

Federal Prior Approval and Other Requirements Matrix

- 1) For use on UDC awards subject to the Uniform Guidance until new Research Terms and Conditions are available.
 - 2) If agency is not listed, the awards should be managed in accordance with the terms and conditions of the award and the Uniform Guidance.
 - 3) A post-award prior approval request should be routed through the Office of Sponsored Programs which will submit it to the Federal agency.
 - 4) All information is subject to change as agency implementations and policies are released.
- Any of the waivers noted in this chart may be overridden by a special term or condition of the award.

	Uniform Guidance Citation(s)	Uniform Guidance determination	EPA	NIH	NSF	ONR	Comments
General Requirements							
Change in Scope	200.308©(1)& 200.308(g)(1)	R	R	R	R	R	
Disengagement or Change of PI	200.308(c)(2) & 200.201(b)(5)	R	R	R	R	R	Disengagement of more than 3 months or 25% or greater reduction in level of committed effort
Change in key persons specified in the award	200.308(c)(2)	R	R	R	R	R	
Change in key persons specified in the application	200.308(c)(2)	R	R	R	R	R	
Need for Additional Funding	200.308(c)(8)& 200.308(g)(2)	R	R	R	R	R	
New subawards not already approved in awarded budget	200.308(c)(6)	R					Required per State of WI regulations
Transferring of scope of work	200.308(c)(6)	R	R	R	R	R	
Issuing fixed amount subawards up to Simplified Acquisition Threshold	200.308(c)(6)& 200.332	R	R	W	R	R	
Pre-award costs (90 days)	200.308(d)(1) 200.308(d)(4) & 200.458	W	W	W	W	W	
Pre-award costs (more than 90 days)	200.308(d)(1)	R	R	R	R	R	
Initial no-cost extension of up to 12 months (per competitive segment)	200.308(d)(2)& 200.308(d)(4)	W	W	W	W	R	
Subsequent no-cost extension or extension of more than 12 months	200.308(d)(2) & 200.77	R	R	R	R	R	
Carry-forward of unexpended balances to subsequent periods of performance	200.308(d)(3) & 200.308(d)(4)	W	W	W	W	W	
Cost-related Requirements							
Rebudgeting among budget categories	200.308(e)	May be required	UG	W	W	UG	Follow agency terms and conditions
Rebudgeting between direct and F&A costs	200.308(e)	May be required	UG	W	W	UG	Follow agency terms and conditions
Rebudgeting of funds allocated for training allowances (direct payment to trainees) and participant support costs to other categories of expense.	200.308(c)(5) & 200.456	R	R	R	R	R	
Special Purpose Equipment not in approved budget	200.4399(b)(2)	R	UG	W	UG	UG	
Direct charging of salaries of administrative or clerical staff	200.413(c)	R	UG	W***	R	UG	

Federal Prior Approval and Other Requirements Matrix (Continued)

	Uniform Guidance Citation(S)	Uniform Guidance determination	<u>EPA</u>	<u>NIH</u>	<u>NSF</u>	<u>ONR</u>	Comments
Cost-related Requirements (continued)							
Rearrangement and reconversion (Alteration & renovation) costs	200.462	R	UG	W***	W***	UG	
Foreign Travel		Silent	R	W	W	R	
Faculty Internal consulting compensation that exceeds base salary	200.430(h)	R**	R	W***	R	R	
Restrictions on costs not explicitly unallowable under Cost Principles	200.407						If unclear, contact the respective agency.

R – Prior approval required. “prior approval” means prior written approval from the sponsor. Prior approval can take the form of the sponsor’s acceptance of the proposal and/or proposal budget and subsequent incorporation into the award or written approval of a separate request submitted by the recipient.

W – Prior approval requirement waived.

UG – In the absence of specific guidance from the agency the Uniform Guidance applies.

** - Also see guidance in the UDC Effort Reporting Guidelines on institutional base salary http://docs.udc.edu/osp/pi_handbook.pdf

*** - Indicates that certain conditions must be met in order for the prior approval to be waived.