

Mastering Research Administration

A Complete Guide to the
CRA[®], CPRA[®], and CFRA[®] Exams

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Disclaimer:

- These multiple-choice questions and the accompanying text were originally developed in 2022 and were reviewed and updated in August 2025. Grant policies, rules, and regulations may change over time. Please consult official sources for the most current information.
- While it is generally considered best practice to avoid negative phrasing and answer choices such as “all of the above” or “none of the above” in standardized multiple-choice questions, these materials were created for training purposes. In some instances, we have intentionally used such formats.

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CHAPTER 2

Prior Approval Requirements for Federal Grants

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2.1. Overview

Notices of grant awards stipulate certain terms and conditions, such as who will assume the role of principal investigator or when the project period ends. They also approve a certain budget. Changes to terms and conditions or to budget allocation often requires receiving prior approval from the funding agency. However, given the uncertain nature of research projects, grantors often allow grantees to make certain modifications to terms or to budget, without receiving prior approval.

In this Chapter, we discuss when requesting prior approval is needed.

2.2. Federal Demonstration Partnership (FDP)

The Federal Demonstration Partnership (FDP) – a cooperative initiative among federal agencies, research universities, and research organizations – led to substantial reduction in the administrative burdens associated with federally sponsored research, including allowing for more changes to grant terms and conditions without requesting prior approval. For example, for the first no-cost extension of the original project period, grant recipients can simply notify the federal funding agency; no prior approval is needed.

While the Federal Demonstration Partnership (FDP) has reduced some requirements, several key modifications still require explicit agency consent in order to maintain compliance.

2.3. When Is Prior Approval Required?

Some salient changes that require prior approval are listed below.

2.3.1. Changes to Key Personnel

- **Change of PI/PD:** always requires prior approval.
- **PI or Key Personnel Effort Reduction:**
 - $\geq 25\%$ reduction requires prior approval.

- < 25% reduction does *not* require approval but must be documented internally.

- **PI Absence:** absence \geq 3 months or \geq 25% effort reduction requires approval.

2.3.2. Change of Scope, including:

- Adding, reducing, or substantially changing specific aims.
- Adding or changing vertebrate animals or human subjects.
- Changing the type of vertebrate animals.
- Applying new or unapproved technology.
- Purchasing major equipment (\geq \$5,000) not originally budgeted.

2.3.3. Award Transfers

- Transfer of a grant to another institution requires prior approval.
 - The original institution must submit a relinquishing statement and final reports.

2.3.4. Major Budget Changes

- **Substantial Reallocation:**
 - NIH: \geq 25% of total budget.
 - Other agencies may require prior approval for reallocations \geq 10%.
- **Adding New Subawards:** Requires prior approval, especially for fixed-price contracts.
- **Carry-over of Funds:** If not permitted by the Notice of Award (NoA), requires prior approval.
- **No-Cost Extensions:** Second or third extensions require prior approval. The first no-cost extension can be approved internally, with only a notification to the agency.
- **Transferring Funds Out of Participant Support Costs:** Requires prior approval.
- **Reduction of Cost Sharing:** Requires prior approval, if cost share is mandatory.

2.4. Changes That Usually Do Not Require Prior Approval

Aside from the list stated above – when there is no change in scope, no major budget changes, and no otherwise clearly stipulated requirements in the notice of award – changes often do not require prior approval.

For example, the following changes often do not require prior approval:

- Minor budget changes, such as a 10% increase in travel funds or 20% increase in supplies.
- PI or key personnel effort reductions by 8%.
- PI absence for two weeks.

2.5. Research Terms and Conditions (RTC) Overlay

Some federal agencies (e.g., NIH) participate in creating a document, called the Research Terms and Conditions or RTC Overlay that “sits on top of,” but does not contradict, [§2 CFR 200](#). The overlay works as a companion that interprets what [§2 CFR 200](#) means for that funding agency. For example, it may state what level of budget change will require prior approval (e.g., 10% or 20%).

Many agencies also have waived prior approval for requirements that [§2 CFR 200](#) have left to the agencies. For example, some agencies have waived requesting prior approval for reducing facilities and administrative (F&A) costs as way for cost sharing (matching), or have provided waiver(s) for prior approval of using the additive method for program income.

Please see **Appendix I** to this chapter for more information about RTC Overlay. **Note that, as of October 1, 2024, NSF does not participate in RTC Overlay any longer.*

2.6. Prior Approval Reference Table for Federal Awards

Change Type	§200 CFR
Change in scope of work, even if there is no associated budget revision.	§2 CFR 200.308
Change in key personnel (including PI/PD)	§2 CFR 200.308
Substantial effort reduction key personnel ($\geq 25\%$ effort reduction or absence ≥ 3 months)	§2 CFR 200.308
Changes to cost sharing	§2 CFR 200.306 and §2 CFR 200.308
Taking funds out the participants support costs	§2 CFR 200.308
Requesting additional funds to complete the project	§2 CFR 200.308
Transferring funds between construction and non-construction	§2 CFR 200.308
Transferring the grant to another institution	Requires approval
Carry-over of funds across budget periods	Unless allowed by the agency or the notice of award. See the footnote.1
Adding subaward recipients (not always; see the notes)	Only if required by the NoA, or required by the passthrough agency (§2 CFR 200.308)

1. Typically, agencies state what level change may be triggering a concern for change in scope. This is usually between 10% and 25%. Please see **Appendix I** - RTC Overlay.
2. NIH, for example, typically allows for R01 grants to have automatic carry-over. But for P50 grants, often prior approval is needed for carry-over.

2.7. Practice Questions

1. Which of the following typically requires prior approval from the funding federal agency?
 - a. The second no-cost extension of a project
 - b. Moving 5% of funds between budget lines
 - c. Decision to not purchase a previously budgeted equipment
 - d. Reducing travel costs
2. Which of the following typically requires prior approval from the federal funding agency?
 - a. The first no-cost extension
 - b. Change of PI
 - c. Increasing travel costs by 20%
 - d. Purchasing a computer for \$2,400 without any price quotations
3. Which of the following requires prior approval on a \$1,000,000 NIH award? Assume no change in scope.
 - a. A change of PI effort from 20% to 10%
 - b. Increasing travel costs from \$10,000 to \$14,000
 - c. Purchasing a piece of equipment for \$20,000, not previously written into the grant
 - d. Increasing the technician effort from 20% to 40%
4. Which of the following requires receiving prior approval from the NIH?
 - a. Changing the PI effort from 50% to 40%
 - b. Paying \$24,000 for a piece of equipment budgeted for \$20,000
 - c. Buying a piece of equipment for \$8,000 without price quotations
 - d. Removing an objective from the research study
5. Which of the following is NOT correct about change of grantee institution?
 - a. Requires prior approval.
 - b. The original institution needs to submit a relinquishing statement.
 - c. The original institution needs to submit a final FFR and final invention statement.

- d. This approval of this transfer is contingent only upon the agreement of the original institution and the new institution, but not the federal agency.
6. Which of the following does NOT require prior approval from the NIH?
- a. Change of PI
 - b. Transferring the project to a new university
 - c. Change of scope of the study
 - d. Changing the PI effort from 50% to 60%
7. All of the following typically require prior approval from federal funding agencies, EXCEPT:
- a. Extended absence (3 months or more) of the PI
 - b. Changing supplies costs by 20%
 - c. Reduction of cost sharing by 10%
 - d. Moving funds from participant support costs to other categories
8. Rebudgeting of which of the following budget lines typically requires prior approval from the federal funding agency?
- a. Participant support costs
 - b. Supplies
 - c. Travel
 - d. Contractual salaries
9. All of the following are considered “change of scope” and hence need prior approval from the NIH, EXCEPT:
- a. Changing the focus of study from one disease to another
 - b. Changing the technician working with study animals
 - c. Adding a specific aim to the project
 - d. Changing the type of animals used for the experiment
10. All of the following require prior approval from the NIH, EXCEPT:
- a. Replacing key personnel
 - b. Significant (>25%) effort change of key personnel, while the PI remains the same

- c. Rebudgeting 40% of supplies line, where the supplies is 20% of the total budget
 - d. Incurrence of patient care costs if not previously approved by NIH
11. Which of the following NIH grant codes typically has automatic carry-over of funds?
- a. R03
 - b. U54
 - c. P30
 - d. P50
12. Written requests for prior approval typically need to be submitted _____ prior to the date of required approval.
- a. 7
 - b. 15
 - c. 30
 - d. 45
13. If the federal government cannot determine a response to a prior approval request in 30 days:
- a. The request is automatically rejected.
 - b. The request is automatically approved.
 - c. The federal government needs to send a notice to the recipient, notifying that more time is needed for review.
 - d. The recipient has the responsibility to follow up with the federal government.
14. Which one needs prior approval, per Uniform Guidance, Section §200.308?
- a. A reduction in PI effort of 25% or more
 - b. An increase in PI effort of 25% or more
 - c. A leave of 15 days by the PI
 - d. A leave of 2 months by the PI
15. Per Uniform Guidance, Section §200.308, the Federal awarding agency may, at its option, restrict the transfer of funds among direct cost categories in which the Federal share of the project exceeds _____ and the cumulative amount of

such transfers exceeds _____ of the total budget approved by the Federal awarding agency.

- a. \$1M, 10%
- b. \$1M, 25%
- c. The simplified acquisition threshold, 10%
- d. The simplified acquisition threshold, 25%

16. Per Uniform Guidance, which of the following costs requires prior approval from the funding agency for cost sharing? Assume that these items are allowable under the funding opportunity announcement (FOA).

- a. Salaries funded by the university
- b. Wages of doctoral students paid by the university
- c. Supplies paid by the university
- d. Unrecovered F&A

17. Per RTC Overlay, which of the following agencies has waived prior approval for the use of unrecovered F&A for cost sharing?

- a. National Institutes of Health (NIH)
- b. Department of Energy (DoE)
- c. Department of Commerce (DoC)
- d. All of the above

18. Which of the following agencies have waived the use of the additive method for program income during the period of performance?

- a. NIH
- b. NSF
- c. DoE
- d. All of the above

19. Which of the following almost always requires prior approval from the funding agency? Transfer of funds between:

- a. Direct and indirect costs, to absorb deficiencies in one
- b. Construction and non-construction work
- c. Equipment and supplies

- d. Contractual salaries and supplies

20. Which of the following was most instrumental in reducing the prior approval requirements?

- a. FDP
- b. SRAI
- c. NCURA
- d. University of Chicago

2.8. Answers to Practice Questions

1. A The first no-cost extension does not require prior approval. A notification to the funding agency will suffice. However, the second no-cost extension requires a request for prior approval, accompanied by a strong justification.
2. B
3. A Change of effort from 20% to 10% is a relative change of 50% $[(20 - 10) / 20 = 0.5 \text{ or } 50\%]$. This is more than the 25% threshold, and therefore requires prior approval.
4. D The change in PI time is only 20%, which is below the threshold $[(50 - 40) / 50 = 0.2 = 20\%]$. So, it does not require prior approval. A change in one of the project goals is always considered a change in scope, hence needs prior approval.
5. D Such a transfer requires approval by the funding agency. All parties need to consent, including the institution that received the award first, the second institution, and the federal agency funding the award. The first institution needs to submit a relinquishing statement and final financial report.
6. D D is only 20% change, and it is an increase, not a decrease.
7. B Except for B (supplies), the other ones are all [§2 CFR 200](#) requirements.
8. A
9. B Please refer to the study notes.
10. C Rebudgeting within a single cost category (supplies), even by 40%, usually does not require NIH approval if it does not involve a restricted budget category or a change of scope. Here, $40\% \text{ of } 20\% = 0.4 \times 0.2 = 0.08 = 8\%$ of the total budget, which is well below the 25% threshold that may trigger a concern for change of scope.
11. A NIH typically allows for automatic carry-over of funds across budget periods for grant codes R01, R03, and R21, which are some of the most common NIH grants. However, other grant codes (e.g., P30, P50, and U54) often require prior approval for carry-over of funds. This is usually stated in the notice of award.
12. C See [§2 CFR 200.308\(d\)](#)

13. C See [§2 CFR 200.308\(d\)](#)

14. A Extended absence, which requires prior approval, means absence of three or more months.

15. C See [§2 CFR 200.308\(i\)](#). A Federal awarding agency may restrict budget transfers if: The Federal share of the project exceeds the simplified acquisition threshold (currently \$250,000), and the cumulative amount of such transfers exceeds 10% of the total Federal award budget.

16. D Per [§2 CFR 200.306\(c\)](#), unrecovered indirect (F&A) costs can be included as cost sharing or matching only with prior approval from the Federal awarding agency. Salaries, wages, and supplies funded by the university are allowable as cost sharing (if permitted by the FOA) without prior approval—but unrecovered F&A is the exception that needs explicit approval. In RTC Overlay, some agencies, such as the NIH, have waived this prior approval request.

17. D Please see RTC Overlay in the **Appendix I** of this Chapter.

18. D Please see RTC Overlay in the **Appendix I** of this Chapter.

19. B Please see the study notes.

20. A Please see the study notes.

Appendix I

RTC Overlay information and links below:

Research Terms & Conditions Overlay

September 5, 2023

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Instructions

Research Terms and Conditions Overlay to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), 2 CFR §200

Dated November 12, 2020

These Research Terms and Conditions implement the requirements of the [Uniform Guidance](#), issued by the U.S. Office of Management and Budget, as it applies to research and research-related grants made by the Federal awarding agencies specified below to institutions of higher education and non-profit organizations. While the Uniform Guidance outlines provisions that are specific to research, these terms and conditions:

- Incorporate the entire Uniform Guidance by reference, clarifying or supplementing select provisions where appropriate.
- Apply to an award when included as part of the award or when incorporated in the award by reference.

In addition to these Research Terms and Conditions, recipients also must review the following companion resources:

- Appendix A, Prior Approval Matrix;
- Appendix B, Subaward Requirements Matrix; and
- Appendix C, National Policy Requirements Matrix.

The agencies participating in this activity include the: U. S. Department of Commerce/National Oceanic and Atmospheric Administration and National Institute of Standards and Technology; U.S. Department of Energy; National Aeronautics and Space Administration; National Science Foundation; U.S. Department of Health and Human Services/National Institutes of Health and Food and Drug Administration; U.S. Department of Agriculture/National Institute of Food and Agriculture; and the U.S. Department of Homeland Security.

Clarity is provided only for the specific Uniform Guidance provisions that are noted in the following table. Unless noted below, the Uniform Guidance provisions apply to these Research General Terms and Conditions as written in 2 CFR §200. Recipients also must refer to Agency-Specific Requirements.

These companion resources must also be taken into consideration.

Resource: https://www.nsf.gov/bfa/dias/policy/fedrtc/rtcoverlay_nov20.pdf (32 pages)

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Appendix A - RTC

There are 7 agencies

Resource: https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_a.pdf

	Reference	RTC Overlay	NSF	DOE	NIH	USDA NIFA	DOC	NASA	DHS-GFAD	DHS-FEMA
Prior Written Approval (prior approval)*	200.407									
Use of grant agreements (including fixed amount awards), cooperative agreements, and contracts	200.407(a)									
Changes in principal investigator (PI), project leader, project partner, or scope of effort.	200.201(b)(5)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Cost sharing or matching	200.407(b)									
Use of unrecovered indirect costs, including indirect costs on cost sharing or matching.	200.306(c)	Waived	Waived	Waived	Waived	Waived ¹⁸	Waived	Waived	Required	Waived
Use of current fair market value to determine the value of non-Federal entity contributions of services and conditions of property for the purposes of cost sharing or matching.	200.306(d)(2)	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Waived
Costs of the fair market value of equipment or other capital assets and fair rental charges for land when the Federal award supports activities that require use of equipment, buildings or land.	200.306(h)(2)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Program Income	200.407(c)									
Use of program income during the period of performance (additive method).	200.307(e)(2)	Waived	Waived	Waived	Waived ¹⁹	Waived	Waived	Waived ²⁰	Waived	Waived
Revision of budget and program plans	200.407(d)									
Change in the scope or the objective of the project or program.	200.308(p)(1)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Change in a key person specified in the application or Federal award.	200.308(p)(2)	Required	Required ²⁴	Required	Required	Required	Required	Required	Required	Required
Disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project by the approved Project Director (PD) or PI.	200.308(p)(3)	Required	Required ²⁴	Required	Required ²⁵	Required	Required	Required ²¹	Required	Required
Inclusion, unless waived, of costs that require prior approval in accordance with Subpart E -- Cost Principles.	200.308(p)(4)	Required	Waived	Required	Waived	Required	Required	Required	Required	Required
Transfer of funds budgeted for participant support costs to other categories of expense.	200.308(p)(5)	Required	Required ²	Required	Waived ⁶	Required	Required	Required	Required	Required
Subawarding, transferring or contracting out of any work under a Federal award, including fixed amount subawards as described in 200.333. This provision does not apply to the acquisition of supplies, material, equipment or general support services.	200.308(p)(6)	Required	Required	Required	Waived ⁶	Waived ²²	Required	Required	Required	Required
Changes in the approved cost-sharing or matching provided by the non-Federal entity.	200.308(p)(7)	Required	Required	Required	Required	Waived ¹⁹	Required	Required	Required	Required
Need for additional Federal funds to complete the project.	200.308(p)(8)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Incur project costs 90 calendar days before the Federal awarding agency makes the Federal award.	200.308(p)(1)	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Required	Waived
Incur project costs more than 90 calendar days pre-award.	200.308(p)(1)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Initiate a one-time extension of the period of performance by up to 12 months.	200.308(p)(2)	Waived	Waived	Waived	Waived	Waived	Waived	Waived	Required	Waived
Subsequent no-cost extension or extension of more than 12 months.	200.308(p)(2)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Carry-forward of unobligated balances to subsequent budget periods.	200.308(p)(3)	Waived	Waived	Waived	Waived ²⁰	Waived	Waived	Waived	Required	Waived
Transfer amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa.	200.308(p)(4)	Waived	Waived	Waived	Waived ²¹	Waived	Waived	Waived	Required	Waived
Restrict the transfer of funds among direct cost categories or programs, functions and activities for Federal awards in which the Federal share of the project exceeds the simplified acquisition threshold and the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget as last approved by the Federal awarding agency.	200.308(f)	Waived	Waived	Waived	Waived ²¹	Waived	Waived	Waived ^{22, 23}	Required	Waived
Making any fund or budget transfers between construction and non-construction work.	200.308(h)(5)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Real Property	200.407(e)									
Encumber real property acquired with Federal funds.	200.311(b)	Required	Required	Required	Required	Required	Required	Required	Required	Required
Transfer of title to the Federal awarding agency or to a third party.	200.311(c)(3)	Required	Required	Required	Required	Required	Required	Required	Required	Required

Federal Agencies Applicable to the RTC Overlay

NSF



National Science Foundation

National Science Foundation

DOE



Department of Energy

NIH



National Institutes of Health
Turning Discovery Into Health

National Institutes of Health

USDA NIFA



United State Department of Agriculture
National Institute of Food & Agriculture

DOC



Department of Commerce

NASA



National Aeronautics & Space Administration

DHS-GFAD



Department of Homeland Security
Grants & Financial Assistance Division

DHS-FEMA



Department of Homeland Security
Federal Emergency Management Agency

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Appendix B - Subaward Requirements

	Institutions of Higher Education	Non-Profit Organizations Other than Hospitals	Non-Profit Hospitals	For-Profit Hospitals	State, Local and Indian Tribal Governments	For-Profit Entities other than Hospitals and Foreign Entities	Non-Profit Organizations identified in Appendix VIII to 2 CFR §200
This subaward is subject to Allowable Cost Requirements specified in:	2 CFR §200, Subpart E, the Research Terms and Conditions Overlay, and any applicable Agency Specific Requirements	2 CFR §200, Subpart E, the Research Terms and Conditions Overlay, and any applicable Agency Specific Requirements	Agency Implementations of 45 CFR part 74, Appendix E, "Principles for Determining Costs Applicable to Research and Development under Grants and Contracts with Hospitals."	Agency Implementations of 45 CFR part 74, Appendix E, "Principles for Determining Costs Applicable to Research and Development under Grants and Contracts with Hospitals."	Agency Implementations of 2 CFR §200, Subpart E.	Federal Acquisition Regulation (FAR) at 48 CFR part 31.	Federal Acquisition Regulation (FAR) at 48 CFR part 31.
This subaward is subject to the Administrative Requirements specified in:	2 CFR §200, Subpart D, the Research Terms and Conditions Overlay, and any applicable Agency Specific Requirements	2 CFR §200, Subpart D, the Research Terms and Conditions Overlay, and any applicable Agency Specific Requirements			Agency Implementations of 2 CFR §200, Subpart D.	Administrative requirements for awards to for-profit organizations of the Federal awarding agencies.	Agency Implementations of 2 CFR §200, Subpart D.
Agency Requirements specified in:							
DOC	2 CFR §200, the Research Terms and Conditions Overlay, and any applicable Agency Specific Requirements	2 CFR §200, the Research Terms and Conditions Overlay, and any applicable Agency Specific Requirements					
DOE	2 CFR §200, Subpart D, the Research Terms and Conditions Overlay, and any applicable Agency Specific Requirements	2 CFR §200, Subpart D, the Research Terms and Conditions Overlay, and any applicable Agency Specific Requirements					
DHS	2 CFR §200 and Department specific requirements, including the terms and conditions in the Notice of Funding Opportunity and Federal Award.	2 CFR §200 and Department specific requirements, including the terms and conditions in the Notice of Funding Opportunity and Federal Award.					
NASA	2 CFR §200, 2 CFR §1800, the Research Terms and Conditions Overlay, and any applicable NASA Agency Specific Requirements	2 CFR §200, 2 CFR §1800, the Research Terms and Conditions Overlay, and any applicable NASA Agency Specific Requirements					
NIH	The Research General Terms and Conditions and the Agency Specific Requirements.	The Research General Terms and Conditions and the Agency Specific Requirements.	Agency Specific Requirements.	Statement of the NIH Grant Policy (http://www.nih.gov/grants/policy/hospitals/)	2 CFR §200 & the NIH Grant Policy Statement (http://www.nih.gov/grants/policy/hospitals/)		
NSF	2 CFR §200, Subpart E, the Research Terms and Conditions Overlay, and any applicable NSF Agency Specific Requirements	2 CFR §200, Subpart E, the Research Terms and Conditions Overlay, and any applicable NSF Agency Specific Requirements	NSF Grant General Terms and Conditions (GTC-1) (http://www.nsf.gov/grants/managing/gm-ent_conditions.pdf), 2 CFR §200 and, where referenced, the NSF Proposal and Award Policies and Procedures Guide (https://www.nsf.gov/pubs/pubs/awp/pubs/awp.pdf, june2009).	NSF Grant General Terms and Conditions (GTC-1) (http://www.nsf.gov/grants/managing/gm-ent_conditions.pdf), 2 CFR §200 and, where referenced, the NSF Proposal and Award Policies and Procedures Guide (https://www.nsf.gov/pubs/pubs/awp/pubs/awp.pdf, june2009).	2 CFR §200 & the NIH Grant Policy Statement (http://www.nih.gov/grants/policy/hospitals/)		
USDA/NIFA	2 CFR part 200, as implemented by 2 CFR parts 400 & 415, the Research Terms and Conditions Overlay, NIFA-Specific Research Terms and Conditions, and applicable Program-Specific Requirements in 7 CFR chapter XXXIV.	2 CFR part 200, as implemented by 2 CFR parts 400 & 415, the Research Terms and Conditions Overlay, NIFA-Specific Research Terms and Conditions, and applicable Program-Specific Requirements in 7 CFR chapter XXXIV.	45 CFR part 74, Appendix E, "Principles for Determining Costs Applicable to Research and Development under Grants and Contracts with Hospitals," as implemented by Appendix IX to 2 CFR Part 200, Hospital Cost Principles.	Agency Implementations of 45 CFR part 74, Appendix E, "Principles for Determining Costs Applicable to Research and Development under Grants and Contracts with Hospitals," as implemented by Appendix IX to 2 CFR Part 200, Hospital Cost Principles.	Agency Implementations of 2 CFR part 200, Subpart E and 2 CFR parts 400 & 415.	Federal Acquisition Regulation (FAR) at 48 CFR part 31 and 2 CFR parts 400 & 415.	Federal Acquisition Regulation (FAR) at 48 CFR part 31 and 2 CFR parts 400 & 415.
Audit Requirements specified in:	2 CFR §200, Subpart F	2 CFR §200, Subpart F	2 CFR §200, Subpart F	Audit requirements of the federal awarding agency or the prime recipient.	2 CFR §200, Subpart F	Audit requirements of the federal awarding agency or the prime recipient.	2 CFR §200, Subpart F

- There are 4 requirements
- Allowable Cost Requirements
 - Administrative Requirements
 - Agency Requirements
 - Audit Requirements

Resource: https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_b.pdf (1 page)

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Appendix C - National Policy Requirements Matrix

This listing of statutory/regulatory/and executive requirements is provided for information purposes only, and may not reflect all requirements that are applicable to a specific award.

Statutory/Regulatory/and Executive Based Requirements	Used For:	Requirement(s) that should be noted by the recipient
National Policy Requirements Applicable to all research agencies:	Type of Award	Type of Recipient
a) Nondiscrimination		
By signing or accepting funds under the agreement, the recipient agrees that it will comply with applicable provisions of the following national policies prohibiting discrimination:		
a. On the basis of race, color, or national origin, in Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d, et seq.), as implemented by:	Grants, cooperative agreements, and other financial assistance	All
NSF at 45 CFR Part 611 NASA at 14 CFR Part 1250 DOE at 10 CFR Part 1040 USDA at 7 CFR Part 15 DOC at 15 CFR Part 8 HHS at 45 CFR Part 80 & 81		
b. On the basis of race, color, religion, sex, or national origin, in Executive Order 11246 [3 CFR, 1964-1965 Comp., p. 339], as implemented by Department of Labor regulations at 41 CFR Part 60.	Grants, cooperative agreements, and other prime awards defined at 40 CFR 60-1.3 as "federally assisted construction contract."	All
c. On the basis of sex or blindness, in Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.).	Grants, cooperative agreements, and other financial assistance included at 20 U.S.C. 1682.	All
NSF 45 CFR Part 618 DOE at 10 CFR Part 1040 DOC at 15 CFR Part 8a HHS at 45 CFR Part 86 NASA at 14 CFR Part 1253		
d. On the basis of age, in the Age Discrimination Act of 1975 (42 U.S.C. 6101, et seq.), as implemented by Department of Health and Human Services regulations at 45 CFR part 90.	Grants, cooperative agreements, and other awards defined at 45 CFR 90.4 as "Federal financial assistance."	All
USDA at 7 CFR Part 15b NSF at 45 CFR Part 617 NASA at 14 CFR Part 1253		

- There are 6 requirements
- Nondiscrimination
 - Live Organisms
 - Environmental Standards
 - Health & Safety Guidelines
 - National Security Guidelines
 - General Miscellaneous Requirements

Resource: https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_c.pdf (18 pages)

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