

CDC Prior Approvals for Non-research Awards

Office of Financial Resources, Office of Grants Services

CDC anticipates that recipients may need to make post-award changes to their approved budgets, key personnel, or other items during the period of performance in order to accomplish programmatic objectives. U.S. Department of Health and Human Services (HHS) prior approval requirements are documented in [45 CFR Part 75.308](#). Additionally, the Notice of Award (NOA) will outline activities that require prior approval for each recipient.

CDC Notification

Prior approval requests for Non-research awards should be submitted via Grants Management Module (GMM) amendment process by the Authorized Organizational Representative (AOR), identified as the Administrative Official (ADO) role in GMM. ***If requests are submitted in GMM by the Principal Investigator/Project Director or Financial Official, recipients must include a request letter on official letterhead signed by the AOR.*** Prior approval requests submitted without official AOR system authorization, or AOR letter with signature, will be returned without processing.

If an AOR signed Prior Approval request letter is submitted, it should be on official letterhead and include the following:

- Date
- Recipient name and Notice of Award number
- Point of contact – name, phone number, and email address
- Authorized Organizational Representative (AOR) signature

Recipients can review “GrantsSolutions for Grantees” at <https://www.cdc.gov/grants/grantsolutions/index.html> for additional information on GMM.

Required Documentation

GMM requires mandatory information be completed for certain prior approval, or amendment, actions. Additionally, the GMO may require supporting documentation uploaded to GMM to make a final determination on the recipient request.

The most common prior approval actions, information required by GMM, and *typical* supporting documentation needed for GMO approval are detailed in this document for recipient reference. Recipients should contact the GMS/GMO of record on their most recent Notice of Award for specific questions concerning a prior approval request.

For timely GMO approval, CDC Office of Grants Services recommends submission of requests at least 120 days prior to the end of budget period and inclusion of any supporting documentation needed for analysis.



U.S. Department of Health
and Human Services
Centers for Disease
Control and Prevention

Prior Approval Amendment (Application)	GMM Application Kit Requirements	Supporting Documentation for GMO Review
Budget Revision	<ul style="list-style-type: none"> • Application Upload • SF-424 Application for Federal Assistance Version 2 • SF-424A Budget Information Non-Construction • Project Abstract Summary 	<ul style="list-style-type: none"> • Request details with AOR authorization • Budget Justification that includes CDC Budget Preparation Guidance information • Indirect Cost Rate Agreement (if applicable)
Carryover of Funds	<ul style="list-style-type: none"> • Application Upload • SF-424A Budget Information Non-Construction 	<ul style="list-style-type: none"> • Request details with AOR authorization • Budget Justification that includes CDC Budget Preparation Guidance information • FFR • Indirect Cost Rate Agreement (if applicable)
PI/PD Key Personnel	<ul style="list-style-type: none"> • Change Project Director 	<ul style="list-style-type: none"> • Request details with AOR authorization • Effective date, name, resume and contact information • <i>OPTIONAL</i> Budget Justification that includes CDC Budget Preparation Guidance information
No Cost Extension	<ul style="list-style-type: none"> • Application Upload • SF-424A Budget Information Non-Construction • Project Period Revision 	<ul style="list-style-type: none"> • Request details with AOR authorization • Timeline and expected activities • Budget Justification that includes CDC Budget Preparation Guidance information
Notification of Contractor or Consultant	<ul style="list-style-type: none"> • Application Upload 	<ul style="list-style-type: none"> • Request details with AOR authorization • Budget Justification that includes CDC Budget Preparation Guidance information
Organization Name Change	<ul style="list-style-type: none"> • Application Upload • SF-424 Application for Federal Assistance Version 2 • SF-424A Budget Information Non-Construction • SF-424B Assurances Non-Construction 	<ul style="list-style-type: none"> • Request details with AOR authorization and list of all CDC grants • An authenticated copy of the instrument which effects the name change • Documentation from recipient's legal counsel indicating name change was effected in accordance with laws • A new SF424 for each CDC grant (showing new name and PI/PD)



Change in Key Personnel	<ul style="list-style-type: none"> • Application Upload 	<ul style="list-style-type: none"> • Request details with AOR authorization • New key personnel resume and contact information • <i>OPTIONAL</i> Budget Justification that includes CDC Budget Preparation Guidance information
Release of Restrictions on NOA	<ul style="list-style-type: none"> • Application Upload 	<ul style="list-style-type: none"> • Request details with AOR authorization • Any supporting documentation requested in Notice of Award
Summary Statement or Technical Review Response	<ul style="list-style-type: none"> • Application Upload 	<ul style="list-style-type: none"> • Request details with AOR authorization • Any supporting documentation requested in Notice of Award
Successor of Interest (or Transfer)¹	<ul style="list-style-type: none"> • Application Upload • SF-424 Application for Federal Assistance Version 2 • SF-424A Budget Information Non-Construction • SF-424B Assurances Non-Construction • Project Abstract Summary 	<ul style="list-style-type: none"> • Request details and application from <i>new</i> organization with AOR authorization • Budget Justification that includes CDC Budget Preparation Guidance information • Relinquishing Statement from current recipient • Final FFR from current recipient
Terms and Conditions (Response)	<ul style="list-style-type: none"> • Application Upload 	<ul style="list-style-type: none"> • Request details with AOR authorization • Any supporting documentation requested in Notice of Award • <i>OPTIONAL</i> Budget Justification that includes CDC Budget Preparation Guidance information

¹ Recipients should contact the GMS/GMO of record to discuss requirements for initiating any transfer of award.