

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.

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

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 emailNote: *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