Research Terms & Conditions

ORED Seminar Series
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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• Became outdated upon Uniform Guidance.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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