

ORPA Prior Approval and Other Requirements Matrix

1) If agency is not listed, the award should be managed in accordance with the terms and conditions of the award and the Uniform Guidance

2) Prior approval requests should be sent to ORPA who will submit the request to the Federal Agency

3) **Any of the waivers noted on this chart may be over-ridden by a special term or condition of the award**

	DOD	DOE	ED	EPA	NASA	NIH	NSF	ONR
General Administrative Requirements								
Change in Scope	Prior approval required							
PI/PD disengagement from the project for more than three months, or a 25% or greater reduction in effort devoted to the project.	Prior approval required							
Need for additional funding	Prior approval required							
Change in key persons specified in the award or application*	Prior approval required							
New subawards not already approved in awarded budget	R	R	R	R	R	1	R	R
Issuing fixed amount subawards up to Simplified Acquisition Threshold (\$150K)	R	R	R	R	R	R	R	R
Pre-award costs (90 days)	W	R	W	W	W	W	W	W
Pre-award costs (more than 90 days)	Prior approval required							
Initial no-cost extension up to 12 months	R	W	2	3	W	W	W	R
Subsequent no-cost extension	Prior approval required							
Carry-forward of unexpended balances to subsequent budget periods	W	W	W	W	W	2	W	W
Cost related requirements								
Rebudgeting among other budget categories	4	4	5	4	4	W	W	R
Rebudgeting between direct and F&A costs	4	W	W	4	4	W	W	R
Rebudgeting of funds allotted to participant or trainee support costs to other categories of expense**	Prior approval required							
Direct charging of salaries of administrative or clerical staff	R	7	R	R	R	7	R	R
Purchase of equipment not in approved budget	6	R	R	R	R	8	W	R
Changes in the approved cost sharing	Prior approval required							
Foreign travel	4	4	4	R	4	W	W	R

R - Prior Approval Required

W - Prior Approval Waived

*NIH does not require prior approval for changes to other senior/key personnel named in the application.

**NIH requires prior approval for rebudgeting of trainee costs (stipends, tuition, and fees) to other categories.

1. Waived unless there is a change in scope or results in transfer of substantive programmatic work to a foreign component.
2. Waived except when an award indicates prior approval is required.
3. Waived unless the extension causes the project period to exceed 5 years.
4. Prior Approval may be required. Follow terms and conditions of the award.
5. Most budget transfers do not require prior approval. ED may restrict transfer of funds among direct cost categories or programs. Review the terms and conditions of the award.
6. Waived for equipment with a unit cost of \$25,000 or less.
7. Direct charging of these costs may be appropriate only if all of the following conditions are met: 1) Administrative or clerical services are integral to a project or activity; 2) Individuals involved can be specifically identified with the project or activity; 3) Such costs are explicitly included in the budget; and 4) The costs are not also recovered as indirect costs.
8. Waived unless there is a change in scope.