
Research Terms & Conditions

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Background

- Federal Demonstration Partnership (FDP)
- FDP was looking for better, more efficient ways to manage awards.
- Originally the “FDP Terms and Conditions”.
- FDP Member Institutions had permission to use these special terms and conditions.
- AKA “Expanded Authorities”



Background (cont.)

- After a period of time with successful use, morphed into Federal-wide Terms and Conditions.
- Aspired to reduce burdens and add consistency to requirements among agencies.
- Prior to Uniform Guidance, previous RTCs implemented OMB Circular A-110.
- Became outdated upon Uniform Guidance.



New Research Terms & Conditions (RTCs)

- Research Business Models working group: interagency working group under the National Science and Technology Council.
- Implement Uniform Guidance and provide clarity for select provisions.
- Implement by reference the OMB FAQs.
- Apply to research and research-related grants made by participating agencies to universities and non-profits.



When Do the RTCs Apply?

- Research and research-related grants made by participating agencies to institutions of higher education and non-profit organizations.
- Must be included as part of the award or incorporated into the award by reference.



Participating Agencies



- USDA – NIFA
- Department of Commerce
 - NIST/NOAA
- Department of Homeland Security
- Department of Energy
- Department of Transportation
 - FAA
- Environmental Protection Agency
- NASA
- National Institutes of Health
- National Science Foundation



Order of Precedence

- Award-specific terms and conditions
- Federal Agency's program-specific terms and conditions
- Federal Agency's general terms and conditions
- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200)



Companion Documents

- **Appendix A: Prior Approval Matrix**
 - Includes every prior approval requirement, validated by participating agencies.
- **Appendix B: Subaward Requirements Matrix**
 - Addresses flow-down requirements by type of subrecipient, validated by participating agencies.
- **Appendix C: National Policy Requirements Matrix**
- **Agency-Specific Requirements**



Prior Approval Highlights

- Requires **prior approval** for:
 - Change in scope or objectives.
 - Disengagement of PI (permanently or continuous period of >3 months or 25% reduction in time).
 - Transfer of funds for participant support costs to other categories of expense.
 - Transfer of significant part of research or substantive programmatic effort (with some exceptions).



Prior Approval Highlights (cont.)

- Allows the following **without prior approval**:
 - Pre-award costs up to 90 days prior to award (incurred at risk).
 - One-time extension of 12 months if:
 - Agency-specific requirements do not prohibit.
 - Extension does not require additional federal funds.
 - Extension does not involve change in scope/objectives.
 - Carryforward of unobligated balances to subsequent funding periods.
 - Transfer between indirect/direct costs.



RTC Website

- **NSF is the official host of the RTCs:**
<https://www.nsf.gov/awards/managing/rtc.jsp>
 - RTCs
 - Agency Specifics
 - Appendices
 - Previous RTCs



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