

PMC 121.1 / PMC 410.1  
Combined

CDP Tracking Number: This is the number assigned to your CDP that begins with two or three digits and ends in .10.

PMC 121.1 - 410.1 Combined  
(01/2010)

**U.S. DEPARTMENT OF ENERGY  
PROJECT MANAGEMENT CENTER**



**PRE-AWARD – RECIPIENT AND FINANCIAL MANAGEMENT INFORMATION SHEET**  
**ALL INFORMATION REQUESTED ON THIS FORM MUST BE PROVIDED**



CDP Tracking Number:	<b>Non-CDP Recipients leave this field blank</b>
Recipient Name:	
Recipient Business Officer:	<b>This is the person we will contact with questions regarding the application package. This will be the same person listed on the SF 424, Section F. [Please note that all correspondence will be addressed to the Recipient Business Officer designated here, along with the principal investigator identified in the application]</b>
Recipient Principal Investigator:	<b>This is the person we will contact with questions regarding the technical aspects of the project (May be the same as the Business Officer).</b>

Recipient Name: Legal name of recipient organization

PMC 121.1 - 410.1 Combined

(01/2010)

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Recipient Business Officer: See explanation on form in red.

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Recipient Principal Investigator:	<b>This is the person we will contact with questions regarding the technical aspects of the project (May be the same as the Business Officer).</b>

## Type of Business: Check the appropriate block



### A. **TYPE OF BUSINESS** - the Recipient is a:

- For-Profit Organization (Other than Small Business)
  - Corporation
  - Partnership
  - Sole Proprietorship
- Government
  - Local Government
  - State Government
  - Indian Tribal Government
- Individual
- Institution of Higher Education
- Other NonProfit Organization
- Small Business
- Other (specify):

#### **If NonProfit, select one below:**

- A university or other institution of higher education or an organization of the type described in Section 501(c)(3) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or
- An organization of the type described in Section 501(c)(4) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or
- An organization of the type described in Section 501(c)(6) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or
- A nonprofit scientific or educational organization qualified under a State nonprofit organization statute. (Please identify the statute.); or
- Other (specify type):

Member of FDP: Check the appropriate block.



Is the Applicant a member of the Federal Demonstration Partnership (FDP)?  Yes  No  
*A listing of FDP members is available at [http://www.thefdp.org/FDP\\_Members.html](http://www.thefdp.org/FDP_Members.html).*

## **B. INTELLECTUAL PROPERTY**

### **1. WAIVER OF DOE PATENT RIGHTS**

This section applies only to large businesses and nonprofits other than 501(c)(3) organizations. All others should leave this subsection blank and proceed to the "Rights in Application Data" subsection that follows. Large businesses and nonprofits other than 501(c)(3) organizations have the right to request, in advance or within 30 days after execution of an award, in accordance with applicable statutes and DOE Patent Waiver Regulation (10 CFR 784), a waiver of all or any part of the rights of the United States in Subject Inventions. Accordingly, please check all that apply:

- I intend to request an advance waiver in accordance with 10 CFR 784.
- I intend to request an advance waiver on behalf of one or more subrecipients/subcontractors.
- I have at least one subrecipient/subcontractor that will request a waiver on its own behalf.
- I do not intend to request an advance waiver.

### **2. RIGHTS IN APPLICATION DATA**

For an award based on an application/proposal, the Government will obtain unlimited rights in the technical data contained in the application/proposal, unless the Recipient marks those portions of the technical information which it asserts as "proprietary data" or specifies those portions of such technical data which are not directly related to or will not be utilized in the work to be funded under this award.

Accordingly, please indicate:

Waiver of DOE Patent Rights: Read the explanation and if applicable, check the appropriate block.

Is the Applicant a member of the Federal Demonstration Partnership (FDP)?  Yes  No

A listing of FDP members is available at [http://www.thefdp.org/FDP\\_Members.html](http://www.thefdp.org/FDP_Members.html).

## B. INTELLECTUAL PROPERTY

### → 1. WAIVER OF DOE PATENT RIGHTS

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Accordingly, please indicate:

Rights in Application Data: Please check the appropriate box.

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Accordingly, please indicate:

- No restrictions on Government rights in technical data contained in the application/proposal; or
- The application/proposal contains the following identified technical data that is proprietary, or is not directly related to, or will not be utilized in the work to be funded under this award.

Please list specific page numbers, table numbers, etc., and the dated version of the application/proposal to which you refer:

3. IDENTIFICATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE

Below, please identify any Limited Rights Data or Restricted Computer Software you plan to use to carry out your work under the award. Limited Rights Data means data (other than computer software) developed at private expense that embody trade secrets or are commercial or financial, and confidential or privileged. Restricted Computer Software means computer software developed at private expense and that is a trade secret, is commercial or financial, and confidential or privileged, or is published, copyrighted computer software, to include modifications of the computer software.

Identification of Limited Rights Data and Restricted Computer Software: Read the explanation and check the appropriate block.

## 2. RIGHTS IN APPLICATION DATA

For an award based on an application/proposal, the Government will obtain unlimited rights in the technical data contained in the application/proposal, unless the Recipient marks those portions of the technical information which it asserts as "proprietary data" or specifies those portions of such technical data which are not directly related to or will not be utilized in the work to be funded under this award.

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## → 3. IDENTIFICATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE

Below, please identify any Limited Rights Data or Restricted Computer Software you plan to use to carry out your work under the award. Limited Rights Data means data (other than computer software) developed at private expense that embody trade secrets or are commercial or financial, and confidential or privileged. Restricted Computer Software means computer software developed at private expense and that is a trade secret, is commercial or financial, and confidential or privileged, or is published, copyrighted computer software, to include modifications of the computer software.

Enrolled in ASAP: This is the payment system the DOE uses for most CDP recipients. If you have a prior award and are already enrolled please put the ASAP ID number. If you have not been enrolled, this is something the Contract Specialist will do before the award is finalized.

### C. INVOICING AND PAYMENTS

1. Is the Recipient currently enrolled with the U.S. Department of Treasury / ASAP system (Automated Standard Application for Payment System)?

Yes

Enter Recipient Seven-digit ASAP ID Number:

No

2. Please provide the following contact information for ASAP and/or Payments:

**IMPORTANT:** If not currently enrolled in the ASAP system, the person identified below will be contacted by the U.S. Department of Treasury with further instructions on completing the ASAP enrollment process.

#### ASAP Point of Contact Information

Name:

Address:

Phone No:

Email:

ASAP Contact Information: See explanation on form.

### C. INVOICING AND PAYMENTS

1. Is the Recipient currently enrolled with the U.S. Department of Treasury / ASAP system (Automated Standard Application for Payment System)?

Yes

Enter Recipient Seven-digit ASAP ID Number:

No

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2. Please provide the following contact information for ASAP and/or Payments:

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#### ASAP Point of Contact Information

Name:

Address:

Phone No:

Email:

Fiscal Year End Date:

**INFORMATION FOR DETERMINING COGNIZANT AGENCY/OFFICE**

3. Applicants fiscal year end date is (mm/dd/yyyy):

4a. Identify Cognizant **Federal Agency** (agency providing the preponderance of Federal funding), and provide Agency name, a point of contact, phone number, and e-mail.

Agency:

Point of Contact:

Phone:

E-mail:

4b. To assist our office in validating Cognizant **Federal Agency** (4a), please provide following information for the 5 highest dollar award value for current Federal contracts, grants or awards (do not include sub-awards). (State Agencies and Universities can skip 4b)



Contract/Award #	Awarding Agency	Awarding Office	Start Date	End Date	Total Value

5a. If applicant has current DOE awards, identify Cognizant **DOE Office** (office providing the preponderance of DOE funding), and provide DOE office name, a point of contact, phone number, and e-mail (**If same as 4a, proceed to Section D, Financial Management System**).

DOE Office:

Cognizant Federal Agency: Put the name of the federal agency that provides you with the highest dollar amount of funding, if any. If this award is your first federal award, then put the Department of Energy.

**INFORMATION FOR DETERMINING COGNIZANT AGENCY/OFFICE**

3. Applicants fiscal year end date is (mm/dd/yyyy):

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DOE Office:

Current Federal Contracts: Fill in this information for contracts with federal agencies OTHER than the Department of Energy if any. If none, then leave blank.

**INFORMATION FOR DETERMINING COGNIZANT AGENCY/OFFICE**

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Agency:

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DOE Office:

Cognizant DOE Office: If this is your first award, then the office is the NETL.

5a. If applicant has current DOE awards, identify Cognizant **DOE Office** (office providing the preponderance of DOE funding), and provide DOE office name, a point of contact, phone number, and e-mail (**If same as 4a, proceed to Section D, Financial Management System**).

DOE Office:

Point of Contact (Contracting Officer):

Phone:

E-mail:

5b. To assist our office in validating Cognizant **DOE Office** (5a), please provide following information for the 5 highest dollar value awards for current DOE contracts, grants or awards (do not include sub-awards). (State agencies and Universities can skip 5b)



DOE Contract/Award #	DOE Awarding Office	Start Date	End Date	Total Value

#### D. FINANCIAL MANAGEMENT SYSTEM

To qualify for Financial Assistance, compliance with [10 CFR 600.121 - Higher Education, Hospitals, and Other Non-Profit Organizations](#), [10 CFR 600.220\(b\) - State and Local Governments](#) or [10 CFR 600.311 - For-Profit Organizations](#) is required. Please check applicable boxes below.

Current DOE Contracts: If any, put the five highest dollar awards, if you don't have five, then put as many as you do have.

5a. If applicant has current DOE awards, identify Cognizant **DOE Office** (office providing the preponderance of DOE funding), and provide DOE office name, a point of contact, phone number, and e-mail (**If same as 4a, proceed to Section D, Financial Management System**).

DOE Office:

Point of Contact (Contracting Officer):

Phone:

E-mail:

5b. To assist our office in validating Cognizant **DOE Office** (5a), please provide following information for the 5 highest dollar value awards for current DOE contracts, grants or awards (do not include sub-awards). (State agencies and Universities can skip 5b)



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Financial Management System: You will need to read those sections of the Federal Regulations and make the appropriate choice. The Regulations can be found at: <http://www.netl.doe.gov/business/forms-far.html>.



**D. FINANCIAL MANAGEMENT SYSTEM**

To qualify for Financial Assistance, compliance with [10 CFR 600.121 - Higher Education, Hospitals, and Other Non-Profit Organizations](#), [10 CFR 600.220\(b\) - State and Local Governments](#) or [10 CFR 600.311 - For-Profit Organizations](#) is required. Please check applicable boxes below.

- The Financial Management System is in compliance with 10 CFR 600.121, 10 CFR 600.220(b), or 10 CFR 600.311.
- I do not know if my Financial Management System is in compliance with 10 CFR 600.121, 10 CFR 600.220(b), or 10 CFR 600.311. If this block is checked, complete the following survey.

Accounting System Survey: Check the appropriate boxes.



Accounting System Survey

	<u>Yes</u>	<u>No</u>	<u>NA</u>
1. Is your Accounting System in accordance with Generally Accepted Accounting Principles applicable to the circumstances?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Accounting System provides for:			
a. Segregation of direct costs from indirect costs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Identification and accumulation of direct costs by project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. A logical and consistent method for the allocation of indirect costs to intermediate and final cost objectives. (Project is final cost objective)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Accumulation of costs under general ledger control.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. A timekeeping system that identifies employees' labor by intermediate and final cost objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. A labor distribution system that charges direct and indirect labor to appropriate cost objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Interim (at least monthly) determination of costs charged to a project through routine posting of books of account.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Excluding costs charged to Government projects which are not allowable in terms of FAR 31, Contract Cost Principles and Procedures, or other provisions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Identification of costs by project line item and by units (as if each unit or line item were a separate project) if required by the proposed award.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the Accounting System designed, and are the records maintained in such a manner that adequate, reliable data are developed for use in developing cost proposals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Is the Accounting System currently in full operation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Representation/Certification: Please fill in the appropriate information.



**E. REPRESENTATION/CERTIFICATION**

I represent by my signature below that all the information provided by this form is true and accurate.



Name:

---

Title:

---

Signature of Authorized  
Representative:

---

Date:

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