

**NAVAL SUPPLY SYSTEMS COMMAND  
FLEET LOGISTICS CENTER (FLC) SAN DIEGO  
Addendum to the DoD R&D General Terms and Conditions and  
Programmatic Requirements  
(March 2021)**

**DoD R&D General Terms and Conditions:**

<https://www.onr.navy.mil/-/media/Files/Contracts-Grants/docs/DoD-Research-General-Terms-and-Conditions-March-2021.ashx?la=en>

**Forms:**

<https://www.onr.navy.mil/en/Contracts-Grants/manage-contract/contract-forms-download>

**Administering Grant Offices:**

<https://www.onr.navy.mil/work-with-us/manage-your-award/onr-regional-offices>

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 FLC San Diego Addendum to DoD R&D General Terms and Conditions, which provides additional content relevant to FLC San Diego 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 FLC San Diego Addendum.** The second portion of this document is comprised of the programmatic requirements portion of the general terms and conditions that apply to FLC San Diego 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.

**FLC San Diego Addendum to the DoD R&D General Terms and Conditions**

\* \* \* \* \*

**Part 2: Financial and Program Management (FMS Articles)**

\* \* \* \* \*

**FMS Article II. Payments.**

\* \* \* \* \*

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

\* \* \* \* \*

**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 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://wawf.eb.mil>. Within WAWF, the following codes and information are required to initiate the “Grant Voucher” and assure successful flow of the payment request.

<b>WAWF Field</b>	<b>Data Input</b>	<b>Comment</b>
CAGE Code	Found in the grant document	
DUNS/DUNS+4/Ext	Found in the grant document	
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 the first page of grant document	
Delivery Order	Leave Blank	
Reference Procurement Identifier	Leave Blank	
Reference Procurement Identifier	Leave Blank	
Pay Official	Found in the grant document	
Select Document to Create:	Grant Voucher	
Issue Date	Found in the grant document	Optional
Issue By DoDAAC	N00244	
Admin DoDAAC	Found in the grant document or identified in the first page of grant document	
Grant Approver	Found in the grant document or identified in the first page of grant document	

Extension	Leave Blank	
<b>WAWF Field – Header Tab</b>		
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	
<b>WAWF Field – Grant WS Tab</b>		
Type of Payment Requested	Select Advance, Reimbursement, or both radio buttons	
11. Computation of Award	Enter values in column (a)	
<b>WAWF Field – Attachments Tab</b>		
	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://wawftraining.eb.mil/wbt/xhtml/wbt/wawf/index.xhtml>

c. *Questions for the Payment Office.* Questions concerning specific payments should be directed to the Defense Finance and Accounting Service (DFAS). See award document for point of contact. You can also access payment information using the “my Invoice” button in Procurement Integrated Enterprise Environment (PIEE) 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 by using the oldest fiscal year appropriation first, exhausting all funds in the previous fiscal year before disbursing from the next fiscal year. In the event there is more than one ACRN associated with the same fiscal year, payment will be made 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” of the Grant award.

\* \* \* \* \*

**FMS Article IV. Revision of budget and program plans.**

\* \* \* \* \*

**Section D. Procedures.**

\* \* \* \* \*

**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 cited in the grant award has the authority to issue an award modification that, without additional funds, extends the period of performance beyond the expiration date of this award meeting all of the following parameters as follows:

- (i) An initial request for 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 Government Technical Point of Contact.

Recipient requests to extend the period of performance should be emailed to the Grant Officer and the Administrative Grant 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 Grants Officer for the award.

\* \* \* \* \*

**FMS Article VI. Cost sharing or matching.**

**Section A. Required cost sharing or matching.**

\* \* \* \* \*

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

\* \* \* \* \*

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

**Part 3: Property Administration (PROP Articles)**

**PROP Article I. Title to property.**

**Section A. Title to property acquired under this award.**

\* \* \* \* \*

**2. Exempt property.**

\* \* \* \* \*

**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 RPPR format. The required format for interim performance reports is provided under the NPS RPPR Template located at <https://nps.edu/documents/103449465/105970269/NPS-RPPR-Template-AUG-2020.docx> . You must indicate on the cover page of the report that this is RPPR and the current reporting period.

b. Data Elements: The data elements to be included in interim RPPRs can be found at NPS RPPR webpage located at <https://nps.edu/documents/103449465/105970269/NPS-RPPR-Template-AUG-2020.docx>

**2. Final RPPR.**

a. Format and Data Elements: You may use your own format for the final report, unless specified by your Government Technical Point of Contact. You must include the same elements used for interim RPPRs 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 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.

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

1. Interim Reports: You must submit interim performance reports unless otherwise specified in grant award-specific terms and conditions found in the “Special Requirements” of the grant award.
2. You must submit interim performance reports at the end of each quarter. Quarters are defined as 30 March, 30 June, 30 September, and 31 December.
3. The due date for each interim performance report is 30 calendar days after the close of each quarter
4. Interim performance reports must cover the research progress for the current reporting period, which is defined as the first day following the end of the previous quarter until the last day of current quarter period.

\* \* \* \* \*

**Section F. Performance reporting procedures**

1. Interim Reports: You must submit interim performance reports unless otherwise specified in grant award-specific terms and conditions found in the “Special Requirements” of the grant award.
2. Final Reports: You must submit final performance reports to the following:

Addressee:
Government Technical Point of Contact *
Government Sponsor Office*
Administrative Grant Office*
NAVSUP FLCSD Grant Office*
Defense Technical Information Center 8725 John J. Kingman Rd., Ste. 0944 Fort Belvoir, VA 22060-06218  To submit reports electronically, go to the Submit home page of the DTIC Enterprise Contract Management System (ECMS): <a href="http://www.dtic.mil/dtic/submit/submit.html">http://www.dtic.mil/dtic/submit/submit.html</a>

\*You must submit the final performance report to the Addressees in the above table by email. Email addresses are specified in the Grant Award.

3. You must submit any requests to extend the due date for a performance report to the Government Technical Point of Contact and the Government Sponsor by email, unless otherwise specified.

4. You must report any significant developments specified in Section E of this article to the Government Technical Point of Contact, Government Sponsor, and Grant Office with a copy to the Grant Office via email.

\* \* \* \* \*

## **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 must submit interim financial reports unless otherwise specified in grant award-specific terms and conditions found in the “Attachment Number 1, Reporting Requirements, of the grant award.

\* \* \* \* \*

### **Section E. Where and how to submit financial reports.**

1. You must submit your interim financial reports by email to the Government Technical Point of Contact (GTPOC) and the Government Sponsor by email. Their email addresses are provided in the Grant Award.

2. You must submit the final financial report to the GTPOC, Government Sponsor, Grant Office and Administrative Grants Office by email. Their email addresses are provided in the Grant Award.

\* \* \* \* \*

## **REP Article III. Reporting on property.**

\* \* \* \* \*

**Section D. Intangible property.**

\* \* \* \* \*

**1. Inventions developed under the award.**

\* \* \* \* \*

(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 Government Sponsor office and the patent office cited in the grant award. -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 Government Sponsor and the patent office cited in the grant award and indicate in section 5 of the DD Form 882 that no subject inventions were developed under the award.

\* \* \* \* \*

**Part 6: Other Administrative Requirements (OAR Articles)**

\* \* \* \* \*

**OAR Article IV. Claims, disputes, and appeals**

**Section A. Definitions.**

\* \* \* \* \*

2. Grant Appeal Authority – The Chief of Contracting Office (CCO or Code 200), NAVSUP FLC San Diego, is the Appeal Authority to decide formal, administrative appeals under this Grant. If the CCO is unable to serve in this capacity, Deputy, Code 200, shall so serve.

\* \* \* \* \*

**Part 7: Subawards (SUB Articles)**

\* \* \* \* \*

**SUB Article V. Property requirements for subawards.**

\* \* \* \* \*



**Section B. Title to property.**

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

\* \* \* \* \*

**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. FLC San Diego 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 FLC San Diego elects to exercise its right to transfer the title of equipment, FLC San Diego will contact the recipient to discuss the transfer.

\* \* \* \* \*

**Part 8: National Policy Requirements**

\* \* \* \* \*

**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 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 NRC program officer in a timely manner, after notification to the applicable safety committee or CDC or NIH.

### **3. 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 Government Technical Program Officer has reviewed and accepted your documentation. See most current information at <https://osp.od.nih.gov/biotechnology/biosafetyand-recombinant-dna-activities/>.

In order for Government Technical Program Officer 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.

\* \* \* \* \*

## **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 Funds Obligated on Award,” of the Grant Award.
- 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 NPS Comptroller, 1 University Circle, Herman Hall Office 159, Monterey, CA 93943 by check made payable to the “US Treasury” and reference the grant number. **The check must be sent via traceable means (i.e. FedEx, UPS, or certified/registered/priority mail via USPS).**

### **2. Modifications**

Any request you make to modify an award must be in writing to the FLC San Diego Grant Office cited in grant 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 grant award, we may elect to fund the performance of such optional research effort as described in the proposal. 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 the grant award.

##### **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. FLC San Diego 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 the grant award 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, Naval Postgraduate School under FLC San Diego 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 Navy award (insert award number) issued by the NAVSUP FLC San Diego.”

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 Naval Postgraduate School.”

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 grant award.

## **7. Food and Beverage**

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

## **8. 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.