



Policy

Marshall University Research Corporation
401 11th Street, Suite 1400
Huntington, WV 25701
Phone 304.696.6598
Fax 304.697.2770

Title	Advance Funding Request Guidelines
Policy No.	MURC-007
Effective Date	November 1, 2011
Last Revision Date	November 1, 2011

1 - Introduction

The Marshall University Research Corporation (MURC) acknowledges that there are instances in which it is necessary for the Principal Investigator (PI) of an approved sponsored grant or contract to begin performance before funds are fully released by the sponsor. In order to accommodate this situation, MURC allows PIs to request advance funding for grant-related costs subject to the terms and conditions outlined in this procedure.

This procedure is provided to facilitate the advance funding request and protect MURC resources. While advance funding is provided on a limited basis to aid in the conduct of critical research, it is important to note that it represents a true risk to MURC, the PI's department, and the university. Therefore, PIs are encouraged to request advance funding only when not doing so would cause irreparable harm to the project.

2 - Definitions

“Advance Funding” refers to funding needed to commence or continue work on a grant/contract on or after the sponsor approved start date and when the notice of award has been delayed by the sponsor.

“Evidence of Pending Funding” refers to written documentation that an award document is forthcoming. The following are acceptable evidence of pending funding:

- an e-mail from the responsible agency official stating that an award is forthcoming, which must include the project title, anticipated start date, and program official title and contact information;
- a letter from an authorized agency official stating that an award is forthcoming; or
- an unexecuted copy of the agreement.

“Pre-Award Costs” refers to funding needed to commence work on the grant/contract prior to the sponsored approved start date and when the notice of award is expected. In all pre-award situations, the Grantor expects the Grantee to be fully aware that pre-award costs result in borrowing against future support and that such borrowing must not impair the grantee's ability to accomplish the project objectives in the approved time frame or in any way adversely affect the conduct of the project. *All pre-award funding*

requires the explicit approval of the sponsor to allow such costs, and are subject to any restrictions outlined by the sponsor.

3 - Scope

This policy applies to all PIs and their designees, and to pending awards that have not yet been set up in Banner. It is effective for all advance funding requests on or after November 1, 2011.

4 - Policy

Advance funding may be requested when there is documentation that the grant or contract award is forthcoming. A fund may then be established before work begins, thus avoiding the need for cost transfers.

The budget for advance funding should be reflective of all costs necessary for operating the project no longer than 90 days at a total of no more than 25% of the yearly grant budget. While the period of advance funding should not exceed 90 days, PIs are encouraged to only request advance funding for the amount of time it is expected to take in order to receive the fully executed award. This period may also be shorter depending on the sponsor's policy on pre-award costs. Any extensions to this period must be approved in writing by the MURC Executive Director.

Advance funding requests to issue subcontract/subawards are discouraged, but may be requested if expressly justified. All such agreements will include a clause which allows the termination of the agreement by MURC with 10 business days notice.

In instances where a grant or contract is conditionally awarded and where certain cost categories are questioned by the sponsoring agency, no advance funding may be requested to cover these costs.

5 - Procedure

PIs may make requests by fully completing the Request for Advance Funding Form, attaching the budget and evidence of pending funding, and submitting it to their Chair and Dean for approval. The signature of the responsible Chair/Dean certifies that should an award not be funded, any expenditures will be charged to the referenced indirect cost recovery account.

Requests for advance funding on recovery accounts which do not have sufficient funds to meet all outstanding requests are subject to disapproval. Upon signature by the Dean, the PI should forward the request to his/her pre-award grants officer, who will review to ensure that all necessary certifications (e.g. human subject, animal control and other protocols) have been completed. Once these certifications are approved, the request will be forwarded to a post-award specialist for final approval and Banner set up. If the request is denied, the PI will be notified with a brief explanation for the denial.

Exceptions to this policy must be formally requested in writing and are subject to the approval of the MURC Executive Director.