

**DEPARTMENT OF ENERGY  
NATIONAL NUCLEAR SECURITY ADMINISTRATION  
OFFICE OF ACQUISITION MANAGEMENT**



**MINORITY SERVING INSTITUTIONS PARTNERSHIP PROGRAM (MSIPP) AND  
TRIBAL EDUCATION PARTNERSHIP PROGRAM (TEPP)**

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**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER:  
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<b>FOA Issue Date:</b>	February 18, 2021
<b>Submission Deadline for Letter of Intent:</b>	N/A
<b>Informational Webinar:</b>	March 8, 2022
<b>Submission Deadline for Concept Papers:</b>	N/A
<b>Submission Deadline for Pre-Applications:</b>	N/A
<b>Submission Deadline for Applications:</b>	April 1, 2022
<b>Expected Date for Selection Notifications:</b>	<b>45 days after closing</b>

## **FUNDING OPPORTUNITY ANNOUNCEMENT OVERVIEW**

### **Informational Webinar**

DOE/NNSA will conduct one informational webinar on **Tuesday March 8, 2022, from 1:00 PM -2:30 PM Eastern Time.**

Attendance is not mandatory and will not positively or negatively impact the overall review of any applicant submissions. As the webinar will be open to all applicants who wish to participate, applicants should refrain from asking questions or communicating information that would reveal confidential and/or proprietary information specific to their project.

Teams Invite Information:

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### **Questions**

Questions regarding the **content of the funding opportunity announcement** must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to view responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. DOE/NNSA will try to respond to a question within 3 business days unless a similar question and answer have already been posted on the website. For instructions on registering for FedConnect, refer to the website: [www.fedconnect.net](http://www.fedconnect.net).

Questions relating to the **Grants.Gov registration process, system requirements, or how an application form works** must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov).

### **Grants.gov Application Submission and Receipt Procedures**

*This section provides the application submission and receipt instructions for U.S. Department of Energy/National Nuclear Security Administration (DOE/NNSA) program applications. Please read the following instructions carefully and completely.*

#### **1. Electronic Delivery**

The DOE/NNSA is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. DOE/NNSA encourages applicants to submit their applications online through Grants.gov.

## 2. How to Register to Apply through Grants.gov

- a. *Instructions:* Read the instructions below about registering to apply for DOE/NNSA funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

Organizations must have a Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this funding opportunity, then you may begin with step 3, Create a Grants.gov Account, listed below.

Creating a Grants.gov account can be completed online in minutes, but DUNS and SAM registrations may take several weeks. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the entity's ability to meet required application submission deadlines.

Complete organization instructions can be found on Grants.gov

here: <https://www.grants.gov/web/grants/applicants/organization-registration.html>

- 1) *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a DUNS Number from Dun & Bradstreet (D&B). Applicants must enter the DUNS Number in the data entry field labeled "Organizational DUNS" on the SF-424 form. For more detailed instructions for obtaining a DUNS Number, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>
- 2) *Register with SAM:* All organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. For more detailed instructions for registering with SAM, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>
- 3) *Create a Grants.gov Account:* The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.grants.gov/web/grants/applicants/registration.html>
- 4) *Add a Profile to a Grants.gov Account:* A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/registration/add-profile.html>
- 5) *EBiz POC Authorized Profile Roles:* After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access are sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and

authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to:

<https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

6) *Track Role Status*: To track your role request, refer to:

<https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>

- b. *Electronic Signature*: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; **this step is often missed, and it is crucial for valid and timely submissions.**

### 3. How to Apply to DOE/NNSA via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

- a. *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- b. *Complete a Workspace*: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
- c. *Adobe Reader*: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader. NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>
- d. *Mandatory Fields in Forms*: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
- e. *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.
- f. *Submit a Workspace*: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

- g. *Track a Workspace Submission:* After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to: <https://www.grants.gov/web/grants/applicants/applicant-training.html>

*Applicant Support:* Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at [support@grants.gov](mailto:support@grants.gov). For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the DOE/NNSA with tracking your issue and understanding background information on the issue.

#### **4. Timely Receipt Requirements and Proof of Timely Submission**

- a. *Online Submission.* All applications must be received by 11:59 PM Eastern time on the due date established for each program. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When DOE/NNSA successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by DOE/NNSA.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role attempting to submit the application. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

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## **Section I - FUNDING OPPORTUNITY DESCRIPTION**

### **A. Background/Description**

The Department of Energy's (DOE) National Nuclear Security Administration (NNSA) has a vital national security mission to protect the American people by maintaining a safe, secure, and effective nuclear weapons stockpile. This mission could not be accomplished without a focus on Science, Technology, Engineering and Mathematics (STEM) strategies to build capacity, drive innovation, and ensure we have a world class workforce to meet the security demands of the present and future. As quoted from the White House's report, *Charting A Course For Success: America's Strategy for STEM Education*,<sup>1</sup> "The pace of innovation is accelerating globally, and with it the competition for scientific and technical talent. Now more than ever the innovation capacity of the United States—and its prosperity and security—depends on an effective and inclusive STEM education ecosystem."

NNSA works with educational institutions and industry partners from across the Nuclear Security Enterprise (NSE) to achieve this mission priority through three major pathways: collaborative research; capacity building/pipeline development; and recruitment, retention, and development of a world class workforce.

The Minority Serving Institutions Partnership Program (MSIPP) and the MSIPP Tribal Education Partnership Program (TEPP) are vital programs within the DOE/NNSA Management and Budget, Learning and Career Management that award grants to Minority Serving Institutions (MSI) and Tribal College and Universities (TCUs) to prepare NNSA's next-generation technical workforce. MSIPP aligns investments in university capacity and workforce development with DOE/NNSA mission areas to develop the needed skills and talent for DOE/NNSA's enduring technical workforce and to enhance research and education at MSIs. The program's primary mission is to create and foster a sustainable STEM-pipeline that prepares a diverse workforce of world class talent through strategic partnerships between Minority Serving Institutions, TCUs and the DOE/NNSA Enterprise. To execute this mission, MSIPP builds a network of NSE ready students through enrichment activities from K-20 to post-doctoral level. Through university-lab consortia partnerships students are exposed to cutting-edge research and activities in their relevant fields.

The following MSIPP crucial success factors drive this FOA:

1. Strengthen and expand MSI and TCU STEM capacity and research experience in NNSA/DOE mission areas of interest.
2. Target collaborations between MSIs and TCUs and NNSA/DOE Laboratories and Plants that increase scientist-to-scientist interactions, visible participation of MSI and TCU faculty in NNSA/DOE technical engagements and activities and provide MSIs direct access to NNSA/DOE facilities relative to STEM.
3. Grow the number of minority students who graduate with STEM degrees.
4. Grow the number of minority graduates and post-doctoral students hired in to DOE/NNSA's STEM workforce.

### **B. Objectives/Topic Areas/Technical Areas of Interest**

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<sup>1</sup> <https://www.whitehouse.gov/wp-content/uploads/2018/12/STEM-Education-Strategic-Plan-2018.pdf>

The purpose of this Funding Opportunity Announcement (FOA) is to announce the NNSA MSIPP's interest in receiving applications for new or renewal grant financial assistance awards from MSIs and TCUs in the areas of Advanced Manufacturing, Cybersecurity, Engineering, or Nuclear Security for consortium partnerships. The scope of this funding opportunity is to enhance the participation of Historically Black Colleges and Universities (HBCUs), Tribal Colleges and Universities (TCUs) and Hispanic Serving Institutions (HSIs) in STEM disciplines in order to increase diversity in these disciplines in the public and private sectors throughout the country, including the NSE. while enhancing the sustainability of the HBCUs, HSIs and TCUs in STEM disciplines.

MSIPP aims to create and increase the technical STEM capacity at MSIs and TCUs by providing opportunities to do research and partner with DOE/NNSA complex. The partnerships will allow faculty and students to develop their skills and knowledge, merging academic study with practical work experience. In turn, students majoring in relevant STEM fields and related disciplines create a pool of talented students prepared to enter the NSE workforce.

The key objectives of the MSIPP and MSIPP/TEPP FOA are to:

- Strengthen the research and education capabilities of MSIs in the NSE related topic areas.
- Encourage underrepresented minority students to excel in science, technology, engineering, and math by providing them with practical experience and training through applicable research projects capacity building and experiential learning.
- Enlarge the scientific and technical knowledge and resource base in the topic areas mentioned below.

The DOE/NNSA will consider applications for university-led projects which can address one or more of the STEM topic areas outlined below. Multiple applications may be submitted by a university however applications should be mutually exclusive and there should be no duplication of effort for resources requested:

#### Topic Area # 1: Advanced Manufacturing

Proposals are solicited in Advanced Manufacturing. Advanced Manufacturing has come to the forefront as one of the most promising approaches to both improve the agility and efficiency (energy, time, and materials) of the manufacturing process and significantly reduce the prototypical stage of product development. The following are some specific sub-topical areas of interest, but other sub-topics in Advanced Manufacturing are encouraged to be proposed if they align with the Advanced Manufacturing topic area:

- Metrology
- Powder production
- Surface finishes
- Composites
- Ceramics
- Polymers
- Physical property testing
- Modeling and simulation

- Additive manufacturing & coating
- Enhancing design
- Characterization
- 3D Printing for nuclear application
- Diagnostics
- Material science
- Materials at extreme conditions

### Topic Area # 2: Cybersecurity

Proposals are solicited in Cybersecurity. Cybersecurity is the protection of physical and virtual infrastructure from theft or damage to their hardware, software, or electronic data, as well as from disruption or misdirection of the services they provide. The following are some specific sub-topical areas of interest, but other sub-topics in Cybersecurity are encouraged to be proposed if they align with the Cybersecurity topic area:

- Counter-intrusion software development
- Data science and cyber and network analytics
- Machine learning
- Information technology
- System administration
- Host based forensics/application forensics/network forensics/ cloud-based forensics
- Software and hardware reverse engineering
- Vulnerability assessment
- Embedded programming
- Protecting digital evidence
- Quantum computing

### Topic Area # 3: Engineering

Proposals are solicited in Engineering. Engineers are a vital component of the Nuclear Security Enterprise. It is essential that MSIs have established and accredited engineering programs to ensure their students are competitive. Engineers are an integral partner for all components of the nuclear security mission from needs assessment to design and delivery. The full NNSA complex is comprised of engineers supporting various aspects of the mission. The following are some specific sub-topical areas of interest, but other sub-topics in Engineering are encouraged to be proposed if they align with the Engineering topic area:

- Computer engineering
- Chemical engineering
- Electrical engineering
- Mechanical engineering
- Material science
- Microelectronics
- Microsystems
- Nanotechnology engineering
- Nuclear engineering
- Photonics

#### Topic Area # 4: Nuclear Security

Proposals are solicited in Nuclear Security. Nuclear Security is the prevention and detection of, and response to, theft, sabotage, unauthorized access, illegal transfer, or other malicious acts involving nuclear material, other radioactive substances, or their associated facilities. The following are some specific sub-topical areas of interest, but other sub-topics in Nuclear Security are encouraged to be proposed if they align with the Nuclear Security topic area:

- Radiation
- Nuclear science
- Nuclear security
- Nuclear technology
- Fissionable fuels
- Nuclear power
- Nuclear forensics
- Nuclear physics
- Radiation detection systems

All proposed work to be funded through this announcement is to be UNCLASSIFIED. No proposals for CLASSIFIED work will be accepted.

#### C. Description of a Consortium-Based Model Focused on Research Relative to STEM Education

A Consortium includes at a minimum, two or more four-year Minority Serving Institutions and a DOE/NNSA National Laboratory, Plant, or Site. **The maximum number of university partners per topic area** must not exceed 4 institutions (one Lead college/university partner and up to a maximum of three sub-awardees) and the maximum number of industry partners should not exceed 2-3 DOE/NNSA National Laboratories/Sites.

**NNSA MSIPP and MSIPP/TEPP Consortium Expectations.** DOE/NNSA expects that each consortium:

- Is made up of a team of academic partners that perform innovative, creative, and challenging research in the Consortium's topical area in a collaborative manner that is more efficient and effective than by the members of the team acting separately.
- Has a sustained and successful leadership and management team comprised of lead senior researchers from the academic partners.
- Has an advisory committee that includes representation from the NNSA National Labs, Plants, or Sites that provides advice on the strategic direction to the Consortium management team on related research activities and associated gaps within their industries.
- Attracts high caliber undergraduate, graduate, doctoral and postdoctoral students, and trains them in areas critical to NNSA's mission.
- Provides faculty and students with exposure to researchers and the environment of the NNSA National Laboratories/Plants/Sites.
- Mentors young researchers and prepares them for leadership and management roles.
- If selected for award, submits MSIPP Evaluation Metrics as described in the MSIPP

Evaluation and monitoring plan. (See Attachment D)

**Forms an Effective Collaborative Team.** A successful collaborative team consists of a multi-investigator team, preferably from multiple academic institutions, that addresses an over-arching theme or themes of interest within a topical research area as defined in Section I.B.

The Principal Investigator, or PI, serves as the Director of the Collaborative Team, and leads the effort collaboratively with the other senior researchers. The PI's institution is the assignee for the grant. Members of the multi-investigator team are "Partners." The "collaborative team" is defined as the Partners plus the PI. A Collaborative Team executes the objectives in a manner that is more efficient and effective than by the members of the team acting separately. NOTE: DOE/NNSA Site Facility Management Contractors (DOE/NNSA industry researchers) will not receive funding through this FOA.

The Collaborative Team of investigators, students, and young researchers are encouraged to engage and collaborate with DOE/NNSA Site Facility Management Contractor researchers in their scientific research. However, the DOE/NNSA Site Facility Management Contractors are not part of the Consortium's multi-institutional "partner" team and DOE/NNSA Site Facility Management Contractors are not eligible to receive direct funding associated with this FOA (see Section III C). If applicable, National Laboratory researchers are funded through existing DOE/NNSA Site Facility Management Contracts.

**Recruitment and development of students, young researchers, and staff scientists.** A successful Consortium attracts the brightest and most talented students and young researchers, attracting them to the exciting opportunities for research in fields relevant to DOE/NNSA mission critical areas. The Consortium students take advantage of opportunities to spend time at the DOE/NNSA National Laboratories/Plants/Sites, participate in on-site practicums, engage with scientists, and participate in real life work projects that will develop and prepare them for the STEM workforce. A successful Consortium will send faculty and students to meaningfully engage in a research experience at DOE/NNSA National Laboratories/Plants/Sites for a significant period (preferably at least 8 weeks) each year; either through internships or some other arrangement. Any non-employment related internships or visits to any NNSA Site will be assumed under the grant and annotated under the grant as "Participant Costs". **If the DOE/NNSA National Laboratory/Plant/Site intends to pay for the students' stipend it should not be included in participant costs. The student may be a different individual from year to year. Alternative approaches may be proposed but they must provide students of the Consortium with equivalent or more meaningful research experiences and must be approved by the Federal Program Manager.** The alternative approach will be evaluated as part of the Consortium Reviews, and approval may be rescinded if the alternative approach is not meeting expectations.

The Consortium takes the initiative to reach out to other academic institutions that haven't had a strong connection to STEM, to educate and engage students and faculty in the opportunities and activities of the Consortium.

The Consortium graduates are encouraged to seek post-graduate or staff positions at NNSA Laboratories/Plants/Sites. It is NNSA's desire that graduates of the Consortium pursue

careers either at U.S. academic institutions, or at the DOE/NNSA National Laboratories/Plants/Sites, contributing to STEM fields that are relevant to MSIPP. Young researchers and staff scientists involved in the Consortium have opportunities to conduct exciting research, participate in collaborative efforts, and to assume leadership roles. The Director and senior researchers will actively mentor younger staff, helping to develop future leaders.

**Commitment of Director and Collaborators to the Consortium.** The success of a Consortium depends on the engagement of the Director and the senior researchers. It is the responsibility of the primary institution to notify, in writing and in a timely fashion, the DOE/NNSA Grants Officer and the MSIPP/TEPP Program Manager of any significant change in the time commitment of the Consortium's Director and senior research team to the work of the Consortium; such changes include reductions in effort, leaves of absence, joint appointments, retirements, sabbaticals, or intents to move to another institution. Failure to do so could result in reductions in funding, scope, or project period.

Prospective key personnel must indicate all sources of current or pending funding in the application. Once funds are awarded, key personnel are required to notify the MSIPP/TEPP Program Manager of any changes in such additional funding, including foreign sources of funding. The MSIPP/TEPP Program Manager must be notified, in a timely fashion and in writing, of any change in the Consortium's key researcher's efforts for a period of over 3 months.

The DOE/NNSA Grants Officer and MSIPP/TEPP Program Manager must be notified by the Contracting Officer of the lead institution of the desire to transfer the award to another lead institution and provide an explanation. Failure to do so can result in loss of the award. If the DOE/NNSA Grants Officer and MSIPP/TEPP Program Manager do not support the transfer, the award will be terminated. If the DOE/NNSA Grants Officer and MSIPP/TEPP Program Manager agree with the transfer to another lead institution, the project period, scope, reporting requirements, and budget of the Grant may be impacted.

**Fulfills all obligations and reporting requirements.** The Consortium is required to fulfill all obligations and reporting requirements under the grant. A post-award orientation meeting will be held with each Consortium to communicate roles and responsibilities under the agreement. The DOE/NNSA Grants Officer and the MSIPP/TEPP Program Manager will review the terms, conditions, and reporting requirements with the Principal Investigator and Contracting Officer, or their representative(s), of the grantee institution.

#### **D. Consortium Reviews and Site Visits**

The MSIPP/TEPP Program Manager will review the performance of the Consortium through the annual evaluation, the annual continuation process, site visits, site reviews, reports, publications by Consortium personnel, and other means. If a Consortium is not performing satisfactorily, the MSIPP/TEPP Program Manager and the DOE/NNSA Grants Officer will notify the institution of the performance issues/concerns, recommended action(s), and the timeline to demonstrate satisfactory performance. If performance does not improve to satisfaction and/or problems are not corrected, reduction in funding to the Consortium or termination of the grant may result.

The Consortium will be reviewed on several factors, which may include, but are not limited to:

- Progress towards addressing objectives presented in the technical proposal.
- Progress towards and accomplishment of milestones.
- Significance of the technical contributions, demonstrated through publications, presentations, citations, recognition, and awards.
- Efficient and effective use of resources (i.e., funding, technical, programmatic).
- Successful development of a collaborative consortia-based team.
- Engagement with NNSA Laboratories, Plants and Sites
- The Consortium's recruitment strategy and how well it has produced high quality graduates.
- Exposure of undergraduate, graduate, doctoral students and post-doctoral research associates to the research and staff at the NNSA Laboratories, Plants and Sites.
- Level of involvement of the undergraduate, graduate, and doctoral students, post-doctoral researchers.
- Compliance with eligibility and reporting requirements: proper submittal of publications, status reports, financial reporting, and special reporting requirements such as evaluation metrics.
- Quality and quantity of educational experiences available to students, specific to the disciplines investigated by the Consortium.
- Are there any issues regarding the availability and involvement of the Principal Investigator and the senior staff with the work of the Consortium?
- Succession planning for the Principal Investigator and/or opportunities for younger staff to develop into potential future leaders.
- The Consortium's ability to expend and cost grant funding in a timely and efficient manner.

#### **E. Participation in Consortium Activities and Compliance**

Any individual person, whether a prime recipient or subrecipient, receiving funding support under this grant must be a U.S. Person (A "U.S. Person" is defined as an individual that is a citizen of the United States or an alien lawfully admitted for permanent residence.).

All applicants are responsible for ensuring compliance with all applicable U.S. Export Control laws and regulations and all other applicable security requirements relating to any work performed under a resulting award.

## **Section II - AWARD INFORMATION**

### **A. Type of Award Instrument**

DOE/NNSA anticipates awarding grants under this funding opportunity announcement. The scope and topical research areas of interest to the Minority Serving Institution Partnership Program are defined in Section I – Funding Opportunity Description, sub-section C.

### **B. Estimated Funding**

An estimated **\$25,000,000** is expected to be available for new awards under this announcement. Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

### **C. Maximum and Minimum Award Size**

Consortium based awards with up to four institutions

- Ceiling (i.e., the maximum amount for an individual award made under this announcement): \$1,000,000 per year.
- Floor (i.e., the minimum amount for an individual award made under this announcement): \$500,000 per year.
- Any major equipment purchases should be budgeted in budget years one and two.

### **D. Expected Number of Awards**

The number of awards will depend on the availability of appropriated funds, the number of meritorious applications, the distribution of funds in each topic area determined by the DOE/NNSA selection official, the merit review results, and other policy factors and considerations. DOE/NNSA reserves the right to fund, in whole or in part, any, all, or none of the applications, not award in all Topical Areas, or make fewer awards than would be possible at the grand-total level at its sole discretion.

DOE/NNSA expects to make awards in fiscal years 2022 and 2023 from this funding opportunity announcement.

### **E. Anticipated Award Size**

DOE/NNSA anticipates that awards will be in the following ranges:

- \$2,500,000 to \$5,000,000 for a five-year project period

### **F. Period of Performance**

DOE/NNSA anticipates making awards with a project period of five years.

### **G. Type of Application**

DOE/NNSA will accept new and renewal applications under this announcement. Renewal applications are requests for additional funding for a period after that provided by a current award. Renewal applications compete with all other applications and must be submitted by any established due date/deadline or at least six months before additional funding is required if there is no specified due date/deadline. In preparing a renewal application, applicants should assume that reviewers will not have access to previous applications. The application should be developed as fully as though the applicant were applying for the first time. The application must include all the information required for a new project, plus the project narrative section should discuss the results from prior work.

### **H. Limitations on MSIPP/TEPP FOA Applications by Same Organization**

Multiple applications may be submitted by a university however applications should be mutually exclusive and there should be no duplication of effort or resources requested. There is no limit on the number of proposals the same institution can submit to this FOA. Multiple proposals may also be submitted to each topic area as specified in Section I – Funding Opportunity Description, sub-section B of this FOA. When submitting multiple proposals ensure that the same PI or supporting staff time does not exceed 100% of their time on all combined proposals and ensure that all proposals are submitted in complete form with all required attachments as specified in the FOA. Multiple awards may be made to the same institution.

### **Section III - ELIGIBILITY INFORMATION**

#### **A. General**

To be considered for evaluation, an applicant's submission must meet the criteria set forth below. **If the application does not meet these initial requirements, it will be considered non-responsive, removed from further evaluation, and ineligible for any award. Applicants should submit packages in advance of the deadline to ensure there is time to address and make corrections if needed. No exceptions will be made to the deadline.**

#### **B. Eligible Applicants**

##### **Restricted Eligibility (December 2014)**

In accordance with 2 CFR 910.126(b), eligibility for award is restricted to Minority Serving Institutions (MSIs) as educational entities recognized by the Office of Civil Rights (OCR), U.S. Department of Education, and identified on the OCR's Department of Education U.S. accredited postsecondary minorities institution list <https://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>. For the purpose of this announcement "a minority serving U.S. university/academic institution of higher learning" is defined as an educational institution in any State, Federal District, or U.S. territory that:

- (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate;
- (2) is legally authorized within such State to provide a program of education beyond secondary education;
- (3) provides an educational program for which the institution awards a bachelor's degree or provides not less than a 2-year program that is acceptable for full credit toward such a degree; and
- (4) is accredited by a nationally or regionally recognized accrediting agency or association, or if not so accredited, is an institution that has been granted reaccreditation status by such an agency or association that has been recognized by the U.S. Secretary of Education for the granting of reaccreditation status, and the U.S. Secretary of Education has determined that there is satisfactory assurance that the institution will meet the accreditation standards of such an agency or association within a reasonable time.

Application submitted by TCUs will be evaluated separately through the TEPP program.

For prospective applicants who are submitting financial assistance applications to this FOA, the individual(s) selected as the PI and Co-PI(s) for the grant must be a U.S. Person(s) and be:

- (1) an active member of the teaching/research faculty of a U.S. university or academic institution of higher learning

A "U.S. Person" is defined as an individual that is a citizen of the United States or an alien lawfully admitted for permanent residence.

Adjunct professors, visiting professors, and post-doctoral fellows are ineligible to be PIs. Investigators from foreign universities or academic institutions or foreign-based not-for-profit, non-degree-granting organizations, irrespective of citizenship, are ineligible to be PIs. Such individuals may receive funding under a subaward if the Principal Investigator requests and receives written permission for such funding from the MSIPP Program Manager. There may be security restrictions on participation by foreign nationals at certain facilities and conferences, in accordance with applicable U.S. Department of Energy Security Policy, Directives, Regulations, or Requirements.

Nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995 are eligible to apply only as a sub-applicant (team member) and will need to follow the application and submittal requirements for subawardees as discussed in Section IV – Application and Submission Information.

### C. Cost Sharing

Cost sharing is not required.

### D. Other Eligibility Requirements

#### **DOE/NNSA Site Facility Management Contractors**

DOE/NNSA Site Facility Management Contractors are not eligible for an award under this announcement. However, DOE/NNSA Site Facility Management Contractors may participate as collaborators to:

- (1) promote and sustain scientific interactions between the academic community and scientists at the DOE/NNSA Site Facility Management Contractors through exchange of information and/or personnel,
- (2) increase the availability of unique experimental facilities sited at the DOE/NNSA Site Facility Management Contractors to the academic community, particularly for collaborations in areas of relevance to stockpile stewardship, and
- (3) develop and maintain a long-term recruiting pipeline to the DOE/NNSA Site Facility Management Contractors by increasing the visibility of the DOE/NNSA scientific activities to the U.S. faculty and student communities.

DOE/NNSA Site Facility Management Contractors are not eligible to receive any direct funding associated with this FOA, except for reimbursement for use of facilities that require “user fees” in accordance with the institution’s written policies or procedures.

**Any funding required for the DOE/NNSA Site Facility Management Contractors’ portion of the collaboration besides user fees must not be included in the institution’s budget.** Funding for any work being done by a DOE/NNSA Site Facility Management Contractors, will be funded directly by the program office. This funding will be transmitted to the lab via an internal Work Authorization (WA)/Implementation Plan (IP) process. This amount will not be factored into the determination of the award amount. A budget estimate should be attached separately at the time of submission. If the applicant is selected for award, their industry partners will be required to submit a statement of work and detailed

budget to support their requests. The portion of the effort to be performed by all non-college and university collaborators in aggregate shall not exceed 50% of the total effort. Supplementals may be approved on a case-by-case basis with a strong justification.

**To affect this collaboration, a letter from a DOE/NNSA Site Facility Management Contractor employee who will be collaborating with the applicant must be submitted with the application.** This letter must outline their understanding and role in the collaboration effort and indicate that no funds will be provided to the DOE/NNSA Site Facility Management Contractors from the awarded grant except for reimbursement for use of facilities that require "user fees" as stated above.

In addition to the collaboration letters, if an applicant is selected for award, the DOE/NNSA Site Facility Management Contractors participating as collaborating partners must receive prior authorization from the cognizant Contracting Officer for DOE/NNSA Site Facility Management Contractors, subject to the following guidelines:

**Authorization for DOE/NNSA Site Facility Management Contractors.** If selected for award, the cognizant contracting officer for the DOE/NNSA Site Facility Management Contractors must authorize in writing the use of a DOE/NNSA Site Facility Management Contractor(s) on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization.

"Authorization is granted for the [Name] Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complimentary to the missions of the laboratory, will not adversely impact execution of the DOE/NNSA assigned programs at the laboratory, and will not place the laboratory in direct competition with the domestic private sector."

If selected for award, the recipient is responsible for making contact with the appropriate DOE/NNSA Site Facility Management collaborating partner(s) who should in turn obtain prior written authorization from the DOE/NNSA Site Facility Management Contracting Officer.

**Applicant Responsibility.** The applicant, if successful, will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to, disputes and claims arising out of any agreement between the applicant and the DOE/NNSA Site Facility Management Contractors.

The DOE/NNSA Site Facility Management Contracts list is available at:

<https://www.energy.gov/sites/default/files/2021-07/DOE%20NNSA%20Site%20Facility%20Management%20Contracts%20-%20July%202021.pdf>

## **Section IV - APPLICATION AND SUBMISSION INFORMATION**

### **A. Application Process**

DOE/NNSA performs an initial eligibility review of applicant submissions to determine whether they meet the eligibility requirements of Section III of the FOA. DOE/NNSA will not review or consider submissions that do not meet the eligibility requirements of Section III.

All submissions must conform to the following form and content requirements, including maximum page lengths (described below) and must be submitted as specifically stated. DOE/NNSA will not review or consider submissions submitted through means other than specifically stated in the FOA, submissions submitted after the applicable deadline, and incomplete submissions. DOE will not extend deadlines for applicants who fail to submit required information and documents due to server/connection congestion.

### **B. Address to Request Application Package**

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "**APPLICANTS**", then select "**Apply for Grants**," and then select "**Get Application Package**" button. Enter the funding opportunity number (**DE-FOA-0002494**). Under the PACKAGE tab, select "**Apply**" under the Actions column, and under **Option: 1 Apply Now Using Workspace**, select the **Login to Apply Now** button. Follow the prompts in Workspace to complete the application package. You are encouraged to review the Applicant FAQs in Grants.gov as you prepare and submit your application.

### **C. Letter of Intent and Pre-Application**

#### **1. Letter of Intent**

Letter of Intent not required.

#### **2. Pre-application**

Pre-applications are not required.

### **D. Content and Application Forms**

All applicants **including sub-applicants** must complete the mandatory forms and any applicable optional forms in accordance with the instructions on the forms and the additional instructions below. Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement. Attached PDF files must be plain files consisting of text, numbers, and images without editable fields, signatures, passwords, redactions, or other advanced features available in some PDF-compatible software. Do not use PDF portfolios or binders.

Please note you may only use the following UTF-8 characters when naming your application attachments: A-Z, a-z, 0-9, underscore (\_), hyphen (-), space, period. You must limit the file name to 50 or fewer characters. Attachments that do not follow this rule may cause the entire application to be rejected or cause issues during processing.

To avoid interfering with the selection of peer reviewers, please do NOT include general letters of support for the proposal or list collaborators that do not have an active part in the project. General letters of support will not be used in making funding decisions.

Optional letters of collaboration for unfunded or funded collaborations may be placed in Appendix 6 (Other Attachments). Letters of collaboration should state the intention to participate, but they should not be written as recommendation or endorsement letters, which are not allowed.

**1. Application for Federal Assistance SF-424 (R&R) [MANDATORY for Prime Applicant and Sub-Applicants]**

For the Prime applicant, in **Grants.gov Workspace**, *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

**NOTE:** If sub-applicants will participate in this award, this form is mandatory and must be submitted for all sub-applicants. See **Section IV – Application and Submission Information, sub-section D. 7. Sub-Applicant Submittal Instructions below for instructions**. Also, see **Section IV – Application and Submission Information, sub-section E. Summary of Required Forms and Files, Table 1 - Prime Applicant Mandatory Forms and Table 2 - Sub-Applicant Mandatory Forms** for additional instructions.

**IMPORTANT UPDATE FOR PRIME AND SUB-APPLICANTS** The certifications and assurances referenced in Field 17 of the Application for Federal Assistance are now contained in the System for Award Management (SAM) as Financial Assistance General Certifications and Representations.

**2. Research and Related Other Project Information [MANDATORY for Prime Applicant]**

For the Prime applicant, the **Research and Related (R&R) Other Project Information** form is part of the Application Package that must be completed in **Grants.gov Workspace**. The special instructions for completing this form follow:

- Fields 1 to 6.b: Applicant must complete the entries to these fields.
- Field 7: Applicant must attach completed file for Project Summary/Abstract.
- Field 8: Applicant must attach completed file for Project Narrative plus required appendices.
- Field 12: Applicant must attach completed file for Project Management Plan.
- Field 12: Applicant must attach completed National Environmental Policy Act (NEPA) compliance form in addition to the other forms as referenced below.

**3. Project Summary/Abstract (Field 7 of the R&R Other Project Information form) [MANDATORY for Prime Applicant]**

For the Prime applicant, the project summary/abstract must be submitted and must contain a summary

of the proposed activity suitable for dissemination to the public. It must be a self-contained document that identifies:

- (1) the name of the applicant,
- (2) the project director/principal investigator(s),
- (3) the project title,
- (4) the statement of project objectives
- (5) the relevance, intended outcomes/impacts
- (6) the milestones of the project listed by year, and
- (7) a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects).

**This document must not include any proprietary or sensitive business information as the DOE/NNSA may make it available to the public after awards are made.** The project summary must not exceed 5 pages when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) {single spaced} with font not smaller than 11 point.

The **Project Summary/Abstract file** must be saved in PDF format and uploaded to the **Grants.gov R&R Other Project Information** form, which is part of the Application Package in **Grants.gov Workspace**. To attach the completed Project Summary/Abstract in PDF format, click the "Add Attachment" button next to Field 7 of the **R&R Other Project Information** form in **Grants.gov Workspace**.

**4. Project Narrative and Appendices (Field 8 of the R&R Other Project Information form) [MANDATORY for Prime Applicant]**

**Project Narrative**

The project narrative must not exceed 30 pages, including cover page, table of contents, charts, graphs, maps, photographs, tables, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) {single spaced} with font not smaller than 11 point.

EVALUATORS WILL ONLY REVIEW THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. Do not include any Internet addresses (URLs) that provide information necessary to review the application, because the information contained in these sites will not be reviewed. See Section VIII – Other Information – Part D for instructions on how to mark proprietary application information.

**Instructions:** The **Project Narrative Cover Page, Project Narrative, and Appendices must be saved as one single document** in PDF format and uploaded to the **Grants.gov R&R Other Project Information** form, which is part of the Application Package in **Grants.gov Workspace**. To attach the completed Project Narrative in PDF format, click "Add Attachment" button next to field 8 of the **R&R Other Project Information** form in **Grants.gov Workspace**.

**a. The Project Narrative Cover Page (NTE 1-page)**

Comprised of the following **required** components:

- FOA Number.
- Topic Area.
- Application Title.
- Type of organization (i.e. U.S. university/academic institution of higher learning or not-for-profit, non-degree-granting domestic U.S. organization).
- Type of proposed award: New Award or Renewal of Existing Award (specify award number for existing award).
- Name of **Lead Institution**.
- Name, email address, and telephone number of organization's business point of contact or Grants office point of contact.
- Name, mailing address, telephone number, fax number, and electronic mail address of **Lead Project Director**.
- Name(s), mailing addresses, telephone numbers, fax numbers, and electronic mail addresses of Team Members (institutional collaborators).
- Previous DOE/NNSA Grant numbers. If applicable, provide DOE grant number for projects currently funded under the MSIPP Grant Program.
- Name(s), telephone numbers, fax numbers, and electronic mail addresses of any DOE/NNSA National Laboratory/Plant/Site personnel collaborating on the project.

**b. Projective Narrative - (NTE 29 total pages)**

The Project Narrative portion is to provide a detailed description of the following:

- I. **Project Objectives:** This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.
- II. **Merit Review Criterion Discussion:** The section should be formatted to address each of the merit review criterion and sub-criterion listed in Part V.A. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. NNSA WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION AND SUB-CRITERION.
- III. **Relevance and Outcomes/Impacts:** This section should explain the relevance of the effort to the MSIPP/TEPP Program Objectives in the program announcement and the expected outcomes and/or impacts.
- IV. **Roles of Participants:** For multi-organizational or multi-investigator projects, describe the roles and the work to be performed by each participant/investigator, business agreements between the applicant and participants, and how the various efforts will be integrated and managed.
- V. **Facilities And Other Resources:** Identify the facilities (e.g., office, laboratory, computer, etc.) to be used at each performance site listed and, if appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Provide any information describing the other resources available to the project such as machine and electronics shops.
- VI. **Equipment:** List important items of equipment already available for this project and, if appropriate, note the location and pertinent capabilities of each. If you are proposing to acquire equipment, describe comparable equipment, if any, already at your organization and explain why it cannot be used.

- VII. **Statement of Project Objectives (SOPO):** The project narrative must contain a single, detailed Statement of Project Objectives that addresses how the project objectives will be met. The Statement of Project Objectives must contain a clear, concise description of all activities to be completed during project performance and follow the structure discussed below. The Statement of Project Objectives may be released to the public by DOE in whole or in part after award. It is therefore required that it shall not contain proprietary or confidential business information.

The Statement of Project Objectives is generally less than 4 pages in total for the proposed work. Applicants shall prepare the Statement of Project Objectives in the following format:

TITLE OF WORK TO BE PERFORMED (Insert the title of work to be performed. Be concise and descriptive.)

A. OBJECTIVES

Include one paragraph on the overall objective(s) of the work. Also, include objective(s) for each phase of the work.

B. SCOPE OF WORK

This section should not exceed one-half page and should summarize the effort and approach to achieve the objective(s) of the work for each Phase.

C. TASKS TO BE PERFORMED

Tasks, concisely written, should be provided in a logical sequence, and should be divided into the phases of the project, as appropriate. This section provides a summary of the planned approach to this project. An outline of the Project Management Plan (referenced in Task 1.0 below and required to be submitted with your application) is provided later in this Section.

PHASE I

Task 1.0 - Project Management and Planning

(Description includes work elements required to revise and maintain the Project Management Plan and to manage and report on activities in accordance with the plan)

Subtask 1.1

(Description)

Task 2.0 - (Title)

PHASE II (Optional)

Task 3.0 - (Title)

D. DELIVERABLES

The periodic, topical, and final reports shall be submitted in accordance with the attached "Federal Assistance Reporting Checklist" and the instructions accompanying the checklist.

[Note: The Recipient shall provide a list of deliverables other than those identified on the "Federal Assistance Reporting Checklist" that will be delivered. These reports shall also be identified within the text of the Statement of Project Objectives. See the

following examples:

1. Task 1.1 - (Report Description)
2. Task 2.2 - (Report Description)

**c. Appendices to Project Narrative Information [MANDATORY]**

All applicants must complete the following appendices and attach them to the final Project Narrative document. **Do not attach any of the requested appendices described below as files for fields 9, 10, 11, and 12 in Grants.gov workspace. Follow the below instructions to include the information as appendices in the single, bundled project narrative file. This attachment process should be completed prior to appending the Project Narrative document to Field 8 in the R&R Other Project Information form. All the requested information for the following appendices will not count in the Project Narrative page limitation.**

**Appendix 1 - Biographical Sketch:**

Provide a biographical sketch for the project director/principal investigator (PD/PI) and each senior/key person listed in Section A on the R&R Budget form, including the sub-applicant senior/key persons. Provide the biographical sketch information as an appendix to your project narrative. Do not attach a separate file. The biographical information for each person must not exceed 2 pages when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) {single spaced} with font not smaller than 11 point and must include:

**Education and Training:** Undergraduate, graduate, and postdoctoral training, provide institution, major/area, degree, and year.

**Research and Professional Experience:** Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

**Publications:** Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically.

Patents, copyrights, and software systems developed may be provided in addition to or substituted for publications.

**Synergistic Activities:** List no more than 5 professional and scholarly activities related to the effort proposed.

**Appendix 2 - Current and Pending Support:**

Provide a list of all current and pending support (both Federal and non-Federal) for the Project Director/Principal Investigator(s) (PD/PI) and senior/key persons, **including subrecipients**, for ongoing projects and pending applications. For each organization providing support, show the total award amount for the entire award period (including indirect costs) and the number of

person-months per year to be devoted to the project by the senior/key person. Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.

**Appendix 3 - Identification of Potential Conflicts of Interest or Bias in Selection of Reviewers:**

Provide the following information in this section:

- Collaborators and Co-editors: List in alphabetical order all persons, including their current organizational affiliation, who are, or who have been, collaborators or co-authors with you on a research project, book or book article, report, abstract, or paper during the 48 months preceding the submission of this application. Also, list any individuals who are currently, or have been, co-editors with you on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application. If there are no collaborators or co-editors to report, state "None."
- Graduate and Postdoctoral Advisors and Advisees: List the names and current organizational affiliations of your graduate advisor(s) and principal postdoctoral sponsor(s) during the last 5 years. Also, list the names and current organizational affiliations of your graduate students and postdoctoral associates

**Appendix 4 - Bibliography & References Cited:**

Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. To reduce the number of files attached to your application, please provide the Bibliography and References Cited information as an appendix to your project narrative. **Do not attach file to Field 9 of the R&R Other Project Information.**

**Appendix 5 - Facilities & Other Resources:**

This information is used to assess the capability of the organizational resources, including sub-applicant resources, available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical, and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. To reduce the number of files attached to your application, please provide the Facility and Other Resource information as an appendix to your project narrative. **Do not attach a file in Field 10 of the R&R Other Project Information.**

**Appendix 6 - Equipment:**

List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. To reduce the number of files attached to your application,

please provide the Equipment information as an appendix to your project narrative. **Do not attach a file in Field 11 of the R&R Other Project Information form.**

## 5. Other Attachments

Attach the following files (Project Management Plan and Letters of Collaboration) to field 12 of the Other Project Information:

### a. Project Management Plan [MANDATORY]

This plan should be formatted to include the following sections with each section to include the information as described below. This plan should describe the structure of the proposed partnership and roles of each member organization including DOE/NNSA National Laboratory/Plant and/or Site/Complex collaborator. This section should also include management/monitoring plans for all sub-awards under this grant and mechanisms for verifying completed milestones:

**Executive Summary:** Provide a description of the project that includes the objective, project goals, and expected results. For purposes of the application, this information is included in the Project Narrative and should be simply copied to this document for completeness, so that the Project Management Plan is a stand-alone document.

**Risk Management:** Provide a summary description of the proposed approach to identify, analyze, and respond to perceived risks associated with the proposed project. Project risk events are uncertain future events that, if realized, impact the success of the project. As a minimum, include the initial identification of significant technical, resource, and management issues that have the potential to impede project progress and strategies to minimize impacts from those issues.

**Milestone Log:** Provide milestones for each budget period (or phase) of the project. Each milestone should include a title and planned completion date. Milestones should be quantitative and show progress toward budget period and/or project goals.

[Note: During project performance, the Recipient will report the Milestone Status as part of the required quarterly Progress Report as prescribed under Attachment 4, Reporting Requirements Checklist. The Milestone Status will present actual performance in comparison with Milestone Log, and include:

- (1) the actual status and progress of the project,
- (2) specific progress made toward achieving the project's milestones, and,
- (3) any proposed changes in the project's schedule required to complete milestones.]

**Funding and Costing Profile:** Provide a table (the Project Funding Profile) that shows, by budget period, the amount of government funding going to each project team member. Also provide a table (the Project Costing Profile) that projects, by month, the expenditure of government funds for all budget periods.

**Project Timeline:** Provide a timeline of the project (like a Gantt chart) broken down by each task and subtask, as described in the Statement of Project Objectives. The timeline should include for each task, a start date, and end date. The timeline should show interdependencies between tasks and include the milestones that are identified in the Milestone Log (Section C).

**Success Criteria at Decision Points:** Provide success criteria for each decision point in the project, including go/no-go decision points and the conclusions of budget periods and the entire project. The success criteria should be objective and stated in terms of specific, measurable, and repeatable data. Usually, the success criteria pertain to desirable outcomes, results, and observations from the project.

**[Note: As the first task in the Statement of Project Objectives, successful applicants will revise the version of the Project Management Plan that is submitted with their applications by including details from the negotiation process. This Project Management Plan will be updated by the Recipient as the project progresses, and the Recipient must use this plan to report schedule and budget variances.]**

Save the **Project Management Plan** in a single file named "PMP.pdf" and upload to the **Grants.gov R&R Other Project Information** form, which is part of the Application Package in **Grants.gov Workspace**. To attach the completed Project Management Plan in PDF format, click the "Add Attachments" button next to item **12 Other Attachments** of the **R&R Other Project Information** form in **Grants.gov Workspace**.

**b. Letters of Collaboration [MANDATORY]**

Letters of collaboration for unfunded or funded collaborations must state the intention to participate, but they should not be written as recommendation or endorsement letters, which are not allowed. See **Section III – Eligibility Information, C. Other Eligibility Requirements** for collaborations with DOE/NNSA Site Facility Management Contractors.

Save the **Letters of Collaboration** in a single file named "Collaboration Letters.pdf" and upload to the **Grants.gov R&R Other Project Information** form, which is part of the Application Package in **Grants.gov Workspace**. To attach the Collaboration Letters in PDF format, click the "Add Attachments" button next to item **12 Other Attachments** of the **R&R Other Project Information** form in **Grants.gov Workspace**.

If you need to elaborate on your responses to questions 1-6 on the "Other Project Information" document, **attach a file in field 12 of the R&R Other Project Information** form in **Grants.gov Workspace**.

**6. SF424 Research and Related Budget and Information**

**a. SF424 Research and Related (R&R) Budget Form in Grants.gov Workspace [MANDATORY for Prime Applicant and Sub-Applicants (see Note below)]**

The R&R Budget Form is part of the Application Package that must be completed in **Grants.gov Workspace**. The special instructions for completing this form follow:

Applicant must complete a separate budget for each year of support requested. The form will

generate a cumulative budget for the total project period. Applicant must complete all the mandatory information on the form before the NEXT PERIOD button is activated. Applicant may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See Section IV.H). Categories in the Research and Related Budget include:

- Section A: Senior/Key Personnel
- Section B: Other Personnel
- Section C: Equipment Description
- Section D: Travel
- Section E: Participant/Trainee Costs
- Section F: Other Direct Costs
- Section G: Direct Costs
- Section H: Indirect Costs
- Section I: Total Direct and Indirect Costs

Applicant can hover over the specific fields within the form to view instructions for completing the fields.

**NOTE:** If sub-applicants will participate in this award, the R&R Subaward Budget Form is mandatory and must be submitted for all sub-applicants. See **Section IV – Application and Submission Information, sub-section D. 7. Sub-Applicant Submittal Instructions below for instructions.** Also, see **Section IV – Application and Submission Information, sub-section E. Summary of Required Forms and Files, Table 1 - Prime Applicant Mandatory Forms and Table 2 - Sub-Applicant Mandatory Forms** for additional instructions.

**b. Budget Justification [MANDATORY for Prime Applicant and Sub-Applicants]**

A Budget Justification Summary workbook is included as Attachment A to this announcement for use and to describe the level of detail required in the budget justification. Although the data requested is mandatory, the use of the budget justification workbook is not.

Within the Attachment A Budget Justification Summary form, there are several tabs to complete including the Equipment Estimates Summary, Travel Summary, and Materials and Supplies Summary. If funding is requested on the R&R Budget form for equipment, travel, or materials and supplies, these tabs must be completed with the requested information.

**1) Equipment Summary Estimates tab**

If funds are requested for equipment, this form is mandatory and must be completed. Equipment defined as tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the applicant's institution for financial statement purposes, or \$5,000 must be identified in the Equipment Estimate Summary tab within the Budget Justification form. Please follow the instructions on the form. Quotations must be provided to support the requested funding.

## 2) Travel Estimates Summary tab

If funds are requested for travel, this form is mandatory and must be completed. Applicant must include travel each year to the Annual MSIPP Program Review (locations and dates to be provided by the Program Office). PIs, or their representative, will be required to give a brief overview of accomplishments. The website address for the institution's travel policy must be provided in the budget justification.

Information for all travel, including foreign travel must be provided. All requests for foreign travel during performance of an awarded grant not initially provided with your application, must be submitted in advance in writing, to the Grants Officer for approval, and must include the travel dates, location (including any personal travel during the trip), purpose, justification and cost.

## 3) Materials and Supplies Summary tab

If funds are requested for materials and supplies, this form is mandatory and must be completed. Please follow the instructions for completing the Materials and Supplies Summary form. Material & Supplies with an Aggregate Total (the grand total of all Materials and Supplies for the entire project period of performance) exceeding \$3,000 **requires source documents (vendor quote, quote from internet market research) to be provided if selected for award.**

### Instructions for attaching Budget Justification to the R&R Budget:

- For the Prime Applicant, to attach the completed Budget Justification Summary, click "**Add Attachment**" in **Field L – Budget Justification** of the **Research and Related Budget** form in **Grants.gov Workspace**.
- For the Sub-Applicants, to attach the completed Budget Justification, attach to the R&R Subaward Budget Form, Field L (see **Section IV – Application and Submission Information, sub-section D. 7. Sub-Applicant Submittal Instructions below for instructions**. Also, see **Section IV – Application and Submission Information, sub-section E. Summary of Required Forms and Files, Table 1 - Prime Applicant Mandatory Forms and Table 2 - Sub-Applicant Mandatory Forms** for additional instructions.

### c. Government Approved Indirect Rates and Cost Allocations [**MANDATORY** for Prime Applicant and Sub-Applicants]

If a Negotiated Rate Agreement with Government approved Indirect Rates and Cost Allocations Agreement has been executed with a Governmental cognizant agency, upload the Agreement to the Grants.gov Workspace Attachment form (see instructions on next page). If a Negotiated Rate Agreement does not exist, provide supporting documentation for proposed indirect rates.

The Negotiated Rate Agreement attachment must be uploaded in PDF format to the **Grants.gov R&R Other Project Information** form, which is part of the Application Package in **Grants.gov Workspace**. To attach the Negotiated Indirect Rate Agreement, click the "Add Attachments" button next to item **12 Other Attachments** of the **R&R Other Project Information** form in **Grants.gov**

## Workspace.

**NOTE:** If sub-applicants will participate in this award, this document is mandatory and must be submitted for all sub-applicants. See **Section IV – Application and Submission Information, sub-section D. 7. Sub-Applicant Submittal Instructions below for instructions.** Also, see **Section IV – Application and Submission Information, sub-section E. Summary of Required Forms and Files, Table 1 - Prime Applicant Mandatory Forms and Table 2 - Sub-Applicant Mandatory Forms** for additional instructions.

## 7. Sub-Applicant Submittal Instructions

If sub-applicants will participate in this award, the following information discussed in detail must be submitted with your application package.

### a. **R&R Subaward Budget Extracted from R&R Subaward Budget Attachments Form** **MANDATORY**

If sub-applicants will participate in this award, a separate R&R budget is mandatory for each sub-applicant and must be submitted. The R&R Subaward Budget Attachment is extracted from the R&R SUBAWARD BUDGET ATTACHMENT(S) FORM which is part of the Application Package in **Grants.gov Workspace**. The extracted R&R subaward budget form should be e-mailed to each sub-applicant that is required to submit a separate budget.

The R&R Subaward Budget form for each sub-applicant must include their Budget Justification Summary Form (Attachment A) in Excel format in Field L of the R&R Subaward Budget form as described in sub-section D. 6. b. **Budget Justification Summary** above. After the sub-applicant has e-mailed its completed budget back to you, you must ensure that the R&R Subaward Budget files received from the sub-applicants are the PDF files extracted from the SUBAWARD BUDGET ATTACHMENT(S) FORM. Errors will be created if a sub-applicant sends a prime applicant a budget form that was not extracted from the application package. In addition, **ONLY** attach the R&R Subaward Budget form for each sub-applicant to the blocks provided on the **R&R SUBAWARD BUDGET ATTACHMENT(S) FORM** in **Grants.gov Workspace**. Use up to 10 letters of the sub-applicant's name as the file name. Filenames should not exceed 50 characters.

### b. **Additional Mandatory Sub-Applicant Documents**

When submitting the R&R Subaward Budget form to the sub-applicants, your email should also include a request for the additional sub-applicant documents listed below:

- Application for Federal Assistance SF 424 (R&R) (mandatory).
- Budget Justification (mandatory).
- Indirect Cost Rate Agreement (mandatory).
- Supporting Information as described above.
- Grants.gov Lobbying Form/Certification Regarding Lobbying (mandatory).
- Disclosure of Lobbying Activities (if applicable).

The Application for Federal Assistance SF 424 (R&R), the Grants.gov Lobbying Form/Certification Regarding Lobbying, and the Disclosure of Lobbying Activities are available for sub-applicants at <https://www.grants.gov/web/grants/forms/r-r-family.html>.

The **Application for Federal Assistance SF 424 (R&R), Indirect Cost Rate Agreement, Grants.gov Lobbying Form/Certification Regarding Lobbying, and Disclosure of Lobbying Activities (if applicable)**, for each sub-applicant should be consolidated into a single PDF document and attached to the available blocks in the Attachments Form (**see sub-section C. 8 Attachments Form below**) in Grants.gov Workspace by clicking "Add Attachment." Use up to 10 letters of the sub-applicant's name as the file name.

See **Section IV – Application and Submission Information, sub-section E. Summary of Required Forms and Files, Table 2 - Sub-Applicant Mandatory Forms** for additional instructions.

#### **8. Attachments Form [MANDATORY for Prime Applicant]**

The **ATTACHMENTS FORM**, which is part of the Application Package in **Grants.gov Workspace**, will be used for submitting the following files with your application:

- a. The Sub-Applicant Files other than the R&R Subaward Budget and justification listed below:
  - Application for Federal Assistance SF 424 (R&R) (mandatory).
  - Indirect Cost Rate Agreement (mandatory).
  - Supporting Information as described above.
  - Grants.gov Lobbying Form/Certification Regarding Lobbying (mandatory).
  - Disclosure of Lobbying Activities (if applicable).

**See Section IV – Application and Submission Information, sub-section D. 7. Sub-Applicant Submittal Instructions above for instructions. Also see Section IV – Application and Submission Information, sub-section E. Summary of Required Forms and Files, Table 2 - Sub-Applicant Mandatory Forms** for additional instructions.)

#### **9. Financial Assistance Environmental Checklist (Attachment C) [MANDATORY for Prime Applicant if selected for award]**

All NNSA grants must comply with the National Environment Policy Act (NEPA) compliance requirements. **An applicant whose Full Application is selected for award negotiations will be required to submit a Financial Assistance Environmental Checklist during the award negotiations phase.** All activities – including those conducted by the awardee, sub-awardees, and any other parties – proposed to be funded under the financial assistance award must be described in a single Financial Assistance Environmental Checklist provided in Attachment C (Microsoft Word document) to this announcement in accordance with the instructions contained within the form and Interim Requirements for Completion of Key Sections of the Financial Assistance NEPA Checklist.

**NOTE:** If selected for award, this form is mandatory, must include activities of the awardee, sub-awardees, and any other parties, and must be submitted. See **Section IV – Application and Submission Information, sub-section E. Summary of Required Forms and Files, Table 1 - Prime Applicant Mandatory Forms** for additional instructions. Failure to submit the Financial Assistance Environmental Checklist may result in the termination of the award negotiations.

## 10. Data Management Plan

An applicant whose Full Application is selected for award will be required to submit a Data Management Plan within ninety (90) days of the award notification. The Data Management Plan is a document that outlines the proposed plan for data sharing or preservation. Instructions for submission of this plan will be identified in your award notification. Guidance for preparing a Data Management Plan is provided in the Appendix of the FOA, as **Attachment C**. Failure to submit the Data Management Plan may result in the termination of the award.

## 11. Project/Performance Site Location(s) [MANDATORY submittal for Prime Applicant to also include sub-applicant information]

The **Project/Performance Site Location(s)** form is part of the Application Package that should be completed in **Grants.gov Workspace**. The special instructions for completing this form follow:

Indicate the primary site where the work will be performed. **If a portion of the project will be performed at any other site(s) (sub-applicants)**, identify the site location(s) in the blocks provided.

**Note:** Be sure to provide the Project/Performance Site Congressional District which is entered in the format of the 2-digit state code followed by a dash and a 3-digit Congressional district code, for example VA-001. Hover over this field for additional instructions. For the Zip/Postal code, be sure to enter the nine-digit postal code.

Use the Next Site button to expand the form to add additional Project/Performance Site Locations.

**NOTE:** This form is mandatory, must include prime applicant and sub-applicant site locations, and must be submitted. See **Section IV – Application and Submission Information, sub-section E. Summary of Required Forms and Files, Table 1 - Prime Applicant Mandatory Forms** for additional instructions.

## 12. Certification Regarding Lobbying or Disclosure of Lobbying Activities

### a. Certification Regarding Lobbying Form [**MANDATORY** for Prime Applicant and Sub-Applicants]

Prime Recipients and Subrecipients may not use any Federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters.

Complete the “**Certification Regarding Lobbying**” form to certify that no appropriated funds have been used for lobbying activities. This form is part of the Application Package that should be completed in **Grants.gov Workspace**.

**NOTE:** If sub-applicants will participate in this award, this form is mandatory and must be submitted for all sub-applicants. See **Section IV – Application and Submission Information, sub-section C. 7. Sub-Applicant Submittal Instructions above for instructions**. Also, see **Section IV – Application and Submission Information, sub-section D. Summary of Required Forms and Files, Table 1 - Prime Applicant Mandatory Forms and Table 2 - Sub-Applicant Mandatory**

Forms for additional instructions.

**b. Disclosure of Lobbying Activities Form (SF-LLL) [MANDATORY – IF APPLICABLE]**

If applicable, complete the **Disclosure of Lobbying Activities (SF-LLL)** form which is part of the Application Package that should be completed in **Grants.gov Workspace**. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form – LLL, “Disclosure Form to Report Lobbying.”

**NOTE:** If sub-applicants will participate in this award and if applicable, this form is mandatory and must be submitted for all sub-applicants. See **Section IV – Application and Submission Information, sub-section C. 7. Sub-Applicant Submittal Instructions** above for instructions. Also, see **Section IV – Application and Submission Information, sub-section D. Summary of Required Forms and Files, Table 1 - Prime Applicant Mandatory Forms and Table 2 - Sub-Applicant Mandatory Forms** for additional instructions.

**13. List of Assurances and Certifications [MANDATORY for Prime Applicant and Sub-Applicants in SAM.gov]**

In accordance with the Federal Government’s efforts to reduce reporting burdens for recipients of federal financial assistance, the general certification and representation requirements contained in the **Standard Form 424B (SF-424B) – Assurances – Non-Construction Programs**, and the **Standard Form 424D (SF-424D) – Assurances – Construction Programs**, have been standardized federal-wide. On February 2, 2019, GSA implemented a new process in SAM that allows non-federal entity registrants to submit common federal government-wide Representations and Certifications for financial assistance. Non-federal entities creating new SAM registrations and existing non-federal entities completing their annual SAM registration renewals will be required to review and certify their financial assistance Certifications and Representations. Registration in SAM is required prior to receipt of federal awards and must be updated annually by non-federal entities; therefore, federal agencies will use the SAM registration information to verify non-federal entity compliance with application and award requirements.

Effective January 1, 2020, the updated general certification and representation requirements will be stored and maintained within the System for Award Management and the SF-424B and SF-424C forms will no longer be requested as mandatory forms from the applicants. The Prime and Sub-Applicants applying under this FOA are required to certify compliance with the standard certifications in SAM as the acknowledgement of compliance will be verified during the Initial Compliance Review. To view instructions on how to submit Representations and Certifications for Financial Assistance in SAM, see the user guide at [https://sam.gov/SAM/transcript/SAM\\_Non\\_Federal\\_User\\_Guide.pdf](https://sam.gov/SAM/transcript/SAM_Non_Federal_User_Guide.pdf) under section 4.3.2 Entering Representations and Certifications on pages 51-53.

**14. Requirements for Pass-Through Entities [MANDATORY for Prime Applicant]**

The prime applicant (pass-through entity) will be required to perform and provide the results of a budget evaluation and a risk assessment for all sub-applicants.

**a. Sub-Applicant Budget Evaluation [MANDATORY if selected for award]**

If selected for award, the prime applicant must submit the evaluation, which should include an assessment of each sub-applicant’s budget request by cost category. Budget evaluations will help ensure all budget justifications are complete and that the proper attachments are included, for example quotes, and labor verification files. The budget evaluation should also verify that the budget justification explicitly matches the primary budget document and that all indirect expenses are properly calculated.

**NOTE:** This document must be submitted if selected for award.

**b. Sub-Applicant Risk Assessment [MANDATORY upon submission of application]**

Using the prime applicant’s institutional process (if one is available), evaluate each sub-applicant’s risk of noncompliance to include an assessment of:

- The sub-applicant’s eligibility to receive federal funding, which can be verified via the government’s System for Award Management.
- The sub-applicant’s acknowledgment of Representations and Certifications in SAM.
- The sub-applicant’s prior experience with the same or similar sub-awards.
- The results of previous audits including whether or not the sub-applicant receives a Single Audit in accordance with Subpart F - Audit Requirements of this part, and the extent to which the same or similar sub-award has been audited as a major program;
- The extent and results of Federal awarding agency monitoring (e.g., if the sub-applicant also receives Federal awards directly from a Federal awarding agency).

**NOTE:** This document must be submitted for each sub-applicant with the prime-applicant’s application package.

Save all **Sub-Applicant Risk Assessments** in a single file named “Sub-Applicant Risk Assessments.pdf” and upload to the **Grants.gov R&R Other Project Information** form, which is part of the Application Package in **Grants.gov Workspace**. To attach the completed **Sub-Applicant Risk Assessments** document, click the "Add Attachments" button next to item **12 Other Attachments** of the **R&R Other Project Information** form in **Grants.gov Workspace**.

**E. Summary of Required Forms and Files**

Your application must include the mandatory documents in the following tables. For additional information, see **Section V – Application Review Information, Initial Review Criteria, and Application Award Eligibility**.

TABLE 1						
PRIME APPLICANT MANDATORY FORMS AND FILES						
√	#	Document Name	Mandatory or Optional	Form		
				Location	Submission Format	Submission Attached to:
	1	SF 424 Application for Federal Assistance (R&R)	Mandatory	Grants.gov Workspace	PDF	In Grants.gov Workspace
	2	Research and Related (R&R) Other Project Information	Mandatory	Grants.gov Workspace	PDF	In Grants.gov Workspace
	3	Project Summary/Abstract	Mandatory	FOA – See Pages 21 and 22 for format	PDF	<b>R&amp;R Other Project Information form</b> in Grants.gov Workspace

TABLE 1						
PRIME APPLICANT MANDATORY FORMS AND FILES						
√	#	Document Name	Mandatory or Optional	Form		
				Location	Submission Format	Submission Attached to:
						<b>Field 7 - Project Summary/Abstract</b>
	<b>4a &amp; b</b>	Project Narrative Cover Sheet and Narrative	Mandatory	FOA – See Pages 22-26 for format	PDF	<b>R&amp;R Other Project Information form</b> in Grants.gov Workspace
	<b>4c</b>	Appendices 1-6	Mandatory			
	<b>5a</b>	Project Management Plan	Mandatory	FOA – See pages 27 and 28 for format	PDF	<b>Research and Related (R&amp;R) other Project Information form</b> in Grants.gov Workspace <b>Field 12 – Other Attachments</b>
	<b>5b</b>	Collaboration Letters	Mandatory	Collaborating Partner	PDF	<b>Research and Related (R&amp;R) other Project Information form</b> in Grants.gov Workspace <b>Field 12 – Other Attachments</b>
	<b>6a</b>	SF424 Research and Related Budget	Mandatory	Grants.gov Workspace	PDF	In Grants.gov Workspace
	<b>6b</b>	Budget Justification	Mandatory	Fedconnect.net <b>Attachment A</b>	Excel, PDF, or Word	<b>R&amp;R Budget Form</b> in Grants.gov Workspace <b>Field L</b>
	<b>6c</b>	Government Approved Indirect Rates and Allocations	Mandatory	From Cognizant Gov't agency	PDF	<b>Research and Related (R&amp;R) other Project Information form</b> in Grants.gov Workspace <b>Field 12 – Other Attachments</b>
	<b>7</b>	R&R Subaward Budget Attachment(s) Form	Mandatory if applicable	Grants.gov Workspace	PDF	In Grants.gov Workspace
	<b>8</b>	Attachments Form	Mandatory	Grants.gov Workspace	PDF	In Grants.gov Workspace
	<b>9</b>	Financial Assistance Environmental Checklist (NEPA)	Mandatory – If selected for award	Fedconnect.net <b>Attachment B</b> Follow Environmental Checklist Guidance Instructions	PDF	Submission required during the negotiation process.
	<b>10</b>	Data Management Plan	Mandatory – If selected for award	Fedconnect.net <b>Attachment C – Data Management Plan Guidance</b>	PDF	Submission required upon award
	<b>11</b>	Project/Performance Site Location(s)	Mandatory	Grants.gov Workspace	PDF	In Grants.gov Workspace
	<b>12a</b>	Certification Regarding Lobbying	Mandatory	Grants.gov Workspace	PDF	In Grants.gov Workspace
	<b>12b</b>	Disclosure of Lobbying Activities	Mandatory – If applicable	Grants.gov Workspace under Manage	PDF	In Grants.gov Workspace
	<b>13</b>	Assurances and Certifications	Mandatory	System for Award Management <b>See page 34, Section IV 13, List of Assurances and Certifications</b>	SAM.gov format	<b>SAM.gov</b> <b>NOTE: Will be checked by NNSA Grant Staff in SAM.gov during Compliance Review</b>

TABLE 1						
PRIME APPLICANT MANDATORY FORMS AND FILES						
√	#	Document Name	Mandatory or Optional	Form		
				Location	Submission Format	Submission Attached to:
	14a	Sub-Applicant Budget Evaluation	Mandatory – If selected for award	FOA – See page 34 for requirements	PDF	Submission required during the negotiation process.
	14b	Sub-Applicant Risk Assessment	Mandatory	FOA – See pages 34 and 35 for requirements	PDF	<b>Research and Related (R&amp;R) other Project Information form</b> in Grants.gov Workspace <b>Field 12 – Other Attachments</b>

Link for Fedconnect.net: <https://www.fedconnect.net/FedConnect/default.htm>

TABLE 2						
SUB-APPLICANT MANDATORY FORMS AND FILES						
√	Sec. IV #	Document Name	Mandatory or Optional	Form		
				Location	Submission Format	Submission Attached to:
	1	SF 424 Application for Federal Assistance (R&R)	Mandatory	Grants.gov Forms R&R Family	PDF	ATTACHMENTS FORM in Grants.gov Workspace  For each sub-applicant submit all required documents of items <b>1 and 7b</b> as one single PDF document and attach to the Attachment(s) Form in Workspace
	7a	R&R Subaward Budget Form	Mandatory	Grants.gov Workspace	PDF	R&R Subaward Budget Attachment(s) Form in Grants.gov Workspace.
		Budget Justification	Mandatory	Fedconnect.net <b>Attachment A</b>	Excel, PDF or Word	Attach to the R&R Subaward Budget Form <b>Field L</b>
	7b	Certification Regarding Lobbying	Mandatory	Grants.gov Forms R&R Family	PDF	ATTACHMENTS FORM in Grants.gov Workspace For each sub-applicant submit all required documents of items <b>1 and 7b</b> as one single PDF document and attach to the Attachment(s) Form in Workspace
		Disclosure of Lobbying Activities	Mandatory- If applicable	Grants.gov Forms R&R Family	PDF	
		Government Approved Indirect Rates and Allocations	Mandatory	From Cognizant Gov't agency	PDF	
	13	Assurances and Certifications	Mandatory	System for Award Management <b>See page 34, Section IV 13, List of Assurances and Certifications</b>	SAM.gov format	<b>SAM.gov</b> <b>NOTE: Will be checked by NNSA Grant Staff in SAM.gov during Compliance Review</b>

Link for Grants.gov: <https://www.grants.gov/web/grants/forms/r-r-family.html>

## F. Submissions from Successful Applicants

If selected for award, DOE/NNSA reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- Indirect cost information
- Other budget information including Equipment and Material and Supplies supporting documentation (purchase orders, quotes, invoices, etc.).
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 2 CFR 200.300(a))
- Representation of Limited Rights Data and Restricted Software, if applicable
- Upon selection, prior written approval from the Contracting Officer having cognizance over the DOE/NNSA Site Facility Management Contractors, for use, under this award, of any equipment, facility, or personnel at the DOE/NNSA Site Facility Management Contractors.

## G. Submission Dates and Times

Applications **should** be received by April 01, 2022, **not later than 11:59:59 PM Eastern Time**. You are encouraged to transmit your application well before the deadline. The Grants.gov Helpdesk is available for extended periods, please check their website for the Helpdesk hours of operation. **APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

## H. Intergovernmental Review

This program is not subject to Executive Order 12372 - Intergovernmental Review of Federal Programs.

## I. Funding Restrictions (December 2014)

Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

**Cost Principles.** Costs must be allowable, allocable, and reasonable in accordance with the applicable Federal cost principles referenced in 2 CFR part 200 as amended by 2 CFR part 910 [DOE Financial Assistance Regulation]. The cost principles for commercial organization are in FAR Part 31.

**Pre-award Costs.** Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 2 CFR part 200 as amended by 2 CFR part 910 [DOE Financial Assistance Regulation]. Recipient must notify the Grants Management Specialist in writing if the 90-day pre-award cost option will be used. Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90-day calendar period.

Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs if

for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

## **Section V - APPLICATION REVIEW INFORMATION**

### **A. Criteria**

#### **1. Initial Review Criteria**

##### **Application Award Eligibility**

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the mandatory information required by the funding opportunity announcement has been submitted; and (3) the proposed project is responsive to the objectives of the funding opportunity announcement. Applications that fail to pass the initial review will not be forwarded for merit review and will be eliminated from further consideration.

#### **2. Merit Review Criteria**

All applications passing the initial review will be evaluated in accordance with the following Merit Review Criteria:

Technical Merit: The Government shall evaluate the following:

- The extent to which the project addresses the objectives of the MSIPP program as it relates to the topical area selected and the nuclear security enterprise, this should include a solid understanding of the current state of proposed research (if applicable) or education programs an analysis of any competing or supplementary efforts; and an understanding of how proposed research is aligned to existing gaps in the field and/or literature.
- The likelihood that the proposed technical approach/methods will allow the applicant to achieve the objectives stated in the project narrative and the objectives stated in the FOA.
- The quality of the sustainability plan presented beyond the term of this grant.
- Demonstration of a sound management plan to include managing technical and administrative milestones of the award, financial management, evaluation, reporting, and other pertinent award elements.

Strategic Approach for Education, Training and Student Development: The Government shall evaluate the following:

- Demonstration of a sound education plan with a clear vision and objectives for educating and training students to prepare for transition into the nuclear security enterprise.
- Demonstration of long-term goals to build student capacity in nuclear science related STEM disciplines.
- Demonstration that the program includes the development of nuclear security enterprise related courses, certificates, degrees or other targeted initiatives for students or the enhancement of existing programs.
- Demonstration of a mechanism for tracking students through the pipeline including working with MSIPP's external evaluator.
- Plan includes opportunities for students to participate in internships, summer research programs,

fellowships and other education and career advancement activities.

- The extent to which the plan includes experiential learning opportunities to link students and researchers to practitioners in operational settings within the nuclear security enterprise to have access to robust tools, technologies, and capabilities.

**Qualifications and Teaming Arrangement:** The Government shall evaluate qualifications and experience of the proposed principal investigator and key personnel and well as the teaming arrangement proposed to determine the likelihood of successful achievement of the objectives stated in the project narrative and the objectives stated in the FOA.

- The extent to which the project team has an appropriate mix of interdisciplinary skill sets and includes relevant expertise to provide technical direction to and manage a multi-year, multi-institution consortium.
- Institutional commitment and proposed personnel present a sound plan for management of financial resources with effective and appropriate controls including those attributed to indirect costs

**Past Performance:** The government will evaluate how well the lead MSI has performed on past Federal grants or cooperative agreements during the last five years as an indicator of the likelihood of successful project performance. Any lead MSI institution which has not had any Federal grants or cooperative agreements during the last five years shall not be rated favorably or unfavorably for this criterion. In performing this evaluation, the Government reserves the right to obtain and evaluate past performance information from any source.

The evaluation criteria are listed in order of importance with Technical Merit being the most important.

Proposed budgets and costs will be evaluated for those applications which receive the highest merit review ratings, considering the relative importance of the evaluation criteria, to determine whether or not the budgets are substantiated and reasonable. NNSA reserves the right to request Applicants to provide additional/supplemental information to verify costs and to justify proposed budgets. NNSA also reserves the right to negotiate changes to any proposed budget and/or project scope prior to making award to any Applicant. NNSA shall not make awards based on unreasonable budgets or where costs outweigh any advantages in the technical approach.

## **B. Review and Selection Process**

### **1. Merit Review**

#### **Applications Subject to Merit Review**

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance." This guide is available at <http://energy.gov/management/office-management/operational-management/financial-assistance> under Financial Assistance Policy and Guidance.

### **2. Selection Official Consideration**

The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available, alignment to MSIPP objectives, and current portfolio demographics.

### **3. Review of Risk**

Pursuant to 2 CFR 200.205, DOE will conduct an additional review of the risk posed by applications submitted under this FOA. Such review of risk will include:

- Technical merit of the application,
- Reports and findings from audits performed under 2 CFR 200 or OMB Circular A-133, and
- Systems maintained under 2 CFR 180, including the SAM “Exclusions” and “Do Not Pay” systems.

DOE may make use of other publicly available information and the history of an applicant’s performance under DOE or other Federal agency awards.

Applicants with no prior performance of DOE awards may be asked to provide information about their financial stability and or their ability to comply with the management standards of 2 CFR 200.

### **4. Reporting of Matters Related to Recipient Integrity and Performance (December 2015)**

DOE, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313).

The applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

DOE will consider any written comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.205 - Federal awarding agency review of risk posed by applicants.

### **5. Government Discussions with Applicant (December 2014)**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 2 CFR part 200 as amended by 2 CFR part 910 [DOE Financial Assistance Regulation]; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

### **C. Anticipated Notice of Selection and Award Dates**

DOE/NNSA anticipates notifying applicants selected for awards within 60 days of the FOA closing date. It

is expected that awards will have staggered start dates between 2022 and 2023, depending on availability of funds.

## **Section VI - AWARD ADMINISTRATION INFORMATION**

### **A. Award Notices**

#### **1. Notice of Selection**

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Section IV.H with respect to the allowability of pre-award costs.)

#### **2. Non-selected Notification**

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

#### **3. Notice of Award (December 2014)**

An Assistance Agreement issued by the contracting officer is the authorizing award document. It normally includes either as an attachment or by reference: (1) Special Terms and Conditions; (2) Intellectual Property Provisions; (3) Federal Assistance Reporting Checklist, which identifies the reporting requirements; (4) R&R Budget; (5) 2 CFR part 200 as amended by 2 CFR part 910 [DOE Financial Assistance Regulation]; and (6) National Policy Assurances To Be Incorporated As Award Terms.

### **B. Administrative and National Policy Requirements**

#### **Administrative Requirements**

The administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR Part 200 as amended by 2 CFR Part 910 (See: <http://www.eCFR.gov>).

**DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements.** The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Terms.

**National Policy Requirements.** The National Policy Assurances that are incorporated as a term and condition of award are located at: [https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix\\_c.pdf](https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_c.pdf).

**Intellectual Property Provisions.** The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at: <https://www.energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>.

#### **Statement of Federal Stewardship**

DOE will exercise normal Federal stewardship in overseeing the project activities performed under DOE Awards. Stewardship Activities include, but are not limited to, conducting site visits; reviewing performance and financial reports, providing assistance and/or temporary intervention in usual circumstances to correct

deficiencies that develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the project objectives have been accomplished.

### **DUNS and SAM Requirements**

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR, Part 25 (See: <http://www.eCFR.gov>). Prime awardees must keep their data at the System for Award Management (SAM) current at <http://www.sam.gov> current SAM is the government-wide system that replaced the CCR. If you had an active registration in the CCR, you have an active registration in SAM. Subrecipients at all tiers must obtain DUNS numbers and provide the DUNS to the prime awardee before the subaward can be issued.

### **Foreign National Access to DOE Sites**

All applicants that ultimately enter an award resulting from this FOA will be subject to the following requirement concerning foreign national involvement. Upon DOE's request, Prime Recipients must provide information to facilitate DOE's responsibilities associated with foreign national access to DOE sites, information, technologies, and equipment. A foreign national is defined as any person who was born outside the jurisdiction of the United States, is a citizen of a foreign government, and has not been naturalized under U.S. law. If the Prime Recipient or Subrecipients, contractors or vendors under the award, anticipate utilizing a foreign national person in the performance of an award, the Prime Recipient is responsible for providing to the Contracting Officer specific information of the foreign national(s) to satisfy compliance with all of the requirements for access approval.

## **C. Reporting**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. The checklist is available at: <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Forms.

Awardees are also required to submit quarterly, and yearly metrics as outlined in the MSIPP Evaluation and Monitoring plan (See Attachment C page 50)

## **D. Applicant Representations and Certifications**

### **Lobbying Restrictions**

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

### **Corporate Felony Conviction and Federal Tax Liability Representations (March 2014)**

In applying in response to this FOA the Applicant represents that:

(1) It is not a corporation that has been convicted of a felony criminal violation under any Federal law within the preceding 24 months; and

(2) It is not a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations the following definition applies:

A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

### **Nondisclosure and Confidentiality Agreements Representations (June 2015)**

In applying in response to this FOA the Applicant represents that:

(1) It does not and will not require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(2) It does not and will not use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:

a. "These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling."

b. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

Notwithstanding provision listed in paragraph (a), a nondisclosure or confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received during such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosures to Congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

### **Subaward and Executive Reporting**

Prime Recipients awarded a new Federal financial assistance award greater than or equal to \$25,000 as of October 1, 2010 are subject to Federal Funding and Transparency Act of 2006 (FFATA) sub-award reporting requirements as outlined in 2 CFR Chapter 1, Part 170 REPORTING SUB-AWARD AND EXECUTIVE COMPENSATION INFORMATION.

The FFATA Subaward Reporting System (FSRS) is the reporting tool Federal prime awardees (i.e. prime contractors and prime grants recipients) use to capture and report subaward and executive compensation data regarding their first tier subawards to meet the FFATA reporting requirements. Prime awardees must register with the new FSRS database and report the required data on their first tier subrecipients at <http://www.fsrs.gov>.

Prime awardees must report the executive compensation for their own executives as part of their registration profile in the System for Award Management (SAM). The sub-award information entered in FSRS will then be displayed on [www.USASpending.gov](http://www.USASpending.gov) associated with the prime award furthering Federal spending transparency.

Applicants must ensure they have the necessary processes and systems in place to comply with the reporting requirements should they receive funding.

### **Conference Spending**

The recipient shall not expend **any** funds on a conference not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded that would defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the United States Government would otherwise exceed \$20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

## **Section VII - QUESTIONS/AGENCY CONTACTS**

### **A. Questions**

Questions regarding the content of the announcement must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to view responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. DOE/NNSA will try to respond to a question within 3 business days unless a similar question and answer have already been posted on the website.

Questions and comments concerning this FOA shall be submitted not later than 3 calendar days prior to the application due date.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). DOE/NNSA cannot answer these questions.

### **B. Agency Contact**

Name: Kristee Hall, Grants Officer  
Via: FedConnect.net

## **Section VIII - OTHER INFORMATION**

### **A. Modifications**

Notices of any modifications to this announcement will be posted on Grants.gov and the FedConnect portal. You can receive an email when a modification or an announcement message is posted by registering with FedConnect as an interested party for this FOA. It is recommended that you register as soon after release of the FOA as possible to ensure you receive timely notice of any modifications or other announcements.

### **B. Government Right to Reject or Negotiate**

DOE reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

### **C. Commitment of Public Funds**

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

### **D. Proprietary Application Information**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

"The data contained in pages [Insert pages] of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government's right to use or disclose data obtained without restriction from any source, including the applicant."

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend like the following:

"The following contains proprietary information that (name of applicant) requests are not released to persons outside the Government, except for purposes of review and evaluation."

### **E. Evaluation and Administration by Non-Federal Personnel**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

#### **F. Intellectual Property Developed Under this Program**

**Patent Rights.** The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See "Notice of Right to Request Patent Waiver" in paragraph G below.)

**Rights in Technical Data.** Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE's own needs or to insure the commercialization of technology developed under a DOE agreement.

#### **G. Notice of Right to Request Patent Waiver**

Applicants may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this announcement, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient 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. Domestic small businesses and domestic nonprofit 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.

#### **H. Notice Regarding Eligible/Ineligible Activities**

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

#### **I. Protected Personally Identifiable Information**

In responding to this FOA, applicants must ensure that Protected Personally Identifiable Information (PII) is not included in the application documents. These documents will be used by the Merit Review Committee in the review process to evaluate each application. PII is defined by the Office of Management and Budget

(OMB) as:

Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.

This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

1. Public PII: PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.

2. Protected PII: PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

#### **J. Annual Compliance Audits**

If an institute of higher education, non-profit organization, or state/local government is a Prime Recipient or Subrecipient and has expended \$750,000 or more of Federal funds during the non-Federal entity's fiscal year, then a single or program-specific audit is required. For additional information, please refer to 2 C.F.R. § 200.501 and Subpart F.

If a for-profit entity is a Prime Recipient or Subrecipient and has expended \$750,000 or more of DOE funds during the entity's fiscal year, an annual compliance audit performed by an independent auditor is be required. For additional information, please refer to 2 C.F.R. § 910.501 and Subpart F.

Applicants and sub-recipients (if applicable) should propose sufficient costs in the project budget to cover the costs associated with the audit. DOE will share in the cost of the audit at its applicable cost share ratio.

**Section IX - APPENDICES/REFERENCE MATERIAL**

**Attachments in FedConnect.Net**

- A. Budget Justification Form
  - B. Financial Assistance Environmental Checklist
  - C. Data Management Plan Guidance
  - D. MSIPP Evaluation and Monitoring Plan
-