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# Research Terms & Conditions

*ORED Seminar Series*  
*September 20, 2017*



**MISSISSIPPI STATE**  
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# Background

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- 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.)

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- 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- Became outdated upon Uniform Guidance.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)

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- 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?

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- 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

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- 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

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- 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

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- **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

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- 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.)

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- 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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