

**Request for Advanced Fund Number**  
**(This is also required for non-competitive continuation grants)**

**DATE:**

**FROM:**

**TO: Lisa A Allen, Research & Graduate Studies (Olmsted Rm. 114)**  
(Pre-Award Costs Authorization must be done using a PCA form)

**Requestor (Principal Investigator):**

**Department/Center:**

**Sponsor (Agency):**

**Project Title:**

**Proposed Start Date:** \_\_\_\_\_ **Proposed End Date:** \_\_\_\_\_

**Requested Budget Authorization:** \$ \_\_\_\_\_ (proposed budget)

**Award Follow-Up Date:** 3 months from Set Up Date

(If the award is not signed or received within 3 months from set up, the Investigator must follow-up on contractual problems. All expenditures must cease unless new request is submitted/approved.)

**Justification Required:** (1. Why is the agreement not signed and approved? 2. When do you expect approval?  
3. Explain reason why you are requesting an advance.)

I understand that if the above award is **not funded** or has a **start date other than specified**, All Inappropriate Charges to the Established Advance Fund Number will be Transferred to the Department/Center. (Approval signature required below.)

**This document cannot be processed without the requested signatures & budget/fund number:**

**Budget/Fund Number** \_\_\_\_\_

Principal Investigator: \_\_\_\_\_

Department/Ctr Head: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

## Advance Fund Numbers:

*Why should you request them?* An advanced fund number should only be requested if all parties are confident that the agreement will be signed. If there is concern that concurrence will not be achieved by both parties, no expenditures should be processed against any account numbers and the **research project should not be initiated** until agreement has been reached.

When a proposal has been submitted but there have been delays in the signing of the agreement, sometimes the project has already begun and expenditures must be processed. Also in many cases, salaries need to be charged indicating the effort performed. In this scenario, the Investigator should request an advanced fund number with approval from the department/center. This will authorize charges to be placed on the appropriate budget number.

Currently (in most cases), the departments/centers are charging the general funds account of other funds and then transferring the charges after the new account number has been established. The *disadvantages* associated with this procedure are: justifying the transfers as appropriate, additional paperwork related to the transfers, possibility of delinquent salary charges. The *advantages* of advanced numbers are: expenditures are processed appropriately, no adjustments would be required, it would be less likely to be audited.

Advanced fund numbers require signatures of the investigator and Department or Center Head.

When an advanced fund number has been obtained, the department/center is responsible for all expenditures applied if the agreement is NOT established. Lapses in the funded period can also be cause for unallowable expenditures.

Information regarding the probability of funding may be obtained by Lisa Murray through OSP; however, the final responsibility is sustained by the department/center.

The form can be requested from the Research Office and completed by the administrative area. They also can be maintained by each admin area. When the form has been returned with the appropriate approvals an account number will be established and a budget processed. The account number and budget process will take 2 to 3 working days.

THE PENN STATE UNIVERSITY  
OFFICE OF SPONSORED PROGRAMS

## Pre-Award Cost Authorization (PCA)

DATE: \_\_\_\_\_

Investigator/Project Correspondent

Grant/Proposal/Fund

Project Title

### PRE-AWARD COSTS

Anticipated Start Date: \_\_\_\_\_ Pre-award Cost Authorization Date: \_\_\_\_\_

An advance fund number is being requested for the subject grant/proposal. Preliminary information reveals that an award for the subject grant/proposal is anticipated within 90 days. Pre-award cost authorization is necessary for the effective and economical conduct of the project; the costs concerned are allowable under the potential award, and when required for specific expenditures or activities, agency prior approval will be obtained before incurring such costs.

### APPROVALS

Investigator \_\_\_\_\_ Date \_\_\_\_\_

Department Head (If required by College) \_\_\_\_\_ Date \_\_\_\_\_

College/IRP \_\_\_\_\_ Date \_\_\_\_\_

### INSTRUCTIONS

This form may be used to authorize pre-award costs. The process is applicable to all research grants and cooperative agreements from the following agencies, unless the special terms and conditions for the particular award require otherwise:

- NSF - National Science Foundation
- Army - U.S. Department of the Army
- DOE - U.S. Department of Energy
- EPA - U.S. Environmental Protection Agency
- NASA - National Aeronautics and Space Administration
- NIH - National Institutes of Health
- USDA - U.S. Department of Agriculture (award period CANNOT exceed five years under Public Law)
- USDE - U.S. Department of Education (award period CANNOT exceed five years under Public Law)

*Please be sure to review the terms and conditions of a particular award before submitting a notification form to ensure that this procedure is applicable to the award.*

All agencies, except for the U.S. Department of Education, implement this authorization under the Federal Demonstration Partnership (actual FDP terms and conditions listed below for your information).

#### **Federal Demonstration Partnership General Terms and Conditions**

##### 13. Pre-award Costs

Recipients may incur pre-award costs 90 calendar days prior to award or more than 90 calendar days with the prior approval of the Federal awarding agency. All pre-award costs are incurred at the recipient's risk (i.e., the Federal awarding agency is under no obligation to reimburse such costs if for any reason the recipient does not receive an award or if the award is less than anticipated and inadequate to cover such costs).

**Please complete the information requested, obtain the appropriate signatures, and forward the form to your College/IRP Research Office.**

**Completed forms must be sent to the  
Office of Sponsored Programs, 110 Technology Center.**