

**OFFICE OF NAVAL RESEARCH  
GOVERNMENT-WIDE CORE  
AGENCY SPECIFIC REQUIREMENTS  
(FEBRUARY 2011)**

DoDGARS Part 32 <http://www.dtic.mil/whs/directives/corres/pdf/321006r32p.pdf>  
Forms <http://www.onr.navy.mil/02/024/forms>

Administering Grant Offices <http://www.onr.navy.mil/02/024/offices.asp>

2CFR Part 220 [http://www.whitehouse.gov/omb/fedreg/2005/083105\\_a21.pdf](http://www.whitehouse.gov/omb/fedreg/2005/083105_a21.pdf)

2CFR Part 230 [http://www.whitehouse.gov/omb/fedreg/2005/083105\\_a122.pdf](http://www.whitehouse.gov/omb/fedreg/2005/083105_a122.pdf)

2CFR Part

215 [http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\\_debarment.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_debarment.pdf)

Office of Management and Budget: Open Government Directive

<http://www.whitehouse.gov/omb/open>

The Office of Naval Research (ONR) Government-wide Core Agency Specific Requirements of February 2011 are applicable to all new and renewal awards effective on or after 1 February 2011.

**Article 1. Awards Covered by Government-wide Core T&Cs**

All domestic research grants subject to 2 CFR Part 215. The Government-wide Core T&Cs do not apply to cooperative agreements, contracts and other transactions.

**Article 2. Prior Approval Requirements not included in the General T&Cs.**

Notwithstanding Article Number 25.(c)(2)(i) of the Government-wide Core Terms and Conditions, prior written approval is required to extend the period of performance, without additional funds, beyond the expiration date of this grant. The Administrative Grant Officer (AGO) at the Administrative Office in Block 23.a. of the Award/Modification document has authority to approve no funds extension requests meeting all of the following parameters:

- (a) A one-time basis only; and
- (b) for a period not to exceed 90 days; and
- (c) where \$50,000.00 or less of obligated funds remain to be expended.

In other cases, where a request is outside of one or more of the above parameters, a no funds extension can only be approved with the concurrence of the Technical Representative cited in Block 21.a. of the Award/Modification document. For any no funds extension to be effective, a written grant modification must be issued and signed by the AGO at the Administrative Office in Block 23.a. of the Award/Modification document or the Awarding Office in Block 22 of the Award/Modification document.

### **Article 3. Unallowable Direct Costs Aside from Those in 2CFR 220 & 230**

None

### **Article 4. Contact Information for Technical Matters**

Questions regarding technical matters should be referred to the Technical Representative cited in Block 21a. of the grant.

### **Article 5. Contact Information for Administrative Matters**

Questions regarding administrative matters should be referred to the Administrative Grants Officer (AGO) at the Administrative Office cited in Block 23a. of the grant.

### **Article 6. Contact Information for Intellectual Property Matters**

Questions regarding intellectual property matters should be referred to the ONR Patent Office cited in Block 26a. of the grant.

### **Article 7. Revised Budget Requirements**

ONR does not require standard budget forms. Revised budgets, when required, may be submitted in the recipient's format.

### **Article 8. Technical Reporting**

- (a) Technical reporting requirements are cited in Block 31 of the Award/Modification.
- (b) If reports are requested in Block 31 of the Award/Modification, the Grantee shall submit the performance results within ninety (90) days after the end date of the Grant.
- (c) The Grantee shall include a completed "Report Documentation Page" Standard Form (SF) 298 as the last page of the performance results prepared under this Grant. The form and instructions are available on the Office of Naval Research Home Page at <http://www.onr.navy.mil/02/024/forms> However, Block 12a. of the SF 298 should be completed with the following distribution/availability statement: "Approved for Public Release; Distribution is Unlimited." If the Grantee does not agree with that distribution/availability, the Grantee should contact the cognizant AGO at the Administrative Office in Block 23a. of the Award/Modification document.

### **Article 9. Financial Reporting**

Financial reporting requirements are cited in Block 31 of the grant.

### **Article 10. Incremental Funding Actions**

No additional documentation is required to trigger an increment. However, recipients should note that low expenditure rates reported on payment requests might be cause for deferral of future funding increments.

## **ARTICLES WITH GOVERNMENT-WIDE CORE REFERENCE**

### **Article 11. Payments**

Forms and instructions available at <http://www.onr.navy.mil/Contracts-Grants.aspx>

## **REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 22**

(a) All payments shall be made by funds transfers to the bank account registered in the Central Contractor Registration (CCR), <http://www.ccr.gov>. The Grantee agrees to maintain its registration in the CCR including information necessary to facilitate payment via Electronic Funds Transfer (EFT). Should a change in registry or other incident necessitate the payment to an account other than that maintained in CCR, it is the Grantee's responsibility to notify the AGO and obtain a modification to this Grant reflecting the change. The Government shall not be held responsible for any misdirection or loss of payment which occurs as the result of a Grantee's failure to maintain correct/current EFT information within its CCR registration.

(b) Any request for advance payments must be approved by the Administrative Grants Officer (AGO) at the Administrative Office shown in Block 23a of the award.

(c) Wide Area Work Flow (WAWF) has been designated as the Department of Defense standard for electronic invoicing and payment. To facilitate this effort for Universities and Nonprofit Organizations with awards administered by the Office of Naval Research (ONR) Regional Offices, DoD has established the ONR Electronic Payment System (PayWeb) (<https://services2.onr.navy.mil/http/sysm.onr.navy.mil:7777/payweb/PayWeb.jsp>), as an initial entry point to WAWF. If the Grantee participates in the PayWeb system, the Grantee shall submit an electronic request for payment to the Administrative Grants Officer (AGO) at the Administrative Office in Block 23a of the award, using the standard PayWeb processes.

(d) Participation in the PayWeb system requires the Grantee to obtain an External Certificate Authority (ECA) certificate from an approved Certificate Authority for access. Operational Research Consultants (ORC) (<http://www.eca.orc.com>) and VeriSign (<http://www.verisign.com/gov/ieca>) are approved ECA Authorities. If you have questions or require technical assistance in implementing your certificate, contact the Navy PKI Help Desk at 1-800-304-4636. The Grantee shall Contact the AGO at the Administrative Office in Block 23a of the award for instructions on how to register and use WAWF and PayWeb.

(e) Electronic submission of payment requests requires the Grantee to register in WAWF and have the appropriate CAGE code activated. The Grantee's CCR Electronic Business Point of Contact (EBPOC) is responsible for activating the CAGE code in WAWF by calling 1-866-618-5988. Once the Grantee's CAGE Code is activated, the CCR EBPOC will self-register in WAWF

(<https://wawf.eb.mil>) and follow the instructions for a group administrator. The ONR Regional Offices will assist in this process. The ONR Regional Office is listed as the Administrative Office in Block 23a of the award.

(f) If the Grantee is a For-Profit entity or does not participate in the ONR PayWeb System, the Grantee shall submit payment requests electronically via Wide Area Work Flow (WAWF). The Grantee shall Contact the AGO at the Administrative Office in Block 23a of the award for instructions on how to register and use WAWF.

## **Article 12. The Need for Additional Federal Funding**

### **REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 25, SECTION (b) (3)**

The Government's financial obligation is limited to the amount shown as "Total Obligated on Award," Block 16 of the Award/Modification document.

## **Article 13. Equipment**

### **REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 34**

Title to all equipment purchased or fabricated with ONR funds provided under this grant or recipient cost sharing funds, as direct costs of the project or program, shall unconditionally vest in the recipient upon acquisition without further obligation to the Federal Government unless other conditions are imposed in the award.

## **Article 14. Supplies**

### **REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 35**

Notwithstanding GOVERNMENT-WIDE CORE Article Number 35(a), title to supplies and other expendable property shall vest in the recipient providing the residual inventory of unused supplies does not exceed \$5,000 in total aggregate value upon termination or completion of the project or program. If the value of residual supplies exceeds \$5,000, the provisions of OMB Circular A-110 Section 35 (2CFR 215.35) apply.

## **Article 15. Reporting Potentially Classifiable Information**

### **REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 54**

The official referred to in GOVERNMENT-WIDE CORE Article 54(b) (1) is the Program Officer designated in the Grant, Block 21.

## **Article 16. Termination**

### **REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 61**

In case of a partial or full termination by the recipient, the recipient shall provide the required written termination notice to the ONR Grants Officer and AGO at least 30 calendar days prior to the effective date of termination.

## **Article 17. Enforcement**

### **REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 62**

The recipient shall submit claims arising out of or relating to this grant in writing to the ONR Grants Officer or AGO, as appropriate, and shall specify the nature and basis for the relief requested and include all data that supports the claim. The recipient and ONR Grants Officer/AGO shall attempt to resolve all issues at the ONR Grants Officer/AGO level.

## **Article 18. Closeout Procedures**

### **REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 71**

Within ninety (90) days after the end date of the Grant, any overpayment of funds provided by the Grant shall be remitted to the Office of Naval Research AGO at the Administrative Office in Block 23.a. of the Award/Modification document, by check made payable to the US Treasury, DFAS, or Dept.of Navy.

## **Article 19. Collection of Amounts Due**

### **REFERENCE: GOVERNMENT-WIDE CORE ARTICLE 73**

In absence of mutual agreement between the recipient and ONR, the ONR Grants Officer/AGO shall make a determination regarding any recipient indebtedness and submit a written notice of such a decision to the recipient. Within 30 calendar days of the ONR Grants Officer's/AGO's determination, the recipient shall either pay the amount owed or inform the ONR Grants Officer/AGO of the recipient's intent to appeal the determination. If the recipient elects not to appeal, any amounts not paid within 30 calendar days of the ONR Grants Officer's/AGO's determination will be considered a delinquent debt. The recipient and ONR Grants Officer/AGO shall attempt to resolve all issues at the ONR Grants Officer/AGO level.

## **ARTICLES WITH NO GOVERNMENT-WIDE CORE REFERENCE**

## **Article 20. Option to Renew**

If an option is indicated in Block 30 of the Award/Modification document, the Government may require the continuation of the research as detailed in Block 15 of the Award/Modification document. The option must be exercised by a modification to the Grant.

## **Article 21. Amendment of the Grant**

Requests by the Grantee to amend a grant must be in writing to the AGO at the Administrative Office cited in Block 23.a. of the grant. Such requests only become official when incorporated by modification issued by an AGO or ONR Grants Officer.

## **Article 21. Amendment of the Grant**

Requests by the Grantee to amend a grant must be in writing to the AGO at the Administrative Office cited in Block 23.a. of the grant. Such requests only become official when incorporated by modification issued by an AGO or ONR Grants Officer.

## **Article 22. Activities Abroad**

The Grantee shall assure that project activities carried on outside the United States are coordinated as necessary with appropriate Government authorities and that appropriate licenses, permits, or approvals are obtained prior to undertaking proposed activities. The awarding agency does not assume responsibility for Grantee compliance with the laws and regulations of the country in which the activities are to be conducted.

## **Article 23. Cargo Preference**

The recipient agrees that it will comply with the Cargo Preference Act of 1954 (46 U.S.C. 1241), as implemented by Department of Transportation regulations at 46 CFR 381.7, which require that at least 50 percent of equipment, materials or commodities procured or otherwise obtained with U.S. Government funds under this Grant, and which may be transported by ocean vessel, shall be transported on privately owned U.S.-flag commercial vessels, if available.

## **Article 24. Profit or Fee**

In accordance with DODGARs 22.205(b), no fee or profit may be charged to this grant.

## **Article 25. Controlled Unclassified Information**

The parties understand that information and materials provided pursuant to or resulting from this Grant may be export controlled, sensitive, for official use only, or otherwise protected by law, executive order or regulation. The Grantee is responsible for compliance with all applicable laws and regulations. Nothing in this Grant shall be construed to permit any disclosure in violation of those restrictions.

## **Article 26. Reporting Requirements for Subaward and Executive Compensation**

The Grantee shall report on first –tier subawards and executive compensation in accordance with the Federal Funding Accountability and Transparency Act (FFATA) of 2006 and associated 2008 amendments. Reporting is required for grants equal to or over \$25,000. If the initial award is below \$25,000 but subsequent grant modifications result in a total award equal to or over \$25,000, the award will be subject to the reporting requirements, as of the date the award exceeds \$25,000. If the initial award equals or exceeds \$25,000 but funding is subsequently deobligated such that the total award amount falls below \$25,000, the award continues to be subject to the reporting requirements of the Transparency Act.

## **Article 27. Financial Assistance Use of Universal Identifier and Central Contractor Registration**

Grantee and first-tier subrecipients shall have Dun and Bradstreet Data Universal Numbering System (DUNS) numbers and maintain current registrations in the Central Contractor Registration (CCR) data base.

## **Article 28. Publications and Acknowledgement of Sponsorship**

(a) Publication of results of the research project in appropriate professional journals is encouraged as an important method of recording and reporting scientific information. One copy of each paper planned for publication will be submitted to the Program Officer/Technical Representative in Block 21 of the Award/Modification document simultaneously with its submission for publication. Following publication, copies of published papers shall be submitted to the Program Officer/Technical Representative.

(b) The Grantee agrees that when releasing information relating to this Grant, the release shall include a statement to the effect that the project or effort undertaken was or is sponsored by the Department of the Navy, Office of Naval Research.

(c) Disclaimer: The Grantee is responsible for assuring that every publication of material (including World Wide Web pages) based on or developed under this award, except scientific articles or papers appearing in scientific, technical or professional journals, contains the following disclaimer: “Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the Office of Naval Research.”

(d) For the purpose of this clause, information includes news releases, articles, manuscripts, brochures, advertisements, still and motion pictures, speeches, trade association proceedings and symposia.

(e) Nothing in the foregoing shall affect compliance with the requirements of the article entitled "Security".

## **Article 29. Live Organisms**

By accepting funds under this Grant, the recipient assures that it will comply with applicable provision of the following policies concerning living organisms and will not begin performance of research involving human subjects or using animals until all approvals have been obtained.

(a) For human subjects:

(1) Common Federal Policy for the Protection of Human Subjects codified by the Department of Health and Human Services at 45 CFR 46 Part A, and implemented by the Department of Defense at 32 CFR 219.

(2) DoD Directive 3216.02 and applicable DON Component policies.

(3) 10 U.S.C. 980, Limitation on use of humans as experimental subjects.

(4) Food and Drug Administration policies and regulations, when applicable.

(b) For animals:

(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. 2131-2159, as amended); and (ii) the "Guide for the Care and Use of Laboratory Animals," 1996, published by the National Academy Press, Washington DC.

(2) Prohibitions on the purchase or use of dogs and 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).

(3) Rules of the Department of Interior (50 CFR Parts 10-14, 17-18, 23) and Commerce (50 CFR Parts 216-227) and other applicable regulations 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 International Trade in Endangered Species of Wild Fauna and Flora.

(4) Applicable rules and regulations regarding the use of harmful or dangerous viruses and other similar agents at 21 U.S.C. 154 and 9 CFR 117; and regarding import and exportation, shipment and quarantine at 5 U.S.C. 301; 21 U.S.C. 111-113, 114a, 115-117, 120-126, and 151-158; 9 CFR 71-97 and 122; 42 U.S.C. 216 and 264-272 and 42 CFR 71-72.

## **Article 30. Research Involving Recombinant DNA Molecules**

Any recipient performing research involving recombinant DNA molecules and/or organisms and viruses containing recombinant DNA molecules agrees by acceptance of this award to comply with the National Institutes of Health "Guidelines for Research Involving Recombinant DNA Molecules", of July 5, 1994 (59 FR 34496), amended August 5, 1994 (59 FR 40170), amended



April 27, 1995 (60 FR 20726), and such later revision of those guidelines as may be published in the Federal Register.