

Pre-Award or Pre-Establishment Agreement

OGCA Use Only:
PEA # _____
Date: _____

Principal Investigator: _____ Department: _____

Project Title: _____

OGCA #: _____ Current UM Account Number (if renewal): _____

Sponsor: _____ Anticipated Project Period: _____

Action: **Pre-Award** *[eligible Federal grants only]*
Indicate Requested Start Date: _____

Pre-Establishment (See reverse of this form)
*[Federal & non-Federal awards not covered by
Organizational Prior Approval System]*

If you have questions about the applicability of pre-award or pre-establishment policies, please contact OGCA at 545-0698. For other general information, visit OGCA's website at <http://www.umass.edu/research/ogca>.

For OPAS Pre-award:

[eligible Federal grants only]

Pre-award costs for certain Federal grants can be approved by OGCA under the University's expanded authorities, known as the Organizational Prior Approval System (OPAS). OPAS allows for approval of pre-award costs up to 90 days prior to the effective start date of the grant. **If for any reason the anticipated award is not accepted by the University, the PI agrees to reimburse the University for those funds expended under OPAS action from his/her RTF Return or other non-restricted account. If the funds in the PI's account(s) are insufficient to cover the OPAS advance, the appropriate Department Head and Dean accept the responsibility for covering the insufficiency.** Full reimbursement is to be completed within 60 days from the date that OGCA notifies the PI, Department Head and/or Dean in writing that an award is not forthcoming.

PI justification/explanation:

Certifications & Approvals:

Principal Investigator Date

Department Head/Director Date

Dean Date

OGCA Remarks:

OGCA Approval Date

Account Number: _____

Controllers Office: Authorized Signature Date

For Pre-Establishment:

[Federal & Non-Federal awards not covered by OPAS]

Please note that OGCA must have an Internal Processing Form (IPF) and copy of the proposal on file in order to process a pre-establishment request.

The University of Massachusetts anticipates but has not yet received a formal award for the above-referenced project. I request pre-establishment of an account to permit the expenditure of funds for those costs critical for the performance of the project. I understand that because of the limited revolving cash available, an initial 10% of the anticipated award may be authorized. The costs incurred and effective dates will conform to those of the anticipated award.

Requested Pre-establishment Amount: _____

PI/justification/explanation:

The Controllers Office will assign an account number, enter the amount advanced into the financial system and notify OGCA and the PI. After the formal award is accepted by the University, the Controllers Office will reverse the pre-establishment entries and record the formal award budget. **If for any reason the anticipated award is not accepted by the University, the PI agrees to reimburse the University for those funds expended under the pre-establishment action from his/her RTF Return or other non-restricted account. If the funds in the PI's account(s) are insufficient to cover the pre-establishment advance, the appropriate Department Head and Dean accept the responsibility for covering the insufficiency.** Full reimbursement is to be completed within 60 days from the date that OGCA notifies the PI, Department Head and/or Dean in writing that an award is not forthcoming.

_____ Principal Investigator	_____ Date	_____ Department Head/Director	_____ Date
	_____ Dean		_____ Date

For OGCA Use Only:

Effective Dates of Anticipated Award: _____ Total Direct Cost Anticipated: _____

Remarks:

Approved:

_____ OGCA	_____ Date	_____ Controllers Office	_____ Date
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Account Number

Formal award processed: _____
Initials/Date

PEA loan reversed: _____
Initials/Date