



## Project Over-Expenditure and Over-Commitment, Expired Project Continuation of Spending and New Project Pre-Approval Request Checklist

For Questions or HELP with the completion of this form, please contact (403) 210-9300 or [finance@ucalgary.ca](mailto:finance@ucalgary.ca)

This checklist identifies the steps required to request an Over-Expenditure and Over-Commitment, Expired Project Continuation of Spending Request, and / or New Project Pre-Approval for Project Creation / Continuance for an eligible project.

LEGEND	
Dean/AVP/VP/SrDir	= Dean/AVP/VP/Senior Director
DH	= Department Head
R/PH	= Researcher/Project Holder
RA	= Research Accounting
RSO/CSM	= Research Services/CSM Legal
PM	= Project Maintenance

INFORMATION FOR SELECTING TYPE OF APPROVAL REQUEST*
Select New Project Pre-Approval Request if project is NEW
Select Over-Expenditure or Over-Commitment Request if your project is OVERSPENT
Select Expired Project Continuation of Spending Request if project has EXPIRED
Select BOTH Over-Expenditure or Over-Commitment Request AND Expired Project Continuation of Spending Request if project is OVERSPENT and EXPIRED

Completed	Accountability	Task
<b>Stage One: Determine whether request is permissible</b>		
<input type="checkbox"/>	R/PH	Determine nature of situation requiring Over-Expenditure or Over-Commitment, Expired Project Spending, or New Project Pre-Approval: <input type="checkbox"/> Research contract and/or grant <input type="checkbox"/> Clinical Trial <input type="checkbox"/> Other (must have explanation and Dean approval)
<input type="checkbox"/>	R/PH	Inform respective Dean or delegate of faculty/unit concerned that Over-Expenditure or Over-Commitment, Expired Project Spending, or New Project Pre-Approval is essential to initiate/continue the project. Ensure support of Dean or Delegate.
<b>Stage Two: Prepare Approval Form</b>		
<input type="checkbox"/>	R/PH	Complete attached Form and gather all supporting documents: <input type="checkbox"/> Summary outlining the business requirements for request <input type="checkbox"/> Third Party confirmation that the funding/extension has been obtained. This may include: <input type="checkbox"/> Correspondence from sponsoring agency on official letterhead <input type="checkbox"/> Email confirmation from an authorized individual at the sponsoring agency <input type="checkbox"/> Grant Notice of Award <input type="checkbox"/> University approvals and proper certifications have been obtained. This may include, but is not limited to: <input type="checkbox"/> Human Ethics <input type="checkbox"/> Animal Care <input type="checkbox"/> Biosafety <input type="checkbox"/> Any equipment or Start Up Costs authorized by the sponsor <input type="checkbox"/> Completed Project Request Form identifying the request for New Project Pre-Approval (not required for Over-Expenditure or Over-Commitment or Expired Project Spending request) <input type="checkbox"/> Plan of Action to deal with the Over-Expenditure or Over-Commitment or in the event funding/extension is not fully executed.
<b>Stage Three: Approvals and Documentation</b>		
<input type="checkbox"/>	R/PH & DH/Dean	Obtain approval signature from appropriate Faculty Department Head, Dean, or delegate.
<input type="checkbox"/>	R/PH	Forward completed form to <a href="mailto:finance@ucalgary.ca">finance@ucalgary.ca</a>
<input type="checkbox"/>	RA	Review form and confirm authorization of Over-Expenditure or Over-Commitment request
<input type="checkbox"/>	RSO/CSM	Review form and confirm authorization of New Project Pre-Approval request (Research Projects only)
<input type="checkbox"/>	PM	Review form and confirm authorization of Expired Project Spending or New Project Pre-Approval request
<b>Stage Four: New Project Creation/Continuation of Project</b>		
<input type="checkbox"/>	PM & RSO/CSM	For New Project Pre-Approval requests (Research Projects only): <input type="checkbox"/> RSO/CSM submits Project Creation request with supporting documentation to PM <input type="checkbox"/> PM assigns Project and informs R/PH <input type="checkbox"/> Once executed contract is received, RSO/CSM submits to PM to update fully executed agreements in the system
<input type="checkbox"/>	PM, R/PH, & RSO/CSM	For Over-Expenditure or Over-Commitment or Expired Project Spending Approval requests: <input type="checkbox"/> R/PH submits form with supporting documentation to <a href="mailto:finance@ucalgary.ca">finance@ucalgary.ca</a> <input type="checkbox"/> PM updates interim Authorized end date in system <input type="checkbox"/> Once executed contract is received, RSO/CSM submits to PM to remove interim Authorized end date and updates data in the system



# Project Over-Expenditure and Over-Commitment, Expired Project Continuation of Spending and New Project Pre-Approval

## Approval Request Form

<input type="checkbox"/> Over-Expenditure or Over-Commitment Request*	<input type="checkbox"/> Expired Project Continuation of Spending Request*	<input type="checkbox"/> New Project Pre-Approval Request*
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Project Holder Name:			
Department:		Project Number:	
	(Not Required for New Project Pre-Approval Requests)		
Indicate Category:	<input type="checkbox"/>	Research Contract or Grant	
	<input type="checkbox"/>	Clinical Trials	
	<input type="checkbox"/>	Other – Please explain	
Sponsor:			
Project Title:			
Amount Requested \$			
Dates Required <small>(cannot be &gt; 1 year in length)</small>	Start Date:		End Date:
Reason for Request/Plan of Action: <small>If contract/grant for Over-Expenditure or Over-Commitment, Expired Project Spending, or Pre-Approval is cancelled/not executed/not approved, how will the ineligible expenses be funded?</small>			

**SIGNATURE SECTION (All signatures required):**

The signature of the Applicant (Project Holder) indicates that the above is correct and that the request is essential to the continuation of the project. It also confirms that they have read the **Project Accountability and Over-Expenditure Procedure** and agree to the **Financial Liability section in the policy** which states that Financial Liability is the responsibility of the following parties in this order:

- a) Project Holder,
- b) Faculty departmental projects and
- c) The Project Holder's faculty

Project Holder Name:			
Project Holder Signature:		Signed Date:	
Department Head Name:			
Department Head Signature:		Signed Date:	
Dean/AVP/VP/SrDir Name:			
Dean/AVP/VP/SrDir Signature:		Signed Date:	

**Ensure the following is attached to request:**

	Summary of why Over-Expenditure or Over-Commitment, continuation of spending on expired project, or New Project Pre-Approval has been requested
	Third Party Confirmation that the contract/grant agreement extension is being executed
	Confirmation of UCalgary approvals and up to date certifications are in place
	Project request form for New Project Pre-Approval requests

**THE FOLLOWING SECTION IS TO BE COMPLETED BY FINANCE OR RSO/CSM LEGAL (if applicable):**

Approved by Research Accounting: <small>(Over-Expenditure or Over-Commitment requests only)</small>		Approved Date:	
Approved by RSO/CSM Legal: <small>(New Project Pre-Approval requests for Research Projects only)</small>		Approved Date:	
Approved by Project Maintenance: <small>(Expired Project Spending and New Project Pre-Approval requests only)</small>		Approved Date:	
Entered by Project Maintenance:		Entered Date:	

**NOTES (if required):**

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