

OFFICE OF RESEARCH – SPONSORED PROJECTS
REQUEST FOR APPROVAL TO SPEND FUNDS (RAS)

Principal Investigator(s): Administering Department:

Project Title:

OR Record #: Sponsor:

Contact person: Extension:

1. Anticipated Award type will be: *(check one)*

- Grant
 Cooperative Agreement
 Cost-Reimbursement Contract
 Fixed-Price Contract
 Other Transaction Agreement

2. Anticipated Award will be: *(check one)*

- Renewal
 New
 Continuation
 Supplement

3. Indicate current sponsor award number *(if applicable)*:

4. Current UCSB Account number *(if applicable)*: Fund number *(if applicable)*:

5. Anticipated Award Begin date: End date: Anticipated Award Funds: \$

6. Approval is requested to spend \$ for the period beginning and ending

7. Does this RAS include a request for pre-award spending? Yes No

Pre-award Begin date: Pre-award End date:

8. Description of request and justification of need to spend and the firm commitment from Sponsor (attach pages, if necessary):

CERTIFICATIONS AND APPROVALS:

In accordance with University policy, an urgent need exists to expend funds prior to receipt of a fully-executed award.

PRINCIPAL INVESTIGATOR DATE

I concur with this request, and I (check one) will provide/ am unable to provide funding for losses incurred as a result of pre-award spending.

DEPT. CHAIR OR ORU DIRECTOR DATE

I approve this request, with the understanding that (check one) the Department Chair will provide funding for losses incurred/ I will provide funding for losses incurred.

DEAN OR VICE CHANCELLOR DATE

OFFICE OF RESEARCH USE ONLY:

Confirmation of firm commitment from sponsor:

SPONSORED PROJECTS OFFICER DATE

- REQUEST APPROVED
 REQUEST DISAPPROVED

CHANCELLOR'S DESIGNEE DATE

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INSTRUCTIONS FOR PREPARATION OF “REQUEST FOR APPROVAL TO SPEND FUNDS” (RAS)
(UCSB/OR Form 203)

This form is to be used to obtain approval to spend funds for an extramurally funded project prior to the receipt of an award. Conditions governing the use of this form are set forth in UCSB Research Circular C.1. Once you have completed the form, please send it to the Sponsored Projects unit in the Office of Research, 3227 Cheadle Hall, Mail Code 2050. If you have any questions, you should contact the Sponsored Projects Team assigned to your department.

Top Section: *Enter general information about the project:* Indicate the name of the principal investigator and the administering department for the anticipated award. Provide the complete title of the project. Provide the OR record number established for the project proposal, and the full name of the sponsor from whom the award is anticipated (e.g. National Science Foundation, Department of Energy, State of California). Provide the name and telephone extension of the individual who may be contacted for questions regarding this request.

Item 1. Indicate whether the anticipated award will be a grant, cooperative agreement, cost-reimbursement contract, fixed-price contract or Other Transaction agreement.

Item 2. Indicate which one of the four types of award is expected: *New*, or an original award; *Continuation*, or an award for a follow-on budget period within an approved project period; *Renewal*, or a new award for continued support of an existing project; *Supplement*, or an augmentation of funds within a budget period.

Item 3. If this request is being submitted for an ongoing project, indicate the current award number assigned by the sponsor.

Item 4. If this request is being submitted for an ongoing project, indicate the current UCSB account and fund number.

Item 5. Indicate the anticipated period of performance for the pending award, as well as the anticipated total amount of funding (direct and indirect costs) to be provided by the sponsor.

Item 6. Indicate the exact amount of funds being requested for spending prior to receipt of the anticipated award, and the exact period during which these funds will be spent.

Item 7. Indicate if this request also includes a request by the principal investigator for pre-award spending from the sponsor (including grantee-approved pre-award spending requests) and provide the requested begin and end date for pre-award spending.

Item 8. A specific justification is required for the funds that are being requested for spending prior to receipt of an anticipated award. This should cover not only the items for which funds will be spent (e.g., salaries, supplies, equipment, etc.), but the “urgent need” that requires spending prior to the receipt of the award. For example, interruption of work on a project may affect its completion, and thus funds must be spent in advance of receiving an award to retain existing staff and acquire laboratory supplies. Also, indicate the nature of the “firm commitment” that the sponsor has given with respect to making an award. Specify the name and title of the individual making the commitment, the date when this occurred, and the UCSB staff to whom the commitment was conveyed. Provide any additional information that would be useful to evaluating this request.

Certifications and Approvals. The principal investigator must sign the certification regarding the existence of an urgent need to spend funds. The principal investigator’s Department Chair or ORU Director will then review the request and indicate, by signing the statement of concurrence, *whether the Department will or will not provide funding to cover costs in the event an award is not received for the amount or period anticipated.* The request should then be forwarded for review to the Dean of the principal investigator’s College or School (or in the case of ORUs the Vice Chancellor for Research); the Dean indicates approval by signing the statement of approval, and *indicating whether the Department Chair or the Dean will be responsible for providing funding in the event the anticipated funds are not received.* All certifications and approvals must be completed before submitting this form to the Office of Research.

Office of Research Use Only. Sponsored Projects staff will then confirm the “firm commitment” of the sponsor and will ensure that any compliance approvals (e.g. human subjects, animal subjects, conflict of interest etc.) have been cleared before submitting the form to the Chancellor’s designee for final review and approval. Once approved, the form will be sent to Extramural Funds Accounting to have an account and fund number assigned.