Prior Approval Justification Checklist

Domestic and Foreign Travel
1. Is travel listed or budgeted in award?
2. What is the purpose of the award?
3. How does the travel relate to purpose of the award?
4. Who (traveler), what (seminar, etc), where (location), when (dates – is the travel within the dates of the award) and why (purpose)?
5. Is this "Prior" approval? Has the travel already taken place?
6. Is agency approval needed?

No-Cost Extension (Prime):
1. Why is it needed (detail and technical justification)?
   - Was there a delay and why? (What was it?)
   - What remains to be completed? Describe in detail.
2. Is this a first NCE request?
3. What is the current ending date? Do we have a deadline to request extension? Is this a RUSH?
4. Is agency approval needed?
5. Are there any segments that must also be extended?

No-Cost Extension (Sub Fund/Subcontract)
1. What is the end date on the prime?
   - Sub accounts/subcontracts may not be extended past the prime
   - Watch end date, may not want the sub account/subcontract to have same end date as prime for reporting deadlines)
2. In what college is the prime?
3. Is this a subcontract or sub award?
   - If subcontract: Is a subcontract request/modification form attached/completed and approved by prime PI?
   - If sub award: Did prime PI approve request for NCE? (Exceptions: REUs, task orders and funds awarded internally and others - agency approval may be required with a technical justification.)

Change in PI/Key Personnel
1. Why the PI is leaving or being added?

NOTE: NSF will only allow up to 5 PI's listed on a project.
1. What effect will this change have on the scope of the project?
2. What is the effective date of the change? Agency approval will be required.

Carryover

1. Is carryover allowable by sponsor?
2. Is agency approval needed?
3. Was a close out sent and returned?
4. What is the amount to be carried over?

Change in Scope
1. Is a revised statement of work attached with budget?
2. Purpose for change in scope.
3. Will PI effort be affected?

Pre-Award Costs
1. What are the terms and conditions of the award?
2. Is agency approval needed?
3. What is the time frame for pre award costs (60, 90, etc.)?
4. What is the detailed justification (why, when, etc.)?
5. What type of cost? If grad students, need to include their names.

NOTE: Accounts are originally set up as preliminary fund by request. Once the official award document is awarded by SPA and assigned to Grants and Contracts Analyst in OGCA the C&G Analyst must review the award to ensure that no costs were incurred prior to the official start date on the award document. A preliminary fund is not the same as requesting pre-award costs. **Even If USA has expanded authority, you must obtain approval from OGCA to incur pre-award costs.**

Equipment Acquisition
1. Technical reason why is it needed (purpose)?
2. How does it relate to the original scope of the project?
3. What equipment is needed?
4. Is this equipment from a different vendor than originally proposed?
5. Is it 100% for the project?
6. Is 100% of the cost being paid from this account or spread among different sources?
7. Do we retain title to the equipment?
8. What is the project end date?
9. Will the equipment be purchased, delivered, and used prior to end date of the award? (Upload a quote for the amount.)
10. Is agency approval needed?

Re-Budget
1. What is the project term date? Note: OGCA does not process re-budgets after the term of an award.
2. Is agency approval needed?
3. Is it an allowable budget line (e.g., student aid, equipment, etc.)?

4. Will the scope of the project be changed?
5. Is a detail justification provided for **each** line item change (technical)?
6. Is object/account code correct? Use approved account code list for your College.
7. Are there enough funds in the budget line to be moved?
8. Is F&A being affected? Has it been calculated correctly?
9. Will the subcontract line be affected? See sub-award request/modification.

Sub Award Request/Modification

1. Is subcontract request form completed/signed with statement of work, and budget attached?
2. Is subcontractor named/budgeted in the award? If not named in award:
    a. Agency approval needed?
    b. Justification (why, purpose, expertise, etc.)?
    c. Is re-budget needed?
3. Is amount requested available in prime subcontract line? Amount must not exceed budgeted amount for that sub-recipient.
4. Is this a modification to subcontract? What is changing in the subcontract?
5. Is there a de-obligation or increase in funding to sub award?

NOTE: If extending, be aware of Prime end date. A sub-award/subcontract cannot extend past the Prime end date. Also, you may not want the sub to have the same end date as the prime for turn-around times on final reports.

De-obligation

1. What is the purpose of the de-obligation (justification)?
2. Amount of de obligation and why?
3. Will scope of project be changed?
4. Will PI effort decrease?
5. Will the project period change?