
PROJECT CLOSURE OR EXTENSION?

As a campus control point for contracts and grants awarded to the UC Regents, the GGSE Contracts & Grants Office assists Principal Investigators (PIs) and oversees the process when making a request for a project extension *if the award terms allow for extensions*. There are multiple reasons why an extension may be needed. Some examples are provided below.

The PI needs more time to complete the project deliverables.

A “no cost extension” (NCE) can be requested when it becomes clear that circumstances will hinder the completion of project deliverables by their due date. Examples include that the project got started late, you have been unable to recruit adequate participants, and delivery of data was delayed. By definition, an NCE means you are prolonging the project for no additional money.

The PI and the funding agency have developed additional work scope that can be completed with the same amount of funds, but with extended time.

If the new work constitutes a change in the scope of the work, the contract needs to be amended with the new end date and the new deliverables and due dates.

The funding agency would like to extend the project with additional work scope and funding (i.e., an extension).

This is not an NCE but is great news! It is a supplement with an extended end date. The contract needs to be amended with the new end date along with the new scope of work, budget, budget justification, deliverables, and deliverable due dates.

PROJECT CLOSURE PROCEDURAL FLOW CHART

The following process is designed to help you choose the right extension for your needs. Please note that the UC is committed to their financial responsibilities including on time project closures. As extension requests take time, planning ahead is critical to a successful extension request.

Step 1: Is there enough time to request an extension prior to the project end date?

(check grant terms and conditions or see your analyst for a timeline; two months is preferred)

Yes-> Proceed to Step 2.

No-> Finish project deliverables on time and close the current project. Return remaining funds.

Step 2: Does the sponsor want you to add to your scope of work?

Yes-> Proceed to Step 5.

No-> Proceed to Step 3.

Step 3: Are the project deliverables complete?

Yes-> Close the current project. Return remaining funds.

No-> Proceed to Step 4.

Step 4: Is this a second or third no cost extension request?

Yes-> Set up a meeting with the Associate Dean for Research and Outreach to discuss options.

No-> Proceed with the no cost extension. Contact your analyst to request an NCE. Your analyst will work with the Office of Research to formalize the NCE. Be prepared to provide a rationale for the extension.

Step 5: Does the sponsor want to give you more money to do additional work?

Yes-> Yay! This is fabulous! Proceed with a supplement. Contact your analyst to let them know the good news. Your analyst will work with you and the Office of Research to develop the supplement proposal. Be prepared to provide a new scope of work, budget, budget justification, deliverables, and deliverable due dates.

No-> Are you sure you are able to do more work for the same budget? If so, proceed with an NCE. Contact your analyst to request an NCE. Your analyst will work with the Office of Research to formalize the NCE. Be prepared to provide a rationale for the extension that includes the new deliverables and due dates.

Frequently Asked Questions

I did not spend all the money budgeted to complete the project. May I request an NCE to spend the money even though the project is already complete?

No. If you have completed the project deliverables, it is unethical to request an NCE solely to spend down the remaining funds. The contract was developed for the purpose of completing a specific project. An NCE is only appropriate if the project cannot be done by the end date or there are additional deliverables that require an extension to complete.

I finished the deliverables and have remaining funds but my sponsor does not want the money back, what should I do?

That is good news for the GGSE. Our fiscal performance is based on money spent, not money awarded. The best and easiest solution is to plan ahead and spend all of the funds by the project end date. If for some reason you can't spend all of the money, you may request an NCE that is in line with the award terms and conditions. A helpful strategy is to include additional work such as a presentation of results or some other service related to the project. If the sponsor confirms they do not want the money returned, the contract can become a fixed price contract. If you know your sponsor will not want remaining funds back at the project end date, inform your analyst as early as possible so they can formalize these terms with Office of Research.

I want to plot my grant spending strategy, but have not received a financial recap (or cannot understand my financial recap), can you help?

You will receive monthly financial recaps of your grants via email from your analyst. If you anticipate needing a particular financial recap urgently, please let your analyst know and they can prioritize that financial recap. If you need more timely information, set up an appointment with your analyst to get estimates. If you need help understanding your financial recap, meet with your analyst to review.

May I talk to my funding sponsor about project deliverables, scope of work changes, and extensions?

Yes please! We encourage you to develop and maintain close working relationships with your program officers. This is crucial for good working relationships and developing consistent funding streams. With that said, any decisions made between investigators and sponsors may only be actualized through the formal contracting process (Office of Research) attending to the award terms and conditions. Your analyst will help you navigate this process. It is almost always necessary to route extensions through the Office of Research from the beginning. In a few cases, award terms and conditions allow the PI to request an extension directly with the sponsor; nonetheless it saves time to involve your analyst in this decision as ultimately the Office of Research must work with your analyst to process the new project end date.