**No-Cost Extension: SPS Request Form**

The No-Cost Extension (NCE) Request Form in SPS facilitates the NCE request process between the Department/Center/Institute and the Central Office. The tool provides transparency and supports effective management during the submission, review and verification steps of the NCE request.

**Determining the Need for a NCE**

Consult with the PI at least 90 days prior to the project end date to determine if the project may need an extension to complete the goals stated in the initial proposal. Communicate all NCE considerations with your PI during these NCE discussions.

- **NCE Considerations**
  - **Allowable**
    - Is an extension allowed per award terms and conditions?
    - What is the procedure to request for additional time?
  - **Programmatic Need**
    - Identify the programmatic need for additional time and how it benefits meeting project aims/deliverables.
  - **Support**
    - Is funding available to support the extension period? Support may consist of remaining project funds and/or non-sponsored funds available to the PI.

Once the decision is made that a NCE is needed, follow the proper procedure for requesting an extension.

**Obtaining a NCE**

For those projects requiring additional time to complete, the Grant Manager should review sponsor-specific guidelines and project award documents for appropriate procedures for requesting a NCE. Then, complete Duke’s NCE Checklist [https://finance.duke.edu/research/training/other](https://finance.duke.edu/research/training/other) to guide departments through the process. The request process and NCE type varies with each Sponsor.

**Types of NCEs:**

- **Duke Approved NCEs**
  - Federal agencies may grant expanded authority to Duke in managing internal review and approval of a one-time NCE for up to 12 months. This means that Duke can review and approve this request without sponsor approval.

- **Sponsor Approved NCEs**
  - The sponsor may require prior approval for an extension request.
  - Review sponsor award notice for guidelines and deadlines for extension requests. There may be restrictions on requesting a NCE on a specific project or program. Grant Managers should review the award notice carefully to determine if additional restrictions or requirements apply.
  - Work with assigned central office to determine specific sponsor rules and plan the submission of the request accordingly.

The SPS submission of the NCE Request Form is required regardless of the type of NCE. Duke’s NCE Checklist [https://finance.duke.edu/research/training/other](https://finance.duke.edu/research/training/other) will guide you through preparations requesting the extension, as well as completing the NCE Request in SPS.
No-Cost Extension: SPS Request Form

Accessing NCE Request Form in SPS

The NCE Request Form should be used for all NCE requests, including the first NCE request and subsequent requests. The NCE Request Form is created and managed in the Sponsored Projects Systems (SPS) Award module. The SPS Award module is accessible in SPS or via Duke@Work (Grants Management tab > Other Grants Management Links > SPS Web Awards).

NCE requests should be entered using the most recent SPS record for the parent WBSE (in the Award module), except when requesting an extension to a supplement. The extension to the supplement WBSE should be entered using the SPS record associated with the supplement, where a separate SPS record exists for the supplement.

Do not use to route a modification to an agreement (i.e. a request that would include additional funding and/or a change in scientific scope, even if that modification includes a request for additional time).

1. Search for the project in SPS.

   Using the Award module of SPS, select the award record to be extended. User may search using a number of criteria options including SPS #, PI Name, WBSE, etc. Prior to creating the request form, the Initiator should ensure that the appropriate steps have been completed on the NCE Checklist.

2. Select ‘View’ to open the Award record.

3. Open ‘Actions’ and select ‘Manage NCE Requests’.

4. Select ‘Create No-Cost Extension Request’.

   • A new request can only be created if the status of prior request(s) is either Duke/Sponsor Approved or Denied.
   • See NCE Search Functionality section for more information on determining the status of a NCE request.

NCE Request Form is used for:

- Duke approved NCE requests
- Submitting formal extension requests (without funding changes) to any sponsor
- Submitting non-reportable (293/393) extension requests for agreements without stated end dates (SOM/SON only)

NCE requests should be submitted via the NCE Request Form prior to the deadline.

Guidance documents, videos and references are available at http://finance.duke.edu/training/index.php
No-Cost Extension: SPS Request Form

Completing the NCE Request Form

The Initiator should review the NCE Checklist [https://finance.duke.edu/research/training/other](https://finance.duke.edu/research/training/other) and complete the appropriate steps and follow local business unit procedures associated with the NCE prior to creating the request form. The NCE request is due to ORA/OR5/DOCR/AMT at least 15 days prior to the sponsor’s required due date or project end date, whichever is earlier.

Complete the form based on information gathered for checklist [https://finance.duke.edu/research/training/other](https://finance.duke.edu/research/training/other). Based on the details gathered while completing the checklist, enter the information in the corresponding fields then click ‘Create’ to generate. Items with an * are required fields.

A. Type of NCE Request: Choose appropriate option based on sponsor requirements. Requests requiring sponsor prior approval must be designated as Sponsor Approved.

B. Requested Budget Period End Date: Insert requested extension end date. In most cases, requests are limited to 12 months. If >12 months is requested, field will display as red and a warning will display upon submission for central review.

C. WBSEs not to be extended: Enter each sub WBSE (internal or external) that will not be extended.

D. Anticipated Unobligated Balance Amount: Enter the projected unobligated balance at the end of the budget period that is requesting to be extended. If answering no, provide the funding plan details, including the funding source (e.g., PI discretionary, departmental operating funds, etc.) and the actual CC/WBS number. If multiple sources, provide the breakdown of the amount expected to be covered by each source.

E. Expected NCE Effort for Sponsor Key: Radio button selection to determine if the effort entered is expressed in % (MNMC) or person months (PAMC).

F. Key Personnel: Key Personnel listing (as pulled from the SPS Award record) and expected effort entry for the key personnel (Cannot add or remove Key Personnel from here, must be done from SPS Award Record)

G. Required Documentation: Display entered Progress Report, Budget Document or Justification document. The NCE web request form must be saved before these documents can be uploaded (see page 5 for details on which documents are required based on sponsor and approver).
Completing the NCE Request Form (continued)

H. **Review Board Compliance Dates:** Enter the most recent review board approval dates for IRB (if human subjects) and/or IACUC (if animals).

I. **Supporting Documentation:** Display or attach supporting documents, when they are required. The NCE web request form must be saved before this/these documents can be uploaded. (see page 5 for details on which documents are required based on sponsor and approver).

J. **Central Office Admin Contact:** Select your department/center/institute's appropriate point of contact in the central office. Select from Award Management for NIH NCEs and ORA/ORS for non-NIH NCEs.
   - Campus contacts: ORS: [https://ors.duke.edu/who_to_call](https://ors.duke.edu/who_to_call);
     Campus AMT: CampusAMT@duke.edu
   - Medicine/Nursing contacts: [https://medschool.duke.edu/research/research-support-offices/office-research-administration/about-ora/ora-assignments](https://medschool.duke.edu/research/research-support-offices/office-research-administration/about-ora/ora-assignments)

K. **Business Unit Checkbox:** Check to attest that the Department/Center/Institute has completed all actions defined within the checklist.

L. **Create:** Click to create the form, assigning it a form number and making attachments possible. **Does not submit the form to workflow.**

L. **NCE Request Actions:** Menu options will become active once NCE record is active in SPS for use when editing NCE record.
   - Internal Comments to ORA/ORS/ORC/AMT: Memo field for notes to and from a Central Offices. Include sponsor contact information if a Central Office is to submit request
   - Show NCE History: Status history of NCE request
   - Return to Award: Navigates user back to SPS award information page
No-Cost Extension: SPS Request Form

Adding Attachments and Submitting the Form

1. Click the icon beside the document you wish you to attach
2. Click ‘Attach’
3. Click ‘Choose Files’
4. Select the desired file, and click ‘Open’
5. Click ‘Attach’

Follow the same steps as above using ‘Attach’ under Supporting Documentation if any additional supporting documents are required for approval.

Documentation Requirements

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<th>Progress</th>
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<th>Justification Document</th>
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</table>

*justification can be incorporated into progress report

For other Sponsors/Scenarios, please reach out to your ORA/ORS Pre Award Representative (see page 4)

6. Once all required documentation has been attached, and the form is ready for submission, Click ‘Submit for Central Review’

Save Cancel
No-Cost Extension: SPS Request Form

Initiator Actions

During Central Review

Once the Initiator submits the NCE request for central review, the form can be accessed in SPS by the designated Central Offices administrative contact.
- The form is not subject to non-central review.
- If Duke is authorized to approve the NCE request, the institutional approval is the final step in the NCE review process.

Return for Changes

If during central review a modification or more information is needed, the form will be returned for changes (RFC). The Initiator is notified of the return by email and action is required to proceed with processing the request. The Initiator, or any individual with access to the NCE Request Form, can edit the request form once the form has been returned for changes.

1. Open returned SPS record for award and open NCE request.
   - Open the SPS award record and select ‘Manage NCE Requests’ from the Actions icon (shown right). You can also open a NCE request directly from the NCE search page.

2. Choose record to edit.
   - Select ‘Edit’ to open the pending NCE request. The current NCE status is listed as Returned for Changes.

3. Review reasons for return.
   - Under NCE Request Actions, select ‘Show NCE History’. The status history will display. To view the explanation for return, select the blue pencil in the appropriate row.

4. Address reasons for return and resubmit.
   - Take necessary actions to address the identified concern(s) detailed in the explanation then resubmit the request.
     - If additional documentation is required, files should be attached in Supporting Documentation.
     - Use Internal Comments to provide the Central Office with more information, if needed.

Once central review is complete, ORA/ORS/ORC/AMT will approve or deny the NCE Request.

- The Initiator is notified of the final decision by email.
- If Duke Approved, the approved end date will be displayed in the ‘Revised Budget End Date’ field (shown right). SAP and the SPS Award record will be manually updated by Central Offices based on the approved end date.
- See next section if sponsor approval is required.
No-Cost Extension: SPS Request Form

Initiator Actions During Sponsor Review

An NCE request may require prior sponsor approval. The NCE request can be submitted to the sponsor either by the designated Central Offices or by the Department/Center/Institute. Follow local business process and specified sponsor requirements regarding the submission of the request.

Once the central office review is complete, the NCE request is ready for submission to the sponsor. The submission may come from the central offices or the local department/center/institute, depending on the terms and conditions of the award. The responsibilities will vary depending on how the NCE request is submitted.

Central Offices Submission

If the NCE request is to be submitted by the Central Offices, the ‘Internal Comments’ section of the SPS NCE request form should include the contact information for the sponsor and specific individuals to be included on the correspondence.

Once the Central Office approves the NCE request for submission, the status will display as “Approved for Sponsor Submission – ORA/ORS/DOCR/AMT”. The status will be updated to “Submitted to Sponsor” once the request is sent.

If during the sponsor review, more information is requested or if the sponsor counters with a modified approval, the Central Office can request clarification from the Initiator. The NCE status will display as “Clarification Requested” and an email notification is sent.

- An explanation will be associated with the status change and can be viewed by selecting the blue pencil in the corresponding status row (see previous page).
- The Initiator should take the necessary actions to address the request for clarification.
- A response in the comments is required in order to return the form to the Central Office administrator.
- Once the Initiator responds, the status will be updated to “Sponsor Response Received – Pending Central Review”.

Department/Center/Institute Submission

If the Department/Center/Institute chooses to submit the NCE request to the sponsor, communicate this in the Internal Comments sections. The appropriate Pre-Award Office email addresses must be included on the correspondence.

Once the Pre-Award Office approves the NCE request for submission, the status will display as “Approved for Sponsor Submission – Dept”. After the Department/Center/Institute submits the NCE Request to the sponsor, the Initiator should update the status in the request form. Select ‘Mark as Submitted to Sponsor’.

If the Department/Center/Institute receives a response from the sponsor, the Initiator should attach the correspondence as Supporting Documentation and select ‘Submit Sponsor Response’ in the NCE Request Form.

Once sponsor and central reviews are complete, ORA/ORS/DOCR/AMT will approve or deny the NCE Request.

- The Initiator is notified of the final decision by email.
- If Approved, the Revised Budget End Date field is populated (shown below, left). The Requested Budget End Date field will maintain the date originally requested. If the approved end date differs from date originally requested, the approved end date will be displayed in red (shown below, right).
- SAP and the SPS Award record will be manually updated by Central Offices based on the approved Revised Budget End Date.

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<tr>
<th>Initiator Actions</th>
<th>Central Offices Submission</th>
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<td>Justification</td>
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<td>NCE Request Actions</td>
</tr>
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<td>Revised Budget Period End Date</td>
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<tr>
<td>Requested Budget Period End Date</td>
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No-Cost Extension: SPS Request Form

NCE Search Functionality

The NCE search functionality allows the business unit to manage relevant NCE requests based on specific criteria. SPS users can access the Award Information and NCE Requests to which they have rights based on Owning Duke Org, PD/PI’s primary appointment BFR or PD/PI’s selected Duke Org (if different from the primary appointment).

SPS offers the ability to search all NCE records using various search criteria. Multiple selections can be used to narrow results. The results can be exported into a spreadsheet format for additional functionality and sharing.

1. From SPS Awards, select ‘Search No-Cost Extensions’ located in the bottom right.

2. Enter search criteria in new window and click ‘Search’.

   The search functionality allows Grant Managers and Business Managers visibility into the NCE process by offering multiple search criteria to isolate a specific population of requests.

   **To search for a specific NCE Request Form**, the active Award record can be found by searching from a number of criteria including:
   - SPS Proposal #
   - PI Name
   - WBSE
   - Agency ID

   Searching for specific requests allows the business unit to verify the current status and determine if action is required.

   **To identify a group of NCE Request Forms**, a list can be generated by searching from a number of criteria including:
   - NCE status
   - NCE type
   - Owning Duke Org
   - NCE Initialization Date
   - Requested/Revised Budget End Date

   Searching for a group of requests allows the business unit to manage workload and determine if action is required.

3. Review report results and export as needed.

   Based on the selected criteria, a list of applicable award(s) with NCE request(s) will populate. The populated list can be sorted within SPS or exported to Excel. To export to Excel, generate the desired list and select ‘Spreadsheet.’

   The exported version includes key information that can be used for managing the NCE process including:
   - NCE Status
   - NCE Status Change Date/Change By
   - NCE Initiate Date/Initiate By
   - Requested/Revised Budget End Date
   - Pre-Award Administrator
   - IRB Protocol #