

**NATIONAL INSTITUTE OF FOOD AND AGRICULTURE  
U.S. DEPARTMENT OF AGRICULTURE**

**RESEARCH TERMS AND CONDITIONS  
AGENCY-SPECIFIC TERMS AND CONDITIONS  
APRIL 2013**

**Agency Home Page:** <http://www.nifa.usda.gov/>

**Managing a Grant (contains award-related information):**

<http://www.nifa.usda.gov/business/awards/awardterms.html>

**ARTICLE 1. AWARDS COVERED BY THE RESEARCH TERMS AND CONDITIONS**

All research and research-related awards (i.e., research, education, and extension) to institutions of higher education, hospitals, other non-profit organizations and for-profit organizations. The terms and conditions will apply to all awards (grants, cooperative agreements, and special projects) funded by NIFA *except*: 1) Formula Funded Programs; 2) the 1890 Facilities Program; and 3) the Small Business Innovation Research Program; as well as 4) awards to individuals.

**ARTICLE 2. PRIOR APPROVAL REQUIREMENTS NOT INCLUDED IN THE GENERAL T&CS**

**Subcontracts**

No more than 50 percent of the total dollars of this award may be subcontracted to another party(ies) without prior written approval of the Authorized Departmental Officer (ADO) except subcontracts to Federal agencies. **Any subcontract awarded to a Federal agency under this award must have prior written approval of the ADO.** To request approval a justification for the proposed subcontractual arrangements, a performance statement, and a **detailed budget and narrative** for the subcontract must be submitted to the **ADO with an AR signed letter of commitment.**

**No-cost Extension of Time**

**More than one no-cost extension or an extension of more than 12 months.**

Usually no more than one no-cost extension or an extension of more than 12 months is permitted. The extension(s) **must be approved in writing by the ADO.** The awardee should prepare and submit **a written request (which must be received no later than 10 days prior to the expiration date of the award) to the ADO** identified in Block 14 of the Award Face Sheet, Form NIFA-2009. ADO information is as follows:

Awards Management Division  
Office of Grants and Financial Management  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
STOP 2271  
1400 Independence Avenue, S.W.  
Washington, D.C. 20250-2271  
Telephone: (202) 401-4986  
Facsimile: (202) 401-1804  
Email: [awards@nifa.usda.gov](mailto:awards@nifa.usda.gov)

The request must contain, at a minimum, the following information:

- a. The length of additional time required to complete project objectives and a justification for the extension (see last paragraph of this article);
- b. A summary of progress to date (a copy of the most recent “Research Work Unit/Project Description Progress Report,” Form AD-421, and, where applicable, the attachment is acceptable provided the information is current);
- c. An estimate of funds expected to remain unobligated on the scheduled expiration date;
- d. A projected timetable to complete the portion(s) of the project for which the extension is being requested; and
- e. Signature of the Authorized Representative (AR) and the Project Director/Principal Investigator (PD/PI). Any request received by the agency that does not meet this requirement will be returned for the necessary signature(s).

**Requests for no-cost extensions of time after expiration date.** NIFA may consider and approve requests for no-cost extensions of time up to 120 days following the expiration of the award. These will be approved only for extenuating circumstances, as determined by NIFA. The awardee's AR must submit the requirements identified in a. through e. of this section as well as an “extenuating circumstance” justification and a description of the actions taken by the awardee to minimize these requests in the future.

The fact that funds are expected to remain unobligated at the expiration of the award is not in itself sufficient justification to receive an extension of time unless otherwise authorized in the program legislation. Normally, no single extension may exceed 12 months and only in exceptional cases will more than one extension be considered. The award period (including any subsequent authorized extensions of time), shall not exceed any applicable statutory limit as well as any expiring appropriation limitation (see Article 7.).

### **Funding Period**

Statutory language or agency policy may limit the maximum potential funding period (including any awards transferred from another institution or organization). The funding period will commence on the effective date cited in the award instrument. Any such limitation also applies to subcontracts made under awards subject to a funding period limitation.

### **Salaries**

Salary rates of pay exceeding an Executive Level IV salary range (see Executive Schedule link at <http://www.opm.gov/oca/10tables/index.asp>) requires prior NIFA approval. This rate does not include any fringe benefits, general and administrative (G&A), overhead, or other expenses. To submit a request for approval, provide the ADO (see contact information in the No-Cost Extension of Time section of this article) the salary rate of pay and a justification for the rate.

### **Extension to Submit a Final Federal Financial Report, Form SF-425**

**Request submitted PRIOR to the end of the 90-day period following the award expiration date.** The request should include a provisional report (showing unliquidated obligations), justification for not submitting a final by the initial due date, and the anticipated date for submission of a final report. Note that any extension of time is subject to expiring appropriations (see Article 7.) or other statutory or agency policy limitations (see Funding Period in this Article). Funds will remain available for drawdown during an approved extension of time.

**Request submitted FOLLOWING the end of the 90-day period following the award expiration date.** Such requests will only be considered, up to 30 days after the due date, in

extenuating circumstances. This request should include a provisional report (showing unliquidated obligations) as well as an anticipated submission date for the final report, a justification for the late submission, and a justification for the extenuating circumstances. Note that any extension of time is subject to expiring appropriations (see Article 7.) or other statutory or agency policy limitations (see Funding Period in this Article).

### **ARTICLE 3. UNALLOWABLE DIRECT CHARGES ASIDE FROM THOSE IN OMB CIRCULARS A-21 (2 CFR Part 220)/A-122 (2 CFR Part 230)**

#### **Fixed Equipment and Real Property**

No funds awarded under the authorities of Sec. 2(b), 2(c)(1)(A), and 2(c)(1)(B) of Pub. L. No. 89-106, as amended, may be used for the renovation or refurbishment of research spaces; the purchase or installation of fixed equipment in such spaces; or for the planning, repair, rehabilitation, acquisition, or construction of a building or facility.

#### **Indirect Costs and Tuition Remission**

Statutory language may limit or prohibit the amount of allowable indirect costs. If such language applies to this award, the limit is identified on the budget as appropriate. When indirect costs are limited, the indirect costs allowable will be the lesser of the following amounts: (1) the Federally approved negotiated indirect cost rate and base, or (2) the limit identified in the statutory language. **Note: Any limitation or prohibition of indirect costs on the awardee also applies to subcontracts under the funded awards.**

Indirect costs and tuition remission costs are unallowable if this award is issued under the authority of Sec. 2(c)(1)(B) of the Act of August 4, 1965, Pub. L. No. 89-106; Sec. 1472, Sec. 1473, Sec. 1475(d), and Sec. 1480 of the National Agricultural Research, Extension and Teaching Policy Act of 1977 (NARETPA), as amended, Pub. L. No. 95-113); and the Smith-Lever Act of May 8, 1914, as amended. This limitation also applies to subcontracts made under awards subject to any of these authorities.

#### **Meals**

Business meals may not be charged as project costs when individuals decide to go to breakfast, lunch, or dinner together when no need exists for continuity of a meeting. Such activity is considered to be an entertainment cost. On the other hand, meals that are part of the costs of meetings and conferences, the primary purpose of which is the dissemination of technical information, are allowable as are costs of transportation, rental of facilities, speakers' fees, and other items incidental to such meetings or conferences. Note: Meals consumed while in official travel status do not fall in this category. They are considered to be per diem expenses and should be reimbursed in accordance with the organization's established travel policies subject to statutory limitations.

#### **Equipment**

Expenditures for the acquisition or improvement of general and special purpose equipment is allowable, without prior agency approval, if the cost of the equipment is appropriately prorated among the activities to be benefitted.

#### **Personal Injuries**

Grant funds cannot be used for compensation for injuries to persons or loss, theft, or damage to property during project activities.

#### **ARTICLE 4. CONTACT INFORMATION FOR TECHNICAL MATTERS**

Questions regarding technical matters should be referred to: the programmatic contact person identified in Block 14 of the Award Face Sheet (Form NIFA-2009).

#### **ARTICLE 5. CONTACT INFORMATION FOR ADMINISTRATIVE MATTERS**

Questions regarding administrative matters should be referred to: the administrative contact person identified in Block 14 of the Award Face Sheet (Form NIFA-2009).

#### **ARTICLE 6. CONTACT INFORMATION FOR INTELLECTUAL PROPERTY MATTERS**

Questions regarding intellectual property matters (this does **not** include questions and issues regarding Interagency Edison) should be referred to:

Planning, Accountability, and Reporting Staff  
National Institute of Food and Agriculture, USDA  
STOP 2213  
1400 Independence Avenue, S.W.  
Washington, D.C. 20250-2213  
Telephone: (202) 720-5623  
Facsimile: (202) 720-7714  
E-mail: [bayhdole@nifa.usda.gov](mailto:bayhdole@nifa.usda.gov)

Interagency Edison (iEdison) can be accessed at <http://www.iEdison.gov>. An overview of the iEdison invention reporting process, an iEdison tutorial, and extensive help text can be found as links on the iEdison home page. Requests for detailed instructions or other questions regarding Interagency Edison should be directed to:

Division of Extramural Inventions & Technology Resources (DEITR)  
National Institutes of Health (NIH)  
6705 Rockledge Drive, Suite 310, MSC 7980  
Bethesda, Maryland 20892-7980  
Telephone: (301) 435-1986  
Facsimile: (301) 480-0272  
E-mail: [Edison@nih.gov](mailto:Edison@nih.gov)

#### **ARTICLE 7. OTHER REQUIREMENTS (NOT SPECIFIED ELSEWHERE)**

##### **Expiring Appropriations**

Generally, the appropriated funds that support awards expire after 5 years and the account is closed. This means that in the fifth year following an appropriation, any award funds that have not been drawdown by August 31 of that year by the awardee are **subject to be returned to the Department of the Treasury**. To determine the appropriation year of award funds, see block 17. Funds Chargeable of the Award Face Sheet (Form NIFA-2009). This block contains a two-digit fiscal year followed by a financial data code (FDC). In the following example, “08-823-33610,” the first two numbers “08” represent the fiscal year “2008.” In this example it means that the funds must be drawdown by August 31 of the year 2013.

**NIFA awards supported with funds from other Federal agencies (reimbursable funds)** Unless an earlier date applies, NIFA requires all draws and reimbursements for awards supported with reimbursable funds (from other Federal agencies) **must** be completed **no later than** June 30th of the fiscal year in

which the period of availability for obligation ends to allow for the proper billing, collection, and close-out of the associated interagency agreement before the appropriations expire. The June 30th requirement also applies to awards with a 90-day period concluding on a date after June 30th of that fifth year.

**Appropriations cannot be restored after expiration of the account.**

If you have questions about whether an applicable appropriation will expire after 5 years, contact the Administrative Point of Contact identified in block 14 of the Award Face Sheet, Form NIFA-2009.

**Genetic Resources from Outside of U.S.**

If this project will use genetic resources from outside the United States, the Project Director (PD) is advised to seek information regarding any required prior informed consent from and benefit-sharing with the appropriate host country authorities. For further information, see “Information for U.S. Government Funded Researchers Collecting In Situ Genetic Resources Outside the United States,” housed on the U.S. Department of State’s web site at

<http://2001-2009.state.gov/g/oes/rls/or/25962.htm>. Researchers must also obtain permits and follow USDA/APHIS importation regulations ([http://www.aphis.usda.gov/import\\_export/index.shtml](http://www.aphis.usda.gov/import_export/index.shtml)). Contact the Plant Exchange Office, ARS, USDA,

<http://www.ars.usda.gov/AboutUs/AboutUs.htm?modecode=12-75-15-00> or the National Animal Germplasm Program, <http://www.ars.usda.gov/AboutUs/AboutUs.htm?modecode=54-02-05-03>, as appropriate for further guidance on archiving the collections.

**Responsible and Ethical Conduct of Research**

The responsible and ethical conduct of research (RCR) is critical for excellence, as well as public trust, in science and engineering. Consequently, education in RCR is considered essential in the preparation of future scientists. By accepting a NIFA award the grantee assures that program directors, faculty, undergraduate students, graduate students, postdoctoral researchers, and any staff participating in the research project receive appropriate training and oversight in the responsible and ethical conduct of research and that documentation of such training will be maintained. Grantees are advised that the documentation of the training are subject to NIFA review upon request.

Note that the training referred to herein may be either on-campus or off-campus training. The general content of the ethics training, at a minimum, will emphasize three key areas of research ethics: authorship and plagiarism, data and research integration and reporting misconduct. Each institution will be responsible for developing its own training system, as schools will need flexibility to develop training tailored to their specific student needs. Grantees should consider the Collaborative Institutional Training Initiative (CITI) program for RCR (<https://www.citiprogram.org/rcrpage.asp>). Typically this RCR education addresses the topics of: Data Acquisition and Management - collection, accuracy, security, access; Authorship and Publication; Peer Review; Mentor/Trainee Responsibilities; Collaboration; Conflict of Interest; Research Misconduct; Human Subject Research; and Use of Animals in Research.

**Research Misconduct**

All research awards issued by NIFA are subject to 7 CFR 3022, “USDA Research Misconduct Regulations for Extramural Research,” (75 FR 49357); USDA’s implementation of the Federal Policy on Research Misconduct published at 65 FR 76260. In accordance with §3022.2, §3022.3 and 3022.8, institutions that conduct extramural research funded by USDA must foster an atmosphere conducive to research integrity, bear primary responsibility for prevention and detection of research misconduct, and are to maintain and effectively communicate, including training, to their staff regarding policies and procedures relating to research misconduct. Grant recipients shall, upon request, make available to NIFA the policies and procedures as well as documentation to support the conduct of the training.

To report allegations of research misconduct see  
<http://www.nifa.usda.gov/business/awards/researchmiscon.html>.

## **ARTICLE 8. REVISED BUDGETS REQUIREMENTS**

When, in accordance with Article 25. of the Research Terms and Conditions, it is necessary to request approval of a budget revision the revised budget must be submitted in a manner that clearly articulates the changes (i.e., it need not be submitted on the budget form that was used in the application process; the revisions need only be clearly identified). All changes must reflect PD/PI and AR concurrence (i.e., must contain the signature of the PD/PI and AR).

## **ARTICLE 9. TECHNICAL AND OTHER REPORTING REQUIREMENTS**

**A. Patents and Inventions including Plant Variety Protection:** The central point of contact within NIFA for questions and issues pertaining to patents and inventions including plant variety protections (PVP) (this does **not** include questions and issues regarding Interagency Edison) is:

Planning, Accountability, and Reporting Staff  
National Institute of Food and Agriculture, USDA  
STOP 2213  
1400 Independence Avenue, S.W.  
Washington, D.C. 20250-2213  
Telephone: (202) 720-5623  
Facsimile: (202) 720-7714  
E-mail: [bayhdole@nifa.usda.gov](mailto:bayhdole@nifa.usda.gov)

**Invention Disclosure and Related Information Requirements.** 37 CFR Part 401.14(c)(1) requires the disclosure of each subject invention to the Federal Agency within two months after the inventor discloses it in writing to contractor personnel responsible for such matters. Under 35 USC 201(d), an invention means any invention or discovery which is or may be patentable or otherwise protectable under Title 35 of the US Code, or any novel variety of plant which is or may be protectable under the Plant Variety Protection Act (7 USC 2321 et seq), pursuant to 37 CFR 401.2(c). Invention disclosure statements pursuant to 37 CFR Part 401.14(c) shall be made by creating an invention record using Interagency Edison. If possible, all supporting documentation shall also be submitted electronically using Interagency Edison. Any required paper correspondence should be sent to the NIFA central point of contact as above.

### Invention Disclosure

**Electronic Submission Via Interagency Edison Web Interface:** Interagency Edison (iEdison) can be accessed at <http://www.iEdison.gov>. An overview of the iEdison invention reporting process, an iEdison tutorial, and extensive help text can be found as links on the iEdison home page. Requests for detailed instructions or other questions regarding Interagency Edison should be directed to:

Division of Extramural Inventions & Technology Resources (DEITR)  
National Institutes of Health (NIH)  
6705 Rockledge Drive, Suite 310, MSC 7980  
Bethesda, Maryland 20892-7980  
Telephone: (301) 435-1986  
Facsimile: (301) 480-0272  
E-mail: [Edison@nih.gov](mailto:Edison@nih.gov)

The report of the invention and a copy of the signed invention disclosure must be reported electronically through the Interagency Edison Web interface. To submit the signed disclosure electronically requires that it be rendered as a PDF or TIFF file. The signed disclosure should contain a brief description of the original invention including the Title, Inventor(s) Name(s), and source of Federal support used (e.g., Agency Award Number). After the report and disclosure are received in the iEdison system, NIFA will have access to a copy of the disclosure document.

#### Other Invention, Patent, and Utilization Reporting Information

**Electronic Submission Via Interagency Edison Web Interface:** The Interagency Edison is to be used to exact any changes to the disposition of the invention, including title election or non-election, assignment of rights to third parties, patent application(s) or PVP(s), and patents or PVP(s) received.

As with the invention disclosure, iEdison also supports electronic submission of documents required for several other aspects of the Bayh-Dole reporting process, as detailed below.

1. Once a patent or PVP is applied for and an application serial number is available, an executed confirmatory license to the Government must be submitted. Such a license must also be submitted in instances where the invention has been licensed but not patented (as is the case of biological materials). For this purpose, iEdison provides a confirmatory license template (<https://s-edison.info.nih.gov/iEdison/license.jsp>) that can be submitted via facsimile.
2. Commensurate with patent or PVP application or issued patent or PVP certificate, the awardee organization must submit a copy of the portion of the patent or PVP application that contains the "Government Support Clause," offering proof of formal acknowledgment of Government support of the underlying invention. For PVP applications, the government support clause must be inserted in Exhibit E, block 11 of the application.
3. Requests for assignment of rights to third parties (e.g., the inventor) must include certification by the inventor. The certification process is defined and can be carried out as described under the USDA/NIFA link on the iEdison home page (<http://www.iEdison.gov>). The signed certification must be submitted to the NIFA office listed above via facsimile (preferable) or U.S. Mail.
4. Requests for waiver of the domestic manufacturing requirement must be submitted to the NIFA office listed above via facsimile (preferable) or U.S. Mail, including a detailed justification.

**Title Election and Patent or PVP Submission:** Within two years of an invention disclosure, a recipient must resolve the title to the invention, that is, either elect to retain invention rights or waive rights. Should the recipient decide to elect title, recipient must file a non-provisional patent or PVP application, or notify this agency of its intentions pursuant to 37 CFR Part 401.14(c)(2) and (3). If the recipient fails to either 1) notify the Government of its intentions or 2) exercise its option to file for a patent within the specified time periods, then the Government may exercise its right of ownership pursuant to 37 CFR Part 401.14(d)(1) and (2).

The Government shall not be entitled to publicly disclose or publish research results except under any one of the following circumstances:

- (1) The award recipient publicly discloses or gives permission for publication; or
- (2) The award recipient does not elect to file for a U.S. patent or PVP on such results, pursuant to 37

CFR Part 401.14(c)(2) and (3); or

(3) After the award recipient files for a U.S. patent or PVP pursuant to 37 CFR Part 401.14(c)(3).

"Publications" include publicly accessible databases such as Genbank; and "research results" include genome maps and sequences.

## **B. Grant Reporting**

**NIFA anticipates transitioning incrementally from its existing reporting system, Current Research Information System (CRIS), to a new reporting system, REEport, during FY 2013. Initial reporting (item a. below) for this grant is to be submitted through the existing CRIS system. Annual progress and final reporting (items b. and c. below) on this grant is to be done through the NIFA electronic, Web-based inventory system (CRIS or REEport) in use at that time (if the new REEport system has been implemented, CRIS will redirect the user to REEport accordingly). Information on the transition from CRIS to REEport can be found on NIFA's web site at [http://www.nifa.usda.gov/business/reeport\\_imp.html](http://www.nifa.usda.gov/business/reeport_imp.html).**

**Review the following guidance closely regarding reporting requirements.**

### **a. Initial Documentation in the CRIS Database--**

#### **Current Research Information System (CRIS)**

All projects **must** be documented in CRIS. The NIFA contact for all CRIS documentation is:

Current Research Information System  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
STOP 2270  
1400 Independence Avenue, S.W.  
Washington, D.C. 20250-2270  
Telephone: (202) 690-0009  
Fax: (202) 690-0634  
E-mail: [cris@nifa.usda.gov](mailto:cris@nifa.usda.gov)

**NIFA WILL NOT RELEASE FUNDS FOR THIS PROJECT UNTIL THE REQUIRED INFORMATION HAS BEEN RECEIVED ELECTRONICALLY BY CRIS.**

Information collected in the "Work Unit Description" (Form AD-416), and "Work Unit Classification" (Form AD-417), is required upon project initiation for all **NEW** awards in CRIS. This information is requested by the appropriate NIFA Program Manager.

Awardees are requested to submit data electronically. To submit forms electronically, the CRIS forms web site can be accessed through the CRIS web site or accessed directly at: <http://cwf.uvm.edu/cris>.

Technical questions regarding the online completion of the reports should be directed to the CRIS office at (202) 690-0009 or via email at [cris@nifa.usda.gov](mailto:cris@nifa.usda.gov).

Questions regarding report content should be directed to the programmatic contact person identified in Block 14 of the Award Face Sheet (Form NIFA-2009).



The transition from CRIS to REEport will entail the transfer of existing data in the CRIS system to REEport and then the termination of the applicable CRIS functionality.

**b. Annual Progress Reports.**

All projects **must** report annually into the NIFA electronic, Web-based inventory system (CRIS or REEport). Annual progress reports should be submitted to CRIS; however, if the new REEport system has been implemented, CRIS will redirect the user to REEport accordingly. The NIFA contact for CRIS is identified in a. above and the NIFA contact for all REEport documentation is:

REEport  
National Institute of Food and Agriculture  
U.S. Department of Agriculture  
STOP 2213  
1400 Independence Avenue, S.W.  
Washington, D.C. 20250-2213  
Telephone: (202) 690-0009  
Fax: (202) 720-7714  
E-mail: [reeport@nifa.usda.gov](mailto:reeport@nifa.usda.gov)

The annual Progress Report includes a summary of outputs, outcomes/impacts, publications, participants, target audiences, and project modifications.

Each year the award is active, the **NIFA electronic, Web-based inventory** system will notify the awardee or designated contact electronically of upcoming reporting requirements. An annual Progress Report must be completed in accordance with instructions accompanying the request and/or those provided on the **NIFA electronic, Web-based inventory** data entry website referenced in item d. Reports must be submitted electronically utilizing access information (e.g., login information) provided in the **NIFA electronic, Web-based inventory** request for a progress report.

An annual Progress Report is due 90 calendar days after the award's anniversary date (i.e., one year following the month and day of which the project period begins and each year thereafter up until a final report is required). An annual Progress Report covers the most recent one-year period. **The following information, when applicable, must be included in the Project Modifications section of the annual Progress Report.**

- (1) A comparison of actual accomplishments with the goals established for the reporting period (where the output of the project can be expressed readily in numbers, a computation of the cost per unit of output should be submitted if the information is considered useful);
- (2) The reasons for slippage if established goals were not met; and
- (3) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or unexpectedly high unit costs.

***Failure to submit an annual Progress Report within 90 calendar days after the award's anniversary date may result in grant funds being withheld until the report has been submitted as specified.***

### c. Final Technical Report

In the month that an award is due to expire, a request notification for the Final Technical Report will be sent electronically to the award contact designated in the **NIFA electronic, Web-based inventory system**. The Final Technical Report is required within 90 calendar days after the expiration or termination of the award. The Final Technical Report covers the entire period of performance of the award and must describe progress made during the entire timeframe of the project instead of covering accomplishments made only during the final reporting segment of the project. In addition to supplying the information required under item b. of this article, the final report must include the following when applicable:

Identify equipment purchased with any Federal funds under the award and indicate subsequent use of such equipment.

*Failure to submit an acceptable Final Technical Report within 90 calendar days after the award's anniversary date may result in funds being withheld for other active NIFA grants for which the Project Director(s) under this award are also named as well as prevent the award of future NIFA grants until the required report has been received in the NIFA electronic, Web-based inventory system and approved by NIFA.*

### d. Use of Reported Information

Please note the vital importance of preparing well written progress and technical reports. Information reported into CRIS and subsequently in REEport is used extensively by NIFA for describing the work NIFA funds, in planning and defending its budget, assessing its programs, and communicating project results. This depends on quality reports written in lay terms. Reported information is also used by State scientists and administrators and is available to the public on the worldwide web. The reported project information is available via the REEIS web site at: <http://www.reeis.usda.gov/>.

## C. Release of Animal or Plant Genome Sequence Data and Distribution of Animal or Plant Genomic Resources

All investigators funded by NIFA must submit animal or plant genome and protein sequence data and distribute animal or plant genomic resources generated by NIFA funding as described below. Genome sequences, protein sequences, and genomic resources must be available to all **for use without restriction**. Pre-publication release of genome sequence data has been of tremendous benefit to the scientific research community and NIFA strives to ensure that such rapid release of sequence data continues. NIFA strongly encourages the entire scientific community to recognize that the continued success of the system of pre-publication data release requires active community-wide support. **There should be no restrictions** on the use of the genomic sequence data, but the best interests of the community are served when all act responsibly to promote the highest standards of respect for the scientific contributions of others. Investigators are also encouraged to collaborate and make information available via the relevant worldwide web sites.

- a. NIFA supports the currently accepted community standards (Bermuda and Ft. Lauderdale agreements; <http://www.genome.gov/Pages/Research/WellcomeReport0303.pdf>) for rapid release of genome sequences following the current guidelines for quality assessment as described by the National Institutes of Health (NIH) National Human Genome Research Institute (NHGRI) at: [www.genome.gov/10000923](http://www.genome.gov/10000923) and [www.genome.gov/10001812](http://www.genome.gov/10001812)). Recipients of NIFA funding

who submit genome sequencing data to public nucleotide sequence databases must report this fact as part of the final reporting requirements.

*Large-insert clone-based projects:* DNA sequence assemblies of 2kb or greater are to be deposited in a pre-existing public nucleotide sequence database (such as GenBank: [www.ncbi.nlm.nih.gov](http://www.ncbi.nlm.nih.gov)) within 24 hours of generation. Sequence traces from these projects are to be deposited in a trace archive (such as the National Center for Biotechnology Information {NCBI} Trace Repository) within one week of production.

*Whole genome shotgun projects:* Sequence traces from whole genome shotgun projects are to be deposited in a trace archive (NCBI Trace Repository or Ensembl Trace Server) within one week of production. Whole genome assemblies are to be deposited in a public nucleotide sequence database as soon as possible after the assembled sequence has met a set of quality evaluation criteria.

*Expressed sequence tags (EST), full-length cDNA sequences, plasmid sequences, etc.:* Other nucleotide sequences such as ESTs, full-length cDNA sequences, etc. must be submitted to a pre-existing public nucleotide sequence database (such as Genbank: [www.ncbi.nlm.nih.gov](http://www.ncbi.nlm.nih.gov)) according to the currently accepted community standards (Bermuda and Ft. Lauderdale agreements) following the current guidelines for quality assessment. At a minimum, these sequences should be deposited within one month of production and quality assessment.

- b. *Other Community Resource Projects:*** A community resource project is defined as a research project specifically devised and implemented to create a set of data (e.g., single nucleotide polymorphisms, SNP; haplotype maps; etc.), reagents, or other material(s) (e.g., plant genetic stocks) whose primary utility will be as a resource for the broad scientific community. NIFA requires that results of community resource projects be made immediately available for free and unrestricted use by the scientific community as soon as the quality of these resources is verified. At the same time, it is crucial that the scientific community recognizes and respects the important contribution made by the scientists who carry out community resource projects.
- c. *Microarray Projects:*** NIFA requires that data collection and analysis for microarray projects comply with the Minimum Information about Microarray (MIAME; [www.mged.org](http://www.mged.org)) guidelines. NIFA also encourages use of the MIAME checklist ([www.mged.org/Workgroups/MIAME/miame\\_checklist.html](http://www.mged.org/Workgroups/MIAME/miame_checklist.html)) to enable unambiguous interpretation of the data and potential verification of the conclusions. Data from microarray projects funded by NIFA must be submitted to a pre-existing public repository for microarray data (such as Gene Expression Omnibus {GEO}; [www.ncbi.nlm.nih.gov/geo](http://www.ncbi.nlm.nih.gov/geo)) as part of the process for publishing the experimental results in a peer-reviewed scientific journal. Data from plant microarrays should also be submitted to the PLEXdb ([www.plexdb.org/](http://www.plexdb.org/)) to enable comparative analysis with additional plant gene expression data sets. If the Project Director decides not to publish the microarray data generated with NIFA funding, NIFA requires the Project Director to submit the microarray data to a pre-existing public repository for microarray data within six months after performing quality control tests on the data or upon termination of the NIFA funding, whichever comes first.
- d. *Protein Sequence:*** Protein sequences generated with NIFA funding must be deposited in a pre-existing public database (such as the Universal Protein Resource {UniProt}; [www.uniprot.org](http://www.uniprot.org)) as part of the process for publishing the experimental results in a peer-reviewed scientific journal. If the Project Director decides not to publish the protein sequence data generated with NIFA funding, NIFA requires the Project Director to submit the protein sequence data to a pre-existing

public database within six months after performing quality control tests on the data or upon termination of the NIFA funding, whichever comes first.

- e. If NIFA funding produces additional genomic resources (libraries, biological reagents, software, plant genetic stocks, etc.) these should be made available to the public as soon as their quality is verified according to community standards. Budgeting and planning for short-term and long-term distribution of these resources and the timing of release to a clearly identified community of users as well as to the scientific community as a whole should be as described in the original application or in a revised plan of work prior to funding. The description should be specific and describe what, how, and when the community would have public access to the information and deliverables from the project. Resources generated from NIFA funding must be available to all segments of the scientific community, including industry and the international community. A reasonable charge is permissible for distribution, but the fee structure must be outlined prior to funding. If accessibility differs between industry and the academic community, the differences must be clearly described in the original application or in a revised plan of work prior to funding.
- f. When the project involves the use of proprietary data or materials from other sources, the data or materials resulting from research supported by this program must be readily available without any restrictions to the users (no reach-through rights). The terms of any usage agreements should be stated clearly in the application or revisions prior to funding.

**Release or Distribution of Animal Quantitative Trait Loci (QTL):** Information pertaining to animal QTL that were generated with NIFA funding must be deposited into a pre-existing, public database as part of the process for publishing the experimental results in a peer-reviewed scientific journal. If the Project Director decides not to publish the animal QTL data generated with NIFA funding, NIFA requires the Project Director to submit the animal QTL data to a pre-existing, public database within six months after performing quality control tests on the data or upon termination of NIFA funding, whichever comes first.

**Release or Distribution of Plant Germplasm.** If plant germplasm (including mutant populations, mapping populations, diversity panels for association analysis, transgenics, near isogenic lines, etc.) was developed and/or evaluated as part of a NIFA-funded-project, these resources should be available to other researchers for validation of published results or additional research. Distribution of plant germplasm for commercial purposes may be limited by the producer of the germplasm. Whether these resources were created and/or evaluated inside or outside the US, researchers are strongly encouraged to deposit germplasm, transgenic plants, mutants, plant populations, etc. into the National Plant Germplasm System or Stock Center. NIFA encourages Project Directors to confer with the Crop Curators and Crop Germplasm Committees in the USDA National Plant Germplasm System (NPGS) ([www.ars-grin.gov/npgs/index.html](http://www.ars-grin.gov/npgs/index.html)) regarding the desirability of depositing genetic stocks and experimental plant populations generated by NIFA funding in the NPGS genebanks.

**Release or Distribution of Animal Germplasm.** If animal germplasm or tissue was developed and/or evaluated as part of a NIFA funded project, these resources should be available to other researchers and industry for validation of published results or additional research. Researchers are strongly encouraged to deposit germplasm and or tissue with the USDA-ARS National Animal Germplasm Program (<http://www.ars.usda.gov/Main/docs.htm?docid=16979>) genebank.

**Dissemination of Project Results.** The recipient must notify the technical contact, via a listing clearly labeled with the award number, of any Worldwide Web-based materials resulting from the work.

#### **D. Reporting of Accidents or Releases Involving Recombinant DNA.**

Accidents or releases involving rDNA used in NIFA-funded research are to be considered a serious adverse event and the reporting requirements of Appendix M-I-C-4-a. Safety Reporting: Content and Format and Appendix M-I-C-4-b. Safety Reporting: Time frames for Expedited Reports of the NIH Guidelines are to be followed accordingly. Further, such incidents must be reported to NIFA as soon as possible (i.e., within 48 hours) but not later than 7 calendar days after the sponsor's initial receipt of the information (in the case of fatal or life-threatening incidents) or not later than 15 calendar days after the sponsor's initial receipt of the information (if the incident is not fatal or life-threatening). Copies of initial reports and subsequent monitoring or remediation reports and documentation must be sent to:

Agency Research Integrity Officer (ARIO)

Phone: 202-401-1761

Fax: 202-401-1782

E-mail: [misconduct@nifa.usda.gov](mailto:misconduct@nifa.usda.gov)

For U.S. Mail:

USDA-NIFA Institute of Food Production and Sustainability  
Stop 2240 1400 Independence Avenue, SW  
Washington, DC 20250-2240

For Hand Delivery:

USDA-NIFA Institute of Food Production and Sustainability  
Room 3359 Waterfront Centre  
800 9th Street, SW  
Washington, DC 20024

#### **ARTICLE 10. FINANCIAL REPORTING**

All questions relating to financial reports should be submitted to:

Awards Management Division  
Office of Grants and Financial Management, NIFA  
U.S. Department of Agriculture  
STOP 2271  
1400 Independence Avenue, S.W.  
Washington, D.C. 20250-2271  
Telephone: (202) 401-4986  
Facsimile: (202) 401-1804  
Email: [awards@nifa.usda.gov](mailto:awards@nifa.usda.gov) (preferred method)

#### **Federal Financial Report**

A "Federal Financial Report," Form SF-425, is due on an **annual basis no later than 90 days following the end of the award anniversary date** (i.e., one year following the month and day when the project period begins and each year thereafter up until a final report is required). An annual Progress Report covers the most recent one-year period. **A final "Federal Financial Report," Form SF-425, is due 90 days after the expiration date of this award.** The report must be submitted to the Awards Management Division (AMD). The preferred method of submission is as a portable document format (PDF) attachment to an email sent to the email address noted above.

- (1) All drawdowns must be made within 90 days after the expiration date of the award and before the final SF-425 is submitted.

- (2) The report shall be completed on a single award basis.
- (3) The cash management information (lines 10(a) through 10(c)) is **NOT** to be completed.
- (4) The financial status information (lines 10(d) through 10(o) as well as line 11) on the form are to be completed.
- (5) The awardee shall report program outlays and program income on the same accounting basis (i.e., cash or accrual) that it uses in its normal accounting system.
- (6) When submitting a financial report, the total matching contribution, if required, should be shown on lines 10i, 10j, and 10k.
- (7) Final Financial Report – There should not be any unliquidated obligations reported on the final SF-425 report. If the awardee still has valid obligations that remain unpaid when the SF-425 is due, it shall request an extension of time to submit the report. See Article 2. Further, when a final report is overdue (beyond the 90-day period following the award expiration date and not covered by an approved extension of the due date for submission of the report), the award will be placed on “manual review,” which restricts the awardee's ability to draw funds. If any remaining funding is needed by the awardee, the awardee must contact AMD and request a draw providing AMD with justification and documentation to support the draw. Such draw requests will only be approved in extenuating circumstances, as determined by NIFA. **Regardless of extensions given for the submission of the SF-425, funds will not be available for any draw downs that exceed statutory limits as well as any expiring appropriations.**

**See Article 7. for Expiring Appropriations.**

## **ARTICLE 11. INCREMENTAL FUNDING ACTIONS**

### **Competitive Renewals**

The request for continued support should contain all the required elements of a proposal as described in the applicable request for proposals including a progress report. The application cover page should indicate, along with the prior NIFA award number, that the proposal is a renewal. The renewal proposal will proceed through the competitive review process in the same manner as other proposals.

### **Noncompetitive Renewals and Continuations**

For noncompetitive renewal grants, the request should contain all the required elements of a proposal as described in the applicable request for a proposal including a progress report. The application cover page should indicate, along with the prior NIFA award number, that the proposal is a renewal.

For continuation grants, the request for continued support should contain all the required elements of a proposal as described in the applicable request for a proposal including a proposed budget and narrative for the ensuing period, and the requirement that an annual progress report detailing all work performed to date be electronically submitted through the CRIS system within 90 days prior to the end of the current budget period, i.e., current expiration date of the award. Untimely submission of this report may delay processing of the award and failure to submit these reports will likely result in the restriction of the funding increment.

## ARTICLE 12. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION

In accordance with the Office of Management and Budget guidance published in the Federal Register (FR), 75 FR 55663, on September 14, 2010, "Requirements for Federal Funding Accountability and Transparency Act Implementation," awardees must comply with the requirements of this award term.

### a. Reporting of first-tier subawards

1. **Applicability.** Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

### 2. **Where and when to report.**

i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrc.gov>.

ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. **What to report.** You must report the information about each obligating action that the submission instructions posted at <http://www.fsrc.gov> specify.

### b. Reporting Total Compensation of Recipient Executives

1. **Applicability and what to report.** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

i. the total Federal funding authorized to date under this award is \$25,000 or more;

ii. in the preceding fiscal year, you received--

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the Executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>.)

2. **Where and when to report.** You must report executive total compensation described in paragraph b.1. of this award term:

i. As part of your registration profile at <http://www.ccr.gov>.

ii. By the end of the month following the month in which this award is made, and annually thereafter.

### c. Reporting of Total Compensation of Subrecipient Executives

1. **Applicability and what to report.** Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total

compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if--

i. in the subrecipient's preceding fiscal year, the subrecipient received--

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

**2. Where and when to report.** You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

i. To the recipient.

ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

i. Subawards, and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions

For purposes of this award term:

1. **Entity** means all of the following, as defined in 2 CFR part 25:

i. A Governmental organization, which is a State, local government, or Indian tribe;

ii. A foreign public entity;

iii. A domestic or foreign nonprofit organization;

iv. A domestic or foreign for-profit organization;

v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. **Executive** means officers, managing partners, or any other employees in management positions.

3. **Subaward:**

i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ---- .210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").



iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. **Subrecipient** means an entity that:

- i. Receives a subaward from you (the recipient) under this award; and
- ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. **Total compensation** means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- i. Salary and bonus.
- ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- v. Above-market earnings on deferred compensation which is not tax-qualified.
- vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## **ARTICLE 13. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER REQUIREMENTS**

In accordance with the Office of Management and Budget guidance published in the Federal Register (FR), 75 FR 55671, on September 14, 2010, "Financial Assistance Use of Universal Identifier and Central Contractor Registration," awardees must comply with the requirements of this award term.

### **A. Requirement for Central Contractor Registration (CCR)**

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

**In July 2012, the System for Award Management (SAM), a new system that combines eight federal procurement systems, including the Central Contractor Registry (CCR), and the Catalog of Federal Domestic Assistance into one new system, was implemented. The CCR activities are now being conducted through SAM (the CCR website will redirect users to SAM). Those organizations that need to register are to now visit <https://www.sam.gov/sam/>. Those organizations that already have a CCR registration are to visit the SAM website and should note the following:**

- **You'll create a new SAM User ID and Password.**
- **Your CCR permissions will be verified via your email account.**
- **Your CCR registration information (Entity Information) will be waiting for you in SAM.**

### **B. Requirement for Data Universal Numbering System (DUNS) Numbers**

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

### **C. Definitions**

For purposes of this award term:

1. *Central Contractor Registration (CCR)* means the Federal repository into which an entity must provide information required for the conduct of a business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
2. *Data Universal Numbering System (DUNS) number* means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
3. *Entity*, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
  - a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. *Subaward*:
  - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, *see* Sec .210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

### **ARTICLE 14. ASSURANCE REGARDING FELONY CONVICTION OR TAX DELINQUENT STATUS FOR CORPORATE AWARDEES**

This article **does not** apply if the award is made under the Beginning Farmer and Rancher Development Program (BFRD), Biomass Research and Development Initiative (BRDI), Organic Agricultural Research and Extension Initiative (OREI), or Specialty Crop Research Initiative (SCRI).

If the award is not issued under any of the above programs, then it is subject to the provisions contained in the Consolidated and Further Continuing Appropriations Act, 2013, Pub. L. No. 113-6, Division A, Title VII, Sections 732 and 733 regarding corporate felony convictions and corporate federal tax delinquencies. Accordingly, by accepting this award the recipient acknowledges that it: (1) does not have a tax delinquency, meaning that it is not subject to any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the

authority responsible for collecting the tax liability, and (2) has not been convicted (or had an officer or agent acting on its behalf convicted) of a felony criminal violation under any Federal or State law within 24 months preceding the award, unless a suspending and debarring official of the United States Department of Agriculture has considered suspension or debarment of the recipient corporation, or such officer or agent, based on these convictions and/or tax delinquencies and determined that suspension or debarment is not necessary to protect the interests of the Government. If the recipient fails to comply with these provisions, NIFA will annul this agreement and may recover any funds the recipient has expended in violation of sections 732 and 733.