

PRIOR APPROVAL FORM

Rebecca Hayes
Executive Director,
Office of Research and
Sponsored Programs

AGENDA

- Introduction
- Uses of Prior Approval Form
- What happens next

INTRODUCTION

The Institutional Prior Approval Form is for:

- No Cost Extension
- Budget Revision
- Request to Continue Expenditures Past Current Grant Period
- Advance Cost Index Request
- Pre-Award Costs (up to 90 days prior to project start date)
- Reduction of time of key personnel
- Change in Project Scope

NO COST EXTENSION

For use when the project period is ending but work is incomplete and funds remain.

Provide the following:

- Details explanation of why project not completed
- Scientific rationale for continuing the project
- Brief progress report
- Estimated Direct and Indirect funds remaining
- Budget justification for use of remaining funds
- Level of effort of key personnel named in NOA
- Updated assurances

BUDGET REVISIONS

Details and thresholds for agency required prior approval varies.

Work with Grants Accounting by providing the following:

- Funds to be moved between categories
- Justification for the move
- If change to cost share or any personnel costs – Chair and Dean’s signature required

REQUEST TO CONTINUE EXPENDITURES PAST CURRENT GRANT PERIOD

- If project is anticipated to continue but continuation award has not yet been received
- Requires Chair's signature
- Provide in Index to which the costs can be transferred if award is ultimately never received

ADVANCE COST INDEX

For use while waiting for award to be finalized:

- Will fall within the project period
- Provide justification or documentation that award is forthcoming
- Provide an index to which charges can be moved in the event award does not materialize
- Chair and Dean's signature required

PRE-AWARD COSTS

Similar to Advance Cost Index

- For work prior to the award period – up to 90 days
- Available only for select federal awards
- Provide justification for why the expenditures need to be made prior to the award period
- Provide an index to which charges can be moved in the event award does not materialize
- Chair and Dean's signature required

REDUCTION OF TIME OF PERSONNEL

Provide the following:

- Effort to be reduced **from** what percentage **to** what percentage
 - If effort reduction is for more than 25% of budgeted effort, NEOMED must seek NIH prior approval in addition to NEOMED prior approval.
- If effort changing from agency funded to cost share, provide detailed explanation for why
- Chair and Dean's signature required

CHANGE IN SCOPE OF WORK

Provide the following:

- Provide justification for why the scope of the project needs to change

WHAT IS NEXT

- ORSP reaches out to agency when necessary
- Grants Accounting updates index when necessary

QUESTIONS



THANK YOU

Rebecca Hayes

Executive Director, ORSP

330-325-6498

rlhayes@neomed.edu