

**THE UNIVERSITY OF ALABAMA IN HUNTSVILLE**  
**EXPANDED AUTHORITY FOR FEDERAL SPONSORED GRANTS**

<b><u>Number</u></b>	07.02.14
<b><u>Division</u></b>	Vice President for Research and Economic Development - Office of Sponsored Programs
<b><u>Date</u></b>	March 26, 2021; Reviewed/Revised February 26, 2024
<b><u>Purpose</u></b>	To establish policy at The University of Alabama in Huntsville (“UAH” or “University”) on when prior sponsor approval is/is not required for Research and training awards.
<b><u>Policy</u></b>	The University recognizes certain federal sponsors have in place an award management tool which provides certain recipients the ability to perform specific prior approval actions, without requesting permission from the sponsoring agency. Recipient’s award document will clearly reflect this allowance in the “Remarks” section if the program has Expanded Authority privileges. The following procedure outline UAH’s Institutional Prior Approval System (IPAS) process.

Research and training awards normally require prior sponsor approvals for certain types of expenditures and transactions. Some federal agencies have delegated certain approval authorities to grant recipients that have established review and approval systems meeting specified criteria. Essentially these systems must assure that each transaction approved:

- a. is necessary to achieve the project objectives supported by the grant;
- b. is consistent with the grant terms and conditions;
- c. is consistent with sponsor and grantee policies;
- d. represents effective utilization of institutional resources; and
- e. does not constitute a change in scope.

A memo to the Director, Office of Sponsored Programs from the PI requesting IPAS approval is required.

The delegations permit UAH-OSP to act upon the following types of transactions:

1. Pre-award Costs Incurrence - Obligations and expenditures may be authorized up to 90 days prior to the effective date of a new or competing award provided those costs meet all specified criteria of the awarding agency.
2. No-cost Extension (NCE) for grants subject to Federal Demonstration Partnership guidelines in effect at the time of the award, the final budget period of a project may be extended one time up to one year beyond the ending date as shown on the Notice of Grant Award. A

- NCE maybe used to extend the project in order to phase out the project or to extend pending the issuance of the competitive award.
3. Equipment Purchase- For purchase of any item of equipment costing \$5,000 or more (including shipping and installation) which was not itemized in the approved budget.
  4. Facility alterations and renovations subject to specific agency guidelines.
  5. Foreign Travel - For each foreign trip not included in the approved budget. (See specific FDP or agency specific guidelines.) US Flag carriers required.
  6. Purchase of Equipment during the last six (6) months of an approved project period. Any equipment purchased during the last 6 months of the project. Purchase must be of demonstrable benefit to the current or follow-on project period.
  7. Publication and Printing - Costs for a single publication costing \$5,000 or more.
  8. Patient Care Costs - to increase a sponsor established budget. Consult agency guidelines. This may require agency prior approval. Moving funds from patient care requires agency prior approval.
  9. Audiovisual Materials - For a single audiovisual product costing \$5,000 or more.

Agency/sponsor guidelines should be consulted to ensure compliance.

[Click here to view Matrix for all Prior Approvals/Expanded Authority](#)

### **Review**

The Office of Sponsored Programs is responsible for the review of this policy every five (5) years, or whenever circumstances require.