

**University Prior Approval System (UPAS)**  
for FEDERAL GRANTS only (see reverse side for eligible actions)

PRINCIPAL INVESTIGATOR	SPONSOR (also indicate prime institution if subcontract)	TODAY'S DATE
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FULL SPONSOR GRANT NUMBER	CURRENT BUDGET YEAR DATES Start: _____ End: _____	FULL HARVARD ACCOUNT NUMBER Tub _____ Org _____ Fund _____ Activity _____ Sub Activity _____ Root _____
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**TYPE OF APPROVAL**

<input type="checkbox"/> <b>PRE-AWARD EXPENDITURES - CREATE NEW ACCOUNT</b> pre-award period _____ direct cost amount to be spent \$ _____ associated indirect cost amount \$ _____	<input type="checkbox"/> <b>NO-COST EXTENSION</b> proposed new end date _____ approximate balance remaining \$ _____ <i>Explain reason for availability of funds below.</i>
<input type="checkbox"/> <b>EQUIPMENT</b> (Not required for change of model or vendor, or price change of 25% or less on previously approved items.) Equipment to be purchased _____ purchase price \$ _____ vendor _____	<input type="checkbox"/> <b>TRAVEL</b> <input type="checkbox"/> Foreign name of traveler(s) _____ destination _____ dates of trip _____ estimated cost of travel \$ _____
<input type="checkbox"/> <b>SUBCONTRACT</b> <i>Indicate the scope of work below; attach a budget and appropriate documentation from subcontracting institution.</i>	<input type="checkbox"/> <b>OTHER</b> <i>Describe below.</i>

**PROGRAM/SCIENTIFIC EXPLANATION**

Complete this section for all UPAS actions. In addition to any information requested above, please state how the proposed action relates specifically to the research supported by this grant. Attach appropriate supporting documentation.

**REBUDGET REVISION**  Yes  No

If the proposed action requires the transfer of funds between object codes, indicate transfer categories, with object codes in parentheses. If not all categories bear F&A (indirect) costs, also indicate any indirect cost amounts to be transferred.

\$ \_\_\_\_\_ from \_\_\_\_\_ (object \_\_\_\_\_) \_\_\_\_\_ (object \_\_\_\_\_)

\$ \_\_\_\_\_ from \_\_\_\_\_ (object \_\_\_\_\_)

\_\_\_\_\_ (object \_\_\_\_\_)

\$ \_\_\_\_\_ from \_\_\_\_\_ (object \_\_\_\_\_)

\_\_\_\_\_ (object \_\_\_\_\_)

**CERTIFICATIONS AND APPROVALS**

Principal Investigator/Project Director	Date	Dean/Designee	Date
Department Chair/Designee †	Date	Office for Sponsored Research	Date

† This signature commits department to take financial responsibility for the proposed action.

## ELIGIBLE ACTIONS UNDER FEDERAL GRANTS THROUGH THE UNIVERSITY PRIOR APPROVAL SYSTEM

At the top of each column, the requirements for the type of approval are described. In the row for each sponsor, a checkmark ( ) indicates that sponsor authorizes University approval; additional comments indicate variations on the basic description. **N/A indicates that the request must be made through OSR directly to the sponsor.**

	PRE-AWARD COSTS	NO-COST EXTENSION	EQUIPMENT	TRAVEL		OTHER
	Pre-award costs may be incurred up to <i>ninety (90) days prior</i> to the effective date of the <b>new</b> award. Include on form dates of pre-award period and amount to be spent.	Only <i>one</i> no-cost extension is allowed per award, for a period of twelve (12) months. The sponsor must be notified by the University <i>ten (10) days prior</i> to the original termination date.	Equipment not specifically included in the approved budget used solely or primarily for research, except for change of model or vendor, or price change of 25% or less on previously approved items.	Individual trips not Specifically included in the approved budget.		
NIH/PHS				approval not required		N/A
NSF				approval not required		N/A
NASA			scientific equipment under \$5,000; larger requests must be made directly to the sponsor	approval not required		NASA must approve all subcontracts greater than \$100,000, under \$100,000 can be approved by the University
DOE				approval not required		N/A
USDA				approval not required		N/A
EDUCATION				approval not required		N/A
NEH				approval not required		stipends and travel for conference participants; printing and publication costs
ARPA		N/A		domestic approval not required	foreign N/A	N/A
NAVY		N/A		domestic approval not required	foreign approval not required	subcontracts not specifically included in the approved budget
AIR FORCE		N/A		approval not required		subcontracts not specifically included in the approved budget
ARMY		Notification of extensions must reach Army 30 days prior to term date.	under \$5,000; larger requests must be made directly to the sponsor	domestic approval not required	foreign N/A	N/A
NOAA			under \$5,000 per unit and having a useful life of more than 1 year; make larger request directly to sponsor	N/A		N/A
EPA			N/A	N/A		N/A
AID			N/A	domestic approval not required	foreign N/A	N/A

Matrix must be considered as a guideline; significant rebudgeting actions may require agency approval; e.g., PHS Grants Policy states rebudgeting of greater than 25% of the current year's budget or \$250,000 (whichever is less) always requires agency approval.