

Prior Approval Requests (HSC Sponsored Projects Office (SPO)/PreAward - General Guidelines)

The principal investigator (PI) is responsible to abide by the conditions of their sponsored award, and as such may occasionally find a need to deviate or modify the sponsor approved proposal. General guidance is provided below to assist PIs take the appropriate actions necessary when unanticipated changes are to be made to their projects. For grants, other than construction grants, PI/grantee institution must obtain written prior approval from the Grants Management Officer (GMO) of the sponsor's awarding office for such postaward changes as noted below. When prior approval is required by the sponsor, requests are to be made in writing and submitted to the SPO with sufficient time before the requested change is to take place. This would allow SPO ample time to submit the request to the sponsor's authorized official for decision. We highly discourage retroactive approvals.

For those rebudgeting actions listed below, prior approval is required whether increasing an existing budget category or using funds for categories not in the originally approved budget. Failure to obtain prior approval from the appropriate awarding office, when required, may result in the disallowance of costs.

1. Change in Scope, PI, Key Personnel, Grantee Institution, Successor in Interest, or Recipient Institution Name.
2. Restrictions on Notice of Grant Award. Undertaking any activities disapproved or restricted as a condition of the award.
3. Transferring Substantive Programmatic Work. Transferring to a third party, by contracting or any other means, the actual performance of substantive programmatic work.
4. Carryover of unobligated funds from one budget period to another when not under expanded authority.
5. Extension of the budget/project periods with or without additional funds. SPO/Preaward can turn in a one-year extension one time only for NIH grants. The NIH must approve any additional extensions.
6. Equipment Purchase. Equipment exceeding \$25,000 per unit for NIH grants.
7. Alterations and Renovations (A&R). NIH prior approval is required if a grantee wishes to rebudget more than 25 percent of the total approved budget for a budget period into A&R costs. NIH prior approval also is required for lesser rebudgeting into A&R costs if the rebudgeting would result in a change in scope. If rebudgeting results in an A&R project exceeding \$500,000, NIH always will consider the rebudgeting to be a change in scope.
8. Audiovisual materials. The cost of acquisition or production of audiovisual materials exceeding \$25,000 for a single audiovisual product. This is an internal programmatic clearance, which must be obtained by the PHS awarding office. However, in order to comply with this clearance requirement, information will be needed from recipients.

Timelines for these requests vary depending on sponsor. Standard NIH lead time for these requests include: PI/Key Personnel Change, Budget Modification, No-Cost Extension, etc. should be submitted to the Grants Management Specialists no later than 30 days of the proposed change.