

No Cost Extensions

Routing, Submission and SFS Updates

Starting December 2010, No Cost Extension requests will be routed and managed using WISPER. Under this new process, RSP will review and submit all requests for extensions to all agencies. In addition, RSP will update all of the PeopleSoft fields on the project, award, and SFS extensions. RSP post-award will update the PeopleSoft contract.

1. Request for all no cost extensions are to be routed via WISPER

- a. The request should include all information as outlined at <http://www.rsp.wisc.edu/awardmgt/nocost.html>
- b. In the WISPER record
 - i. Please be certain to indicate the document type as NO COST EXTENSION "NoCostExt"
 - ii. General information page should be completed.
 1. Budget details can remain blank
 2. Outgoing subaward question must be answered
 3. Deadline for submission of the request to the Sponsor & the method entered in the Submission Instructions section
 4. Compliance answers responded to and compliance details including protocol number and dates should be completed.
 - iii. Complete the Project details
 1. The 'Commitments' section of the WIPSER record does **not** need to be completed.
- c. The Request
 - i. A template request letter is located on the RSP website at: <http://www.rsp.wisc.edu/forms/nceletter.doc> and should be used as the basis for all requests requiring approval. It is optional for those awards which we have a one-time notification. However, the information (title, requested dates, justification) must be included in information sent to RSP
 - ii. Should be attached in the WISPER attachment section
- d. Each Division will determine whether PI signature is required and whether any additional departmental approvals are required before submitting to RSP.
 - i. Division will override signatures using DIVISION ACTION tab if determined to meet Division Guidelines
 - ii. RSP will simply require that the WISPER record be "SUBMITTED TO SPO". If the Division does such, RSP will not require additional approvals or signatures.
- e. After SUBMITTED to SPO, all WISPER records will be assigned to Stephanie Gray in status 3 for team assignment.

2. Prior to submission of the notification or request, RSP will review the request and award to:

- a. Ensure positive award balance anticipated as of current award end date.

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- b. Ensure the amount indicated as the award balance as of award end date actually matches WISDM's projected balance.
- c. If there is mandatory cost sharing, determine if that financial obligation has been met. If the mandatory cost sharing obligation has been met, cost sharing for non-key personnel should not be extended.
- d. submit the extension request.
 - i. For Federal awards, determine if it is a notification or request
 - 1. If award is under FDP or the Research Terms & Conditions and this is the first extension, follow d.ii. notifications. (Except DOD which requires approval for all extensions)
 - 2. If award is under FDP or Research Terms & Conditions and this is the second extension OR the award is not under FDP, follow d.iii. request.

3. Submit request

- a. NSF – Fastlane
 - i. NSF notifications and requests are submitted in Fastlane. The PI may initiate but a WISPER record is still required.
- b. NASA
 - i. Enter NCE details on web site <https://www.nssc.nasa.gov/Procurement/NCE.cfm> both for first time FDP extension notification and to request second extensions. Include PI letter in the attachments.
 - ii. STSCI – Space Telescope Science Institute requests are submitted electronically through the STGMS system.
- c. DHHS Agencies
 - i. HRSA: The Electronic Handbook (EHB) electronic system is used to request extensions. The UW has three different organization codes and multiple profiles. The profile particular to the award must be used to submit the extension. Crystal Gaston is an excellent contact.
 - ii. AHRQ: Letter to GMS. No electronic system.
 - iii. NIH – Commons
 - 1. First request is notification.
 - 2. Second request is a request. .
 - 3. T32 - When requesting an extension of a T32 the award will only be extended through the month of the last trainee's appointment end dates, not necessarily a whole year. If there are no active trainees there is no need for an extension, and the award will not be extended. Upon receipt of the NCE request RSP personnel will verify the trainee appointment dates via xTrain in Commons, and adjust the request dates accordingly.

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- a. Example: Current end date of 5/31/2011. Request for extension is routed to RSP via WISPER. RSP verifies via xTrain the appointment ends dates for all current trainees. The last trainee's end date is 2/18/2012; RSP will adjust the requested end date to 2/29/2012.
- d. NOAA
 - i. If 15 CFR 14.25 (2) applies, prior approval for a one-time extension of up to 12 months is waived. It is still required to notify the Program Officer in writing (email) of the extension and the supporting reason. Sending the PO the PI's request letter suffices and be sure to disclose that the UW is extending the award dates in Grants Online.
 - ii. In Grants Online, search for the award and "Create an award action request". Select either the "prior approval waived" or the "requires approval" no-cost version depending on the terms. Enter the justification and attached the PI's request letter and snapshot of the remaining balance in WISDM. Click "Save and start workflow" and then submit the "Forward to agency" action. If prior approval is waived, a link to a PDF of the award action face page is immediately available for processing.
- e. DOD Agencies - All of the DOD agencies require agency approval for the initial no cost request. A letter must be submitted to the Grant Management Specialist as any non-FDP award would require.
- f. OTHER SYSTEMS OR AGENCY SPECIFIC PROCESSES – Preaward will engage postaward in identifying those systems and processes as quickly as possible.
- g. All other requests should be submitted per the award notice through email or hard copy letter as required. Information on the content of the letter and a template is available at: <http://www.rsp.wisc.edu/awardmgt/nocost.html>
- h. A copy of the request should be loaded into the WISPER attachments section.

4. Updating SFS

- a. If the request is a notification and no Sponsor approval is required the WISPER record will enter directly from status 3 into status 5. See step 5. If the request is an approval, the requestor will retain the WISPER record in a status 4.5 negotiation to track the return approval of the Sponsor. When the Sponsor approves, the record enters into status 5.
- b. Once extension is approved (or once notification submitted)
 - i. Review per the compliance guidance documents. Use the WISPER Project Setup Approval to gather any missing information.
 - 1. IRB
 - 2. IACUC

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3. Biosafety
4. Stem Cells
5. OAR submitted
6. Cost share is appropriate to salary type and source

For further detail on steps ii through vi please see the 'No Cost Extension' Desk Reference at:
https://www.rsp.wisc.edu/intranet/PS/AwardMods/AwardMod_DR_NoCostExt.pdf

- ii. Update protocol information on Award certifications page
- iii. Extend end dates
 1. Project end date on Award funding page
 2. KK dates
 3. Project team dates
 4. Award dates on Award Modification page
- iv. Upload appropriate notification or approval to the Project Attachments
- v. Perform award modification using Award Modification type No Cost Extension
- vi. Close out the pending WISPER record including the Award ID
- vii. Provide file and award summary the next day to the accountant for updating the contract, invoicing, etc.

5. Provisional Extensions

After submission of a no cost extension request, should there be a wait for Sponsor response; RSP will assume the Sponsor will ultimately approve the request. Upon submission of the extension request, RSP will update the UW-Madison accounting system to allow expenses to continue to post. The actual project and award end dates, as well as the commitment information, will be updated upon Sponsor approval of the extension request.

When for any reason a request letter cannot be prepared before the PI, department and Dean's office desire to extend the end date, a provisional extension request may be submitted.

- a. Create the WISPER record per step above
- b. The Division should "REQUEST ADVANCE ACCOUNT OF SPO" rather than "SUBMIT TO SPO." This indicates that the Division has not completed the process and the request letter is not yet ready.
 - o Based on this "ADVANCE" division request, RSP will update the accounting system to allow expenditures to post
 - o RSP will notify campus of this completion by sending a PROVISIONAL EXTENSION Award Email.

Note that ANY charges incurred after the end date of the project and before the Sponsor's final approval is received are the responsibility of the PI and the Department (just as expenses on an account-in-advance).