

Research Terms and Conditions Prior Approval and Other Requirements Matrix** October 2008

	AFOSS	ARO	AMRMC	EPA	NASA	NIH	NSF	ONR	USDA	DOC	DOE
General Requirements											
Change in Scope	R	R	R	R	R	R	R	R	R	R	R
Absence or Change of PI	Prior approval required										
Need for Additional Funding	Prior approval required										
Subaward of "significant part" of programmatic effort	R	R	R	R	R	R	R	R	R	R	R
Pre-award costs (90 days)	Prior approval waived										
Pre-award costs (more than 90 days)	Prior approval required										
Initial no-cost extension of up to 12 months (per competitive segment)	R	R	W	W	W	W	W	R	5	W	W
Subsequent no-cost extension or extension of more than 12 months	Prior approval required										
Subsequent no-cost extension or extension of more than 12 months	Prior approval required										
Carry-forward of unexpended balances to subsequent funding	W	W	W	W	W	W	W	W	W	W	W
Cost-related Requirements											
Rebudgeting among budget categories	W	W	W	W	W	W	W	W	W	W	W
Rebudgeting between direct and F&A costs	W	W	W	W	W	W	W	W	W	W	W
Rebudgeting of funds allotted for training allowances (direct payment to trainees) to other categories of expense.	W	W	W	W	W	W	W	W	W	W	W
Equipment not in approved budget	W	W	W	W	W	W	W	W	W	W	W
Capital expenditures for improvement of equipment not in the	Prior approval waived										
Alterations and Renovations costing less than \$25,000	W	W	W	W	W	W	W	W	W	W	W
Foreign Travel	W	W	W	W	W	W	W	W	W	W	W
Inclusion of costs requiring prior approval in Cost Principles	W	W	W	W	W	W	W	W	W	W	W
Faculty consulting compensation that exceeds base salary	W	W	W	W	W	W	W	W	W	W	W
Restrictions on costs not explicitly unallowable under Cost Principles	none	none	none	none	none	none	none	none	none	none	none
R Prior approval required. "Prior approval" means prior written approval from the sponsor. Prior approval can take the form of the sponsor's acceptance of the proposal and/or proposal budget and subsequent incorporation into the award, or written approval of a separate request submitted by the recipient.	14	15	16	16	16	16	16	16	16	16	13
W Prior approval requirement waived											

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- 1 Waived except when subaward would be more than 25% of the total dollars of the award
- 2 Waived unless change in scope and except when subawardee is foreign
- 3 Waived except when subaward(s) would be more than 50% of the total dollars of the award; required for any subaward to federal agencies
- 4 Waived except for extensions that would result in a project period in excess of five years
- 5 Waived only for first-time requests for extensions of 12 months or less
- 6 Uncommitted carryforward funds are to be included in the continuation proposal if they are "substantial."
- 7 Waived except when award indicates prior approval is required
- 8 Waived unless change in scope
- 9 Waived except for Kirschstein-NSRA grants
- 10 Waived, but trip report is required within 30 days after trip completion. See agency specific requirements, Article No. 17, Foreign Travel Reporting Requirements.
- 11 Waived for alterations and renovations costing up to \$300,000, unless change in scope or rebudgeting into A&R exceeds 25% of budget period total
- 12 Waived, but costs not specifically covered in the Circulars are subject to NIHGPS.
- 13 Interest penalties for late payment are not allowable
- 14 Prior approval required for patient care costs if change in scope
- 15 Prior approval required to modify the amount of cost sharing reflected on Line M of the award budget.
- 16 Non-working meals and compensation for harm to persons or property are unallowable; also other unallowable costs for awards made under statutory authority cited in Article 3 of the ASR are: graduate assistant tuition remission, F&A in excess of statutory amount, and fixed and real property.

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Cost-related Requirements (cont.)	AFOSR		ARO		AMRMC		EPA		NASA		NIH		NSF		ONR		USDA		DOC		DOE	
	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R
Inclusion of unrecovered F&A costs as cost sharing																						
Transfer of funds between construction and non-construction																						
Use of program income earned during the project period																						
Use of program income earned after the project period																						
Property-related requirements																						
Title to supplies with value of more than \$5,000 at the end of a	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R	R
Acquire real property																						
Encumber real property acquired with federal funds																						
Use real property acquired with federal funds for other non-federal projects rather than compensating the federal government for its fair																						
Encumber equipment acquired with federal funds																						
Trade in equipment purchased with project funds to buy replacement																						
Own equipment upon acquisition without conditions or without obligation to the sponsor at termination of project																						
Funding agencies' rights in data																						
Use of valuation methods other than the lesser of book value or fair market value for contributed capital assets																						
Procurement requirements associated with the simplified acquisition threshold																						
Equipment threshold																						
Project Management Requirements																						
Monthly submission of Cash Transaction Reports when advances exceed \$1 million/year																						
Up-front specification of interrelationship among projects																						
Publication acknowledgment and disclaimers																						
Additional requirements for use of human subjects beyond those imposed by federal law	none	none	17	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none
Additional requirements for use of anatomical substances beyond those imposed by federal law	none	none	17	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none
Use of sponsor budget forms for budget revisions	18	18	18	18	18	18	18	18	18	18	18	18	18	18	18	18	18	18	18	18	18	18
Use of electronic records to meet record retention requirements																						
17 Army Surgeon General approval also required																						
18 Not required, but budget should be in same general format as original																						
19 Not required for SNAP awards; but others use "Next Period Budget" form page from PHS2590.																						
20 Must be submitted electronically via the NSF FastLane system at https://www.fastlane.nsf.gov																						
21 Required for the PI and any other individuals specifically named in the Notice of Award																						
22 Prior approval required for non-profits																						
23 For universities - no obligation to the federal government; for non-profits see special terms and conditions																						
24 Not required for universities																						

* Any of the waivers noted above may be over-ridden by a special term or condition of award.
 ** Only the full text of the Research Terms & Conditions and the Agency-specific Requirements (ASR) available electronically at: <http://www.nsf.gov/bfa/dias/policy/rtrc/index.jsp> are authoritative.