

**Harvard Pilgrim Health Care, Inc.  
Harvard Pilgrim Health Care Institute, LLC**  
*Office of Sponsored Programs*  
**Policy and Procedure**

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**TITLE:** Advance Account Requests

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**PURPOSE:**

To inform the research community of the policy and procedure of requesting advance accounts.

**PERSONS AFFECTED:**

This policy & procedure (P/P) applies to all Harvard Pilgrim Health Care, Inc. (HPHC) and Harvard Pilgrim Care Institute, LLC (HPHCI) (collectively, HPHC/I) personnel engaged in research, teaching or research administration activities in support of the charitable and educational mission of HPHC, Inc.

**POLICY:**

Harvard Pilgrim Health Care recognizes that on rare occasions it may be necessary to initiate sponsored program activities in advance of the receipt of the actual award document from the sponsor. In such cases, the PI and the PI's department assumes all risks and burdens in the event that the award is not forthcoming, or an impasse is reached in contractual negotiations precluding HPHC from agreeing to specific terms and conditions in the proposed agreement.

Examples of situations where the Office of Sponsored Programs (OSP) may approve special pre-award spending include: federal programs under PHS Expanded Authorities, or presentation of letters or other documentation from the sponsor indicating the intent to fund the activity. Sponsor documentation will need to be offered in support of the request to initiate spending.

**PROCEDURE:**

A PI may request that an Advance Account be set up for use prior to formal NGA/contract (either new or at renewal). The PI may request up to 3 months funding, just for salaries, fringe and IDC. If funding is requested for other costs a justification must accompany the form. Additional funding requires the completion of an additional form.

If the sponsor does not make an award, if the award is not accepted by HPHC, or if the terms of the award deem certain pre-expenditures to be unallowable, the PI and the PI's department are responsible for all advance and/or unallowable spending on that activity.

To open an advance account, please contact the assigned Grants Manager in OSP. OSP requires that a form be completed and signed by the Principal Investigator and department administrator.

**REVISION HISTORY:**

<b>Department:</b> OSP	<b>Title:</b> P&P Advance Account
<b>Effective Date:</b> 2/15/2019	<b>Owner:</b> Director, Office of Sponsored Programs
<b>Replaces P/P Dated:</b> February, 2016	
<b>Last Reviewed:</b> 3/13/2020	
<b>Related Documents:</b> Advance Account Request Form	
<b>References:</b>	