

Request for Advance Account or Pre-Award Costs

This request should be used for New competitive awards and/or Continuations where sponsor funding is not assured. This request is not necessary for Non-Competing Renewal years.

DATE _____
TO _____
FROM _____

Sponsor _____
Funding Proposal No. _____
Principal Investigator _____
Expected Start Date _____
ORG Number & Name _____
Award No. (if available) _____

Project Title _____
Project Nickname _____
Updated CPHS No** _____
Updated IACUC No** _____

***If applicable, attach copy of approval*

Have Key Personnel's updated COI forms been submitted? YES NO

Pre-Award Cost Definition

As defined by NIH, a recipient may, at its own risk and without sponsor prior approval, incur obligations and expenditures to cover costs up to 90 days before the beginning date of the initial budget period of a new or renewal award if such costs:

- Are necessary to conduct the project, and
- Would be allowable under the grant, if awarded, without sponsor prior approval

Non-federal awards that do not provide a written commitment for future year are also considered Pre-Award Costs.

PLEASE NOTE

- These requests cannot be processed unless a Funding Proposal has been submitted to the Sponsor.
- When requesting a PTAE0 string, due to lack of payment information provided at the time of Pre-Award set-up; the Department assumes the risk that a new string may have to be created when the Notice of Award is received. In the event this occurs, any expenses incurred during this period will need to be transferred to the newly created string.
- Pre-Award Costs should only be used when the notice of award is expected within 90 days of this request. OSP and the appropriate Dean's office will monitor the time, the duration of advance and the amount of funds expended. OSP and Dean's office reserve the right to review large percentages (typically 15% of the funding proposal for the project year) and place the account "On Hold", if they are deemed to create a financial risk to the institution.
- The first invoice will be prepared during the next month-end cycle after receiving the fully executed Notice of Award.

Request for Advance Account or Pre-Award Costs
cont'd

Advance Account:

Due to a delay in the Sponsor's issuing of the official notification of the above referenced grant or contract, the P.I. would like to request a PTAE0 in advance of the Notice of Award. In the case of non-funding, the department will cover any expenses that are incurred on the PTAE0.

Pre-Award Costs:

If it were allowable by the sponsor's terms of the grant or contract, the P.I. would like to incur expenses in advance of the anticipated start date. Please confirm that the P.I. can start to incur expenses as of (date) _____ on PTAE0 _____ or assign a new PTAE0 for this award. The P.I. and Department Grant Manager understand that expenses will be deducted from the awarded budget. In the case of non-funding, the department will cover any expenses that are incurred on the PTAE0.

Please outline what type of expenses you will be charging to this advance account.

For example: Salary/Fringe, Travel, Supplies, Equipment*, Subcontracts*, etc....

**Under normal circumstances, OSP will not allow long term obligations to be entered without an NOA in hand.*

Department Chair
(or Authorized signature)

Office of Sponsored Projects