

NIH Awards: Progress Reports and Carryover Requests

Introduction

With tighter budgets and increased monitoring of awards by NIH agencies, it is important that both progress reports and carryover requests for non-SNAP (non-Streamlined Noncompeting Award Process) awards be submitted in a timely and accurate manner in order to avoid loss of funding. This notice clarifies procedures on preparation of progress reports and the submittal/processing of carryover requests

Progress Reports:

Annual progress reports for NIH non-SNAP proposals should be submitted by the date listed in the federal Electronic Research Administration (eRA) system (normally 60 days before the end date of the budget period). Annual progress reports for NIH e-SNAP proposals should be submitted 45 days prior to the end date of the budget period. Once uploaded the PI must route the eSNAP to the respective Grants Management Specialist for review and approval. Once reviewed and approved, an Office of Sponsored Programs Grants Administration (OSPGA) institutional official will submit the eSNAP and email the PI and departmental contact accordingly. OSPGA must receive the continuation proposal five (5) business days prior to the deadline in order to review, approve, and submit the documents on time. Timely submission of NIH progress reports is required in order to ensure 1) on-time issuance of the continuation award notice from NIH and 2) approval of requests by the NIH for carryover of unobligated funds.

Carryover Requests:

If it is anticipated that a carryover of unobligated funds to a future year will be required for an NIH non-SNAP award, the carryover request should be described within the NIH continuation progress report. As the exact amount of unobligated funds requested for carryover may not be known until the Federal Financial Status Report (FFR) [previously called the Financial Status Report (FSR)] is prepared, the carryover request described in the progress report should include a best estimate of the amount of carryover being requested.

When the FFR is later submitted to NIH via the Office of Sponsored Programs Financial Administration (OSPFA), the exact carryover amount requested should be included in Item 12 "Remarks" of the FFR. Simultaneously, a separate written request must be submitted to NIH (via OSPGA) as detailed in the NIH Grants Policy Statement, Part II, Terms & Conditions. All carryover requests must include a well-detailed justification of the need for the carryover funds and how they will be used for the benefit of the project.

NIH's decision about the disposition of a reported unobligated balance will be reflected in the Notice of Award (NoA) for non-SNAP awards that require formal NIH Grants Management Specialist approval. Upon receipt, OSPGA and the PI/PD must review the award notice to ensure that the carryover request has been approved, and if questions arise concerning the carryover amount approved or not-approved, OSPGA will contact the NIH GMS for clarification.

Competitive Renewals for SNAP Awards:

If the request for carryover is related to a competitive renewal, once the FFR is accepted and approved, the OSPFA will contact the OSPGA accordingly and provide a copy of the accepted/approved FFR at which time the OSPGA will process the budget transfer and notify the PI and departmental contact accordingly.

Transfer Awards:

Following receipt of a transfer award, additional carryover from the previous institution may be released and made available for carryover. In this event, a letter from NIH Closeout or a revised Notice of Award will be issued. Once received, OSPGA will process the budget transfer and notify the PI and departmental contact accordingly.

T32 Awards:

These grants have special conditions regarding trainee stipends. When an appointment starts in a budget period, the entire stipend for that appointment must be charged to that same budget period. Trainee appointments may extend beyond the end date of the budget period to accommodate a normal 12 month appointment EXCEPT in the final year of the project. In order for appointments to extend beyond the end date, the grantee must send an e-mail request for an extension to avoid issues with appointments through XTRAIN. If an appointment does extend beyond the end date of the budget period, the Federal Financial Report (FFR) should reflect the portion of the stipend commitment remaining unpaid as of the end of the budget period as an unliquidated obligation. Once the FFR for the previous year is accepted/approved, OSPGA will move only the unliquidated stipend amount to the new award year. If the PI wants to use any of the unobligated balance, a request for prior approval must be submitted through OSPGA for review and approval prior to submission. Approval will result in issuance of a revised NoA, at which time OSPGA will process the budget transfer and notify the PI and departmental contact accordingly.