

except as indicated (e.g., if provided as an expanded authority). The circumstances under which prior approval is required also are summarized in the exhibit. Supplementary policy or procedural information related to certain of these categories follows the exhibit. Recipients also should see Part IV of this HHS GPS for OPDIV-specific prior-approval requirements that apply to specific types of grants and types of recipients. Any questions about the need for prior approval for an activity or cost under a specific OPDIV award should be directed to the GMO.

*Exhibit 5. Summary of Actions Requiring OPDIV Prior Approval*

OPDIV prior approval is required for	Under the following circumstances
A&R	<p>Rebudgeting into A&amp;R costs in a single budget period that would exceed the lesser of \$150,000 (or amount specified by the OPDIV in Part IV of the HHS GPS) or 25 percent of the total approved budget (direct and indirect costs) for a budget period (also see "Allowable Costs and Activities").</p> <p>Any single A&amp;R project exceeding \$150,000 (or amount specified by the OPDIV in Part IV of the HHS GPS).</p> <p>Aggregate costs that would exceed the lesser of \$150,000 (or amount specified by the OPDIV in Part IV of the HHS GPS) or 25 percent of the total costs reasonably expected to be awarded by the awarding office for a project period (or competitive segment under programs that entertain competing continuation applications).</p>
Carryover of unobligated balances	If not provided as an expanded authority. Also see "Carryover of Unobligated Balances" below for potential OPDIV actions if provided as an expanded authority.
Change of grantee organization	All instances. Recipients must notify the awarding office of other changes in organizational status. See "Change of Grantee Organization" below.
Change in scope	All instances. See "Change in Scope" below for a discussion of the post-award changes that may indicate a change in scope: transfer of substantive programmatic work to a third party; significant rebudgeting; incurrence of research patient care costs; purchase of a unit of general- or special-purpose equipment exceeding \$25,000.
Changes in status of PI, PD, or other key personnel named in the NoA	<p>For PIs/PDs, replacement; absence for any continuous period of 3 months or more; reduction of time devoted to project by 25 percent or more from level in approved application.</p> <p>For other key personnel, substitution for named personnel.</p> <p>See "Change in Status, including Absence, of PI/PD and Other Key Personnel" below.</p>
Construction, land, or building acquisition	All instances when purchase proposed; any proposal to convey, transfer, assign, mortgage, lease, or in any other manner encumber real property acquired with OPDIV grant funds.
Cost principles prior-approval requirements	All instances unless provided as an expanded authority (not available for construction, land, or building acquisition or indemnification of third parties).
Deviation from award terms and conditions	All instances. Includes undertaking any activities disapproved or restricted as a condition of the award.

*Exhibit 5. Summary of Actions Requiring OPDIV Prior Approval*

OPDIV prior approval is required for	Under the following circumstances
Foreign component added to a grant to a domestic organization	All instances.
Indemnification of third parties	All instances.
Need for additional OPDIV funding	All instances whether or not additional time is needed, including extension of a final budget period of a project period with additional funds. See "Need for Additional OPDIV Funding" below.
No-cost extension	All instances unless authority to approve a one-time extension of up to 12 months without a change in scope is provided as an expanded authority. See "Need for Additional Time to Complete Project- or Program-Related Activities ('No-Cost Extension')" below.
Pre-award costs	All instances before the effective date of the initial budget period of a new or competing continuation award unless the authority to approve pre-award costs up to (and including) 90 days before the beginning date is provided as an expanded authority. In either case, the costs are incurred at the applicant's/recipient's own risk.
Research patient care costs	For States, local governments, and tribal governments, all instances. For institutions of higher education, non-profit organizations, and commercial organizations, any instance in which such costs were not part of the approved budget shown in the NoA or a recipient wants to rebudget out of the approved research patient care category.
Retention of research grant funds when career award made	All instances.
Transfer of amounts for training allowances (stipends, tuition, and fees) to other budget categories	All instances unless provided as an expanded authority to States, local governments, or tribal governments. (The training allowance does not include trainee travel, which HHS does not consider to be a trainee cost, and other training-related expenses.)
Transfer of funds between construction and nonconstruction work	All instances.
Transfer of substantive programmatic work	All instances if the recipient is a governmental entity or, for recipients subject to 45 CFR part 74, the grant is a construction grant; otherwise considered an indicator of change in scope. See "Transfer of Substantive Programmatic Work" below.