

INSTRUCTIONS FOR USING PURDUE PRIOR APPROVAL REQUEST TEMPLATE

1. **Agency** - Check the box of the awarding agency.

2. **Principal Investigator** - Name of the Principal Investigator identified in the agency award documentation. Note: The PI must approve all requests for any minor accounts that have been established.

3. **Department Name** - The Department name for which the action is being requested.

4. **Sponsor Grant Number** - The grant number assigned by the agency. This can be found on the FSSR, in the award documentation, or on-line in FIAA.

5. **Purdue Account Number** - Fund/Center number of the account for which the action is being requested.

6. **Requested Action** - Check the action being requested. Each is explained below:

No-Cost Extension:

- The Total Cost balance *at the current expiration date* (not the balance at the time of the request) must be projected.
- The length in months of the requested extension must be listed. Please note the agencies that allow Purdue approval of no cost extensions stipulate that a one-time extension of up to 12 months can be approved by Purdue. Please make sure the amount of time being requested is adequate enough to finish the project. If additional time is needed, regardless of the length of the first request, agency approval must be obtained. Most agencies require that Purdue notify them 10 days prior to expiration if we exercise our option to extend the project. If not, the request must then be approved by the agency. The request therefore must be in Sponsored Programs Services 30 days prior to expiration so the request can be processed and the sponsor notified. You should review your sponsor regulations to see if they deviate from the 10 days described above. The time frame

should be adjusted accordingly.

- The requested end date should be listed.

Foreign Travel:

Any foreign travel not specifically listed and approved in the proposal must be justified and approved by Purdue. Please note that some sponsors may require agency approval of foreign travel even if the trip was listed in the proposal.

- The final destination of the trip should be listed. Please see the individual sponsor guidelines for classification of Mexico and Canada. Each sponsor may differ in their definition of foreign travel for those particular countries.
- The dates of the trip must be listed.
- The total dollar amount of the trip must be listed.

Capital Equipment:

Any equipment not specifically listed and approved in the proposal must be justified and approved. Please see individual sponsor guidelines to see if Purdue or the sponsor must approve the purchase. The total amount of the equipment must be listed. Please note that the amount is for all the equipment being requested. Each piece must be separately listed and justified in Section 7. The dollar amount must be listed for each item, regardless of source of funds.

Other: Mark this for items not listed above. Identify and justify in Section 7.

7. ***Explanation/Justification*** - This is the most important section. The PI must provide a detailed explanation on how the requested action will benefit the project.
8. ***Budget Categories*** - Please list the budget categories being reduced for the requested action. This number will not always equal the amounts listed in Section 7. For example, a piece of equipment could have been requested and approved by the sponsor, but technical changes could necessitate the purchase of a different piece of equipment at a different price. Thus, a rebudget may only need to be done for the difference in the prices.
9. ***Approvals*** - The Principal Investigator, Department Head, and Departmental Business Manager must sign the request. Through conversations with the School Business Managers and Deans, it was determined that the Dean's signature authority can be delegated to the Department Head. The request is then routed to Reatha Walls in SPS. Reatha will route the document to the appropriate SPS Account Manager. The request will be reviewed by the Account Manager for completeness and adherence to sponsor regulations. Any issues will be discussed with the department. The document will then be forwarded to the appropriate Assistant Director for approval and returned to Reatha. Reatha will then distribute approved copies. The roles of each person is described

below:

Principal Investigator: The PI role in the process is to ensure the requested action benefits the project and that the explanation is detailed enough for a third party to understand the benefit. With consultation of the business office, the PI also is stating that he/she has reviewed the implication of the rebudgeted funds and that the reallocation will not adversely affect the project, and that the request conforms to the sponsor's regulations.

Department Head: The Department Head should review the request. The signature means he/she agrees with the requested action and that it meets the goals of the project and the department. The Department Head has ultimate responsibility for all projects in the department, any issues/concerns should be discussed with the Business Manager and/or PI.

Business Office: The Business Office signature means the request conforms to sponsor guidelines and that budget implications have been reviewed with the PI and that there is no adverse affect of any rebudgeted funds. Also, even though it may be difficult to determine the scientific merit of the explanation/justification, this section should also be reviewed for adequacy.

Sponsored Program Services: The Account Manager reviews the request for conformance to sponsor regulations. The requested budget reallocation is reviewed to ensure adequacy of funds. The explanation/justification is reviewed to ensure the PI has provided adequate detail. The Assistant Directors have signature authority for the institution. A final review is performed and the document is then approved. The approved copies are distributed and any communication that is necessary to the sponsor is sent.