



University of Massachusetts Medical School

New Award Provisional Sponsored Account Request (NAPSAR) Form

Please read the guidance provided and complete the form below to request a provisional sponsored account for a new award. Incomplete requests will be returned to the Department for additional information.

Document Contact: Phone:

PENDING PROPOSAL INFORMATION

*Principal Investigator: *Dept. Name: *Dept. ID:

*PS Proposal/Award #: *Sponsor Ref. Award #:

*Award Type: *If Subagreement, Federal Flow-Through? Yes No

*Sponsor *Prime Sponsor (if Subagreement):

*Award Title

*Project Period: Start Date: End Date: *Budget Period: *Start Date: *End Date:

*Anticipated Award Will Be: New Renewal Transfer-In If Transfer, Previous Institution:

*Estimated Award Amount:

*Provisional Account Type: *Pre-award costs as of (date):

*Justification

COMPLIANCE INFORMATION/CERTIFICATIONS

Human Subjects? Yes No Docket/Protocol #: Approval Date: Pending

Animal Subjects? Yes No Docket/Protocol #: Approval Date: Pending

STATEMENT OF RESPONSIBILITY FOR REQUESTING AN AT-RISK ACCOUNT

We request that a provisional sponsored account be created in connection with the sponsored proposal indicated above. There is a reasonable certainty that an award will be received with an effective date that will cover the charges made to the account. If such an award is not received, or expenditures processed are determined to be unallowable due to the terms of the award, the PS ST# account referenced below will provide the funding source for these expenses.

*PS ST# (funding source must be institutional funds)

Principal Investigator
(Sign and Date) _____

Dept. Administrator
(Sign and Date) _____

Department Chair:
(Sign and Date) _____

Department Chair Signature Required if PS ST# is a Departmental Account.

OSP/GA USE ONLY:

Date Logged In: _____ Proposed DC: _____

OSP Approval: _____ Date _____

New Award Provisional Sponsored Account Request Form

The New Award Provisional Sponsored Account Request (NAPSAR) Form can be used to establish a chartfield in PeopleSoft to facilitate the initiation of a sponsored project prior to receiving an award or official notice from the sponsoring agency. It will provide the Principal Investigator (PI) access to funding by assigning an account number to the sponsored project in advance of the official award document. This will aid in the proper allocation of costs at the beginning of the project, which prevents the improper allocation of expenses to an incorrect account and minimizes the need for cost transfers. (A cost transfer is the reassignment of an expense to or from a sponsored project after the expense was initially charged to another sponsored project or non-sponsored project. Cost transfers include salary, fringe, supplies and other direct costs.)

There are two types of New Award Provisional Accounts that PI's may request.

- 1.) Advance Accounts are used when a PI and the department want to set up an account so that they can appoint personnel and be prepared to begin spending as of the start date of the award.
- 2.) Pre-Award Spending accounts are used when the PI and department anticipate needing to spend funds in advance of the sponsor's start date. Most federal sponsors will allow expenditures to be incurred up to 90 days prior to the beginning date of the budget period.

New Award Provisional Sponsored Accounts must be secured by an institutional unrestricted account. If an award is not received, or expenditures processed are determined to be unallowable due to the conditions of award, this account will provide the funding sources for these expenditures.

PIs are encouraged to use New Award Provisional Sponsored Accounts when appropriate. If the PI has received notification, or has information of a sponsor's intent to fund a proposal, but the issuance of the actual award document by the sponsor may be delayed and an immediate need exists to begin work or continue existing work that benefits the sponsored project, please complete the NAPSAR Form.

Regulatory Compliance

UMMS does not release budget into animal, human subjects or biosafety expenditure categories on provisional sponsored accounts. Should the PI need to spend in these categories while in provisional status, RFS will require that any of the following applicable regulatory protocols have been submitted, reviewed and approved by the appropriate regulatory office:

- All animal protocols are approved and determined to be congruent to the proposal by the Institutional Animal Care and Use Committee (IACUC).
- All human subject protocols are approved and determined to be congruent to the proposal by the Institutional Review Board (IRB).
- All other regulatory compliance requests (biohazards, radiation safety, hazardous material, etc.) are on file and approved.

Pre-Award Costs

Pre-award costs are those obligations and expenditures incurred up to 90 days prior to the beginning date of the initial budget period of a new or renewal award. OMB Circular A-110 gives authority to federal granting agencies to permit grantees to approve 90 day pre-award spending at the grantee's risk. If the sponsor allows the institution to approve pre-award spending, these costs are allowable providing:

- The costs are necessary to conduct the project, and
- The costs would be allowable under the grant, if awarded, without prior approval from the sponsor, and
- All required regulatory compliance approvals are completed.

To Request a New Award Provisional Sponsored Account

Please complete the NAPSAR Form. Required fields are marked with an *. Fields on the NAPSAR Form may be left blank if the information is included on the Proposal Routing Form and a copy is attached to the NAPSAR Form. The completed form requires the signatures of the PI and the Department Administrator.

New Award Provisional Sponsored Accounts must be secured by an institutional unrestricted account by providing a valid PeopleSoft (PS) SpeedType (ST) account number for the unrestricted account. The signature of the Department Chair is required if the PS ST account number is a Departmental Account.

This form must be accompanied by:

- 1.) Supporting documentation and/or justification regarding the notification that the award will be funded, and
- 2.) Copies of all approval letters for regulatory protocols, and
- 3.) A copy of the Proposal Routing Form if duplicate fields are blank.

Once OSP reviews the information provided and determines the request is allowable, they will approve the establishment of a New Award Provisional Sponsored Account and forward the form to Grant Accounting for processing. Grant Accounting will notify the department when the account is established by forwarding a Project In-formation Notification (PIN) Report to the Department Administrator.