



University of Connecticut Health Center

POLICY NUMBER 2004-09

August 11, 2006

POLICY: PRE-AWARD ACCOUNTS

PURPOSE:

To create accounts to incur expenses prior to receiving sponsored program awards.

POLICY STATEMENT:

1. The Principal Investigator (PI) will present to the Office of Research and Sponsored Programs (ORSP) documentation indicating that the application to the awarding agency has been selected for funding. The Principal Investigator or designee will initiate this by submitting the Institutional Prior Approval documents found at http://resadm.uhc.edu/orsp/forms/Misc.%20forms/ipas_form.xls through the proper signatories to include the Department Head. The PI will provide on the Institutional Prior Approval System (IPAS) form an institutional account that can be charged if the anticipated award is not received or pre-award costs are not allowed.
2. In the event that the award is coming from a federal source which allows pre-award costs, accounts may be set up and incur pre-award costs that will not exceed 90 (ninety) days prior to the effective date of the award. Non-federal sponsors may give prior approval for pre-award costs for up to 90 days prior to the effective date of the agreement.
3. A signed letter of intent must be in place for a pre-award account to be set up when another institution seeks to develop a contract/agreement with UHC where that institution is the prime grantee/contractor of a federal award.
4. For non-federal awards, where 90-day pre-award costs are not permitted, pre award accounts can be set up and expenditures allowed from the effective start date of the award. Pre-award accounts will be helpful in these instances when delays are incurred due to the signing and approval of the award. In these instances, costs are allowed from the effective date forward only. In these situations, a signed letter of intent and IPAS are required.

5. For clinical trials, an executed agreement with the sponsor is required. In most situations, the executed agreement should be sufficient for the set up of an account and an IPAS should not be required.
6. All compliance approvals (i.e. Institutional Review Board {IRB}, Animal Care Committee {ACC}, Conflict of Interest {COI}, etc.) must be current to receive a pre-award account.
7. The Investigator will provide the prime grantee/contractor with the appropriate contracts at the Health Center in order to ensure timely notification of contractual/consortial agreements. The Investigator will also provide information to UCHC on the appropriate contracts at the prime grantee/contractor.
8. Once all conditions are met, ORSP will notify Research Finance and the PI.
9. Research Finance will set-up accounts and notify the PI or designee. All accounts will be limited by time and amount in accordance with agency guidelines and as designated by Research Finance. Departments are responsible for reviewing account activity and transferring costs that do not comply with this policy. Upon completion of set-up, Research Finance will review to ensure compliance with agency pre-award guidelines. Research Finance is authorized to charge the designated institutional account or departmental account for incurred costs if the award is not received or if pre-award costs are not allowed or do not comply with agency guidelines.

Daniel Upton	10/17/06
_____	_____
Chief Financial Officer	Date
Bruce M. Koeppen, M.D.	10/12/06
_____	_____
Dean for Academic Affairs	Date
Peter J. Deckers, M.D.	10/12/06
_____	_____
Executive Vice President for Health Affairs	Date

Replaces: Policy dated 12/10/04
Revised: August 11, 2006