

ADVANCE ON GRANT FUNDING

In certain circumstances, it may be necessary to establish a grant fund account prior to receipt of an official award notice from the funding source. Establishing an advanced fund is appropriate only when certain conditions exist: high probability of receiving an award, an essential need to incur expenses in advance of the award, and other funding exists to cover the risk of a delayed start date or failure to receive an award. Examples of such cases include, but are not limited to, recurring contracts from same state and local agencies, PI and funder have developed long-term relationship of mutual expectations, mid-cycle of a multi-year project period, and grants or contracts where pre-award costs are allowable.

An advanced fund can be established if the following conditions are met:

- The institution has received a sponsor's written intent to award a grant or contract.
- The principal investigator informs his/her respective dean or budget unit manager, in writing of the amount needed for advanced grant funding. The dean or budget unit manager then confirms, in writing, that funds are available to cover the cost of reasonable and allowable expenses incurred in the event that an award is not made or the start date is delayed. When an award is not made, no expenses will be covered beyond the date of such notification.
- The Office of Research and Sponsored Programs concurs that the risks of establishing an advanced fund account are reasonable, and the complete Transmittal & Approval Form and a copy of the full proposal and budget are on file with the the Office of Research and Sponsored Programs.
- Where applicable, regulatory and compliance requirements (e.g., IRB, IACUC) have been approved.
- The advanced fund supports an essential need for the project activities to begin which are justified in writing by the project director.

The following restrictions apply to an advanced fund:

- The initial Advanced Fund period is restricted to 90 days. Under special circumstances and when fully justified by the PI, an additional extension of 45 days may be requested by the PI.
- The funds allocated in the Advanced Fund period will be pro-rated relative to the funds expected in the award. (For example, 90 days roughly equals 25% of funds expected over a 12 month budget period.) Funding in excess of this pro-rated amount should be justified by the PI in writing based on the scope of work.
- Once approved, the pro-rated budget will be set up in a designated grant fund account according to the proposal.
- Money expended from an Advanced Fund may not be used to support subawards or subcontracts.
- Only awards from public entities including county, state and federal agencies, as well as pass-through awards, are eligible for advanced funding.

When the official award letter or contract is received, the Office of Research and Sponsored Programs should be notified. At which time, the normal procedures will be followed for setting up the remaining award budget.

ADVANCE FUND REQUEST

Name of PI: _____

Phone: _____

Name of Funding Source: _____

Project Title: _____

REQUEST DETAILS:

Total Direct Cost Requested from Funder: \$ _____

Total Advance Request: \$ _____

**Amount advanced will be pro-rated portion of one year's budget
(e.g., A 90 day advance will result in 25% budget advance.)*

Start Date Identified in the Proposal: _____

DOCUMENT CHECKLIST:

Letter of Intent to Award attached: **yes**

Regulatory & Compliance Approvals attached: **yes** **not applicable**

Justification for Advance Requests in excess of pro-rated amount attached: **yes** **not applicable**

The following documents are on file with the ORSP:

- | | | |
|-------------------|------------|--|
| Transmittal Form: | yes | I have attached a copy with this fund request. |
| Full Proposal: | yes | I have attached a copy with this fund request. |
| Budget: | yes | I have attached a copy with this fund request. |

Justification for the request:

Signature of Principal Investigator/Project Director

Date

CLEARANCE AND APPROVALS:

I have reviewed the advanced fund request and confirm that funds from my unit are available to cover the cost of any expenses incurred in the event that an award is not made or the start date is delayed.

Dean/Budget Unit Manager

Date

Fund # (must be specified)

Office of Research and Sponsored Programs

Date