

DOC Research Terms and Conditions: Agency-Specific Requirements

Effective November 12, 2020

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- (a) State which awards are covered by the Research Terms and Conditions. (If an agency wants to make a point of the fact that a particular class of awards is not covered, it should state these, too.)**

The Department of Commerce (DOC) will implement the Government-wide core set of research terms and conditions for all research financial assistance awards subject to 2 CFR Part 200, in addition to any Department and Bureau-specific terms and conditions that may apply. Awards made by the Department and its Bureau shall apply the terms and conditions stipulated in the award. Upon the issuance of a funded amendment or renewal, the Government-wide core set of research terms and conditions will be incorporated into the award.

For awards designated as Research on the award document cover sheet, currently the CD-450, the DOC Financial Assistance Standard Terms and Conditions (STCs) and the Federal-wide Research Terms and Conditions (RTCs) as implemented by DOC, currently at <https://www.nsf.gov/awards/managing/rtc.jsp>, both apply to the award. The STCs and the RTCs are generally intended to harmonize with each other; however, where the STCs and the RTCs differ in a Research award, the RTCs prevail, unless otherwise indicated in a specific award condition.

DOC permits the recipient or pass through entity to have more restrictive policies for the RTC waived prior approvals (no-cost extensions, re-budgeting, etc.) for their subaward recipients. Such restrictive policies must be addressed in the subaward agreements.

- (b) State any additional prior approval requirements not included in the Uniform Guidance and/or RTC overlay.**

Unless otherwise specified in the award, no additional prior approvals are required. However, DOC does waive specific prior approval requirements for awards governed by research terms and conditions. Refer to the DOC approvals in the most recent Research Terms and Conditions Prior Approval and Other Requirements Matrix.

- (c) State which categories of costs aside from those identified in the Uniform Guidance that are unallowable as direct charges.**

None, unless specified in an individual award.

(d) Provide contact information for technical matters (titles, not individuals).

Questions of a programmatic or technical nature should be directed to the Federal Program Officer (FPO) identified in the award.

(e) Provide contact information for administrative matters (titles, not individuals).

Questions of an administrative nature should be directed to the Grants Specialist or Grants Officer identified in the award.

(f) Provide contact information for intellectual property (titles, not individuals)

Intellectual property rights are addressed in the DOC STCs; however, questions regarding intellectual property matters should be directed to the Program Officer identified in the award.

(g) State other agency-specific requirements, with reference to the Uniform Guidance or RTC Overlay, where possible.

Other agency-specific requirements include: (1) DOC Financial Assistance STCs; (2) Bureau-specific requirements identified with the award; and (3) any specific conditions instituted by the Grants Officer.

(h) State whether revised budgets must be submitted on agency forms or formats.

All revised budgets must be reported in the Research Performance Progress Report (RPPR), under "Changes/Problems".

If prior approval is required, revised budgets should be submitted on the SF424A and, if applicable, other OMB-approved forms as requested. The SF424A should reflect the approved budget versus the requested budget revision and should be accompanied with the request for the revision, in addition to a revised budget narrative. Any revision must contain information in accordance with §200.308 - Revision of budget and program plans, and in accordance with guidance provided by the Bureau, if applicable.

(i) Specify format, content, and timing of technical reporting.

Format and Content: The RPPR shall be completed as specified in the award.

Frequency: Performance reports are due as specified in the award.

(j) Specify form and timing of financial reporting.

Federal Financial Reports (FFRs/SF-425s) are due as specified in the award. Reports are due no later than 30 days following the end of each reporting period. A final SF-425 shall be submitted within 120 days after the end of the award's period of performance.

Request for Advance or Reimbursement (SF-270) are only for those: (1) not using the Department of Treasury Automated Standard Application for Payments (ASAP) system; or (2) with specific conditions and/or corrective action recipients.

(k) State any additional documentation besides progress reports that are needed to trigger incremental funding.

None, unless otherwise specified in the award.

(l) Provide links to agency websites that house grant policy and procedural guidelines and other information of interest to award recipients.

- DOC Grants Policy: <https://www.commerce.gov/oam/policy/financial-assistance-policy>
- Research Terms and Conditions: <http://www.nsf.gov/awards/managing/rtc.jsp>
- 2 CFR Part 200: http://www.ecfr.gov/cgi-bin/textidx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl
- NIST-specific: <https://www.nist.gov/oaam/grants-management-division>
- NOAA-specific: <https://www.noaa.gov/organization/acquisition-grants/financial-assistance>