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Office of Research Administration and Finance

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Office of Research Administration and Finance University Prior Approval Form

Office of Research Administration and Finance, Northeastern University

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Northeastern University - Office of Research Administration and Finance- ORAF
UPAF - University Prior Approval Form

Request for Review and Approval of Proposed Action Related to a Pending Proposal or Sponsored Project

Principal Investigator(s)

Department(s) Agency

Budget Period Start Date	Budget Period End Date	Project Period Start Date	Project Period End Date	Award No.	NU Budget (Fund) No.

Programmatic Justification Needed for Each Action Requested

Please attach an explanation for the programmatic need for any of the changes as noted below.

☐ No Cost Extension New termination date:

☐ Equipment Purchase:
- **Special Purpose.** Request to purchase equipment having an acquisition cost of $1,500 or more for items not identified in the original agency-approved budget and for which agency approval is required.
- **General Purpose Equipment** (office equipment, fax equipment, refrigerators, etc.). Request to purchase general purpose equipment will not be approved unless it can be demonstrated that it will be used exclusively for the conduct of research.

☐ Endorsement of correspondence to an agency for budget revisions or other actions requiring agency approval.

☐ Request for Advance Account

Please attach correspondence from the funding agency pertaining to the status of the award, a budget for the amount of the advance account and a justification as to the need for the advance account.

****Please note that the start date, once entered into Banner, cannot be changed.**

Advance Account Start Date**	Advance Account End Date	Expected Amount of Award

In the event the award is not made, or there is a gap in the funding, then unrestricted funds will be utilized to cover expenses from:

Name of College or Unit and/or Banner # in the amount not to exceed: from unrestricted account number:

Check if project involves use of:
☐ Human Subjects ☐ Animal Subjects

Date on which Institutional Compliance Division approved Human or Animal Subjects Protocols Approval Date:

Certifications and Approvals

Certification of Principal Investigator(s):
This request is proper to and consistent with the scope and objectives of the project as approved by the agency.

Signed By: Principal Investigator Date Signed By: Principal Investigator Date

Approvals:
This request has been reviewed for consistency with Agency, University, college and departmental policies, and approval is recommended.

Signed By: Department Chair and/or College Dean/Unit Head/Designee as applicable Date

ORAF Approvals

Signed By: RAF Grant & Contract Specialist Date Approved: Director, RAF/Designee Date

Northeastern University - Office of Research Administration and Finance- ORAF
UPAF - University Prior Approval Form Instructions

Request for Review and Approval of Proposed Action Related to a Pending Proposal or Sponsored Project

For internal review and approval of pending proposals or funded projects for actions:

-as required by agency regulations (example: Prior approval matrix Oct 2008);
-for obtaining approval of **no-cost extensions** on Federal Demonstration Project (FDP) Accounts;
-for an **equipment purchase** not identified in original agency-approved budget
-for requesting endorsement of **sponsor correspondence** of an administrative nature to a sponsoring agency.
-for establishing **advanced award spending** accounts

Programmatic Justification: The request description and background for the request should be brief but sufficiently detailed to permit adequate understanding for review and approval.

No-Cost Extension

When a no-cost extension is requested on a Federal Demonstration Partnership (FDP) award supported by a participating agency (except AFOSR, ARO and ONR), RAF is authorized to grant approval under the following conditions:

A single extension, which shall not exceed twelve months, may be made to assure adequate completion of the original scope of work using the funds already awarded by the agency. All requests for no-cost extensions must be made and received by RAF prior to the originally established expiration date. An explanation for the necessity of an extension should be provided on additional paper. An extension may be made to assure completion of the original approved project scope or objective; when continuity of grant support is required while a competing application is under review; or in order to permit an orderly phaseout of a project that will not receive continued support. A balance of funds alone is not sufficient justification to extend a project. RAF will officially notify the awarding agency in writing within ten days of making the extension.

When no-cost extensions for projects not covered by the terms and conditions of the Federal Demonstration Partnership (plus AFOSR, ARO and ONR grants under FDP) are requested, sponsor approval is required. The principal investigator should write a letter to the agency explaining the necessity for the extension; the additional time requested; the anticipated balance of funds remaining in the project account; and a budget or description of the use of funds during the extension period. This letter, along with a UPAF form, should be routed through customary channels to RAF for University endorsement and mailing.

Endorsement Correspondence

When University prior approval or endorsement of correspondence with a sponsoring agency is requested, justification of the need for the expenditure or correspondence should be provided.

Request for Advance Account

Advance accounts - occasionally a delay occurs between the time a project has been approved/funded by a sponsoring agency and the time the award documents, signed by the authorized sponsor officials, are received by the University. During this interval, the University does not have formal authority to incur costs against the grant or contract; yet the timely start of a project, or the uninterrupted continuation of the project, may be crucial to its success.

When an advance account is requested, the appropriate section of the UPAF should be completed. Required information includes the amount of the advance, the period during which the advance will be in effect, and the unrestricted account that will be used to guarantee the advance account expenditures. If the award is not forthcoming or if the expenditures and/or commitments are incurred outside the award budget period, charges will be transferred to the unrestricted departmental account. Advance account spending is authorized at the risk of the endorsing college or unit.

Signatures

The Principal Investigator certifies that this request is consistent with the scope and objectives of the project as approved by the sponsor. The Department Chair, Center Director, Dean or his/her designee as applicable, acknowledges that the scientific and technical propriety of this request has been reviewed and approved, and that the action requested will result in the effective utilization of institutional resources. The Department Chair, Center Director, Dean or his/her designee as applicable recommends approval of the request. RAF reviews for consistency with agency and University policies as well as for adequacy of resources, if applicable to the action requested, and approves on behalf of the University.