ADVANCE APPROVAL FORM INSTRUCTION

Overview:
The Advance Approval Form (Request for Advance Approval to Establish Accounts and Incur Expenses) is used to officially begin expenses on a project in advance of the award document being received by the University.

In order to minimize the risk to the University associated with incurring expenses in advance of receipt of an award, costs requested should be limited to no more than two months. In addition, an alternate account number is required to potentially absorb the expenses, and all compliance issues must be resolved/approved, for example; Human Subjects, Animal Subjects, and Conflict of Interest.

Please note: The Advance Approval Form will be processed only if the authorized agency grant or contract administrator can verify the following information to the Office of Sponsored Programs (OSP):
1) A firm funding commitment
2) A firm start date
3) An estimate of when the University might expect to receive the actual award for review, negotiation, if necessary, and formal acceptance.

This form provides essential basic information about a proposed project such as:
- CDU Account #
- Department Contact
- Principal Investigator
- Proposal Title
- Agency Name
- Reason for Requesting an Advance Approval
- Award #, if known
- Current Account #, if applicable
- Current Project End Date, if applicable
- Alternate Account #
- Proposed Expenditure by Account Category
- Amount and Begin and End Dates of the Anticipated Award and of the Advance Approval

In addition, the Advance Approval Form also requires Principal Investigators, Department Chairs signatures, as well as the signature of the Deans (College of Medicine and College of Science and Health) the President, Vice President for Research, and ultimately, for OSP and Office of Finance to be authorized to sign on behalf of the University. The PI is responsible for routing the document from one party to the next.

Section 1:
CDU Account #: Please list the CDU Account # of the proposal for which advance spending is being requested.

Section 2:
Department: Please list the Department from which the proposal was submitted. This is the Department that will administer the project.
Department Contact: Please identify the individual that will be contacted if there are questions regarding the Advance Approval Form.

Contact Phone #: Please list the phone number of the individual listed as the Department Contact.

Contact Email: Please list the email address of the individual listed as the Department Contact.

PI Last Name: Please list the last name of the Principal Investigator.

PI First Name: Please list the first name of the Principal Investigator.

PI Phone #: Please list the phone number of the Principal Investigator.

PI Email: Please list the email address of the Principal Investigator.

Section 3:
Proposal Title: Please list the title of the proposal.

Agency Name: Please list the name of the funding agency that the proposal was submitted to. If the proposal is for a subaward contract/grant, please provide the name of the subcontracting agency rather than the prime agency. For example, if the proposal was submitted to another University, that University would be our “prime agency” who happens to be receiving their funding from another (i.e. “prime”) funding source. Please include, (in parenthesis, the name of the “Prime” funding agency.

Reason for Requesting an Advance Approval: Please list the reason/justification for requesting approval to spend/incur expenses in advance of the award document being received by the University. If additional space is needed, attached a paper with the reason/justification indicated.

Section 4:
Award# (if known): If this is for a new project, please list the agency award number that has been assigned, if known. If this is for other than a new project, please list the current award number.

Current Account # (if any): If this is for other than a new project, please list the current account number associated with the project.

Current Period End Date (if applicable): If this is for other than a new project, please list the end date of the current award.

Alternate Account #: Please list a non-federal, unrestricted number source that can potentially absorb the advanced expenses should the award not be finalized or should “the begin or start date” be later than anticipated.

Section 5:
Proposed Expenditures: Please list the requested advance expenses segregated by relevant account name and sub-account number. These include:
   • Academic Salaries (5002)
   • Staff Salaries (5001)
• Employee Benefits (5107)
• Supplies and Expenses (6401)
• Equipment (8001)
• Travel (6407)
• Other, specify (6304)

For guidance on the specifics of the various sub-accounts, please contact the Office of Finance.

List the F&A base and the F&A rate percentage. The F&A amount will automatically total and is a Read-Only field.

The Total Proposed Expenditures will automatically total and is a Read-Only Field.

**Please note:** Advanced Expenses requested should be **limited to no more than two months worth**.

Section 6:
**Total Amount – Anticipated Award and Advance Approval:** Please list the total amount (i.e., direct costs plus indirect costs) of the anticipated award. The Advance Approval Total Amount is populated from the Total Proposed Expenditures field in Section 5, and is a Read-Only field.

**Begin Date - Anticipated Award and Advance Approval:** Please list the begin date (i.e., start Date) of the anticipated award. Please list the begin date of the requested Advance Approval.

**End Date - Anticipated Award and Advance Approval:** Please list the end date of the anticipated award. Please list the end date of the requested Advance Approval.  **Please Note:** This should be **limited to no more than two months after the begin date**.

Section 7:
**PI/Department/ Dean Approval Signatures:** The Advance Approval Form is to be signed and dated by the Principal Investigator and the Department Chair of the Department and the Dean (COM/COSH) of the college that the faculty member belongs that is submitting the Advance Approval Form.

Section 8:
**President/ VP Approval Signature:** The Advance Approval Form is to be signed and dated by the President and the Vice President for Research.

Section 9:
**Office of Sponsored Programs Use Only:** Not applicable. This section will be completed by OSP.

**Please Note:** The Advance Approval Form will be processed only if the authorized agency grant or contract administrator can verify the following information to OSP: a firm funding commitment, a firm start date, and an estimate of when the University might expect to receive the actual award for review, negotiation (if necessary) and formal acceptance.

Section 10:
**Office of Finance Use Only:** Not applicable. This section is to be completed by the Office of Finance. This section details out the account manager, account number and the authorized signature from Office of Finance.