# COMMON CONTRACT & GRANT REQUESTS

Revised January 16, 2020

Since Sponsors differ, be sure to review the Sponsor specific guidelines prior to submitting each request. The below instructions are general for NIH awards.

<table>
<thead>
<tr>
<th>TYPES:</th>
<th>DESCRIPTION:</th>
<th>DUE: (minimum)</th>
<th>MECHANISM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request for Authorization to Spend Funds (RAS)</td>
<td>Establishes a fund number for an extramural funded project prior to the receipt of the actual award from the Sponsor</td>
<td>As soon as there’s proof Award will be granted by Sponsor &amp; internal docs are complete</td>
<td>Hard copy RAS form to OCGA</td>
</tr>
<tr>
<td>Change in PI or Other Key Personnel (KP)</td>
<td>Requests approval to change PI/KP from what was listed on original proposal</td>
<td>As soon as FM is notified of change</td>
<td>OCGA Prior Approval Site</td>
</tr>
<tr>
<td>Significant Reduction in Effort of PI/KP</td>
<td>Requests approval to reduce PI/KP effort $&gt;$25% of original proposal effort. Significant increases don’t require approval.</td>
<td>As soon as FM is notified of change</td>
<td>OCGA Prior Approval Site</td>
</tr>
<tr>
<td>Significant Rebudgeting Requests</td>
<td>Requests approval to rebudget a single DC category +/- by $&gt;$25% of TC awarded. Doesn’t apply to Modular budgets.</td>
<td>As soon as change is needed based on stmtt projections</td>
<td>OCGA Prior Approval Site</td>
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<tr>
<td>Supplement Request</td>
<td>Requests additional funds to be added to a current budget period to expand its scope</td>
<td>When funds are required</td>
<td>Letter to Sponsor</td>
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<tr>
<td>Carry-Over Request</td>
<td>Requests unspent funds from one budget period be carried-over &amp; used to the following, continuation budget period</td>
<td>Prior to 90 days after to budget period end date</td>
<td>Letter to Sponsor</td>
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<tr>
<td>No-Cost Time Extension</td>
<td>Extends the project period end date by up to 1 year</td>
<td>2 weeks prior to project period end date</td>
<td>OCGA Prior Approval Site or Letter to Sponsor</td>
</tr>
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***ALL ITEMS SHOULD BE SUBMITTED PRIOR TO MAKING THE CHANGE(S) REQUESTED***

## REQUEST FOR AUTHORIZATION TO SPEND FUNDS (RAS)

Submit: RAS form – Hard copy
Notice of Award or other documentation to serve as guarantee what amount of funding is approved by Sponsor
IRB or ARC approval notice for this project, if applicable

Submit to: Judith Reiter to obtain Yanina Venegas's/Chair’s approval/signature
OCGA Grant Analyst via email, once Yanina’s signature is obtained

AKA: eRAS

Notes: Generally requests are for up to 25% total cost of the budget and for a 3 month time period.
If funding falls through, any expenses incurred are the responsibility of the PI.
**CHANGE IN PI OR OTHER KEY PERSONNEL (KP)**
Submit: Request for Approval of Administrative Action Form
Justification should include:
1) Names of original PI/KP
2) Names of the new/replacement PI/KP
3) Reason for the change
4) Change in effort level
Biosketch of new PI/KP
Updated Other Support of new PI/KP

Submit to: OCGA Grant Analyst via email

**SIGNIFICANT REDUCTION IN EFFORT OF PI/KP**
Submit: Request for Approval of Administrative Action Form
Justification should include:
1) Name & role of PI/KP
2) Change in effort level
3) Duration of change
4) What rebudgeting may occur

Submit to: OCGA Grant Analyst via email

**SIGNIFICANT REBUDGETING REQUESTS**
Submit: Request for Approval of Administrative Action Form
Justification* to include:
1) Amount of funds to be rebudgeted
2) Which budget categories funds will be moved from/to
3) Implications on F&A costs
4) Whether there will be a change in scope of work
5) Assurance the request will not change existing total cost commitment for current and future budget periods
Biosketch of any new key personnel*
Detailed Budget*
Budget Justification* – justify every category

Submit to: OCGA Grant Analyst via email

Note: *For those not under FDP or expanded authority, create cover letter with same justification information & forward additional paperwork.

**SUPPLEMENT REQUEST**
Submit: Cover Letter from PI, co-signed by OCGA – include:
1) Award #
2) Project Title
3) PI Name
4) Budget Period – supplements should be within current budget period dates
5) Synopsis of how the additional funds will benefit the overall project
Biosketch of any new key personnel
Detailed Budget
Budget Justification – justify every category
Submit to: OCGA Grant Analyst – they will send to addressee of the letter after co-signing letter

AKA: Revision, Competing, Minority or Administrative Supplement, Minority Enhancement

Notes: Generally supplemental requests are made in response to an RFA from an Institute that has additional funding available to fund supplements. Supplemental funding is generally restricted & cannot be rebudgeted without NIH prior approval.
CF in excess of 25% of the current year’s total approved budget may require additional justification & result in increased scrutiny from the Sponsor.

CARRY-OVER REQUEST
Submit: Cover Letter from PI, co-signed by OCGA – include:
1) Award #
2) Project Title
3) PI Name
4) Budget Period
5) Synopsis/Explanation of
   1. Why there are funds remaining
   2. What they will be used for in the coming year
   3. How the additional funds will benefit/impact the overall project

Detailed Budget
Budget Justification – justify every category
Copy of official FSR from EFM with figures that match the carry-over request

Submit to: OCGA Grant Analyst – they will send to addressee of the letter after co-signing letter

AKA: Carry-forward, CF

Notes: Unless restricted on the terms of the award, this action is generally allowable under FDP or expanded authorities.
There is no guarantee that carry-over request will be approved at the level requested.
Be sure not to spend funds until approval has been obtained.

NO-COST TIME EXTENSION (NCTEx)
Submit: FIRST NCTEx*: Request for Approval of Administrative Action Form
Justification to include:
1) Scientific justification including progress to date
2) Length of extension requested
3) Amount of and reason for unobligated balance
4) Plan for use of funds during extension period

SECOND NCTEx: Cover Letter from PI, co-signed by OCGA – include:
1) Award #
1) Project Title
2) PI Name
3) Budget Period
4) Synopsis/Explanation of
   1) Scientific justification including progress to date
   2) Length of extension requested
   3) Amount of and reason for unobligated balance
4) Plan for use of funds during extension period (Include categorical budget detail, in text format, of requested direct and F&A costs.)

Submit to: OCGA Grant Analyst via email. For 2nd or non-FDP/expanded authority requests, OCGA will send to addressee of the letter after co-signing letter.

AKA: NCTEx/NCTE/NCE, No-cost