

FPAC-BC-Grants and Agreements Division (GAD)- Prior Approval Matrix				* The Agency reserves the discretion to waive documents or require additional documents depending on the circumstances. ** The Agency reserves the discretion to determine what constitutes significant changes.		
Category	Specific Change Description	Reference	Prior Approval	Approval Format	Documents from Recipient *. Recipient must submit all requests to FPAC.BC.GAD@usda.gov	Required Documents from Agency (Agency Use Only)
Adding Funding	Addition or reduction of Federal or required Non-Federal funding.	200.308(c)(8)	Required	NOA	Written request including: SF424, SF424A/C, Budget Narrative, revised Statement of Work as applicable. Only include increase/decrease of funds on all documents.	GADSUM2 and Funds Precommitment
Key Personnel	Changes in key personnel.	200.201(b)(5) 200.308(c)(2)	Required	Letter from Agency	Written request identifying the replacement personnel and the qualifications of the replacement.	Signed prior approval letter provided by GAD
Participant support costs	Transfer of funds from the participant support cost category to other category(ies).	200.308(c)(5)	Required	Letter from Agency	Written request including: SF424A/C and Budget Narrative	Signed prior approval letter provided by GAD
Pre-award costs	Apply project costs incurred before the award's period of performance to the award (including match funds).	200.308(e)(1)	Required	Letter from Agency	Payment request indicating the period the costs were incurred.	Signed prior approval letter provided by GAD
Equipment and other capital expenditures	Capital expenditures for acquisition of or improvements to land, buildings, or equipment which materially increase their value or useful life or shifting funds into a capital cost category.	200.439(b)(1-3) 200.308(b)	Required	Letter from Agency	Written request including: description, cost, and purpose for each change	Signed prior approval letter provided by GAD
	Encumber equipment acquired with Federal funds (e.g., use equipment as collateral).	200.313(a)(2)	Required	Letter from Agency	Written request including: description, cost, and purpose for each change	Signed prior approval letter provided by GAD
Real Property	Encumber real property acquired with Federal funds (e.g., use land as collateral).	200.311(b)	Required	Letter from Agency	Written request including: Real Property Status Report (SF-429) and Attachment C, Disposition or Encumbrance Request (SF-429-C)	Signed prior approval letter provided by GAD
	Transfer of real property title to the Federal awarding agency or a third party.	200.311(c)(3)	Required	Letter from Agency	Real Property Status Report (SF-429) and Attachment C, Disposition or Encumbrance Request (SF-429-C)	Signed prior approval letter provided by GAD
Program Income	Use of program income during the period of performance (additive method).	200.307(e)(2)	Waived	Notify Agency	Written Notification identifying source amount and planned usage.	None
	Use of program income during the period of performance (deductive method or used as cost share).	200.307(e) (1 and 3)	Required	NOA	Written request including: SF424, SF424A/C and Budget Narrative	GADSUM2
Revision of budget and program plans (Statement of Work)	Change in the scope or the objective of the project or program.	200.308(c)(1)	Required	NOA	Written request including revised Statement of Work	GADSUM2
	Changes in the cost-sharing or matching provided (i.e., source or type) that do not change the overall amount.	200.308(c)(7)	Required	Letter from Agency	Request letter or email	Signed prior approval letter provided by GAD
	Voluntary increases in cost-sharing or matching.	n/a	Not Required	n/a	n/a	n/a
	Reduction of cost-sharing or matching.	200.308(c)(7)	Required	NOA	Written request, SF424A, Budget Narrative, Hardship Letter if applicable.	GADSUM2
	Decrease to indirect costs charged to the agreement.	200.308(f)	Waived	Notify Agency	Notification letter or email	None
	Disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project by the approved Project Director (PD) or PI.	200.308(c)(3)	Required	Letter from Agency	Written request identifying who will be in charge during the project director's absence and qualifications of the replacement	Signed prior approval letter provided by GAD
	Insignificant changes to responsibilities, milestones, or deliverables in the Statement of Work.**	200.308(c)(1)	Waived	Notify Agency	Notification letter or email	None
	Increase to indirect costs charged to the agreement that do not increase the overall budget.	200.308(f)	Required	Letter from Agency	Written request including: SF424A/C and Budget Narrative and NICRA if applicable	Signed prior approval letter provided by GAD
	Any fund or budget transfers between construction and non-construction work.	200.308(h)(5)	Required	Letter from Agency	Written request including: SF424A/C and Budget Narrative	Signed prior approval letter provided by GAD
	No-Cost Extension	200.308(e)(2)	Required	GADSUM3/5	Written request or GADSUM3/5	GADSUM3/5
	Significant changes to responsibilities, milestones, or deliverables in the Statement of Work. **	200.308(c)(1)	Required	NOA	Written request and revised SOW	GADSUM2
	Subawarding, transferring, or contracting out of any work under a Federal award. This includes: - New subaward or contract not in the approved budget. - Substitution of a subawardee. - Selection of a subawardee not named in the approved budget. - Changes to subaward cost or contract price that results in a cumulative change of more than 10% of total prime agreement budget. - Non-competitive contracts not in the approved budget.	200.308(c)(6)	Required	Letter from Agency	Written Request and Justification, SF424A/C (prime), Budget Narrative (prime and/or subawardee), revised Statement of Work, if applicable.	Signed prior approval letter provided by GAD
	Transfer of funds among direct cost categories or programs, functions, and activities for Federal awards in which the Federal share of the project exceeds the simplified acquisition threshold and the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget as last approved by the Federal awarding agency.	200.308(f)	Required	Letter from Agency	Written Request including: SF424A/C and Budget Narrative	Signed prior approval letter provided by GAD
Transfer of funds to a category of cost that requires prior approval in accordance with cost principles.	200.407	Required	Letter from Agency	Written request	Signed prior approval letter provided by GAD	