

**COOPERATIVE STATE RESEARCH, EDUCATION, AND
EXTENSION SERVICE
U.S. DEPARTMENT OF AGRICULTURE**

**RESEARCH TERMS AND CONDITIONS
AGENCY-SPECIFIC TERMS AND CONDITIONS
JULY 2008**

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

Doing Business with CSREES (contains award-related information):
<http://www.csrees.usda.gov/business/business.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 CSREES *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 for the subcontract must be submitted to the ADO.

No-cost Extension of Time

Where more than one no-cost extension or an extension of more than 12 months is required, the extension(s) **must be approved in writing by the ADO.** The awardee shall prepare and submit a **written request (which must be received no later than 30 days prior to the expiration date of the award) to the ADO** identified in Block 12 of the Award Face Sheet, Form CSREES-2009. ADO information is as follows:

Awards Management Branch
Office of Extramural Programs
Cooperative State Research, Education,
and Extension Service
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

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).

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.

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. 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. In contrast, it is CSREES policy that a formal group meeting being conducted in a business atmosphere may charge meals to the project if such activity maintains the continuity of the

meeting and to do otherwise will impose arduous conditions on the meeting participants. 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.

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 4 of the Award Face Sheet (Form CSREES-2009).

ARTICLE 5. CONTACT INFORMATION FOR ADMINISTRATIVE MATTERS

Questions regarding administrative matters should be referred to: the administrative contact person identified in Block 4 of the Award Face Sheet (Form CSREES-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:

Director, Office of Planning and Accountability
Cooperative State Research, Education, and Extension Service, USDA
STOP 2213
1400 Independence Avenue, S.W.
Washington, D.C. 20250-2213
Telephone: (202) 720-5623
Facsimile: (202) 720-7714
E-mail: rmacdonald@csrees.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

ARTICLE 7. OTHER REQUIREMENTS (NOT SPECIFIED ELSEWHERE)

Genetic Resources from Outside of U.S.

If this project will use genetic resources from outside the United States, it is strongly recommended that the Project Director (PD) 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://www.state.gov/g/oes/rls/or/25962.htm> or contact the Plant Exchange Office, ARS, USDA, <http://www.barc.usda.gov/psi/ngrl/peo.htm> or the National Animal Germplasm Program, <http://www.barc.usda.gov/psi/ngrl/peo.htm>, as appropriate.

Research Misconduct

All research awards issued by CSREES are subject to the Federal Policy on Research Misconduct published at 65 FR 76260. The following definitions will be utilized when applying this policy:

Research misconduct means the fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research misconduct does not include honest error or difference of opinion.

Fabrication is making up data or results and recording or reporting them.

Falsification means manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

Plagiarism is the appropriation of another person’s ideas, processes, results or words without giving appropriate credit.

Research means all basic, applied, and demonstration research in all fields of science, engineering, mathematics, education, linguistics, medicine, psychology, social sciences, statistics, and research involving human subjects or animals.

Research institutions includes all organizations using Federal funds for research, including, for example, colleges and universities, intramural Federal research laboratories, Federally funded research and development centers, national user facilities, industrial laboratories, or other research institutes.

Research record is the record of data or results that embody the facts resulting from scientific inquiry, and includes, but is not limited to, research proposals, laboratory records, both physical and electronics, progress reports, abstracts, theses, oral presentations, internal reports, and journal articles.

To report allegations of research misconduct see

<http://www.csrees.usda.gov/business/awards/researchmiscon.html>.

ARTICLE 8. REVISED BUDGETS REQUIREMENTS

Revised budgets must be submitted in a manner that clearly articulates the changes. All changes must reflect AR concurrence (i.e., must contain AR signature).

ARTICLE 9. TECHNICAL REPORTING

A. Patents and Inventions including Plant Variety Protection: The central point of contact within CSREES 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:

Director, Office of Planning and Accountability
Cooperative State Research, Education, and Extension Service, USDA
STOP 2213

1400 Independence Avenue, S.W.
Washington, D.C. 20250-2213
Telephone: (202) 720-5623
Facsimile: (202) 720-7714
E-mail: rmacdonald@csrees.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 CSREES 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

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, CSREES 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/CSREES link on the iEdison home page (<http://www.iEdison.gov>). The signed certification must be submitted to the CSREES office listed above via facsimile (preferable) or U.S. Mail.

4. Requests for waiver of the domestic manufacturing requirement must be submitted to the CSREES 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. Current Research Information System (CRIS)

All projects **must** be documented in the Current Research Information System (CRIS). Except as noted below, the USDA contact for all CRIS documentation is:

Current Research Information System
Cooperative State Research, Education, and
Extension Service
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@csrees.usda.gov

a. Initial Documentation in the CRIS Database--

CSREES WILL NOT RELEASE FUNDS FOR THIS PROJECT UNTIL THE REQUIRED INFORMATION HAS BEEN RECEIVED 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 CSREES Program Manager.

Awardees are requested to submit data electronically. To submit the data collection electronically, see item d. of this section for access information.

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@csrees.usda.gov.

Questions regarding report content should be directed to the programmatic contact person identified in Block 4 of the Award Face Sheet (Form CSREES-2009).

b. Annual CRIS Reports.

The “Accomplishments Report” (Form AD-421) includes a summary of outputs, outcomes/impacts, publications, participants, target audiences, and project modifications.

The annual report of “Funding and Staff Support” (Form AD-419), discloses expenditures based on funding sources at the project level. The staff support values reported reflects project level effort expended for the particular year being reported. The awardee or designated contact will receive an email request to submit this data, when applicable.

Each year the award is active, the CRIS office will notify the awardee or designated contact via email of upcoming CRIS reporting requirements. An annual “Accomplishments Report” and when applicable, “Funding and Staff Support Report” should be completed in accordance with instructions accompanying the request and/or those provided on the data entry website referenced in item d. Reports should be submitted electronically utilizing access information provided in the notification.

An annual “Accomplishments 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 report covers a one-year period. **In addition to the AD-421 form, the following information, when applicable, must be submitted to the programmatic contact person identified in Block 4 of the Award Face Sheet (Form CSREES-2009).**

(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.

An annual "Funding and Staff Support" is due on February 1 of the year subsequent to the federal fiscal year being reported.

c. CRIS Final Report

In the month that an award is due to expire, a request notification for the final technical report will be sent to the award recipient or designated contact. The CRIS final report is required within 90 calendar days after the expiration or termination of the award. The CRIS final report, "Accomplishments Report", covers the entire period of performance of the award. The report should encompass 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 section b of this article, the final report must include the following when applicable:

- (1) A disclosure of any inventions not previously reported that were conceived or first actually reduced to practice during the performance of work under this award; and
- (2) A written statement on whether or not the awardee elects (or plans to elect) to obtain patent(s) on any such invention.
- (3) Identify equipment purchased with any Federal funds under the award and indicate subsequent use of such equipment.

d. CRIS Web Site Via Internet

Please note the importance of preparing well written progress and technical reports. The CRIS database is used extensively by Federal and State scientists and administrators and is available to the public on the worldwide web. CRIS project information is available via the Internet CRIS web site at: <http://cris.csrees.usda.gov>.

To submit forms electronically, the CRIS forms web site can be accessed through the CRIS web site or accessed directly at: <http://csf.uvm.edu/cris>.

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

All investigators funded by CSREES must submit animal or plant genome and protein sequence data and distribute animal or plant genomic resources generated by CSREES 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 CSREES strives to ensure that such rapid release of sequence data continues. CSREES 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. CSREES supports the currently accepted community standards (Bermuda and Ft. Lauderdale agreements; www.wellcome.ac.uk/assets/wtd003207.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 and www.genome.gov/10001812). Recipients of CSREES 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) 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) 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. CSREES 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:* CSREES requires that data collection and analysis for microarray projects comply with the Minimum Information about Microarray (MIAME; www.mged.org) guidelines. CSREES also encourages use of the MIAME checklist (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 CSREES must be submitted to a pre-existing public repository for microarray data (such as Gene Expression Omnibus {GEO}: 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/) to enable comparative analysis with additional plant gene expression data sets. If the Project Director decides not to publish the microarray data generated with CSREES funding, CSREES 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 CSREES funding, whichever comes first.

- d. *Protein Sequence:* Protein sequences generated with CSREES funding must be deposited in a pre-existing public database (such as the Universal Protein Resource {UniProt}: 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 CSREES funding, CSREES 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 CSREES funding, whichever comes first.
- e. If CSREES 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 CSREES 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 CSREES 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 CSREES funding, CSREES 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 CSREES funding, whichever comes first.

Release or Distribution of Plant Germplasm. If plant germplasm was developed with CSREES support, 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. Researchers are strongly encouraged to deposit germplasm, transgenic plants, mutants, plant populations generated for mapping projects, etc. into the National Plant Germplasm System or Stock Center. CSREES 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) regarding the desirability of depositing genetic stocks and experimental plant populations generated by CSREES funding in the NPGS genebanks.

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.

ARTICLE 10. FINANCIAL REPORTING

All questions relating to financial reports should be submitted to:

Awards Management Branch
Office of Extramural Programs, CSREES
U.S. Department of Agriculture
STOP 2271
1400 Independence Avenue, S.W.
Washington, D.C. 20250-2271
Telephone: (202) 401-4986

Financial Status Report

A “Financial Status Report,” **Form SF-269, is due 90 days after the expiration date of this award.** An original and two copies must be submitted to the Awards Management Branch (AMB) at the address shown above.

- (1) 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.
- (2) When submitting a final financial report, the total matching contribution, if required, should be shown in Item 12., Remarks.
- (3) The SF-269 report must not show any unliquidated obligations. If the awardee still has valid obligations that remain unpaid when the SF-269 is due, it shall submit a provisional report (showing the unliquidated obligations) by the due date and a true report when all obligations have been liquidated. When submitting a provisional report, the awardee shall inform AMB when it expects to submit a final report. If the AMB waives provisional reports, the awardee will be so notified.

Awards that Require the Awardee to Provide Cost Participation

It may be necessary to submit an annual “Financial Status Report,” Form SF-269, to CSREES. If an annual SF-269 is required, it will be indicated on the Award Face Sheet, Form CSREES-2009, in which case it must be submitted no later than 90 days following the end of the Federal fiscal year, September 30.

Expiring Appropriations

Generally, the appropriated funds that support awards expire after 5 years. 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 CSREES-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. 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 CSREES-2009.

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 CSREES 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 CSREES 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.