



UNITED STATES DEPARTMENT OF STATE
BUREAU OF ADMINISTRATION
OFFICE OF THE PROCUREMENT EXECUTIVE
GRANTS POLICY DIRECTIVE NUMBER 29 Revision 2
**SUBJECT: Mandatory Collection of the Data Universal
Numbering System (DUNS) and Central Contractor
Registration**

1. Scope:

This directive applies to all Department of State domestic and overseas bureaus, offices, and posts.

2. Authority:

1 FAM 212.2 assigns the Office of the Procurement Executive with the authority to prescribe policies, regulations, and procedures for the award and administration of assistance agreements through the Department of State. Mandatory collection of the Data Universal Numbering System (DUNS) number and registration in the Central Contractor Registration (CCR) system is required by the Office of Management and Budget (OMB) pursuant to federal policy directives “Financial Assistance Use of Universal Identifier and Central Contractor Registration” (75 FR 55671) and the Federal Funding Accountability and Transparency Act (FFATA) (Public Law 109-282).

3. Background:

Public Law 109-282 (FFATA) requires public disclosure of data on all acquisition and assistance awards within one month of award. The DUNS number is one of the data elements mandated by the FFATA for all awards. CCR is established as the Federal government's primary database in conformance with the Transparency Act. In support of FFATA implementation, OMB has designated the Central Contractor Registration (CCR) as the repository to facilitate applicant and recipient use of a single public website that consolidates data on all federal financial assistance. Under the law, it is mandatory to obtain a DUNS number and register in the CCR system.

4. Policy:

4.1 DUNS Number Policy:

For all assistance awards issued to organizations, both domestic and foreign, Grants Officers must obtain the organization's Dun and Bradstreet (D&B) DUNS number prior to award. Awards to individuals are exempt from this requirement.

4.2 CCR Policy:

Each office or post must include the requirements described below in each program announcement, regulation or other issuance containing instructions for applicants:

Applicants/grantees must:

- A. Be registered in the CCR prior to submitting an application or plan;
- B. Maintain an active CCR registration with current information at all times during which it has an active Federal award or an application or plan under consideration by an agency

All applicants must be registered in CCR prior to receiving an award from the Department unless one of the exemptions in the next section is met.

5. Exemptions:

An exemption from this requirement (both DUNS and CCR) is permitted when:

- A. The recipient is an individual; or
- B. The recipient is a foreign organization located outside the U.S., they do not currently have a DUNS number, and the grants officer determines that acquiring one is impractical given the geographic location; or
- C. The recipient is an overseas school and does not currently have a DUNS number; or
- D. The recipient received funds in conjunction with classified or a national security matter; or
- E. The recipient's identity must be protected due to possible endangerment of their mission, their organization's status, their employees, or the customers being served by the recipient.

Exemptions may be granted on a program-wide, country-wide or a case-by-case basis. All exemptions on a program-wide or country-wide basis must be requested in writing to A/OPE/FA. All Grants Officers invoking one of the exemptions listed above (other than exemption A) on a case-by-case basis must fill out the DUNS exemption form (Attachment A) and add it to the official grant file. Additionally, the Grants Officer must contact the current point of contact on the "Points of Contact" section on A/OPE/FA's webpage at: <http://aopefa.a.state.gov> for a substitute DUNS number to be used when entering records into the Grants Database Management System (GDMS) or the State Assistance Management System (SAMS).

6. Guidance:

For detailed instructions on how applicants are to request a DUNS number and then register in CCR, please [click here](#). (<http://aopefa.a.state.gov/Content/documents/registrationstepsforgrantsdotgov.pptx>)

7. Registration Issues:

Obtaining a DUNS number places the organization on D&B's marketing list that is sold to other companies. The organization can request not to be added to this list during the application process or subsequently. The applicant organization should limit its request to a DUNS designation only. Requests for additional D&B services are not free of charge.

Issues have been reported with the registration process concerning additional requirements or payment requests by the D&B provider. Obtaining a DUNS number in support of submitting a grant proposal to the USG is to be at **no cost** to the applicant. Any additional services offered during the registration process are **not** necessary and the applicant is under no obligation to sign up for them.

Most of the issues reported have been experienced by foreign applicants registering via telephone through the country's D&B affiliate office. As described above, a representative from the organization must register directly for a DUNS number. USG employees cannot obtain a DUNS number on behalf of the organization, although they may assist the organization via methods such as a conference call as long as a representative from the organization initiates the request and provides the required information. If an applicant is requested by a D&B office to pay for a DUNS number designation or other issues arise with the registration, the Grants Officer should contact the current point of contact on the "Points of Contact" section on A/OPE/FA's webpage at: <http://aopefa.a.state.gov>.

Foreign registrants in CCR must have a NATO Commercial and Governmental Entity (NCAGE) Code assigned. Applicants will need to go to the following web address and request an NCAGE code:

http://www.dlis.dla.mil/Forms/Form_AC135.asp All domestic applicants are automatically given a CAGE code in CCR. This part of the CCR registration process can be the most time consuming, as with D&B issues please report issues to the current point of contact on the "Points of Contact" section on A/OPE/FA's webpage at: <http://aopefa.a.state.gov>

The CCR registration process typically takes the applicant about 30 minutes and should become active within 3-5 business days. CCR registration needs to be updated on an annual basis.

8. Questions:

Any questions regarding this directive may be directed to the Office of the Procurement Executive, Federal Assistance Division (A/OPE/FA). Please refer the webpage at <http://aopefa.a.state.gov> for the appropriate contact information.

9. Effective Date:

This policy is effective March 7, 2011

Initial Issuance: August 2007

Revision 1: April 2010

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Procurement Executive

Attachment A

| Dun and Bradstreet Data Universal Numbering Exemption Form | | | |
|--|---------------------------------------|--|--|
| Award Number | | | |
| Type of Award: | Grant <input type="checkbox"/> | Cooperative Agreement <input type="checkbox"/> | Other (Specify): <input type="checkbox"/> |
| Type of Exemption Requested | Case-by-case <input type="checkbox"/> | Program-specific (Specify): <input type="checkbox"/> | Country-specific (Specify): <input type="checkbox"/> |
| Grants Officer: | | | |
| GOR/Program Officer (if applicable): | | | |
| Statutory Authority: | | | |
| Recipient | | | |
| Description of the assistance program: | | | |
| <p>Justification for Exemption: The rationale must fit the specific award circumstances and should address as many as the following factors as possible to assist the warranted grants officer in rendering a decision to waive the DUNS number requirement.</p> <p>Form fields can expand, if necessary, to describe (1) reasons why requiring the grantee to provide a DUNS number is not feasible, and (2) any other details that would lend support to the decision about issuing the award without a unique DUNS number.</p> | | | |
| <input type="checkbox"/> | Impractical | | |
| Provide explanation: | | | |
| <input type="checkbox"/> | Overseas School | | |
| <input type="checkbox"/> | National security | | |
| Provide brief explanation (if possible): | | | |
| <input type="checkbox"/> | Possible endangerment | | |
| Provide explanation: (if possible): | | | |
| I certify that this justification is accurate and contains sufficient justification to warrant the award of this grant without a unique DUNS number. | | | |
| _____ | | _____ | |
| Date | | Grants Officer | |