

# CDC Prior Approvals for 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 Research awards should be submitted [via eRA Commons](#) amendment process by the Authorized Organizational Representative (AOR), designated as a [Signatory Official \(SO\) role](#) in eRA Commons. ***If requests are submitted in eRA Commons by the Principal Investigator/Project Director, or any SO designee other than the official AOR, recipients must upload a request letter on official letterhead signed by the AOR.*** Prior approval requests submitted without AOR system authorization, or AOR letter with signature, will be returned without processing.

***If*** an AOR signed Prior Approval request letter must be 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 locate more information on eRA Commons at <https://era.nih.gov/eracommons-timeline.html> .

## Required Information

eRA Commons requires mandatory information be completed for certain prior approval, or amendment, actions. Additionally, the GMO may require supporting documentation or information be uploaded in eRA Commons to make a final determination.

The most common prior approval actions, eRA Commons system information, and *typical* supporting documentation 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 Approvals	eRA Commons System Requirements	Supporting Documentation for GMO Review
<b>Budget Revision</b>	<ul style="list-style-type: none"> <li>· SF424 RR Cover</li> <li>· Senior/Key Person Profile</li> <li>· PHS 398 Research Plan</li> <li>· Cover Page Supplement</li> </ul>	<ul style="list-style-type: none"> <li>• Request details with AOR authorization</li> <li>• Budget Justification that includes <a href="#">CDC Budget Preparation Guidance</a> information</li> <li>• Indirect Cost Rate Agreement (if applicable)</li> </ul>
<b>Carryover Request</b>	<ul style="list-style-type: none"> <li>· SF424 RR Cover</li> <li>· Senior/Key Person Profile</li> <li>· PHS 398 Research Plan</li> <li>· Cover Page Supplement</li> </ul>	<ul style="list-style-type: none"> <li>• Request details with AOR authorization</li> <li>• Budget Justification that includes <a href="#">CDC Budget Preparation Guidance</a> information</li> <li>• FFR</li> <li>• Indirect Cost Rate Agreement (if applicable)</li> </ul>
<b>No-Cost Extension</b>	<ul style="list-style-type: none"> <li>· SF424 RR Cover</li> <li>· Senior/Key Person Profile</li> <li>· PHS 398 Research Plan</li> <li>· Cover Page Supplement</li> </ul>	<ul style="list-style-type: none"> <li>• Request details with AOR authorization</li> <li>• Timeline and expected activities</li> <li>• Budget Justification that includes <a href="#">CDC Budget Preparation Guidance</a> information</li> </ul>
<b>PD/PI or Key Personnel</b>	<ul style="list-style-type: none"> <li>· SF424 RR Cover</li> <li>· Senior/Key Person Profile</li> <li>· PHS 398 Research Plan</li> <li>· Cover Page Supplement</li> </ul>	<ul style="list-style-type: none"> <li>• Request details with AOR authorization</li> <li>• New PD/PI effective date, resume, and contact information</li> <li>• <i>OPTIONAL</i> Budget Justification that includes <a href="#">CDC Budget Preparation Guidance</a> information</li> </ul>
<b>Remove restrictions</b>	<ul style="list-style-type: none"> <li>· SF424 RR Cover</li> <li>· Senior/Key Person Profile</li> <li>· PHS 398 Research Plan</li> <li>· Cover Page Supplement</li> </ul>	<ul style="list-style-type: none"> <li>• Request details with AOR authorization</li> <li>• Any supporting documentation requested in Notice of Award</li> </ul>
<b>Successor-In-Interest, or Transfer</b> <i>(Contact GMS/GMO for requirements for this action)</i>	<ul style="list-style-type: none"> <li>· SF424 RR Cover</li> <li>· Senior/Key Person Profile</li> <li>· PHS 398 Research Plan</li> <li>· Cover Page Supplement</li> </ul>	<ul style="list-style-type: none"> <li>• Request details and application from <i>new</i> organization with AOR authorization</li> <li>• Budget Justification that includes <a href="#">CDC Budget Preparation Guidance</a> information</li> <li>• Relinquishing Statement from current recipient</li> <li>• Final FFR from current recipient</li> </ul>
<b>Terms and Conditions (Response)</b>	<ul style="list-style-type: none"> <li>· SF424 RR Cover</li> <li>· Senior/Key Person Profile</li> <li>· PHS 398 Research Plan</li> <li>· Cover Page Supplement</li> </ul>	<ul style="list-style-type: none"> <li>• Request details with AOR authorization</li> <li>• Any supporting documentation requested in Notice of Award</li> <li>• <i>OPTIONAL</i> Budget Justification that includes <a href="#">CDC Budget Preparation Guidance</a> information</li> </ul>