



# Post-Award Prior Approvals Required

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# Changes in the OSPIP Website

- About Us
- Doing Business with LBNL
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**Separated  
Post-Award  
and  
Closeouts**



## OSPIP Post Award

### Post-Award Management - Required Prior Approvals

- [Change of PI](#)
- [NIH Prior Approvals Required](#)
- [No-cost Extension \(NCE\)](#) Updated 03/01/2010

### Post-Award Event Notifications

- [E-Notifications](#)



# E-Notifications Updated

- **Look for updated language in the RAPID E-Notifications**



# Government-Wide Standards

- **Federal agencies adopted the New Government-Wide Research Terms and Conditions**

Refer to the 2003 Grants Policy Statement as modified by the 'Government-wide Research Terms and Conditions' and individual institute web pages for any additional specific requirements.

- **Government-Wide Research Terms and Conditions matrix (maintained at the NSF website)**  
**<http://www.nsf.gov/bfa/dias/policy/rtc/priorapproval.pdf>**
- **Makes more similarities of requirements between government agencies**
- **NIH relaxed some of their requirements on prior written approvals**

# Expanded NIH section

## OSPIP Post Award

### Post-Award Management - Required Prior Approvals

- [Change of PI](#)
- [NIH Prior Approvals Required](#)
- [No-cost Extension \(NCE\) Updated 03/01/2010](#)

### Post-Award Event Notifications

- [E-Notifications](#)

- [Adding Key Personnel](#)
- [Addition of a Foreign Subcontract](#)
- [Any Requirement Specified in the Notice of Award](#)
- **Carryover of Unobligated Balances**
- [Change of Grantee Organization](#)
- [Change of PI](#)
- [Change of Scope](#)
- [Rebudget Without Requesting Additional Funds](#)
- [Reduction of Effort](#)
- [Relinquishment of Grant When PI leaves LBNL](#)
- [Request for Additional Funding](#)
- [Second No Cost Extension](#)
- [Termination of Award Due to PI Absence](#)



# NIH Approval Required

***DISCUSS PLANS WITH YOUR NIH PROGRAM OFFICIAL  
PRIOR TO THE OFFICIAL PROCESS.***

**Work may not begin under the change until written notification is received from NIH, and a new SPAA is issued by OSPIP.**

# Some Standardization

## Rebudget Without Requesting Additional Funds

Rebudgeting that requires advanced approval may not be implemented until written notification is received from NIH, and a new SPAA is issued by OSPIP.

Advanced approval is required if the rebudget is caused by or triggers any of the following:

1. Any amount that is caused by a change of scope or causes a change of scope
2. Alterations and renovations of \$300K or above, or 25% of budget period total
3. Any rebudget requirements specifically identified in the Notice of Award requiring advance approval
4. Incurrence of research patient care costs or costs in that category that were not previously approved by NIH or if the grantee desires to rebudget additional funds beyond those approved in or rebudget funds out of the research patient care category.

### Email from PI to OSPIP should include:

1. Amount to rebudget
2. Statement that no additional funds are requested
3. Scientific justification for rebudget

### Attach:

1. Detailed budget including F&A calculations and budget justification for all periods affected by the rebudget
2. Quote, if necessary, for large single expenditures for equipment

If you prefer to use hard copy, prepare letter addressed to Grants Management Specialist and signed by the PI including the same information as above.

- Send letter and attachments to OSPIP by email.

### The OSPIP Contracts Officer will:

- Endorse the request and forward it to the Grants Management Specialist and NIH Program Manager specified on the Notice of Grant Award.
- Distribute a copy of the endorsed request to the PI, Division Administration Staff, and the OSPIP file.
- Receive the revised Notice of Award or written authorization from the Grants Management Specialist
- Distribute the SPAA approving the change before implementation.

Clarifies when advance written approval is required

Information required in the email or letter

Attachments, if any

OSPIP Actions



# Change of PI

## Required by LBNL for any change of PI

### Standard PI Change

#### Package to Submit to OSPIP :

1. SPPF signed by PI and Division
2. Any required Conflict of Interest forms
3. Letter, if required by sponsor (see sample)
4. Any documentation required by the Sponsor
5. Any new Human or Animal protocol approvals in the name of the new PI.

### NIH-Specific Change of PI Requirements

## Specifics for NIH Change of PI

**All requests for Change of PI are recorded in RAPID**

## NIH-Specific Requirements for Change of PI

**DISCUSS PLANS WITH YOUR NIH PROGRAM OFFICIAL  
PRIOR TO THE OFFICIAL PROCESS.**

### Change of PI or PI Absence Greater than 3 months

NIH Requires Change of PI be Approved Prior to Implementation.

Waiting to report this change on the annual progress report does not constitute a prior approval for the previous year.

**Change of PI should not be implemented until written notification is received from NIH, and a new SPAA is issued by OSPIP.**

For Significant Change in Effort see [NIH Prior Approvals](#).

Email from PI to OSPIP should include, in addition to the [Standard PI Change Package](#)

1. Letter providing sufficient justification to allow NIH to review and approve the request. If this is a request for a substitute PI, the qualifications of the replacement PI should be included. A sample letter can be found [here](#).
2. New PI's Biosketch, Current and Pending (Other) Support,
3. A Detailed Budget Page (if the Budget is impacted)
4. If the substitute PI is not currently on the project and the project includes Human Subjects, evidence of compliance to indicate that the LBNL Human Subjects Education requirement has been fulfilled
5. Animal and/or Human Subjects Certification(s) in the name of the new PI if applicable.
6. If additional information is required, the OSPIP CO will request this information from the PI with a copy to the appropriate divisional administrative staff.

The OSPIP Contracts Officer will:

- Endorse the request and forward it to the Grants Management Specialist and NIH Program Manager specified on the Notice of Grant Award.
- Distribute a copy of the endorsed request to the PI, Division Administration Staff, and the OSPIP file.
- Receive the revised Notice of Award or written authorization from the Grants Management Specialist
- Distribute the SPAA approving the change before implementation.

**NIH has some very specific requirement for change of PI.**



# NIH No Cost Extensions

- Updated 1<sup>st</sup> time NIH NCE Form
- No longer says “Online Form”
- New Page for 2<sup>nd</sup> NCE Requests



# 2<sup>nd</sup> NIH No Cost Extension

## Second No Cost Extension

**Note:** Due to NIH **more than 30 days prior** to the current end date. **Work may not proceed under the 2nd NCE until written notification is received from NIH, and a new SPAA is issued by OSPIP.**

### Email from PI to OSPIP should include:

1. Scientific rationale for the 2nd NCE
2. Length of extension in months
3. New end date
4. Anticipated amount of carryforward into the 2nd NCE period

### Attach:

1. Detailed budget including F&A calculations and budget justification

**If you prefer to use hard copy, prepare letter addressed to Grants Management Specialist and signed by the PI including the same information as above.**

- Send letter and attachments to OSPIP by email.

# Questions

