



**NATIONAL SCIENCE FOUNDATION (NSF)  
International Research Terms and Conditions (IRTC)  
Effective October 4, 2021**

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Effective October 4, 2021, 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 October 4, 2021.

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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 Code of Federal Regulations (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 award notice. 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 §§200.331-332.

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) (PI)<sup>1</sup> and co-PIs receive a copy of the grant conditions, including: the award notice, the budget, these general terms and conditions, any special terms and conditions, and any subsequent changes in the grant conditions.

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<sup>1</sup> For purposes of the terms and conditions, the term Principal Investigator (PI) and co-PI also includes the term Project Director and co-Project Director.

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. Award notices 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 award notices for their organizations, and PIs and co-PIs can access their individual award notices through use of the FastLane system.

## **2. Prior Approval Requirements**

- a. Unless otherwise specified in the award notice, the grantee must obtain NSF prior written approval as specified in the *Research Terms and Conditions* Appendix A, Prior Approval Matrix.
- b. Requests for NSF prior written approval in the matrix specified must be submitted via the use of NSF's electronic systems. Those prior approval requirements that do not have a specific request type in NSF's electronic systems must be submitted via use of the "Other" category in Research.gov.

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

- a. The grantee may approve pre-award costs incurred within the 90- 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.
- d. In accordance with 2 CFR §200.458, if pre-award costs are charged to the grant, these costs must be charged to the initial budget period, unless otherwise specified in the award notice.

## **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, the grantee is 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 and Agreements 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.

## **6. Equipment**

Equipment falls under the umbrella of property, which consists of real property and personal property (tangible and intangible). The standards for managing, tracking, and disposing of property funded by NSF or any property acquired for a project under an NSF grant are outlined in 2 CFR §§200.310-316.

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.

b. Title. Unless otherwise specified in the grant, title to equipment purchased or fabricated with NSF award funds will vest with the grantee upon acquisition. Such equipment is considered exempt property and shall be acquired and used in accordance with paragraph c. below. The grantee holds title to the property in trust consistent with [2 CFR §200.316](#), unless and until the expiration of 120 days from the award end date providing the government has not exercised its conditional interest as further described in paragraph c.7.

c. Conditions for Acquisition and Use of Equipment

1. Grantee Assurance. The grantee will assure that for each purchase of equipment, it is:

- (a) necessary for the research or activity supported by the grant;
- (b) not otherwise reasonably available and accessible;
- (c) of the type normally charged as a direct cost to sponsored agreements; and
- (d) acquired in accordance with organizational practice.

2. General Purpose Equipment. Expenditures for general-purpose equipment are typically not eligible for support (see [PAPPG Chapter IX.D.2.b](#)).
3. Equipment Usage. The equipment must remain in use for the specific project for which it was obtained in accordance with [2 CFR §200.313\(c\)\(1\)](#), unless the provision in [2 CFR §200.313\(c\)\(4\)](#) applies.
4. Equipment Sharing. The equipment must be shared on other projects or programs in accordance with [2 CFR §200.313\(c\)\(1\)](#).
5. Property Management Requirements. The grantee shall maintain a property management system that, at a minimum, meets the requirements of [2 CFR §200.313\(d\)](#), which requires a physical inventory every two years, ensures adequate safeguards to prevent loss, damage, or theft of the property, and provides for maintenance procedures to keep the property in good condition.
6. Competition. The grantee must not use equipment acquired with the Federal award to provide services for a fee that is less than private companies charge for equivalent services, unless specifically authorized by Federal statute for as long as the Federal government retains an interest in the equipment in accordance with [2 CFR §200.313\(c\)\(3\)](#).
7. Right to Transfer Title. In accordance with 2 CFR §200.313(e), NSF may identify items of equipment having an acquisition cost of \$5,000 or more where NSF reserves the right to transfer the title to the Federal Government or a third party named by the Federal Government at any time during the grant period. In cases where NSF elects to transfer the title, disposition instructions will be issued no later than 120 days after the end date of the NSF-supported project for which it was acquired.

## **7. Participant Support Costs**

- a. Participant support costs as defined in 2 CFR §200.1 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. NSF prior written 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. NSF approval of such changes will be by an amendment to the grant signed by the cognizant NSF Grants and Agreements Officer. The grantee 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 the grantee 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. Project Changes

Consistent with 2 CFR §200.308, the grantee is required to obtain NSF prior written approval whenever there are changes in the project as stipulated below.

### a. Subawarding or Transferring Part of an NSF Award (Subaward)

1. If the intention to subaward or transfer part of the project to another organization has been disclosed in the proposal, NSF authorization is not needed unless approval has been specifically withheld in the award notice.

2. If it becomes necessary to subaward or transfer part of an NSF award 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.4](#) for additional information). NSF approval of such changes will be by an amendment to the grant.

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 §§200.331-332. This includes ensuring necessary documentation for all subawards is maintained for the same retention period as the grantee's 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 requirements specified in 2 CFR §200.332, the grantee must adhere to the requirements for pass-through entities in establishing and managing subawards issued under the grant. In addition, the grantee shall ensure that the following articles, if applicable, flow down to all subrecipients, or are appropriately addressed in the subaward instrument: Articles 5, 9 through 11, 16 through 20, 22 through 25, 30 through 37, 39, 40 and 43 through 45.

### 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.

### c. Long-Term Disengagement or Change of PI or co-PI

If a named PI or co-PI 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)(3) 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. Except as noted in paragraph b. below, the requirements for NSF prior written approval specified in 2 CFR §200.475 are waived.

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 conditions outlined in 2 CFR §475(c)(2). See also 2 CFR §432.

NSF prior written approval is required for travel costs for dependents and must be requested via use of NSF's electronic systems. NSF approval of such changes will be by an amendment to the grant.

Temporary dependent care costs (as dependent is defined in 26 United States Code (USC) §152) above and beyond regular dependent care that directly results from travel to conferences is allowable as outlined in 2 CFR §200.475(c)(1).

### c. Use of U.S.-Flag Air 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 U.S. 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 U.S.-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 U.S. flag air carrier's designator code and flight number.

2. For the purposes of this requirement, U.S.-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 non-U.S. flag air carrier;

(b) non-U.S. flag air carrier service is preferred by, or is more convenient for, NSF or traveler; or

(c) service by a non-U.S.-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 U.S. being performed by a non-U.S. flag air carrier:



(a) a U.S.-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 U.S.-flag air carrier does not serve an origin or interchange point, a non-U.S. flag air carrier shall be used only to the nearest interchange point on a usually traveled route to connect with a U.S. flag air carrier.

d. Use of Non-U.S. Flag Air Carriers

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

1. Airline "Open Skies" Agreements

A non-U.S. 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 U.S./European Union Open Skies Agreement

In 2007, the U.S. 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 U.S. 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 U.S./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 U.S. 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 U.S. and points in the EU.

2. Involuntary Rerouting

Travel on a non-U.S. flag air carrier is permitted if a U.S.-flag air carrier involuntarily reroutes the traveler via a non-U.S. flag air carrier, notwithstanding the availability of alternative U.S.-flag air carrier service.

### 3. Travel To and From the U.S. *on non-European Community Airlines*

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

- (a) the traveler's origin or destination airport, and use of U.S.-flag air carrier service would extend the time in a travel status by at least 24 hours more than travel by a non-U.S. flag air carrier; or
- (b) an interchange point and use of U.S.-flag air carrier service would increase the number of aircraft changes the traveler must make outside of the U.S. 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 non-U.S. flag air carrier.

### 4. Travel Between Points Outside the U.S. *on non-European Community Airlines*

Use of a non-European Community non-U.S. flag air carrier is permissible if:

- (a) travel by a non-U.S. flag air carrier would eliminate two or more aircraft changes en route;
- (b) travel by a U.S.-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 U.S. and use of a U.S.-flag air carrier would extend the time in a travel status by at least six hours more than travel by a non-U.S. flag air carrier.

### 5. Short Distance Travel

For all short distance travel, regardless of origin and destination, use of a non-U.S. flag air carrier is permissible if the elapsed travel time on a scheduled flight from origin to destination airport by a non-U.S. flag air carrier is three hours or less and service by a U.S.-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 are allowable as indirect costs.

b. Special arrangements and alterations costs incurred specifically for the NSF grant aggregating \$25,000 or less 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. rearrangement and reconversion costs 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 reconversion to be allowed, the grantee must secure a lease for the length of the project.

c. Rearrangement and reconversion costs exceeding \$25,000 require NSF prior written approval via use of NSF's electronic systems. Note that 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>2</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 that govern Federal awards can be found in 2 CFR §200, Subpart E.

c. Separate guidance for for-profit organizations can be found in the *Federal Acquisition Regulation*, Part 31.

d. 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\$, the grantee must provide award level detail at the time of the payment request. The grantee should request payments in amounts necessary to meet their current needs, 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, the grantee is required to maintain advances of Federal funds in interest-bearing accounts. The grantee 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 is contained in 2 CFR §200.305(b)(9).

## **13. Continuing Grant Increments**

Unless otherwise specified, each successive increment of a continuing grant will be funded at the level specified in the original award notice 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.

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<sup>2</sup> Consistent with 2 CFR §200.453(c), 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.

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>3</sup>

2. **Content of Annual Project Reports.** Unless otherwise specified in the grant, the Research Performance Progress Report (RPPR), as implemented by NSF in Research.gov, must be used for preparation of 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 no later than 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 not limited to, no cost extensions for all identified PIs and co-PIs 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.**

2. **Content of Final Project Report.** The RPPR, as implemented by NSF 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. By submitting the final project report, the grantee is signifying that the scope of work for the project has been completed and the grantee does not anticipate that any further research activities (including a no-cost extension, supplemental funding, or transfer of the grant) need to be completed on the project. Submission of the final project report, however, does not preclude the grantee from requesting any further payments for costs incurred during the period of performance.

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<sup>3</sup> Submission of an "interim" report via Research.gov does not constitute compliance with the annual reporting requirement.

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 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. By submitting the project outcomes report, the grantee is signifying that the scope of work for the project has been completed and the grantee does not anticipate that any further research activities (including a no-cost extension, supplemental funding, or transfer of the grant) need to be completed on the project. Submission of the project outcomes report, however, does not preclude the grantee from requesting any further payments for costs incurred during the period of performance. For information about the content of the report, see [PAPPG Chapter VII.D.3](#).

d. In accordance with 2 CFR §200.344(i), if the grantee does not submit all required reports within one year of the period of performance end date, NSF must report the grantee's material failure to comply with the terms and conditions of the award with the Office of Management and Budget (OMB)-designated integrity and performance system (currently Federal Awardee Performance and Integrity Information System (FAPIS)). NSF may also pursue other enforcement actions per 2 CFR §200.339.

## **15. Expenditure Reports**

The grantee must submit final payment requests through ACM\$ 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 ACM\$ to collect the final financial data for awards paid through that system. No additional interim or final financial reporting is required.

For instructions regarding final disbursement reporting, see [PAPPG Chapter VIII.E](#).

## **16. Responsible and Ethical 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 the grantee must have a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research (RECR) to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research. Training plans are subject to review, upon request.

The grantee must designate one or more persons to oversee compliance with the RECR training requirement. The grantee is 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.

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

## **17. Reporting Subawards and Executive Compensation**

**This award term was extracted verbatim from Appendix A to Part 170. For these purposes, the term “you” means the NSF grantee.**

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

1. **Applicability.** Unless exempt as provided in paragraph d. of this award term, you must report each action that equals or exceeds \$30,000 in Federal funds for a subaward to a non-Federal entity or Federal agency (see definitions in paragraph e. of this award term).

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

(i) The non-Federal entity or Federal agency must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.

(ii) 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 <http://www.fsrs.gov> specify.

### **b. Reporting total compensation of recipient executives for non-Federal entities.**

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:

i. the total Federal funding authorized to date under this Federal award equals or exceeds \$30,000 or more as defined in 2 CFR §170.320;

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

(A) 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

(B) \$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

(iii) 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:

(i) As part of your registration profile at <https://www.sam.gov>.

(ii) 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 non-Federal entity subrecipient under this grant, the recipient 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-

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

(A) 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

(B) \$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

(ii) 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:

(i) To the recipient.

(ii) 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:

(i) Subawards,

and

(ii) The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. *Federal Agency* means a Federal agency as defined at 5 U.S.C. 551(1) and further clarified by 5 U.S.C. 552(f)

2. *Non-Federal entity* means all of the following, as defined in 2 CFR part 25:

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

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization; and,

(iv) A domestic or foreign for-profit organization.

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

4. *Subaward*:

(i) 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.

(ii) 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).

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

5. *Subrecipient* means a non-Federal entity or Federal agency that:

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

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

6. *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)).



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

This award term was extracted verbatim from Appendix A to Part 25. For these purposes, the term “you” means the NSF grantee.

### A. Requirement for System for Award Management

Unless you are exempted from this requirement under 2 CFR §25.110, you as the recipient must maintain current information in the SAM. This includes information on your immediate and highest level owner and subsidiaries, as well as on all of your predecessors that have been awarded a Federal contract or Federal financial assistance within the last three years, if applicable, until you submit the final financial report required under this Federal 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 Federal award term.

### B. Requirement for Unique Entity Identifier

If you are authorized to make subawards under this Federal 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 until the entity has provided its Unique Entity Identifier to you.
2. May not make a subaward to an entity unless the entity has provided its Unique Entity Identifier to you. Subrecipients are not required to obtain an active SAM registration but must obtain a Unique Entity Identifier.

### C. Definitions

For purposes of this term:

1. *System for Award Management (SAM)* means the Federal repository into which a recipient must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <https://www.sam.gov>).
2. *Unique Entity Identifier* means the identifier assigned by SAM to uniquely identify business entities.
3. *Entity* includes non-Federal entities as defined at 2 CFR §200.1 and also includes all of the following, for purposes of this part:
  - a. A foreign organization;
  - b. A foreign public entity;
  - c. A domestic or foreign for-profit organization; and
  - d. A Federal agency.

4. *Subaward* has the meaning given in 2 CFR §200.1.
5. *Subrecipient* has the meaning given in 2 CFR §200.1.

## **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 U.S. Government agency without the specific written approval of such information collection plan or device by NSF. This requirement, however, 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. Definition

*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, U.S. 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 U.S. government will have a nonexclusive, nontransferable, irrevocable, royalty-free license to exercise or have exercised for or on behalf of the U.S. 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 U.S. 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 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, the grantee 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.

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 an award (see [PAPPG Chapter VIII.D.4](#)). However, Patent and Trademark Amendments (35 USC §18) shall apply to inventions made under a grant.

Efforts should be made to avoid having unexpended program income remaining at the end date 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 program 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, the grantee is required to submit a Program Income Reporting Worksheet to NSF in order to report program income earned and expended for any of their grants or to validate that they did not earn and 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/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.

## **24. Intangible Property**

Unless otherwise specified in the award notice, if this grant is for experimental, developmental, or research work, the clause found in [PAPPG Chapter XI.D.1](#) (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 or Matching**

### **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 of at least the amount identified on Line M of the NSF grant budget, it must: a) immediately provide written notification to the cognizant NSF Grants and Agreements 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 and Agreements 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 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 may constitute a violation of the terms of the grant so serious as to provide 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 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.**

### 26. Audit and Records

a. Financial records, supporting documents, statistical records, and other records pertinent to this grant must 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 must 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 must 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 U.S., 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 \$250,000) 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 U.S., 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 U.S. 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. Termination and Enforcement**

a. Any suspension or termination action taken by NSF must be issued by a cognizant NSF Grants and Agreements Officer and will be in accordance with this article, 2 CFR §200.340, and [PAPPG Chapter XII.A.](#)

b. The grant may be suspended or terminated in whole or in part in any of the following situations:

1. By NSF, if the grantee fails to comply with the terms and conditions of a Federal grant;

2. By NSF, to the greatest extent authorized by law, if a grant no longer effectuates the program goals or agency priorities;

3. By NSF, with the consent of the grantee, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated.

4. By the grantee upon sending to NSF written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if NSF determines in the case of partial termination that the reduced or modified portion of the NSF grant will not accomplish the purposes for which the NSF grant was made, NSF may terminate the Federal grant in its entirety;

5. By NSF, pursuant to termination provisions included in the NSF grant; or

6. By NSF, when ordered by the Deputy Director under NSF's Regulation on Research Misconduct [45 CFR Part 689].

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. NSF, however, 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 §§200.344 and 200.345.

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 OMB-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](#). See also Article 14.d for additional information on FAPIIS.

## **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, 2415 Eisenhower Avenue, Alexandria, VA, 22314. 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 with respect to the disputed matter and the facts and rationale that support the grantee's 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 Part 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](#), hereafter referred to as the “Policy”. See also [PAPPG Chapter XI.B.5](#).

The grantee is 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 <https://osp.od.nih.gov/?s=Dual+Use+Research+of+Concern> for Frequently Asked Questions, case studies, and other educational materials on DURC.)

### **32. Investigator Financial Disclosure Policy**

If the grantee employs more than 50 persons, the grantee must maintain an appropriate written and enforced policy on conflict of interest consistent with the provisions of [PAPPG Chapter IX.A](#).

### **33. 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.

### **34. Trafficking in Persons**

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

### **35. Research Involving Recombinant or Synthetic Nucleic Acid Molecules Outside the U.S.**

If this grant supports research involving recombinant or synthetic nucleic acid molecules that is performed outside of the U.S. 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 U.S., 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 NIH Guidelines and the procedures required for NSF-supported research within the U.S. Further information on research grants that involve recombinant or synthetic nucleic acid molecules can be found in [PAPPG Chapter XI.B.2.](#)

### **36. Whistleblower Protection**

The grantee is notified of the applicability of 41 USC §4712, as amended by Public Law (P.L.) 112-239, providing protection for whistleblowers.

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

The grantee must 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. In addition, Article 14.d. specifies NSF responsibilities to report in FAPIIS a grantee’s failure to submit all required reports.

### **38. Notification Requirements Regarding Sexual Harassment, Other Forms of Harassment, or Sexual Assault**

The PI and any co-PI(s) identified on an NSF grant are in a position of trust. These individuals must comport themselves in a responsible and accountable manner during the award period of performance, whether at the grantee institution, on-line, or at locales such as field sites, facilities, or conferences/workshops.

For purposes of this term and condition, the following definitions apply:

*Sexual Harassment:* May include but is not limited to gender or sex-based harassment, unwelcome sexual attention, sexual coercion, or creating a hostile environment, as set forth in organizational policies or codes of conduct, statutes, regulations, or executive orders.

*Other Forms of Harassment:* Non-gender or non-sex-based harassment of individuals protected under federal civil rights laws, as set forth in organizational policies or codes of conduct, statutes, regulations, or executive orders.

*Finding/Determination:* The final disposition of a matter involving sexual harassment or other form of harassment under organizational policies and processes, to include the exhaustion of permissible appeals exercised by the PI or co-PI, or a conviction of a sexual offense in a criminal court of law.

*Administrative Leave/Administrative Action:* Any temporary/interim suspension or permanent removal of the PI or co-PI, or any administrative action imposed on the PI or co-PI by the grantee under organizational policies or codes of conduct, statutes, regulations, or executive

orders, relating to activities, including but not limited to the following: teaching, advising, mentoring, research, management/administrative duties, or presence on campus.

The grantee is required to notify NSF of: (1) Any finding/determination regarding the PI or any co-PI<sup>4</sup> that demonstrates a violation of grantee policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault; and/or (2) if the PI or any co-PI is placed on administrative leave or if any administrative action has been imposed on the PI or any co-PI by the grantee relating to any finding/determination or an investigation of an alleged violation of grantee policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault.<sup>5</sup> Such notification must be submitted by the AOR to NSF's Office of Equity and Civil Rights at [www.nsf.gov/harassment](http://www.nsf.gov/harassment) within ten business days from the date of the finding/determination, or the date of the placement of a PI or co-PI by the grantee on administrative leave or the imposition of an administrative action, whichever is sooner.<sup>6</sup> Each notification must include the following information:

- NSF Award Number;
- Name of PI or co-PI being reported;<sup>7</sup>
- Type of Notification: Select one of the following:
  - Finding/Determination that the reported individual has been found to have violated grantee policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault; or
  - Placement by the grantee of the reported individual on administrative leave or the imposition of any administrative action on the PI or any co-PI by the grantee relating to any finding/determination or an investigation of an alleged violation of grantee policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault.
- Description of the finding/determination and action(s) taken, if any; and
- Reason(s) for, and conditions of, placement of the PI or any co-PI on administrative leave or imposition of administrative action.

The grantee, at any time, may propose a substitute investigator if it determines the PI or any co-PI may not be able to carry out the funded project or activity and/or abide by the grant terms and conditions. The grantee is reminded of its responsibility to obtain prior written approval from

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<sup>4</sup> If a co-PI is affiliated with a subawardee organization, the Authorized Organizational Representative of the subawardee must provide the requisite information directly to NSF, as instructed in this paragraph.

<sup>5</sup> Grantee findings/determinations and placement of a PI or co-PI on administrative leave or the imposition of an administrative action must be conducted in accordance with organizational policies and processes. They also must be conducted in accordance with federal laws, regulations, and executive orders.

<sup>6</sup> Such notification must be provided regardless of whether the behavior leading to the finding/determination, or placement on administrative leave, or the imposition of an administrative action occurred while the PI or co-PI was carrying out award activities.

<sup>7</sup> Only the identification of the PI or co-PI is required. Personally identifiable information regarding any complainants or other individuals involved in the matter must not be included in the notification.

NSF in the event the investigator will be disengaged from the project for a period greater than three months. See [PAPPG Chapter VII.B.2.a.](#) for additional information.

In reviewing the notification, NSF will consider, at a minimum, the following factors:

- a. The safety and security of personnel supported by the NSF grant;
- b. The overall impact to the NSF-funded activity;
- c. The continued advancement of taxpayer-funded investments in science and scientists;  
and
- d. Whether the grantee has taken appropriate action(s) to ensure the continuity of science and that continued progress under the funded project can be made.

Upon receipt and review of the information provided, NSF will consult with the AOR, or designee. Based on the results of this review and consultation, the Foundation may, if necessary, assert its programmatic stewardship responsibilities and oversight authority to initiate the substitution or removal of the PI or any co-PI, reduce the award funding amount, or where neither of those previous options is available or adequate, to suspend or terminate the grant.

Other personnel supported by an NSF grant must likewise remain in full compliance with grantee policies or codes of conduct, statutes, regulations, or executive orders relating to sexual harassment, other forms of harassment, or sexual assault. With regard to any personnel not in compliance, the grantee must make appropriate arrangements to ensure the safety and security of other grant personnel and the continued progress of the funded project. Notification of these actions is not required under this term and condition.

### **39. Post-award Disclosure of Current Support and In-Kind Contribution Information**

If an organization discovers that a PI or co-PI on an active NSF grant failed to disclose current support or in-kind contribution information<sup>8</sup> as part of the proposal submission process (see [PAPPG Chapter II.C.2.h](#)), the AOR must submit the following information within 30 calendar days of the identification of the undisclosed current support or in-kind contribution through use of the “Other Request” category in the Notification and Request Module in Research.gov.<sup>9</sup>

#### **Post-award Disclosure of Project Support Information**

- PI/co-PI Name:
- Project Title:
- Award Number (if available):
- Source of Support:

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<sup>8</sup> The post-award disclosure requirement applies to current support (including in-kind contributions) that was active as of the date the proposal was submitted to NSF. See [NSF Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending Support](#) which has been developed to assist users in determining the types of activities that must be disclosed.

<sup>9</sup> The requisite information must be entered into the box entitled, “Proposed Change” with the box entitled, “Justification for Change” stating, “See above”.

- Primary Place of Performance:
  - Project Start and End Date:
  - Total Award Amount (including Indirect Costs): \$
  - Brief Description of the Major goals of the project:
  - Description of any Overlap/Duplication of the project with the NSF award:
  - Impact on the ability of the PI/co-PI to carry out the NSF award:
  - Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project:
- Enter the applicable year (e.g., 2020, 2021):

Enter the number of person-month(s) (or partial person-months):

- Enter the applicable year (e.g., 2020, 2021):

Enter the number of person-month(s) (or partial person-months):

- Enter the applicable year (e.g., 2020, 2021):

Enter the number of person-month(s) (or partial person-months):

- Enter the applicable year (e.g., 2020, 2021):

Enter the number of person-month(s) (or partial person-months):

- Enter the applicable year (e.g., 2020, 2021):

Enter the number of person-month(s) (or partial person-months):

**Post-award Disclosure of In-Kind Contribution Information**

- PI/co-PI Name:
  - Source of Support:
  - Primary Place of Performance:
  - Summary of In-kind Contributions:
  - Description of any Overlap/Duplication of the project with the NSF award:
  - Impact on the ability of the PI/co-PI to carry out the NSF award:
  - Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project:
- Enter the applicable year (e.g., 2020, 2021):

Enter the number of person-month(s) (or partial person-months):

- Enter the applicable year (e.g., 2020, 2021):

Enter the number of person-month(s) (or partial person-months):

- Enter the applicable year (e.g., 2020, 2021):

Enter the number of person-month(s) (or partial person-months):

- Enter the applicable year (e.g., 2020, 2021):

Enter the number of person-month(s) (or partial person-months):

- Enter the applicable year (e.g., 2020, 2021):

Enter the number of person-month(s) (or partial person-months):

- Dollar Value of In-kind Contribution: \$

Upon receipt and review of the information provided, NSF may consult with the AOR, or designee, if necessary. Based on the results of this review, the Foundation will determine the impact of the new information on the NSF-funded grant, and, where necessary, take appropriate action.

#### **40. Section 889 of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2019**

Section 889 of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2019 (Public Law 115-232) prohibits the head of an executive agency from obligating or expending loan or grant funds to procure or obtain, extend, or renew a contract to procure or obtain, or enter into a contract (or extend or renew a contract) to procure or obtain the equipment, services, or systems as identified in section 889 of the NDAA for FY 2019.

(a) In accordance with 2 CFR §200.216 and §200.471, for all awards that are issued on or after August 13, 2020, recipients and subrecipients are prohibited from obligating or expending loan or grant funds to:

(1) Procure or obtain;

(2) Extend or renew a contract to procure or obtain; or

(3) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

(i) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).

(ii) Telecommunications or video surveillance services provided by such entities or using such equipment.

(iii) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National

Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

(b) In implementing the prohibition under Public Law 115-232, section 889, subsection (f), paragraph (1), heads of executive agencies administering loan, grant, or subsidy programs shall prioritize available funding and technical support to assist affected businesses, institutions and organizations as is reasonably necessary for those affected entities to transition from covered communications equipment and services, to procure replacement equipment and services, and to ensure that communications service to users and customers is sustained.

(c) See Public Law 115-232, section 889 for additional information.

#### **41. Debarment and Suspension**

The grantee shall fully comply with the requirements stipulated in [Subpart C of 2 CFR Part 180](#), entitled "[Responsibilities of Participants Regarding Transactions](#)" as supplemented by NSF's regulations at 2 CFR Part 2520. The grantee is responsible for ensuring that any lower tier covered transaction, as described in [Subpart B of 2 CFR Part 180](#), entitled "[Covered Transactions](#)," includes a term or condition requiring compliance with Subpart C. The grantee also is responsible for further requiring the inclusion of a similar term or condition in any subsequent lower tier covered transaction. The grantee acknowledges that failing to disclose the information required under 45 CFR §180.335 may result in the termination of the grant, or pursuance of other available remedies, including suspension and debarment.

#### **42. Resolution of Conflicting Conditions**

a. If the IRTC is silent on a specific area covered by 2 CFR §200, the requirements specified in 2 CFR §200 must be followed.

b. Should there be any inconsistency between IRTC and the NSF *Proposal and Award Policies and Procedures Guide*, the IRTC governs

c. Should there be any inconsistency between any special condition(s) specified in the award notice and IRTC, the special conditions in the award notice shall govern.

d. Should there be any inconsistency between the IRTC and any NSF solicitation cited or incorporated by reference in the award notice, the matter should be referred to the cognizant NSF Grants and Agreements Officer for guidance.

#### **Other Considerations**

#### **43. 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.

#### **44. 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 the grantee 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 investigators.

#### **45. Government Permits and Activities Carried On Outside the U.S.**

The grantee should assure that grant activities carried on outside the U.S. are coordinated as necessary with appropriate U.S. 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.