

# Office of Sponsored Research

## Prior Approval Request Form

### *Instructions and Field Definitions*

## Table of Contents

<b>Example Form</b>	<b>1</b>
<b>Part 1 – General Information</b>	<b>2</b>
• Project Specific Information	
• Submitter Information	
<b>Part 2 – Prior Approval Action</b>	<b>2</b>
• Selecting the Correct Prior Approval Action	
• Prior Approval Action Definitions	
<b>Part 3 – Prior Approval Method</b>	<b>2</b>
• Sponsor Prior Approval Requirements	
• Internal OSR Approval	
<b>Part 4 – Required Documents</b>	<b>3</b>
• Additional Documents Required for the Prior Approval	
• Specific Documents Required based on the Approval Method	
<b>Part 5 – Prior Approval Budget Revision</b>	<b>3</b>
• Identifying if the Prior Approval needs a Budget Revision	
<b>Part 6 – Justifying the Prior Approval</b>	<b>3</b>
• Providing a reason for the Prior Approval Request	
<b>Part 7 – Required Signatures</b>	<b>3</b>
• Principal Investigator Signature & Business Manager Signatures	
• Electronic Submission Button	
<b>Part 8 – OSR Approvals</b>	<b>4</b>
• Approval Decisions	
• Confirming Prior Approval Action and Approval Method	
• Response to Requesting Department	
<b>Appendix A – Document Definitions</b>	<b>5</b>
A list of definitions for all possible documents requested in Part 4.	

## OSR PRIOR APPROVAL REQUEST FORM

- Review the contract/grant, application instructions, and sponsor guidelines to confirm sponsor requirements for Prior Approval
- Submit form with all required documents to OSR for review, internal approval, and submission to the Sponsor (for external approvals)
- OSR provides the final determination on which approval method (internal UNC-CH approval or external Sponsor approval) is required
- All communications with the sponsor **MUST** be conducted through OSR
- Submit the completed form by using the 'Submit' button below or emailing the form as an attachment to [ResAdminOSR@unc.edu](mailto:ResAdminOSR@unc.edu)

### 1. General Information

Project ID 5100000 <span style="float: right;">1</span>	RAMSeS IPF Number 18-1234 <span style="float: right;">2</span>	PI Name J. Smith <span style="float: right;">3</span>	Department Number 621100 <span style="float: right;">4</span>
Submitter Name M. Jones <span style="float: right;">5</span>	Email email@unc.edu <span style="float: right;">6</span>	Phone Number (919) 555-1234 <span style="float: right;">7</span>	Date Jun 1, 2018 <span style="float: right;">8</span>

**2. Prior Approval Action:** 9 New Foreign Subrecipient

Select a Prior Approval Action from the drop-down above to view the action's definition and required documents in the boxes below.

#### Prior Approval Action Definition

Creation of a new subrecipient agreement with a Foreign site not identified in the award/contract or included in the proposal.

10

**3. Does this require Sponsor Prior Approval per the Award or Sponsor Guidelines?**  Yes  No 11

Your OSR Sponsored Projects Specialist can confirm the approval method (internal or external). Please contact your SPS if there are questions about the approval method before submitting this form.

### 4. Required documents associated with the Prior Approval action(s):

Complete any documentation required based on the approval method (internal or external) and sponsor requirements and submit with this form. Question 2 (Prior Approval Action) must be selected to see the required documents in the boxes below.

**Documents for Internal 12 University Approval**

New Subrecipient Documentation  
 - Letter of Intent  
 - Subrecipient Detailed Budget and Budget Justification  
 - Subrecipient Scope of Work

**Documents for External 13 Sponsor Approval**

Justification Letter Signed by PI  
 New Subrecipient Documentation  
 - Letter of Intent  
 - Subrecipient Detailed Budget and Budget Justification  
 - Subrecipient Scope of Work  
 Any Other Project/Sponsor Specific Requirements

**5. Does this Prior Approval require a Budget Revision?**  Yes  No 14

If a Budget Revision is required, complete the Budget Revision form generated on page 2 by selecting "Yes" above.

### 6. Explanation & Justification (This does not replace the Justification Letter for External Prior Approval Requests)

Dr. Williams, Co-Investigator and Key Personnel, is relocating to Lund University in Sweden in September. The PI requests a new foreign subaward to allow Dr. Williams to continue their participation on the project. Current funds for Dr. Williams' effort plus funds from supplies will be rebudgeted for this subaward.

15

### 7. Required Signatures

Submit forms digitally signed using the Submit button **OR** scan copies with ink signatures and email them to [ResAdminOSR@unc.edu](mailto:ResAdminOSR@unc.edu).

16

Principal Investigator Signature (Required)

17

Business Manager Signature (Required)

**Submit** 18

**Completed by OSR:** Answer the following and upload form, documents, and sponsor approvals to RAMSeS. Communicate decision to Dept.

SPS Name: 19 \_\_\_\_\_ Date: 20 \_\_\_\_\_ RAM Tracker ID Number: 21 If New, enter assigned RT.  
 Approved:  Yes  No  Return If no, give reason below. Appro 23 method:  Internal  External  N/A

24

# PART 1. GENERAL INFORMATION

## PROJECT SPECIFIC INFORMATION

### 1. Project ID

Enter the sponsored project's Project ID. Leave blank if the Project ID has not been assigned and include the RAMSeS Internal Process Form (IPF) number in [Field 2](#).

### 2. RAMSeS IPF

Enter the RAMSeS IPF number.

### 3. PI Name

Enter the name of the Principal Investigator (PI) for the overall project. Project IDs issued under a Prime should indicate the main PI for the entire project and not the owner of the individual Project ID.

### 4. Department Number

Enter the 6-digit department number associated with the Project ID.

## SUBMITTER INFORMATION

### 5. Submitter Name

Enter your name or the individual managing the form submission. They will serve as the departmental contact.

### 6. Phone Number

Provide the Submitter's phone number.

### 7. Email

Provide the Submitter's email address.

### 8. Date

Provide the date you complete the form.

# PART 2. PRIOR APPROVAL ACTION

## 9. Prior Approval Action Selection

Select the type of Prior Approval Action from the drop-down provided. This field is **mandatory** and drives [Field 10 - Action Definition](#) and [Fields 12 & 13 - Required Documents](#).

Additional Funding Request

Alterations and Renovations

Budget Revision for Sponsor Approval

Change in Project Scope

Equipment Purchase at End of Project

Equipment Purchase not in Budget

Foreign Travel

Institution Change

Key Personnel Change

Key Personnel Effort Reduction

New Foreign Component

New Foreign Subrecipient

New Subrecipient

No Cost Extension – Initial

No Cost Extension – Subsequent

Patient Care Costs

Participant Costs

PD/PI Change

PD/PI Disengagement

Pre-Award Spending

Request for Carryover

Other

## 10. Action Definition

This field displays the definition for the Prior Approval Action based on the selection made in [Field 9](#). This field is not editable by the user.

# PART 3. PRIOR APPROVAL METHOD

## 11. Sponsor Prior Approval required?

Review the project's award/contract/agreement and any other sponsor guidance to determine whether Sponsor Prior Approval is required. Answer "**Yes**" for projects that require External Sponsor Approval; answer "**No**" for projects that allow expanded authorities or other allowances for Internal University Approval.

**NOTE:** OSR makes the final determination on the appropriate Approval Method.

## PART 4. REQUIRED DOCUMENTS

See Appendix A for definitions of all possible document types.

### 12. Documents for Internal University Approval

This field lists the additional documents required based on the selection made in [Field 9 – Prior Approval Action Type](#). OSR is the only unit authorized to approve Internal University Prior Approval actions. Some Action cannot be approved internally. Users will be directed to [Field 13 – Documents for External Sponsor Approval](#) for required documents for such Actions.

### 13. Documents for External Sponsor Approval

This field lists the required documents for the Prior Approval Request based on the selection made in [Field 9 – Prior Approval Action Type](#). These documents must be completed when the Prior Approval requires approval from the Sponsor.

## PART 5. PRIOR APPROVAL BUDGET REVISION

### 14. Prior Approval requires Budget Revision

This field asks if the Prior Approval Request will include a budget revision. The form provides a copy of the Budget Revision Form to submit with the Prior Approval Request Form.

#### SELECT YES IF:

Complete the remaining questions in the Prior Approval Request Form and then proceed to the Budget Revision Form for Prior Approvals. The Budget Revision Form generates on an additional page. Budget Revision instructions are available on the OSR Website (<https://research.unc.edu/sponsored-research/forms/>).

#### SELECT NO IF:

This type of Prior Approval does not require any change to the project budget (as proposed or awarded).

## PART 6. JUSTIFYING THE PRIOR APPROVAL

### 15. Explanation & Justification

All Prior Approval changes must be explained and justified. Include information on what is changing with the project, why the change is occurring, and how it is important to the project.

**NOTE:** This information does not count as a Justification Letter listed in [Fields 12](#) or [13](#). **The form is for internal purposes only.** Content may be similar, but such letters must be submitted on letterhead and signed by the PD/PI and OSR.

## PART 7. DEPARTMENTAL SIGNATURE

### 16. Principal Investigator Signature

All Prior Approval Requests **must** be approved by the project PI. The request will not be processed without their approval. If another individual is signing on behalf of the PI, documentation giving them authority by the PI must be on file with OSR.

### 17. Business Manager Signature

The project's administering department Business Manager or Departmental Administrator is required to sign. This acknowledges the request and approves any financial information included on behalf of the department.

### 18. Submit Button

Use this to generate an automated email to submit the completed form. This button is **ONLY** to be used if the form is signed electronically.

## PART 8. APPROVALS (OSR ONLY)

### 19. OSR SPS Name

Enter the name of the OSR SPS reviewing the form.

### 20. Date

Provide the date when OSR reviews the form.

### 21. RAM Tracker ID Number

Enter the RAM Tracker number assigned to the form.

**NOTE:** The Default value is “**New**,” to help identify that it is a new submission that needs a RAM Tracker ID assigned. Forms that are returned for changes must include the RAM Tracker ID Number so that the resubmitted form will be attached to the existing RAM Tracker.

### 22. OSR Approval

Identify if the Prior Approval Request is approved by OSR.

**Yes**                      The request is complete and allowable.

**No**                         The request is not allowable.

**Return**                  The request is incomplete.

**NOTE:** If the PAR is not approved, provide the reason in the text box provided as [Field 24](#).

### 23. Correct Approval Method

Review the project to confirm the approval method:

**Internal**                 OSR has the authority to approve this Prior Approval Request

**External**                Sponsor Prior Approval is required

**N/A**                        This action does not require Prior Approval

**NOTE:** Proceed with submitting the request to the Sponsor for External Approvals that are approved by OSR.

### 24. Approval Notes

Give a reason as to why the Budget Revision has not been approved ([Field 22](#)).

# Appendix A. Document Definitions

This list provides general documents and definitions. Many sponsors require specific requirements or additional documentation. Always consult sponsor-specific instructions to identify the requirements and templates.

## Allocation Plan

A document that defines how the expense allocation across multiple projects. It details the percentages of the cost each project will pay, what that calculation is, and how it was determined.

## Budget for Carryover Amount

A detailed budget created for the amount requested for carryover.

## Budget for Extension Period

A detailed budget for the amount remaining for a No-Cost Extension period.

## Budget Justification

A document describing the items requested in a budget including the basis of the costs and why they are necessary to the project.

## Budget Revision

A change to the project's budget that redistributes funds between budget categories. This alters the budget from how it was originally proposed, awarded, or otherwise approved. A revision does not increase or decrease the total amount of a project's budget.

## Current and Pending/Other Support

Current and Pending Support or Other Support identifies personnel activities on other active and proposed projects. It provides a snapshot of an individual's funded effort and pending projects at the time of the request.

## Curriculum Vitae or Biosketch

This document provides biographical information on the personnel involved in the project. It provides information on the individual's role and qualifications.

## Detailed Budget

A categorical list of expenses and their amounts required to complete the project.

## Itinerary Details

A document recording an individual's planned or completed travel.

## Justification Letter

A formal letter written on University Letterhead, signed by the PD/PI. It provides a narrative explanation of the change that requires prior approval and why it is necessary.

## New Recipient Institution Information

Required information includes:

- Name of New Institution
- New Institution Address
- Administrative Contact Name
- Administrative Contact Information
- Contact Information of PD/PI at new Institution (if available)

## New Subrecipient Documentation

The documents needed to set up a new subrecipient agreement. These are the same whether it is at award or created during the life of the project.

## Office of Sponsored Research

### Prior Approval Request Form – Instructions and Field Definitions

#### Letter of Intent

A letter or form that confirms the subrecipient's institutional approval for the proposed agreement. This is signed by the subrecipient's institutional official and contains information identifying the proposed project, such as a Subrecipient PI, Project Name, and the Prime Sponsor.

#### Subrecipient Detailed Budget and Budget Justification

The Subrecipient must provide a categorized list of planned expenses and a justification for those items equaling the amount of funds provided in the subrecipient agreement.

#### Subrecipient Scope of Work

A narrative description of the work to be completed by the subrecipient.

#### Relinquishing Statement (NIH Only)

The Relinquishing Statement (Form PHS 3734) is completed by an institution when a project is going to be transferred to a new institution, relinquishing their administration. It includes information on the new institution, the date when the project will be relinquished, and the expected balance of funds on the project. This is completed electronically through [eRA Commons](#). The manual for completing an Institution Change including the Relinquishing Statement is located at [https://era.nih.gov/files/ccoi\\_userguide.pdf](https://era.nih.gov/files/ccoi_userguide.pdf).

#### Remaining Balance Statement

The estimated amount of funds remaining on a project at the time it is transferred to a new institution. This is the amount of money that will be available for the new institution.

**Current Project Balance – Anticipated Expenses before Transfer = Remaining Balance**

#### Revised Budget and Budget Justification

An updated version of the Budget and Budget Justification, from what was submitted or awarded, to incorporate the changes that require prior approval.

#### Revised Scope of Work

An updated programmatic description of the project, including the changes being made.

#### Sole Source Justification

A procurement document for purchases that do not require a competitive bid process because the supplier is the only available vendor for the goods or services needed.

#### Supplemental RAMSeS IPF

An IPF submitted as a supplement to an existing IFP proposal to request additional funds from the sponsor.

#### Vendor Quotation or Purchase Requisition

A Vendor Quotation or Purchase Requisition provides procurement details for a proposed purchase, justifying the price.