

# FLORIDA STATE UNIVERSITY

## Procedures for Advances for Externally-Funded Projects and Initiating Work without an Award

Effective Date: May 1, 2006

This document establishes procedures to implement the University's *Policy on Advances for Externally-Funded Projects and Initiating Work without an Award* (Policy). **In accordance with the Policy, if the University does not have a fully-executed award, no work is to be initiated and subcontractors cannot be authorized to start work without an advance authorized by Sponsored Research Services, or the FSURF as appropriate (hereinafter referred to as SRS/FSURF). Costs incurred prior to SRS/FSURF approval of an advance will not be allowed to be charged or transferred to the anticipated new or continuation project budget, or any other sponsored project (excluding SRAD funds).**

### Procedures for Requesting Advance on New Award

- Before an anticipated award start date, the Principal Investigator (PI) should confer with the chair/director and dean to determine if it is prudent to request an advance budget based on the criteria outlined in the Policy. SRS/FSURF recommends beginning the process as early as 45 days before the start date (at least 90 days if preaward costs are to be requested).
- If the chair/director, dean and PI determine an advance is justified, the PI shall submit a completed and approved Request for Advance form to SRS/FSURF. The form may be found at <http://www.research.fsu.edu/contractsgrants/forms.html>. In lieu of the form, the request may be submitted via email or other method as long as comparable information is included and appropriate approvals obtained. Incomplete requests shall be returned to the department for proper corrective action.
- SRS/FSURF will promptly review the request and its supporting documentation. SRS/FSURF will notify the PI whether or not the advance request was approved. If approved, SRS/FSURF will request appropriate documents from the department (e.g., Budget Summary Form, Personnel Change Form) in preparation for project setup.
- SRS and Sponsored Research Accounting Services (SRAS) will establish the OMNI Award and Project in accordance with internal procedures and the approved advance dates and funding. FSURF will establish the account in its system.

### Procedures for Requesting Advance on Existing Award

- Before a budget's scheduled expiration date, the PI should confer with the chair/director and dean to review the status of the sponsor's amendment of an award, and determine if it is prudent to request an advance (of time and/or funding) based on the criteria outlined in the Policy. SRS/FSURF recommends beginning the process as early as 45 days before the start date (at least 90 days if preaward costs are to be requested).
- If the chair/director, dean and PI determine an advance is justified, the PI shall submit a completed and approved Request for Advance form to SRS/FSURF. The form may be found at <http://www.research.fsu.edu/contractsgrants/forms.html>. In lieu of the form, the request may be submitted via email or other method as long as comparable information is included and appropriate approvals obtained. Incomplete requests shall be returned to the department for proper corrective action.
- SRS/FSURF will promptly review the request and its supporting documentation. SRS/FSURF will notify the PI whether or not the advance request was approved. If approved, SRS/FSURF will request appropriate

documents from the department (e.g., Budget Summary Form, Personnel Change Form) in preparation for project amendment.

SRS and SRAS will modify the OMNI Award and Project in accordance with internal procedures and the approved advance dates and funding. FSURF will establish the account in its system.

### **Procedures for Releasing Advances**

- Once a fully-executed copy of the award or amendment has been received, SRS/FSURF and SRAS will modify the OMNI Award and Project in accordance with internal procedures and the approved award dates and funding.

### **Special Circumstances**

- Certain awards allow the University to authorize the expenditure of preaward costs (costs to be incurred within the 90-day period before the official start date). If preaward costs are requested by the PI and the award document has not been received by SRS/FSURF, the Policy and these Procedures will apply. If the award has been received by the University, the PI may request approval for preaward costs using the FSU Prior Approval Request Form and the Policy and these Procedures will not apply.
- At the discretion of the Office of the Vice President for Research, if backing funding is to be provided by a non-FSU source (e.g., FSU Foundation), those funds may be required to be deposited into the FSU Sponsored Research Trust Fund.