



**REVISION OF THE NATIONAL SCIENCE FOUNDATION (NSF)
SMALL BUSINESS INNOVATION RESEARCH (SBIR)/SMALL BUSINESS
TECHNOLOGY TRANSFER (STTR) PHASE I GRANT GENERAL CONDITIONS
(SBIR-I)**

EFFECTIVE JANUARY 14, 2013

Effective January 14, 2013, new NSF SBIR/STTR Phase I grants and funding amendments to existing NSF SBIR/STTR Phase I grants will begin referencing and are subject to the *NSF SBIR/STTR Phase I Grant General Conditions (SBIR-I)* dated 01/13. The complete text of the SBIR-I conditions (as well as other NSF grant policy issuances) is available electronically on the NSF website.¹

Except as noted in a specific article, the *NSF SBIR/STTR Phase I Grant General Conditions* apply to all new NSF SBIR/STTR Phase I grants and funding increments on existing NSF SBIR/STTR Phase I grants awarded on or after January 14, 2013.

A comprehensive summary of the changes is included below. Any questions regarding these changes may be directed to the Policy Office, Division of Institution and Award Support, on (703) 292-8243 or by e-mail to policy@nsf.gov.

Significant Changes to the NSF SBIR/STTR Phase I Grant General Conditions, dated 01/13

- **Federal Tax Obligations, Article 19, Unpaid Federal Tax Liability, Article 20, and Criminal Convictions, Article 21**, are all new Articles which implement terms and conditions on Federal tax obligations/liability and felony conviction. These award terms were added to implement provisions included in the *Commerce, Justice, and Related Agencies Appropriations Act of 2012*.
- **Audit and Records, Article 24**, has been supplemented with a new paragraph that specifies that awards issued by NSF meet the definition of "Research and Development" at OMB Circular A-133 §.105. As such, auditees should identify NSF awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA).

Clarifications and Other Changes to the NSF SBIR/STTR Phase I Grant General Conditions, dated 01/13

- **Overall document** has been modified to incorporate minor editorial changes to either clarify or enhance the intended meaning of a sentence or section or ensure consistency with other NSF policy documents.

¹ The Policy Office website address is: <http://www.nsf.gov/bfa/dias/policy/>

- **Grant Reporting Requirements, Article 8**, has been updated to state that project reports must contain information on all activities of the project, including any activities to address the broader impacts criterion that are not intrinsic to the research.
- **Reporting Subawards and Executive Compensation, Article 17, and System for Award Management and Universal Identifier Requirements, Article 18**, have been updated to reflect that, as of July 2012, the Central Contractor Registration (CCR) has become the System for Award Management (SAM). All requirements related to CCR mentioned in the Articles now apply to and must be completed in SAM.
- **Patent Rights, Article 22**, has a revised footnote which reminds awardees that, in view of the U.S. Supreme Court decision in Stanford v. Roche, employee assignment agreements should include a present conveyance of rights in order to effectively convey patent rights to the institution.