

ONR Addendum to the DoD R&D General Terms and Conditions and ONR Programmatic Requirements - Domestic Education and Symposium Projects MAR 2021

This award is subject to the Department of Defense (DoD) Research and Development (R&D) General Terms and Conditions. This document is an element of those general terms and conditions. The first portion of this document is the Office of Naval Research (ONR) Addendum to DoD R&D General Terms and Conditions, which either makes certain provisions inapplicable in certain circumstances or provides additional content relevant to ONR awards for sections of specified articles from those general terms and conditions. The five asterisks indicate that there is content from the DoD R&D General Terms and Conditions within the identified parts and articles that remains unchanged and is not restated in this document. To understand the entire requirement for a given article, the DoD R&D General Terms and Conditions must be read in tandem with this ONR Addendum. The second portion of this document is comprised of the programmatic requirements portion of the general terms and conditions that apply to ONR awards subject to this document. This document uses plain language as described in the preamble to the DoD R&D General Terms and Conditions.

ONR Addendum to the DoD R&D General Terms and Conditions

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Part 2: Financial and Program Management (FMS Articles)

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FMS Article II. Payments.

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Section C. Electronic funds transfer and other payment procedural instructions of information.

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2. Other payment procedural instructions or information.

- a. *Electronic Funds Transfer Information.* All payments will be made by funds transfers to the bank account registered in System for Award Management (SAM) at <https://www.sam.gov/portal/SAM/>. You must maintain the currency of information about yourself in SAM, including information necessary to facilitate payment via Electronic Funds Transfer (EFT). We cannot be held responsible for any misdirection or loss of payment which occurs as the result of your failure to maintain correct/current EFT information within your SAM registration.

- b. *Electronic Payment Request Instructions.* You must submit payment requests through the Wide Area Workflow (WAWF) button in the Procurement Integrated Enterprise Environment (PIEE) at <https://piee.eb.mil>. Within WAWF, the following codes and information are required to initiate the “Grant Voucher” and assure successful flow of the payment request.

WAWF Field	Data Input	Comment
CAGE Code	Found in Block 13b of the grant document or on the first page of the cooperative agreement	
DUNS/DUNS+4/Ext	Found in Block 3c of the grant document or on the first page of a cooperative agreement	
Contractual?	Y	
Contract Number Type	Review the value of the Contract Number field below; if the 9th position is a 1, select "Grant", if it is a 2, select "Cooperative Agreement", or if it is a 3, select "Other Agreement".	
Contract Number	Found in Block 4 of the grant document or on the first page of the cooperative agreement	
Delivery Order	Leave Blank	
Reference Procurement Identifier	Leave Blank	
Pay Official	Found in Block 25b of the grant document or identified in the cooperative agreement	
Select Document to Create:	Grant Voucher	
Issue Date	Found in Block 33c of the grant document or on the first page of the cooperative agreement	Optional
Issue By DoDAAC	N00014	
Admin DoDAAC	Found in Block 23b of the grant document or identified in the cooperative agreement	
Grant Approver	Found in Block 23b of the grant document or identified in the cooperative agreement	
Extension	Leave Blank	
WAWF Field – Header Tab		
Voucher Number	Enter 4 characters in the format X###, where X = Alphanumeric and # = Numeric)	

Voucher Date (WAWF System Server Date)	Enter Today's Date	
Vendor Invoice Number	Enter own tracking number	Optional
Service Start Date	Start of billing period	
Service End Date	End of billing period	
Signature Date	Enter Today's Date	
WAWF Field – Grant WS Tab		
Type of Payment Requested	Select Advance, Reimbursement, or both radio buttons	
11. Computation of Award	Enter values in column (a)	
WAWF Field – Attachments Tab		
	If a payment request is submitted that would result in the recipient having more than ten (10) calendar days of cash on hand when the payment is expected to be received, the recipient is required to upload an explanation to the supporting documents in WAWF explaining why the drawdown was made prematurely or other reasons for the excess cash.	

Instructions/Training for WAWF are available at <https://piectraining.eb.mil/wbt/xhtml/wbt/wawf/index.xhtml>.

c. *Questions for the Payment Office.*

If you submitted a voucher and **have not received payment**, please log into WAWF and check the status of the voucher.

If the voucher status is Rejected, it was returned to you for action. The Misc Tab should have information on why it was rejected and may suggest the next steps.

If the voucher status is Submitted or Recalled, please contact your assigned POC at the contract administration office, if known, or the email address in Block 23a of your award.

If the status is Accepted, Processed, Paid, or Suspended, please access “MyInvoice” button in the Procurement Integrated Enterprise Environment (PIEE) at <https://piee.eb.mil>. The award number and voucher number will be required to inquire about the status of the payment. If MyInvoice indicates paid, but payment has not been received, send an email to the following email address: ONR_FM.fct@navy.mil.

d. *Instructions for the Payment Office.* The payment office must make payment in

sequential ACRN order within the award, exhausting all funds in the previous ACRN before paying from the next ACRN using the following sequential order: alpha/alpha; alpha/numeric; numeric/alpha; and numeric/numeric ACRN sequence unless otherwise specified in the award-specific terms and conditions found in the “Special Requirements” starting on page 5 of the ONR Award Form (10/99).

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FMS Article IV. Revision of budget and program plans.

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Section B. Revisions requiring prior approval.

1. Non-construction activities. You must request prior approval from us for any of the following program or budget revisions in non-construction activities:

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- d. The inclusion of direct costs that require prior approval in accordance with the applicable cost principles, as identified in FMS Article III. Subparagraph B.1.d.i. in the DoD R&D General Terms and Conditions is deleted for awards subject to this document.
- e. The transfer to other categories of expense of funds included in the approved budget for participant support costs, as defined at 2 CFR 200.75.

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Section D. Procedures.

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2. Additional procedural instructions.

- a. Revised budgets, when applicable, must be submitted on the “Research & Related Budget” form, which is part of the SF-424 Research and Related (R&R) family of forms.
- b. The Administrative Office in Block 23a. of the ONR Award Form (10/99) has the authority to issue an award modification that, without additional funds, extends the period of performance beyond the expiration date of this award as follows:
 - i. An initial request for a period not to exceed 90 days; or
 - ii. An initial or subsequent request for a period not to exceed 15 months in the aggregate beyond the original period of performance end date upon concurrence from the Technical Representative (Block 21 of the ONR Award Form (10/99)).

Recipient requests to extend the period of performance should be emailed to the Administrative Office at least 10 calendar days before the end of the period of performance. Any extension to the period of performance requires written prior approval by the Administrative Grants Officer or Grants Officer for the award.

- c. A change in a key person identified in the award cover pages. The following information must be submitted with the key personnel request:
 - i. A list of all current projects the individual is working on, in addition to any future support the individual has applied to receive, regardless of the source.
 - ii. Title and objectives of the other research projects.
 - iii. The percentage per year to be devoted to the other projects.
 - iv. The total amount of support the individual is receiving in connection to each of the other research projects or will receive if other proposals are awarded.
 - v. Name and address of the agencies and/or other parties supporting the other research projects.
 - vi. Period of performance for the other research projects.

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FMS Article VI. Cost sharing or matching.

Section A. Required cost sharing or matching.

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2. You must obtain our prior approval if you wish to:

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- b. Substitute alternative cost sharing or matching contributions in lieu of specific contributions included in the approved budget.

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Part 3: Property Administration (PROP Articles)

PROP Article I. Title to property.

Section A. Title to property acquired under this award.

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2. Exempt property. The text for this paragraph in the DoD R&D General Terms and

Conditions is deleted for awards subject to this document.

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PROP Article VI. Intangible property.

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Section B. Inventions developed under the award.

The text for any paragraphs of this section in the DoD R&D General Terms and Conditions is deleted for awards subject to this document and replaced by the following language: “The Federal Government will have no rights to subject inventions (see definition in 37 CFR 401.14(a)(2)) conceived or first actually reduced to practice in the performance of work under this award.

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Part 4: Procurement (PROC Articles)

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PROC Article III. Contract provisions for recipient procurements.

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Section B. Contract provisions for national policy requirements.

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5. Patents and inventions. The text for this paragraph in the DoD R&D General Terms and Conditions is deleted for awards subject to this document.

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Part 5: Financial, Programmatic, and Property Reporting (REP Articles)

REP Article I. Performance management, monitoring, and reporting.

Section A. Required reporting form, format, or data elements for interim and final performance reports.

1. Interim Research Performance Progress Reports (RPPR).

- a. Format: You must submit interim performance reports for education-related projects by using the RPPR format at the website identified in paragraph F.1 of this article, unless an exception to online submission is approved by your Technical Representative. The

required format for interim performance reports for education-related projects excepted from the online submission requirement, as described in paragraph F.1 of this article, is provided under the ONR RPPR Template located at <https://www.onr.navy.mil/en/work-with-us/manage-your-award/manage-grant-award#rppr>.

Symposium awards do not require interim performance reports.

- b. Data Elements: The data elements to be included in interim RPPRs (including those exempted from the online submission requirement) can be found at the ONR RPPR webpage located at <https://www.onr.navy.mil/en/work-with-us/manage-your-award/manage-grant-award#rppr>.

2. Final Performance Report.

- a. Format and Data Elements: You may use your own format for the final report, but education-related projects must include the same data elements used for interim performance reports and indicate on the cover page of the report that it is the final performance report.

For symposium awards, the symposium proceedings constitute the final performance report.

- b. Other Requirements: You must include a completed "Report Documentation Page" Standard Form (SF) 298 as the last page of the final performance report. The form and instructions are available at <https://www.gsa.gov/forms-library/report-documentation-page>. However, Block 12a. of the SF 298 should be completed with the following distribution/availability statement: "Approved for Public Release; Distribution is Unlimited." If you do not agree with that distribution/availability, you should contact the cognizant Administrative Grants Officer (AGO) at the Administrative Office in Block 23a. of the ONR Award Form (10/99).

Section B. Frequency, reporting periods, and due dates for interim performance reports.

1. You must submit interim performance reports annually for any education-related projects.

Symposium awards do not require interim performance reports.

2. The due date for each interim performance report for education-related projects is June 15th of each year during the period of performance.
3. Interim performance reports for education-related projects must cover the project progress for the current reporting period, which is defined as one year prior to the current progress report deadline or from the start of the award if this is a new award. However, if the start date of the award is on or between March 15th and June 15th, the first interim performance report submission is not due on June 15th of the year in which the award was made, but rather on June 15th of the subsequent year. In such instances, the initial interim performance report

submitted would cover a period up to 15 months. An interim performance report is not required to be submitted for a particular year in which the final performance report is due on or between June 15th and September 15th of that year. An interim performance report is also not due at the end of the effort if the remaining interim reporting period would be less than a year (i.e., if the time between the submission of last interim performance report covering a full year and when the final performance report is due is less than a year).

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Section F. Performance reporting procedures

1. Interim Reports: You must submit interim performance reports for education-related projects through the electronic portal at the website <https://extranet.aro.army.mil/>. Interim performance reports submitted through this website are not required to be submitted to any other location. Exceptions to this online submission requirement will be considered by your Technical Representative on a case by case basis under unusual circumstances. If such exception is approved, the technical representative will provide instructions on the appropriate means of submission and addressees.
2. Final Reports: You must submit final performance reports to the following:

Addressee:
Technical Representative in Block 21 of ONR Award Form (10/99)*
Administrative Office in Block 23a of ONR Award Form (10/99)*
Defense Technical Information Center https://discover.dtic.mil/submit-documents/
Naval Research Laboratory ATTN: CODE 5596 4555 Overlook Avenue SW Washington, DC 20375-5320 E-mail: reports@library.nrl.navy.mil

* You must submit the final performance report to the Technical Representative by email, unless otherwise specified. For the Administrative Office, you must only send a copy of the transmittal letter for the final report rather than the entire report.

3. You must submit any requests to extend the due date for a performance report to the Technical Representative with a copy to the Administrative Office. These requests may be submitted by email or regular mail.
4. You must report any significant developments specified in Section E of this article to the Technical Representative with a copy to the Administrative Office. These reports may be submitted by email or regular mail.

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REP Article II. Financial reporting.

Section A. Required reporting form, format, or data elements for interim and final financial reports.

You must submit financial reports on the Standard Form 425 (SF 425), “Federal Financial Report”: including block 11 “Indirect Expense.”

Section B. Interim financial reports: frequency, reporting periods, and due dates.

You are not required to submit interim financial reports unless otherwise specified in any award-specific terms and conditions found in the “Special Requirements” starting on page 5 of the ONR Award Form (10/99).

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Section E. Where and how to submit financial reports.

You must submit the final financial report to the Administrative Office (see Block 23a of ONR Award Form (10/99)) with a copy to the Technical Representative (see Block 21 of ONR Award Form (10/99)). These reports may be submitted by email or regular mail.

REP Article III. Reporting on property.

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Section D. Intangible property. Paragraphs D.2 and D.3 apply to intangible property for which you are accountable under this award.

1. **Inventions developed under the award.** The text for this paragraph in the DoD R&D General Terms and Conditions is deleted for awards subject to this document.

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Part 6: Other Administrative Requirements (OAR Articles)

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OAR Article IV. Claims, disputes, and appeals

Section A. Definitions.

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2. Grant Appeal Authority – CAPT Michelle Williams, Deputy Director of Contracts, Grants, and Acquisitions, at michelle.m.williams3@navy.mil.

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OAR Article VI. Closeout

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Section C. Final reports. You must submit the:

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3. The text for this paragraph in the DoD R&D General Terms and Conditions is deleted for awards subject to this document.

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Part 8: National Policy Requirements

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NP Article III. National policy requirements concerning live organisms.

Section B. Other requirements concerning live organisms.

1. With respect to the provisions in general terms and conditions for Section A of this article:

a. Section A.1, Human Subjects, you must also comply with the terms of the current version of SECNAVINST 3900.39, HUMAN RESEARCH PROTECTION PROGRAM, that are applicable to you. The newest version of that Navy instruction can be found by searching for the title at <https://www.secnav.navy.mil/doni/allinstructions.aspx>.

b. Section A.2., Animals, subparagraph a.ii, is revised to read “Have your proposed animal use approved in accordance with DoD Instruction (DoDI) 3216.01, Use of Animals in DoD Programs by a DoD Component Headquarters Oversight Office, and its implementing instruction DHA-MSR 6025.02, The Care And Use Of Animals In DoD Research, Development, Test, And Evaluation (RDT&E) Or Training Programs.” Enclosure 3, paragraph 3 of the DHA instruction includes the requirements for documentation and reporting that must be provided to the DON oversight office for review.

2. **Biosafety and Biosecurity Requirements:** You must ensure compliance with standards meeting at least the minimum applicable requirements of the current edition of Centers for Disease Control and Prevention, “Biosafety in Microbiological and Biomedical Laboratories (BMBL),” and National Institutes of Health, “The NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines).” Information concerning

noncompliance with these requirements or any significant research-related incidents shall be provided to the ONR program officer in a timely manner, after notification to the applicable safety committee or CDC or NIH.

3. Research Involving Recombinant Nucleic Acid (rDNA) or Synthetic Nucleic Acid Molecules.

You must not begin performance of research within the scope of “The NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines),” until you receive notice from the grants officer that ONR has reviewed and accepted your documentation. See most current information at <https://osp.od.nih.gov/biotechnology/biosafety-and-recombinant-dna-activities/>. In order for ONR to accomplish that review, you must provide the grants officer, generally as part of your original proposal prior to award, sufficient documentation to enable the review that includes:

- a. A written statement that your entity is in compliance with NIH Guidelines. This statement should be made by an official of the institution other than the Principal Investigator and should be on university or company letterhead.
- b. Evidence demonstrating that your proposed research protocol has been approved by an Institutional Biosafety Committee (IBC); and a copy of the Department of Health and Human Services (DHHS) Letter of Approval of the IBC, or the most recent letter from DHHS stating the IBC is in compliance with the NIH Guidelines.

You will not receive a separate approval for your proposed research under this paragraph. If you received the award based on a proposal including the two aforementioned items, you can assume the grants officer has accepted that documentation. If you add such research later, you will have to provide the two items of documentation listed above and a revised proposal. If this research is approved, you will receive a modification incorporating the revised proposal.

For research involving countries outside the United States, if the host country has established rules for the conduct of recombinant or synthetic nucleic acid molecule research, then the research must be in compliance with those rules. If the host country does not have such rules, the proposed research must be reviewed and approved by an NIH-approved IBC or equivalent review body and accepted in writing by an appropriate national governmental authority of the host country. The safety practices that are employed abroad must be reasonably consistent with the NIH Guidelines.

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NP Article IV. Other national policy requirements.

Section A. Cross cutting requirements.

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9. Research misconduct. The text for this paragraph in the DoD R&D General Terms and Conditions is deleted for awards subject to this document.

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Programmatic Requirements Portion of the General Terms and Conditions

1. Funding and Refunds

- a. Our financial obligation is limited to the amount shown as “Total Obligated on Award,” Block 16 of the ONR Award Form (10/99).
- b. We do not require additional documentation from you to initiate a modification for providing an increment of funding. However, you should note that low expenditure rates reported on payment requests might be cause for deferral of future funding increments.
- c. Any refunds of unobligated balances made in accordance with OAR Article VI, Section B must be remitted electronically as described under the “Refunds” section at <https://www.onr.navy.mil/en/work-with-us/manage-your-award/manage-grant-award>. Paper refund checks will not be accepted.

2. Modifications

Any request you make to modify an award must be in writing to the Administrative Office cited in Block 23a. of the award. Such requests are considered approved only when incorporated into the award by a modification issued by a grants officer.

3. Options

If an option is indicated in Block 30 of the ONR Award Form (10/99), we may elect to fund the performance of such optional project effort as described in the proposal referenced in Block 10 and/or page 5 (Special Requirements) of the ONR Award Form (10/99). If we elect to fund performance of an optional effort after issuing the initial award, we will authorize the performance of such work by issuing a modification to the award that exercises the option.

4. Classified and Controlled Unclassified Information

- a. Reporting Potentially Classifiable Information

This award is intended for unclassified, publicly releasable work. We do not expect that the results of the project will involve classified information. If, however, in conducting the activities supported under this award, the principal investigator (PI) or co-PI is concerned that any of the project results involve potentially classifiable information that

may warrant Government restrictions on the dissemination of the results, the PI should promptly notify the Technical Representative listed in Block 21 of the ONR Award Form (10/99).

b. **Controlled Unclassified Information**

Information and materials provided pursuant to or resulting from this award may be or may become export controlled, sensitive, for official use only or otherwise protected by law, executive order or regulation. You are responsible for compliance with all applicable laws and regulations concerning the handling of information. Nothing in this award must be construed to permit any disclosure in violation of those restrictions. If you are unsure whether information and materials provided to you or generated under this award is Controlled Unclassified Information, contact the Technical Representative as noted above.

5. Activities Abroad

You must ensure that project activities to be performed outside the United States are coordinated as necessary with appropriate governmental authorities and that required licenses, permits, or approvals are obtained prior to undertaking such activities. ONR does not assume responsibility for your compliance with the laws and regulations of the country in which the activities are to be conducted.

6. Publications and Acknowledgment of Sponsorship

- a. Publication of results of the project in appropriate professional journals is encouraged as an important method of recording and reporting project information. You must submit information (e.g., journal paper was submitted to, title and abstract of paper/article, and relevant sponsoring award number(s)) related to each paper planned for publication to the Technical Representative in Block 21 of the ONR Award Form (10/99) simultaneously with your submission for publication. Submit final peer-reviewed manuscripts of journal articles accepted for publication to the Defense Technical Information Center (DTIC) repository, currently at www.dtic.mil and the Technical Representative when the titles and dates are finalized.
- b. When releasing information relating to this award, the release must 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 under ONR award number(s) [enter the award number(s)].
- c. Any publication resulting from work under this award shall contain the following on the title page or on the page immediately following the title page:

“This work relates to Department of Navy award (insert award number) issued by the Office of Naval Research. The United States Government has a royalty-free license throughout the world in all copyrightable material contained herein.”

- d. Any transfer of copyright ownership in such publication will provide that the transfer of copyright ownership is subject to the United States Government's royalty-free license throughout the world in all copyrightable material contained in the publications.
- e. You are responsible for ensuring that every publication of information (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."
- f. For the purpose of this provision, information includes, but is not limited to, news releases, articles, manuscripts, brochures, advertisements, still and motion pictures, speeches, trade association proceedings, and symposia.
- g. Nothing in the foregoing must affect compliance with the requirements of the paragraph 4 above, entitled "Classified and Controlled Unclassified Information", or security-related provisions, if any, that are included in award-specific terms and conditions found in the "Special Requirements" starting on page 5 of the ONR Award Form (10/99).

7. Food and Beverage

Funds may not be used to pay for food or beverages (unless preapproved by the Awarding or Administrative Grant Officer).

8. Award Notification/Distribution

Office of Naval Research (ONR) award and modification documents are available via the Department of Defense (DoD) Electronic Document Access System (EDA) within the Wide Area WorkFlow e-Business Suite (<https://wawf.eb.mil/>).

EDA is a Web-based system that provides secure online access, storage and retrieval of awards and modifications to DoD employees and vendors (including contractors and grant recipients).

ONR creates an award notification profile for every award prior to the execution of the award using email addresses provided in the proposal or application. For grants, the notification profile will use the email addresses from the Application for Federal Assistance, SF424, to notify the recipient of an award. In its BAAs and other funding opportunity announcements, ***ONR recommends that organizations provide a global business address for their entity in Field 5 (Application Information) of the SF424.*** ONR is using the following three email addresses entered by the grantee on the SF424 application to create the EDA notification profile:

- i. Applicant Information (Field 5 - Email)
- ii. Project Director / Principal Investigator (Field 14 - Email)
- iii. Authorized Representative (Field 19 - Email)

If your organization needs to correct the EDA notification profile for an ONR award, please contact us at the following email address: ONR.NCR.BD024.list.HQ@navy.mil.

The following information should be provided:

- a. Email Subject: EDA Award Notification Change Request;
- b. ONR Award Number
- c. The new email address to be added to the EDA award notification profile.
- d. First name
- e. Last name
- f. Organization

IMPORTANT: In some cases, EDA notifications are appearing in recipients' Junk Email folder. If you are experiencing issues receiving EDA notifications, please check your junk email. If found, please mark EDA notifications as "not junk."

EDA inactivates user accounts for non-use after 90 days. Failure to use your account will result in inactivation. A password reset and EDA POC approval is required to reactivate accounts.

9. Flow Down of Programmatic Requirements to Subrecipients

You must flow down the provisions in paragraphs 4 – 7 of this programmatic requirements portion of the general terms and conditions to any subrecipient under this award.