ADVANCE FUND REQUEST FORM (NDR BACKED)

Lead Principal Investigator:

Department:

College:

Sponsoring Agency:

Award No. *(if available)*:

Prime Sponsor *(if subcontract)*:

Proposal No.:

Project Title:

Period of Authorization: **FROM** (mm/dd/yyyy)   **TO** (mm/dd/yyyy)

Expected Award Begin Date: (mm/dd/yyyy)

Award Information: **NEW**   **CONTINUATION**   IRB   IACUC   N/A

Fund # for Continuation Project: **Fund #**   **Organization #**   **Program #**

Funding Source: **Federal**   **Non-Federal**   **Pass-Through**   **Dual**

Estimated Award Amount: **$**

Requested Advance Amount: **$**   Advance Request #   2nd   3rd

Direct Costs: **$**   Indirect Costs: **$**

Advance amount should include the indirect component. However, in the event an award does not materialize, only direct costs will be reimbursed.

Justification:

Principal Investigator Certification:

I certify costs incurred will be expended within the sponsor approved performance period and budget categories in accordance with all University, Federal, State, and Sponsoring agency regulations as well as guidelines pertaining to Human Subjects, Animal Subjects, Export Control, Research Materials, and Conflicts of Interest.

Principal Investigator: Date:

Notre Dame Research Authorization:

In authorizing the establishment of this advance fund on behalf of the PI, Notre Dame Research assumes 100% of the financial risk in the event the award is not made by the sponsoring agency, accepted by the University, or if expenditures incurred are found to be unallowable and/or outside of the University, Federal, State, and/or Sponsoring agency regulations.

Grant Program Manager: Date:

Director, GPM: Date:

Director, RCA: Date:

Advance Award Processing Flow

For complete and detailed SOP please check GPM-1: Advance Fund Request

Award Status	Support Documentation	Form to Use
ND has not received a Notice of Award or Agreement	Written notification from Sponsor's Authorized Representative that includes the following: ● Award start date and period of performance ● Anticipated award amount ● When do they expect to send the agreement? ● Any nonstandard terms and conditions?	Advance Fund Request Form_NDBacked
	If sponsor support documentation of intent to fund is NOT obtained AND PI would like to proceed with setting-up an advance fund, confirmation of the following is needed: ● Available balance in the discretionary fund backing the advance fund ● Compliance requirements for the project are in good standing	Advance Fund Request Form_PIBacked

NDR will back 100% any type of agreement with any sponsor as long as:
1. Sponsor support documentation of intent to fund is obtained
2. Compliance requirements for the project are confirmed,
3. PI approval is obtained
4. An NDR backed advance fund request form is completed

Additional Information

Advance Fund Limits
● Advance fund requests cannot exceed 25% of the expected annual budget (inclusive of F&A)
● Advance fund period of performance cannot exceed 90 days.
● Advance fund period of performance cannot extend beyond the anticipated project end date.

Advance fund extensions
● Advance fund extensions will be allowed to extend the period of authorization if there is available balance in the original advance fund after the initial authorized 90 day period.
● Other reasons for extension will be evaluated on a one-on-one basis and will need to be discussed with the GPM Director.

Advance Fund Best Practices

Items that will prevent approval
● Requests for NDR Guarantee that do not have required sponsor documentation, as outlined above
● Period of Performance of the Project should include the full anticipated project period, and the advance fund period should not exceed 90 calendar days
● All compliance reviews must be confirmed via email by the Director of Compliance before a request may be approved and routed for signature approvals via Docusign