

**U. S. ARMY RESEARCH OFFICE
RESEARCH GENERAL TERMS AND CONDITIONS
AGENCY SPECIFIC REQUIREMENTS**

1 July 2008

Army Research Office Home Page <http://www.aro.army.mil>

DoDGARS Part 32

<http://www.dtic.mil/whs/directives/corres/html/321006r.htm>

Forms <http://www.aro.army.mil>

OMB Circulars <http://www.whitehouse.gov/OMB/grants/index.html>

**(a) Article 1. Awards Covered by Research General T&Cs.
REFERENCE: ARTICLE 2 (a)**

Applies to research grants to members and non-members. The Research T&Cs do not apply to cooperative agreements, other transactions, and contracts.

**(b) Article 2. Prior Approval Requirements not Included in the
Research General T&Cs.
REFERENCE: ARTICLE 25 (b)**

Prior written approval of the ARO Grants Officer is required to extend the period of performance, without additional funds, beyond the expiration date of the grant. The recipient must notify the Grants Officer in writing with the supporting reasons and requested expiration date at least twenty (20) days prior to expiration of the award.

(c) Article 3. Unallowable Direct Costs Aside from Those in A-21/A-122.

None.

(d) Article 4. Contact Information for Technical Matters.

Questions regarding technical matters should be referred to the Grants Officer's Representative cited in the grant.

(e) Article 5. Contact Information for Administrative Matters.

Questions regarding administrative matters should be referred to the Grants Officer or the Administrative Grants Officer cited in the grant.

**(f) Article 6. Contact Information for Intellectual Property
Matters.**

Questions regarding intellectual property matters should be referred to the US Army Research Laboratory, Intellectual Property Law Branch, ATTN: AMSRD-ARL-O-CC-IP, 2800 Powder Mill Road, Adelphi, MD 20783-1197. Phone : (301) 394-3791, DSN: 290-3791. (See Article 8, Intangible Property, below for specifics.)

(g) Article 7. Other Agency Specific Requirements.

ARO AGENCY SPECIFIC REQUIREMENTS ARTICLES

08. Intangible Property

09. Monitoring and Reporting Program Performance
10. Termination
11. Enforcement
12. Collection of Amounts Due
13. National Policy Requirements
14. Reporting Potentially Classifiable Information

ARTICLES WITH NO RESEARCH TERMS & CONDITIONS REFERENCE

15. Option to Renew
16. Modification of the Grant

Articles 17-19 incorporated from "U.S Army Research Office General Terms and Conditions For Grant Awards To Educational Institutions and Other Nonprofit Organizations".

17. Foreign Travel Reporting Requirement
18. Delegation of Administration Duties
19. Cargo Preference

20. Revised Budget Requirements (Item "H")
21. Technical reporting (Item "I")
22. Financial reporting (Item "J")
23. Incremental funding actions (Item "K")

Article 08. Intangible Property.

REFERENCE: RESEARCH GENERAL TERMS & CONDITIONS, ARTICLE 36

POC for communications relating to intellectual property is the US Army Research Laboratory, Intellectual Property Law Branch. (See Article 6, Contact Information for Intellectual Property Matters.) Additionally, the recipient shall use DD Form 882, Report of Inventions and Subcontracts, for disclosure of patents and inventions. Reports are only required when an invention is considered reportable during the award's performance period. Annual negative reports are not required. A final Report of Inventions and Subcontracts is due ninety (90) days after the expiration of the final research period. The award shall not be closed out until this reporting requirement is met.

Article 09. Monitoring and Reporting Program Performance.

REFERENCE: RESEARCH GENERAL TERMS & CONDITIONS, 51(b)

Technical reporting requirements are contained in the award.

Article 10. Termination.

REFERENCE: RESEARCH GENERAL TERMS & CONDITIONS, ARTICLE 61

In cases of partial or full termination by the recipient, the recipient shall provide a written termination notice to the ARO Grants Officer no later than 30 calendar days prior to the effective date of termination.

Article 11. Enforcement.

REFERENCE: RESEARCH GENERAL TERMS & CONDITIONS, ARTICLE 62

The recipient shall submit claims arising out of or relating to this grant in writing to the ARO Grants Officer and shall specify the nature and basis for the relief required and include all data that supports the claim. The recipient and Grants Officer shall attempt to resolve all issues at the Grants Officer level. Both parties shall use Alternative Dispute Resolution (ADR) procedures to the maximum extent possible. If ADR procedures are not successful, the recipient may submit an appeal to the Department of Army's Grant Appeal Authority. Appeal procedures shall be in accordance with DODGARS §22.815(e) (3).

Article 12. Collection of Amounts Due.

REFERENCE: RESEARCH GENERAL TERMS & CONDITIONS, ARTICLE 73

In absence of a mutual agreement between the recipient and the awarding agency, the ARO Grants Officer shall make a decision regarding any recipient indebtedness and submit a written notice of such decision to the recipient. Within 30 calendar days of the Grants Officer's decision, the recipient shall either pay the amount owed or inform the Grants Officer of the recipient's intent to appeal the decision. If the recipient elects to appeal the decision, the recipient has 90 calendar days, or 150 calendar days if ADR procedures are used, after receipt of the Grants Officer's decision to file the appeal in writing to the Department of Army's Grant Appeal Authority. If the recipient elects not to appeal, any amounts not paid within 30 calendar days of the decision will be considered a delinquent debt. Appeal procedures shall be in accordance with DODGARS §22.815(e) (3) (i).

Article 13. National Policy Requirements.

REFERENCE: RESEARCH GENERAL TERMS & CONDITIONS, ARTICLE 11, See Web-link below for complete listing:

<http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>

Human Subjects and Animal Use:

For Animals: Prior written approval is required to use or subcontract for the use of laboratory animals in any manner whatsoever from the US Army Medical Research and Materiel Command, Animal Care and Use Office.

For Humans: Research using human subjects may not begin until the U.S. Army Surgeon General's Human Subjects Research Review Board (HSRRB) approves the protocol. Written approval to begin research or subcontract for the use of human subjects under the

applicable protocol proposed for any award made will be issued from the US Army Medical Research and Material Command, HSRRB, under separate letter to the funded institution and the Principal Investigator.

Contact information for specific questions pertaining to research for Human or Animal subjects may be directed to:

USAMRMC, Division of Regulated Activities and Compliance
USAMMDA
MCMR-UMR
1430 Veterans Drive
Ft Detrick MD 21702-9232
Phone: 301-619-0317
Fax: 301-619-0197
usamrmcregulatoryaffairs@amedd.army.mil

Article 14. Reporting Potentially Classifiable Information
REFERENCE: ARO RESEARCH GENERAL TERMS & CONDITIONS, ARTICLE 54

Agency program managers may review the results of research from this award (as documented in reports, presentations, or similar) to determine whether any restrictions on the additional distribution of the information are appropriate. This includes a determination by the program manager whether any of the research information is potentially subject to control as Classified Military Information (CMI) under guidance and criteria established in the following documents: National Security Decision Directive 189, National Policy on the Transfer of Scientific, Technical and Engineering Information; Executive Order (EO) 12958, Classified National Security Information; and existing Defense Security Classification Guides. Any information designated by the program manager as potentially subject to control as CMI will be surrendered to the Agency for safeguarding until the material is officially designated as such by an Agency Original Classification Authority. Additionally, the Agency may establish restrictions on the release of information which a program manager has determined is not properly designated as CMI, but which is properly designated as sensitive information under the authority of the Agency operations security program. Applicants are also required to comply with any applicable export control laws.

ARTICLES WITH NO REFERENCE: RESEARCH GENERAL TERMS & CONDITIONS
REFERENCE (Art.15 & 16)

Article 15. Option to Renew.

If an option is indicated in the award document, the Government may require the continuation of the research. The option shall be exercised by a modification to the grant. The recipient is advised that the grantor's obligation to provide funding for increments and/or options included in the grant is contingent upon satisfactory performance and the availability of funds. Accordingly, no legal liability on the part of the grantor exists unless or until funds are made available to the grantor and notice of such availability is confirmed in writing to the recipient. Performance of the research must be deemed

satisfactory in the judgment of the ARO Scientific Officer/Technical Monitor.

Article 16. Modification of the Grant.

Requests by the recipient to modify a grant must be in writing to the ARO Grants Officer. A grant modification incorporating the request will be unilaterally issued at the discretion of the Grants Officer.

Articles 17-19 incorporated from "U.S Army Research Office General Terms and Conditions For Grant Awards To Educational Institutions and Other Nonprofit Organizations".

Article 17. Foreign Travel Reporting Requirement

REFERENCE: No reference in RESEARCH GENERAL TERMS & CONDITIONS.

Within thirty (30) days after returning to the United States from foreign travel, the Principal Investigator shall submit an acceptable trip report to the Grants Officer summarizing the highlights of the trip. Reimbursement for travel is contingent upon receipt of an acceptable trip report. If the trip report is not received by the required date, reimbursement will not be authorized.

Article 18. Delegation of Administration Duties

REFERENCE: A-110 Section 215.47, Contract Administration.

Certain grant administration duties have been delegated to the Office of Naval Research (ONR) identified in the Research Grant. These duties are as follows:

- a. Provisionally approve all Requests for Advance or Reimbursement (SF 270).
- b. Perform all property administration services except the approval of recipient's requests to purchase equipment with grant funds. Such approvals must be granted by the ARO Grants Officer.
- c. Perform all plant clearance functions.
- d. Approve requests for Registration of Scientific and Technical Information Services (DD Form 1540).
- e. Obtain the interim (if required) and final financial report(s).
- f. Obtain the interim patent report(s).

g. Execute administrative closeout procedures, which includes the following:

1. Obtain the final Report of Inventions and Subcontracts (DD Form 882).
2. Obtain final payment request, if any.
3. Obtain final property report and dispose of purchased property and government furnished equipment (GFE) in accordance with the DODGARS Part 22, Subpart G.
4. Perform a review of final incurred costs and assist the Grants Officer in resolving exceptions, if any, resulting from questioned costs.
5. Assure that all refunds due the Government are received by the grantor.

NOTE: This term and condition is not applicable to instrumentation and equipment grant awards.

Article 19. Cargo Preference.

REFERENCE: Appendix "B" to Part 22, DOD Grant and Agreement Regulations, DOD 3210.6-R#, Change 5, Effective 8/27/2007.

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 requires that at least 50 percent of equipment, materials or commodities procured or otherwise obtained with U.S. Government funds under this agreement, and which may be transported by ocean vessel, shall be transported on privately owned U.S.-flag commercial vessels, if available.

(h) Article 20. Revised Budget Requirements.

REFERENCE: RESEARCH GENERAL TERMS & CONDITIONS, ARTICLE 25

Revised budgets should be submitted in the same general format as the original budget submission.

(i) Article 21. Technical reporting.

REFERENCE: RESEARCH GENERAL TERMS & CONDITIONS, ARTICLE 51

Technical reporting requirements are contained in the award.

(j) Article 22. Financial reporting.

REFERENCE: RESEARCH GENERAL TERMS & CONDITIONS, ARTICLE 52

Financial reporting requirements are contained in the award.

(k) Article 23. Incremental funding actions.

REFERENCE: No reference in RESEARCH GENERAL TERMS & CONDITIONS

No additional documentation is required to trigger an increment; however, unacceptable expenditure rates reported on the recipient's Forecast Expenditure Report may delay incremental funding actions.