



**REVISION OF THE NATIONAL SCIENCE FOUNDATION (NSF)
SMALL BUSINESS INNOVATION RESEARCH (SBIR)/SMALL BUSINESS
TECHNOLOGY TRANSFER (STTR) PHASE I GRANT GENERAL CONDITIONS
(SBIR-I)
EFFECTIVE OCTOBER 1, 2010**

Effective October 1, 2010, new NSF SBIR/STTR Phase I grants and funding amendments to existing NSF SBIR/STTR Phase I grants will begin referencing and are subject to the *NSF SBIR/STTR Phase I Grant General Conditions* (SBIR-I) dated 10/10. The complete text of the SBIR-I (as well as other NSF grant policy issuances) is available electronically on the NSF website.¹ Except as noted below (and as reflected in each specific article), the *NSF SBIR/STTR Phase I Grant General Conditions* apply to all new NSF SBIR/STTR Phase I grants and funding increments on existing NSF SBIR/STTR Phase I grants awarded on or after October 1, 2010.

The exceptions to the applicability of these *NSF SBIR/STTR Phase I Grant General Conditions* include:

- Article 15, which applies to new proposals submitted or due on or after January 4, 2010;
- Article 16, which applies to new grants of \$25,000 or more awarded on or after October 1, 2010; and
- Article 17, which applies to new grants awarded on or after October 1, 2010.

A comprehensive summary of the changes is included below. Any questions regarding these changes may be directed to the Policy Office, Division of Institution and Award Support, on (703) 292-8243 or by e-mail to policy@nsf.gov.

Significant Changes to the NSF SBIR/STTR Phase I Grant General Conditions, dated 10/10

- **Reporting Subawards and Executive Compensation, Article 16**, is a new Article which implements the award term specified in the OMB interim final guidance (September 14, 2010, 75 FR 22705). This Article requires recipients to report information regarding first-tier subawards in excess of \$25,000, and executive compensation information under those awards.
- **Central Contractor Registration and Universal Identifier Requirements, Article 17**, is a new Article which implements the award term specified in the OMB final guidance (September 14, 2010, 75 FR 22706). This Article requires recipients to maintain current Central Contractor Registration at all times when they have an active award with NSF. Recipients also may not make a subaward to an entity, unless the entity has provided its Dun & Bradstreet (DUNS) number to the recipient.

¹ The Policy Office website address is: <http://www.nsf.gov/bfa/dias/policy/>