

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.

NOA - Indicates there will be a new award package required to be signed by both the recipient and the agency.

MAIN CATEGORY	SUB CATEGORY	SPECIFIC CHANGE DESCRIPTION	2 CFR 200 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)	NOTES
Budget	Adding Funds	Addition of Federal funds or required cost share	200.308(f)(7) 200.308(f)(8)	Required	NOA	Written request including: SF424; SF424A/C; Budget Narrative; proposed, revised Statement of Work as applicable. Only include the amount of the increase/decrease of funds on all documents.	• GADSUM2 • Funds Precommitment • Revised Statement of Work	
		Voluntary increase in cost share	N/A	Not Required	N/A	N/A	N/A	
	Decrease Funds	Decrease in the approved cost share amount	200.308(f)(7)	Required	NOA	Written request, SF424A, Budget Narrative, Hardship Letter if applicable, and as necessary a revised Statement of Work	• GADSUM2	
		Decrease in Federal funding during the period of performance (excludes a deobligation at closeout)	200.211	Required	NOA	Written request, SF424A, Budget Narrative and, as necessary, a revised Statement of Work	• GADSUM2	
	Indirect Costs	Inclusion of unrecovered indirect costs as cost share.	200.306(c)	Required	Letter from Agency	Written request including: SF424A/C and Budget Narrative and NICRA if applicable	• Signed prior approval letter provided by GAD	
		Increase to indirect costs charged to the agreement that do not increase the overall budget.	Appendices to 2 CFR 200	Required	Letter from Agency	Written request including: SF424A/C and Budget Narrative and NICRA if applicable	• Signed prior approval letter provided by GAD	
		Decrease to indirect costs charged to the agreement that do not decrease the overall budget.	Appendices to 2 CFR 200	Waived	Notify Agency	Notification letter or email	None	
	Participant support costs	Transfer of funds from the participant support costs to different direct cost category(ies) according to the cost categories on the SF424A.	200.308(f)(5)	Required	Letter from Agency or NOA	Written request including: SF424A/C and Budget Narrative	• Signed prior approval letter provided by GAD if the change is less than 10% of the total budget • GADSUM2 if the change exceeds 10%	• Letter from Agency: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of less than or equal to 10% of the total budget (Federal plus non-Federal). • NOA: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of more than 10% of the total budget (Federal plus non-Federal).
		Transfer of funds from the participant support costs within the same direct cost category according to the cost categories on the SF424A.	200.308(f)(5)	Waived	Notify Agency	Notification letter or email	None	
	Pre-award costs	Apply project costs incurred before the award's period of performance to the award (including costs to meet required match).	200.308(g)(1)	Required	Letter from Agency	Payment request indicating the period the costs were incurred.	• Signed prior approval letter provided by GAD	
	Transfer of Funds	Transfer of funds among direct cost categories or programs, functions, and activities when 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(i)	Required	NOA	Written Request including: SF424A/C and Budget Narrative	• GADSUM2	
		Any fund or budget transfers between construction and non-construction work.	200.308 (f)(9)	Required	Letter from Agency or NOA	Written request including: SF424A/C and Budget Narrative	• Signed prior approval letter provided by GAD if the change is less than 10% of the total budget • GADSUM2 if the change exceeds 10%	• Letter from Agency: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of less than or equal to 10% of the total budget (Federal plus non-Federal). • NOA: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of more than 10% of the total budget (Federal plus non-Federal).
	Cost Principles	The inclusion of costs that require prior approval in accordance with 2 CFR 200, Subpart E (Cost Principles)	200.308(f)(4) 200.407	Required	Letter from Agency or NOA	Written request	• Signed prior approval letter provided by GAD if the change is less than 10% of the total budget • GADSUM2 if the change exceeds 10%	• Letter from Agency: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of less than or equal to 10% of the total budget (Federal plus non-Federal). • NOA: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of more than 10% of the total budget (Federal plus non-Federal).
Revision to Program Plans	Change in Scope	Change in the scope or the objective of the project or program.	200.308(f)(1)	Required	NOA	Written request including a justification for the change and a revised Statement of Work	• GADSUM2	
	Statement of Work	Significant changes to responsibilities, milestones, or deliverables in the Statement of Work. **	200.308(f)(1)	Required	NOA	Written request and proposed, revised Statement of Work	• GADSUM2	
		Insignificant changes to responsibilities, milestones, or deliverables in the Statement of Work. **	200.308(f)(1)	Waived	Notify Agency	Notification letter or email	None	
No Cost Extension		No-Cost Extension	200.308(f)(10)	Required	GADSUM5 for EWP or NOA	GADSUM5 for EWP or written request, including amount of time requested, justification, and summary of progress to date and revised milestones	• GADSUM5 for EWP or • GADSUM2	
Program Income	Cost Share Method	Use of program income during the period of performance (cost share method).	200.307(b)	Required	NOA	Written request including: SF424, SF424A/C and Budget Narrative	• GADSUM2	
	Additive Method	Use of program income during the period of performance (additive method).	200.307(b)	Required	Letter from Agency	Written request including: SF424, SF424A/C and Budget Narrative	• Signed prior approval letter provided by GAD	
	Deductive Method	Use of program income during the period of performance (deductive method).	200.307(b)	Waived	Notify Agency	Written notification identifying source and quantification	None	
Changes to Subawards and Contracts	Subawardee	Subawarding out any work under a Federal award. This includes: - New subaward not in the approved budget. - Substitution of a subawardee. - Selection of a subawardee not named in the approved budget. - Changes to a subaward cost that results in a cumulative change of more than 10% of total prime agreement budget.	200.308(f)(6)	Required	Letter from Agency or NOA	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 if the change is less than 10% of the total budget • GADSUM2 if the change exceeds 10%	• Letter from Agency: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of less than or equal to 10% of the total budget (Federal plus non-Federal). • NOA: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of more than 10% of the total budget (Federal plus non-Federal).
	Contract	Contracting out out any work under a Federal award. This includes: - New contract not in the approved budget. - Substitution of a contractor. - Selection of a contractor not named in the approved budget. - Changes to a contract cost that results in a cumulative change of more than 10% of total prime agreement budget.	General Terms and Conditions	Required	Letter from Agency or NOA	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 if the change is less than 10% of the total budget • GADSUM2 if the change exceeds 10%	• Letter from Agency: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of less than or equal to 10% of the total budget (Federal plus non-Federal). • NOA: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of more than 10% of the total budget (Federal plus non-Federal).
Equipment and other capital expenditures	Capital Expenditures	Capital expenditures for equipment, buildings, or land which materially increase their value or useful life or shifting funds into a capital cost category.	200.439(b)(1-3)	Required	Letter from Agency or NOA	Written request including: description, cost, and purpose for each change	• Signed prior approval letter provided by GAD if the change is less than 10% of the total budget • GADSUM2 if the change exceeds 10%	• Letter from Agency: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of less than or equal to 10% of the total budget (Federal plus non-Federal). • NOA: There is a shift of funds among direct cost categories (e.g., personnel, travel, supplies) of more than 10% of the total budget (Federal plus non-Federal).
	Real Property Disposal	Dispose of or encumber real property acquired with Federal funds (e.g., sell, use land as collateral).	200.311(b) 200.311(d)	Required	Letter from Agency	Written request	• Signed prior approval letter provided by GAD	
	Equipment Disposition	Dispose of or encumber equipment acquired with Federal funds (e.g., sell, use equipment as collateral).	200.313(a)(2)	Required	Letter from Agency	Written request including: description, current fair market value, percentage of Federal funds used to purchase the equipment, and purpose for the action	• Signed prior approval letter provided by GAD	
	Changes	Changes in key personnel (including employees and contractors) identified by name or position in award documents.	200.308(f)(2)	Required	Letter from Agency	Written request identifying the replacement personnel and the qualifications of the replacement.	• Signed prior approval letter provided by GAD	

Key Personnel	Disengagement from Project	Disengagement from the project for more than three months, or a 25 percent reduction in time over the course of the period of performance by the approved project director or principal investigator.	200.308(f)(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	
	Final Payment	Final payment deadline extension (must be requested within 120 days of period of performance end date); not allowable for terminated agreements	200.344(c)	Required	Letter from Agency	Written request stating the justification for the extension	• Signed prior approval letter provided by GAD	
Payments	Working Capital	Use of Working Capital Advance Basis - NRCS EWP Recovery Buyout Only	200.305(b)(4)	Required	Letter from Agency	Written request	• Signed prior approval letter provided by GAD	
	Final Reports	Final Reports Due Date Extension (must be requested within 120 days of period of performance end date); not allowable for terminated agreements	200.328(d) 200.329(c)(1) 200.344(b)	Required	Letter from Agency	Written request stating the justification for the extension	• Signed prior approval letter provided by GAD	
Reporting								