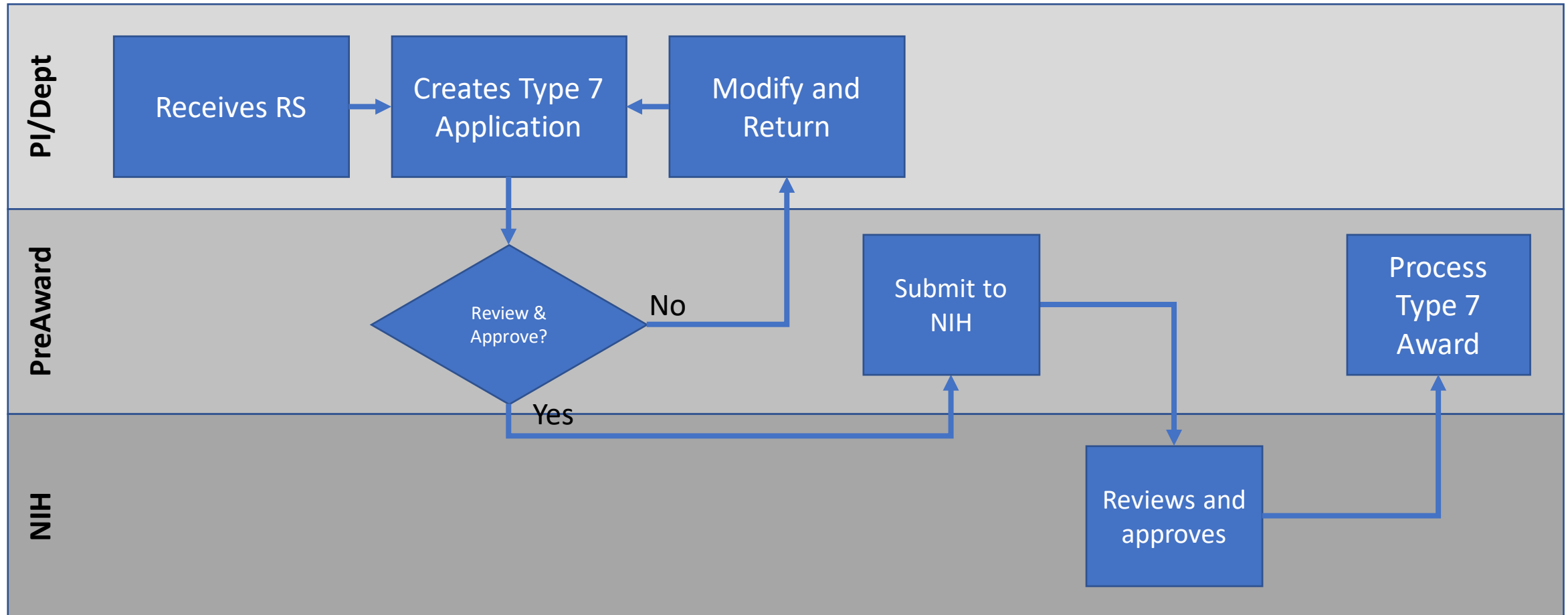


NIH RS: Mistakes

- No email contact
- Amount is over current award amount
- Date first or the last day of the month within the current POP
- Award should not be in NCE, if it is, seek approval first and include that approval with the relinquishing statement email

Now let's talk incoming Transfers

NIH - RS Process Flow



NIH RS Coming in

- Start with the RS
- What year is this award in?
- Create the proposal
- Submit ASAP

Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant

Date: **12/17/2020**

Name of Institution: **UNIVERSITY OF COLORADO DENVER.**

Address (city and state): **13001 East 17th Place, Room W1124**

Aurora, CO, UNITED STATES, 800452571

Principle Investigator/Program Director: **KOENIGSHOFF, MELANIE**

on Public Health Service grant number **5R01HL141380-02** will resign position at this institution and has expressed desire to continue his/her research project at the **UNIVERSITY OF PITTSBURGH AT PITTSBURGH.**

Contact email at the new Institution: **jtownsend@pitt.edu**

In view of the fact that we do not wish to nominate another principal investigator or continue the research project at Institution, this is to signify our willingness to terminate this grant as of **09/30/2020** and to relinquish all claims to a unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future sup of this project.

Equipment costing \$5,000 or More Transferring with the project (itemize)	Unexpended Balance - Estimated
\$	The unexpended balance on termination date of \$366412 calculated on basis of total amount awarded for the grant year, will be approximately Direct Cost - \$235634 Indirect Cost - \$130777
That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited.	
Official Authorized to Sign Application	
Signature SO Steed, Garrett Submitted through the Commons	
Typed Name	

Type 7 Application What is it?

- Change of Recipient Organization (Type 7 Parent Clinical Trial Optional) [PA-21-268](#)
- The Department and PI must now submit a type 7 application to the NIH. They will review and approve this Post-award administrative action.
- A new award will be issued and the funded.
- NOTE the way you do the budget differs based on what year the project is in.
 - Year one very strict, Direct and Indirect Cost must match
 - Out year Direct Cost must match

