REQUEST FOR PRE-AWARD EXPENDITURE APPROVAL

(Please send signed form to ORSA by email attachment, fax or campus mail)

TO: _____________________, Sponsored Projects Administrator
Office of Research Services and Administration (ORSA)

FR: ______________________, Principal Investigator
_______________________, Department/Institute/Center Director

RE: Request for Pre-Award Expenditure Approval for UO PPS#__________
____NEW GRANT or ____CONTINUATION GRANT

Title of Project: _____________________________________________________
Agency Proposal # if new grant: _____________ or Current UO Index # if continuation:__________
Funding Agency: ____________________________________________
Requested Start date for Pre-Award Expenditure: (mm-dd-yy) ________________

Many sponsoring agencies allow for institutional approval of costs up to 90 days prior to the official award start date. Less than 90 days may be requested, but more than 90 days must be carefully justified and attached to this form (and will require agency approval once the award is made).

CERTIFIED BY PI: I request that a grant Fund/Index be established (or another Index for continuation funding that must be separately budgeted each year) in Banner so that work can begin (or continue) on the referenced project prior to the execution and/or receipt of the actual award document(s). I understand that expenditures during this authorized pre-award period are limited to those described in the proposal budget. The total authorized direct costs for this pre-award request is not to exceed the following amount:

Total Pre-Award Direct Costs* $____________
* The F&A (indirect) will be determined by ORSA in the fund set-up process.

PI Signature: ___________________________________ Date: ___________________

CERTIFIED BY UNIT HEAD:
In the event that the award for this project is not actually made to the University, or the preaward costs incurred are unallowable under the terms of the actual agreement, the direct costs will be covered by the non-grant fund authorized below:

Guarantee** Fund or Index #: __________
**A unit’s F&A (ICC), state funds, gift funds or other non-grant funded sources

For Guarantee Fund
Authorized Signature: __________________________________
Date: ___________________

Once pre-award spending is approved and a restricted grant fund is established by ORSA, F&A costs will also be budgeted, but F&A costs are not included in the guaranteed amount. In the event that the anticipated award does not materialize, or all or a portion of the direct costs incurred are unallowable pre-award costs, or actual direct costs occur outside and prior to the initial pre-award period, only actual (not estimated) direct costs incurred on the grant fund will be charged back to the guarantee fund.

APPROVED BY ORSA:
The Sponsored Projects Administrator in ORSA has reviewed this request and determined that pre-award costs are allowed under sponsoring agency policies, that the amount and pre-award start date are reasonable given the estimated official award start date, and that a back-up fund is authorized to cover costs if the award is not received as anticipated.

SPA Signature: ____________________________ Date: ____________________

Cc: Copy of signed form to PI, Head; Original signed form to account set up

Ver. 1 eff. 2/1/04