



*Indian Health Service*  
*Division of Grants Management*  
***Prior Approval Requirements***  
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# Prior Approval Requirements



- ▶ Change in scope.
- ▶ Change in key personnel.
- ▶ Change in grantee organization.
- ▶ Carryover of unobligated balances above 25%.
- ▶ Significant re-budgeting.
- ▶ No cost extension.
- ▶ Deviation from the approved terms and conditions.



# Change in Scope



A change in scope occurs when the recipient proposes to change the objectives, aims, or purposes identified in the approved application.



# Change in key personnel



Recipients are required to notify their Grants Management Specialist (GMS), in writing, if the PI/PD or key personnel specifically named in the NoA will withdraw from the project entirely, be absent from the project during any continuous period of 3 months or more, or reduces time devoted to the project by 25 percent or more from the level that was approved at the time of award.



# Change in grantee organization



Prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project or program from one legal entity to another before the expiration of the approved project period.



# Carryover Request



Grantees are required to submit their prior approval requests to their GMS. All requests must include a plan that describes the activity/initiative that will be performed by the grantee, a scope of work that implements the activity/initiative, justification for how the balance occurred, a detailed budget, and budget justification. Any missing component WILL delay the award action.

**Note: All unobligated balances above 25% of the previous year's awarded amount moved from one budget period to any subsequent budget period requires prior approval.**



# Significant re-budgeting



Significant re-budgeting occurs when cumulative transfers among direct cost budget categories for the current budget period exceed 25% of the total approved budget (which includes direct & indirect costs when chargeable to Federal funds for that budget period) or \$250,000, whichever is less.



# No Cost Extension



All instances require prior approval for any extension of up to 12 months.

The Grantee is required to request a no cost extension of their final budget period at least 30 days before the end of the project period.

**\*\*\*All previous terms and conditions of the award apply during the extended period.**



# Deviation from award terms and conditions



Prior approval is required in all instances; including undertaking any activities disapproved or restricted as a condition of the award.

When in doubt contact your GMS for advice.



For additional information regarding IHS Prior Approval requirements please contact your assigned GMS directly or you may call the DGM main line of (301) 443-5204.

If you find further assistance is needed please contact:

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*The Division of Grants Mgmt would like to take this opportunity to thank you for being a part of this Grants Mgmt sponsored training. DGM is dedicated to Empowering our IHS grant community with the required knowledge and training needed for continued compliance of IHS policies, Indian laws, and HHS legislative and regulatory requirements.*