|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **ATTACHMENT 5**  **RECORD OF INITIAL COMPLIANCE REVIEW** | | | | | | | | | | |
| **FOA #: [Insert FOA Number]** | | | | | | | | | | |
| **[Insert Title of Announcement]** | | | | | | | | | | |
|  | | | | | | | | | | |
|  |  |  |  |  |  |  |  |  |  | |
| Applicant: | |  | | | | | Period of Performance: |  | | |
| Application Number: | |  | | | | |  |  |  | |
|  |  |  |  |  |  |  |  |  |  | |
| **Review Elements** | | | | | | | | **YES** | **NO** | **N/A** | |
| **Qualified Organization Eligible for Award** | | | | | | | |  |  |  | |
| **Application Received Prior to Deadline** | | | | | | | |  |  |  | |
| **Mandatory Files Submitted** | | | | | | | |  |  |  | |
| Letter of Intent / Concept Paper | | | | | | | |  |  |  | |
|  | | SF 424 – Application For Federal Assistance | | | | | |  |  |  | |
|  | | Project Description/Technical Approach | | | | | |  |  |  | |
|  | | Budget Summary | | | | | |  |  |  | |
|  | | Bibliography / References Cited | | | | | |  |  |  | |
|  | | SF 424 A – Total Project Budget Information / Budget Justification | | | | | |  |  |  | |
|  | | Statement of Project Objectives | | | | | |  |  |  | |
|  | | Project Management Plan | | | | | |  |  |  | |
|  | | Project Summary / Abstract for Public Release | | | | | |  |  |  | |
|  | | Project Summary Slides | | | | | |  |  |  | |
|  | | Key Personnel / Resumes | | | | | |  |  |  | |
|  | | Project Management Plan | | | | | |  |  |  | |
|  | | SF-424A Subaward Budget Information / Budget Justification | | | | | |  |  |  | |
|  | | SF-LLL Disclosure of Lobbying Activities | | | | | |  |  |  | |
|  | |  | | | | | |  |  |  | |
| **Additional Files** | | | | | | | |  |  |  | |
|  | | Letters of Commitment from Third Parties Contributing to Cost Sharing | | | | | |  |  |  | |
|  | | Other Sources of Funding Disclosure | | | | | |  |  |  | |
|  | | FFRDC Authorization / Field Work Proposal | | | | | |  |  |  | |
|  | | Environmental Impact Questionnaire | | | | | |  |  |  | |
|  | |  | | | | | |  |  |  | |
| **Proposed Project is Responsive to the Objectives of the FOA** | | | | | | | |  |  |  | |
| **NOTES:** | |  |  |  |  |  |  |  |  |  | |
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| **FINANCIAL DATA:** | | | ***XX% cost share required*** | | | | | | | | |
| ESTIMATED COSTS | |  | **DOE Share** | | **Recipient Share** | | **TOTAL** | | **COST SHARE%** | | |
|  | | | **$0** | | **$0** | | **$0** | |  |  | |
|  |  |  |  |  |  |  |  |  |  | |
| Based upon the Contract Specialist's and Project Officer’s preliminary review, it has been determined that (1) the applicant is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements of the FOA have been submitted; and (4) the proposed project is responsive to the objectives of the FOA. Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | | | | | | |
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