

Federal Prior Approval and Other Requirements Matrix* -- Updated January 7, 2016

1) For use on Arkansas State University-Jonesboro awards subject to the Uniform Guidance until new Research Terms and Conditions are available.

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

3) For assistance with prior approval requests, please contact your SPA accountant.

4) All information is subject to change as agency implementations and policies are released.

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	Uniform Guidance Citation(s)	Uniform Guidance determination	NIFA	NIH	NSF	ONR	NASA	DOE (Energy)	DOC	Comments
General Requirements										
Change in Scope	200.308(c)(1) & 200.308(g)(1)	R	R	R	R	R	R	R	R	
Disengagement or Change of PI	200.308(c)(2) & 200.201(b)(5)	R	R	R	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	R	R	R	
Change in key persons specified in the application	200.308(c)(2)	R	R	W	R	R	R	R	R	
Need for Additional Funding	200.308(c)(8) & 200.308(g)(2)	R	UG	R	R	R	R	R	R	
New subawards not already approved in awarded budget	200.308(c)(6)	R	R	R	R	R	R	R	R	
Transferring of scope of work	200.308(c)(6)	R	UG	R	R	R	R	R	R	
Issuing fixed amount subawards up to Simplified Acquisition Threshold	200.308(c)(6) & 200.332	R	W***	W	R	R	R	R	R	
Pre-award costs (90 days)	200.308(d)(1), 200.308(d)(4), & 200.458	W	W	W	W	W	W	W	R	
Pre-award costs (more than 90 days)	200.308(d)(1)	R	R	R	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	UG	W	W	R	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	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	W	W	W	
Cost-related Requirements										
Rebudgeting among budget categories	200.308(e)	May be required	UG	W	W	UG	UG	UG	R	Follow agency terms & conditions
Rebudgeting between direct and F&A costs	200.308(e)	May be required	W	W	W	UG	UG	W	R	Follow agency terms & conditions
Rebudgeting of funds allotted for training allowances (direct payment to trainees) and participant support costs to other categories of expense.	200.308(c)(5) & 200.456	R	UG	R	R	R	R	R	R	
Special Purpose Equipment not in approved budget	200.439(b)(2)	R	UG	W	UG	UG	R	UG	R	
Direct charging of salaries of administrative or clerical staff	200.413(c)	R	UG	W***	R	UG	UG	UG	R	
Rearrangement and reconversion (Alteration & renovation) costs	200.462	R	UG	R	W***	UG	UG	UG	R	
Foreign Travel		Silent	UG	W	R	R	R	R	R	
Faculty internal consulting compensation that exceeds base salary	200.430(h)	R	UG	W***	R	R	R	R	R	
Restrictions on costs not explicitly unallowable under Cost Principles	200.407		If unclear, contact agency							

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

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

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Cost-related Requirements (cont.)										
Inclusion of unrecovered F&A costs as cost sharing	200.306(c)	R	UG	UG	R	UG	UG	W	R	
Changes to approved cost sharing or matching	200.308(c)(7)	R	R	UG	R	UG	UG	R	R	
Transfer of funds between construction and non-construction	200.308(g)(5)	May be required	UG	R	W***	UG	UG	UG	UG	
Use of program income earned during the project period	200.307(e)	W	UG	UG	W	UG	UG	UG	UG	
Use of program income earned after the project period	200.307(f)	No obligation to the Federal government								
Use of program income for cost sharing or matching	200.307(e)(3)	R	UG	UG	R	UG	UG	UG	R	
Property-related requirements										
Title to unused supplies with value of less than \$5,000 at the end of a project	200.314(a)	P	P	P	P	P	P	P	P	
Acquire real property	200.311	R	R	R	UG	UG	UG	UG	R	
Encumber real property acquired with federal funds	200.311	R	R	R	UG	UG	UG	R	R	
Disposition of real property	200.311	R	R	R	UG	UG	UG	R	R	
Encumber equipment acquired with federal funds	200.313	R	R	UG	UG	UG	UG	R	R	
Trade in equipment purchased with project funds to buy replacement	200.313(c)(4)	P	P	P	UG	UG	UG	UG	P	
Own equipment upon acquisition without conditions or without obligation to the sponsor at termination of project	200.313(a)	P	P***	P	P	P	P	P	P	
Funding agencies' rights in data	200.315	R	UG	R	R	R	R	R	R	
Procurement requirements	200.320	Implementation delayed until 7/1/2016; Current Arkansas State University-Jonesboro Purchasing Policies and Procedures apply until 7/1/2016								
Equipment threshold	200.33	\$5,000 or more, per Arkansas State University-Jonesboro & Federal policy								
Project Management Requirements										
Publication acknowledgment and disclaimers		Silent	R	R	R	R	R	R	R	Per agency terms & conditions
Additional requirements for use of human subjects beyond those imposed by federal law		Silent	TBD	TBD	TBD	TBD	TBD	TBD	TBD	Follow agency terms & conditions
Additional requirements for use of anatomical substances beyond those imposed by federal law		Silent	TBD	TBD	TBD	TBD	TBD	TBD	TBD	Follow agency terms & conditions
Use of sponsor budget forms for budget revisions		Silent	TBD	TBD	R	TBD	TBD	TBD	TBD	Follow agency instructions
Use of electronic records to meet record retention requirements	200.335	Permitted								

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P - Permitted.

TBD - To be determined.

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