



Quicklinks:

CFO Departments:



OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

[FREQUENTLY NEEDED INFORMATION](#) | [GRANTS.GOV](#) | [CALENDAR](#) | [OMBUDS](#)

OSPIP Google Search:

OSPIP Post Award

[About Us](#)

[Doing Business with LBNL](#)

[Funding Opportunities](#)

[NIH](#)

[Proposal Preparation](#)

[Proposal Submission](#)

[Award Negotiations](#)

[Post Award/Closeout](#)

[Gifts](#)

[Policies & Procedures](#)

[Meetings & Training](#)

[Internal Resources](#)

[Sponsored Research System](#)

[External Links](#)

[OSPIP Home](#)

[Send Feedback](#)

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](#)

Page Last Updated 3/8/10

[Privacy & Security Notice](#) | [LBNL Home](#) | [LBNL A-Z Index](#) | [LBNL Phone Book](#) | [LBNL Search](#) | OSPIP: 1 Cyclotron Rd., MS: 46R0125, Berkeley, CA 94720



Quicklinks:
CFO Departments:



OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

[FREQUENTLY NEEDED INFORMATION](#) | [GRANTS.GOV](#) | [CALENDAR](#) | [OMBUDS](#)

OSPIP Google Search:

OSPIP Post Award / Prior Approvals

Change of PI

For all projects awarded through OSPIP, when the PI leaves the Lab or the research, or Lab Management determines that a change is required:

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

[About Us](#)

[Doing Business with LBNL](#)

[Funding Opportunities](#)

[NIH](#)

[Proposal Preparation](#)

[Proposal Submission](#)

[Award Negotiations](#)

[Post Award/Closeout](#)

[Gifts](#)

[Policies & Procedures](#)

[Meetings & Training](#)

[Internal Resources](#)

[Sponsored Research System](#)

[External Links](#)

[OSPIP Home](#)

[Send Feedback](#)

Page Last Updated 3/5/10

[Privacy & Security Notice](#) | [LBNL Home](#) | [LBNL A-Z Index](#) | [LBNL Phone Book](#) | [LBNL Search](#) | OSPIP: 1 Cyclotron Rd., MS: 46R0125, Berkeley, CA 94720



OCFO
Office of the Chief Financial Officer

OFFICE OF
 SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

FREQUENTLY NEEDED INFORMATION |
 GRANTS.GOV |
 CALENDAR |
 OMBUDS

OSPIP Google Search:

OSPIP Post Award/NIH

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.

OSPIP Home

Send Feedback

Page Last Updated 3/5/10

Privacy & Security Notice | [LBNL Home](#) | [LBNL A-Z Index](#) | [LBNL Phone Book](#) | [LBNL Search](#) | OSPIP: 1 Cyclotron Rd., MS: 46R0125, Berkeley, CA 94720



OCFO LAWRENCE BERKELEY NATIONAL LABORATORY
Office of the Chief Financial Officer

Quicklinks:

CFO Departments:

OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

FREQUENTLY NEEDED INFORMATION | GRANTS.GOV | CALENDAR | OMBUDS

OSPIP Google Search:

OSPIP Post Award/NIH

NIH Prior Approvals Required

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

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.

NIH requires certain changes be approved **prior** to their implementation. Waiting to report these changes on the annual progress report does not constitute a prior approval for the previous year.

NIH approval of a request may come in the form of a letter or a revision of the Notice of Grant Award.

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

The information provided to NIH and to OSPIP differs depending on the type of change being requested.

- [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](#)

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.

OSPIP Home

Send Feedback

Page Last Updated 3/5/10

Privacy & Security Notice | [LBNL Home](#) | [LBNL A-Z Index](#) | [LBNL Phone Book](#) | [LBNL Search](#) | OSPIP: 1 Cyclotron Rd., MS: 46R0125, Berkeley, CA 94720



OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

[FREQUENTLY NEEDED INFORMATION](#) | [GRANTS.GOV](#) | [CALENDAR](#) | [OMBUDS](#)

OSPIP Google Search:

OSPIP Post Award/NIH

NIH Prior Approvals Required / Adding or Changing Key Personnel

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

[About Us](#)

[Doing Business with LBNL](#)

[Funding Opportunities](#)

[NIH](#)

[Proposal Preparation](#)

[Proposal Submission](#)

[Award Negotiations](#)

[Post Award/Closeout](#)

[Gifts](#)

[Policies & Procedures](#)

[Meetings & Training](#)

[Internal Resources](#)

[Sponsored Research System](#)

[External Links](#)

[OSPIP Home](#)

[Send Feedback](#)

Page Last Updated 3/5/10

Adding or Changing Key Personnel, As Required

(This might be in conjunction with [reduction of effort](#) in which case the request should be in a single package.)

Adding or changing key personnel may not proceed until written notification is received from NIH, and a new SPAA is issued by OSPIP.

Email from PI to OSPIP should include:

1. Name of new key person
2. Scientific justification for addition of this person
3. Specification of effort (in calendar months)
4. Any budget changes as a result of adding this person

Attach:

1. Biosketch of the new key person
2. Other support for the new key person
3. Revised budget and justification, if applicable

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.



OCFO
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OFFICE OF
 SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

[FREQUENTLY NEEDED INFORMATION](#) |
 [GRANTS.GOV](#) |
 [CALENDAR](#) |
 [OMBUDS](#)

OSPIP Google Search:

OSPIP Post Award/NIH

NIH Prior Approvals Required / Foreign SubContract

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

Addition of a Foreign SubContract

Contact your OSPIP Contracts Officer when you anticipate a foreign subcontract to determine what additional information is required in the letter or as an attachment by the specific NIH Institute or for this specific request.

The foreign subcontract may not be implemented until 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 addition of the foreign subcontract
2. Details about the foreign organization
3. Specify no additional funds are requested

Attach:

1. Detailed budget including F&A calculations and budget justification for all periods affected by the new subcontract
2. Subawardee proposal package to OSPIP from the new subaward organization

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.

About Us

Doing Business with LBNL

Funding Opportunities

NIH

Proposal Preparation

Proposal Submission

Award Negotiations

Post Award/Closeout

Gifts

Policies & Procedures

Meetings & Training

Internal Resources

Sponsored Research System

External Links

OSPIP Home

Send Feedback

Page Last Updated 3/5/10

Privacy & Security Notice | [LBNL Home](#) | [LBNL A-Z Index](#) | [LBNL Phone Book](#) | [LBNL Search](#) | OSPIP: 1 Cyclotron Rd., MS: 46R0125, Berkeley, CA 94720



Quicklinks:
CFO Departments:



OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

[FREQUENTLY NEEDED INFORMATION](#) | [GRANTS.GOV](#) | [CALENDAR](#) | [OMBUDS](#)

OSPIP Google Search:

OSPIP Post Award/NIH

NIH Prior Approvals Required / NOA Requirements

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

Requirements Specified in the Notice of Award

Consult with the NIH Program Official and the OSPIP Contracts Officer to determine what kind of written request would be submitted in the specific situation and the method for submitting the request.

Changes requiring prior approval may not be implemented until written notification is received from NIH, and a new SPAA is issued by OSPIP.

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.

- About Us
- Doing Business with LBNL
- Funding Opportunities
- NIH
- Proposal Preparation
- Proposal Submission
- Award Negotiations
- Post Award/Closeout
- Gifts
- Policies & Procedures
- Meetings & Training
- Internal Resources
- Sponsored Research System
- External Links
- OSPIP Home
- Send Feedback

Page Last Updated 3/5/10

Privacy & Security Notice | [LBNL Home](#) | [LBNL A-Z Index](#) | [LBNL Phone Book](#) | [LBNL Search](#) | OSPIP: 1 Cyclotron Rd., MS: 46R0125, Berkeley, CA 94720



Quicklinks:

CFO Departments:



OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

[FREQUENTLY NEEDED INFORMATION](#) | [GRANTS.GOV](#) | [CALENDAR](#) | [OMBUDS](#)

OSPIP Google Search:

OSPIP Post Award/NIH

NIH Prior Approvals Required / Carryover

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

Carryover of Unobligated Balances from One Budget Period to Another Within an Approved Project Period - (Non-SNAP)

Carryover funding is not available until written notification is received from NIH, and a new SPAA is issued by OSPIP.

Email from the PI to OSPIP should include:

1. Amount to carryover
2. Scientific justification for carryover
3. If the budget amount of the carryover is greater than 25% of the current period's total budget, provide an explanation of why the funds were not used
4. Plan for use of the carryover amount

Attach:

1. Detailed budget including F&A calculations and budget justification
2. Copy of the approved FSR signed by LBNL

If you prefer to use hard copy, prepare letter addressed to the 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.

- About Us
- Doing Business with LBNL
- Funding Opportunities
- NIH
- Proposal Preparation
- Proposal Submission
- Award Negotiations
- Post Award/Closeout
- Gifts
- Policies & Procedures
- Meetings & Training
- Internal Resources
- Sponsored Research System
- External Links
- OSPIP Home
- Send Feedback

Page Last Updated 3/5/10



OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

FREQUENTLY NEEDED INFORMATION | [GRANTS.GOV](#) | [CALENDAR](#) | [OMBUDS](#)

OSPIP Google Search:

OSPIP Post Award/NIH

NIH Prior Approvals Required / Change of Grantee Organization

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

[About Us](#)

[Doing Business with LBNL](#)

[Funding Opportunities](#)

[NIH](#)

[Proposal Preparation](#)

[Proposal Submission](#)

[Award Negotiations](#)

[Post Award/Closeout](#)

[Gifts](#)

[Policies & Procedures](#)

[Meetings & Training](#)

[Internal Resources](#)

[Sponsored Research System](#)

[External Links](#)

[OSPIP Home](#)

[Send Feedback](#)

Page Last Updated 3/5/10

Change of Grantee Organization

This is used when an LBNL PI will be coming from another institution and wants to change existing awards from the old institution to LBNL.

Note: The complete written request should be submitted to NIH **3 months prior** to the effective date of the change.

Work may not begin on the transferred award until written notification is received from NIH, and a new SPAA is issued by OSPIP.

Email from the PI to OSPIP should include:

A. For NIH:

1. A copy of the Official Relinquishing Statement (PHS 3734) from the previous grantee organization
2. A copy of the Final Invention Statement from the previous grantee organization
3. PHS 398 (or 416-1) Face Page
4. Budget pages (current and future years)
5. Updated biosketch for the PI and existing key personnel
6. Biosketch for any proposed new key personnel
7. Statement indicating whether the overall research plans/aims have changed from the original submission, and, if so, providing additional detail
8. Updated 'Other Support' for the PI and key personnel
9. Resource page for LBNL
10. Checklist page for LBNL
11. Detailed list of any equipment purchased with grant funds being transferred to LBNL
12. Copy of the original proposal from the previous grantee

B. For OSPIP

1. Enter all proposal information into RAPID
2. SPPF signed by PI and Division
3. NEPA-CEQA
4. COI for required personnel
5. Animal/Human Certification, if applicable
6. Human Subjects Training documentation, if required
7. Subaward proposal package, if applicable

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.



OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

FREQUENTLY NEEDED INFORMATION | [GRANTS.GOV](#) | [CALENDAR](#) | [OMBUDS](#)

OSPIP Google Search:

OSPIP Post Award/NIH

NIH Prior Approvals Required / Change of Scope

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

[About Us](#)

[Doing Business with LBNL](#)

[Funding Opportunities](#)

[NIH](#)

[Proposal Preparation](#)

[Proposal Submission](#)

[Award Negotiations](#)

[Post Award/Closeout](#)

[Gifts](#)

[Policies & Procedures](#)

[Meetings & Training](#)

[Internal Resources](#)

[Sponsored Research System](#)

[External Links](#)

[OSPIP Home](#)

[Send Feedback](#)

Change of Scope

(Might be in combination with other changes)

NIH approval-required change of scope work may not proceed until written notification is received from NIH, and a new SPAA is issued by OSPIP.

The PI may make changes in the methodology, approach, or other aspects of the project objectives without NIH approval. However, written approval from NIH is required to change direction, type of research or training, change aims, objectives, or purposes of the approved project including, but not limited to:

1. Change in the specific aims approved at the time of award
2. Substitute one animal model for another, add new animals or humans
3. Any change from the approved use of animals or human subjects
4. Shift of the research emphasis from one disease area to another
5. Application of a new technology

Email from PI to OSPIP should include:

1. Scientific rationale for the change -- consult with the NIH Program Official to determine the level of detail required for each specific request
2. Rebudget information if the change will cause rebudget between funding categories

Attach:

1. Budget with justification, if applicable
2. HARC approvals, if applicable

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.

Page Last Updated 3/5/10



OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

FREQUENTLY NEEDED INFORMATION | [GRANTS.GOV](#) | [CALENDAR](#) | [OMBUDS](#)

OSPIP Google Search:

OSPIP Post Award/NIH

NIH Prior Approvals Required / Rebudget

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

[About Us](#)

[Doing Business with LBNL](#)

[Funding Opportunities](#)

[NIH](#)

[Proposal Preparation](#)

[Proposal Submission](#)

[Award Negotiations](#)

[Post Award/Closeout](#)

[Gifts](#)

[Policies & Procedures](#)

[Meetings & Training](#)

[Internal Resources](#)

[Sponsored Research System](#)

[External Links](#)

[OSPIP Home](#)

[Send Feedback](#)

Page Last Updated 3/5/10

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.

	OCFO <small>LAWRENCE BERKELEY NATIONAL LABORATORY</small> Office of the Chief Financial Officer	Quicklinks: <input type="text"/>
		CFO Departments: <input type="text"/>
	OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS	
FREQUENTLY NEEDED INFORMATION GRANTS.GOV CALENDAR OMBUDS		
OSPIP Google Search: <input type="text"/> <input type="button" value="Go"/>	<h2 style="color: green;">OSPIP Post Award/NIH</h2>	
<h3>NIH Prior Approvals Required / Reduction of Effort</h3>		
<hr style="border-top: 1px dotted orange;"/> DISCUSS PLANS WITH YOUR NIH PROGRAM OFFICIAL PRIOR TO THE OFFICIAL PROCESS. <hr style="border-top: 1px dotted orange;"/>		
About Us	Reduction of Effort by PI or Key Personnel Named in the Notice of Award	
Doing Business with LBNL	(Might be in conjunction with changing key personnel , in which case the request should be in a single package)	
Funding Opportunities	An approval-required level of reduction in effort by the PI or key personnel may not be implemented until written notification is received from NIH, and a new SPAA is issued by OSPIP.	
NIH	<ol style="list-style-type: none"> 1. Effort reduction greater than 25%, 2. Or absence by the PI from the project for more than 3 continuous months 	
Proposal Preparation	Note: If a person considered "key" by LBNL is not named in the Notice of Award, prior written approval for their reduction in effort is not required. The change can be reported in the next non-competing continuation progress report.	
Proposal Submission	Note: Remember, 1st NCE and a reduced effort by the PI or other named key personnel, are two separate requests.	
Award Negotiations	Email from PI to OSPIP should include:	
Post Award/Closeout	<ol style="list-style-type: none"> 1. Name of person with reduction of effort 2. Scientific justification for reduction 	
Gifts	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.	
Policies & Procedures	<ul style="list-style-type: none"> ■ Send letter and attachments to OSPIP by email. 	
Meetings & Training	The OSPIP Contracts Officer will: <ul style="list-style-type: none"> ■ 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. 	
Internal Resources		
Sponsored Research System		
External Links		
OSPIP Home		
Send Feedback		

Page Last Updated 3/5/10



OCFO
Office of the Chief Financial Officer
LAWRENCE BERKELEY NATIONAL LABORATORY

OFFICE OF
 SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

[FREQUENTLY NEEDED INFORMATION](#) |
 [GRANTS.GOV](#) |
 [CALENDAR](#) |
 [OMBUDS](#)

OSPIP Google Search:

About Us

Doing Business with LBNL

Funding Opportunities

NIH

Proposal Preparation

Proposal Submission

Award Negotiations

Post Award/Closeout

Gifts

Policies & Procedures

Meetings & Training

Internal Resources

Sponsored Research System

External Links

OSPIP Home

Send Feedback

Page Last Updated 3/5/10

OSPIP Post Award/NIH

NIH Prior Approvals Required / Relinquishment of Grant

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

Relinquishment of Grant by LBNL

This is used when an LBNL PI will be going to another institution and wants to change existing awards to the new institution.

Note: The complete request should be submitted to NIH **3 months prior** to the effective date of the change.

- A. For NIH with copy to the new organization**
 1. Official Relinquishment Statement (PHS 3734) with estimated ending balance
 2. Final Invention Statement
- B. For OSPIP**
 1. Email from PI requesting the change
 2. Email from Division Chair approving the change
- C. Additional documentation required for NIH:**
 1. Final Progress Report for LBNL award due **30 days after** date of transfer
 2. Final FSR due 90 days after NIH transfer award to new organization

Note: All documentation required from the PI should be obtained before the PI leaves LBNL.

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.

Privacy & Security Notice | [LBNL Home](#) | [LBNL A-Z Index](#) | [LBNL Phone Book](#) | [LBNL Search](#) | OSPIP: 1 Cyclotron Rd., MS: 46R0125, Berkeley, CA 94720



OCFO
Office of the Chief Financial Officer

OFFICE OF
 SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

[FREQUENTLY NEEDED INFORMATION](#) |
 [GRANTS.GOV](#) |
 [CALENDAR](#) |
 [OMBUDS](#)

OSPIP Google Search:

OSPIP Post Award/NIH

NIH Prior Approvals Required / Request for Additional Funding

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

Work may not begin using the additional/supplemental funding until written notification is received from NIH, and a new SPAA is issued by OSPIP.

Request for Additional/Supplemental Funding

Consult with OSPIP CO to determine what kind of additional/supplemental application would be submitted in the specific situation and the method for submitting the request.

Internal documentation is also required when requesting additional/supplemental funding:

1. Change of Scope:
 - SPPF ('Create Continuation' required in RAPID, then change the proposal type to 'Supplemental'.)
 - NEPA
 - OSPIP CO will get DOE approval of work and FAC waiver
2. Additional/Supplemental funds, but no change of scope:
 - SPPF ('Create Continuation' required in RAPID, then change the proposal type to 'Supplemental'.)
 - OSPIP CO will get DOE FAC waiver only if the total amount originally approved by DOE is exceeded

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.

- [About Us](#)
- [Doing Business with LBNL](#)
- [Funding Opportunities](#)
- [NIH](#)
- [Proposal Preparation](#)
- [Proposal Submission](#)
- [Award Negotiations](#)
- [Post Award/Closeout](#)
- [Gifts](#)
- [Policies & Procedures](#)
- [Meetings & Training](#)
- [Internal Resources](#)
- [Sponsored Research System](#)
- [External Links](#)
- [OSPIP Home](#)
- [Send Feedback](#)

Page Last Updated 3/5/10

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

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.

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- About Us
- Doing Business with LBNL
- Funding Opportunities
- NIH
- Proposal Preparation
- Proposal Submission
- Award Negotiations
- Post Award/Closeout
- Gifts
- Policies & Procedures
- Meetings & Training
- Internal Resources
- Sponsored Research System
- External Links
- OSPIP Home
- Send Feedback

Page Last Updated 3/5/10



Quicklinks:
CFO Departments:



**OFFICE OF
SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS**

[FREQUENTLY NEEDED INFORMATION](#) | [GRANTS.GOV](#) | [CALENDAR](#) | [OMBUDS](#)

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- About Us
- Doing Business with LBNL
- Funding Opportunities
- NIH
- Proposal Preparation
- Proposal Submission
- Award Negotiations
- Post Award/Closeout
- Gifts
- Policies & Procedures
- Meetings & Training
- Internal Resources
- Sponsored Research System
- External Links
- OSPIP Home
- Send Feedback

Page Last Updated 3/5/10



OFFICE OF SPONSORED PROJECTS & INDUSTRY PARTNERSHIPS

FREQUENTLY NEEDED INFORMATION | GRANTS. GOV | CALENDAR | OMBUDS

OSPIP Google Search:

About Us

Doing Business with LBNL

Funding Opportunities

NIH

Proposal Preparation

Proposal Submission

Award Negotiations

Post Award/Closeout

Gifts

Policies & Procedures

Meetings & Training

Internal Resources

Sponsored Research System

External Links

OSPIP Home

Send Feedback

Page Last Updated 3/5/10

OSPIP Post Award/NIH

No Cost Extensions (direct funded grants; expanded authorities)

[NCE Extension Request Form](#) Updated 03/01/2010

Overview

LBNL may extend the final budget period of the previously approved project period one time for a period of up to 12 months beyond the original expiration date shown in the Notice of Grant Award if:

- no additional funds are required to be obligated by the NIH awarding office,
 - the project's originally approved scope will not change, and
- any one of the following applies:
- Additional time beyond the established expiration date is required to ensure adequate completion of the originally approved project.
 - Continuity of NIH grant support is required while a competing continuation application is under review.
 - The extension is necessary to permit an orderly phase-out of a project that will not receive continued support.

NIH refers to this extension as the "**Extension of Final Budget Period of a Previously Approved Project Period without Additional NIH Funds.**" The fact that funds remain at the expiration of the grant is not, in itself, sufficient justification for an extension without additional funds. The PI agrees to update all required certifications and assurances, including those pertaining to human subjects and animal welfare, to be in effect until the end of the extension. All terms and conditions of the Notice of Grant Award are in full force and effect during the extension period.

More information regarding NIH's guidance regarding "[Extension of Final Budget Period of a Previously Approved Project Period without Additional NIH Funds](#)", please consult the NIH Grants Policy Statement.

A NO-COST EXTENSION IS NOT FINAL UNTIL OSPIP ENTERS THE INFORMATION INTO RAPID AND ISSUES A SPAA.

Process

The following is the guidance to complete the online LBNL NIH Post Award Prior Approval: No Cost Extension Form and the OSPIP actions.

The Online No Cost Extension Form is due to the OSPIP CO a minimum of five (5) working days prior to but not more than 100 days before the award end date.

Principal Investigator

- The [NCE Extension Request Form](#) must be completed by the PI and sent by email from the PI's LBNL login to be compliant with NIH requirement for online Prior Approval Requests.
- **PI and other Key Personnel must maintain their current effort during the no cost extension. Reduced effort of 25% or greater must have NIH prior approval and must be requested separately in addition to the NCE. Effort for the PI and LBNL Key Personnel cannot be 0%.**
- **By submitting the request, the PI agrees** to provide updated copies of IRB and

IACUC approvals as needed prior to the authorization of the extension at LBNL. The PI further understands that the terms and conditions of the Notice of Award are in full force and effect during the extension period.

OSPIP

- The OSPIP CO will review the Extension request; and if approved, will update in NIH eRA Commons.
- A copy of the Extension request from the PI will be put into the OSPIP file. **It must include the e-mail header information demonstrating that it was requested by the PI.** This may be audited by NIH.
- To Extend the Period, the OSPIP CO enters NIH eRA Commons/Extension Page as a Signing Official selects a 12 month, 9 month, or 6 month extension. See instructions [here](#).
- The OSPIP CO will receive an onscreen confirmation. In addition, **a confirmation e-mail will be immediately sent to the OSPIP Contracts Officer, the Principal Investigator, the NIH Program Manager and the NIH Grants Management Specialist for the award.**
- Once everything is completed, the OSPIP CO will update the RAPID/Maintain Award/Award Modification Page. Please see RAPID **OSPIP Award Generation and Management** for guidance.
 - The extension will be authorized and the SPAA generated:

Attached to the SPAA will be a copy of the NIH eRA Confirmation of the Extension and the PI's original request.

The SPAA and attachments will be distributed by email to the PI, Divisional Staff, Accounts Receivable (ARHelp@lbl.gov), and Budget Office.