

**NATIONAL AERONAUTICS AND SPACE ADMINISTRATION  
STANDARD RESEARCH TERMS AND CONDITIONS  
AGENCY SPECIFIC REQUIREMENTS  
(July 1, 2008)**

**Grants and Cooperative Agreements Updates:** <http://ec.msfc.nasa.gov/hq/library/grants.html>

**NASA Grant and Cooperative Agreement Handbook:** <http://ec.msfc.nasa.gov/hq/grcover.htm>

**OMB Circulars:** <http://www.whitehouse.gov/omb/circulars/index.html>

**Article 1. Awards covered by the Standard Research Terms and Conditions.**

Research, education, and training grants are covered by the standard Research terms and conditions. The standard Research terms and conditions do not apply to cooperative agreements, contracts, or other transactions.

**Article 2. Prior approval requirements not included in the general terms and conditions.**

None.

**Article 3. Unallowable direct costs aside from those in A-21/A-122.**

None.

**Article 4. Contact information for technical matters.**

Questions regarding technical matters should be referred to the Technical Officer cited on the cover page of the grant.

**Article 5. Contact information for administrative matters.**

Questions regarding administrative matters should be referred to the Grant Administrator cited on the cover page of the grant.

**Article 6. Contact information for intellectual property matters.**

The address of the cognizant patent counsel office is set forth on the distribution list page of the Required Publications and Reports form, which is attached to the grant.

**Article 7. Revised budget requirements.**

Revised budgets should be submitted in the same format as the original budget submission. Questions on budget format and content should be directed to the Grant Administrator.

## **Article 8. Technical Publications and Reports.**

Technical reporting requirements are addressed in NASA's addendum to the standard Research General Terms and Conditions Section 51 "Monitoring and reporting program performance," set forth below.

Reference 14 CFR § 1260.22 Technical publications and reports (December 2003)

(a) NASA encourages the widest practicable dissemination of research results at any time during the course of the investigation.

(1) All information disseminated as a result of the grant shall contain a statement which acknowledges NASA's support and identifies the grant by number (e.g., "The material is based upon work supported by NASA under award No(s) GRNASM99G000001, etc.>").

(2) Except for articles or papers published in scientific, technical, or professional journals, the exposition of results from NASA supported research should also include the following disclaimer: "Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the National Aeronautics and Space Administration."

(3) As a courtesy, any release of a NASA photograph or illustration should list NASA first on the credit line followed by the name of the Principal Investigator's Institution. An example follows:

"Photograph <or illustration, figure, etc> courtesy of NASA <or NASA Center managing the mission or program> and the <Principal Investigator's institution>."

(b) Reports shall be in the English language, informal in nature, and ordinarily not exceed three pages (not counting bibliographies, abstracts, and lists of other media). The recipient shall submit the following reports:

(1) A Progress Report for all but the final year of the grant. Each report is due 60 days before the anniversary date of the grant and shall briefly describe what was accomplished during the reporting period as outlined in § 1260.151(d). A special condition specifying more frequent reporting may be required.

(2) A Summary of Research (or Educational Activity Report in the case of Education Grants) is due within 90 days after the expiration date of the grant, regardless of whether or not support is continued under another grant. This report shall be a comprehensive summary of significant accomplishments during the duration of the grant.

(c) Progress Reports, Summaries of Research, and Educational Activity Reports shall include the following on the first page:

- (1) Title of the grant.
- (2) Type of report.
- (3) Name of the principal investigator.
- (4) Period covered by the report.
- (5) Name and address of the recipient's institution.
- (6) Grant number.

(d) Progress Reports, Summaries of Research, and Educational Activity Reports shall be distributed as follows:

- (1) The original report, in both hard copy and electronic format, to the Technical Officer.

(2) One copy to the NASA Grant Officer, with a notice to the Administrative Grant Officer (when administration of the grant has been delegated to ONR), that a report was sent.

(e) For Summaries of Research and published reports, one micro-reproducible copy shall also be sent to the NASA Center for AeroSpace Information (CASI), Attn: Document Processing Section, 7121 Standard Drive, Hanover, MD 21076.

### **Article 9. Financial reporting.**

Financial reporting requirements are addressed in NASA's addendum to the standard Research General Terms and Conditions Section 52 "Financial reporting," set forth below.

Reference 14 CFR § 1260.26 Financial management (August 2003)

(a) Advance payments through a Letter of Credit will be made by the Financial Management Office of the NASA Center assigned financial cognizance of the grant, using the Department of Health and Human Services' Payment Management System (DHHS/PMS), in accordance with procedures provided to the recipient. The recipient shall submit Federal Cash Transaction Report (SF 272) and, when applicable, a Continuation Sheet (SF 272A) electronically to DHHS/PMS within 15 working days following the end of each Federal Fiscal quarter (i.e., December 31, March 31, June 30, and September 30). One Federal Cash Transactions Report shall be submitted for all grants financed under a letter of credit arrangement with each NASA Center.

(b) In addition, the Recipient shall submit a final SF 272 in paper form to NASA within 90 calendar days after the expiration date of the grant. The final SF 272 shall pertain only to the completed grant and shall include total disbursements from inception through completion. The report shall be marked "Final". The final SF 272 shall be submitted to the Financial Management Office, with a copy sent to the NASA Grant Officer.

(c) Unless otherwise directed by the Grant Officer, any unexpended balance of funds which remains at the end of any funding period, except the final funding period of the grant, shall be carried over to the next funding period, and may be used to defray costs of any funding period of the grant. This includes allowing the carry over of funds to the second and subsequent years of a multiple year grant. This provision also applies to subcontractors performing substantive work under the grant. For grant renewals, the estimated amount of unexpended funds shall be identified in the grant budget section of the Recipient's renewal proposal. NASA reserves the right to remove unexpended balances from grants when insufficient efforts have been made by the grantee to liquidate funding balances in a timely fashion.

### **Article 10. Incremental funding actions.**

No additional documentation is required to trigger an increment; however, non-compliance with reporting requirements or unacceptable expenditure rates reported on NASA Form 272 Cash Transaction Report may delay incremental funding, but not without prior discussion with recipient.

# NASA ADDENDA TO THE STANDARD RESEARCH GENERAL TERMS AND CONDITIONS

## **STANDARD RESEARCH ARTICLES**

- 11. Payments.**
- 12. Revision of program and budget plans.**
- 13. Equipment.**
- 14. Intangible property.**
- 15. Security Requirements.**
- 16. Safety.**
- 17. Buy American Encouragement.**

### **Article 11. Payments.**

Refer to **Article 9 Financial reporting.**

### **Article 12. Revision of program and budget plans.**

Paragraph 25(e)(4) of the Article is revised as follows: If uncommitted carry-over funds are likely to be substantial, the estimated amount shall be included in any continuation proposal.

Paragraph 25(m) of the Article is revised as follows: Any extension that would require additional funding must be supported by a proposal submitted at least three months in advance of the expiration date of the grant.

### **Article 13. Equipment.**

Reference 14 CFR § 1260.27 Equipment and other property (February 2004)

(a) On an exceptional basis, NASA permits acquisition of special purpose and general purpose equipment specifically required for use exclusively for research activities.

(b) The recipient shall submit an annual Inventory Report, to be received no later than October 15 of each year, which lists all reportable (non-exempt equipment and/or Federally owned property) in its custody as of September 30. Negative responses for annual Inventory Reports (when there is no reportable equipment) are not required. A Final Inventory Report of Federally Owned Property, including equipment where title was taken by the Government, will be submitted by the recipient no later than 60 days after the expiration date of the grant. Negative responses for Final Inventory Reports are required.

(1) All reports will include the information listed in paragraph (f)(1) of § 1260.134, Equipment. No specific report form or format is required, provided that all necessary information set forth at § 1260.134(f)(1) is provided.

(2) The original of each report shall be submitted to the Center Deputy Chief Financial Officer, Finance (DCFO(F)). Copies shall be furnished to the Center Industrial Property Officer and to ONR.

## Article 14. Intangible property.

Reference 14 CFR § 1260.28 Patent rights (May 2006)

As stated at § 1260.136, this award is subject to the provisions of 37 CFR 401.3(a) which requires use of the standard clause set out at 37 CFR 401.14 "Patent Rights (Small Business Firms and Nonprofit Organizations)" and the following:

(a) Where the term "contract" or "Contractor" is used in the "Patent Rights" clause, the term shall be replaced by the term "grant" or "Recipient," respectively.

(b) In each instance where the term "Federal Agency," "agency," or "funding Federal agency" is used in the "Patent Rights" clause, the term shall be replaced by the term "NASA."

(c) The following item is added to the end of paragraph (f) of the "Patent Rights" clause:

"(5) The Recipient shall include a list of any Subject Inventions required to be disclosed during the preceding year in the performance report, technical report, or renewal proposal. A complete list (or a negative statement) for the entire award period shall be included in the summary of research."

(d) The term "subcontract" in paragraph (g) of the "Patent Rights" clause shall include purchase orders.

(e) The NASA implementing regulation for paragraph (g)(2) of the "Patent Rights" clause is at 48 CFR 1827.304-4(a)(i).

(f) The following requirement constitutes paragraph (l) of the "Patent Rights" clause:

"(l) **Communications.** A copy of all submissions or requests required by this clause, plus a copy of any reports, manuscripts, publications or similar material bearing on patent matters, shall be sent to the Center Patent Counsel and the NASA Grant Officer in addition to any other submission requirements in the grant provisions. If any reports contain information describing a "subject invention" for which the recipient has elected or may elect to retain title, NASA will use reasonable efforts to delay public release by NASA or publication by NASA in a NASA technical series until an application filing date has been established, provided that the Recipient identify the information and the "subject invention" to which it relates at the time of submittal. If required by the NASA Grant Officer, the Recipient shall provide the filing date, serial number and title, a copy of the patent application, and a patent number and issue date for any "subject invention" in any country in which the Recipient has applied for patents."

(g) *NASA Inventions.* NASA will use reasonable efforts to report inventions made by NASA employees as a consequence of, or which bear a direct relation to, the performance of specified NASA activities under this agreement and, upon timely request, will use reasonable efforts to grant the Recipient an exclusive, or partially exclusive, revocable, royalty-bearing license, subject to the retention of a royalty-free right of the Government to practice or have practiced the invention by or on behalf of the Government.

(h) In the event NASA contractors are tasked to perform work in support of specified activities under a cooperative agreement and inventions are made by Contractor employees, the Contractor will normally retain title to its employee inventions in accordance with 35 U.S.C. 202, 14 CFR Part 1245, and Executive Order 12591. In the event the Contractor decides not to pursue rights to title in any such invention and NASA obtains title to such inventions, NASA will use reasonable efforts to report such inventions and, upon timely request, will use reasonable efforts to grant the Recipient an exclusive, or partially exclusive, revocable, royalty-bearing license, subject to the retention of a royalty-free right of the Government to practice or have practiced the invention by or on behalf of the Government.

## **OTHER AGENCY REQUIREMENTS**

### **Article 15. Security requirements.**

Reference 14 CFR § 1260.35 Investigative requirements (January 2004)

(a) NASA reserves the right to perform security checks and to deny or restrict access to a NASA Center, Facility, or computer system, or to NASA technical information, as NASA deems appropriate. To the extent the recipient needs such access for performance of the work, the recipient shall ensure that individuals needing such access provide the personal background and biographical information requested by NASA. Individuals failing to provide the requested information may be denied such access.

(b) All requests to visit a NASA Center or facility must be submitted in a timely manner in accordance with instructions provided by that Center or facility.

### **Article 16. Safety.**

Reference 14 CFR § 1260.37 Safety (October 2000)

(a) The recipient shall act responsibly in matters of safety and shall take all reasonable safety measures in performing under this grant. The recipient shall comply with all applicable federal, state, and local laws relating to safety. The recipient shall maintain a record of, and will notify the NASA Grant Officer of any accident involving death, disabling injury or substantial loss of property. The recipient will advise NASA of hazards that come to its attention as a result of the work performed through routine status reports furnished in compliance with this grant.

(b) Where the work under this grant involves flight hardware, the hazardous aspects, if any, of such hardware will be identified, in writing, by the recipient. Compliance with this provision by subcontractors shall be the responsibility of the recipient.

### **Article 17. Buy American Encouragement.**

Reference 14 CFR § 1260.39 Buy American encouragement (May 2003)

As stated in Section 319 of Public Law 106-391, the NASA Authorization Act of 2000, Recipients are encouraged to purchase only American-made equipment and products.