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| --- |
| **PRE-AWARD INFORMATION SHEET**  The proposed Recipient must provide the following information on behalf of itself and all Subrecipients and certify that the information is accurate and complete.  **NOTE:** This Pre-Award Information Sheet template is provided as a convenient method of documenting the information required to process EERE financial assistance awards. The use of the Pre-Award Information Sheet template is not required, but the data elements within the Pre-Award Information Sheet template are required. |

|  |  |  |  |
| --- | --- | --- | --- |
| Recipient Name: |  | Award Number: |  |
| UEI: |  | DUNS  (if applicable): |  |
| Business Officer: |  | BO Phone Number/Email: |  |
| Principal Investigator (PI): |  | PI Phone Number/Email: |  |

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):

**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.
      2. 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.
   2. TYPES OF PATENT WAIVERS
3. **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.
4. **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.
5. **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.
   1. 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** |
|  |  |  |
|  |  |  |
|  |  |  |

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 in the prime award with the Recipient.

Yes, the Recipient wants the ability to mark certain data as Protected Data under the award. If you select this option, 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.

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.

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:

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:

1. DATA MANAGEMENT PLAN

All research, development and demonstration projects require Data Management Plan (“DMP”) that 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. Please select from one of the first two options below as the Data Management Plan for the award or select the third non-applicable option when the project is not for research, development or demonstration.

Option 1 (when protected data is allowed): For the deliverables under the award, the recipient does not plan on making the underlying research data supporting the findings in the deliverables publicly-available for up to five (5) years after the data were first produced because such data will be considered protected under the award. The results from the DOE deliverables can be validated by DOE who will have access, upon request, to the research data. Other than providing deliverables as specified in the award, the recipient does not intend to publish the results from the project. However, in an instance where a publication includes results of the project, the underlying research data will be made available according to the policies of the publishing media. Where no such policy exists, the recipient will indicate on the publication a means for requesting and digitally obtaining the underlying research data. This includes the research data necessary to validate any results, conclusions, charts, figures, images in the publications.

Option 2: For any publication that includes results of the project, the underlying research data will be made available according to the policies of the publishing media. Where no such policy exists, the recipient will indicate on the publication a means for requesting and digitally obtaining the underlying research data. This includes the research data necessary to validate any results, conclusions, charts, figures, images in the publications.

N/A: The award is not for research, development or demonstration.

1. PROJECT PERFORMANCE SITE AND CONGRESSIONAL DISTRICT

List the address and congressional district for the primary site where the project will be performed:

|  |  |
| --- | --- |
| Street Address: |  |
| City: |  |
| State: |  |
| Zip: |  |
| Congressional District: |  |

1. BUSINESS ASSURANCES AND PAYMENT INFORMATION
2. DISCLOSURE OF POTENTIAL IMPROPRIETIES

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

* 1. Is the proposed Recipient, Subrecipient(s), or any of the Recipient’s or Subrecipient’s principals[[1]](#footnote-2) under investigation for or charged with a covered offense[[2]](#footnote-3)?

Yes

No

* 1. Has the proposed Recipient, Subrecipient(s), or any of the Recipient’s or Subrecipient’s principals been convicted of a covered offense in the last five years or had a civil judgment rendered against them for one of those offenses in that time period?

Yes

No

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

Yes

No

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

Yes

No

* 1. Is the proposed Recipient, Subrecipient(s), or any of the Recipient’s or Subrecipient’s principals under investigation for research misconduct, or has the proposed Recipient, Subrecipient(s), or the Recipient’s or Subrecipient’s principals been convicted of research misconduct?

Yes

No

* 1. Has any Federal Agency recommended or initiated proceedings against the proposed Recipient, Subrecipient(s), or the Recipient’s or Subrecipient’s principals for suspension or debarment, or is the proposed Recipient, Subrecipient(s), or the Recipient’s or Subrecipient’s principals debarred, suspended, publicly banned from doing business with the Federal government, or otherwise declared ineligible from receiving Federal Contracts, subcontracts or financial assistance?

Yes

No

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

Yes

No

1. POTENTIAL CONFLICTS OF INTEREST
   1. **Financial Conflicts of Interest.** The Recipient must disclose in writing any managed or unmanageable financial conflicts of interest involving a member of the project team (i.e., Investigators) and include sufficient information to enable DOE to understand the nature and extent of the financial conflict, and to assess the appropriateness of the non-Federal entity's management plan. See Section V(b)(3) of the [DOE Interim Conflict of Interest Policy](https://www.energy.gov/sites/default/files/2021-12/Interim%20COI%20Policy%20FAL2022-02%20to%20SPEs.pdf). As part of this DOE funded project, does the recipient or any subrecipients have any managed or unmanageable financial conflicts of interest involving a member of the project team (i.e., Investigators)?

☐ No

☐ Yes. If yes, in a separate attachment, the Recipient must provide relevant disclosures/supporting documentation as required by the [DOE Interim Conflict of Interest Policy](https://www.energy.gov/sites/default/files/2021-12/Interim%20COI%20Policy%20FAL2022-02%20to%20SPEs.pdf) Section V(b)(3).

* 1. **Organizational Conflicts of Interest**[[3]](#footnote-4). The Recipient must disclose in writing any potential or actual organizational conflict of interest to DOE. See [DOE Interim Conflict of Interest Policy](https://www.energy.gov/sites/default/files/2021-12/Interim%20COI%20Policy%20FAL2022-02%20to%20SPEs.pdf) Section VI and 2 CFR 200.318 for more information. As part of this DOE funded project, does the recipient or any subrecipients intend to engage in a procurement with a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe?

No

Yes. If yes, in a separate attachment, the Recipient must provide relevant disclosures/supporting documentation as required by the [DOE Interim Conflict of Interest Policy](https://www.energy.gov/sites/default/files/2021-12/Interim%20COI%20Policy%20FAL2022-02%20to%20SPEs.pdf) Section VI.

1. PARTICIPANTS AND COLLABORATING ORGANIZATIONS

Agencies need to know who has worked on the project to gauge and report performance in promoting partnerships and collaborations. In a separate attachment, the proposed Recipient must provide:

* 1. **What individuals will work on the Project?**

Provide the following information for: (1) Project director(s)/Principal investigator(s) (PDs/PIs); and (2) each person who is expected to work at least one person month per year on the project regardless of the source of compensation (a person month equals approximately 160 hours of effort). Please note that such reporting does not constitute a formal institutional report of effort on the project, but rather is used by agency program staff to evaluate the progress of the project during a given reporting period.

* + 1. **Provide the name and identify the role the person will play in this project.**

Indicate the total number of months (including partial months) (Calendar, Academic, Summer) that the individual will work on this project. Using the project roles identified below, select the most senior role in which the person will work on the project for any significant length of time. For example, if an undergraduate student graduates, enters graduate school, and continues to work on the project, show that person as a graduate student, preferably explaining the change in involvement.

* + 1. **Project Roles:**

PD/PI

Co PD/PI

Faculty

Community College Faculty

Technical School Faculty

K-12 Teacher

Postdoctoral (scholar, fellow or other postdoctoral position)

Other Professional

Technician

Staff Scientist (doctoral level)

Statistician

Graduate Student (research assistant)

Non-Student Research Assistant

Undergraduate Student

Technical School Student

High School Student

Consultant

Research Experience for Undergraduates (REU) Participant

Other (specify)

* + 1. **Describe briefly how this person will contribute to this project.**
    2. **Identify the person’s state, U.S. territory, and/or country of residence.**

State whether this person is collaborating internationally.

If the participant is U.S.-based, state whether this person is collaborating internationally with an individual located in a foreign country and specify whether the person will travel to the foreign country as part of that collaboration, and, if so, what duration of stay is expected. The foreign country(ies) should be identified.

If the participant is not U.S.-based, state whether this person will travel to the U.S. or another country as part of a collaboration, and, if so, what duration of stay is expected. The destination country should be identified.

Example:

* Name: Mary Smith
* Total Number of Months: 5.5
* Project Role: Graduate Student
* Researcher Identifier: 1234567
* Contribution to Project: Ms. Smith has performed work in the area of combined error-control and constrained coding.
* State, U.S. territory, and/or country of residence: Michigan, U.S.A.
* Collaborated with individual in foreign country: Yes
* Country(ies) of foreign collaborator: China
* Travelled to foreign country: Yes
* If traveled to foreign country(ies), duration of stay: 5 months
  1. **What other organizations have been involved as partners?**

Describe partner organizations – academic institutions, other nonprofits, industrial or commercial firms, state or local governments, schools or school systems, or other organizations (foreign or domestic) – that will be involved with the project. Partner organizations may provide financial or in-kind support, supply facilities or equipment, collaborate in the research, exchange personnel, or otherwise contribute.

Provide the following information for each partnership:

* Organization Name
* Location of Organization: (if foreign location list country)
* Partner’s contribution to the project: (identify one or more)
  + Financial support;
  + In-kind support (e.g., partner makes software, computers, equipment, etc., available to project staff);
  + Facilities (e.g., project staff use the partner’s facilities for project activities);
  + Collaborative research (e.g., partner’s staff work with project staff on the project);
  + Personnel exchanges (e.g., project staff and/or partner’s staff use each other’s facilities, work at each other’s site); and
  + Other.
* More detail on partner and contribution (foreign or domestic).
  1. **Have other collaborators or contacts been involved?**

Some significant collaborators or contacts within the recipient’s organization may not be covered by “What people have worked on the project?” Likewise, some significant collaborators or contacts outside the recipient’s organization may not be covered under “What other organizations have been involved as partners?”

For example, describe any significant:

* Collaborations with others within the recipient’s organization, especially interdepartmental or interdisciplinary collaborations;
* Collaborations or contact with others outside the organization; and
* Collaborations or contacts with others outside the United States or with an international organization.

Identify the state(s), U.S. territory(ies), or country(ies) of collaborations or contacts.

It is likely that many recipients will have no other collaborators or contacts to report.

1. CURRENT AND PENDING SUPPORT

As part of the application, the applicant was required to submit current and pending support disclosures for each proposed principal investigator and senior/key personnel at the applicant and subrecipient level, regardless of funding source. Throughout the life of the award, the Recipient must submit current and pending support disclosure statements and a CV or Biosketch for any new PI and senior/key personnel at the recipient and subrecipient level, added to the project funded under this Award within thirty (30) days of the individual joining the project. In addition, if there are any changes to current and pending support disclosure statements previously submitted to DOE, the Recipient must submit updated current and pending disclosure statements within thirty (30) days of the change. The Recipient must ensure all PIs and senior/key personnel at the recipient and subrecipient level, are aware of the requirement to submit updated current and pending support disclosure statements to DOE.

Have there been any changes that would prompt the submission of a new or updated current and pending support disclosure?

Yes

No

If yes, the instructions to complete the new or updated disclosure are listed below.

Current and pending support is intended to allow the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support. All PIs and senior/key personnel at the recipient and subrecipient level must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual’s research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All foreign government-sponsored talent recruitment programs must be identified in current and pending support.

For every activity, list the following items:

* The sponsor of the activity or the source of funding.
* The award or other identifying number.
* The title of the award or activity. If the title of the award or activity is not descriptive, add a brief description of the research being performed that would identify any overlaps or synergies with the proposed research.
* The total cost or value of the award or activity, including direct and indirect costs and cost share. For pending proposals, provide the total amount of requested funding.
* The award period (start date – end date).
* The person-months of effort per year being dedicated to the award or activity.
* Identify any overlap, duplication of effort, or synergistic efforts, with a description of the other award or activity to the current and pending support.
* Details of any obligations, contractual or otherwise, to any program, entity, or organization sponsored by a foreign government must be provided to DOE.

All PIs and senior/key personnel must provide a separate disclosure statement listing the required information above regarding current and pending support. The individual must sign and date their respective disclosure statement and include the following certification statement:

I, [Full Name and Title], certify to the best of my knowledge and belief that the information contained in this Current and Pending Support Disclosure Statement is true, complete and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE’s funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

The information may be provided in the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vita (SciENcv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at <https://www.nsf.gov/bfa/dias/policy/nsfapprovedformats/cps.pdf>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats. If the NSF format is used, the individual must still include a signature, date, and a certification statement using the language included in the paragraph above.

1. For Institutions of Higher Education, Hospitals, Non-Profit Organizations, and State, Local and Tribal Governments only, in the box below, provide (1) the awardee seven-digit ASAP (Automated Standard Application for Payment System) ID number that is under the DOE / Golden Field Office (GO) Agency Locator Code (ALC) and Region Code (#8900-0001-04) if available; (2) the name, phone number and email for the ASAP / Payments Contact Person; and (3) indicate whether the preferred payment method is by advance or reimbursement.
2. ASAP Number:
3. ASAP/Payments Contact Person:
4. The preferred payment method is:
5. 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 must come from non-Federal sources unless otherwise allowed by law. By accepting Federal funds under this award, you agree that you are liable for your percentage share of total allowable project costs throughout the life of the project (i.e., on an invoice basis), even if the project is terminated early or is not funded to its completion. EERE requires Recipients to contribute the cost share amount incrementally over the life of the award. Specifically, the cumulative cost share percentage provided to date on each invoice received must reflect, at a minimum, the cost sharing percentage specified in your award. If your entity intends to request a waiver of this requirement, please indicate below and attach a waiver request which includes: (1) a detailed justification for the request; (2) a proposed schedule of payments, including amounts and dates; (3) a written commitment to meet that schedule; and (4) such evidence as necessary to demonstrate that the Recipient has complied with its cost share obligations to date. The Contracting Officer must approve all such requests before they may go into effect. The Contracting Officer may require additional information before considering the waiver request.

I verify that the Recipient percentage share of total allowable project costs (cost share) will be provided on an invoice basis.

A waiver request is attached.

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. PERFORMANCE AND FINANCIAL INFORMATION REQUEST

Before providing this information, please read the ADDITIONAL INFORMATION at the end of this form. Each field identified below must be completed.

1. Has the Recipient had prior Federal awards?  Yes  No

If Yes:

Is the Recipient up to date on all reporting requirements on all other current and  Yes  No

prior awards, including submitting acceptable final technical reports, with other

Federal or non-Federal organizations? If you check No to this question, please

attach an explanation.

2a. Has the Recipient had an independent Single Audit or independent Compliance  Yes  No

Audit per Federal regulations, or had a prior DCAA Audit performed?

(Please see attached instructions regarding Independent Audit requirements.)

2b. Has the Recipient undergone a Financial Audit within the last 3 years?  Yes  No

If Yes to either 2a. or 2b.:

1. A copy of the audit is attached to this form.  Yes  No
2. An electronic copy of the audit was provided with application package.  Yes  No

|  |  |
| --- | --- |
| An electronic copy of the audit can be found at |  |

If audit was not provided, please explain why it has not been completed and/or provided:

|  |
| --- |
|  |

|  |  |
| --- | --- |
| 3. Recipient’s fiscal year end date is |  |

4a. Identify the Federal Agency providing the preponderance of funding from ALL Government Awards which the Recipient’s organization is/was the prime recipient, including any DOE Awards.

Provide Agency name, Cognizant Agency point of contact (individual in charge of negotiating billing rates), phone number, and e-mail.

(If the Recipient’s organization has a DCAA contact, please provide this information in 4(c) below):

|  |
| --- |
| Agency: |
| Point of Contact: |
| Phone/Email: |

4b. Please provide the following information for the five (5) highest dollar award values for Federal contracts, grants or awards for which the Recipient is the prime recipient receiving the funding directly from a Governmental agency.

(State and Local Governments need only complete this section if they do not have a cognizant agency. Educational Institutions, and Tribal organizations are not required to complete this section).

The total federal contract/award dollars should include the full project period, not just the incremental funding.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Contract/Award # | Awarding Agency | Awarding Office | Start Date | End Date | Total Federal Dollars on Contract/Award |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
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4c. DCAA Contact Information:

|  |
| --- |
| DCAA Office: |
| Point of Contact: |
| Phone/Email: |

5. Does the Recipient have any non-federal work or contracts?  Yes  No

(State and Local Governments, and Educational Institutions can skip this question).

If Yes, please provide brief explanation:

|  |
| --- |
|  |

#### FINANCIAL MANAGEMENT SYSTEM – ACCOUNTING SYSTEM SURVEY

To qualify for Financial Assistance, 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.

For additional information, please visit <https://www.dcaa.mil>. Please refer specifically to the “[Pre-award Accounting System Adequacy Checklist](https://www.dcaa.mil/Checklists-Tools/Pre-award-Accounting-System-Adequacy-Checklist/)” under CUSTOMERS-->Checklists and Tools.

|  |  |  |  |
| --- | --- | --- | --- |
|  | Yes | No | NA |
| 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: |  |  |  |
| 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 FAR 31, Contract Cost Principles and Procedures, or other provisions. |  |  |  |
| 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. REPRESENTATION/CERTIFICATION

Certification of the information is required by the organization’s authorized representative

I certify that I have registered in the System for Award Management (SAM).

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

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

I certify 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 certify 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 certify the Recipient:

(1) Has in effect an up-to-date, written, and enforced administrative process to identify and manage conflicts of interest with respect to all projects for which financial assistance funding is sought or received from DOE;

(2) Shall promote and enforce Investigator compliance with DOE’s Interim Conflict of Interest (COI) Policy's requirements including those pertaining to disclosure of significant financial interests;

(3) Shall manage financial conflicts of interest and provide initial and ongoing financial conflicts of interest reports to DOE;

(4) Agrees to make information available, promptly upon request, to DOE relating to any Investigator disclosure of financial interests and the Recipient’s review of, and response to, such disclosure, whether or not the disclosure resulted in the Recipient’s determination of a financial conflict of interest; and

(5) Shall fully comply with the requirements of the DOE Interim COI Policy.

1. SIGNATURES

I, the Authorization Official named below, represent by my signature that I am authorized to certify this information on behalf of the Recipient. I certify to the best of my knowledge and belief that the information contained in this Pre-Award Information Sheet is true, complete and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE’s funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

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

I, the Principal Investigator named below, certify to the best of my knowledge and belief that the information contained in this Pre-Award Information Sheet is true, complete and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE’s funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

|  |  |
| --- | --- |
| Name: |  |
| Title: |  |
| Signature of Principal Investigator: |  |
| Date: |  |

ADDITIONAL INFORMATION

This information will assist DOE in determining: 1) cognizance; 2) whether the Recipient has adequate internal financial and management controls; and 3) whether the Recipient has an adequate accounting system. Generally, cognizance means that an organization has a Federal oversight agency (cognizant agency). Cognizance of an organization is used for many purposes including: determining which agency is responsible for verifying correct allocation of indirect rates to incurred costs; issuing the Provisional and Final Indirect Rate Agreements; and ordering audits. Adequate internal controls and accounting systems are essential to ensure that the Recipient’s costs are correctly estimated, recorded, and billed. The Recipient has the responsibility to ensure that these systems are in place. The cognizant Agency has the responsibility for verifying these systems through audits or other methods.

For additional information, please visit <https://www.dcaa.mil>. Please refer specifically to the “[Pre-award Accounting System Adequacy Checklist](https://www.dcaa.mil/Checklists-Tools/Pre-award-Accounting-System-Adequacy-Checklist/)” under CUSTOMERS-->Checklists and Tools.

Cognizance is determined by TOTAL Federal award/contract dollars received by the Recipient/Contractor from all Federal agencies. This information is used to determine which Federal agency has the largest preponderance of funding and is cognizant. Once a Federal agency assumes cognizance for a contractor, it should remain cognizant for at least 5 years to ensure continuity and ease of administration.

Cognizance related duties are the responsibility of the Cognizant Federal Agency (CFA). The CFA is the Federal agency (e.g., Department of Defense, Department of Energy, Navy, etc.) that provided the preponderance (largest amount) of funding for your awards, across all federal agencies. It is very important to confirm that you work with the correct office.

**General Rule of Thumb:** Department of Health & Human Services (DHHS) is usually the CFA for Universities, Cities, States, and Counties. DHHS cognizance is not usually transferred.

If it is determined that the Department of Energy/Golden Field Office (GO) is the Cognizant Federal Office, the Recipient will have the following **ANNUAL** responsibilities:

1. Submit a Certified Annual Incurred Cost Claim (ICE Model – see #3 below) to the GO Cost/Price mailbox ([CostPrice@ee.doe.gov](mailto:CostPrice@ee.doe.gov)). **This should represent the total organization's costs (representing the Company General Ledger), not just the Recipient’s DOE award(s)**.
2. Due Date: 180 days after the Recipient’s fiscal year end.
3. For an example of the ICE Model, please visit <https://www.dcaa.mil>. Under “CUSTOMERS->Checklists and Tools”, click on ICE (Incurred Cost Electronically) Model and download the ICE model.

Once the information is received, GO will have the responsibility of providing your organization with an annual indirect rate agreement. This indirect rate must be used on all Federal grants and contracts.

If it is determined that GO is not the Cognizant Federal Office, the Recipient should contact the Cognizant Office for additional instructions.

**ANNUAL AUDIT REQUIREMENTS**

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| Independent (Single & Compliance) Audit Requirements2 CFR 200, Section F located at:<http://www.ecfr.gov/cgi-bin/text-idx?SID=6e187b05cfeca4f534c659f20983b14e&mc=true&node=pt2.1.200&rgn=div5>For-Profits: 2 CFR 910, Section F located at:<http://www.ecfr.gov/cgi-bin/text-idx?node=pt2.1.910&rgn=div5>Below are excerpts from Section F. |
| **Audit requirements.**  (a) Audit required. 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 (program-specific, *not applicable for For-Profits*) or compliance audit conducted for that year in accordance with the provisions of this part.  (b) *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 §200.514 - Scope of audit except when it elects to have a program-specific audit conducted in accordance with paragraph (c) of this section.  (b) *Compliance* audit. (1) If a for-profit entity has one or more DOE awards with expenditures of $750,000 or more during the for-profit entity's fiscal year, they must have a compliance audit for each of the awards with $750,000 or more in expenditures. A compliance audit should comply with the applicable provisions in §910.514—Scope of Audit. The remaining awards do not require, individually or in the aggregate, a compliance audit.  (c) Program-specific audit election. *(Not applicable to For-Profits).* When an auditee expends Federal awards under only one Federal program (excluding R&D) and the Federal program's statutes, regulations, or the terms and conditions of the Federal award do not require a financial statement audit of the auditee, the auditee may elect to have a program-specific audit conducted in accordance with §200.507 Program-specific audits. A program-specific audit may not be elected for R&D unless all of the Federal awards expended were received from the same Federal agency, or the same Federal agency and the same pass-through entity, and that Federal agency, or pass-through entity in the case of a subrecipient, approves in advance a program-specific audit.  (d) Exemption when Federal awards expended are less than $750,000. A non-Federal entity that expends less than $750,000 during the non-Federal entity's fiscal year in Federal awards is exempt from Federal audit requirements for that year, except as noted in §.503 Relation to other audit requirements, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).  (e) Federally Funded Research and Development Centers (FFRDC). Management of an auditee that owns or operates a FFRDC may elect to treat the FFRDC as a separate entity for purposes of this part.  (f) Subrecipients and Contractors. An auditee may simultaneously be a recipient, a subrecipient, and a contractor. Federal awards expended as a recipient or a subrecipient are subject to audit under this part. The payments received for goods or services provided as a contractor are not Federal awards. Section §.330 Subrecipient and contractor determinations sets forth the considerations in determining whether payments constitute a Federal award or a payment for goods or services provided as a contractor.  (g) Compliance responsibility for contractors. In most cases, the auditee's compliance responsibility for contractors is only to ensure that the procurement, receipt, and payment for goods and services comply with Federal statutes, regulations, and the terms and conditions of Federal awards. Federal award compliance requirements normally do not pass through to contractors. However, the auditee is responsible for ensuring compliance for procurement transactions which are structured such that the contractor is responsible for program compliance or the contractor's records must be reviewed to determine program compliance. Also, when these procurement transactions relate to a major program, the scope of the audit must include determining whether these transactions are in compliance with Federal statutes, regulations, and the terms and conditions of Federal awards.  (h) For-profit *subrecipient*. Since this part does not apply to for-profit subrecipients, the pass-through entity is responsible for establishing requirements, as necessary, to ensure compliance by for-profit subrecipients. The agreement with the for-profit subrecipient must describe applicable compliance requirements and the for-profit subrecipient's compliance responsibility. Methods to ensure compliance for Federal awards made to for-profit subrecipients may include pre-award audits, monitoring during the agreement, and post-award audits. See also §.331 Requirements for pass-through entities. |

1. For this form, “principal” means: (1) An officer, director, owner, partner, PI, or other person (as defined in 2 C.F.R. 180.95) within the Project Team with management or supervisory responsibilities related to this project and any resulting transaction; or (2) A consultant or other person, whether or not employed by the Recipient, Subrecipient, or their principals, or paid with Federal funds, who (a) is in a position to handle Federal funds, (b) is in a position to influence or control the use of those funds, or (c) occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the transaction, including but not limited to, any Co-PIs. [↑](#footnote-ref-2)
2. For this form, “covered offenses” include: (1) Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; (2) Violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; (3) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or (4) Commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects the Recipient’s present responsibility. [↑](#footnote-ref-3)
3. Organizational Conflict of Interest means a situation where because of relationships with a parent company, affiliate, or subsidiary organization, the non-Federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization. 2 CFR 200.318(c)(2). [↑](#footnote-ref-4)