PRE-AWARD INFORMATION SHEET

THE USE OF THE PRE-AWARD INFORMATION SHEET TEMPLATE IS OPTIONAL, BUT ALL DATA ELEMENTS WITHIN THE PRE-AWARD INFORMATION SHEET ARE MANDATORY.

|  |  |
| --- | --- |
| Name of Organization  Street Address  City and County  State and Zip + 4 (matches the USPS database) | ***Name and address must match SAM registration.*** |
| FOA Number:  Award Number: |  |
| Project Title: |  |
| Business Officer and contact information: | ***Please provide complete contact information including telephone number and email address and physical street address (if different than above) for the person who will be responsible for administering this award.*** |
| Project Director/Principal Investigator(s) and contact information: | ***Please provide complete contact information including telephone number and email address and physical street address (if different than above) for the person who will be responsible for the technical aspects of this award.*** |
| DUNS: |  |
| Congressional District |  |
| Organization’s Fiscal Year End Date |  |

1. **TYPE OF ORGANIZATION** – Please indicate the type of organization of the Recipient by selecting one of the following:

**For-Profit Business:**

Small Business (A “Small Business” is defined by the SBA Size Standards at <http://www.sba.gov/content/table-small-business-size-standards>)

Other than a Small Business (e.g., large business)

**Non-Profit Organization:**

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))

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))

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))

A nonprofit scientific or educational organization qualified under a State nonprofit organization statute. (Please identify the statute.)

**Other (specify type):**

State or Local Government

Indian Tribal Government

Individual

Other not listed (specify type):

1. **INTELLECTUAL PROPERTY**
2. Inventions/Patents
   1. Ownership Rights: For invention/patents made by the Recipient or a Subrecipient under the award, ownership rights differ by organization type, as follows:
      1. **Recipient** or **Subrecipient** retains ownership (see the Bayh-Dole Act, 35 U.S.C. § 200 et seq.) if the inventing organization is a:

* domestic small business;
* domestic educational institution; or
* other domestic 501(c)(3) nonprofit.
  + 1. ii. Unless DOE grants a patent waiver, **U.S. Government** retains ownership (see the Federal Non-Nuclear Energy Act of 1974, 42 U.S.C. § 5908) if the inventing organization is a:
* large business;
* foreign organization;
* state or local government; or
* any other organization type that is not a domestic small business, educational institution, or 501(c)(3) nonprofit.
  1. Types Of Patent Waivers
     1. **Class Patent Waiver**: DOE may grant a class patent waiver that applies to a class of organizations. For example, there may be a class patent waiver that applies to domestic large businesses.
     2. **Advance Patent Waiver**: For an organization not covered by the Bayh-Dole Act or a class patent waiver, the organization may request an advance patent waiver that will cover all inventions that may be made by the organization under the award. Recipients and Subrecipients must request this waiver in advance of or within 30 days after the effective date of the award.
     3. **Identified-Invention Patent Waiver**: Any organization not covered by the Bayh-Dole Act or a class or advance patent waiver may request an identified invention patent waiver once an invention has been made and disclosed under the award. This type of patent waiver would apply only to the invention identified in the patent waiver request.
  2. Patent Waiver Requests (**not applicable to Bayh-Dole Act organizations in Section 1.a.i. above**)

In the text box below, please identify each organization, including the Recipient and any Subrecipient, that wants to request one of the patent waivers identified in Section 1.b. above. **If a class patent waiver applies, further information may be found in the Funding Opportunity Announcement (FOA).** For each Subrecipient, please identify the type of organization using the categories above in section A of this Pre-Award Information Sheet.

|  |  |  |
| --- | --- | --- |
| **Recipient/Subrecipient Name** | **Organization Type** | **Type of Waiver Requested** |
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1. IDENTIFICATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE

Definitions:

* **Limited Rights Data**: confidential or trade secret-type data developed solely at private expense outside of any government contract or award.
* **Restricted Computer Software**: proprietary computer software developed solely at private expense outside of any government contract or award, including modifications to such computer software.

Please describe below any Limited Rights Data or Restricted Computer Software that will be used by the Recipient or any Subrecipient to carry out the work under the award. Describe it in a few sentences or bullets with sufficient detail so that DOE can understand how it relates to the award work. Published patent applications and patents should not be listed because those are public documents. Limited Rights Data and Restricted Computer Software are privately funded confidential data and software.

While DOE reserves the right to inspect Limited Rights Data and Restricted Computer Software, it normally does not require it be delivered to DOE except as necessary to evaluate the award work. Based on the description below, DOE will determine whether delivery is necessary. In such cases, the award will provide instructions on how to mark the data and software in order to protect it from public disclosure and limit the use of the data and software by DOE for evaluation purposes only. It is important to provide a sufficient description of the Limited Rights Data and Restricted Computer Software. If the description is insufficient, DOE may require the Limited Rights Data and Restricted Computer Software to be delivered to DOE to ensure the award work can be evaluated properly.

Based on the above, please check the option that applies and provide the descriptions when applicable:

No Limited Rights Data will be utilized in the performance of this award.

Limited Rights Data as described in the box below will be utilized in the performance of this award.

Use this block to list limited rights data or provide an attachment.

Based on the above, please check the option that applies and provide the descriptions when applicable:

Restricted Computer Software will NOT be utilized in the performance of this award.

Restricted Computer Software as described in the box below will be utilized in the performance of this award.

Use this block to list restricted computer software or provide an attachment.

1. TECHNICAL DATA PRODUCED UNDER THE AWARD

The U.S. Government retains unlimited rights in all technical data produced under the award, including the right to distribute it to the public.

An exception is that DOE, pursuant to special statutory authority, may agree to protect certain categories of data produced under an award for up to five-years (“Protected Data”). See the Rights in Technical Data section of the FOA under which the award was selected to determine whether Protected Data is available for this award.

**If Protected Data is offered under the FOA**, please indicate whether the Recipient wants it to be included in the award terms and conditions. In order for a Subrecipient to be able to mark data as Protected Data, Protected Data must be authorized in the prime award with the Recipient.

Yes, the Recipient wants the ability to mark certain data as Protected Data under the award. If this option is selected, instructions for how to mark data as Protected Data will be added to the award terms and conditions.

No, the Recipient does not want the ability to mark certain data as Protected Data. For example, even when Protected Data is an option, many organizations, especially educational institutions, intend to publish the resulting technical data and share it broadly within the scientific community consistent with its Fundamental Research Exclusion policies.

Even when Protected Data is not available or used, DOE will protect invention disclosures from public disclosure for a reasonable time in order to allow for the filing of a patent application.

Use this block to list protected data or provide an attachment.

1. IDENTIFICATION OF UNLIMITED RIGHTS DATA

If either Limited Rights Data or Protected Data are utilized in the award, please provide a listing of Unlimited Rights Data.

**Unlimited Rights** - The right of the Government to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose whatsoever, and to have or permit others to do so.

Use this block to list unlimited rights data or provide an attachment.

1. Data Management Plan

A Data Management Plan (“DMP”) explains how the results, including supporting research data, of the award will be shared and preserved to enable others to validate the results or, when justified, how the results could be validated when the data is not shared or preserved. The FOA will indicate whether a DMP is required at time of application or after selection, but no later than the time of award. Please reference the FOA for more information.

The DMP should NOT address data rights between DOE and the Recipient. Data rights between DOE and the Recipient will be governed by the Intellectual Property (IP) clause set of the award. In the event of a conflict, the IP clause set will take precedence over the DMP.

1. Small Business Innovation Research (SBIR) Program

Has your organization received any prior DOE SBIR awards for development of the technology that will be further developed under any resulting financial assistance agreement?

|  |  |
| --- | --- |
| Yes, please list the SBIR award number(s): |  |

No

1. **BUSINESS ASSURANCES**
2. DISCLOSURE OF POTENTIAL IMPROPRIETIES

Below, please disclose if any of the following conditions exist. If the answer to any question (a) through (f) below is yes, provide a detailed explanation in an attachment to this document.

* 1. Is the proposed Prime Recipient, Subrecipient(s), Principal Investigator (PI), or Co-PI(s) under investigation for potential fraud or similar acts, or has the proposed Prime Recipient, Subrecipient(s), Principal Investigator (PI), or Co-PI(s) been convicted of fraud or similar acts?

Yes

No

* 1. Is the proposed Prime Recipient, Subrecipient(s), Principal Investigator (PI), or Co-PI(s) under investigation for potential violation of U.S. export control laws and regulations, or has the proposed Prime Recipient, Subrecipient(s), Principal Investigator (PI), or Co-PI(s) been convicted of any violations of U.S. export control laws and regulations?

Yes

No

* 1. Is the proposed Prime Recipient or Subrecipient(s) under investigation for potential violations of the Drug-Free Workplace Act of 1988, or has the proposed Prime Recipient or Subrecipient(s) been convicted of any violations of the Drug-Free Workplace Act of 1988?

Yes

No

* 1. Is the proposed Prime Recipient, Subrecipient(s), Principal Investigator (PI), or Co-PI(s) under investigation for research misconduct, or has the proposed Prime Recipient, Subrecipient(s), Principal Investigator (PI), or Co-PI(s) been convicted of research misconduct?

Yes

No

* 1. Has any Federal Agency recommended or initiated proceedings against the proposed Prime Recipient, Subrecipient(s), Principal Investigator (PI), or Co-PI(s) for suspension or debarment, or is the proposed Prime Recipient, Subrecipient(s), Principal Investigator (PI), or Co-PI(s) debarred, suspended, or otherwise declared ineligible from receiving Federal Contracts, subcontracts or financial assistance and benefits?

Yes

No

* 1. Is the proposed Prime Recipient or Subrecipient(s) delinquent on federal debt or insolvent or at risk of insolvency or have the proposed Prime Recipient or Subrecipient(s) filed for bankruptcy in any domestic or foreign jurisdiction?

Yes

No

1. POTENTIAL CONFLICTS OF INTEREST WITHIN PROJECT TEAM

The Recipient is required to disclose potential conflicts of interest within the Project Team. An apparent or actual conflict of interest may exist where an individual or entity has different, and potentially conflicting, duties or relationships with respect to other individuals or entities within the Project Team[[1]](#footnote-2). If any conflicts of interest exist within the Project Team, explain the conflict and the parties involved in a separate attachment. If no conflicts of interest exist, check the box marked “None” below. Examples of potential conflicts of interest include but are not limited to: the Recipient’s PI has an equity stake in a Subrecipient; the PI for the Subrecipient has a consulting arrangement with the Recipient; or a Subrecipient is a subsidiary of or otherwise affiliated with the Recipient.

None

1. POTENTIAL OVERLAP WITH OTHER APPLICATIONS
   1. Has the PI or any Co-PI(s) submitted this application to any Federal or non-Federal entity (including but not limited to industry, private investors, foreign, state or local governments)? If yes, attach an explanation for each submission including the source of funding, date of submission, title of submission and application status.

Yes

No

* 1. Has the PI or any Co-PI(s) submitted any application(s) for related work (i.e. work that relates directly or indirectly to the proposed project) to any Federal or non-Federal entity (including but not limited to industry, private investors, foreign, state or local governments) within the last 24 months? If yes, attach an explanation for each submission including the source of funding, date of submission, title of submission and application status.

Yes

No

1. **INVOICE AND PAYMENT**
2. Has your organization received any prior DOE awards administered by NETL?

Yes

|  |  |
| --- | --- |
| If yes, please list the most recent award number: |  |

No

Questions 2 through 4 are reserved for institutions of higher education, hospitals, other non-profit organizations and state and local governments that are not considered for-profit entities.

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

Yes

|  |  |
| --- | --- |
| If yes, please enter Awardee Seven-digit ASAP ID Number: |  |

No

1. 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 instruction on completing the ASAP enrollment process.***

|  |  |
| --- | --- |
| ASAP / Payments Contact Person: |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Phone No.: |  | Extension: |  | E-mail: |  |

1. Indicate preferred payment method below: (***NOTE: this section is reserved for universities, hospitals, other non-profit organizations and state and local governments that are authorized to receive advance payments, unless a specific need is supported).***

Payment by Advance is preferred.

Payment by Reimbursement is preferred.

1. Total Estimated Project Cost is the sum of the Federal Government share and Recipient share of the estimated project costs. The Recipient’s cost share or matching must come from non-Federal sources unless otherwise allowed by law (Please reference 2 CFR 200.29 and 2 CFR 200.306). By accepting Federal funds under this award, you agree that you are liable for your percentage share of allowable project costs, on a budget period basis, even if the project is terminated early or is not funded to its completion.

Yes, the percentage share of allowable project costs (cost share) will be provided on a budget period basis.

If cost share is not provided on a budget period basis, please explain.

Use this block to provide a detailed explanation for not providing cost share on a budget period basis or provide an attachment.

1. Indicate the name, phone number, and email address of the Designated Responsible Employee for complying with national policies prohibiting discrimination (see 10 CFR 1040.5 and the Certifications and Assurances SF-424B Assurances for Non-Construction Programs or SF-424D Assurances for Construction Programs found at:

<http://www.grants.gov/web/grants/forms/sf-424-family.html> .)

|  |  |
| --- | --- |
| Name/Title |  |
| Phone No/Email |  |

1. **ACCOUNTING SYSTEM**

Your organization should have an accounting system that meets government standards for recording and collecting costs in accordance with 2 CFR 200.302(b)(1). If you have not had prior government awards or a recent accounting system review, the DOE may request the Defense Contract Audit Agency (DCAA) or an independent auditor to verify that the accounting system is acceptable.

Indirect costs are an acceptable cost component of an approved budget if they are adequately supported and properly allocated. Organizations proposing indirect costs will need to demonstrate that the proposed indirect (e.g., overhead, G&A) rates were developed using a methodology acceptable for Government contracting, and in accordance with applicable Federal cost principles. If a current provisional indirect rate agreement has been issued by a Federal agency then that agreement should have been provided with the initial application. If it has not been, or a more current provisional indirect rate agreement has been executed, it needs to be provided as an attachment. In the absence of a provisional indirect rate agreement, the most current final indirect rate agreement should be provided as an attachment to this document.

1. Information for Determining Cognizant Agency/Office

Cognizance related duties (i.e.; negotiating provisional/final indirect rates) are the responsibility of the Cognizant Federal Agency (CFA). The CFA is the Federal agency (e.g., Department of Defense, Department of Energy, etc.) that provided the preponderance (largest amount) of funding for your awards, across all federal agencies. Once a Federal agency assumes cognizance for an organization, it should remain cognizant for at least 5 years to ensure continuity and ease of administration. **It is extremely important to confirm that you work with the correct cognizant federal agency/office.**

As a rule of thumb, Department of Health & Human Services (DHHS) or the Office of Naval Research (ONR) is usually the CFA for Universities, Cities, States, and Counties. DHHS/ONR cognizance is not usually transferred.

Please identify the CFA by providing the following information:

|  |
| --- |
| Agency: |
| Point-of-Contact: |
| Phone No.: |
| E-mail: |

To assist our office in validating the CFA, please provide the following information for the five (5) highest dollar award values for current Federal contracts, grants or awards for which the organization receives funding (either as a prime or subcontract) directly from a Governmental agency. (**State and Local Governments, Institutions of Higher Education, and Tribal organizations can skip this section if DHHS/ONR is the cognizant agency**). The total federal contract/award dollars should include the full project period, not just the incremental funding.

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| --- | --- | --- | --- | --- | --- | --- |
| Contract/Award # | Awarding Agency (e.g. DOE) | Awarding Office  (e.g. NETL) | Agency Contact Name/Phone/E-mail | Start Date | End Date | Total Value of Contract or Subcontract |
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If awardee has current DOE awards, identify Cognizant DOEOffice (CDO) (office providing the preponderance of DOE funding), and provide DOE office name, a point-of-contact, phone number, and e-mail (**If same as above**, proceed to Section F, Financial Management System-Accounting System Survey).

|  |
| --- |
| DOE Office: |
| Point-of-Contact (Contracting Officer): |
| Phone No.: |
| E-mail: |

To assist our office in validating the CDO, please provide the following information for the 5 highest dollar value awards for current DOE contracts, grants or awards for which the organization receives funding (either as a prime or subcontract) directly from a DOE office. (**State and Local Governments, Institutions of Higher Education, and Tribal organizations can skip this section if DHHS/ONR is the cognizant agency**). The total DOE contract/award dollars should include the full project period, not just the incremental funding.

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| --- | --- | --- | --- | --- | --- |
| DOE Contract/Award # | DOE Awarding Office | DOE Contact Name/Phone/E-mail | Start Date | End Date | Total Value of Contract or Subcontract |
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1. Information on Annual Incurred Cost Proposal

If it is determined that NETL is the CDO, your organization will be responsible for submitting an **ANNUAL** Incurred Cost Proposal (ICP) using the actual, allowable costs incurred by your organization during each fiscal year period.

***Important: The ICP is not a project specific proposal, but rather, a proposal that encompasses the organization’s entire business base (i.e.; government and commercial), and it must incorporate the total direct and indirect costs incurred to develop the actual indirect rates for each fiscal year.***

The ICP is due 180 days after your fiscal year end (i.e.; if fiscal year ends December 31st, the ICP is due June 30th). For an example of the ICE Model, please visit <http://www.dcaa.mil>. Under “Checklists and Tools”, click on ICE (Incurred Cost Electronically) Model and download the ICE model. As an alternative to the DCAA ICE Model, please visit NETL’s website at <https://www.netl.doe.gov/business/business-forms#POST_AWARD_FA> for a sample of a completed incurred cost proposal. Once the information is received, NETL will have the responsibility of providing your organization with an annual indirect rate agreement. This indirect rate must be used on all Federal awards. If it is determined that NETL is not the CDO, you should contact the CFA for guidance.

#### F. FINANCIAL MANAGEMENT SYSTEM – ACCOUNTING SYSTEM SURVEY

To qualify for a financial assistance award, compliance with 2 CFR 200 as amended by 2 CFR 910 is required. This includes assurance of an adequate accounting system for estimating, accounting and billing for governmental funding received.

Please complete the checklist below as assurance of this requirement.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | | Yes | No | NA |
| 1. Has your organization’s accounting system ever been audited by DCAA? | |  |  |  |
| 1. If yes, please provide a copy of the audit report as an attachment to this document. |  |  |  |
| 1. If yes, did DCAA determine the accounting system acceptable for Federal awards? |  |  |  |
| 1. If yes, have there been any changes to the accounting system since the DCAA audit? If the answer is “yes”, please provide a detailed explanation of the changes. |  |  |  |
| Use this block to explain the changes or provide an attachment. | | | |

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| --- | --- | --- | --- | --- | --- | --- | --- |
| 1. Has your organization’s accounting system been audited by an outside Certified Public Accountant/consultant or other Cognizant Federal Agency other than DCAA? ***Important: Annual Financial Audits should be excluded.*** | |  | |  | |  | |
|  | |  | |  | |  | |
| 1. Is the Accounting System in accordance with Generally Accepted Accounting Principles applicable to the circumstances and associated applicable Federal regulations? | |  | |  | |  | |
|  | |  | |  | |  | |
| 1. Accounting System provides for: | | Yes | | No | | NA | |
| 1. Segregation of direct costs from indirect costs. | |  | |  | |  | |
| 1. Identification and accumulation of direct costs by project. | |  | |  | |  | |
| 1. A logical and consistent method for the allocation of indirect costs to intermediate and final cost objectives. (Project line items are final cost objective) | |  | |  | |  | |
| 1. Accumulation of costs under general ledger control. | |  | |  | |  | |
| 1. A timekeeping system that identifies employees’ labor by intermediate and final cost objective (i.e., project level, division level). | |  | |  | |  | |
| 1. A labor distribution system that charges direct and indirect labor to appropriate cost objectives. | |  | |  | |  | |
| 1. Interim (at least monthly) determination of costs charged to a project through routine posting of books of account. | |  | |  | |  | |
| 1. Excluding costs charged to Government projects which are not allowable in terms of 2 CFR 200, Subpart E, or 48 CFR 31.2 (FAR Part 31), Contract Cost Principles and Procedures, or other provisions, as applicable. | |  | |  | |  | |
| 1. 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. | |  | |  | |  | |
| 1. 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? | |  | |  | |  | |
| 1. Is the Accounting System currently in full operation? | |  | |  | |  | |
| 1. Is your organization’s accounting system ready for a DCAA or independent Certified Public Accountant audit? | |  | |  | |  | |

***Please provide the type of accounting system utilized (manual or electronic) and if electronic, provide the software system implemented. In addition, if you checked “No” to any of the boxes above, please provide a detailed explanation here or as an attachment.***

#### G. ANNUAL AUDIT REQUIREMENTS (SINGLE & COMPLIANCE)

1. Single Audit – A non-Federal entity that expends $750,000 or more during the non-Federal entity’s fiscal year in Federal awards must have a single audit conducted in accordance with 2 CFR 200.514.
2. Compliance Audit – If a for-profit entity has one or more DOE awards with expenditures totaling $750,000 or more during the for-profit entity’s fiscal year, they must have a compliance audit, performed by an independent auditor, for each of the awards with $750,000 or more in expenditures in accordance with 2 CFR 910.514. If the entity has multiple awards, the auditor can issue one consolidated report. All audits must be conducted in accordance with Generally Accepted Accounting Standards and the associated audit costs are allowable under the award. The audit must be completed and submitted within the earlier of 30 calendar days after receipt of the auditor’s report, or nine months after the end of entity’s fiscal year end date.
3. Has your organization had an independent compliance audit or single audit performed?

Yes

No

1. Has your organization undergone a financial audit within the last 3 years?

Yes

No

If Yes to either a or b, please include a copy of the audit.

1. Was an electronic copy of the audit provided with the application package?

Yes

No

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| --- |
| Use this block to explain why a financial audit was not completed or performed or provide an attachment. |

#### H. REPRESENTATION/CERTIFICATION

***Important: Certification of the information is required by the organization’s authorized representative.***

I verify that I have an active System for Award Management (SAM) registration.

I verify that I have registered in FedConnect.net to receive award documentation.

I verify that all subrecipient/contractor cost information has been reviewed, and that all subrecipient/contractor costs are reasonable, allowable and allocable in accordance with the applicable cost principles. All subrecipient/contractor budget documents should be available upon DOE request.

I verify that all direct costs proposed in the application (under the personnel, travel, equipment, supplies, contractual, construction, and/or other direct costs categories) are direct to the project and are not duplicated in the proposed indirect costs.

I verify that the processes undertaken to solicit any subrecipients, subawards, subcontracts and vendors comply with our organization’s written procurement procedures as outlined in “Procurement Standards” 2 CFR 200.317 through 2 CFR 200.326 inclusive.

I represent by my signature below that all the information provided by this form is accurate and that I am authorized to certify this information on behalf of the organization.

|  |  |
| --- | --- |
| Name: |  |
| Title: |  |
| Signature of Authorized Official: |  |
| Date: |  |

#### I. MISCELLANEOUS INFORMATION

1. Does your organization (including subrecipients or contractors) anticipate utilizing foreign national(s) in the performance of the award? A FN is defined as any person who is not a U.S. citizen by birth or naturalization.

Yes (If yes, your organization is required to submit Form NETL F 142.1-1A “Request for Unclassified Foreign National Access (Short Form)” to NETL for each foreign national proposed.) Each submission must also include the following required documents:

1. A color copy of Lawful Permanent Resident (LPR) Card or Visa and all visa documentation (I-20, DS201-, I-797A, B, C, etc.,);
2. A color copy of the passport;
3. A copy of the resume or curriculum vitae (CV) that covers time spanning the age of 18 to present with such time accounted for; and,
4. Copies of any other documents that allow the individual to be in the United States.

A copy of NETL F 142.1-1A is located at <https://www.netl.doe.gov/business/business-forms/financial-assistance> under Post Selection Forms/Information. As many of the required documents include personally identifiable information (PII), NETL has established a process for secure submission. Once the NETL F 142.1-1A has been completed and all required documents have been compiled, the Recipient shall submit an email to the NETL Contract Specialist assigned to this Award. The email must include the DOE Award number, and the name, citizenship, and employer of the proposed foreign national. The email must not include the Form NETL F 142.1-1A, any of the required documents, or any other PII. NETL will then issue an email response providing detailed instructions for securely submitting the request.

Yes (However, the foreign national(s) will be performing the work outside the U.S. or its territories).

No

1. Does your organization anticipate utilizing any Government Furnished Equipment (GFE) for this project?

Yes (If yes, please attach a list of proposed GFE)

No

1. Are there any changes to the proposed work that will impact the information provided on the Environmental Questionnaire (NETL F 451.1-1/3), (particularly the proposed work locations)?

Yes (If yes, please attach an updated Environmental Questionnaire - NETL F 451.1-1/3 at <http://www.netl.doe.gov/File%20Library/Business/forms/451_1-1-3.pdf>.)

No

1. Are there any changes to your proposed share of the estimated project costs?

Yes (If yes, please provide a detailed explanation of the changes.)

No

1. It is DOE’s position that the existence of a “covered relationship” as defined in 5 C.F.R. § 2635.502(a)&(b) between a member of a Recipient’s owners or senior management and a member of a subrecipient’s owners or senior management creates at a minimum an apparent conflict of interest that would require the Recipient to notify the Contracting Officer and provide detailed information and justification (including, for example, mitigation measures) as to why the subaward or subcontract does not create an actual conflict of interest. Recipients must also notify the Contracting Officer of any subcontract or subaward to: (1) an entity that is owned or otherwise controlled by the Recipient; or (2) an entity that is owned or otherwise controlled by another entity that also owns or otherwise controls the Recipient, as it is DOE’s position that these situations also create at a minimum an apparent conflict of interest. [↑](#footnote-ref-2)