ESPRtise:
Setting Up Your Post-Award Request for Success

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ESPR Types

• Award Relinquishment

• Budget
  • Carry-forward of unobligated balance
  • *Open new budget categories*
  • *Revised budget for an award*
  • *Revised budget for a proposal*

• Data Use Agreements & Non-Disclosure Agreements

• Material Transfer Agreements

• Fabricated Equipment

• Personnel
  • Effort change for PI or other key personnel
  • Extended absence of PI
  • PI or Co-I change
  • Change of department

• Prespending
  • New award
  • Continuation year

• Subcontract
  • Request to issue new subaward
  • Subaward amendment

• Withdraw proposal

• *No-cost Extension*
Overview

- Most Common Types of ESPR’s
  - NCE
  - Revised budget
  - Open new budget categories
  - Prespend

- Typical turnaround for an ESPR
Life Cycle of an ESPR

**DEPARTMENT/OSR**
GO sends back / approves
GA processes as instructed

**OSR**
GA sends notes to GO
GO begins review

**OSR**
OSR receives notification
GA begins initial review

**DEPARTMENT**
ESPR is routed
PI and department signatures
Revised Budgets

- **Proposal**
  - Original budget and justification
  - Revised budget and justification
  - Key personnel effort reduction
  - Sponsor correspondence
  - Revised scope of work (if applicable)

- **Award**
  - Most recent budget and justification
  - Revised budget and justification
  - Key personnel effort reduction
  - Multiple chart strings clearly marked
  - Uncommon budget categories specified
Open New Budget Categories

• When is an ESPR required?
  • Auto-open list (FDP/RTC) – No
  • If proposed – No
  • Otherwise, yes!

• What is needed?
  • Proper justification – why is it needed now if not proposed?
  • Rebudgeting restrictions

• Reminders
  • Check roll-up codes – the category may already be open!
  • Correct budget category tree?
No-cost Extensions

• Formal requests should ideally go through OSR

• Different for each sponsor
  • NSF – FastLane
  • NIH – eRA Commons

• Is the NCE for subprojects too?

• Strong Justification
  • Reason for delay?
  • What work will be accomplished?

• Balance
  • If large or small, please justify

• Sponsor Initiated NCE
  • An ESPR is still required

• Length of NCE Request
  • Is a full year needed?
Prespend

- New Award
  - Status of award/agreement
  - Guarantee chart string
  - What budget categories are needed?
  - 90-days prior to start date

- Outyear
  - Was it proposed?
  - Remaining balance

- Typical initial period for prespend is 3 months
Common Pitfalls

• Revised Budgets
  • No sponsor correspondence
  • Outdated budget justification
  • Incorrect dates/outdated fringe
  • Unaddressed scope of work impact
  • No unusual budget categories specified
  • Multiple chartstrings not clearly marked

• NCEs
  • Insufficient justification
  • Outdated IRB/ACUC
  • Incorrect GM045 totals
  • Lack of justification for slow spending
  • Negative balance

• Budget Categories
  • Insufficient justification
  • Sponsor restriction