

ONR Addendum to the DoD R&D General Terms and Conditions and ONR Programmatic Requirements September 2017

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 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 the DoD R&D General Terms and Conditions. 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 Invoicing, Receipt, Acceptance, and Property Transfer (iRAPT) system, located at <https://wawf.eb.mil>. Within iRAPT, 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 # = | |

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|--|--|----------|
| | 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 | | Optional |

Instructions/Training for iRAPT are available at <https://wawftraining.eb.mil/wawfwbt>.

- c. *Questions for the Payment Office.* Questions concerning specific payments should be directed to the Defense Finance and Accounting Service (DFAS) Columbus, Accounts Payable at 800-756-4571. You can also access payment information using the “myInvoice” button in iRAPT at <https://wawf.eb.mil>. The award number and voucher number will be required to inquire about the status of the payment.
- 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 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)).

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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.

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 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 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/Contracts-Grants/manage-grant/research-performance>.
- 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/Contracts-Grants/manage-grant/research-performance>.

2. **Final RPPR.**

- a. Format and Data Elements: You may use your own format for the final report, but 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.
- 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 on the ONR website at <http://www.onr.navy.mil/Contracts-Grants/manage-grant/grants-forms-download.aspx>. 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.
2. The due date for each interim performance report is June 15th of each year during the period of performance.
3. Interim performance reports must cover the research 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 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:

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| 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 8725 John J Kingman Road Ste 0944 Fort Belvoir, VA 22060-6218 |
| Naval Research Laboratory ATTN: CODE 5596 4555 Overlook Avenue SW Washington, DC 20375-5320 |

* 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.”

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.

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REP Article III. Reporting on property.

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Section D. Intangible property.

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1. Inventions developed under the award.

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(a) To comply with the requirement in the introductory language of paragraph D.1 for a final report listing all subject inventions, you must use the DD Form 882 and provide it to the patent office cited in Block 26a. of the ONR Award Form (10/99). The DD Form 882 can be found at <http://www.dtic.mil/whs/directives/forms/dd/ddforms0500-0999.htm>.

(b) If there were no subject inventions, you must still submit a final report to the patent office cited in Block 26a. of the ONR Award Form (10/99) and indicate in section 5 of the DD Form 882 that no subject inventions were developed under the award.

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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 (sel) Joshua McKay, Deputy Director of Contracts, Grants, and Acquisitions, at joshua.mckay1@navy.mil.

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Part 7: Subawards (SUB Articles)

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SUB Article V. Property requirements for subawards.

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Section B. Title to property.

- 1. **Subawards to institutions of higher education, nonprofit organizations, States, local governments, or Indian tribes.**

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- b. **Exceptions.** For a subaward to conduct basic or applied scientific research with a nonprofit institution of higher education or nonprofit organization whose primary purpose is conducting scientific research, you must include terms and conditions in that subaward that allow the title to all equipment and supplies acquired under that subaward and charged as direct costs to the project or program to vest with the subrecipient upon acquisition subject only to the following three conditions related to equipment:

- i. The subrecipient uses the equipment for the authorized purposes of the project or program until the property is no longer needed for those purposes.
- ii. The subrecipient manages the equipment as provided in PROP Article II of these general terms and conditions. This includes maintaining property records that include the percentage representing the Federal share of total project costs under the award to you (the recipient) under which the subrecipient acquired the exempt property, so that the subrecipient may deduct the Federal share if it wishes to use the property in future contributions for cost sharing or matching purposes on Federal awards. When both your award with the DoD Component has cost sharing requirements and your

subaward allows for the purchase of exempt property, you must include in that subaward the percentage representing the Federal share of total project costs to enable the subrecipient's compliance with this provision.

- iii. ONR reserves the right to transfer title to the equipment to another entity if the Principal Investigator of a subrecipient relocates his or her research program to that entity. If ONR elects to exercise its right to transfer the title of equipment, ONR will contact the recipient to discuss the transfer.

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Part 8: National Policy Requirements

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NP Article III. National policy requirements concerning live organisms.

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Section B. Other requirements concerning live organisms.

1. Research Involving Recombinant 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. 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 rDNA research. 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 rDNA research later, you will have to provide the two items of documentation listed above and a revised proposal. If the rDNA research is approved, you will receive a modification incorporating the revised proposal.

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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 to the Administrative Office in Block 23a. of the ONR Award Form (10/99) by check made payable to the US Treasury.

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 research 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 research. We do not expect that the results of the research 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 research 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 research project in appropriate professional journals is encouraged as an important method of recording and reporting scientific 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. Following publication, you must submit copies of published papers to the Technical Representative.
- 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. 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."
- d. 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.
- e. 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. Electronic Document Access (EDA)

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; and
- c. The new email address to be added to the EDA award notification profile.

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.