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**

This section applies to the intellectual property associated with your application. Information is to be provided for both your organization and any subrecipients/contractors, as applicable.

1. WAIVER OF DOE PATENT RIGHTS

This section applies only to large businesses and nonprofits other than 501(c)(3) organizations. Domestic small businesses and domestic nonprofits that qualify as 501(c)(3) organizations will receive the patent rights clause at 37 CFR 401.14, i.e., the implementation of the Bayh-Dole Act. This clause permits domestic small business and domestic nonprofit organizations to retain title to subject inventions. Therefore, small businesses and nonprofit organizations do not need to request a waiver.

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 conceived or first actually reduced to practice in performance of an award. Even if such advance waiver is not requested or the request is denied, the large businesses and nonprofits other than 501(c)(3) organizations will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, (i.e., individual inventions conceived or first actually reduced to practice in performance of the award). Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784 see <http://www.energy.gov/gc/services/technology-transfer-and-procurement/office-assistant-general-counsel-technology-transf-1> for further information. In addition, any patent rights waiver clause will contain language requiring an entity retaining title to a subject invention under the waiver to agree that any products embodying or produced through the use of that subject invention to be substantially manufactured in the United States, unless DOE agrees otherwise.

Pursuant to 10 CFR Part 784, DOE may have issued a class patent waiver that applies to this Funding Opportunity Announcement (FOA). Under a class waiver, any entity other than a domestic small business firm or domestic nonprofit organization may elect title to its subject inventions similar to the right provided to domestic small business firms and domestic nonprofit organization by law. If DOE has approved a class patent waiver to large businesses and nonprofits other than 501(c)(3) organizations under this Program, please reference the FOA for additional information regarding the terms of the class waiver. The FOA will also indicate if DOE is in the process of approving a class patent waiver for large businesses and nonprofits other than 501(c)(3) organizations under this Program. In such case, the class waiver terms will be provided once it is approved.

For programs with an approved class patent waiver, the waiver terms are available at <https://www.netl.doe.gov/business/business-forms/financial-assistance> under Post Selection Forms/Information.

Please check all that apply:

I qualify as a domestic small business or domestic 501(c)(3) organization.

I intend to participate in the approved/pending class patent waiver.

I do not intend to participate in the approved/pending class patent waiver.

I have at least one subrecipient/contractor that will participate in the class patent waiver.

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/contractors.

I have at least one subrecipient/contractor that will request a waiver on its own behalf.

I do not intend to request an advance waiver.

1. IDENTIFICATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE

Please identify below any Limited Rights Data or Restricted Computer Software that will be used to carry out the 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.

Please note that these Limited Rights Data and Restricted Computer Software do not include data that will be produced under this award. Data that is first produced under this award is treated separately under the data rights clause of the award (reference the Protected Data section below). This section covers only data to be brought into this award that were privately funded.

If Limited Rights Data or Restricted Computer Software is expected to be used under the award, please describe it below in sentences or bullets, with sufficient detail so that the DOE Project Officer can determine what rights DOE will need in such data or software. Do not list issued patents or published patent applications. Unpublished patent applications (by title and brief description) and trade secret processes (by non-proprietary title with brief, non-proprietary description) may be listed if appropriate. Questions regarding completing this section can be addressed to the Contract Specialist negotiating the award.

Based on the above, please review the requirements in the technical scope of work for this award and select the appropriate option below:

No Limited Rights Data is expected to be utilized in the performance of this award.

Limited Rights Data as described in the box below is expected to 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 review the requirements in the technical scope of work for this award and select the appropriate option below:

No Restricted Computer Software is expected to be utilized in the performance of this award.

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

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

1. IDENTIFICATION OF PROTECTED DATA

Protected data means technical data or commercial or financial data first produced in the performance of the award which, if it had been obtained from and first produced by a non-federal party, would be a trade secret or commercial or financial information that is privileged or confidential under the meaning of 5 U.S.C. 552(b)(4) and which data is marked as being protected data by a party to the award. The period of protection from public disclosure is limited by statute to “up to five years after the development of information.”

The FOA will indicate whether protected data is offered under this program, and if so, the maximum length of the protection period. If data protection is available under this award, the recipient is not obligated to accept it. If such protection is accepted, the provision titled “Rights in Data Programs Covered Under Special Protected Data Statutes” (2 CFR 910.362(e)) would be included in an award made under this announcement. This provision will identify data or categories of data first produced in the performance of the award that will be made available to the public, notwithstanding the statutory authority to withhold data from public dissemination (unlimited rights data), and will also identify data that will be recognized by the parties as protected data.

If data protection is offered under the FOA, please review the requirements in the technical scope of work for this award and select the appropriate option below:

No Protected Data is expected to be produced in the performance of this award.

Protected Data as described in the box below is expected to be produced in the performance of this award.

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 data generated in the course of the research or work performed under an assistance award will be shared and preserved or, when justified, explains why data sharing or preservation is not possible or scientifically appropriate. The FOA will indicate whether a DMP is required prior to or after award. If the FOA requires the DMP prior to award, it must be provided as an attachment to this document.

1. Small Business Innovation Research (SBIR) Program

Has your organization received any prior DOE SBIR awards?

Yes

|  |  |
| --- | --- |
| If 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.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| 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

|  |
| --- |
| 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)