MONTCLAIR STATE UNIVERSITY

Requesting an Advance Fund or Pre-Award Costs

The Office of Sponsored Programs can grant two types of pre-award spending to investigators. One is called an **"advance fund"** to allow PI/PDs to begin spending if an award is imminent. This usually occurs while an award is in a negotiation phase, where OSP has received notice that the award is incoming, but the final award documents have not yet been fully executed. Approved advance fund requests give PI/PDs a budget, typically covering 3 months, to begin the award scope of work.

The Office of Sponsored Programs can also allow **"pre-award costs"** to authorize a Principal Investigator/Project Director (PI/PD) to begin spending on their award up to 90 days before the start date of the award, as sponsor terms and federal guidelines permit. They are allowed only at the discretion of OSP, the department, and federal and sponsor guidelines.

If the project involves the use of human and/or animal subjects, IRB and/or IACUC approval **must** be in place before a pre-award spending account can be approved. **Requests for prior approval of an "advance fund" or "pre-award costs" are at the institution's risk, and must be well justified programmatically, not for mere convenience. Expected costs must be reasonable and allowable.**

Requesting an Advance Fund

To request the authorization of an "advance fund," PI/PDs must provide to OSP…

- Institutional Prior Approval System (IPAS) form approved by the Principal Investigator/Project Director, Department Chair, and Dean
- Sufficient supporting documentation from the sponsoring agency/entity of a pending award that includes the expected start date of the project (e-mail correspondence is sufficient)
- A 3-month budget, beginning at the expected start date for the period of performance.* The budget should include indirect costs, if expected in full award budget.
  *If necessary, more time can be requested for the advance fund.

Requesting Pre-Award Costs

To request the authorization of "pre-award costs," PI/PDs must provide to OSP…

- Institutional Prior Approval System (IPAS) form signed by the Principal Investigator/Project Director, Department Chair, and Dean
- Budget for expenses that will be incurred as pre-award costs before the official start date of the award, including indirect costs, if appliable.

Upon completion, the IPAS form and other documentation should be forwarded to the Office of Sponsored Programs at osp@montclair.edu. The Director of Sponsored Programs will review the request. If approved, the request will be sent to the Office of Grant Accounting for processing. The PI/PD will be notified of the approval and can begin spending when the worktags have been assigned by their Grant Accountant. If the award does not materialize for any reason, the Provost will confer with the appropriate Dean(s) and/or Department Chair(s) to determine how incurred costs will be allocated.

Should the Director of Sponsored Programs not approve the request, the request may be unilaterally approved by the Dean of the Principal Investigator's affiliated college. Should the award not materialize for any reason, the Dean will be responsible for 100% of incurred costs.

If you have any questions about the IPAS, or completing the attached form, please feel free to contact OSP at osp@montclair.edu or 973-655-4128.

Institutional Prior Approval System (IPAS)

MONTCLAIR STATE UNIVERSITY

Requesting an Advance Fund or Pre-Award Costs

Principal Investigator/Project Director (PI/PD)_____

Department/Unit_____College_____

Sponsor_____ Cayuse Proposal ID _____

Title of Proposal/Project_____

Please check requested action:

☐ Advance Fund

Expected Total Award Amount: $_____

Expected Award Start Date: _____

Requested Advance Fund Amount: $_____

Requested Advance Fund End Date: _____

Justification:

_____

_____

This form must be accompanied by supporting documentation from the sponsoring agency that includes the expected start date of the project (e-mail correspondence is sufficient) and a budget beginning at the expected award start date and ending at the requested advance fund end date. The budget should include indirect costs, if expected in full award budget.

☐ Pre-Award Costs

Award Start Date: _____

Pre-Award Costs Start Date (up to 90 days prior to award start date): _____

Requested Pre-Award Costs Amount: $_____

Justification:

_____

_____

This form must be accompanied by a budget for requested pre-award costs, including indirect costs, if applicable.

By signing below, the PI/PD, Department Chair, and Dean approve this request, and certify that they are aware of the institutional policies & procedures on the OSP "Advance Fund and Pre-Award Costs" page.

PI/PD_____ Date_____

Department Chair _____ Date_____

Dean _____ Date_____

OSP Use Only __State Funding __Federal Funding

__Approved __Not Approved Reason for Non-Approval:_____

Director of Sponsored Programs_____ Date_____