No-Cost Extension: SPS Web Request Form

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

Creating a Request Form

The NCE Request Form should be used for all NCE requests, including the first NCE request or subsequent requests. The Initiator should review the NCE Checklist and Procedural Guidance, complete the appropriate steps and follow local business unit procedures associated with the NCE prior to creating the request form.

1. From SPS Awards, select the Award record to be extended by searching from a number of criteria 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.
   - 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.

4. Select Create No-Cost Extension Request.
   - For Sponsor Approved requests, justification may need to be included in the sponsor letter along with other required documents.

Completing a Request Form

The request form should be completed based on information from the NCE Checklist. Once the form is submitted for central review, an email notification is sent to the appropriate Implementation Team to update the closeout status to Pending an Extension/Modification. The Grant Manager no longer needs to send a request to closeoutdocs@duke.edu to update the status.

A. Type of NCE Request: Based on sponsor requirements
   ✓ Requests requiring sponsor prior approval must be designated as Sponsor Approved

B. Requested Budget Period End Date: In most cases, requests are limited to 12 months. If more than 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: Applicable to internal or external WBSEs not extended

D. Justification: Detail reason for NCE
   ✓ For Sponsor Approved requests, justification may need to be included in the sponsor letter along with other required documents.

E. Supporting Documentation: Related attachment(s) in support of the request

F. Administrative Contact: Pre-Award Office contact to review/process the request

G. Checklist Affirmation: Confirms adherence to NCE Checklist and completion of associated actions by the Department/Center/Institute

H. Status Change Buttons: Initiator can Submit for Central Review or Save
   ✓ Cancel discards unsaved changes on the form

I. Internal Comments: Memo field for notes to and from Pre-Award Office
   ✓ Include sponsor contact information if Pre-Award Office is to submit request

J. Show NCE History: Status history of NCE request

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NCE Search Functionality

The NCE search functionality allows the business unit to manage relevant NCE requests based on specific criteria. This includes verifying the current status of a specific NCE Request Form as well as identifying pending NCE requests that require action or follow-up. SPS Web 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).

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

2. 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. See NCE Status Functionality section for more information on each status.

   To determine the status of 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 Budget End Date
   - Revised Budget End Date

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

3. 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 Web 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 #

NCE Status Functionality

The NCE Request Form Initiator receives an email notification (directly or copied) with each NCE status change. The request form functionality varies based on the current status. Some steps are only applicable in specific scenarios (i.e., Department/Center/Institute submission of the NCE request to the sponsor).

<table>
<thead>
<tr>
<th>Status</th>
<th>Request Form Edits</th>
<th>Internal Comments</th>
<th>Supporting Documentation</th>
<th>Status Change Explanation</th>
<th>Department Action Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>In Progress</td>
<td>✓</td>
<td>✓</td>
<td>Add / Remove</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Submitted for Central Review</td>
<td></td>
<td></td>
<td>Add</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Returned for Changes</td>
<td>✓</td>
<td>✓</td>
<td>Add / Remove</td>
<td>View</td>
<td>✓</td>
</tr>
<tr>
<td>Approved for Sponsor Submission*</td>
<td></td>
<td></td>
<td>Add</td>
<td>View</td>
<td>**</td>
</tr>
<tr>
<td>Submitted to Sponsor*</td>
<td>✓</td>
<td></td>
<td>Add</td>
<td></td>
<td>**</td>
</tr>
<tr>
<td>Sponsor Response Received*</td>
<td></td>
<td></td>
<td>Add</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clarification Requested*</td>
<td></td>
<td></td>
<td>Add</td>
<td>View / Respond</td>
<td>✓</td>
</tr>
<tr>
<td>Duke/Sponsor Approved</td>
<td></td>
<td></td>
<td>Add</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Denied</td>
<td></td>
<td></td>
<td>Add</td>
<td></td>
<td>View</td>
</tr>
</tbody>
</table>

*Status applicable to ‘Sponsor Approved’ request types only.
**Action required only if NCE request submitted to sponsor by Department/Center/Institute.
### Initiator Actions During Central Review

Once the Initiator submits the NCE request for central review, the form can be accessed in SPS Web by the designated Pre-Award Office administrator.

- 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.

### Returned for Changes

If during central review a modification or more information is needed by the Pre-Award Office, the form will be returned for changes. 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 the award record and select Manage NCE Requests. This item is now green which indicates a NCE Request Form exists for this record. You can also open a NCE request directly from the NCE search page.

2. Select Edit to open the pending NCE request. The current NCE status is listed as Returned for Changes.

3. 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. Take necessary actions to address the identified concern(s) detailed in the explanation.
   - In the Returned for Changes status, the Initiator can edit the request form.
   - If additional documentation is required, files can be attached in Supporting Documentation.
   - Use Internal Comments to provide the Pre-Award Office with more information, if needed.
   - Once all actions have been completed, select Submit for Central Review to re-route to the Pre-Award Office administrator.

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

- **Approved** or **Denied** are the final states of a request.
- The Initiator is notified of the final decision by email and can also monitor by using the NCE search functionality.
- At the time a NCE is Approved, the Revised Budget End Date field is populated.
- The Requested Budget End Date field will maintain the date originally requested. The dates will be the same if the originally requested date is approved.
- If the Revised Budget End Date differs from the date originally requested, it will appear in red.
- SAP and the SPS Award record will be updated based on the approved Revised Budget End Date.
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Initiator Actions During Sponsor Review

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

Pre-Award Office Submission

1 If the NCE request is to be submitted by the Pre-Award Office, provide the contact information for the sponsor and specific individuals to be included in the correspondence in Internal Comments. Once the Pre-Award Office approves the NCE request for submission, the status will display as Approved for Sponsor Submission – ORA/ORS/DOCR. The status will be updated to Submitted to Sponsor once the request is sent. To view an explanation associated with a status change, select the blue pencil in the appropriate row.

Department/Center/Institute Submission

2a If the Department/Center/Institute wants to submit the NCE request to the sponsor, communicate this in the Internal Comments. 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.

2b Once 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.

2c 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.

Clarification Requested

3 If during the sponsor review, more information is requested or if the sponsor counters with a modified approval, the Pre-Award Office can request clarification from the Initiator. The NCE status displays 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.
• The Initiator should take the necessary actions to address the request for clarification.
• A response is required in the form in order to return the form to the Pre-Award Office administrator.
• Once the Initiator responds, the status will be updated to Sponsor Response Received – Pending Central Review.

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

• Approved or Denied are the final states of a request.
• The Initiator is notified of the final decision by email and can also monitor by using the NCE search functionality.
• At the time a NCE is Approved, the Revised Budget End Date field is populated.
• The Requested Budget End Date field will maintain the date originally requested. The dates will be the same if the originally requested date is approved.
• If the Revised Budget End Date differs from the date originally requested, it will appear in red.
• SAP will be updated based on the approved Revised Budget End Date.