

Information

Pre Award Spending

Effective

July 1 2004

Number

RES 2 05

Applicability

This policy applies to the University Community administrators faculty and staff

Administrative Authority

Executive Vice President for Research and Innovation

Responsible Unit

Sponsored Programs Administration

J.D. Nichols Campus for Innovation and Entrepreneurship

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History

Revision Date(s): August 15, 2012; December 3, 2013; August 12, 2015; February 19, 2021

Reviewed Date(s):

Categories

Statement:

Prior to authorizing work and associated expenditures on an anticipated sponsored program the Principal Investigator or Project Director's supervisor must request that

the Office of the Executive Vice President for Research and Innovation (EVPRI) establish a chartfield with associated speedtype.

Related Information:

This policy does not apply to agencies that prohibit pre-award spending. Pre-award spending on federal awards that do allow pre-award spending will be limited to 90 days prior to the actual start date of the award. Neither does this policy change the requirement that no subjects may be enrolled in clinical trials prior to Institutional Review Board (IRB) approval or, if a sponsored clinical trial, a signed agreement. Pre-award expenditures must meet the same guidelines of allowability, allocability and reasonableness as described in [2 CFR 200](#).

[University of Louisville Pre-Award Guarantee Guidelines — Office of Sponsored Programs Administration](#)

Reasoning:

Often a Project Director (PD) or Principal Investigator (PI) wishes to begin a project prior to the award date but rather than requesting a speedtype in advance of the award, expenses are placed on an existing speedtype. This practice significantly increases the number of salary and expense transfers if work begins prior to the formal award notice and/or contract execution. This policy is to assure that costs incurred between beginning the work and formal notification of award or in advance of the award date do not require transfers but are posted originally to the correct speedtype.

Definitions:

Office of the EVPRI - Office of Sponsored Programs Administration (OSPA- Grants Division)

Responsibilities:

Deans, Directors, and Department Heads

Approval of establishing the pre-award Chartfield/speedtype and provision of an unrestricted funding source to guarantee pre-award spending.

Institutional Officials

OSPA representative is responsible for the establishment of new Chartfield/speedtypes.

VIOLATIONS OF THIS POLICY

Transfer of expenditures may not be authorized by the OSPA if no request for pre-award spending has been requested and approved prior to the date of expenditure.