



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

EFFECTIVE MAY 18, 2018

Effective May 18, 2018, new NSF Phase II SBIR/STTR grants and funding amendments to existing SBIR/STTR Phase II grants will begin referencing, and are subject to, the [Small Business Innovation Research/Small Business Technology Transfer Phase II Grant General Conditions \(SBIR/STTR-II\)](#) dated 05/18/18.

Unless otherwise noted in a specific article, the *SBIR/STTR Phase II Grant General Conditions* apply to new NSF Phase II SBIR/STTR grants and funding amendments issued to existing grants awarded on or after May 18, 2018.

A summary of the changes is included below. Any questions regarding these changes may be directed to the cognizant SBIR/STTR Program Director.

Significant Changes

- **Prior Approval Requirements, Article 3.** This article has been revised to include the addition of a new NSF Prior Approval Matrix applicable to State and local governments and for-profit organizations. Also, the Article has been updated to reflect that Research.gov has been modified to include an “Other” category, which must be used to submit prior approval requirements that do not already have a specific request type in NSF’s electronic systems.
- **Equipment, Article 7.** The revisions update NSF’s Equipment article to align with 2 CFR § 200.313 requirements for all equipment purchased under NSF awards and provide clarity on reporting requirements for NSF-owned equipment.
- **Patent Rights, Article 24.** The revisions update NSF’s Patent Rights article to implement government-wide changes to the Department of Commerce Bayh-Dole regulations at 37 CFR § 401.
- **Breach of Personally Identifiable Information, Article 44.** This is a new article that requires grantees to have procedures in place to respond to a breach of personally identifiable information (PII) and notify NSF that a breach of PII within the scope of an NSF award has occurred.

Clarifications and Other Changes

- **Overall Document.** The terms and conditions have been revised to update all *Proposal & Award Policies & Procedures Guide* (PAPPG) references and conform with PAPPG terminology. They also have been modified to incorporate editorial changes to either clarify or enhance the intended meaning of a sentence or section or ensure consistency with other NSF policy documents.