Grants Online Recipient Assistance for Award Action Requests

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Grants Online provides the ability for Recipients, or non-Federal entities, to submit various Award Action Requests or AARs. Each request is described below with a link to specific guidance for that kind of request. Recipients should refer to the Department’s terms and conditions, and if applicable, the sponsoring Federal Agency’s terms and conditions, of their award(s) for additional information. This guidance may not necessarily apply to construction grants.

General Guidance and Department of Commerce Business Rules

- The Department of Commerce requires that all Award Action Requests be approved by a Recipient Authorized Representative. Grants Online enforces this business rule by routing all requests through the Recipient Authorized Representative(s) for submission to the sponsoring Federal Agency.
- An award end date may only be extended through: (1) a funded amendment through an application (SF-424); (2) a No-Cost Extension - Prior Approval Waived (Research Terms and Conditions); or (3) a No-Cost Extension - Prior Approval Required.
- All Award Actions Requests must be submitted prior to the award end date. The following exceptions may not be requested after the closeout period has expired: (1) Extension to Closeout; (2) Submit Additional Closeout Documents; and (3) Property Reports/Disposition.
- Use of award funds (Federal or non-Federal) or the non-Federal entity’s provision of in-kind goods or services, for the purposes of transportation, travel, or any other expenses for any Federal employee may raise appropriation augmentation issues. DOC policy prohibits the acceptance of gifts, including travel payments for Federal employees, from non-Federal entities or applicants regardless of the source.
- Only certain kinds of organizations are eligible for research-only authorities. Grants Online enforces this business rule. If your organization is not an eligible type, the link to create the Prior Approval Waived AAR (Research Terms and Conditions) will be disabled. An award must support research in order to be eligible for research-only authorities; this is determined by the Program Office during application review. Please refer to the Research Terms and Conditions for additional information. The Research Prior Approvals Matrix identifies which prior approvals the U.S. Department of Commerce have waived or require (subject to the discretion of the Federal award agency or any applicable specific conditions of the award). Awards subject to the Research Terms and Conditions can have additional requirements that may result in prior-approvals required, including specific conditions under 2 C.F.R. 200.207.

Grants Online Processing Guidance

View the AAR Workflow Process Map

From the Grants Online Grantee Quick Reference Guide:

1. Click the Awards tab.
2. Click the Search Awards link. The Search Awards launch page is displayed.
3. Input the Award Number and click the Search button. When the search results are returned, click the Award Number for which you wish to submit an AAR.
4. On the Grants File launch page, select the Create Award Action Request from the Action dropdown menu. Click the Submit button.

5. The Award Action Request Index page, with the available AARs, is visible. Click the link that corresponds to the AAR you wish to create. The requested page is displayed and available for completion. Enter the required data elements and click the Save button.

6. The AAR page is re-displayed and provides an opportunity to include attachments and/or input additional data. When the required information is entered, click the Save and Start Workflow button. A message displays that asks you to confirm the intent to advance to the next step. If appropriate, click the Yes button.

7. The AAR task is initially sent to the Inbox of the user who created the request. Subsequently, a task associated with the AAR is routed to the remaining Recipient Authorized Representative(s) in the organization. If you are the AAR creator and the Recipient Authorized Representative, you can submit the request to the sponsoring Federal Agency.

List of Award Action Requests

The list below identifies the Award Action Requests that can be associated with an award. The list parallels the order of items on the Grants Online Award Action Request selection page. The items marked with an asterisk, if approved, result in an amendment to the award. Other requests generally result in a notification of approval. At the discretion of the Grants Office, any request may result in an amendment.

- ASAP Drawdown Request
- Change in Key Person Specified in the Application
- Change in Principal Investigator/Project Director
- *Change in Scope
- Disengagement for More Than 3 Months, or 25% Reduction by Project Director or PI
- Extension to Closeout
- Foreign Air Carrier for Travel
- Inclusion of Costs Requiring Prior Approval in Cost Principles
- *No Cost Extension - Prior Approval Required
- No Cost Extension - Prior Approval Waived (Research Terms and Conditions)
- Pre-Award Costs More than 90 Days
- Rebudget - Prior Approval Required
- Rebudget - Prior Approval Waived (Research Terms and Conditions)
- Satisfy Specific Conditions
- *Subaward, Transfer or Contract Out Work Under the Award if Not Described in the Approved Application
- Submit Additional Closeout Documents
- *Termination by Consent
- Transfer of Funds Budgeted for Participant Support Costs to Other Categories of Expense
- Other

*These Award Action Requests, if approved, result in an amendment to the award.
Award Action Requests Guidance

**ASAP Drawdown Request**

This Award Action Request is available only for awards under the ASAP Agency Review process. This Award Action Request is currently not used by NOAA because NOAA does not use the ASAP Agency Review process.

**Assistance and Business Rules Related to ASAP Drawdown Request:**

- This Award Action Request is available only for awards under the ASAP Agency Review process.
- This Award Action Request should not be submitted to the Federal Agency until **AFTER** a drawdown request has been entered into the Department of Treasury's ASAP system. When an award is under "Agency Review" the ASAP system does not notify the Federal Agency that a drawdown request has been made. This AAR will notify the Agency that a request has been made in ASAP and is ready for review.
- Approval of this Award Action Request will normally be accompanied by a release of the requested funds in ASAP.
- Non-NOAA Grant Recipients should contact their Grants Specialist if there is a question about the use of this Award Action Request.

**Change in Key Person Specified in the Application**

Per §200.308(c)(ii) revision of budget and program plans, Recipients must request prior approvals from Federal awarding agencies for the change in a key person specified in the application or the Federal award. If the Recipient has a change in principal investigator or project director, it should submit an Award Action Request for a Change in Principal Investigator/Project Director instead. Approvals will be made in Grants Online by the Grants Office.

**Assistance and Business Rules Related to Change in Key Person Specified in the Application:**

- Please discuss the request for a Change in Key Person Specified in the Application with your Federal Program Office prior to submission of the Award Action Request through Grants Online.
- All of the new key person fields must be completed. As an alternative to typing in the key person information, you can click the "Search Person" link which will display all of the personnel from your organization that have a Recipient User role. Clicking "Select" link for that person will fill out the information automatically on the Change in Key Person Specified in the Application screen.
- If your original application included a resume or Curriculum Vitae for the key person, or if the Federal Program Office requires it, you must submit the same for the proposed key person.
- Upon submission to the sponsoring Federal Agency by the Recipient, the Change in Key Person Specified in the Application request will automatically be routed to the correct Federal Agency personnel for review and approval.
- The approval of a Change in Key Person Specified in the Application request does not normally result in an amendment to the award. An amendment to the award may result from this request if the Federal Agency determines that it is appropriate to do so. The Recipient will be notified by Grants Online of the approval or rejection of the request.
- After approval of a Change in Key Person Specified in the Application request, the Recipient Administrator(s) will be notified and assigned a task to "Manage Recipient Users." They should complete this task by assigning the new key person to the award and removing the old assignment. Federal Agency personnel cannot perform this task. The assigned key person(s) will receive notifications of required
Performance Progress Reports and required Federal Financial Reports, so it is important that they be assigned to their awards.

- Changing key persons associated with an award in the Grants Online Manage Recipient Users or View/Manage Award-related Personnel features DOES NOT constitute notification or approval by the Federal Agency of the change.

- Adding key persons who are not specified on the application to the award through the Grants Online Manage Recipient Users or View/Manage Award-related Personnel features is not prohibited. If you desire to give personnel a view capability into specific awards, the Department of Commerce has no objection to you adding them as key persons at the discretion of your organization's Recipient Administrator in consultation with the Authorized Representative.

**Change in Principal Investigator/Project Director**

Per §200.308(c)(ii) revision of budget and program plans, Recipients must request prior approvals from Federal awarding agencies for the change in a key person specified in the application or the Federal award. If the Recipient has a change in key person other than a principal investigator or project director, it should submit an Award Action Request for a Change in Key Person instead. Approvals will be made in Grants Online by the Grants Office.

**Assistance and Business Rules Related to Change in Principal Investigator/Project Director:**

- Please discuss the request for a Change in Principal Investigator/Project Director with your Federal Program Office early in the planning stages. Selection of applications for award are made partly on the qualifications of the Principal Investigator/Project Director. The Federal Agency may wish to consider alternative remedies, e.g. transferring the award to the current Principal Investigators/Project Directors new organization.

- All of the new Principal Investigator/Project Director fields must be completed. As an alternative to typing in the PI information, you can click the "Search PI" link which will display all of the personnel from your organization that have the Recipient Investigator role. Clicking "Select" for that person will fill out the information automatically on the Change in Principal Investigator/Project Director screen.

- If your original application included a resume or Curriculum Vitae for the Principal Investigator/Project Director, or if the Federal Program Office requires it, you must submit the same for the proposed Principal Investigator/Project Director.

- Upon submission to the sponsoring Federal Agency by the Recipient, the Change in Principal Investigator/Project Director request will automatically be routed to the correct Federal Agency personnel for review and approval.

- The approval of a Change in Principal Investigator/Project Director request does not normally result in an amendment to the award. An amendment to the award may result from this request if the sponsoring Federal Agency determines that it is appropriate to do so. The Recipient will be notified by Grants Online of the approval or rejection of the request.

- After approval of a Change in Principal Investigator/Project Director request, the Recipient Administrator(s) will be notified and assigned a task to "Manage Recipient Users". They should complete this task by assigning the new Principal Investigator/Project Director to the award and removing the old assignment. Federal Agency personnel cannot perform this task. The assigned Recipient Investigator(s) will receive notifications of required Performance Progress Reports, so it is important that they be assigned to their awards.
• Changing the Principal Investigator/Project Director associated with an award in the Grants Online Manage Recipient Users or View/Manage Award-related Personnel features DOES NOT constitute notification or approval by the Federal Agency of the change.

• Adding Recipient Investigators (who are not Principal Investigator/Project Directors) to the award through the Grants Online Manage Recipient Users or View/Manage Award-related Personnel features is not prohibited. If you desire to give personnel a Recipient Investigator capability into specific awards, the sponsoring Federal Agency has no objection to you adding them as Recipient Investigators without going through permission procedures.

• **Note for MBDA Award Recipients:** The Change in Principal Investigator/Project Director request must be include a resume setting forth the qualifications of the proposed Project Director, along with an official college transcript as appropriate. Additionally, an original commitment letter from the proposed Project Director must be scanned and attached to the request in Grants Online.

### Change in Scope

Per §200.308(c)(i) revision of budget and program plans, Recipients must request prior approvals from Federal awarding agencies for the change in scope or the objective of the project or program. Approvals will be made in Grants Online by the Grants Office.

In general, the Recipient Principal Investigator/Project Director may make changes in the methodology, approach, or other aspects of the project objectives. However, the Recipient must obtain prior approval from the sponsoring Federal Agency for a change in the direction, type of research or training, or other areas that constitute a significant change from the aims, objectives, or purposes of the approved project. The grantee must make the initial determination of the significance of a change and should consult with their Program Office as necessary.

Actions likely to be considered a change in scope and, therefore, requiring Federal Agency prior approval include, but are not limited to, the following: (1) change in the specific goals and objectives approved at the time of award; (2) shift of the research emphasis; (3) change in the approved project areas or species; or (4) change in the amount of work from the approved project description (e.g. number of samples collected).

### Assistance and Business Rules Related to Change in Scope:

• The justification for the change in scope may either be entered in the text area or in an attached file.

• Any change in scope which results in a decrease in Federal and/or Recipient funding must be accompanied by an SF-424A (or SF-424C for construction awards) and a budget narrative describing the planned expenditure of the remaining funds. The request for a decrease in funding must be clearly and prominently stated.
  ○ Any request for a reduction in match for a competitively awarded grant or cooperative agreement will be denied by the Grants Office for the sponsoring Federal Agency.
  ○ Any request for a reduction in match for a grant or cooperative agreement which has a statutory match in place will be denied by the Grants Office for the sponsoring Federal Agency.

• If a Change in Scope request includes a request for a no cost extension, then you must also submit a No Cost Extension - Prior Approval Required Award Action Request.

• Upon submission to the sponsoring Federal Agency by the Recipient, the change in scope request will automatically be routed to the correct Federal Agency personnel for review and approval.
• An approved change in scope will always result in an amendment to the award. Upon approval by the Grants Office, the Recipient will be notified of the approved amendment and tasks will be generated for acceptance. The amendment must be accepted by the Recipient in order to take effect.

Disengagement for More than 3 Months, or 25% Reduction by Project Director/PI

Per §200.308(c)(iii) revision of budget and program plans, Recipients must request prior approvals from Federal awarding agencies for the approved project director or principal investigator’s disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project. Approvals will be made in Grants Online by the Grants Office.

Assistance and Business Rules Related to Disengagement for More Than 3 Months, or 25% Reduction by Project Director/PI:

• If attaching the justification, please just enter "See attachment" in the justification text area.
• Upon submission to the sponsoring Federal Agency by the Recipient, the Disengagement for More Than 3 Months, or 25% Reduction by Project Director/PI request will automatically be routed to the correct Federal Agency personnel for review and approval.
• The approval of a Disengagement for More Than 3 Months, or 25% Reduction by Project Director/PI request does not normally result in an amendment to the award. An amendment to the award may result from this request if the Federal Agency determines that it is appropriate to do so. The Recipient will be notified by Grants Online of the approval or rejection of the request.

Extension to Closeout

The extension to closeout is the only Award Action Request that may be initiated after the award end date. An extension to closeout may not be requested after the closeout period has expired. Recipients have 90 days after the project end date to submit all reports required by the terms and conditions of the award and to liquidate all obligations incurred. An extension to the closeout period should only be requested to complete the preparation of final reports and make final payments. Approvals will be made in Grants Online by the Grants Office.

An extension to the closeout period may be approved by the Grants Office if a request is submitted to the Grants Office before the expiration of the 90-day closeout period. Any closeout extension requests submitted to the Grants Office after the expiration of the award shall be denied. Requests for reconsideration of extreme circumstances that resulted in failure to request a closeout extension before it lapsed must be submitted in writing and will only be considered by the Grants Office on a case-by-case basis.

If the Final Financial Report (SF-425) and all other required reports are not provided by the expiration of the closeout period or approved extended closeout period, the Grants Office shall proceed with the enforcement remedies for non-compliance including, but not limited to, withholding payments and withholding further award actions as allowed under the applicable administrative rules.

Assistance and Business Rules Related to the Extension to Closeout:

• After the award project period has expired. The Recipient no longer has access to the Create Award Action Request link on the Grants File launch page. Instead, this is replaced by the link: Request Extension to Closeout. This link is available until the award closeout period has expired (see (a) and (b) above). Although Grants Online allows submission of requests for Extension to Closeout until the closeout period has expired, the Federal Agency may deny any requests made during this time based on (c) above.
The request for an extension to closeout must be submitted to the Federal Agency and approved by the Grants Office before the extension date will take effect.

An approved extension to closeout extends the date upon which Final Federal Financial Reports and Performance Progress Reports are due. It also extends the date during which the Recipient can draw down funds from the Department of Treasury ASAP payment system.

An approval of the extension to closeout does not normally result in an amendment to the award. The Recipient will be notified by Grants Online of the approval or rejection of the request.

Additional work on the award project is prohibited during the closeout period. If additional time is needed to complete the project, a no cost extension must be requested.

Foreign Air Carrier for Travel

The Recipient shall comply with the provisions of the Fly America Act (49 USC § 40118). The implementing regulations of the Fly America Act are found at 41 CFR §§ 301-10.131 through 301-10.143. The Fly America Act requires that Federal travelers and others performing U.S. Government-financed foreign air travel must use U.S. air carriers, to the extent that service by such carriers is available. Refer also to the Department of Commerce Financial Assistance Standard Terms and Conditions. Approvals will be made in Grants Online by the Grants Office.

Foreign air carriers may be used only in specific instances, such as when a U.S. air carrier is unavailable, or use of U.S. air carrier service will not accomplish the Agency's mission. Use of foreign air carriers may also be used if bilateral or multilateral agreements permit such travel pursuant to 49 USC § 40118(b). Information on current bilateral or multilateral agreements are found at http://www.gsa.gov/openskies. If a foreign air carrier is anticipated to be used for travel, the Recipient must receive prior approval from the Grants Office. When requesting such approval, the Recipient must provide a justification in accordance with guidance provided by 41 CFR § 301-10.142, which requires the Recipient to provide the Grants Office with the following: (a) traveler name(s); (b) dates of travel; (c) origin and destination of travel; (d) detailed itinerary of travel to include name of the air carrier and flight number for each leg of the trip; and (e) a statement explaining why the traveler(s) meet(s) one of the exceptions to the regulations. If the use of a foreign air carrier is pursuant to a bilateral agreement, the Recipient must provide the Grants Office with a copy of the agreement. The Grants Office shall make the final determination and notify the Recipient in writing. Failure to adhere to the provisions of the Fly America Act will result in the Recipient not being reimbursed for any transportation costs for which the Recipient improperly used a foreign air carrier.

Assistance and Business Rules Related to Foreign Air Carrier for Travel:

- If a foreign air carrier is anticipated to be used for travel, the Recipient must receive prior approval from the Grants Office. Provide sufficient justification with the Award Action Request.
- If the use of a foreign air carrier is pursuant to a bilateral agreement, the Recipient must provide the Grants Office with a copy of the agreement.
- Upon submission to the sponsoring Federal Agency by the Recipient, the foreign air carrier for travel request will automatically be routed to the correct Federal Agency personnel for review and approval.
- The approval of a foreign air carrier for travel request does not normally result in an amendment to the award. An amendment to the award may result from this request if the Federal Agency determines that it is appropriate to do so. The Recipient will be notified by Grants Online of the approval or rejection of the request.
Inclusion of Costs Requiring Prior Approval in Cost Principles

Per §200.308(c)(iv) revision of budget and program plans, Recipients must request prior approvals from Federal awarding agencies for the inclusion of costs that require prior approval in accordance with Subpart E. Approvals will be made in Grants Online by the Grants Office.

Assistant and Business Rules Related to Inclusion of Costs Requiring Prior Approval in Cost Principles:

- The cost amount and a justification are required.
- If attaching the justification, please just enter "See attachment" in the justification text area.
- Upon submission to the sponsoring Federal Agency by the Recipient, the inclusion of cost request will automatically be routed to the correct Federal Agency personnel for review and approval.
- The approval of an inclusion of cost request does not normally result in an amendment to the award. An amendment to the award may result from this request if the Federal Agency determines that it is appropriate to do so. The Recipient will be notified by Grants Online of the approval or rejection of the request.

No Cost Extension - Prior Approval Required

A No-Cost Extension - Prior Approval Required must be submitted to the sponsoring Federal Agency 30 or more days prior to the award end date. Grants Online does not enforce this business rule, but failure to meet this requirement is sufficient grounds for rejection of the request by the Federal Agency. No-cost extensions may not be exercised merely for the purpose of using unobligated funds. Approvals will be made in Grants Online by the Grants Office.

Assistant and Business Rules Related to the No Cost Extension - Prior Approval Required:

- The written request must clearly justify why the extension is needed and explain what activities are remaining to be accomplished under the award and what funds are still available to support the activity. Grants Online requires that the justification be completed, and Grants Online requires the attachment of a document containing a budget of remaining funds.
- The request to extend the award period shall be submitted in Grants Online to the Federal Program Office at least 30 days prior to the expiration of the award. Grants Online does not enforce this business rule, but failure to meet this requirement is sufficient grounds for rejection of the request by the sponsoring Federal Agency.
- Any extension request submitted to the sponsoring Federal Agency after the expiration of the award shall be denied. Grants Online enforces this business rule. You cannot submit any Award Action Request other than an Extension to Closeout or closeout documents (including property reports/disposition) after the award expiration date.
- Once submitted to the sponsoring Federal Agency through Grants Online by the Recipient, the no cost extension action will automatically be forwarded to the correct Federal Agency personnel for approval, and will then to forwarded to the Grants Office for approval.
- This action results in an amendment to the award. It is not considered to be completed until the Recipient has accepted the amendment. Tasks and notifications will be generated for the Recipient after the Grants Office approves the amendment.
No Cost Extension - Prior Approval Waived (Research Terms and Conditions)

All Recipients governed under the Research Terms and Conditions are granted authority to initiate a one-time no-cost extension to the award period of up to one year without prior approval from the sponsoring Federal Agency as long as the Grants Office is notified in writing at least 10 days prior to expiration of the award with an explanation of the reason for the extension and none of the following conditions apply: (1) there are other specific conditions that prohibit the extension; (2) the extension requires additional Federal funds; or (3) the extension involves any change in program objectives or scope of the project. This authority to extend the award period without prior approval may not be exercised merely for the purpose of using unobligated funds. Recipients must maintain compliance with all terms and conditions of the award, including submission of required reports, or this waiver for prior approval may be revoked.

A No-Cost Extension - Prior Approval Waived must be submitted to the sponsoring Federal Agency 10 or more days prior to the award end date. Grants Online automatically enforces this business rule. Recipients having a waiver for prior approval, per the Research Terms and Conditions, must exercise their No-Cost Extension - Prior Approval Waived (Research Terms and Conditions) before they request a No-Cost Extension - Prior Approval Required. Grants Online does not enforce this business rule. Enforcement is at the discretion of the Grants Office.

Assistance and Business Rules Related to the No Cost Extension - Prior Approval Waived (Research Terms and Conditions):

- The execution of the No Cost Extension - Prior Approval Waived (Research Terms and Conditions) by the Recipient is completely automatic in Grants Online. Once the notification is submitted to the Federal Agency by the Recipient, the award end date is immediately updated to reflect the new end date. The only human interaction on the Federal Agency side is a task for the Finance person to extend the funding availability end date in the Department of Treasury ASAP payment system. Notifications are sent to the Program Office and the Grants Office of the new award end date. This action does not normally result in an amendment to the award.

- Grants Online enforces the 10 day rule (see above). If you do not submit the No Cost Extension - Prior Approval Waived (Research Terms and Conditions) 10 or more days prior to the expiration of the award period, the system will prohibit you from doing so.

- Only one No Cost Extension - Prior Approval Waived (Research Terms and Conditions) can be submitted per award. Grants Online enforces this business rule. If a No Cost Extension - Prior Approval Waived (Research Terms and Conditions), exists, whether it has been submitted to the Federal Agency or not, the link to create another will be disabled.

- Recipients subject to specific conditions under 2 C.F.R. 200.207 limiting use of research-only authorities will not be able to implement an applicable action for Prior Approval Waived (Research Terms and Conditions). Grants Online enforces this business rule. If you are subject to such a limit, the link to create the No Cost Extension - Prior Approval Waived (Research Terms and Conditions) will be disabled.

- The Federal Agency requires that all No Cost Extension - Prior Approval Waived (Research Terms and Conditions) actions be for a one-year duration. Grants Online enforces this business rule.

- The Federal Agency requires that Recipients who have the capability of executing the No Cost Extension - Prior Approval Waived (Research Terms and Conditions) do so before requesting a No Cost Extension - Prior Approval Required. Requests for No Cost Extension - Prior Approval Required submitted prior to the No Cost Extension - Prior Approval Waived (Research Terms and Conditions) will be denied by the Grants Office. Grants Online does not enforce this business rule.
Per the Research Terms and Conditions - Prior Approval Matrix, prior approval is waived for the initial no-cost extension.

**Pre-Award Costs More Than 90 Days**

Per §200.308(d)(1) revision of budget and program plans, expenses more than 90 calendar days pre-award require prior approval of the Federal awarding agency. All costs incurred before the Federal awarding agency makes the Federal award are at the Recipient’s risk. The Federal awarding agency is under no obligation to reimburse such costs if for any reason the Recipient does not receive a Federal award or if the Federal award is less than anticipated and inadequate to cover such costs. Approvals will be made in Grants Online by the Grants Office.

**Assistance and Business Rules Related to Pre-Award Costs More Than 90 Days:**

- This Award Action Request would only be used if the Recipient received the award more than 90 days prior to the award start date and needed to incur pre-award costs during the period that was more than 90 days prior to the start of the award.
- Upon submission to the sponsoring Federal Agency by the Recipient, the pre-award cost request will automatically be routed to the correct Federal Agency personnel for review and approval.
- The approval of a pre-award cost request does not normally result in an amendment to the award. An amendment to the award may result from this request if the Federal Agency determines that it is appropriate to do so. The Recipient will be notified by Grants Online of the approval or rejection of the request.

**Rebudget - Prior Approval Required**

Creation of a new direct cost line item category within an approved budget for costs allowable under the applicable cost principles will not require prior approval from the Grants Office unless the new direct cost category exceeds 10% of the total Federal share over the life of the award. Transfers of funds among direct cost categories for awards in which the Federal share of the project is $150,000 or less will not require prior approval from the Grants Office. Approvals will be made in Grants Online by the Grants Office.

Requests for prior approval of any budget revisions that transfer funds among line item cost categories shall be submitted on the SF-424A (or other OMB approved budget form) showing the total approved budget for the award versus the requested revisions, along with a detailed budget narrative explaining the funds transferred. The revised budget request shall be submitted to the Federal Program Office who will in turn forward the request, along with a Program Office recommendation, to the Grants Office who will make the final determination in writing.

Requests to change and/or add program objectives or tasks that do not involve a transfer of funds between direct cost categories do not constitute a budget revision and therefore do not require submission of the SF-424A. Any programmatic changes shall be submitted directly to the Federal Program Officer who will in turn forward the request, along with a Program Officer recommendation, to the Grants Officer who will then make the final determination in writing via a CD-451, Amendment to Financial Assistance Award.

The Recipient is prohibited from expending award funds (Federal and/or non-Federal) or the Recipient’s provision of in-kind goods or services, for the purposes of providing transportation, travel, or any other expenses for any Federal employee unless specifically authorized in the award document.
Assistance and Business Rules Related to Rebudget:

- The Recipient must attach a new SF-424A describing the Rebudget, deviation from the approved budget, as well as a detailed budget narrative explaining the proposed funds transfer.
- Once submitted to the sponsoring Federal Agency through Grants Online by the Recipient, the Rebudget action will automatically be forwarded to the correct Federal Agency personnel for approval.
- The approval of a Rebudget request does not normally result in an amendment to the award. An amendment to the award may result from this request if the Federal Agency determines that it is appropriate to do so. The Recipient will be notified by Grants Online of the approval or rejection of the request.
- If a Rebudget request includes a request for a no cost extension, then you must also submit a no cost extension Award Action Request.

Rebudget - Prior Approval Waived (Research Terms and Conditions)

All Recipients governed under the Research Terms and Conditions are granted authority to transfer amounts budgeting for indirect costs to absorb increases in direct costs, or vice versa, without prior approval from the sponsoring Agency. Recipient’s should continue to submit budget revisions on the SF-424A (or other OMB approved budget form) showing the total approved budget versus the requested revisions, for the award along with a detailed budget narrative explaining the rebudget.

The Recipient is prohibited from expending award funds (Federal and/or non-Federal) or the Recipient’s provision of in-kind goods or services, for the purposes of providing transportation, travel, or any other expenses for any Federal employee unless specifically authorized in the award document. Prior approval is required for transfer of funds budgeted for participant support costs to other categories of expense, and for transfer of funds between construction and non-construction activities.

Assistance and Business Rules Related to Rebudgeting - Prior Approval Waived (Research Terms and Conditions):

- The execution of the Rebudget - Prior Approval Waived (Research Terms and Conditions) by the Recipient is completely automatic in Grants Online. Once the Award Action Request is submitted to the Federal Agency by the Recipient, notifications are sent to the Program Office and the Grants Office. This action does not require prior approval by the sponsoring Agency, and does not normally result in an amendment to the award.
- Recipient’s should attach a revised SF-424A describing the rebudget (showing the total approved budget versus the requested revisions), as well as a detailed budget narrative explaining the proposed funds transfer.
- Per the Research Terms and Conditions - Prior Approval Matrix, prior approval is waived for rebudgeting among direct cost categories, and is waived for transferring amounts budgeted for indirect costs to absorb increases in direct costs and vice versa. However, prior approval is required for transfer of funds budgeted for participant support costs to other categories of expense, and for transfer of funds between construction and non-construction activities.
- Recipients subject to specific conditions under 2 C.F.R. 200.207 limiting use of research-only authorities will not be able to implement an action for Prior Approval Waived (Research Terms and Conditions).
Satisfied Specific Conditions

Many awards contain specific conditions (also referred to as “Special Award Conditions”) that require evidence of completion. Examples might include special fishing permits, environmental assessments, property deeds, building permits, and more. Approvals will be made in Grants Online by the Grants Office.

Assistance and Business Rules Related to Satisfied Specific Conditions:

- The specific conditions are available in a drop-down list on the Award Action Request details page. Please choose the appropriate condition that is being satisfied.
  - After selecting the Specific Condition, the SAC Description text box will automatically be filled out with the Specific Condition details.
  - The due date field cannot be filled out. This is also filled out by information associated with the selected Specific Condition, if applicable.
  - Many older awards that were migrated into Grants Online from other Federal Agency databases will not have the individual specific conditions available. In this case, select the closest Specific Condition to that which you are satisfying and reference the relevant Specific Condition. If no specific conditions exist for the older award, please contact the Help Desk for assistance in getting the condition migrated for availability.
- Fill out the justification in the provided text area and attach associated files after you click the Save button.
- Upon submission to the sponsoring Federal Agency by the Recipient, the Satisfied Specific Conditions request will automatically be routed to the correct Federal Agency personnel for review and approval.
- The approval of a Satisfied Specific Conditions request does not normally result in an amendment to the award. An amendment to the award may result from this request if the Federal Agency determines that it is appropriate to do so. The Recipient will be notified by Grants Online of the approval or rejection of the request.

Subaward, Transfer or Contract Out Work Under the Award if Not Described in the Approved Application

Per §200.308(c)(1)(vi) revision of budget and program plans, Recipients must request prior approvals from Federal awarding agencies to subaward, transfer or contract out work under the award if not described in the approved application, including fixed amount subawards as described in §200.332 Fixed amount subawards, unless described in the application and funded in the approved Federal awards. This provision does not apply to the acquisition of supplies, material, equipment or general support services. Approvals will be made in Grants Online by the Grants Office.

Assistance and Business Rules Related to Subaward, transfer or contract out work under the award if not described in the approved application:

- You must choose the method of selection (competitive or noncompetitive), a description of the work, and a justification if the sub-award was chosen non-competitively.
- Upon submission to the sponsoring Federal Agency by the Recipient, the subaward/transfer/contract request will automatically be routed to the correct Federal Agency personnel for review and approval.
- This action results in an amendment to the award. It is not considered to be completed until the Recipient has accepted the amendment. Tasks and notifications will be generated for the Recipient after the Grants Office approves the amendment.
Submit Additional Closeout Documents

This Award Action Request is available for all awards under all Department of Commerce Bureaus using Grants Online; however, the terms and conditions of the award will determine if it is needed.

Assistance and Business Rules related to Submit Additional Closeout Documents:
- This Award Action Request will be available for use until the Final Reports Due date. An Extension to Closeout must be requested in order to extend the availability of this Award Action Request.
- Grant Recipients should contact their Grant Specialist if there is a question about the use of this Award Action Request.

Termination by Consent

Per §200.339, the Federal award may be terminated with the consent of the non-Federal entity, in which case the Federal awarding agency and the non-Federal entity must agree upon the termination conditions to include the effective date; or by the non-Federal entity upon sending to the Federal awarding agency or pass-through entity written notification setting forth the reasons for such termination and the effective date. Refer to §200.339 for additional information. Approvals will be made in Grants Online by the Grants Office.

Assistance and Business Rules Related to Termination by Consent:
- This Award Action Request may be used if the Recipient finishes the project tasks significantly prior to the award project period end date and completes or anticipates completion of the awards financial transactions within 90 days of the requested early termination date.
- Do not submit this Award Action Request if there is a change in scope for the award. In that case, discuss the change in scope with your Program Office and submit a Change in Scope Award Action Request.
- Upon submission to the sponsoring Federal Agency by the Recipient, the Termination by Consent request will automatically be routed to the correct Federal Agency personnel for review and approval.
- This action results in an amendment to the award. It is not considered to be completed until the Recipient has accepted the amendment. Tasks and notifications will be generated for the Recipient after the Grants Office approves the amendment.

Transfer of Funds Budgeted for Participant Support Costs to Other Categories of Expense

Per §200.308(c)(v) revision of budget and program plans, Recipients must request prior approvals from Federal awarding agencies for the transfer of funds budgeted for participant support costs as defined in §200.75 Participant support costs to other categories of expense. Approvals will be made in Grants Online by the Grants Office.

Assistance and Business Rules Related to Transfer of Funds Budgeted for Participant Support Costs to Other Categories of Expense:
- The transfer amount and a justification are required.
- If attaching the justification, please enter "See attachment" in the justification text area.
- Upon submission to the sponsoring Federal Agency by the Recipient, the Transfer Training Funds request will automatically be routed to the correct Federal Agency personnel for review and approval.
- The approval of an Transfer of Funds Budgeted for Participant Support Costs to Other Categories of Expense request does not normally result in an amendment to the award. An amendment to the award...
may result from this request if the Federal Agency determines that it is appropriate to do so. The Recipient will be notified by Grants Online of the approval or rejection of the request.

Other

This Award Action Request is available for requests that does not fit under any other category, including requests that require prior approval per §200.407 that are not separately identified in this guidance. Please work with your Federal Program Office to determine if you should submit the "Other" Award Action Request. In many cases, an email request and email approval by the Federal Program Office may be sufficient. The Federal Program Office can attach the correspondence to the Grants File as evidence of the transaction. Approvals will be made in Grants Online by the Grants Office.

Assistance and Business Rules Related to Other:

- Use this Award Action Request if you have a request that does not fit under any other category. Please work with your Federal Program Office to determine if you should submit the "Other" Award Action Request.

- The "Other" Award Action Request requires both a description and a justification. Please provide sufficient information in both text areas to allow the sponsoring Federal Agency personnel to make an appropriate decision.

- Upon submission to the sponsoring Federal Agency by the Recipient, the "Other" Award Action Request will automatically be routed to the correct Federal Agency personnel for review and approval.