

VCU RAMS SPOT Getting Started – Administrative Actions Type Guide

* Required expanded authority prior approval request

[View: Introduction](#)

Notes:

- Green background signifies expanded authority; no fill signifies prior approval request.
- For all administrative actions, be aware if your school and/or department requires PI/SS to route the action for approval and/or obtain dean and/or department chair counter-signature.
- References to “AOR” are VCU AOR unless “Sponsor AOR” is noted.

#	Question	Possible Answers	
1	* Select the types of actions included in this request:	_90 Day Pre-Award Spending Request _Carry Forward Request _Change Fiscally Administering Unit _Change Scope _Decrease _Grant Relinquishment _New Subawardee _No Cost Extension _Progress Report _Process Award (for OSP selection only) _Process Closeout (for OSP selection only) _Agreement Modification _Personnel: Change Effort _Personnel: Change PI _Personnel: PI Disengagement _Rebudgeting _Upload Reference Document _Other	Guide to Acronyms: AA -RAMS-SPOT Administrative Action CP -RAMS-SPOT Continuation Proposal FP - RAMS-SPOT Funding Proposal FAU -Fiscally Administering Unit G&C -VCU Office of Grants & Contracts Accounting GMS -Grants Management Specialist JIT -Just in Time NOA -Notice of Award OEHS -VCU Office of Environmental Health & Safety OSP -VCU Office of Sponsored Programs PI -VCU Principal Investigator SS -VCU Study Staff T&C -(award) Terms and Conditions
Possible Answers	Extended Description	Who initiates this AA?	Documentation and/or explanation provided by PI/SS
_90 Day Pre-Award Spending Request	Pre-award costs 90 calendar days	PI/SS or G&C	<ul style="list-style-type: none"> • Based on award start date, PI/SS may request pre-award costs and G&C can process. • No AA needed in RAMS-SPOT.
	Pre-award costs 90 calendar days prior to award or more than 90 calendar days with sponsor approval	PI/SS	<ul style="list-style-type: none"> • Documentation required by sponsor grant manager, terms and conditions, NOA or executed agreement
_Carry Forward Request	Carryforward of unobligated balances from one budget period to the next	G&C	<ul style="list-style-type: none"> • G&C Accounting handles this carryforward (when a grant is eligible for streamlined noncompeting application process, aka "SNAP") • No AA needed in RAMS-SPOT.
	Carryforward of unobligated balances from one budget period to the next	PI/SS	<ul style="list-style-type: none"> • Documentation required by sponsor terms and conditions, NOA or executed agreement • Letter signed by PI (on VCU letterhead) to Sponsor Grants Management, cc: to Program Officer. AOR countersigns. • Supporting budget; amount to carryforward should be clear (DC+IDC)

Possible Answers	Extended Description	Who initiates this AA?	Documentation and/or explanation provided by PI/SS
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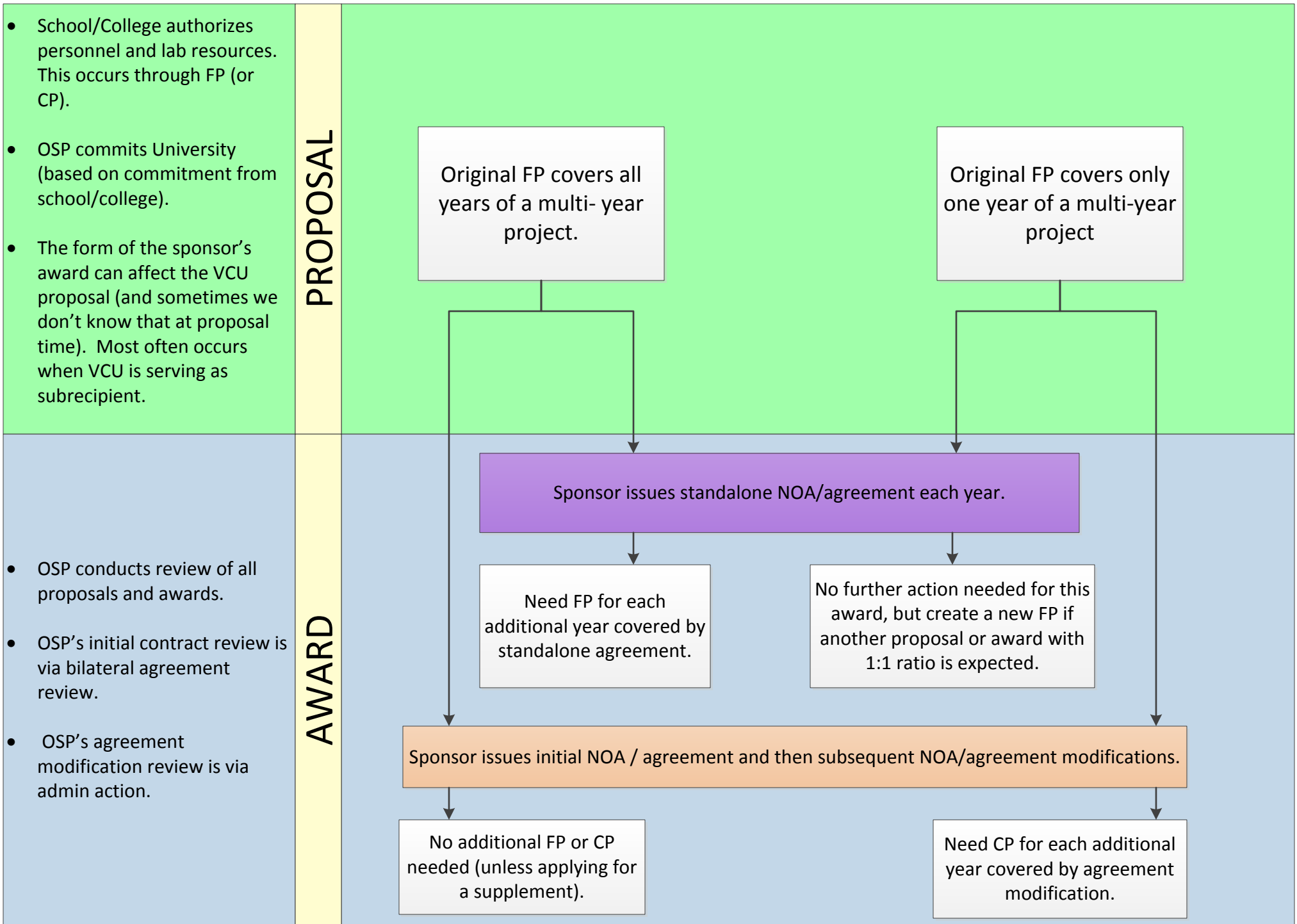
_Change Fiscally Administering Unit	Change to Fiscally Administering Unit (FAU)	PI/SS	<ul style="list-style-type: none"> This administrative action always routes for School(s) Review (all schools affected by the change). School may attach any documentation that supports the approval between the affected departments. Note: Current year awards will report to new FAU totals as reported by VPRI; no changes to historical reporting will occur if the fiscal year has closed.
_Change Scope	Change to Scope of Work (SOW)	PI/SS	<ul style="list-style-type: none"> This administrative action always routes for School(s) Review if primary purpose of project recorded in the Compliance Data project is "clinical trial." Documentation required by sponsor terms and conditions, NOA or executed agreement Letter signed by PI (on VCU letterhead) to Sponsor Grants Management, cc: to Program Officer. AOR countersigns. Updated scope of work Revised budget, if applicable Updated compliance authorizations, if applicable (does the compliance data project need to be updated?)
_Decrease	Decrease [Used for decrease to already awarded funding. Not used for decrease to proposed amount.]	PI/SS or OSP	<ul style="list-style-type: none"> This administrative action always routes for School(s) Review if primary purpose of project recorded in the Compliance Data project is "clinical trial." Include documentation required by sponsor terms and conditions, NOA or executed agreement Note that decrease could take form of NOA, letter, email from <i>Sponsor</i> AOR, or agreement modification Documentation and/or comment in the AA record that PI anticipates and accepts the decrease (can be direct comment by PI or comment from SS on behalf of the PI) Select "decrease" in an AA when there is a decrease to what has previously been awarded. Do not select "decrease" when there is a decrease to what was proposed.
_Grant Relinquishment	Grant Relinquishment (PI Transfer of Institution-leaving VCU)	PI/SS	<ul style="list-style-type: none"> Grant Relinquishment Administrative Actions always route for School Approval. Signed VCU Grant Transfer Between Institutions form. Documentation required by sponsor terms and conditions, NOA or executed agreement. Use great care to forecast funds to be relinquished, i.e. that all valid charges have been taken into account.
_New Subawardee	Involvement of new subawardee or contractor (not described in initial application)-does NOT represent change in scope	PI/SS	<ul style="list-style-type: none"> This administrative action always routes for School(s) Review if primary purpose of project recorded in the Compliance Data project is "clinical trial." Sub mini package to include sub-AOR signed face page, budget, sub PI credentials (biosketch), checklist, and sub scope of work; If you have more than one new subawardee to add to your sponsored project, please create a separate administrative action for each new subawardee.

Possible Answers	Extended Description	Who initiates this AA?	Documentation and/or explanation provided by PI/SS
_New Subawardee cont.	Involvement of new subawardee or contractor (not described in initial application)	PI/SS	<ul style="list-style-type: none"> • Prior approval if addition of the subawardee represents a change in scope (of work) • Prior approval if sponsor requires • This administrative action always routes for School(s) Review if primary purpose of project recorded in the Compliance Data project is "clinical trial." • Sub Mini package to include sub-AOR signed face page, budget, sub PI credentials (biosketch), checklist, and sub scope of work. • Letter to Sponsor Grants Management (on VCU letterhead) signed by PI. (AOR signature also required.)
_No Cost Extension	No Cost Time Extension (first time, up to 12 months)	PI/SS or OSP	<ul style="list-style-type: none"> • Complete smart form questions in RAMS-SPOT AA to identify primary reason for extension, i.e. additional time needed to complete original SOW, to allow for orderly closeout, to support transition when competing continuation pending • Indicate DC and IDC dollars remaining. In most instances, cannot be \$0. • Documentation required by sponsor terms and conditions, NOA or executed agreement. • Letter signed by PI (on VCU letterhead) to Sponsor Grants Management, cc: to Program Officer. AOR countersigns. Always include in the body of the letter the proposed new end date (MM/DD/YEAR). • All second, third, etc. extensions are prior approval requests. With each successive request, the level of detail describing need for extension increases. • Verify and note remaining unobligated direct and indirect cost balances. • If industry-sponsored agreement processed through OSP Red Team, and award end date type is "flexible" (as opposed to fixed), then describe the need for additional time beyond the end date currently recorded in RAMS-SPOT so that end date can be updated in award record.
	No Cost Time Extension (Always a prior approval request when expanded authority does not apply, and/or when extension involves change in scope)	PI/SS or OSP	<ul style="list-style-type: none"> • Complete smart form questions in RAMS-SPOT AA to identify primary reason for extension, i.e. additional time needed to complete original SOW, to allow for orderly closeout, to support transition when competing continuation pending • Indicate DC and IDC dollars remaining. In most instances, cannot be \$0. • Documentation required by sponsor terms and conditions, NOA or terms in executed contract (agreement modification may be needed.) • Letter signed by PI (on VCU letterhead) to Sponsor Grants Management, cc: to Program Officer. AOR countersigns. Always include in the body of the letter the proposed new end date (MM/DD/YEAR). • All second, third, etc. extensions are prior approval requests. With each successive request, level of detail describing need for extension increases.

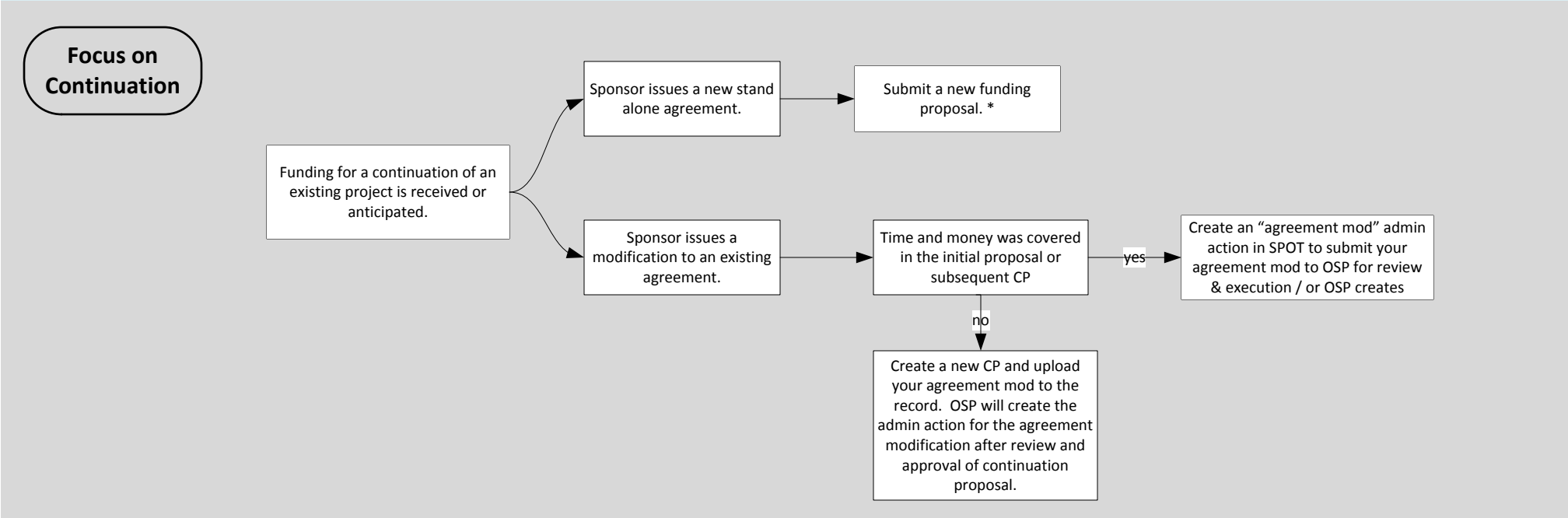
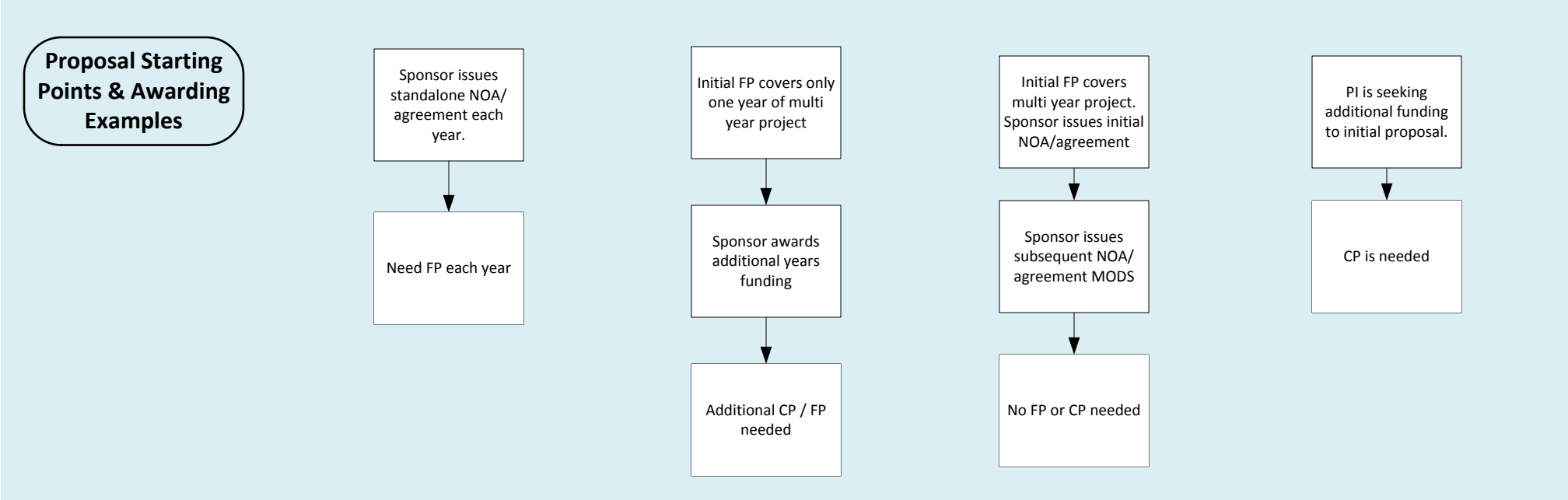
Possible Answers	Extended Description	Who initiates this AA?	Documentation and/or explanation provided by PI/SS
_Progress Report	Progress Report	PI/SS for non-NIH	<ul style="list-style-type: none"> • Documentation required by sponsor terms and conditions, NOA or executed agreement. • Verify and note remaining unobligated direct and indirect cost balances, as applicable. • Evaluate Compliance Data project information and make updates or confirm via public comment that project compliance information is up-to-date. • No AA needed for NIH SNAP-eligible "RPPR" (Research Performance Progress Report); era Commons generates email to OSP when RPPR routes for review. (For SNAP-eligible grants, PI completes and routes only in era Commons. OSP will initiate the progress report AA in RAMS-SPOT to upload the submitted progress report to the record.)
_Process Award (for OSP selection only)	Process Award	OSP Post Award	<ul style="list-style-type: none"> • Not applicable- For OSP Post Award use only
_Process Closeout (for OSP selection only)	_Process Closeout (for OSP selection only)	OSP Post Award	<ul style="list-style-type: none"> • Not applicable- For OSP Post Award use only
_Agreement Modification	Agreement Modification	OSP or PI/SS	<ul style="list-style-type: none"> • This administrative action always routes for School(s) Review if primary purpose of project recorded in the Compliance Data project is "clinical trial." • Either OSP or PI/SS can create this AA, however, if agreement modification arrives by email or courier from sponsor or PI/SS to OSP, or is included with a CP, best practice is for OSP to create the AA for the agreement modification. OSP will make every effort when creating the AA to note whether FP/CP's already received and processed for the project appear to be sufficient to authorize the resources for the modification, OR, alternately that an additional CP is warranted prior to AOR sign-off on the modification. • PI/SS may comment that SOW, budgetary and period of performance terms are acceptable. • If agreement modification authorizes additional funding or commitment of resources (than previously documented in FP or CP), PI/SS should create additional proposal for the additional personnel, budget, space resource commitments. Said another way...if the agreement modification provides funding beyond what was authorized in the initial funding proposal, create a continuation proposal (CP) for authorization of the supplement. • Evaluate Compliance Data project information as needed, and make updates or confirm via public comment that project compliance information is up-to-date. • See diagrams at the end of "Administrative Actions Get Started" guide for further reference, i.e. "RAMS-SPOT How Format of Award Affects Funding Proposal (FP) and Continuation Proposal (CP)" and "RAMS-SPOT Funding Proposal/Continuation Proposal Workflow Example"

Possible Answers	Extended Description	Who initiates this AA?	Documentation and/or explanation provided by PI/SS
_Personnel: Change Effort	Personnel: Change to Committed Effort	PI/SS	<ul style="list-style-type: none"> This administrative action always routes for School(s) Review If primary purpose of project recorded in the Compliance Data project is "clinical trial." Utilize this AA for...(1) any personnel effort change REQUIRING sponsor approval, OR (2) change to effort for named key personnel when the change is permanent (not to be used for short term variances to effort), OR (3) to add someone new who becomes key in NOA. Action not needed for non-key personnel or key not named in NOA unless required by the sponsor. Include documentation required by sponsor terms and conditions, NOA or executed agreement. Are you increasing effort? If yes, does your sponsor require prior approval? Many federal sponsors do not require prior approval for effort increases and only require advance permission for 25% or more reduction for named key personnel. Many foundations do require advance permission for both effort increases and effort decreases. Letter signed by PI (on VCU letterhead) to Sponsor Grants Management, cc: to Program Officer. AOR countersigns. OSP Post Award will add the new key as noted in NOA.
	Personnel: Change to Key Personnel named in NIH NOA-25% or more Committed Effort Reduction (during NCE only)	PI/SS	<ul style="list-style-type: none"> This administrative action always routes for School(s) Review if primary purpose of project recorded in the Compliance Data project is "clinical trial." Provide rationale for reduction in effort by named key personnel. This selection would typically accompany an NCE request [Review criteria in "No Cost Time Extension", AA]
_Personnel: Change PI	Personnel: Change PI	Department, School, OSP	<ul style="list-style-type: none"> Vacating PI's should not nominate their own replacement, i.e. this AA should be led by department and/or school. Change PI Administrative Actions always route for School Approval. Letter signed by PI (on VCU letterhead) to Sponsor Grants Management, cc: to Program Officer. AOR countersigns.
_Personnel: PI Disengagement	Personnel: PI disengagement (3 months or more)	PI/SS or OSP	<ul style="list-style-type: none"> This administrative action always routes for School(s) Review (all schools affected by the change) Letter signed by PI (on VCU letterhead) to Sponsor Grants Management, cc: to Program Officer. AOR countersigns.
_Rebudgeting	Rebudgeting	PI//SS	<ul style="list-style-type: none"> Use this AA when sponsor requires that rebudgeting is a prior approval request. Do not use for routine or expanded authority rebudgeting, rather this AA is for sponsor-driven rebudgeting. This administrative action always routes for School(s) Review If primary purpose of project recorded in the Compliance Data project is "clinical trial." Letter signed by PI (on VCU letterhead) to Sponsor Grants Management, cc: to Program Officer. AOR countersigns.
Upload Reference Document	Upload Reference Document	OSP or PI/SS	<ul style="list-style-type: none"> Used to upload documents to an award record that are not expanded authority, prior approval or progress report type actions.
_Other			

RAMS-SPOT How Format of Award Affects Funding Proposal (FP) and Continuation Proposal (CP)



RAMS SPOT – Funding Proposal/Continuation Proposal Workflow Example



* A recent CP can be covered to a new funding proposal depending on the situation.