

NIH No-Cost Extension Request Submissions

No-Cost Extension

A No-Cost Extension (NCE) is the granting of additional time to complete the programmatic aims of a sponsored project without any additional funding. NIH lifted the special award conditions (SACs) in early 2020, allowing most first NCE requests to be approved through Duke’s internal review process. Details related to NCE requests that require prior approval by NIH can be found on page three.

Requirements by Request Type

NCE Requests should be submitted with the information listed below via the NCE module in SPS.


Refer to the [NCE SPS Web Request Form Quick Reference Guide](#) for guidance on using the SPS NCE Tool


Duke Approved
<p>1. SPS submission via NCE module</p> <ul style="list-style-type: none"> • Details related to extension request • Confirmation of financial support and PI’s measurable effort via NCE form <p>2. Progress Report</p> <ul style="list-style-type: none"> • NIH form PHS2590 • Requires additional section for justification <p><i>See detailed guidance below and on page 2</i></p>

Sponsor Approved
<p>1. SPS submission via NCE module</p> <ul style="list-style-type: none"> • Requirements same as Duke Approved requests <p>2. Approval to Spend form</p> <p>3. Budget and Budget Justification</p> <ul style="list-style-type: none"> • NIH form PHS2590 <p>4. Progress Report</p> <ul style="list-style-type: none"> • NIH form PHS2590 <p>5. Scientific Justification Document</p> <ul style="list-style-type: none"> • Formal letter with introductory sentence <p><i>See detailed guidance on pages 3 - 5</i></p>

Duke Approved: Submission Components for NCE Requests NOT Requiring Prior Approval

CAMT/ORA will review the NCE request submission via SPS. Once approved, the extension will be processed in eRA Commons and follow up will be communicated with all impacted partners.

NCE Request Form in SPS 
<ul style="list-style-type: none"> • Project information • Length of the requested extension period • Estimated unobligated balance amount • Confirmation that PI measurable effort will be maintained • Institutional assurance approval dates, if applicable (e.g. IACUC, IRB) • Completed Progress Report and Scientific Justification • Guidance on NCE Tool in SPS is available at NCE SPS Web Request Form Quick Reference Guide

Progress Report 
<p><i>Required format is NIH PHS2590 "Form Page 5: Progress Report Summary" (https://grants.nih.gov/grants/funding/2590/2590.htm)</i></p> <p>Scientific Progress Details</p> <ul style="list-style-type: none"> • Describe scientific progress since the last reporting period • Incorporate charts, images, diagrams, etc., as needed • Ensure consistent with progress described in previous reports <p>Justification for Additional Time</p> <ul style="list-style-type: none"> • Summarize the scientific activities that require support during the extension period • Provide details on how the planned activities relate to the original aims and scope of the project <p><i>See Progress Report example on page 2</i></p>

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Duke Approved NCE request documentation requirements

Below is an example of the Progress Report required for first-time NCE requests that can be approved by the Duke internal review process. Access form links, examples and templates via [myRESEARCHpath](#).

Key Elements of the Progress Report

Complete project related data fields

Date range for activities described in report (not dates of NCE being requested)

Describe progress since last submission

Refer to specific goals & aims of the project

Include images, graphs, charts, and diagrams as needed

Detail activities and goals to be achieved during extension period

Use current version of NIH Form PHS2590

Insert page numbers

PHS 2590 (Rev. 03/16) Page 1 Form Page 2

IMPORTANT NOTE:
Consistently relate progress and extension activities to the **original scope and aims of the project**

[myRESEARCHpath](#) provides examples & templates of required documentation

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NCE requests requiring sponsor prior approval

NCE requests that require NIH prior approval should be submitted internally via the NCE module in SPS. CAMT (Campus/PAMC) or ORA (SOM/SON) will review and submit the request to NIH via eRA Commons. A comprehensive submission is essential for NCE requests requiring NIH approval. Specific formatting and documentation is needed for these requests. NIH responses and questions related to the submission will be coordinated by CAMT or ORA, partnering with the appropriate central offices and department as needed.

Sponsor Approved: Submission Components for NCE Requests Requiring NIH Approval

NCE requests should be submitted with the information below via the NCE module in SPS. Submission requirements for NCE requests submitted to NIH for Prior Approval are described below.

Required Documents for Duke Review

NCE Request Form in SPS

- Project specific information
- Length of the requested extension period
- Estimated unobligated balance amount
- Confirmation that PI measurable effort will be maintained
- Institutional assurance approval dates, if applicable (e.g. IACUC, IRB)
- Completed Progress Report, Scientific Justification, and Budget, Justification & Checklist

Approval to Spend Form

- Internal form that must be signed by the Business Manager or Chief Administrator
- Confirmation the department authorizes project activities to continue beyond project end date and will cover any costs incurred if the NCE request is not approved
- Completed form must be attached in the 'Supporting Documentation' section of the NCE request tool in SPS
- Access form via myRESEARCHpath or click [here](#)

[myRESEARCHpath](#) provides examples & templates of required documentation

Required Documents for NIH Submission

Progress Report

The Progress Report is a detailed description of scientific progress since the last progress report was submitted with similar information and composition when included with an RPPR.

Key Information:

- Provide information using the NIH Form PHS2590
- Complete of the project related data fields, i.e. grant # & PI name
- Align the date range with the period of time related to the activities described (*not dates being requested for NCE*)
- Refer to specific goals & aims of the project
- Ensure progress presented aligns with previous reported achievements as well as planned activities for the reported period
- Include images, graphs, charts, and diagrams as needed
- Use a continuation page (PHS2590) if needed
- *insert page numbers in footer when adding additional pages

The image shows a screenshot of the NIH Form PHS2590, titled 'PROGRESS REPORT SUMMARY'. It includes sections for 'PROGRESS REPORT SUMMARY', 'PROGRESS REPORT', and 'PROGRESS REPORT'. The form contains various fields and checkboxes for indicating changes or no changes to the information provided. A large watermark 'DUKE' is visible across the form.

NIH No-Cost Extension Request Submissions

NIH Approved NCE request documentation requirements

Below are key elements for the required documents for NCE requests requiring prior approval from NIH. Access form links, examples and templates via [myRESEARCHpath](#).

Budget Documents (Budget, Budget Justification & Checklist)

Three budget documents are required: a detailed budget, budget justification & checklist. The information provided should detail how the unobligated balance will be used to support the planned activities described in the Scientific Justification.

Key Information:

- Use NIH Format PHS2590 for all 3 documents (*see examples below*)
 1. Form Page 2: Detailed Budget for Next Budget Period
 2. Form Page 3: Budget Justification (insert continuation page if needed)
 3. Form Page 6: Checklist
- Ensure information is consistent among all documents
- Provide an itemized breakdown of budget categories exceeding \$1,000 in the Budget Justification

IMPORTANT NOTE:

Subs require separate budget documents. See next page for examples of consortium budget submissions

**Form Page 2:
Detailed Budget for NCE Period**

Item	Amount	Subtotal
Salary	4,439	5,395
Fringe	635	195
Travel	1,576	8,895
Supplies	2,096	18,895
SUBTOTALS	8,841	33,381

**Form Page 3:
Budget Justification**

KEY PERSONNEL
Tony Stark, MD, PhD, PD/PI, (0.33 academic months): Dr. Stark will coordinate and oversee all remaining aspects of the project to ensure the timely completion of this study. He will be responsible for monitoring experimental design, data management (collection, analysis, interpretation, and archiving), as well as writing and submitting manuscripts.

NON-KEY PERSONNEL
Erk Selvig, PhD, Postdoctoral Associate, (6 calendar months): Dr. Selvig will be responsible for the remaining experimental studies involving in vitro engineering of human cordless fibroblasts and cardiac.

Item	Amount	Subtotal
Salary	4,439	5,395
Fringe	635	195
Travel	1,576	8,895
Supplies	2,096	18,895
SUBTOTALS	8,841	33,381

**Form Page 6:
Checklist**

PERSONNEL
 No Key Personnel listed for the extension period.

KEY PERSONNEL
 Key Personnel listed for the extension period.

NON-KEY PERSONNEL
 Non-Key Personnel listed for the extension period.

CALCULATOR
Total unobligated amount: \$9,770. Total cost: \$9,770. % F&A cost: 35.24%.

Scientific Justification

The scientific justification provides a summary of the activities planned for the NCE period as they relate to the original aims and scope of the project.

Key Information:

- Provide on departmental letterhead
- Address to the current GMS, found in eRA Commons
- Include PI name, grant number and document name
- Use intro statement that provides general information related to the request (see template for example)
- Ensure Pi signature is included

Dear Mr. Coulson:

I am writing to request a 12-month, first time, No Cost Extension for the above referenced grant. There will be no change of scope from the original specific aims.

Explanation of the unobligated balance:
As of June 30, 2015, we estimate an unobligated balance of \$473,786 remaining for this project (\$24,015 Direct costs and \$449,771 F&A costs). As described in our progress report, there was a delay in hiring an entomologist with the specific skill set to work and sufficient quantities of medium from microtubules. In addition, the project experienced the unexpected loss of Dr. Nick Furry, who passed away last year.

Scientific activities requiring support during the no cost extension period:
During the 12 month extension period, we will work to stabilize specific aims 2 and 3. Aim 2: Synthesize additional indium compounds and test the tendency of indium to sequester the source source. Aim 3: Evaluate the comparative effectiveness of the scientific indium then add to the extracted indium in order to stabilize the Tesebar's power converter.

The unobligated balance projected to be available at the end of the current grant year will be used to support project activities during the extension period and their associated costs which include personnel effort, lab supplies and other as shown in the included detailed budget.

The estimated effort needed for the PI to accomplish the tasks during the no cost extension is 1.5 calendar months.

Included with this request also are budget documents (a detailed budget for the no cost extension period, a budget justification, and a checklist) as well as a progress report. I hope these additional documents along with the information provided in this letter are adequate justification for granting me a no cost extension request. Thank you for your consideration, and please let me know if you need additional information.

Sincerely,
Tony Stark, MD, PhD
Principal Investigator/Professor of Medicine

IMPORTANT NOTE:

Consistently relate progress and extension activities to the original scope and aims of the project

