



OFFICE OF RESEARCH & PROJECTS

PRE-AWARD SPENDING APPROVAL

If allowed by sponsor guidelines, completion of this form authorizes the Office of Research and Projects to:

- Establish a grant/contract account prior to receipt of an official Notice of Award (NOA) or contract from the sponsor for new awards
- Allow continued spending on continuing awards that have NOT received an official NOA or contract from the sponsor for the current year of funding.

By signing this form, the Principal Investigator, Chair/Supervisor, and Dean/Vice Chancellor acknowledge the risks associated with spending prior to an official NOA or contract. All expenditures will be transferred to the guarantee account(s) provided below should the sponsor fail to issue the NOA/contract or award the current year of funding or if any of the expenditures are deemed unallowable.

| | |
|---|--|
| DATE | |
| PRINCIPAL INVESTIGATOR | |
| SCHOOL/DEPARTMENT | |
| TITLE OF PROPOSAL | |
| SPONSOR | |
| IF SUBAWARD, INDICATE PRIME AWARDING AGENCY | |
| KUALI RESEARCH INSTITUTIONAL PROPOSAL NUMBER | |
| GUARANTEE ACCOUNT(S) | |
| ANTICIPATED AWARD AMOUNT | |
| ESTIMATED EXPENSES FOR 90 DAYS NOT TO EXCEED | |
| BUDGET JUSTIFICATION FOR REQUEST | |
| ATTACH THE UNOFFICIAL NOA FROM THE SPONSOR | |

PRINCIPAL INVESTIGATOR:

Signature Date

DEPARTMENT CHAIR/SUPERVISOR:

Signature Date

DEAN/VICE CHANCELLOR:

Signature Date

For ORP Use Only: Approved ___ Denied ___ Signature _____ Date _____

Does Project Include Ethical and Financial Compliance? YES ___ NO ___ Are the requirements Completed? YES ___ NO ___



PRE-AWARD SPENDING POLICY

This form is to be used when requesting a grant account number prior to an official notice of award (NOA) or contract from a sponsor or for a continuing award that hasn't received official notification for a current year of funding. A pre-award spending procedure is only advisable if the following are true.

- You've received unofficial notice from the sponsor regarding funding.
- The award will have a retro-active start date or the sponsor is willing to pay pre-award costs.
- The absence of an account number to charge expenses to will negatively impact the research or program.

The requesting unit must provide one or more non-grant guarantee account(s) to transfer expenses to should the sponsor ultimately fail to make the award or if costs are deemed unallowable. The requesting unit assumes all of the financial risks associated.

Any applicable ethical and/or financial compliance requirements (including those of subrecipients) must be met before ORP can establish an account. These requirements include, but are not limited to, human study protocols, animal study protocols, financial conflicts of interest (FCOI), and responsible conduct of research (RCR).

Approved pre-award spending is valid for only 90 days. If an official award notice has not been issued at the end of the 90 days, the requesting unit will need to submit another Pre-Award Spending Approval Form. Some type of unofficial notification of award will be required.

Issuance of an official NOA voids this agreement. No further action is required by the requesting unit. However, if the NOA is issued for a dollar amount less than what has been or will be expended, the requesting unit will be responsible for covering the difference.

Because the terms and conditions of the award are not known at the time of pre-award spending, the requesting unit accepts the risk that any expenditure could ultimately be deemed unallowable under the applicable terms and conditions of the award.