

## AT RISK/PENDING ACCOUNT REQUEST

This form allows a department to request an "At Risk" or "Pending" account for sponsored activity where the legal agreement has not been finalized. The "At Risk" or "Pending" account functions in the same manner as a regular sponsored activity account, except that the account is periodically reviewed for validity until the agreement is finalized. Once the agreement is finalized, the status of the account is changed to "Active".

Click here for frequently asked questions: <https://www.uab.edu/financialaffairs/accounting/at-risk-pending-accounts>

PLEASE CHECK ONE (and include OSP Assigned # below):

**At Risk Account** (Used for non-competing segments or non-federal agreements awarded yearly.)

For At Risk accounts, proposal submission for the subsequent year's funding must be on file in OSP.

**Pending Account** (Used for competing segments, awards transferred in from other institutions, or new awards.)

For Pending accounts, please attach: (1) A document from the sponsor indicating the beginning and end dates of the award, (2) a copy of the Extramural Checklist that was submitted with the proposal, and (3) correspondence from OSP indicating that the proposal is being actively worked.

OSP Assigned #:

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### SECTION I:

Preceding PTA: \_\_\_\_\_ Protocol/Grant/Contract #: \_\_\_\_\_

Organization Name: \_\_\_\_\_ Organization #: \_\_\_\_\_

Principal Investigator: \_\_\_\_\_ PI School: \_\_\_\_\_

Award Manager: \_\_\_\_\_ Phone: \_\_\_\_\_

Project Title \_\_\_\_\_

Sponsoring Agency: \_\_\_\_\_ Federal Pass-Thru?  Yes  No

Initial Project Start Date: \_\_\_\_\_ Proposed Project Period: \_\_\_\_\_

Check the appropriate fund type:  Reimbursable  Fixed Price Indirect Cost Rate: \_\_\_\_\_

Check the appropriate application type:

New	Resubmission	Competing Continuation	Non-competing Continuation
Renewal	Supplement	Amendment/Modification	Transfer-In (from other institution)

Please indicate reason this account is needed: \_\_\_\_\_

Requested by: \_\_\_\_\_ Date: \_\_\_\_\_ Phone: \_\_\_\_\_

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**SECTION II:** In the event the pending application is not funded, the expenses that have been charged to the At Risk or Pending account will be charged to your voluntary cost share account.

PI Signature: \_\_\_\_\_ Dean or Dept. Chair Signature: \_\_\_\_\_

*(If PI is the Chair, Dean's signature is required.)*

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### SECTION III: Grants and Contracts Accounting

Approved At Risk/Pending Account Number: \_\_\_\_\_

Disapproved Comments: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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