### National Policy Requirements

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<td>Applicable to all research agencies:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Environmental Standards</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

By signing the agreement or accepting funds under this agreement, the recipient assures that it will:

  - EPA at 40 CFR Part 6
  - Requirements flow down to subrecipients

- **b. Identify to the awarding agency all impact this award may have on:**
  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.
    - 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 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
    - Awards involving construction, land acquisition or development, with some exceptions [see 42 U.S.C. 4001, et. seq.].
  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).
    - 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).
## NATIONAL POLICY REQUIREMENTS MATRIX

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<td>National Policy Requirements Applicable to all research agencies:</td>
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<td></td>
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<td>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.).</td>
<td>All</td>
<td>Construction in a construction project that is the sole or principal drinking water source and would create a public health hazard, if contaminated. 42 U.S.C. 300h-3(e) precludes awards of Federal financial assistance for a project that the EPA administrator determines may contaminate a sole-source aquifer so as to threaten public health.</td>
</tr>
<tr>
<td>EPA at 40 CFR Part 6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>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).</td>
<td>All</td>
<td>Construction in an area with an aquifer that the EPA finds would create a public health hazard, if contaminated. 42 U.S.C. 300h-3(e) precludes awards of Federal financial assistance for a project that the EPA administrator determines may contaminate a sole-source aquifer so as to threaten public health.</td>
</tr>
<tr>
<td>EPA at 40 CFR Part 6</td>
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<td></td>
</tr>
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</table>

### General/Miscellaneous Requirements

By signing or accepting funds under the agreement, the recipient agrees that will comply with the following general national policy requirements:

<table>
<thead>
<tr>
<th>Requirement(s)</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. CCR Registration - 2 CFR Part 25</td>
<td>All Recipient only; does not apply to subrecipients. CCR registration must be renewed annually.</td>
</tr>
<tr>
<td>b. Drug Free Workplace</td>
<td>All All. 41 USC 701 et seq.</td>
</tr>
<tr>
<td>c. DUNS number - 2 CFR Part 25</td>
<td>All Recipient and 1st tier subrecipient. DUNS number required at time of application.</td>
</tr>
<tr>
<td>d. False Claims Act Provisions</td>
<td>1. Civil False Claims Act. All All All. 31 USC 2739</td>
</tr>
<tr>
<td>2. Criminal False Claims Act.</td>
<td>All All All. 18 USC 287 and 1001</td>
</tr>
</tbody>
</table>
**NATIONAL POLICY REQUIREMENTS MATRIX**

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<td>National Policy Requirements Applicable to all research agencies:</td>
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<td></td>
</tr>
<tr>
<td>3. Program Fraud and Civil Remedies and False Claims Act</td>
<td>All</td>
<td>31 USC 3801, 45 CFR 79</td>
</tr>
<tr>
<td>31 USC 3801, 45 CFR 79</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Government-wide Debarment and Suspension (Nonprocurement)</td>
<td>All</td>
<td>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)</td>
</tr>
<tr>
<td>USDA at 2 CFR Part 417</td>
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<tr>
<td>NSF at 2 CFR Part 2520</td>
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<tr>
<td>HHS at 2 CFR Part 376</td>
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<tr>
<td>DOD at 2 CFR Part 1125</td>
<td></td>
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<tr>
<td>EPA at 2 CFR Part 1532</td>
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<tr>
<td>DOD at 2 CFR Part 1125</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NASA at 2 CFR Part 1880</td>
<td></td>
<td></td>
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<tr>
<td>DOC at 2 CFR Part 1326</td>
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<td></td>
</tr>
<tr>
<td>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. (2) If any funds other than Federal apportioned 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, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit the SF Form LLL, &quot;Disclosure of Lobbying Activities&quot;, in accordance with its instructions.</td>
<td></td>
<td>31 USC 1352 requires the grantee to include certification language in the award documents for all subawards at all tiers, including subcontracts, subgrants,</td>
</tr>
<tr>
<td>DOC at 15 CFR Part 28</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NASA at 14 CFR Part 1271</td>
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<td></td>
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<tr>
<td>NSF at 45 CFR Part 604</td>
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<tr>
<td>DoD 32 CFR Part 28</td>
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<tr>
<td>USDA at 7 CFR Part 3018</td>
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</tr>
<tr>
<td>DOE at 10 CFR Part 601</td>
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</tr>
<tr>
<td>EPA at 40 CFR Part 34</td>
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<td></td>
</tr>
<tr>
<td>HHS at 45 CFR Part 93</td>
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<td>Applicable to all research agencies:</td>
<td>All</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>g. Metric System</td>
<td>15 USC 205 a-k and Executive Order 12770 EPA at 40 CFR Part 30, Section 15</td>
<td></td>
<td>15 CFR Part 19, Subpart B</td>
</tr>
<tr>
<td>i. National Historic Preservation</td>
<td>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, Section 204 (b)(4)</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>j. Paperwork Reduction Act</td>
<td>All</td>
<td>All</td>
<td>When data is collected from respondents using a questionnaire or other survey instrument. See, however, M-11-07 dated 12/9/10 entitled, &quot;Facilitating Scientific Research by Streamlining the Paperwork Reduction Act Process.&quot; 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. Reporting grants and 1st tier subrecipients of 25K or more, and executive compensatio reporting of same; limited exceptions.</td>
</tr>
<tr>
<td>k. Transparency Act - FFATA Public Law 109-282</td>
<td>All, including 1st tier subrecipients</td>
<td>Awards of 25K or more</td>
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<td>Type of Recipient</td>
</tr>
<tr>
<td>l. U.S. Flag Air Carriers</td>
<td>All</td>
<td>All</td>
</tr>
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<td>National Policy Requirements Applicable to all research agencies:</td>
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</tr>
<tr>
<td><strong>m. Trafficking in Persons</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>By signing or accepting funds under the agreement, the recipient agrees that it will comply with Trafficking Victims Protection Act of 2000 (22 U.S.C. 7104(g)) as implemented by 2 CFR 175</td>
<td>Grants and Cooperative Agreements and contracts</td>
<td>A. Associated with performance under this award; or B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, &quot;OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),&quot; as implemented by the agency in its regulatory implementation of the OMB guidelines in 2 CFR part 180.</td>
</tr>
<tr>
<td>DOD at 2 CFR Part 180</td>
<td>175.15(b).a. applies to private entities 175.15(b).b. applies to other than private entities if award includes subrecipient award to a private entity 117.15(b).c. applies to all recipients</td>
<td>b. Provision applicable to a recipient other than a private entity. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity-- 1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or 2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either-- i. Associated with performance under this award; or ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, &quot;OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),&quot; as implemented by our agency. c. Provisions applicable to any recipient. 1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term. 2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section: i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and ii. Is in addition to all other remedies for noncompliance that are available to us under this award. 3. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.</td>
</tr>
<tr>
<td><strong>Increasing Seat Belt Use in the United States Executive Order 13043, Increasing Seat Belt Use in the United States, dated, April 16, 1997</strong></td>
<td>Grants and Cooperative Agreements</td>
<td>In accordance with the Executive Order, “grantees are encouraged to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented, or personally owned vehicles.”</td>
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**Health & Safety Guidelines**
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<td>By signing the agreement or accepting funds under this agreement, the recipient assures it will comply with the following requirements:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Handling and transport of etiologic agents</td>
<td>All All</td>
<td>Research involving etiologic agents Procedures for Domestic Handling and Transport of Diagnostic Specimens and Etiologic Agents, 1994 (3rd ed.), HSa3doc. 75, National Committee for Clinical Laboratory Standards</td>
</tr>
<tr>
<td>3. Biosafety standards in microbiological and biomedical laboratories</td>
<td>All All</td>
<td>Microbiological and biomedical research Biosafety in Microbiological and Biomedical Laboratories; 5th Edition <a href="http://www.cdc.gov/biosafety/publications/bmbl5/index.htm">http://www.cdc.gov/biosafety/publications/bmbl5/index.htm</a></td>
</tr>
<tr>
<td>4. Controlled Substances</td>
<td>All All</td>
<td>Research involving controlled substances Drug Enforcement Administration (DEA) registration, inspection and certification</td>
</tr>
<tr>
<td>5. Disposal of high-level radioactive waste and spent nuclear fuel. Note however, that some States are exempt if they have established separate requirements.</td>
<td>All All</td>
<td>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.)</td>
</tr>
<tr>
<td>6. Investigational New Drug Applications</td>
<td>All All</td>
<td>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</td>
</tr>
<tr>
<td>7. Hotel and Motel Fire Safety Act of 1990 - P.L. 101-39</td>
<td>Conference or meeting support All</td>
<td>Alterations and Renovations &gt; $500,000 40 USC 327-333</td>
</tr>
<tr>
<td>8. Labor Standards under Federally Assisted Construction: Construction Work Hours and Safety Standards Act</td>
<td>All All</td>
<td>Alterations and Renovations &gt; $500,000 40 USC 327-333</td>
</tr>
<tr>
<td>9. Text Messaging While Driving - EO 13513</td>
<td>All All</td>
<td>Adopt and enforce policies that ban text messaging while driving.</td>
</tr>
<tr>
<td>9. Increasing Seat Belt Use in the United States Executive Order 13043, Increasing Seat Belt Use in the United States, dated, April 16, 1997</td>
<td>Grants and Cooperative Agreements All</td>
<td>In accordance with the Executive Order, “grantees are encouraged to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented, or personally owned vehicles.”</td>
</tr>
</tbody>
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### Less Than Government-wide Applicability

| Acknowledgement of Federal Funding | All All All | HHS Appropriations Language (subject to Annual change) |
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<td><strong>Type of Recipient</strong></td>
<td><strong>Specific Situation</strong></td>
</tr>
<tr>
<td><strong>National Policy Requirements Applicable to all research agencies:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>American-made equipment and products</td>
<td>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...”</td>
<td>Acts making appropriations to NSF 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” and require the Foundation to notify grantees of that statement.</td>
</tr>
<tr>
<td>Ban on Funding of Human Embryo Research</td>
<td>All</td>
<td>42 USC 289, 45 CFR, Part 46; HHS Appropriations Language</td>
</tr>
<tr>
<td>Certification of Filing and Payment of Taxes</td>
<td>Applies to NIH awards only</td>
<td>NIH Appropriations Act language (subject to annual change)</td>
</tr>
<tr>
<td>Clinicaltrials.gov</td>
<td>Applies to HHS awards only</td>
<td>PL 110-85</td>
</tr>
<tr>
<td>Compliance with Buy America Act</td>
<td>Any</td>
<td>Department of Interior and Related Agencies Appropriations Act § 307(a) (subject to change)</td>
</tr>
<tr>
<td>Confidence of Patient Records</td>
<td>Applies to PHS awards only</td>
<td>PHS Act, Section 543, 42 CFR 2</td>
</tr>
<tr>
<td>Conflict of Interest (Financial Disclosure)</td>
<td>Grants and cooperative agreements</td>
<td>Flowdown to subrecipients shall be as stipulated in agency implementation of the conflict of interest requirements</td>
</tr>
<tr>
<td>Delinquency on Federal Debt</td>
<td>2 CFR Part 215.22(h)(2), HHS at 45 CFR Part 74.22(h)(2)</td>
<td>Agency to withhold payment to recipient or subrecipient who is delinquent in a debt to the US as defined in OMB Circular A-29.</td>
</tr>
</tbody>
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## National Policy Requirements Matrix

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<td>Federal Information System Security Management Act - Title III of the E-Government Act of 2002, PL 107-347 Applies to HHS and NIFA awards only</td>
<td>All</td>
<td>Recipient and subrecipients</td>
</tr>
<tr>
<td>Limitation on use of funds for Promotion of legalization of controlled substances Applies to HHS awards only</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Lobbying Prohibitions 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). Special Appropriation Language applies to DOE, EPA, and HHS only</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Military Recruiters The provision shall be as specified at 32 CFR 22.520] Applies to DOD &amp; DHHS awards only</td>
<td>All</td>
<td>Domestic institution of higher education (see 32 CFR 22.520).</td>
</tr>
</tbody>
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<th>Specific Situation</th>
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<tr>
<td><strong>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.</strong></td>
<td>Grants and cooperative agreements</td>
<td>All</td>
<td>Research under the Clean Air Act</td>
<td>Public Law 101-549</td>
</tr>
<tr>
<td>EPA Awards Only</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>EPA at 40 CFR Part 30, Section 16</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Precollege Students and Experimental Curriculum Development Projects</strong></td>
<td>Grants and cooperative agreements</td>
<td>All</td>
<td>Research projects that involve pre-college students in research or development, pilot testing, evaluation or revision of, experimental or innovative curriculum development projects</td>
<td>NSF Award &amp; Administration Guide Chapter VI.M.2 <a href="http://www.nsf.gov/pubs/policydocs/pappguide/nsf08_1/aag_6.jsp#VIM2">http://www.nsf.gov/pubs/policydocs/pappguide/nsf08_1/aag_6.jsp#VIM2</a></td>
</tr>
<tr>
<td>42 USC 1869 a. and b.</td>
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<td></td>
</tr>
<tr>
<td>NSF Awards Only</td>
<td></td>
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</tr>
<tr>
<td><strong>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).</strong></td>
<td>All</td>
<td>All</td>
<td>Research involving medical training</td>
<td></td>
</tr>
<tr>
<td>Applies to DOD awards only</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Protection of Research Subjects’ Identity</strong></td>
<td>All</td>
<td>All</td>
<td>Research involving human subjects</td>
<td>PHS Act Section 301 (d)</td>
</tr>
<tr>
<td>PHS awards only</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Public Access Policy</strong></td>
<td>All</td>
<td>All</td>
<td>Publications arising from NIH support</td>
<td>Division F, Section 217 of Public Law 111-8</td>
</tr>
<tr>
<td>Applies to NIH awards only</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Recombinant DNA Molecules</strong></td>
<td>All</td>
<td>All</td>
<td>Research involving recombinant DNA</td>
<td></td>
</tr>
<tr>
<td>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</td>
<td></td>
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<tr>
<td>Applies to NIH/NSF/USDA-CSREES awards only</td>
<td></td>
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</tr>
<tr>
<td><strong>Research of Transplantation of Fetal Tissue</strong></td>
<td>All</td>
<td>All</td>
<td></td>
<td>PHS Act, 489A</td>
</tr>
<tr>
<td>Applies to HHS awards only</td>
<td></td>
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## NATIONAL POLICY REQUIREMENTS MATRIX

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<td>National Policy Requirements Applicable to all research agencies:</td>
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<td></td>
</tr>
<tr>
<td>Restriction on Abortions and Exceptions on Restrictions on Abortions</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Applies to HHS awards only</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restriction on Distribution of Sterile Needles</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Applies to PHS awards only</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restriction on Employment of Unauthorized Alien Workers</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Applies to HHS awards only</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Smoke-Free Workplace</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Occupational Safety Health Act of 1983</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Applies to PHS awards only</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The Solid Waste Disposal Act, as amended, requires grantees to use recycled paper for all reports submitted to the Agency.</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>EPA Awards Only</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EPA at 40 CFR Part 30, Section 16</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training of Graduate Students for Doctoral Degrees</td>
<td>D43, TU2, T15, T32, T37, T90, U2R, U90, U54, TL1</td>
<td>Institutions that receive institutional training grant awards or cooperative agreements for the doctoral training of graduate students</td>
</tr>
<tr>
<td>Applies to NIH Awards only</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Utilization of Small Business Concerns</td>
<td>All</td>
<td>All</td>
</tr>
<tr>
<td>Applies to EPA awards only</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EPA at 40 CFR Part 33</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Live Organisms</td>
<td></td>
<td></td>
</tr>
<tr>
<td>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:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. For human subjects:</td>
<td></td>
<td></td>
</tr>
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<tr>
<td>National Policy Requirements Applicable to all research agencies:</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1. For human subjects, the Common Federal Policy for the Protection of Human Subjects. Codified by the:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DOC at 15 CFR Part 27</td>
<td>All</td>
<td>Research, development, test, or evaluation involving live human subjects, with some exceptions (see agency implementations for exemptions).</td>
</tr>
<tr>
<td>DHHS at 45 CFR Part 46</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NSF at 45 CFR Part 690</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NASA at 14 CFR Part 1230</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DOE at 10 CFR Part 745</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EPA at 40 CFR Parts 26 and 40</td>
<td></td>
<td></td>
</tr>
<tr>
<td>USDA at 7 CFR Part 1c</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2. Human Stem Cell Research</strong></td>
<td></td>
<td>NIH Guidelines and Registry of cell lines meeting the Federal requirements are found at: <a href="http://stemcells.nih.gov/index.asp">http://stemcells.nih.gov/index.asp</a></td>
</tr>
<tr>
<td>In accordance with the President’s Executive Order 13505 of March 9, 2009, and July 30, 2009 Memorandum for the Heads of Executive Departments and Agencies. See NIH Guidelines for Human Stem Cell Research, July 7, 2009.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other regulations that may apply:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HHS Human Subjects Protection Regulation, 45 CFR Pt 46</td>
<td></td>
<td></td>
</tr>
<tr>
<td>FDA Regulations governing INDS or IDEs (Title 21 CFR Parts 312 or 812)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>FDA IRB &amp; informed consent regulations (Title 21 CFR Parts 50 &amp; 56)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research on Transplantation of Fetal Tissue (PHS Act 489A)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>As applicable</td>
<td>All</td>
<td>Research involving Human Stem Cells</td>
</tr>
<tr>
<td><strong>3. P.L. 104-191 Health Insurance Portability and Accountability Act (HIPAA)</strong></td>
<td></td>
<td>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 <a href="http://privacyruleandresearch.nih.gov/">http://privacyruleandresearch.nih.gov/</a></td>
</tr>
<tr>
<td>45 CFR Part 160 and Subparts A and E of Part 164 Subpart C to be effective 4/20/2005 (Security)</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>b. For animals:</strong></td>
<td>All</td>
<td>All</td>
</tr>
</tbody>
</table>
## NATIONAL POLICY REQUIREMENTS MATRIX

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</tr>
</thead>
<tbody>
<tr>
<td>1. Rules on animal acquisition, transport, care, handling, and use</td>
<td></td>
<td></td>
</tr>
<tr>
<td>in: (i) 9 CFR Parts 1-4, Department of Agriculture rules that</td>
<td></td>
<td>Research, experimentation, or testing involving the use of</td>
</tr>
<tr>
<td>implement the Laboratory Animal Welfare Act of 1966 (7 US+160C. 2131-2156).</td>
<td></td>
<td>animals USDA regulations exempt birds, most rats and</td>
</tr>
<tr>
<td>Public Health Service Agencies must follow requirements in the</td>
<td></td>
<td>mice bred for research, and</td>
</tr>
<tr>
<td>PHS Policy on Humane Care and Use of Laboratory Animals,</td>
<td></td>
<td>farm animals used for</td>
</tr>
<tr>
<td>which implements PL 99-158, Sec. 495. NASA requirements</td>
<td></td>
<td>agricultural research.</td>
</tr>
<tr>
<td>for animal welfare are set forth at 14 CFR Part 1232</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EPA at 40 CFR Part 40. For USDA/CSREES, &quot;In the case of</td>
<td></td>
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</tr>
<tr>
<td>domestic farm animals housed under farm conditions, the</td>
<td></td>
<td></td>
</tr>
<tr>
<td>institution should adhere to the principles stated in the</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Guide for the Care and Use of Agricultural Animals in</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Agriculture and Teaching, Federation of Animal Science</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Societies, 1999.&quot;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Rules of the Departments of Interior (50 CFR Parts 10-24)</td>
<td>All</td>
<td>Activities which may involve</td>
</tr>
<tr>
<td>and Commerce (50 CFR Parts 217-227) implementing laws and</td>
<td>All</td>
<td>or impact wildlife and plants.</td>
</tr>
<tr>
<td>conventions on the taking, possession, transport, purchase,</td>
<td></td>
<td></td>
</tr>
<tr>
<td>sale, export, or import of wildlife and plants, including</td>
<td></td>
<td></td>
</tr>
<tr>
<td>the: Endangered Species Act of 1973 (16 U.S.C. 1531-1543);</td>
<td></td>
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</tr>
<tr>
<td>Marine Mammal Protection Act (16 U.S.C. 1361-1384); Lacey</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Act (18 U.S.C. 42); and Convention on International Trade in</td>
<td></td>
<td></td>
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<tr>
<td>Endangered Species of Wild Fauna and Flora.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## National Security Guidelines

By signing the agreement or accepting funds under this agreement, the recipient assures it will comply with the following requirements:
### NATIONAL POLICY REQUIREMENTS MATRIX

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</thead>
<tbody>
<tr>
<td><strong>National Policy Requirements</strong>&lt;br&gt;Applicable to all research agencies:</td>
<td>Type of Award</td>
<td>Specific Situation</td>
</tr>
<tr>
<td>1. Executive Order 13224, Blocking Property and Prohibiting Transactions with Persons who Commit, Threaten to Commit, or Support Terrorism, 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.), 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.</td>
<td></td>
<td>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.</td>
</tr>
</tbody>
</table>
**Research Terms and Conditions**

**Appendix C**

**NATIONAL POLICY REQUIREMENTS MATRIX**

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<td><strong>National Policy Requirements Applicable to all research agencies:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Select Agents and Toxins</td>
<td>As applicable</td>
<td>Research with or storage of Select Agents and Toxins</td>
</tr>
<tr>
<td>P.L. 107-188: Public Health Security &amp; Bioterrorism Preparedness Response Act of 2002, Title II sections 201-231</td>
<td></td>
<td>Institution must be registered with CDC and or USDA prior to beginning work with agents. Investigator must be licensed prior to beginning work. 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. 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 biosafety 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 <a href="http://www.usda.gov/directives/index.html">http://www.usda.gov/directives/index.html</a>) Other State and Local regulations may apply.</td>
</tr>
<tr>
<td>P.L. 107-56 The USA Patriot Act of 2001 Section 175b</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Codified by: HHS at 42 CFR Pt 73</td>
<td></td>
<td></td>
</tr>
<tr>
<td>USDA at 7 CFR 331 and 9 CFR 121</td>
<td></td>
<td></td>
</tr>
<tr>
<td>See also 15 CFR Chapter 7 for Export Administration Regulations (EAR) <a href="http://www.bxa.doc.gov">www.bxa.doc.gov</a> and 49 CFR Pts 171 - 180 for transportation requirements</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Executive Order 13526 Classified National Security Information: prescribes a uniform system for classifying, safeguarding, and declassifying national security information, including information relating to defense against transnational terrorism.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**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 at 7 CFR Part 15  
DOC at 15 CFR Part 8  
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.  
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 at 7 CFR Part 15  
DOC at 15 CFR Part 8  
HHS at 45 CFR Part 80 & 81  

EPA at 40 CFR Parts 7 and 12  
Grants, cooperative agreements, and other prime awards defined at 40 CFR 60-1.3 as “Federnally assisted construction contract.”  
All  
Grants 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(i) (3) and at paragraphs 1. of Appendices A to 32 CFR Part 32 and 32 CFR Part 34.
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<td></td>
</tr>
<tr>
<td>c. On the basis of sex or blindness, in Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.).</td>
<td>Grants, cooperative agreements, and other financial assistance included at 20 U.S.C. 1682.</td>
<td>Educational institution [for sex discrimination, excepts all Institution controlled by religious organization, when inconsistent with the organization’s religious tenets].</td>
</tr>
<tr>
<td></td>
<td></td>
<td>All educational program or activity receiving Federal financial assistance.</td>
</tr>
<tr>
<td>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.</td>
<td>Grants, cooperative agreements, and other awards defined at 45 CFR 90.4 as “Federal financial assistance.”</td>
<td>All</td>
</tr>
<tr>
<td></td>
<td></td>
<td>All</td>
</tr>
<tr>
<td></td>
<td></td>
<td>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].</td>
</tr>
<tr>
<td>e. On the basis of handicap, in:</td>
<td>Grants, cooperative agreements, and other awards included in “Federal financial assistance”</td>
<td>All</td>
</tr>
<tr>
<td></td>
<td></td>
<td>All</td>
</tr>
<tr>
<td>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</td>
<td></td>
<td>Requirements flow down to subawards [“recipient,” includes entities receiving assistance indirectly through other recipients].</td>
</tr>
<tr>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. The Architectural Barriers Act of 1968 (42 U.S.C. 4151, et seq.).</td>
<td>Grant or loan</td>
<td>Construction or alteration of buildings or facilities, except those restricted to use only by able-bodied uniformed personnel.</td>
</tr>
</tbody>
</table>

Friday, April 11, 2014