

Pre-Award At-Risk Request Form

For instructions on how to complete and submit this form refer to guidance starting on Page 2.

Principal Investigator Name	Unit Business Contact Name (RA/BOM)
Awards Management Team (AMT)	Reason for the Request (select all that apply): Payroll Hiring Complex Subaward Program Activities Travel Other:

At-Risk Type

1. Is there an existing Award (AWDXXXXXXXX) in ERA for this project (regardless of status)?

YES - Request a Post-Award At-Risk Request using the Award Change Request activity in ERA **NO** - Complete Pre-Award At-Risk Form Below

Pre-Award At-Risk
(Submitted via ERA Funding Proposal see instructions on [Page 2](#))

FP ID: _____
 Cost Center for ****New Grant Account**: _____ ** Cost Center that will be responsible for **NEW** GR account
 At-Risk Request Number: _____

Period of Performance

Anticipated Period to be Funded by Sponsor _____ to _____
 Period of Performance for At-Risk Account _____ to _____
(not to exceed 90 days)

Cost Guarantee *Select one of the Following:*

<p>KE Guarantee (Refer to Page 3 for Qualifications)</p>	<p>Unit Guarantee <i>*Signature must be provided for the Cost Center providing the Unit Guarantee. If award is not received, or does not align with period of performance above, then the department will provide full funding for any losses incurred. Subject to further consideration. Unit guarantee must also provide the following:</i></p> <p>Responsible Cost Center: _____ Cost Center Manager Signature: _____ Cost Center Manager Name: _____</p>
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- Budget Categories**
Total request cannot exceed 25% of anticipated annual budget
- Salaries (7110)
 - Wages (7120)
 - Fringe Benefits (7200)
 - Tuition Remission Only
 - Services (7310)
 - Subagreements <=\$25,000 (7314)
 - Subagreements >\$25,000 (7315)
 - Materials/Supplies (7320)
 - Non-Capital Equipment (7325)
 - Communications (7330)
 - Rentals/Licenses (7340)
 - Facility Rental/Lease (7310-01)
 - Miscellaneous (7390)
 - Participant Expenses (7400)
 - In-State Travel (7510)
 - Out-of-State Travel (7520)
 - Foreign Travel (7530)
 - Student Support (7700)
 - Capital Equipment (7810)

Fields below are calculated

Total Direct Costs

F&A Type	F&A Rate
Exclusions	F&A Base
F&A Costs	
TOTAL COSTS	

Justification for this At-Risk Request Documented Below

CERTIFICATION BY PRINCIPAL INVESTIGATOR
 This request is consistent with the scope and objectives of the project as approved by the sponsor and is necessary to ensure project performance.
Principal Investigator Signature and Date

Pre-Award At-Risk Request Form Instructions

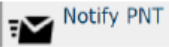
This form can only be used for Pre-Award At-Risk Requests and should not be used to request any other type of award actions or changes. If you need to request a Post-Award At-Risk and/or an award change, you will need to submit each request separately following the proper process for each. (See [WI-EP-130 Manage Change](#))

AT-RISK REQUEST PROCESS



- 1. Complete At-Risk Request Form.** Complete all the required fields, if request includes Unit Guarantee the Cost Center Manger will need to provide a digital or physical signature on the At-Risk request form. As a reminder, a complete form expedites processing. If any changes need to be made to the form once it is signed, the form will have to be rerouted for signature; therefore you may consider engaging your PNT GCO for review and comment **BEFORE** routing for signature.
- 2. Secure PI Authorization.** The PI can provide the approval for the request by providing a digital or physical signature on the At-Risk request form.
- 3. Verify Award Status.** Requests must include backup documentation showing the sponsor's intent to fund (use [At-Risk Documentation Matrix](#) below to determine appropriate support documentation for your request).
- 4. Submit Request in ERA.** Pre-Award at-risk requests will be submitted in ERA using the following process:

Pre-Award At-Risk

1. Log in to [ERA](#) with ASURITE and password.
2. Locate the Funding Proposal (FPXXXXXXX) for which you want to submit an at-risk request
3. From the Funding Proposal site, select the  action to open a new window.
4. Complete the fields as follows:
 - **Send Notifications To:** *GCO Reviewer (Proposals)*
 - **Indicate the required document review:** *Other*
 - **Enter review comments:** *Indicate this is a request for an at-risk and include any relevant information not captured in the required attachments.*
5. Attach the following as a single PDF file:
 - Complete At-Risk Request Form
 - Agreement Verification Documentation
6. Hit OK to submit.

At-Risk Request Processing Flow



At-Risk Request Documentation Matrix

Award Type	Award Status	Support Documentation
New Award	ASU has received a Notice of Award or Agreement that requires execution.	ERA Agreement Task ID or Copy of Draft Agreement
	ASU has not received a Notice of Award or Agreement	Written notification from Sponsor's Authorized Representative that includes the following: <ul style="list-style-type: none"> • Award start date and period of performance • Anticipated award amount • When do they expect to send the agreement? • Any nonstandard terms and conditions?

KE Cost Guarantee

Check the KE Guarantee box if the request meets the conditions specified in the Qualifications for KE Guarantee and, if applicable, the PI is current with the submission of project deliverables (i.e. progress reports).

Qualifications for KE Guarantee		
Funding mechanism is a Grant or Cooperative Agreement		
AND		
Sponsor is one of the following:		
Air Force Office of Scientific Research US Dept. of Education Army Research Office US Dept. of Homeland Security US Dept. of Interior US Dept. of Commerce	Space Telescope Science Institute Army Medical Research and Material Command US Dept. of Health and Human Services National Aeronautics and Space Administration National Oceanic and Atmospheric Admin DOD Office of Naval Research	National Science Fndtn US Dept of Energy National Insts of Health US Dept. of State US Dept. of Agriculture US Dept. of Justice
AND		
Unit provides all required documents: completed at-risk request form, PI approval and sponsor backup documentation of intent to fund		

Additional Information

At-Risk Request Limits

For First At-Risk Requests

At-risk requests for funds cannot exceed 25% of the expected annual budget (inclusive of F&A)

At-risk period of performance cannot exceed 90 days.

At-risk period of performance cannot extend beyond the anticipated project end date.

Second/Third At-Risks may have different limitations contact your PNT GCO for more information.

At-Risk Request Number

The at-risk request number refers to the number of consecutive approved at-risks requests within a single funding segment. The at-risk request number is based on a single funding segment and not the life of the award. Therefore, a multi-year award can potentially have a 1st At-Risk approved in each year of the project. For the purposes of this form the following definitions apply:

- First At-Risk: Request submitted for a Funding Award currently NOT in At-Risk status.
- Second At-Risk: First request to extend or increase an at-risk for a Funding Award currently in At-Risk status.
- Third At-Risk: Second request to extend or increase an at-risk for a Funding Award currently in At-Risk status. Assumes that second at-risk request was approved and processed.

Pre-Award At-Risk Process Best Practices

Items that will prevent approval

- Requests for KE Guarantee that do not have required sponsor documentation, as outlined on Page 3
- Period of Performance of the Project should include the full anticipated project period, and the At-Risk period should not exceed 90 calendar days
- All Department Reviews must be secured in ERA before a request may be approved and routed to AMT

Items that will facilitate a smooth award set up

- Before submitting At-Risk request, verify with the PI that no budget changes are anticipated or needed
- Verify that the current sponsor budget in ERA is the version of the budget approved by the sponsor
- Verify that Investigator Allocations are still correct. If updates are needed use the ASU Post Submission task to update allocations are re-route department approvals, as appropriate
- If the request is a unit guarantee, then there could be two Cost Centers listed on the form - Cost Center that should be used for the new GR account, and the Cost Center of the account being used as the guarantee
- Use a tool, such as the [U-CHEck Tool](#), to verify that all items on the proposal are ready for award set up before submitting an At-Risk request