

**Federal Demonstration Partnership IV
Operating Procedures -- Appendix B**

NATIONAL POLICY REQUIREMENTS MATRIX

This listing of statutory and regulatory requirements is provided for information purposes only and may not reflect all requirements that are applicable to a specific award.

Statutory & Regulatory Based	Used For:			Requirement(s) that should be noted by the recipient
	Type of Award	Type of Recipient	Specific Situation	
National Policy Requirements				
Applies to all FDP agencies:				
Nondiscrimination				
By signing or accepting funds under the agreement, the recipient agrees that it will comply with applicable provisions of the following, national policies prohibiting discrimination:				
a. On the basis of race, color, or national origin, in Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d, et seq.), as implemented by: DOD at 32 CFR Part 195 NSF at 45 CFR Part 611 NASA at 14 CFR Part 1250 DOE at 10 CFR Part 1040 EPA at 40 CFR Parts 7 and 12 USDA/CSREES at 7 CFR Part 15 HHS at 45 CFR Part 80 & 81	Grants, cooperative agreements, and other financial assistance	All	All	The following regulations require the recipient to flow down requirements to subrecipients. Department of Defense at 32 CFR Part 195 NSF at 45 CFR Part 611 NASA at 14 CFR Part 1250 DOE at 10 CFR Part 1040 EPA at 40 CFR Parts 7 and 12 USDA/CSREES at 7 CFR Part 15 HHS at 45 CFR Part 80 & 81
b. On the basis of race, color, religion, sex, or national origin, in Executive Order 11246 [3 CFR, 1964-1965 Comp., p. 339], as implemented by Department of Labor regulations at 41 CFR Part 60. EPA at 40 CFR Parts 7 and 12	Grants, cooperative agreements, and other prime awards defined at 40 CFR 60-1.3 as "Federally assisted construction contract."	All	Awards under which construction is to be done.	41 CFR 60-1.4(b) prescribes a clause that recipients must include in federally assisted, construction awards and subawards [60-1.4(d) allows incorporation by reference]. This requirement also is at: 32 CFR 33.36(l)(3) and at paragraphs 1. of Appendices A to 32 CFR Part 32 and 32
c. On the basis of sex or blindness, in Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.). DOE at 10 CFR Part 1040 HHS at 45 CFR Part 86 NASA at 14 CFR Part 1253 EPA at 40 CFR Parts 7 and 12	Grants, cooperative agreements, and other financial assistance included at 20 U.S.C. 1682.	Educational institution [for sex discrimination, excepts all Institution controlled by religious organization, when inconsistent with the organization's religious tenets].	All educational program or activity receiving Federal financial assistance.	
d. On the basis of age, in the Age Discrimination Act of 1975 (42 U.S.C. 6101, et seq.), as implemented by Department of Health and Human Services regulations at 45 CFR part 90. NSF at 45 CFR Part 617 NASA at 14 CFR Part 1252 DOE at 10 CFR Part 1040 USDA/CSREES at 7 CFR HHS at 45 CFR Part 90 & 91 EPA at 40 CFR Parts 7 and 12	Grants, cooperative agreements, and other awards defined at 45 CFR 90.4 as "Federal financial assistance."	All	All	45 CFR 90.4 requires the recipient to flow down requirements to subrecipients [definition of "recipient" at 45 CFR 90.4 includes entities to which assistance is extended indirectly, through another recipient].

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e. On the basis of handicap, in:				
1. Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), as implemented by Department of Justice regulations at 28 CFR Part 41 and DOD at 32 CFR Part 56 NSF at 45 CFR Part 605 NASA at 14 CFR Part 1251 DOE at 10 CFR Part 1040 EPA at 40 CFR Parts 7 and 12 USDA/CSREES at 7 CFR Part 15b HHS at 45 CFR Part 84 & 85	Grants, cooperative agreements, and other awards included in "Federal financial assistance"	All	All	Requirements flow down to subawards ["recipient," includes entities receiving assistance indirectly through other recipients].
2. The Architectural Barriers Act of 1968 (42 U.S.C. 4151, et seq.).	Grant or loan	All	Construction or alteration of buildings or facilities, except those restricted to use only by able-bodied uniformed personnel.	
Live Organisms				
By signing or accepting funds under the agreement, the recipient assures that it will comply with applicable provisions of the following national policies concerning live organisms:				
a. For human subjects:				
For human subjects, the Common Federal Policy for the Protection of Human Subjects. Codified by the: DHHS at 45 CFR Part 46 NSF at 45 CFR Part 690 NASA at 14 CFR Part 1230 DOE at 10 CFR Part 745 EPA at 40 CFR Parts 26 and 40	All	All	Research, development, test, or evaluation involving live human subjects, with some exceptions [see agency implementations for exemptions.	Requirements flow down to subrecipients
Human Embryonic Stem Cells In accordance with the President's guidance of August 9, 2001. Other regulations that may apply: HHS Human Subjects Protection Regulation, 45 CFR Pt 46 FDA Regulations governing INDs or IDEs (Title 21 CFR Parts 312 or 812) FDA IRB & informed consent regulations (Title 21 CFR Parts 50 & 56) Research on Transplantation of Fetal Tissue (PHS Act 489A)	As applicable	All	Research involving Human Embryonic Stem Cells	NIH Guidelines and Registry of cell lines meeting the Federal requirements are found at: http://stemcells.nih.gov/index.asp Other Federal, State or Local laws may also apply
P.L. 104-191 Health Insurance Portability and Accountability Act (HIPAA) 45 CFR Part 160 and Subparts A and E of Part 164 Subpart C to be effective 4/20/2005 (Security)	As applicable	Covered Entities	As applicable	Limits uses of protected health information (PHI) collected or maintained by researchers within a covered entity or access to PHI from a covered entity. Research uses do not require Business Associate Agreements (defined at 45 CFR part 164.504 (e)(1)) between collaborating institutions. Guidance available at http://privacyruleandresearch.nih.gov/

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National Policy Requirements				
<p>b. For animals:</p> <p>1. Rules on animal acquisition, transport, care, handling, and use in: (i) 9 CFR Parts 1-4, Department of Agriculture rules that implement the Laboratory Animal Welfare Act of 1966 (7 U.S.C. 2131-2156); and (ii) The awardee is expected to ensure that the guidelines described in the National Academy of Science (NAS) Publication, "Guide for the Care and Use of Laboratory Animals" (1996) are followed and to comply with the Public Health Service Policy and Government Principles Regarding the Care and Use of Animals (included as Appendix D to the NAS Guide). NASA requirements for animal welfare are set forth at 14 CFR Part 1232</p> <p>EPA at 40 CFR Part 40. For USDA/CSREES, "In the case of domestic farm animals housed under farm conditions, the institution should adhere to the principles stated in the Guide for the Care and Use of Agricultural Animals in Agriculture and Teaching, Federation of Animal Science Societies, 1999."</p>	All	All	Research, experimentation, or testing involving the use of animals	Requirements flow down to subrecipients
<p>2. Rules of the Departments of Interior (50 CFR Parts 10-24) and Commerce (50 CFR Parts 217-227) implementing laws and conventions on the taking, possession, transport, purchase, sale, export, or import of wildlife and plants, including the: Endangered Species Act of 1973 (16 U.S.C. 1531-1543); Marine Mammal Protection Act (16 U.S.C. 1361-1384); Lacey Act (18 U.S.C. 42); and Convention on International Trade in Endangered Species of Wild Fauna and Flora.</p> <p>EPA at 40 CFR Part 6</p>	All	All	Activities which may involve or impact wildlife and plants.	
Environmental Standards				
By signing the agreement or accepting funds under this agreement, the recipient assures that it will:				
<p>a. Comply with applicable provisions of the Clean Air Act (42 U.S.C. 7401, et. Seq.) and Clean Water Act (33 U.S.C. 1251, et. seq.), as implemented by Executive Order 11738 [3 CFR, 1971-1975 Comp., p. 799]</p> <p>EPA at 40 CFR Parts 6 and 32</p>	All	All	All, for Clean Air Act, Clean Water Act, and Executive Order 11738.	Requirements flow down to subrecipients
b. Identify to the awarding agency all impact this award may have on:				
<p>1. The quality of the human environment, and provide help the agency may need to comply with the National Environmental Policy Act (NEPA, at 42 U.S.C. 4321, et. seq.) and to prepare Environmental Impact Statements or other required environmental documentation. In such cases, the recipient agrees to take no action that will have an adverse environmental impact (e.g., physical disturbance of a site such as breaking of ground) until the agency provides written notification of compliance with the environmental impact analysis process.</p>	All	All	All actions that may affect the environment	

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National Policy Requirements				
NSF at 45 CFR Part 640 DOE at 10 CFR Part 1021 EPA at 40 CFR Part 6 NASA at 14 CFR Part 1216 USDA/CSREES at 7 CFR Part 3407				
2. Flood-prone areas, and provide help the agency may need to comply with the National Flood Insurance Act of 1968 and Flood Disaster Protection Act of 1973 (42 U.S.C. 4001, et. seq.), which require flood insurance, when available, for Federally assisted construction or acquisition in flood-prone areas. DOE at 10 CFR Part 1022	All	All	Awards involving construction, land acquisition or development, with some exceptions [see 42 U.S.C. 4001, et. seq.].	The Council on Environmental Quality's regulations for implementing NEPA are at 40 C.F.R. Parts 1500-1508. Executive Order 11514 [3 CFR, 1966-1970 Comp., p. 902], as amended by Executive Order 11991, sets policies and procedures for considering actions in the U.S. Executive Orders 11988 [3 CFR, 1977 Comp., p. 117] and 11990 [3 CFR, 1977 Comp., p. 121] specify additional considerations, when actions involve
3. Coastal barriers, and provide help the agency may need to comply with the Coastal Barriers Resource Act (16 U.S.C. 3501, et. seq.), concerning preservation of barrier resources. EPA at 40 CFR Part 6	Grants, cooperative agreements, and other "financial assistance" (see 42 U.S.C. 4003).	All	Awards that may affect barriers along the Atlantic and Gulf coasts and Great Lakes' shores	42 U.S.C. 4012a prohibits awards for acquisition or construction in flood-prone areas (Federal Emergency Management Agency publishes lists of such areas in the Federal Register), unless recipient has required insurance. If action is in a floodplain, Executive Order 11988 [3 CFR, 1977 Comp., p. 117] specifies additional pre-award procedures for Federal agencies. Recipients are to apply requirements to subawards ("financial assistance," defined at 42 U.S.C. 4003, includes indirect Federal assistance).
4. All existing or proposed component of the National Wild and Scenic Rivers system, and provide help the agency may need to comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271, et seq.). EPA at 40 CFR Part 6	Grants, cooperative agreements, and other "financial assistance" (see 16 U.S.C. 3502).	All	Awards that may affect existing or proposed element of National Wild and Scenic Rivers system.	Requirements flow to subawards (16 U.S.C. 3502 includes indirect assistance as "financial assistance").
5. Underground sources of drinking water in areas that have an aquifer that is the sole or principal drinking water source, and provide help the agency may need to comply with the Safe Drinking Water Act (42 U.S.C. 300h-3). EPA at 40 CFR Part 6	All	All	Construction in All area with aquifer that the EPA finds would create public health hazard, if contaminated.	42 U.S.C. 300h-3(e) precludes awards of Federal financial assistance for All project that the EPA administrator determines may contaminate a sole-source aquifer so as to threaten public health
Miscellaneous Requirements				
Lobbying Prohibitions 31 USC 1352 Stipulates that: (1) No Federal appropriated funds have been paid or will be paid, any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.	All	All	All	31 USC 1352 requires that grantee to include certification language in the award documents for all subawards at all tiers including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements and that all subrecipients shall certify and disclose accordingly.

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National Policy Requirements				
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.				
NASA at 14 CFR Part 1271 NSF at 45 CFR Part 604 DoD 32 CFR Part 28 USDA/CSREES at 7 CFR Part 3018 DOE at 10 CFR Part 601 EPA at 40 CFR Part 34 HHS at 45 CFR Part 93				
Metric System	All	All	All	15 USC Part 19, Subpart B
15 USC 205 a-k and Executive Order 12770 EPA at 40 CFR Part 30				
Labor Standards under Federally Assisted Construction: Construction Work Hours and Safety Standards Act	All	All	Alterations and Renovations > \$500,000	40 USC 327-333
Drug Free Workplace	All	All		41 USC 701 <i>et seq.</i>
Public Law 100-690, Title V EPA at 40 CFR Part 32 HHS at 45 CFR Part 82 NSF at 45 CFR Part 630 DoD at 32 CFR Part 26 USDA/CSREES at 7 CFR Part 3021 DOE at 10 CFR Part 607 NASA at 14 CFR Part 1267				
Government-wide Debarment and Suspension (Nonprocurement)	All	All		42 USC 1870 (a); Sec. 2455, PL 103-355, 108 Stat. 3327 (31 USC 6101 note); EO 12549 (3 CFR, 1986 Comp., p. 189); EO 12689 (3 CFR, 1989 Comp., p. 235)
False Claims Act Provisions				
EPA at 40 CFR Part 32 Civil False Claims Act	All	All	All	31 USC 2739
EPA at 40 CFR Part 32 Criminal False Claims Act	All	All	All	18 USC 287 and 1001
18 USC 287 and 1001 EPA at 40 CFR Part 32				

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Program Fraud and Civil Remedies and False Claims Act	All	All	All	31 USC 3801, 45 CFR 79

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31 USC 3801, 45 CFR 79 EPA at 40 CFR Part 27				
National Historic Preservation				
The recipient agrees to identify to the awarding agency all property listed or eligible for listing on the National Register of Historic Places that will be affected by this award, and to provide all the help the awarding agency may need, with respect to the award. 16 USC 470f EPA at 40 CFR Part 6	All	All	All	
Health and Safety Guidelines				
Applicable OSHA standards in Laboratories	All	All	Research involving use of hazardous chemicals or bloodborne pathogens	29 CFR 1910.1030 Bloodborne Pathogens; 29 CFR 1910.1450, Occupational Exposure to Hazardous Chemicals in Laboratories
Handling and transport of etiologic agents	All	All	Research involving etiologic agents	Procedures for Domestic Handling and Transport of Diagnostic Specimens and Etiologic Agents, 1994 (3rd ed.), H5a3doc.75, National Committee for Clinical Laboratory Standards
Biosafety standards in microbiological and biomedical laboratories	All	All	Microbiological and biomedical research	Biosafety in Microbiological and Biomedical Laboratories; located at http://www.orcbs.msu.edu/biological/BMBL/BMBL-1.htm
Controlled Substances	All	All	Research involving controlled substances	Drug Enforcement Administration (DEA) registration, inspection and certification
Disposal of high-level radioactive waste and spent nuclear fuel. Note however, that some States are exempt if they have established separate requirements.	All	All	Research involving radioactive waste and spent nuclear fuel	Nuclear Regulatory Commission Standard and Regulation, pursuant to the Energy Reorganization Act of 1974, (42 USC, 5801, et seq.)
Investigational New Drug Applications	All.	All	All clinical trial investigations of products that are subject to section 505 or 507 of the Federal Food, Drug, and Cosmetic Act or to the licensing provisions of the PHS Act (58 Stat. 632, as amended (42 USC 201, et seq.))	Food and Drug Administration (FDA), 21 CFR parts 50 and 312
U.S. Flag Air Carriers	All	All	Any air transportation to, from, between, or within a country other than the U.S. of persons or property, the expense of which will be assisted by Federal funding, must be performed by or under a code-sharing arrangement with a U.S.-flag air carrier if service provided by such a carrier is available (see Comp Gen. Decision B-240956, dated September 25, 1991).	49 USC 40118 See also General Services Administration amendment to the Federal Travel Regulations, Federal Register (Vol. 63, No. 219, 63417-63421)
Misconduct in Science Policies and responsibilities associated with prevention, detection, and handling of misconduct in science allegations as stipulated in agency implementing regulations:	All	All	All	[Federal Register: December 6, 2000

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<p>NSF at 45 CFR Part 620 NASA at 14 CFR Part 1275 HHS at 42 CFR Part 50, Subpart A</p> <p>Select Agents and Toxins</p> <p>P.L. 107-188: Public Health Security & Bioterrorism Preparedness Response Act of 2002, Title II sections 201-231 P.L. 107-56 The USA Patriot Act of 2001 Section 175b www.cdc.gov/od/sap</p> <p>Codified by the: HHS at 42 CFR Pt 73 USDA at 7 CFR 331 and 9 CFR 121</p> <p>See also 15 CFR Chapter 7 for Export Administration Regulations (EAR) www.bxa.doc.gov and 49 CFR Pts 171 - 180 for transportation requirements</p>	As applicable	All	Research with or storage of Select Agents and Toxins	<p>Institution must be registered with CDC and or USDA prior to beginning work with agents. Investigator must be licensed prior to beginning work.</p> <p>NIH Term of Award includes notice that registration must be complete before using NIH funds and that no funds may be used for Select Agent Research if certification is denied.</p> <p>USDA inserts a term indicating that the grantee has primary responsibility for complying with Title II of the Public Health Security and Bioterrorism Preparedness and Response Act of 2002, Public Law 107-188, and the regulations promulgated thereunder in 7 CFR Part 331, 9 CFR Part 121, and 42 CFR Part 72. For guidance on a biosecurity plan that includes physical security of facilities and access controls to prevent unauthorized entries see Departmental Manual 9610-1, USDA Security Policies and Procedures for Biosafety Level-3 Facilities (available via http://www.usda.gov/directives/index.html)</p> <p>Other State and Local regulations may apply</p>
<p>Executive Order 13224, dated September 23, 2001. Executive Order 13224 gives the U.S. government a powerful tool to impede terrorist funding and is part of our national commitment to lead the international effort to bring a halt to the evil of terrorist activity. President Bush issued Executive Order 13224 pursuant to the authorities of the International Emergency Economic Powers Act (50 U.S.C. 1701 et seq.)(IEEPA), the National Emergencies Act (50 U.S.C. 1601 et seq.), section 5 of the United Nations Participation Act of 1945, as amended (22 U.S.C. 287c)(UNPA), and section 301 of title 3, United States Code.</p>			In general terms, the Order provides a means by which to disrupt the financial support network for terrorists and terrorist organizations by authorizing the U.S. government to designate and block the assets of foreign individuals and entities that commit, or pose a significant risk of committing, acts of terrorism. In addition, because of the pervasiveness and expansiveness of the financial foundations of foreign terrorists, the Order authorizes the U.S. government to block the assets of individuals and entities that provide support, services, or assistance to, or otherwise associate with, terrorists and terrorist organizations designated under the Order, as well as their subsidiaries, front organizations, agents, and associates.	

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National Policy Requirements	Type of Award	Type of Recipient	Specific Situation	
Paperwork Reduction Act	All	All	When data is collected from respondents using a questionnaire or other survey instrument.	Data collection activities, if any, performed under this project are the responsibility of the recipient, and awarding agency support of the project does not constitute approval of any survey design, questionnaire content, or data collection procedures. The recipient shall not represent to respondents that such data are being collected for or in association with the awarding agency without the specific written approval of the cognizant awarding agency official of such data collection plan or instrument. However, this requirement is not intended to preclude mention of awarding agency support of the project in response to an inquiry or acknowledgment of such support in any publication of these data.

Statutory & Regulatory Based	Used For:			Requirement(s) that should be noted by the recipient
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Less than Government-wide Assurances				
Conflict of Interest (Financial Disclosure) Requires each recipient to maintain an appropriate and enforced policy on conflict of interest consistent with the provisions of NSF Grant Policy Manual Section 510 (which also is published at 60 Federal Register 35820). HHS at 42 CFR Part 50, Subpart F Applies to DHHS/NSF awards only	Grants and cooperative agreements	Organizations with more than 50 employees	All	Flowdown to subrecipients shall be as stipulated in agency implementation of the conflict of interest requirements
Lobbying Prohibitions	All	All	The recipient agrees that none of the funds obligated on the award	

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<p>National Policy Requirements</p> <p>45 CFR 93, HHS Appropriations Language DOE appropriations language at Energy and Water Development Appropriations Act § 601 and Interior and Related Agencies Appropriations Act § 303 (subject to change).</p> <p>Special Appropriation Language applies to DOE, EPA, and HHS only</p>			shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Member of Congress as described in 18 U.S.C. 1913. In addition, the recipient agrees that none of the funds obligated on the award shall be made available for any activity or the publication or distribution of literature that in any way tends to promote public support or opposition to any legislative proposal on which Congressional action is not complete.	
<p>Recent Appropriation Acts provide "It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available in this Act should be American-made..."</p> <p>Applies NSF, DOE, NIH awards only</p>				
<p>Compliance with Buy America Act</p> <p>The recipient agrees that in expending funds made available under the Interior and Related Agencies Act, the recipient will comply with sections 2 through 4 of the Act of March 3, 1933 (41 U. S. C. 10a-10c; popularly known as the "Buy American Act").</p> <p>Applies to DOE awards only</p>	Any	Any	Awards with funds made available under the Department of Interior and Related Agencies Appropriations Act.	Department of Interior and Related Agencies Appropriations Act § 307(a) (subject to change)
<p>Smoke-Free Workplace</p> <p>Occupational Safety Health Act of 1983</p> <p>Applies to PHS awards only</p>	All	All	All	
<p>Restriction on Distribution of Sterile Needles</p> <p>Applies to PHS awards only</p>	All.	All	All	NIH Appropriations Act language (subject to annual change)
<p>Ban on Funding of Human Embryo Research</p> <p>Applies to DHHS awards only</p>	All	All	All	42 USC 289, 45 CFR, Part 46; HHS Appropriations Language
<p>Research on Transplantation of Fetal Tissue</p> <p>Applies to HHS awards only</p>	All	All	All	PHS Act, 489A, HHS Appropriation language
<p>Limitation on use of funds for Promotion of legalization of controlled substances</p> <p>Applies to HHS awards only</p>	All	All	All	HHS Appropriations Language (subject to annual change)
<p>Acknowledgement of Federal Funding</p>	All	All	Clinical Research	HHS Appropriations Language (subject to Annual change)

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National Policy Requirements				
Applies to HHS awards only				
Confidentiality of Patient Records	All	All	Research involving Human Subjects	PHS Act, Section 543
Applies to PHS awards only				
Recombinant DNA Molecules	All	All	Research involving recombinant DNA	
All research that falls within the scope of the Guidelines for Research Involving Recombinant DNA Molecules (NIH Guidelines) shall comply with the Guidelines, including All procedural requirements. See 59 FR Volume 598, No. 127, July 5, 1994, 34495-34547				
Applies to NIH/NSF/USDA-CSREES awards only				
Military Recruiters	All	Domestic institution of higher education (see 32 CFR 22.520).	All	
The provision shall be as specified at 32 CFR 22.520]				
Applies to DOD & DHHS awards only				
Inclusion of Children as subjects in Clinical Research	All	All	All	NIH Guide, March 6, 1998 http://grants.nih.gov/grants/guide/notice-files/not98-024.html
NIH awards only				
Precollege Students and Experimental Curriculum Development Projects	Grants and cooperative agreements	All	Research projects that involve pre-college students in research or development, pilot testing, evaluation or revision of, experimental or innovative curriculum development projects	NSF Grant Policy Manual Section 862 at: < http://www.nsf.gov:80/bfa/cpo/gpm95/ch8.htm#ch8-17 >
42 USC 1869 a. and b. NSF Awards Only				
Inclusion of Women/Minorities as subjects in clinical research	All	All	Research involving human subjects	NIH Guide, March 18, 1994 http://grants.nih.gov/grants/guide/1994/94.04.18/notice-nih-guidelines008.html
NIH awards only.				
Protection of Research Subjects' Identity	All	All	Research involving human subjects	PHS Act Section 301 (d)
PHS awards only				
Use of Animals				
Prohibitions on the purchase or use of dogs or cats for certain medical training purposes, in Section 8019 (10 U.S.C. 2241 note) of the Department of Defense Appropriations Act, 1991 (Pub. Law 101-511).	All	All	Research involving medical training	
Applies to DOD awards only				
Utilization of Small Business Concerns	All	All		PL 95-507

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National Policy Requirements				
Applies to EPA awards only EPA at 40 CFR Part 30				
The Solid Waste Disposal Act , as amended, requires grantees to use recycled paper for all reports submitted to the Agency.	Grants and cooperative agreements	All	All	PL 89-272, as amended, and Executive Order 13101
EPA Awards Only EPA at 40 CFR Part 30				
Minority Business Enterprises/Women's Business Enterprises -- Requires all grantees doing research under the Clean Air Act to try to reach a 10 percent goal in awarding contracts for supplies, equipment, contracts, and construction to minority business enterprises/women's business enterprises.	Grants and cooperative agreements	All	Research under the Clean Air Act	Public Law 101-549
EPA Awards Only EPA at 40 CFR Part 30				
Assurances to be flowed down to other than Colleges and Universities				
Pro-Children Act PL 103-227, Title X, Part C Prohibits smoking in indoor buildings that provides specific Federal services (health, day care, education or library) to children under the age of 18. Applies to HHS and Agriculture awards only.	All	All	Applicable if funded by Federal programs either directly or through State or local governments. Does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, portions of facilities used for inpatient drug or alcohol treatment, or facilities where Women, Infants, and Children (WIC) coupons are redeemed	
Hatch Act The recipient agrees to comply with the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328), as implemented by the Office of Personnel Management at 5 CFR Part 151, which limits political activity of employees or officers of State or local governments whose employment is connected to an activity financed in whole or part with Federal funds	Grants or loans	State and local governments	All but employees of educational or research institutions supported by State; political subdivision thereof; or religious, philanthropic, or cultural organization	
Coastal Zone Management Act of 1972 Coastal zones, and provide help the agency may need to comply with the Coastal Zone Management Act of 1972 (16 U.S.C. 1451, et. Seq.), concerning protection of U.S. coastal resources. EPA at 40 CFR Part 6	All	All	Research conducted in coastal zones	
Relocation and Real Property Acquisition	Grants, cooperative agreements, and other "Federal financial assistance" [see 49 CFR 24.2(j)].	"State agency" as defined in 49 CFR Part 24 to include persons with authority to acquire property by eminent domain under State law.	All project that may result in real property acquisition or displacement where State agency hasn't opted to certify to Dept. of	42 U.S.C. 4630 and 49 CFR 24.4, as implemented by DoD at 32 CFR Part 259, requires grants officers to obtain recipients' assurance of compliance.

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<p>The recipient assures that it will comply with 49 CFR Part 24, which implements the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. 4601, et seq.) and provides for fair and equitable treatment of persons displaced by Federally assisted programs or persons whose property is acquired as a result of such programs.</p>			<p>Transportation in lieu of providing assurance.</p>	

Statutory & Regulatory Based	Used For:			Requirement(s) that should be noted by the recipient
National Policy Requirements	Type of Award	Type of Recipient	Specific Situation	
State Single Points of Contact EPA at 40 CFR Part 29 NSF at 45 CFR Part 660	All	State and local governments	Alterations and renovations >\$500,000	Intergovernmental Review, Executive Order 12372