



**NATIONAL SCIENCE FOUNDATION (NSF)**  
**International Research Terms and Conditions (IRTC)**  
**Effective January 30, 2017**

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Effective January 30, 2017, new NSF international research grants and funding amendments to existing NSF international research grants will begin referencing, and are subject to, the *International Research Terms and Conditions (IRTC)* dated 01/30/17.

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## 1. Grantee Responsibilities

- a. The grantee has full responsibility for the conduct of the project or activity supported under this grant and for adherence to the grant conditions. Although the grantee is encouraged to seek the advice and opinion of NSF on special problems that may arise, such advice does not diminish the grantee's responsibility for making sound scientific and administrative judgments and should not imply that the responsibility for operating decisions has shifted to NSF. The grantee is responsible for notifying NSF about: (1) any allegation of research misconduct that it concludes has substance and requires an investigation in accordance with NSF misconduct regulations published at 45 CFR 689; or (2) any significant problems relating to the administrative or financial aspects of the grant.
- b. The requirements of this grant are contained in these *International Research Terms and Conditions* for grants and cooperative agreements unless otherwise specified in the notice of award. The applicable Federal administrative standards are incorporated by reference and are contained in [2 CFR § 200](#), *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). These *International Research Terms and Conditions* (IRTC) serve as the Foundation's implementation of 2 CFR § 200. If the IRTC is silent on a specific area covered by 2 CFR § 200, the requirements specified in 2 CFR § 200 must be followed.
- c. By acceptance of this grant, the grantee agrees to comply with the applicable Federal requirements for grants and cooperative agreements and to the prudent management of all expenditures and actions affecting the grant, including the monitoring of subrecipients (if applicable). Specific guidance on subrecipient monitoring and management can be found in 2 CFR § 200.331.
- d. Documentation for each expenditure or action affecting this grant must reflect appropriate organizational reviews or approvals that should be made in advance of the action. Organizational reviews are intended to help assure that expenditures are allowable, necessary and reasonable for the conduct of the project, and that the proposed action:
  1. is consistent with grant terms and conditions;
  2. is consistent with NSF and grantee policies;
  3. represents effective utilization of resources; and
  4. does not constitute a significant project change (see Article 8).

- e. The grantee is responsible for ensuring that the Principal Investigator(s) (PIs) or Project Director(s) (PDs) and co-PIs/co-PDs receive a copy of the grant conditions, including: the notice of award, the budget, these general terms and conditions, any special terms and conditions, and any subsequent changes in the grant conditions. These grant conditions are made available to the grantee by NSF in electronic form at [http://www.nsf.gov/awards/managing/award\\_conditions.jsp?org=NSF](http://www.nsf.gov/awards/managing/award_conditions.jsp?org=NSF), and may be duplicated, copied or otherwise reproduced by the grantee as appropriate. This provision does not alter the grantee's full responsibility for conduct of the project and compliance with all grant terms and conditions. Notices of award are available electronically via the NSF FastLane system at <https://www.fastlane.nsf.gov/>. Sponsored project offices are able to view, print and/or download NSF notices of award for their organizations and PIs/PDs and co-PIs/co-PDs can access their individual notices of award through use of the FastLane system.

## **2. Prior Approval Requirements**

Unless otherwise specified in the notice of award, the Federal administrative requirements for prior agency approval summarized in 2 CFR § 200.308, and the provisions of the governing cost principles, the requirement to obtain NSF prior approval applies only to the activities and expenditures specified below.

- a. Consistent with 2 CFR § 200, written prior approval from the cognizant NSF Grants Officer is required for:
  - 1. Extensions to the Grant Period (see Article 4)
  - 2. Significant Project Changes
    - (a) Transfer of the project effort (see Article 8. See also 2 CFR § 200.308)
    - (b) Changes in objectives or scope (see Article 8. See also 2 CFR § 200.308)
    - (c) Long-Term disengagement or change of PI/PD or co-PI/co-PD (see Article 8. See also 2 CFR § 200.308)
    - (d) Change to cost sharing commitments reflected on Line M of the NSF grant budget (see Article 25)
  - 3. Rearrangements and Reconversion Costs (see Article 10)
  - 4. The following expense categories which are not included in the approved budget:
    - (a) Consultant Services
    - (b) Equipment
    - (c) Travel
  - 5. Salaries of administrative or clerical staff (see 2 CFR § 200.413)

6. Additional categories of participant support costs other than those described in 2 CFR § 200.75 (see Article 7. See also the NSF [Proposal & Award Policies & Procedures Guide \(PAPPG\) Chapter II.C.2.g\(v\)](#)).
- b. Written prior approval from the cognizant NSF Program Officer is required for transfer of funds budgeted for participant support (see Article 7. See also 2 CFR § 200.308(c)(v)).
- c. Requests for the prior approvals identified above (as well as other types of grant related notifications or requests stipulated in [PAPPG Chapter VII, Exhibit VII-1](#)) must be submitted via the use of NSF's electronic systems.

### **3. Pre-Award Costs**

- a. Grantees may approve pre-award costs incurred within the ninety calendar day period before the start date of the grant. Requests for approval of pre-award costs for periods greater than 90 calendar days must be submitted electronically via NSF's electronic systems. Pre-award expenditures prior to the funding of an increment within a continuing grant are not subject to this limitation or approval requirement, but are subject to paragraph c. below.
- b. Pre-award costs must be necessary for the effective and economical conduct of the project and the costs must be otherwise allowable in accordance with Article 11.
- c. Pre-award expenditures are made at the grantee's risk. Grantee authority to approve pre-award costs does not impose an obligation on NSF: (1) in the absence of appropriations; (2) if a grant is not subsequently made; or (3) if a grant is made for a lesser amount than the grantee anticipated.

### **4. Extensions to the Grant Period**

- a. If additional time beyond the end date of the grant is required to assure adequate completion of the original scope of work within the funds already made available, then the grantee must submit a request for a no-cost extension via NSF's electronic systems at least 45 days prior to the end date of the grant.
- b. The request must explain the need for the extension, include an estimate of the unobligated funds remaining, and a plan for use of the funds. The fact that unobligated funds may remain at the end of the grant is not in itself sufficient justification for an extension. In addition, grantees are not authorized to extend a grant that has a zero balance.
- c. The plan for the extended period must adhere to the previously approved objectives of the project. Grantees are cautioned not to make new commitments or incur new expenditures after the end date of the grant until the no-cost extension has been approved by NSF.
- d. Disposition of the approval will either be provided through electronic notification from the cognizant NSF Program Officer or an amendment to the grant approved by the NSF Grants Officer. If approved, the new end date of the grant will be reflected in NSF's electronic systems.

## **5. Consultant Services (also referred to as Professional Service Costs)**

Costs for professional and consultant services, including those who are members of a particular profession or possess a special skill and who are not officers or employees of the performing organization, are allowable when reasonable in relation to the services rendered and when not contingent upon recovery of costs from NSF. If not included in the grant budget, anticipated services must be justified and information furnished on each individual's expertise, primary organizational affiliation, normal daily compensation rate and number of days of expected service. Consultants' travel costs, including subsistence, may be included. If requested, the grantee must be able to justify that the proposed rate of pay is reasonable. Additional information on the allowability of consultant costs is available in 2 CFR § 200.459. See Article 2 above regarding prior approval requirements for consultant services.

## **6. Equipment**

- a. Purchase. No item of equipment over \$5,000, other than items identified in the approved budget, may be purchased without the advance written approval of the cognizant NSF Program Officer (see Article 2 above).
- b. Title. Title to equipment purchased with NSF grant funds shall pass directly to the US Government from the vendor. Within 30 days from the date of delivery by the vendor, the grantee shall furnish the NSF Property Administrator (by email at: [fsrpts@nsf.gov](mailto:fsrpts@nsf.gov)) with a full description of the equipment, including model and serial number, acquisition cost (including transportation charges), and the date of the acquisition. The grantee shall be responsible for property control over the equipment and shall obtain disposition instructions from NSF upon expiration of the grant.
- c. Disposition. Upon expiration of the grant, the grantee shall provide the NSF Property Administrator and the cognizant NSF Program Officer with a listing of all equipment purchased with grant funds. This listing should include the acquisition cost and current estimated value of each piece of equipment as well as a recommendation from the grantee regarding appropriate disposition. If the grantee wishes to retain the property for continued use, the grantee also should include a statement of the intended use as well as an indication of whether it is willing to purchase the equipment from NSF. Upon consideration of information provided by the grantee and other relevant information, NSF will determine appropriate disposition of the equipment and will provide the grantee with disposition instructions.

## **7. Participant Support Costs**

- a. Participant support costs as defined in 2 CFR § 200.75 are direct costs for items such as stipends or subsistence allowances, travel allowances and registration fees paid to or on behalf of participants (but not employees) in connection with NSF-sponsored conferences. In accordance with Article 2, prior approval is required for any additional categories of participant support costs, such as incentives, gifts, souvenirs, t-shirts and/or memorabilia. The request must be submitted via use of NSF's electronic systems and NSF approval of such changes will be by an amendment to the grant signed by the cognizant NSF Grants Officer. Grantees must account for participant support costs separately. Indirect costs (Facilities and Administrative Costs (F&A)) are not allowed on participant support costs (see [PAPPG Chapter II.C.2.g\(v\)](#)).

- b. Funds provided for participant support may not be used by grantees for other categories of expense without the specific prior written approval of the cognizant NSF Program Officer. Such requests must be submitted electronically via use of NSF's electronic systems.

## **8. Significant Project Changes**

Consistent with 2 CFR § 200.308, the grantee is required to obtain prior written approval from the cognizant NSF Grants Officer whenever there are significant changes in the project or its direction as stipulated below.

### *a. Transfer of the Project Effort (Subawards)*

1. NSF authorization to transfer a significant part of the research or substantive effort to another organization that has been disclosed in the proposal is not needed unless approval has been specifically withheld in the notice of award.
2. If it becomes necessary to transfer a significant part of the research or effort after a grant has been made, notification of this intent should be submitted via use of NSF's electronic systems and must be electronically signed by an Authorized Organizational Representative (AOR). The request shall include a clear description of the work to be performed and a proposed budget (see [PAPPG Chapter VII.B.3](#) for additional information). NSF approval of such changes will be by an amendment to the grant signed by the cognizant NSF Grants Officer.
3. The grantee remains responsible for monitoring of the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations and the terms and conditions of the subaward as outlined in 2 CFR § 200.331. This includes maintaining the necessary documentation on all subawards and making it available to NSF upon request. The grantee shall include subaward activities in the annual and final project reports that are submitted to NSF.
4. Consistent with the guidance in 2 CFR § 200.331, grantees must adhere to the requirements for pass-through entities in establishing and managing subawards and contracts issued under the grant. In addition, grantees shall ensure that the following articles, if applicable, flow down to all subawardees, or are appropriately addressed in the subaward instrument: Articles 5, 9 through 11, 16 through 20, 22 through 25, 30 through 35, 36, 38, 39 and 40.

### *b. Changes in Objectives or Scope*

A proposed change in the phenomenon or phenomena under study or the objectives of the project stated in the proposal or agreed modifications thereto should be communicated to NSF via use of NSF's electronic systems. NSF approval of such changes will be by an amendment to the grant approved by the cognizant NSF Grants Officer.

c. *Long-Term Disengagement or Change of Principal Investigator/Project Director or co-Principal Investigator/co-Project Director*

If a named Principal Investigator/Project Director or co-PI/co-PD plans to or becomes aware that he or she will: (1) devote substantially less effort to the work than anticipated in the approved proposal (defined in 2 CFR § 200.308(c)(iii) as a reduction of 25% or more in time devoted to the project); (2) sever his or her connection with the grantee; or (3) be disengaged from the project for a continuous period of more than 3 months, or otherwise relinquish active direction of the project, he or she shall advise the appropriate official at the grantee organization, who shall initiate action appropriate to the situation in accordance with the guidelines described in [PAPPG Chapter VII.B.2](#).

**9. Travel**

a. *Allowability of Travel Expenses*

1. Expenses for transportation, lodging, subsistence and related items incurred by project personnel and by outside consultants employed on the project (see [PAPPG Chapter II.C.2.g\(iv\)](#)) who are in travel status on business related to an NSF-supported project are allowable as prescribed in the governing cost principles. See Article 2 above regarding prior approval requirements for travel.
2. Except as provided in the governing cost principles, the difference between economy airfare and a higher-class airfare is unallowable. A train, bus or other surface carrier may be used in lieu of, or as a supplement to, air travel at the lowest first-class rate by the transportation facility used. If such travel, however, could have been performed by air, the allowance will not normally exceed that for jet economy airfare.

b. *Travel Support for Dependents of Key Project Personnel*

Travel support for dependents of key project personnel is allowable only under the following conditions as outlined in 2 CFR § 474(c)(2):

1. the individual is a key person who is essential to the project on a full-time basis;
2. the individual's residence away from home and in a foreign country is for a continuous period of six months or more and is essential to the effective performance of the project; and
3. the dependents' travel allowance is consistent with the policies of the organization administering the grant.

c. *Use of US-Flag Carriers*

1. In accordance with the Fly America Act (49 USC 40118), any air transportation to, from, between, or within a country other than the US of persons or property, the expense of which will be assisted by NSF funding, must be performed by or under a code-sharing arrangement with a US-flag air carrier if service provided by such a carrier is available (see Comptroller General Decision B-240956, dated September 25, 1991). Tickets (or



documentation for electronic tickets) must identify the US flag air carrier's designator code and flight number.

2. For the purposes of this requirement, US-flag air carrier service is considered available even though:
  - (a) comparable or a different kind of service can be provided at less cost by a foreign-flag air carrier;
  - (b) foreign-flag air carrier service is preferred by, or is more convenient for, NSF or traveler; or
  - (c) service by a foreign-flag air carrier can be paid for in excess foreign currency.
3. The following rules apply unless their application would result in the first or last leg of travel from or to the US being performed by a foreign-flag air carrier:
  - (a) a US-flag air carrier shall be used to destination or, in the absence of direct or through service, to the farthest interchange point on a usually traveled route.
  - (b) if a US-flag air carrier does not serve an origin or interchange point, a foreign-flag air carrier shall be used only to the nearest interchange point on a usually traveled route to connect with a US flag air carrier.

d. *Use of Foreign-Flag Air Carriers*

There are certain circumstances under which use of a foreign-flag air carrier is permissible. These circumstances are outlined below:

1. *Airline "Open Skies" Agreements:*

A foreign flag air carrier may be used if the transportation is provided under an air transportation agreement between the United States and a foreign government, which the Department of Transportation has determined meets the requirements of the Fly America Act. For information on "open skies" agreements in which the United States has entered, please refer to the GSA website at <http://www.gsa.gov/portal/content/103191>.

Note on US/European Union Open Skies Agreement

In 2007, the US entered into an "Open Skies" Agreement with the European Union ("EU"). This agreement was modified in June 2010. The current Agreement gives European Community airlines (airlines of Member States) the right to transport passengers and cargo on flights funded by the US government, when the transportation is between: (1) any two points outside the United States; or (2) a point in the United States and any point outside the United States that the EU airline is authorized to serve under the "Open Skies" Agreement.

In 2011, two significant changes were made to the US/EU Open Skies Agreement. First, EU airlines are now granted the right to transport civilian agency-funded passengers who are NOT eligible to travel on GSA Airline City Pair Contract fares (e.g., grantees) between a point in the United States and a point outside the United States even if there is a GSA Airline City Pair Contract fare in effect between the origin and destination points. An individual, however, who is

traveling on a route for which there is a City Pair Contract fare in effect, *and who is eligible for such a fare* (e.g., Federal employee), will be required to fly on a US carrier, absent another applicable exception.

Second, under the amended Agreement, EU airlines are now authorized to transport passengers between points in the United States and points outside the EU if the EU airline is authorized to serve the route under the Agreement. This includes flights that originate, arrive, or stop in the EU. Prior to this change, EU airlines were limited to flying passengers between points in the US and points in the EU.

2. *Involuntary Rerouting:* Travel on a foreign-flag carrier is permitted if a US-flag air carrier involuntarily reroutes the traveler via a foreign-flag air carrier, notwithstanding the availability of alternative US-flag air carrier service.

3. *Travel To and From the US on non-European Community Airlines*

Use of a non-European Community foreign-flag air carrier is permissible if the airport abroad is:

- (a) the traveler's origin or destination airport, and use of US-flag air carrier service would extend the time in a travel status by at least 24 hours more than travel by a foreign-flag air carrier; or
- (b) an interchange point, and use of US-flag air carrier service would increase the number of aircraft changes the traveler must make outside of the US by two or more, would require the traveler to wait four hours or more to make connections at that point, or would extend the time in a travel status by at least six hours more than travel by a foreign-flag air carrier.

4. *Travel Between Points Outside the US on non-European Community Airlines*

Use of a non-European Community foreign-flag air carrier is permissible if:

- (a) travel by a foreign-flag air carrier would eliminate two or more aircraft changes en route;
  - (b) travel by a US-flag air carrier would require a connecting time of four hours or more at an overseas interchange point; or
  - (c) the travel is not part of the trip to or from the US, and use of a US-flag air carrier would extend the time in a travel status by at least six hours more than travel by a foreign-flag air carrier.
5. *Short Distance Travel.* For all short distance travel, regardless of origin and destination, use of a foreign-flag air carrier is permissible if the elapsed travel time on a scheduled flight from origin to destination airport by a foreign-flag air carrier is three hours or less and service by a US-flag air carrier would double the travel time.

## **10. Rearrangement and Reconversion Costs**

- a. Costs incurred for ordinary and normal rearrangement and alteration of facilities that do not constitute construction (i.e., rearrangements and alterations costs aggregating less than \$25,000) to adapt space or utilities within a completed structure to accomplish the objectives of the grant, are allowable and approved, provided the:
  1. building has a usable life consistent with project purposes and is architecturally suitable for conversion;
  2. rearrangements and alterations are essential to the project supported by the grant; and
  3. space involved will be occupied by the project. In situations where the space is rented, in order for the costs of the rearrangement and alteration to be allowed, the grantee must secure a lease for the length of the project.
- b. The rearrangements and alteration of facilities aggregating \$25,000 or over require the prior written approval from NSF via use of NSF's electronic systems. Appendix II of 2 CFR § 200 contains provisions that must be included in contracts made by the grantee.

## **11. Allowable Costs**

- a. The allowability of costs<sup>1</sup> and cost allocation methods for work performed under this grant, up to the amount specified in the grant, shall be determined in accordance with the governing cost principles as specified below and must conform with NSF policies, grant special provisions and grantee internal policies in effect on the start date of the grant.
- b. The cost principles applicable to educational institutions, State, local and Indian Tribal governments and non-profit organizations (other than hospitals) can be found in 2 CFR § 200, Subpart E.
- c. Separate guidance for hospitals can be found in 45 CFR Part 75, Appendix IX, "Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals."
- d. Separate guidance for for-profit organizations can be found in the Federal Acquisition Regulation, Part 31.
- e. Certain prior approval requirements contained in the governing cost principles have been modified by Article 2.

## **12. Payments**

- a. Except as noted in [PAPPG Chapter VIII.C](#), NSF grantees are required to request payments electronically through the Award Cash Management Service (ACM\$). Under ACM\$, grantees must provide award level detail at the time of the payment request. Grantees should request payments in amounts necessary to meet their current needs,

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<sup>1</sup> Consistent with 2 CFR § 200.453, for computing devices, charging as a direct cost is allowable for devices that are essential and allocable, but not solely dedicated, to the performance of the grant.

pursuant to the guidelines contained in 31 CFR Part 205. Unless otherwise specified in the grant, the grantee agrees to comply with all applicable Treasury regulations and National Science Foundation implementing and reporting procedures, which are outlined in [PAPPG Chapter VIII](#).

- b. In accordance with 2 CFR § 200.305, where appropriate, grantees are required to maintain advances of Federal funds in interest-bearing accounts. Grantees may retain interest earned on amounts up to \$500 per year for administrative expenses. Any additional interest earned on Federal advance payments deposited in interest-bearing accounts must be remitted annually to the Department of Health and Human Services Payment Management System (PMS) through an electronic medium using either the Automated Clearing House (ACH) network or a Fedwire Funds Service payment. Instructions on submission of remittances can be found in [PAPPG Chapter VIII.D.3](#).

### **13. Continuing Grant Increments**

Unless otherwise specified, each successive increment of a continuing grant will be funded at the level specified in the original notice of award without a formal request from the grantee provided an annual project report has been received from the Principal Investigator(s) and accepted by the cognizant NSF Program Officer.

Continuing funding is contingent on (1) availability of funds; (2) satisfactory scientific/technical progress; and (3) any special conditions of the grant.

### **14. Project Reporting Requirements**

#### *a. Annual Project Reports*

1. Submission Requirement. Annual project reports are required for both standard and continuing grants.<sup>2</sup>
2. Content of Annual Project Reports. The Research Performance Progress Report (RPPR), as implemented in Research.gov, should be used for preparation of the Annual Project Reports to address progress in all activities of the project, including any activities intended to address the Broader Impacts criterion that are not intrinsic to the research. The grantee shall include subaward activities in annual project reports that are submitted to NSF.
3. Timing of Annual Project Reports. Unless otherwise specified in the grant, annual project reports should be submitted electronically, at least 90 days prior to the end of the current budget period to allow adequate time for the cognizant NSF Program Officer to review and approve the report. As reflected in the Project Report System, the report is considered due during the 90 day period. The report becomes overdue **the day after the 90 day period ends**. It should be noted that the final annual report serves as the project's final report and must be submitted in accordance with paragraph b below.

Failure to submit timely reports will delay NSF review and processing of pending proposals and processing of additional funding and administrative actions, including, but

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<sup>2</sup> Submission of an "interim" report via the Project Report System does not constitute compliance with the annual reporting requirement.

not limited to, no cost extensions for all identified PIs/PDs and co-PIs/co-PDs on a given grant. In the case of continuing grants, failure to submit timely reports may delay processing of funding increments.

b. *Final Project Report*

1. **Submission Requirement.** Unless otherwise specified in the grant, the final project report should be submitted electronically no later than 120 days following the end of the grant. As reflected in the Project Report System, the report is considered due during the 120 day period. The report becomes overdue **the day after the 120 day period ends.** Note, however, that standard grants made prior to January 25, 2016 retain the requirement to submit final project reports no later than 90 days following the end date of the grant.
2. **Content of Final Project Report.** The Research Performance Progress Report, as implemented in Research.gov, also should be used for preparation of the Final Project Report to address progress in all activities of the project, including any activities intended to address the Broader Impacts criterion that are not intrinsic to the research. The grantee shall include subaward activities in final project reports that are submitted to NSF.
3. **Additional Requirements.** The grantee also shall provide to the cognizant NSF Program Officer, no later than 120 days following the end date of the grant, any unique reports or other end items specified in the grant (e.g., special cost sharing reports), including any reporting requirements set forth in the applicable program solicitation referenced in the grant as being directly related to either the grant or the administration of the grant.

c. *Project Outcomes Report for the General Public*

No later than 120 days following the end of the grant, a project outcomes report for the general public must be submitted electronically via Research.gov. This report serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project. This report will be posted electronically by NSF exactly as it is submitted. For information about the content of the report, see [PAPPG Chapter VII.D.3](#). Note, however, that standard grants made prior to January 25, 2016 retain the requirement to submit project outcomes reports no later than 90 days following the end date of the grant.

## 15. Expenditure Reports

**Article 15 establishes the requirement that grantees must submit final payment requests through the Award Cash Management Service no later than 120 days after the end date of the grant. This requirement applies to all current grants and funding amendments to existing NSF grants, as well as to all new NSF grants.**

NSF uses the payment request entries in the Award Cash Management Service (ACM\$) to collect the final financial data for awards paid through that system. No additional interim or final financial reporting is required.

Grantees must submit final payment requests through ACM\$ **no later than 120 days** after the grant end date. For instructions regarding final disbursement reporting, see [PAPPG Chapter VIII.E](#).

## 16. Responsible Conduct of Research

In accordance with Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (42 USC 1862o-1) NSF requires that grantees must have a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research (RCR) to undergraduates, graduate students and postdoctoral researchers who will be supported by NSF to conduct research. Training plans are subject to review, upon request.

Grantees must designate one or more persons to oversee compliance with the RCR training requirement. Grantees are responsible for verifying that undergraduate students, graduate students and postdoctoral researchers supported by NSF to conduct research have received training in the responsible and ethical conduct of research, in accordance with the plan the grantee has put in place for their organization.

Grantees shall ensure that these RCR requirements flow down to all subrecipients, or are otherwise appropriately addressed in the subaward.

## 17. Reporting Subawards and Executive Compensation

The URL referenced in b.2.(a) below has changed to: <https://www.sam.gov>.

In accordance with the Office of Management and Budget guidance published in the Federal Register (FR) September 14, 2010 on *Requirements for Federal Funding Accountability and Transparency Act Implementation*, grantees must comply with the following award term, contained in 75 FR 22705:

### a. *Reporting of first-tier subawards*

1. *Applicability.* Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).

### 2. *Where and when to report*

(a) You must report each obligating action described in paragraph a.1. of this award term to [www.fsrs.gov](http://www.fsrs.gov).

(b) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. *What to report.* You must report the information about each obligating action that the submission instructions posted at [www.fsrs.gov](http://www.fsrs.gov) specify.

b. *Reporting Total Compensation of Recipient Executives*

1. *Applicability and what to report.* You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if:

(a) the total Federal funding authorized to date under this award is \$25,000 or more;

(b) in the preceding fiscal year, you received—

(i) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(ii) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(c) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. *Where and when to report.* You must report executive total compensation described in paragraph b.1. of this award term:

(a) As part of your registration profile at [www.ccr.gov](http://www.ccr.gov).

(b) By the end of the month following the month in which this award is made, and annually thereafter.

c. *Reporting of Total Compensation of Subrecipient Executives*

1. *Applicability and what to report.* Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if:

(a) in the subrecipient's preceding fiscal year, the subrecipient received—

(i) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(ii) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

(b) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange

Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. *Where and when to report.* You must report subrecipient executive total compensation described in paragraph c.1.of this award term:

(a) To the recipient.

(b) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. *Exemptions*

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

1. subawards, and

2. the total compensation of the five most highly compensated executives of any subrecipient.

e. *Definitions*

For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:

(a) A Governmental organization, which is a State, local government, or Indian tribe;

(b) A foreign public entity;

(c) A domestic or foreign nonprofit organization;

(d) A domestic or foreign for-profit organization;

(e) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

3. Subaward:

(a) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.



(b) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR § 200.330).

(c) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. Subrecipient means an entity that:

(a) Receives a subaward from you (the recipient) under this award; and

(b) Is accountable to you for the use of the Federal funds provided by the subaward.

5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

(a) *Salary and bonus.*

(b) *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

(c) *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

(d) *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.

(e) *Above-market earnings on deferred compensation which is not tax-qualified.*

(f) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## 18. System for Award Management and Universal Identifier Requirements

**The Central Contractor Registration (CCR) has become the System for Award Management (SAM). The URL has changed to: <https://www.sam.gov>. All requirements related to CCR mentioned in the Article below apply to and must be completed in SAM.**

In accordance with the Office of Management and Budget guidance published in the Federal Register (FR) September 14, 2010 on *Financial Assistance Use of Universal Identifier and Central Contractor Registration*, grantees must comply with the following award term, contained in 75 FR 22706:

a. *Requirement for Central Contractor Registration (CCR).* Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the

information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

b. *Requirement for Data Universal Numbering System (DUNS) numbers.* If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph c. of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. *Definitions.* For purposes of this award term:

1. Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).

2. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).

3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

- (a) A Governmental organization, which is a State, local government, or Indian tribe;
- (b) A foreign public entity;
- (c) A domestic or foreign nonprofit organization;
- (d) A domestic or foreign for-profit organization; and
- (e) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

4. Subaward:

(a) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(b) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR § 200.330).

(c) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

5. Subrecipient means an entity that:
- (a) Receives a subaward from you under this award; and
  - (b) Is accountable to you for the use of the Federal funds provided by the subaward.

## **19. Information Collection**

Information collection activities performed under this grant are the responsibility of the grantee, and NSF support of the project does not constitute NSF approval of the survey design, questionnaire content or information collection procedures. The grantee shall not represent to respondents that such information is being collected for or in association with the National Science Foundation or any other US Government agency without the specific written approval of such information collection plan or device by NSF. However, this requirement is not intended to preclude mention of NSF support of the project in response to an inquiry or acknowledgment of such support in any publication of this information.

## **20. Copyrighted Material**

- a. Subject writing means any material that:
- 1. is or may be copyrighted under [Title 17 of the USC](#); and
  - 2. is produced by the grantee or its employees in the performance of work under this grant.

Subject writings include such items as reports, books, journal articles, software, databases, sound recordings, videotapes and videodiscs.

### *b. Copyright Ownership, US Government License*

Except as otherwise specified in the grant or by this paragraph, the grantee may own or permit others to own copyright in all subject writings. The grantee agrees that if it or anyone else does own copyright in a subject writing, the US government will have a nonexclusive, nontransferable, irrevocable, royalty-free license to exercise or have exercised for or on behalf of the US throughout the world all the exclusive rights provided by copyright. Such license, however, will not include the right to sell copies or phonorecords of the copyrighted works to the public.

### *c. Grants Affected by International Agreements*

If the grant indicates it is subject to an identified international agreement or treaty, NSF can direct the grantee to convey to any foreign participant or otherwise dispose of such rights to subject writings as are required to comply with that agreement or treaty.

### *d. Grantee Action to Protect US Government Interests*

The grantee agrees to acquire, through written agreement or an employment relationship, the ability to comply with the requirements of the preceding paragraphs and, in particular, to acquire the ability to convey rights in a subject writing to a foreign participant if directed by NSF under the previous paragraph. The grantee further agrees that any transfer of copyright or any other

rights to a subject writing, by it or anyone whom it has allowed to own such rights, will be made subject to the requirements of this article.

## 21. Public Access to Copyrighted Material

**NSF's Public Access Policy applies to awards, funded in whole or in part, as a result of proposals submitted, or due, on or after January 25, 2016. NSF's Public Access Policy may be viewed at [http://www.nsf.gov/news/special\\_reports/public\\_access/](http://www.nsf.gov/news/special_reports/public_access/).**

NSF's policy on public access to copyrighted material (Public Access Policy) reflects the Foundation's commitment to making certain that, to the extent possible, the American public, industry and the scientific community have access to the results of federally funded scientific research. Pursuant to this policy, awardees must ensure that all articles in peer-reviewed scholarly journals and papers in juried conference proceedings:

- are deposited in a public access compliant repository (as identified in the Public Access Policy);
- are available for download, reading and analysis within 12 months of publication;
- possess a minimum set of machine-readable metadata elements as described in the Public Access Policy;
- are reported in annual and final reports with a persistent identifier.

Either the final printed version or the final peer-reviewed manuscript is acceptable for deposit.

## 22. Program Income

### a. *Definition*

The following provisions implement applicable portions of 2 CFR § 200.307. Program income means gross income earned by the grantee that is directly generated by a supported activity or earned as a result of the grant during the period of performance. Program income includes, but is not limited to, income from fees for services performed, the use of rental or real or personal property acquired under the grant, the sale of commodities or items fabricated under the grant, license fees and royalties on patents and copyrights and principal and interest on loans made with grant funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal statutes, regulations, or the terms and conditions of the grant, program income does not include rebates, credits, discounts and interest earned on any of them. Note that registration fees collected under NSF-supported conferences are considered program income.

### b. *NSF Policy*

#### 1. *Standard Treatment*

Unless otherwise specified in the grant, program income received or accruing to the grantee during the period of the grant is to be retained by the grantee, added to the funds committed to the project by NSF, and thus used to further project objectives. The grantee has no obligation to NSF with respect to program income received beyond the period of the grant. The grantee

also shall have no obligation to NSF with respect to program income earned from license fees and royalties for copyrighted material, patents, patent applications, trademarks, and inventions produced under a grant (see [PAPPG Chapter VIII.D.4](#)). However, Patent and Trademark Amendments (35 USC 18) shall apply to inventions made under a grant. See also FAQ 200.307.1 of the [Frequently Asked Questions for The Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR § 200](#) regarding Fees and Royalties and Bayh-Dole.

Efforts should be made to avoid having unexpended program income remaining at the end of the grant. Program income earned during the project period should be expended prior to requesting reimbursement against the grant. In the event a grantee has unexpended program income remaining at the end of the grant, it must be remitted to NSF by crediting costs otherwise chargeable against the grant. If it is not possible to record the credit via ACM\$, the excess program income must be remitted to NSF electronically or by check payable to the National Science Foundation.

## 2. *Special Treatment*

In exceptional circumstances, NSF may approve use of a special grant provision to restrict or eliminate a grantee's control of income earned through NSF-supported activities if it determines that this would best serve the purposes of a particular program or grant. The special provisions may require treatment of the program income via use of the deductive method, the Federal share of program income be kept in a separate account, or reported on and/or remitted for such periods as may be reasonable under the circumstances.

If, in accordance with the grant terms and conditions program income is designated for deductive treatment, it must be remitted to NSF by crediting costs otherwise chargeable against the grant. Program Income in excess of the grant will be remitted to NSF electronically or by check payable to the National Science Foundation.

### c. *Records Retention*

The grantee is required to retain appropriate financial and other records relating to project income earned during the grant period of performance and for three years beyond the date of submission of the final financial disbursements in ACM\$. For instructions regarding final disbursement reporting, see [PAPPG Chapter VIII.E](#).

### d. *Reporting Requirements*

On an annual basis, grantees are required to submit a Program Income Reporting Worksheet to NSF in order to report program income earned/expended for any of their grants during the previous twelve months or to validate that they did not earn/expend program income for any of their grants during the applicable period. The Program Income Reporting Worksheet utilizes the standard OMB-approved Government-wide data elements from the Program Income section of the Federal Financial Report (SF 425) and is due 45 days after the end of the Federal Fiscal Year. The Program Income Reporting Worksheet and related instructions are available through Research.gov (<http://research.gov/programincome>).

Failure to report program income or to validate that no program income was earned or expended could result in suspension of future grant payments.

## **23. Publications**

### *a. Acknowledgment of Support*

The grantee is responsible for assuring that an acknowledgment of NSF support:

1. is made in any publication (including World Wide Web sites) of any material based on or developed under this project, in the following terms:

"This material is based upon work supported by the National Science Foundation under Grant No. (NSF grant number)."

2. is orally acknowledged during all news media interviews, including popular media such as radio, television and news magazines.

### *b. News Releases*

The grantee is strongly encouraged to consult with and notify the cognizant NSF Program Officer or his/her designee prior to issuing news releases concerning NSF-supported activities.

### *c. Disclaimer*

The grantee is responsible for assuring that every publication of material (including World Wide Web pages) based on or developed under this grant, except scientific articles or papers appearing in scientific, technical or professional journals, contains the following disclaimer:

"Any opinions, findings and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the National Science Foundation."

### *d. Copies for NSF*

The grantee is responsible for assuring that the cognizant NSF Program Officer is provided access to, either electronically or in paper form, a copy of every publication of material based on or developed under this grant, clearly labeled with the grant number and other appropriate identifying information, promptly after publication.

### *e. Metric System*

The Metric Conversion Act of 1975 (15 USC §§ 205a-k) and Executive Order (E.O.) 12770 (3 CFR § 1991 comp.) encourage Federal agencies to use the Metric System in procurement, grants and other business-related activities. All reports and publications resulting from this NSF grant are encouraged to use the metric system of measurements.

## **24. Patent Rights**

Unless otherwise provided in the grant, if this grant is for experimental, developmental, or research work, the clause found in the NSF PAPPG at: [https://www.nsf.gov/pubs/policydocs/pappg17\\_1/pappg\\_11.jsp#XID1](https://www.nsf.gov/pubs/policydocs/pappg17_1/pappg_11.jsp#XID1) (implementing the Bayh-Dole Act, [35 USC 200 et seq.]) applies. The grantee will include that clause in all subawards for experimental, developmental, or research activities.

## 25. Cost Sharing and Cost Sharing Records

### a. *General*

1. The grantee must cost share in accordance with any amount specified on Line M of the grant budget. Cost sharing participation in other projects may not be counted towards meeting the specific cost sharing requirements of the grant, and must come from non-Federal sources.
2. Should the grantee become aware that it may be unable to provide the cost sharing amount identified on Line M of the NSF grant budget, it must: a) immediately provide written notification to the cognizant NSF Grants Officer of the situation; and b) indicate steps it plans to take to secure replacement cost sharing; or c) indicate the plans it has to either continue or phase out the project in the absence of the approved level of cost sharing.
3. Should NSF agree to the organization's proposed plans, the cognizant NSF Grants Officer will modify the grant accordingly, including, if appropriate, reducing the amount of NSF support. Should the organization's plans be unacceptable to NSF, the grant may be subject to termination. NSF modifications to proposed cost sharing revisions are made on a case-by-case basis.
4. Failure by the organization to notify NSF, in accordance with paragraph 2. above, may result in the following: disallowance of some or all of the costs charged to the grant; the subsequent recovery by NSF of some or all of the NSF funds provided under the grant; possible termination of the grant; and violation of the terms of the grant so serious as to constitute grounds for subsequent suspension or debarment.

### b. *Cost Sharing Records*

The grantee must maintain records of all project costs that are claimed by the grantee as cost sharing as well as records of costs to be paid by the Government. Such records are subject to audit. Acceptable forms of cost sharing contributions are those that meet the criteria identified in 2 CFR § 200.306. Unless otherwise specified in the grant, approval is given to include unrecovered indirect costs (also known as facilities and administrative costs for colleges and universities) as part of cost sharing or matching contributions. If the grantee's cost participation includes in-kind contributions, the basis for determining the valuation for volunteer services and donated property must be documented.

### c. *Cost Sharing Reports*

The amount of mandatory cost sharing must be documented (on an annual and final basis), certified by the Authorized Organizational Representative, and reported to the cognizant NSF Program Officer via use of NSF's electronic systems. Such notifications must be submitted no later than 90 days prior to the end of the current budget period to meet the annual notification requirement, and no later than 120 days following the end date of the grant to meet the final notification requirement. The cost share notification is considered due during the 90 or 120 day period respectively. The notification becomes overdue **the day after the respective 90 or 120 day period ends.** Note, however, that standard grants made prior to January 25, 2016 retain

the requirement to submit final cost sharing reports no later than 90 days following the end date of the grant.

## **26. Audit and Records**

- a. Financial records, supporting documents, statistical records and other records pertinent to this grant shall be retained by the grantee for a period of three years from submission of the Final Project Report specified in Article 14b.
  1. Records that relate to audits, appeals, litigation or the settlement of claims arising out of the performance of the project shall be retained until final disposition of such audits, appeals, litigation or claims has been reached.
  2. Records relating to projects subject to special project income provisions shall be retained until three years from the end of the grantee's fiscal year in which the grant requirement for reporting income expires.
- b. Unless court action or audit proceedings have been initiated, the grantee may substitute electronic copies of original records.
- c. The Director of the National Science Foundation and the Comptroller General of the US, or any of their duly authorized representatives, shall have access to any pertinent books, documents, papers and records of the grantee and of the performing organization, if different, to make audits, examinations, excerpts and transcripts. Further, any negotiated contract in excess of the simplified acquisition threshold (currently \$150,000) made by the grantee shall include a provision to the effect that the grantee, the Director of the National Science Foundation, the Comptroller General of the US, or any of their duly authorized representatives shall have access to pertinent records for similar purposes.
- d. In order to avoid duplicate record keeping, NSF may make special arrangements with the grantee to retain any records that are needed for joint use. NSF may request transfer to its custody of records not needed by the grantee when it determines that the records possess long-term retention value. When the records are transferred to or maintained by NSF the three-year retention requirement is not applicable to the grantee. In the rare event that this provision is exercised, NSF will negotiate a mutually agreeable arrangement with the grantee regarding reimbursement of costs.

## **27. Site Visits**

NSF, through authorized representatives, has the right, at all reasonable times, to make site visits to review project accomplishments and management control systems and to provide such technical assistance as may be required. If any site visit is made by NSF on the premises of the grantee or a subrecipient under a grant, the grantee shall provide and shall require its subrecipients to provide all reasonable facilities and assistance for the safety and convenience of the US Government representatives in the performance of their duties. All site visits and evaluations shall be performed in such a manner that will not unduly delay the work.



## 28. Suspension or Termination

- a. Any suspension or termination action taken by NSF must be issued by a cognizant NSF Grants Officer and will be in accordance with this article and [PAPPG Chapter XII.A.](#)
- b. The grant may be suspended or terminated in whole or in part in any of the following situations by:
  1. NSF when the grantee fails to comply with the terms and conditions of the grant;
  2. NSF when the Foundation has cause;
  3. NSF when ordered by the Deputy Director under NSF's Regulation on Research Misconduct [45 CFR Part 689];
  4. mutual agreement of NSF and the grantee; or
  5. the grantee on written notice to NSF setting forth the reasons for such action, the effective date, and, in the case of partial termination, the portion to be terminated or suspended (with the understanding that if NSF determines that the unterminated portion will not accomplish the purposes of the grant, it may suspend or terminate the entire grant).
- c. Normally, action by NSF to suspend or terminate a grant will be taken only after the grantee has been informed by NSF of any deficiency on its part and given an opportunity to correct it; but NSF may immediately suspend or terminate the grant without notice when it believes such action is reasonable to protect the interests of the Government.
- d. No costs incurred during a suspension period or after the effective date of a termination will be allowable, except those costs which, in the opinion of NSF, the grantee could not reasonably avoid or eliminate, or which were otherwise authorized by the suspension or termination notice, provided such costs would otherwise be allowable under the terms of the grant and the governing cost principles.
- e. Within 30 days of the termination date, the grantee will furnish a summary of progress under the grant and an itemized accounting of costs incurred prior to the termination date or pursuant to d, above. Final allowable costs under a termination settlement shall be in accordance with the terms of the grant, including this article, and the governing cost principles, giving due consideration to the progress under the grant. In no event will the total of NSF payments under a terminated grant exceed the grant amount, or the NSF pro rata share of the total project costs when cost sharing was anticipated, whichever is less.
- f. When an NSF grant is terminated or partially terminated, both NSF and the grantee remain responsible for compliance with the requirements in 2 CFR §§ 200.343 Closeout and 200.344 Post-closeout adjustments and continuing responsibilities.
- g. A notice of termination other than by mutual agreement and/or the final settlement amount may be subject to review pursuant to Article 29.
- h. NSF will report grant terminations to the Office of Management and Budget designated integrity and performance system in accordance with Federal regulation, but only after

the grantee has had an opportunity to exhaust the review procedures contained in [PAPPG Chapter XII.B.](#)

## **29. Termination Review Procedure**

- a. A request for review of a notice of termination or settlement should be addressed to the Division Director, Division of Grants and Agreements, National Science Foundation, 4201 Wilson Blvd., Arlington, VA, 22230. It must be postmarked no later than 30 days after the date of the letter notifying the grantee of the termination or settlement.
- b. The request for review must contain a full statement of the grantee's position and the pertinent facts and reasons in support of such position.
- c. Review of a notice of termination or settlement will be conducted in accordance with [PAPPG Chapter XII.B.3.](#)
- d. Pending resolution of the request for review, the notice of termination shall remain in effect.

## **30. Human Research Subjects**

The grantee is responsible for the protection of the rights and welfare of any human subjects involved in research, development and related activities supported by this grant. The grantee agrees to comply with the NSF regulation, entitled, "Protection of Human Subjects [45 CFR 690]."

## **31. Life Sciences Dual Use Research of Concern (DURC)**

This Article applies to all research, for which NSF grant funds may be used, that potentially falls within the scope of the [US Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern](#) as published in September 2014, hereafter referred to as the "Policy". See also [PAPPG Chapter XI.B.5.](#)

Grantees are responsible for monitoring the research progress and for implementation of all appropriate biosafety and biosecurity risk mitigation measures including compliance with all applicable laws and regulations related to that implementation, including the Policy specified above. (See also <http://osp.od.nih.gov/office-biotechnology-activities/biosecurity/dual-use-research-concern> for Frequently Asked Questions, case studies and other educational materials on DURC.)

## **32. Animal Welfare**

Grants involving the care or use of vertebrate animals shall comply with all applicable laws in the foreign country where the activities will be conducted and the [International Guiding Principles for Biomedical Research Involving Animals](#) will be followed.

## **33. Trafficking in Persons**

Grantees shall comply with the Trafficking Victims Protection Act of 2000 (22 USC 7104(g)) as implemented by [2 CFR 175.](#)

#### **34. Research Involving Recombinant or Synthetic Nucleic Acid Molecules Outside the US**

If this grant supports research involving recombinant or synthetic nucleic acid molecules that is performed outside of the US using funds provided by NSF for transportation, salaries or direct research expenses, the grantee agrees to comply with the [Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules](#) (NIH Guidelines) including the procedural requirements and any subsequent revisions as they are published in the Federal Register or host country standards. If the research is to be carried out in a country that has adopted guidelines comparable to those of the US, a document with information and endorsements assuring compliance to the host organization standards must be submitted to the cognizant NSF Program Officer.

NSF funds may not be used to carry out research using recombinant or synthetic nucleic acid molecules research in a country that has not adopted national guidelines unless the research is in full compliance with the Guidelines and the procedures required for NSF-supported research within the US. Further information on research grants that involve recombinant or synthetic nucleic acid molecules can be found in [PAPPG Chapter XI.B.2.](#)

#### **35. Whistleblower Protection**

Grantees are notified of the applicability of 41 USC § 4712, as amended by P.L. 112-239, providing protection for whistleblowers.

#### **36. Recipient Integrity and Performance Matters**

Recipients shall fully comply with the requirements stipulated in [Appendix XII to Part 200](#) of 2 CFR § 200, entitled "*Award Term and Condition for Recipient Integrity and Performance Matters.*" See also Article 28 of these terms and conditions for NSF's responsibilities regarding reporting grant terminations to the OMB-designated integrity and performance system in accordance with Federal regulation.

#### **37. Resolution of Conflicting Conditions**

Should there be any inconsistency between any special conditions contained in the notice of award and these International Research Terms and Conditions, the special conditions in the grant shall control.

Should there be any inconsistency between these International Research Terms and Conditions, any special conditions contained in the notice of award, and any NSF solicitations cited or included by reference in the notice of award, the matter should be referred to the cognizant NSF Grants Officer for guidance.

### **OTHER CONSIDERATIONS**

#### **38. Liability**

NSF cannot assume any liability for accidents, bodily injury, illness, breach of contract, any other damages or loss, or any claims arising out of any activities undertaken pursuant to the grant, whether with respect to persons or property of the grantee or third parties. The grantee is advised to insure or otherwise protect itself or others, as it may deem desirable.

**39. Sharing of Findings, Data and Other Research Products**

- a. NSF expects significant findings from research and education activities it supports to be promptly submitted for publication, with authorship that accurately reflects the contributions of those involved. It expects investigators to share with other researchers, at no more than incremental cost and within a reasonable time, the data, samples, physical collections and other supporting materials created or gathered in the course of the work. It also encourages grantees to share software and inventions or otherwise act to make the innovations they embody widely useful and usable.
- b. Adjustments and, where essential, exceptions may be allowed to safeguard the rights of individuals and subjects, the validity of results, or the integrity of collections or to accommodate legitimate interests of investigator

**40. Government Permits and Activities Carried On Outside the US**

- a. For grants that include activities requiring permits from appropriate Federal, State, or local government authorities, the grantee should obtain any required permits prior to undertaking the proposed activities.
- b. The grantee should assure that grant activities carried on outside the US are coordinated as necessary with appropriate US and foreign government authorities and that necessary licenses, permits or approvals are obtained prior to undertaking proposed activities. NSF does not assume responsibility for grantee compliance with the laws and regulations of the country in which the work is to be conducted.