

**DEPARTMENT OF ENERGY
NATIONAL NUCLEAR SECURITY ADMINISTRATION
OFFICE OF DEFENSE NUCLEAR NONPROLIFERATION**



CONSORTIUM FOR NUCLEAR FORENSICS

**NOTICE OF FUNDING OPPORTUNITY ANNOUNCEMENT
(NOFO) NUMBER: DE-FOA-0003567**

**NOFO TYPE: NEW AND RENEWAL
ASSISTANCE LISTING NUMBER: 81.113**

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Applications Submission Deadline (Mandatory)	June 10, 2026
Anticipated Selection Notifications	December 16, 2026
Estimated Award Date	April 14, 2027
<i>*Full applications are due at 11:59:59 PM Eastern time.</i>	

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SECTION I – FUNDING OPPORTUNITY DESCRIPTION

A. PROGRAM DESCRIPTION

The U.S. Department of Energy, National Nuclear Security Administration (DOE/NNSA), Office of Defense Nuclear Nonproliferation Research and Development (DNN R&D) drives innovative research that develops technologies and expertise to detect foreign nuclear proliferation activities and produces technologies for integration into operational systems by leveraging capabilities at the DOE National Laboratories, Plants, and Other Field Sites, as well as at universities and within private industry. DNN R&D supports U.S. nuclear security objectives to reduce global nuclear security threats through the innovation of unilateral and multi-lateral technical capabilities to detect, identify, and characterize:

1. Foreign nuclear weapons development activities.
2. Illicit diversion of special nuclear materials.
3. Nuclear explosions globally.

Additionally, DNN R&D sustains and develops foundational nonproliferation technical capabilities by providing targeted, long-term support for enabling infrastructure, science and technology, and an expert workforce.

For DNN R&D, the role of Institutions of Higher Education (IHEs, defined in [Section III](#)) is to innovate, develop, and prove some of the most challenging basic aspects of new technology and methods in coordination with the DOE National Laboratories, which can in turn fulfill their unique role to perform mission-specific research and development that improves on capabilities until they are either adopted by operational enterprises or transitioned into private industry for commercialization. Transparency and effectively linking the roles of these IHEs and DOE National Laboratories represent the core of how DNN R&D proposes to meet its objectives.

The DOE NNSA Office of Defense Nuclear Nonproliferation Research and Development (DNN R&D) Notice of Funding Opportunity (NOFO), **DE-FOA-0003567**, and succeeding awarded agreements, are made possible from NNSA's statutory authority, and are managed by applicable guidance, regulations, and laws.

Throughout this document, the term DOE National Laboratories is used to collectively refer to DOE National Laboratories, Plants, Other Field Sites, and complexes.

B. PRIMARY PURPOSE AND BACKGROUND

The primary purpose of this opportunity is to direct-fund basic research at universities that complement applied research in nuclear forensics at the DOE National Laboratories. This includes foundational disciplines of radiochemistry; geochemistry; shock physics; nuclear physics, science and engineering; radiation detector science; nuclear material science engineering; nuclear chemical engineering; modeling, simulation and optimization methods for nuclear applications; and seismology and infrasound methods supporting yield determination. A secondary benefit to this research is the development of a diverse and highly talented cadre of technical professionals, including scientists, engineers, technicians, and operational personnel, who will become the next generation of technical leaders in nuclear missions, such as nuclear forensics, nonproliferation, incident response, intelligence, and energy. These professionals are expected to primarily benefit the DOE National Laboratories as future research staff but will also benefit academia, private industry, and U.S. government agencies, including Energy, State, Defense, Homeland Security,

Justice, and the Intelligence Community.

The intent of this NOFO is to award one (1) five-year cooperative agreement to a consortium consisting of accredited IHEs to provide the opportunity to receive and administer Federal financial assistance funds for student and faculty research, fellowships, and scholarship funding awarded by DOE/NNSA, DNN R&D.

The envisioned cooperative agreement will be awarded to a consortium of IHEs which will include the participation of DOE National Laboratories as consortium-member(s). Individual IHEs consortium-member shall make specific contributions and shall receive specified portions of the funding.

The consortium may include student and research fellows and must have a long-term objective of building expertise in scientific disciplines directly relevant to nuclear forensics. Research results should be incorporated readily into IHE curricula. Students, faculty, and researchers must be able to work unencumbered while moving across organizational and bureaucratic boundaries of the academic and governmental facilities engaged in the consortium, while properly protecting critical information and materials. The consortium should establish reciprocal DOE National Laboratory arrangements between the lead IHE and other IHEs as well as relationships with appropriate DOE National Laboratories (See Attachment 1).

C. INTEGRATION WITH DNN RESEARCH AND DEVELOPMENT NEEDS

Integration of the research and development efforts provides the technical base for U.S. security agencies to meet their nonproliferation, counterproliferation, and counterterrorism responsibilities.

Sponsored research at the DOE National Laboratories conducted by small businesses and the academic community are leveraged to ensure the advancement of research. New research results and challenges continually emerge from the U.S. Government's nuclear nonproliferation needs; thus, the management plan must detail innovative ideas with formal mechanisms for leveraging these capabilities. Where topically appropriate, DNN R&D encourages collaboration and innovative thinking across all nuclear science disciplines to develop technologies and approaches that will advance its mission.

DNN R&D management expects to be an active partner in the award. Therefore, recipients and subrecipients will participate in DNN R&D's annual University Program Review (UPR) and should budget accordingly. DNN R&D will conduct periodic assessments to verify progress towards meeting the proposed topical/focus areas and applicable milestones. These assessments focus on, but are not limited to, the effective and efficient use of provided resources; maintaining nonproliferation-related disciplines through research and development; and conducting work pertinent to current and emerging nonproliferation activities.

D. STATUTORY AUTHORITY

- Atomic Energy Act of 1954, as amended, Section 31, Public Law 83-703, 68 Stat. 919, 42 U.S.C. 2051 found at [Text - H.R.9757 - 83rd Congress \(1953-1954\): Atomic Energy Act of 1954 | Congress.gov | Library of Congress](#)
- Energy Reorganization Act of 1974, Title 1, Section 107, Public Law 93-438, 88 Stat. 1240, 42 U.S.C. 5817 found at [H.R.11510 - 93rd Congress \(1973-1974\): Energy Reorganization Act of 1974 | Congress.gov | Library of Congress](#)
- Federal Nonnuclear Energy Research and Development Act of 1974, Public Law 93-577; Department of Energy Organization Act of 1977, as amended, Public Law 95-91, 42 U.S.C. 7101 et. seq.

E. APPLICABLE REGULATIONS AND GUIDANCE

Applicable regulations and guidance include, but are not limited to the following:

- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, codified at [2 CFR 200](#).
- U.S. Department of Energy Financial Assistance Requirements, codified at 2 CFR 910 found at [eCFR :: 2 CFR Part 910 -- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#)
- Department of Energy – Guide to Financial Assistance found at [Department of Energy - Guide to Financial Assistance | Department of Energy](#).

F. UNCLASSIFIED

All projects funded through the Office of Defense Nuclear Nonproliferation (DNN R&D) program announcement are required to be unclassified.

Reminders:

- The Technical Project Officer (TPO) and Grant Officer are the only NNSA federal staff members that are allowed to provide direction on the Consortium for Nuclear Forensics awarded cooperative agreements.
- Appropriated funds for the use under the cooperative agreement may not be used to pay for any DOE NNSA staff to include those staff members of the proposed DOE National Laboratory.

G. MISSION AREA REQUIREMENTS

For DNN R&D, the role of IHEs is to innovate, develop, and demonstrate some of the most challenging basic aspects of new technology and methods in coordination with the DOE National Laboratories that in turn fulfill their unique role to perform mission-specific research and development that improves on capabilities until they are either adopted by operational enterprises or transitioned into private industry for commercialization. Transparency and effectively linking the roles of these IHE and DOE National Laboratories enables the attainment of DNN R&D's objectives. To lead the investment in research and development of new technologies in support of the Nation's nuclear security and nuclear forensics goals, DNN R&D sponsors research and development across all disciplines of nuclear science and security.

A successful consortium must be comprised of a rich collaborative environment between university members, their students, faculty researchers, and the DOE National Laboratory scientists and staff. This environment should have a priority on building skill sets in the critical nuclear disciplines such as:

- radiochemistry
- geochemistry
- shock physics
- nuclear physics, science and engineering
- radiation detector science
- nuclear material science
- nuclear chemical engineering
- modeling, simulation and optimization methods for nuclear applications
- seismology and infrasound methods supporting yield determination

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Therefore, the proposed consortium must address:

- Producing research results in nuclear forensics science of a basic or fundamental nature.
- Enabling collaborative research relationships among universities, the DOE National Laboratories, and other government agencies.
- Transitioning basic science and technology from universities to U.S. government applications.
- Motivating talented researchers toward careers in universities, the DOE National Laboratories, and government agencies with nuclear missions.

The application must contain:

- A minimum of three other university partners who meet the above definition of IHE as consortium members. An integrated approach to the work will be essential in tackling the proposed tasks under the consortium. The lead university is discouraged from including an overly large number of loosely connected university partners.
- A minimum of one or more DOE National Laboratories as consortium members in accordance with the “Other Eligibility Requirements” under [Section III](#). It is essential that the IHEs engage DOE National Laboratory partners early in application development to forge a connection to collaborate on future work and have unique and innovative approaches to accomplish proposed tasks.

The proposed consortium may focus on other concepts and support:

- Creation of early-career professorial fellowships relating to nuclear forensic science to include research support funds.
- Post-doctoral research fellowships relating to nuclear forensic science, including nonproliferation research at DOE National Laboratories.
- Undergraduate basic research internships and graduate research fellowships relating to nuclear forensic science.
- Improvements to university and college infrastructures for conducting basic research and development relating to nuclear forensic science.
- Incorporation of outcomes of sponsored research into continuous nuclear forensic expertise development improvement (e.g. curriculum improvements).

H. COLLABORATION WITH DOE NATIONAL LABORATORIES

The consortium is required to collaborate with DOE National Laboratories. The IHE’s prime applicant (lead) Principal Investigator (PI) must contact the Grants Officer immediately should they have any concerns or issues with any required or optional collaboration.

Institutions of Higher Education (IHE) must engage with DOE National Laboratories as early as possible in their application process. Universities are encouraged to engage with a moderate number of well-considered DOE National Laboratories, identifying specific areas of collaboration rather than simply providing generic support partnership letters to the proposed consortium. The DOE National Laboratory

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members will leverage existing DNN R&D funding to support involvement to the extent it delivers mutual benefit. DNN R&D will provide management consortium support funds directly to DOE National Laboratory team members (as done for previous consortia awards) to assist in managing the Laboratory-University interactions and manage student and faculty rotations with the DOE National Laboratory.

The consortium should include student and early career research fellowships and have a long-term vision to build expertise in nuclear security and nuclear forensics. Students, faculty, and researchers must be able to work unencumbered across organizational and bureaucratic boundaries of the academic and governmental facilities engaged in the consortium, while properly protecting critical information and materials. Thus, the consortium should establish reciprocal arrangements between the home academic institution and other degree-granting institutions as well as relationships with appropriate DOE National Laboratories.

DOE National Laboratory Rotations

Postdoctoral (U.S. citizens and permanent residents) will be expected to conduct a lab/site/complex rotation with one of the partner DOE National Laboratories. A reasonable number of professors must be prepared and expect to participate in a short detail, 4-8 weeks, at a Laboratory with their student(s). The intent is to motivate professor and student teams to forge new collaborative relationships with the DOE National Laboratories and provide access to varying degrees of professional knowledge, application, and equipment resources. Universities should plan accordingly and budget to participate in these rotations. In addition, cost efficiencies for travel should be considered for long-term stays (e.g., 4-8 weeks). For example, some hotels may offer better daily rates for longer stays than standard hotels or standard lodging per diem rates on GSA Travel.

Collaboration with DOE National Laboratories

Collaborations with DOE National Laboratories may include but are not limited to DOE/NNSA staff serving in ancillary activities such as guest lectures or on doctoral committees; mentoring students and staff; and presenting congruent topics at symposia or workshops. Because NNSA staff are held to a specific Code of Ethics, NNSA staff may need to obtain approval by NNSA Office of the General Counsel to serve or collaborate in some requested areas.

While DOE National Laboratory staff may mentor the consortium's participants (staff and students), DOE/NNSA staff are not authorized to perform any portion of the technical work or research authorized in the awards under this NOFO.

For all collaboration activities that have associated travel, applicants should use their entity's travel and per diem policy when requesting funding. If an entity does not have a travel per diem policy, they may use GSA's guidelines for per diem rates which can be found at, [Travel management policy overview | GSA](#). The budget justification must reflect each cost requested.

DOE National Laboratories

DOE National Laboratories are not eligible to compete as the prime or subapplicant under this NOFO; however, each lead IHE application must propose one or more DOE Laboratories as collaborators subject to the below guidelines.

Authorization for DOE National Laboratories participation: The cognizant Grants Officer for the DOE National Laboratory must authorize in writing the participation of the DOE National Laboratory(s) on the proposed project and this authorization is requested at selection and must be submitted upon request. Further, collaboration letters from the collaborating DOE National Laboratory employee(s) must be submitted with the application to include a statement that no grant funds will be provided to the DOE National Laboratory and/or site/complex from the awarded cooperative agreement.

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The following language is acceptable for the cognizant Grant Officer authorization and may be used when selected and upon request:

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

The portion of the effort to be performed by all DOE National Laboratory's collaborators in aggregate shall not approach or exceed 50% of the total effort. In addition, the DOE National Laboratories' effort should be well thought out rather than having all labs and/or site/complexes issue generic partnership letters to all university applicants. The intent is that the DOE Laboratories may not play a role comprising most of the teaming arrangement and work effort.

DOE National Laboratories are to provide a draft of the Authorization discussed above and a Field Work Proposal in accordance with the Work Authorization System or [NNSA SD 412.1](#), Work Authorizations, as applicable, Work Authorization System with the PRIME (Lead) university consortium application, and a final to be submitted 30-45 days from notice of selection. This authorization is sought by and submitted by the Prime Applicant.

Funding for any work being done by a DOE National Laboratory will be funded directly by the program office. This funding will be transmitted to the laboratory via an internal Work Authorization Implementation Plan (IP) process. The amount of funds that a laboratory uses in teaming with the IHE will not be factored into the IHE's total award amount.

- **Value/Funding:** The value of, and funding for, the DOE National Laboratories' portion of the work should not be included in the prime IHEs proposed budget.

DOE/NNSA will examine the continuity and consistency of program objectives and assure that the objectives are responsive to all disciplines of nuclear forensic science needs of DOE/NNSA and the nation. NNSA members will include the Program Manager and other senior DOE/NNSA officials as required.

The Nuclear Detonation Detection Office, as a part of DNN R&D, will fund the DOE National Laboratories to support the consortium. The funding will be resourced in accordance with a Life Cycle Plan (LCP) to be submitted by each participating DOE National Laboratory. The consortium can freely discuss participation with their DOE National Laboratory partners, but the Program Office retains control of funding and scope.

- Collaborative DOE National Laboratories will facilitate coordination of research between National Laboratories and the consortium.
- Laboratory employees may rotate through the IHE to aid in research, and the laboratory will cover their associated fees that may include per diem, lodging, and travel expenses.

The following DOE/NNSA Roles and Responsibilities are not all-inclusive but are highlighted to better define the expectations of participant organizations. Upon selection, the following will be added to the consortium's award:

- DOE/NNSA will participate in overall program management of the Consortium and is primarily represented by the NNSA Program Manager. The Program Manager coordinates the activities of

IHE with Headquarters and the Grants Officer.

- The DOE/NNSA Program Manager reviews all deliverables and reviews/recommends approval of any other changes to the Cooperative Agreement to the Grants Officer.
- The DOE/NNSA Program Manager also reviews, recommends, and submits a Purchase Requisition (PR) to the Grants Officer for annual incremental funding on the Cooperative Agreement and assures orderly progression of work from year-to-year which is referred to as the Continuation Application and included in the Terms and Conditions of the Cooperative Agreement.

Consortium Role and Responsibilities

Consortium professor/student teams may detail to a DOE National Laboratory collaborator for forging new relationships and conducting research and the IHE will cover all associated fees that may include stipends, tuition, per diem, lodging and travel expenses.

Responsibility of Successful Applicant PRIME (Lead IHE)

The selected applicant of the award (PRIME/Lead for the university) is the PRIME/Lead recipient, and responsible for managing the entire scope, schedule, and cost of the project, to include all reporting. The selected Prime (lead) applicant 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 National Laboratories and other consortium members.

This cooperative agreement will ONLY provide funding to the university members of the consortium. The DOE National Laboratory members will leverage existing DNN R&D funding to support involvement – including any mentoring – to the extent it delivers mutual benefit. DNN R&D will provide management consortium support funds directly to DOE National Laboratory team members (as done for previous consortia awards) to assist in managing the laboratory-University interactions. This includes managing:

- IHE Credit for Student: The lead IHE and consortium members should establish a program to acknowledge students who participate in DOE National Laboratory stints and working with DOE National Laboratory mentors. This can be done at the discretion of the IHE; for example, by providing a one semester credit or internship for that student.
- Eligible Students for Direct Benefit: Students who are directly funded and/or provided benefit by assisting with research and associated projects should be in their junior year or beyond for undergraduate academic studies or a graduate student who is pursuing studies toward a subject pertaining to the topic(s) being supported by their group. The program will periodically request corroborating eligibility data when assembling metrics and various internal reports.

I. LETTER OF SUPPORT FROM EACH OF THE APPLICANT'S VICE-PRESIDENT FOR RESEARCH

Applicants are required to include a letter of support from the applicant's Vice President for Research, or someone in a comparable position, which affirms the proposed Consortium will comply with the following performance requirements:

- The IHE's PRIME (Lead), once an award is made, Principal Investigator and all personnel on the award will actively participate in the DNN R&D's Annual University Program Review (UPR) and interface with the DOE National Laboratories. All costs associated with the proposed travel, tentatively scheduled in Albuquerque, NM, must be submitted in the budget.

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- The Principal Investigator will provide an annual progress report that describes key advances in their scientific discipline and/or enabling technology development, and other issues, in addition to responses to the recommendations of the annual consortium review meetings. Reports will include the consortium's technical goals for the coming year and provide an updated project plan, as appropriate.
 - The Prime (Lead) entity will be held responsible for managing the entire scope, schedule, and cost of the project, to include all financial and program reporting, per the DOE F-4600.2, Federal Assistance Reporting Checklist and Instructions contained within the document. The Prime (Lead) entity is also responsible for managing each of the subawards of the consortium.
 - The Prime (Lead) will provide a list of major items of equipment already available to the personnel on the application as well as annually; thereafter, providing a list of any new items of equipment purchased through this award.
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SECTION II – AWARD INFORMATION

A. AWARD INSTRUMENT

DOE/NNSA will award a cooperative agreement under this NOFO. DOE/NNSA seeks a multi-institution team submitted as a prime and subaward model with one application submitted by a Prime (Lead) institution (prime applicant). For definition of a cooperative agreement, please see [2 CFR 200.1](#).

DOE/NNSA will be substantially involved with each awarded Consortium and will collaborate with each PRIME (Lead) recipient in evaluating, accepting, and achieving proposed milestones. The DOE/NNSA Federal Technical Project Officer (known as the Program Manager) will provide technical direction to the overall program, as well as the individual program elements as it is determined to be necessary and appropriate by DOE/NNSA. DOE/NNSA subject matter experts will meet with recipients at least annually to provide time to collaborate and exchange ideas and best practices. DOE/NNSA will also have the right to have DOE National Laboratories perform independent tests and evaluations of each deliverable(s) to provide an additional measure of technical progress.

The DOE/NNSA Grants Officer and DOE/NNSA Federal Technical Project Officer will negotiate a Statement of Substantial Involvement with the selected Consortium (applicant) or PRIME (Lead) recipient prior to award in respect to individual needs beyond what is listed in the Terms and Conditions. The substantial involvement by DOE/NNSA under the award will remain in effect for the term of the cooperative agreement unless otherwise amended in writing by the Grant Officer. The statement of substantial involvement by DOE/NNSA does not increase the Department of Energy's liability under the agreement award.

B. ESTIMATED FUNDING

Approximately \$25,000,000 is available to be awarded a cooperative agreement under this NOFO. Funding for this award 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.

DOE/NNSA will not provide funding for any costs associated with preparing of or work related to submission of an application and reserves the right to fund, in whole or in part, any, all, or none of the applications submitted in response to this NOFO.

NOTE: Federal funds, including any funds of current NNSA awards, are not allowed to be used to prepare or submit an application under this NOFO.

C. AWARD SIZE

Maximum and Minimum Award Size

Ceiling (i.e., the maximum amount for an individual award made under this NOFO): \$25,000,000 is expected to be available contingent upon the availability of funds for all five (5) years for award under this announcement. The award will be incrementally funded in 5 tranches, approximately \$5 million per year.

D. EXPECTED NUMBER OF AWARDS

DOE/NNSA anticipates making no more than one (1) award from this NOFO and is dependent on the availability of appropriated funds, the meritorious application, and other program policy factors. NNSA reserves the right to make no awards under this NOFO for applications.

E. PERIOD OF PERFORMANCE

DOE/NNSA anticipates making an award with an estimated project period of up to five (5) years from the date of award. The overall project duration will be subdivided into annual budget periods and incrementally funded. Continuation funding (funding for subsequent budget periods, past year 1 of the base award) is contingent on the following: 1) availability of funds appropriated by Congress and future year budget authority; 2) substantial progress towards meeting the objectives of the approved Statement of Work; 3) submittal of required reports; and 4) compliance with the terms and conditions of the award.

DOE/NNSA anticipates notifying the applicant selected for an award on the dates as specified per the NOFO Cover Page and is contingent on the availability of Federal government funds.

DOE/NNSA anticipates making one (1) award that will not exceed a 5-year period of performance nor \$25 million.

F. 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 the established due date/deadline. In preparing a renewal application, applicants should assume that reviewers will not have access to previous applications.

The application, whether it is a renewal or new application, should be developed as fully and as thoroughly as possible and as though the applicant is applying for the first time. The application must include all the information required for a new project as well as include within the project narrative element a discussion of the results from previous awards if applying for a renewal, and whether there is a current funded award currently in process.

G. SELECTED APPLICANT REQUIREMENTS

The selected PRIME (Lead) recipient of the award is considered the lead university and is responsible for managing the entire scope, schedule, and cost of the project, including all reporting. The PRIME (Lead) recipient of this cooperative agreement is authorized to provide funding to the IHE subrecipient members of the consortium and is responsible for managing all subawards in the consortium.

H. DATA MANAGEMENT AND SHARING PLAN

If selected for an award, a Data Management and Sharing Plan (DMSP) must be provided for Research and Development efforts following DOE/NNSA and DOE/NNSA Sponsoring Office guidelines. If needed, updates to the DMSP, through the course of the award, must be provided to DOE/NNSA for review and approval. In general, A DMSP should address the requirements on the DOE Requirements and Guidance for Digital Research Data Management website located at [DOE Requirements and Guidance for Digital Research Data Management | Department of Energy](#). Recipient must provide the Grant Officer with a DMSP not later than 90 days after the effective date of the award.

The DMSP must explain how the scientific data generated during the research or work performed under an assistance award will be shared and preserved or, when justified, explain why data sharing or preservation is not possible or scientifically appropriate.

SECTION III – ELIGIBILITY INFORMATION

A. APPLICANTS

In accordance with [2 CFR 910.126\(b\)](#) and DNN's mission, eligibility for award is restricted to **U.S. Institutes of Higher Education (IHE)**, defined at [20 USC 1001: General definition of institution of higher education](#), with professional doctorate degrees.

Eligible Entities

For this funding opportunity, an applicant must be an IHE that offers programs for graduate students to earn professional doctorate degrees. It must be an IHE in any State, Federal District, or United States (U.S.) territory that is a public or private nonprofit educational institution that:

- Admits as regular students only persons who have:
 - A high school diploma.
 - The recognized equivalent of a high school diploma; or
 - Are beyond the age of compulsory school attendance in the State in which the institution is physically located.
- Legally authorized to provide an educational program beyond secondary education in the State in which the institution is physically located.
- Provides an educational program —
 - For which it awards an associate, baccalaureate, graduate, or professional degree.
 - That is at least a two-academic-year program acceptable for full credit toward a baccalaureate degree; or
 - That is at least a one academic year training program that leads to a certificate, or other non-degree recognized credential, and prepares students for gainful employment in a recognized occupation; and
 - May provide a comprehensive transition and postsecondary program, as described in [eCFR :: 34 CFR Part 668 Subpart O -- Financial Assistance for Students With Intellectual Disabilities](#); and is an accredited or pre-accredited entity; or approved by state agency listed in the FEDERAL REGISTER in accordance with [eCFR :: 34 CFR Part 603](#) - Secretary's Recognition Procedures for State Agencies, if the institution is a public postsecondary vocational educational institution that seeks to participate only in Federal student assistance programs.

Restricted Eligibility

Should an award result from this NOFO, the recipient must exercise ongoing due diligence to reasonably ensure that no individuals participating in the DOE/NNSA-funded projects are participating in a Foreign Government-Sponsored Talent Recruitment Program of a Foreign Countries of Concern found at [eCFR :: 28 CFR 202.601 -- Determination of countries of concern](#). Consequences for violations of this prohibition will be determined according to applicable law, regulations, and policy. Further, the recipient must notify the DOE/NNSA Federal Technical Project Officer and Grants Officer/Specialist within five (5) business days upon learning that an individual on the project team is or is believed to be participating in a foreign government talent recruitment program of a foreign country of concern. DOE/NNSA may modify and add requirements related to this prohibition to the extent required by law.

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Federally Funded Research and Development Centers (FFRDC)

Federally Funded Research and Development Centers (FFRDC) (both DOE National laboratories and other Federal Agency-Sponsored FFRDCs) are not eligible for a direct award under this NOFO. However, FFRDCs may participate as collaborators to:

- Promote and sustain scientific interactions between the academic community and scientists at the FFRDC Laboratories through exchange of information and/or personnel.
- Increase the availability of unique experimental facilities sited at the FFRDC Laboratories to the academic community, particularly for collaborations in areas of relevance to stockpile stewardship.
- Develop and maintain a long-term recruitment plan for the DOE/NNSA FFRDC's by increasing the visibility of the DOE/NNSA Laboratory's scientific activities to the U.S. faculty and student communities.

NOTE: *FFRDCs are not eligible to receive any funding under this NOFO.*

B. PRINCIPAL INVESTIGATORS

Individuals with the skills, knowledge, and resources necessary to carry out the proposed research as a Principal Investigator (PI) are invited to work with their entity to develop an application. The Lead (Prime Applicant) is responsible for submitting the application and coordinating with subapplicants. Co-PIs may serve under this NOFO.

- Each prime applicant is required to have an identified Lead PI from the prime applicant's entity.
- Applications may have co-PIs from the prime applicant or subapplicant's IHE.
- Each identified PI and Co-PI for proposed agreements are required to be a U.S. Person and must be an active member of the teaching/research faculty of an IHE (see [Section III\(A\)1](#)).
- Adjunct professors, visiting professors, and post-doctoral fellows are ineligible to be PIs or Co-PIs.
- Individuals employed by foreign entities, irrespective of citizenship, are ineligible to be PIs or Co-PIs.

C. RESTRICTED ELIGIBILITY

The DNN R&D University Consortium Program seeks the long-term development of expertise in academic fields supporting nuclear forensics. Furthermore, one of DNN R&D's goals within this program is to support the development of talent that is well-prepared for nuclear forensics careers in the DOE National Laboratories and within the U.S. Government.

These careers require the ability to attain and maintain National Security Clearance. Thus, it is important to restrict the eligibility for Senior/Key Persons, such as Principal Investigators, and supported students to U.S. citizens or permanent residents. Several of the DOE/NNSA goals are not achievable by foreign nationals.

In conformity with the Department of Energy Order 142.3A ([Unclassified Foreign Visits and Assignments](#))

[Program](#)), applicants selected for award are required to submit a form prior to award attesting that the Principal Investigator and Co-Principal Investigator(s) are U.S. citizens or permanent residents (refer to “[Research & Related Personal Data](#)” form found at Grants.gov R&R Family Forms and resubmit as needed). The NOFO further restricts the eligibility of scholarships and fellowships (post-doctoral fellows, graduate students, and undergraduate students) to U.S. citizens or permanent residents.

NOTE: *Non-U.S. persons are prohibited from receiving direct government or cost share funding under the cooperative agreement.*

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 ([eCFR :: 22 CFR 120.62 -- U.S. person](#)).

Adjunct professors, visiting professors, and post-doctoral fellows are ineligible to be PIs. Investigators from foreign universities or academic institutions, 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 Technical Project Officer of DNN R&D. 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. If awarded, the PRIME (Lead) applicant must discuss with the program official prior to any discussions with the Non-US Person(s).

All persons receiving funding or direct involvement in the activities supported under this cooperative agreement must be a U.S. Person or the Director/Principal Investigator must request and receive written permission for such funding from the program official of DNN. Requests for addition of non-US-persons is required throughout the period of the award.

D. COST SHARING

This award does not require cost sharing but may be offered. Cost share must come from non-federal sources, offering cost share will not bolster chances of selection since, under [2 CFR 200](#), Federal agencies are no longer allowed to use voluntary committed cost share as a consideration in the merit review process.

For further information, there are two types of cost share:

- **Voluntary Cost Sharing:** Cost share is considered voluntary when the applicant describes a quantifiable amount of resources it will contribute to the project.
- **Voluntary Committed Cost Sharing:** NNSA will consider any voluntary cost sharing offered at the application stage as committed cost sharing at the award stage. This occurs when the applicant/subapplicant pledges cash or in-kind resources towards a project but is not obligated to do so by the NOFO.

Any quantified cost sharing offered in submitted applications becomes fiscally and/or programmatically auditable and must be documented and reported to DOE/NNSA, if the application is funded.

If voluntary committed cost share is provided, the R&R Fed + NonFed Budget Form must be utilized by both the Prime applicant and subapplicant. This form may be found at [R&R Family | Grants.gov](#).

In addition, some universities at their discretion may require subapplicants to cost share. Voluntary committed cost-share occurs when applicant/subapplicant pledges cash or in-kind resources towards a

project but is not obligated to do so by the program solicitation/announcement.

Required Format of Cost Share Letters

All institutions listed as providing cost share are required to provide a detailed letter as described below.

Cost Share Letter Format – Cost Share Letters must satisfy the following format criteria:

1. Letterhead of contributing institution.
2. Written signature (not a typed name that is not an electronic signature) of authorized individual at the contributing agency authorized to make the commitment attesting to the cost share as indicated in the budget form. The letter must indicate the resource is firmly committed and that the cost share will be available to participants during the implementation timeframe.
3. Indicate the total dollar value of commitment per year and overall, of the Federal financial assistance award (note: the award term is 60 months or 5 years).
4. The source and type of funds must be clearly stated but calculations are not necessary.
5. Indicate whether the source is in-kind or cash. If in-kind, the unit of measurement (e.g., # of staff hours, services, sq.ft., months, etc.) or cost of resource unit.
6. Total amount committed.

NOTE: Eligible Cost Share Commitments. *In-kind contributions may be included, but are not limited to, items on the following list: a) Time and services contributed by volunteers; and b) Staff salaries and benefits of those staff salaries (partners).*

NOTE: Ineligible Cost Share Commitments. *The following contributions may not be used as cost share to meet or exceed the amount of cost share committed (%): a) Federal sources generally may not be used as match to meet or exceed the total dollar value committed threshold unless otherwise permitted by that program's authorizing statute; b) Operating and Capital Funds may not be used as cost share but may be used if used for purposes eligible under the project; and c) The staff salaries and benefits of the Principal Investigator or co-Principal Investigator or Senior Key Persons*

E. PROGRAM INCOME

Program income is allowable under this NOFO. Applications that choose to use program income are to include estimated income and source of income planned to be used with this project. Any program income funds with the award must be used to further project directives and in accordance with the terms and conditions of the award. If program income is not reviewed at the time of award, postaward prior approval for the use of program income must be received and approved prior to use by the Grants Officer.

F. UNCLASSIFIED WORK

All proposed work to be funded through this NOFO is required to be UNCLASSIFIED. No applications for CLASSIFIED work will be accepted.

SECTION IV – APPLICATION CONTENTS AND FORMAT

Applications must include three main elements in their applications to the DOE/NNSA for NOFO DE-FOA-0003567: 1) Standard Forms, Assurances, and Certifications; 2) Budget and Budget Justification; 3) Project Narratives and Other Attachments. The content, forms, and format for each element are included in this section.

NNSA is accepting complete applications under this NOFO and must be submitted via [Grants.gov](https://www.grants.gov) to be considered for merit review and award.

You may use this section as a checklist to ensure you submit a complete application. If you do not provide the required documents in the correct format, your application is incomplete. Do not submit password protected or encrypted files.

NOTE: *A new application is one in which DOE/NNSA support for the proposed research is being requested for the first time. As stated, DOE/NNSA will accept new and renewal applications under this NOFO. DOE/NNSA does not make use of the Resubmission or Continuation options under this NOFO.*

Element	Submission Form
Standard Forms, Assurances, and Certifications	Upload using each required form.
Budget and Budget Narrative Justification Worksheet	Use the required budget form.
Project Narrative or Technical Project Narrative and Other Attachments	Insert each in the Attachments form.

Must be double spaced and a minimum of 11-point Times New Roman font on letter sized paper (8 1/2 x 11 inches) with at least 1-inch margins on all sides.

Limit file names to 50 or fewer characters. All attachments to the application must have a unique name. Do not attach any documents with the same name. Use only the following characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. **Attachments that do not follow this rule may cause the entire application to be rejected or cause issues during processing.**

NOTE: *In Windows, the maximum file name length is 50 characters. This limit includes the full folder name and the file name. If your file name exceeds this limit, DOE/NNSA may encounter errors when trying to open or manage the file.*

A. MANDATORY OVERALL APPLICATION ELEMENTS FOR PRIME (LEAD) AND SUBAPPLICANTS

The applications should include the following information, with the font size no smaller than Times New Roman 11 and in a Portable Document Format (PDF). An entity may submit more than one application, given that it meets all the required conditions and serves a different purpose or research. Therefore, the following applies if the applicant is submitting more than one application:

1. Each submission must have a different lead Principal Investigator (PI) or PRIME (Lead) Applicant.
2. Each submission must target a significantly different application and/or enabling research and

development.

Required Letters

1. A letter on entity letterhead from the Vice President for Research or someone in a comparable position, acknowledging and supporting the application submission from the Vice President for Research, or someone in a comparable position. [See Section I.I.](#)
2. Cost Share Letter, if applicable, is required of each applicant IHE, the PRIME (Lead) Applicant and Subapplicant, stating its ability to meet the Cost Share requirement to ensure that a portion of the project's cost is covered by non-federal sources (see Pg. 16, D. Cost Sharing for Instructions).
3. Letters of support from the DOE National Laboratories affirming the involvement of key staff in the project.
4. If applicable, Commitment Letter(s) from third parties only if sponsor or contributing cost share or equivalent based on such items as equipment, etc., and must benefit the overall project objective/goal.

B. GRANTS.GOV APPLICATION SUBMISSION AND RECEIPT PROCEDURES

Applicant Registration in [Grants.gov](#)

NNSA is participating in the Grants.gov initiative to provide the financial assistance community with a single site to find and apply for funding opportunities for grants and cooperative agreements. Applicants are required to complete a series of registrations to submit applications in response to this NOFO via grants.gov. These registrations include [SAM.gov](#), [Grants.gov](#), and [FedConnect](#).

Applicants MUST register with FedConnect to obtain updates on the NOFO and be able to submit questions to NNSA through the FedConnect portal. There is no charge for creating an account. Applicants may register with [FedConnect](#) via www.FedConnect.net.

NOTE: *Subapplicant's must coordinate the submission of their application package with the PRIME (Lead) applicant prior to submitting in Grants.gov. The PRIME (Lead) applicant is responsible for ensuring the documents submitted by the subapplicants meet the requirements prior to submission in Grants.gov Workspace.*

Grants.gov Application Submission

Applicants are required to submit an electronic application to this NOFO through Grants.gov at [Home | Grants.gov](#).

To start the application: Go to [Grants.gov](#); Select "[Search Grants](#)." Enter the Assistance Listing Number (formerly known as Catalog of Federal Domestic Assistance (CFDA)) number (**81.113**) or the NOFO number, **DE-FOA-0003567**. Select the "Apply" button to access the application package.

Applicants may use the online Grants.gov Workspace. Workspace is a shared, online environment where members of a team may simultaneously access and edit different webforms within an application for each NOFO. The Workspace Overview is located at [Workspace-Overview | Grants.gov](#). Workspace is the standard way for organizations or individuals to apply for federal grants in Grants.gov. Workspace allows a grant team to simultaneously access and edit different forms within an application. Plus, the forms can be filled out online or offline — your choice.

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NOTE: Applicants are required to use the compatible version of Adobe Reader software to complete an application package. Verify your compatible version of Adobe Acrobat Reader at [Adobe Software Compatibility | Grants.gov](#).

Adobe Reader: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace so that they will appear like other Standard Forms. 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.

An application may be submitted through **Workspace** by **clicking the Sign and Submit button on the Manage Workspace page, under the Forms Tab** at [Workspace Process | Grants.gov](#). Grants.gov recommends submitting the 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.

When applications are submitted through the Grants.gov portal, the name of the IHE entity's applicant name (Principal Investigator) and the Authorized Organization Representative (AOR) role that submits the application is inserted into the signature line of the application, serving as the electronic signature.

NOTE: The AOR is the individual designated to make legally binding commitments on behalf of the entity as a user with the AOR role. Contact Grants.gov with any issues with Grants.gov via [About Grants.gov | Grants.gov](#) or by calling 1-800-518-4726 or emailing support@grants.gov.

To Familiarize Yourself with the Forms and Prevent Submission Errors

Review Grants.gov Workspace at [Workspace-Overview | Grants.gov](#) for a clear understanding of the application submission process. Files that are attached to the forms must be PDF files unless otherwise specified in the NOFO. 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.

If you experience difficulties with your submission, it is best to call the Grants.gov Support Center at [About Grants.gov | Grants.gov](#) and obtain a ticket number. The Support Center ticket number will assist with tracking your issue and understanding background information on the issue. Additional information about Grants.gov support is located at [GDIT TSS Service Portal - GDIT Technology Shared Services Portal](#).

Register with SAM.Gov

All entities applying online through Grants.Gov must register with the System for Award Management (SAM). Failure to register with [SAM.Gov](#) will prevent your organization from applying through the Grants.Gov portal. SAM registration must be renewed annually. For more detailed instructions for registering with SAM.gov, please refer to [Home | Grants.Gov](#).

Create Grants.Gov Account

After obtaining the UEI for the organization from Sam.gov, you must return to Grants.gov to continue registration. There is no fee for registering with Grants.gov. Your organization's EBiz POC must:

1. Create a Grants.gov account with the same email address as used in SAM.gov for EBiz POC, and
2. Add a profile with Grants.gov using the UEI obtained from SAM.gov.

The EBiz POC can then delegate administrative roles to other users. Read the Help article, [Manage Roles for Applicant](#) for instructions.

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The next step is to register an account with [Grants.Gov](#). Follow the on-screen instructions provided on the registration page. You must be registered with SAM.gov to obtain a Unique Entity Identifier (UEI). UEI is a 12-character alphanumeric identifier assigned to all entities (public and private companies, individuals, institutions, or organizations) to do business with the Federal Government. Organizations will also need to designate an E-Business Point of Contact (EBiz POC). It can take 7-10 business days to fully complete the registration process required for most funding opportunities. There is no fee for registering with SAM.gov.

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 submitting on their own behalf. If you work for or consult with multiple organizations, you can have a profile for each organization under one Grants.Gov account. One account to manage all your profiles, applications and subscriptions in one place – [Registering with Grants.gov](#). In such cases, you may log into one Grants.Gov account to access all your grant profiles. To add an organizational profile to your Grants.gov account, enter the UEI (Unique Entity Identifier) for the organization in the UEI field. If you are an individual applicant submitting on your own behalf, you do not need a UEI to add the profile. For more detailed instructions about creating a profile on Grants.gov, refer to [Applicant Registration | Grants.gov](#)

EBiz POC Authorized Profile Roles

After you register with Grants.gov and create an Organization Applicant Profile, the applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC is then expected to 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. Read the [Workspace-Roles | Grants.gov](#) to learn more about Grants.gov roles.

Track Role Status

To track your role request, refer to [Track Profile Role Status | Grants.gov](#).

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.

NOTE: *The EBiz POC of the organization **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 is crucial for valid and timely submissions.***

Creating a Workspace

Creating a workspace allows you to complete the application online and route it through your organization for review before submitting. To learn more about Workspace, review the [Workspace Overview](#).

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. For an overview of applying on Grants.gov using Workspaces, refer to [Workspace-Roles | Grants.gov](#)

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

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click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.

Grants.gov Workspace also allows applicants and organizations to choose which approach to use for their application workflow. There are three approaches that applicants can take when completing a Workspace application.

Organizations are also able to create custom roles and assign these roles to the users affiliated with their organization (see links below for more information).

Basic	Intermediate	Advanced
+ Best for organizations with 1-2 registered Grants.gov users + Application forms are downloaded and emailed to collaborators before being uploaded back to the workspace Learn more	+ Best for organizations with 3-5 registered Grants.gov users + Applicant teams are typically comprised of an AOR who submits, as well as a Workspace Owner who oversees form completion Learn more	+ Best for organizations with external Grants.gov users, such as consultants + Workspace Owner manages form access + Workspace Owner adds subforms Learn more

Mandatory Field in Forms

In the forms, you will note fields which are marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

Complete SF-424 Fields First: These forms are designed to fill in common required fields across other forms, such as the applicant's name, address, and SAM UEI. Once it is completed, the information will be transferred to the other forms.

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.

Tracking 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 [Applicant Training | Grants.gov](#)

Receipt of Application

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 AOR will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. Applicant AORs 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.

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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 may not be considered for funding by DOE/NNSA.

Applicants using slow internet connection should be aware that transmission can take some time before Grants.gov receives an application.

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. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Be patient and give the system time to process the application.

Applicant Support:

Grants.gov provides applicants 24/7 support via the toll-free number **1-800-518-4726** and email at 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 [INSERT AGENCY NAME] with tracking your issue and understanding background information on the issue.

Timely Receipt Requirements and Proof of Timely Submission

Online Submission. All applications must be received by DOE/NNDA 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. The AOR will also receive the official date/time stamp and the 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 [INSERT AGENCY NAME].

Resubmission of Applications

If an applicant withdraws the application, it may be resubmitted providing the NOFO is still open for the submission of applications. Applications submitted under this NOFO may be withdrawn from consideration at any time between when the applicant submits the application and when DOE/NNSA makes the application available to merit reviewers. Such withdrawals, as determined by DNN R&D, take effect immediately and cannot be reversed. Such resubmissions will only count as one submission.

DOE/NNSA will consider the last submission, according to its Grants.gov timestamp, to be the intended version. The AOR must consult with DOE/NNSA identified NOFO points of contact within two business days after the last submission to resolve any confusion about which version of an application should be considered for review.

Controlled Access of Applications

Applications submitted under this NOFO will be stored in controlled-access systems. Applications may be

made publicly available if an award is made.

Applications and progress reports can be requested under the Freedom of Information Act (FOIA). As such, it is critical that applicants follow the guidelines below:

- Do not include information subject to any legal restriction on its open distribution, whether classified, export control, or unclassified controlled nuclear information.
- Do not include sensitive and protected personally identifiable information, including social security numbers, birthdates, citizenship, marital status, or home addresses. Pay particular attention to the content of biographical sketches and curriculum vitae.
- Do not include letters of support from Federal officials.
- Do not include letters of support on Federal letterhead. Letters that are not letters of support (such as letters confirming access to sites, facilities, equipment, or data; or letters from cognizant Contracting Officers) may be on Federal letterhead.
- Clearly mark all proprietary or trade-secret information.

Change of Recipient

Upon award to an applicant and at the Postaward Phase, if a recipient chooses to relinquish an award made under this NOFO or to permit the transfer of the award to a new entity, the proposed succeeding entity must apply under this NOFO to be considered for award by DOE/NNSA. This guidance applies to subawards made under the award, as well.

Applicants using unreliable internet connections should be aware that the process of completing the Workspace can take some time. Therefore, applicants should allow enough time to prepare and submit the application before the package closing date.

Grants.gov will provide either an error or a successfully received submission message in the form of an email sent to the applicant with the AOR role attempting to submit the application.

C. MANDATORY STANDARD FORMS REQUIRED OF PRIME (LEAD) APPLICANT AND SUBAPPLICANTS

All applicants (PRIME (Lead) applicant and subapplicants) must complete the mandatory standard forms which are listed in Attachment 1 AND below in blue. These forms include but are not limited to the SF-424 (R&R) Application for Federal Assistance or Disclosure of Lobbying Activities (SF-LLL)) and any other applicable forms and instructions below.

DEADLINE

The application deadline is 11:59:59 PM Eastern time as stated in the Cover Page.

NNSA must receive your application by the deadline. Applications received after the deadline are late. Late applications are not eligible for DOE/NNSA funding.

MANDATORY SUBMISSION REQUIREMENTS – PRIME (LEAD) and SUBAPPLICANT

RR SF-424 Application for Federal Assistance

In Grants.gov workspace, complete the SF-424 Fields first: The forms are designed to fill in common

required fields across other forms, such as the applicant's name, address, and UEI number. To trigger this feature, an applicant must complete the SF-424 (R&R) information first. Once it is completed, the information is transferred to the other forms.

RR SF-424B Assurances for Non-Construction Programs (Certification of Assurances)

References in 21 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. However, it is recommended to complete the SF-424 (R&R) form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. The list of certifications and assurances form (SF-424B Assurances for Non-Construction Programs) is found at the Grants.gov website at <https://grants.gov/forms/forms-repository/r-r-family> under Certifications and Assurances. Applicants are bound by their representations and certifications in SAM.gov.

The UEI and Employer Identification Number (EIN) fields on the SF-424 (R&R) form are used to confirm the identity of the entity applying (Fields 5 and 6). Enter each number as a nine-digit number. Do not use hyphens or dashes.

If substantially similar, identical, or closely related research objectives are being submitted to another Federal agency, indicate the agency or agencies to which the similar objectives have been submitted. For "Other Agency Applications," answer "yes" to the question, "Is this application being submitted to other agencies?"

Key Contacts

This form is primarily utilized for the Authorized Organizational Representative (AOR) and the Fiscal Contact of the entity

RR Senior/Key Person Profile (Expanded)

Applicants are required to enter total funds requested for senior/key on the SF424 (R&R). If senior/key personnel are included, a budget justification narrative is required and must explain the need for requested senior/key personnel. The Prime (Lead) Project Director/Principal Investigator and Senior Key personnel are required to fill in this form. Subapplicants are required to fill-in and submit the Senior/Key Personnel and the Biosketch (Appendix 1) and Current & Pending Support (Appendix 2) must be attached. *NOTE: Attach the Biographical Sketch and Current and Pending Support documents in PDF format.*

Disclosure of Lobbying Activities (SF-LLL)

Complete this form to disclose lobbying activities pursuant to [31 CFR Part 21 – New Restrictions on Lobbying](#). Prior to filling in the form review the Public Burden Disclosure Statement.

Grants.gov (GG) Lobbying Form

This is form is required for certifying lobbying activities.

Project Performance Site Location

Applicants are required to indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), applicants must identify the site location(s) in the blocks provided.

Note that the Project/Performance Site Congressional District 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. To find the accurate Congressional district code, log onto [My Congressional District](#). Use the Next Site button to expand the form to add additional

Project/Performance Site Locations.

Research and Related (RR) Other Project Information

Complete questions in fields 1 through 6. The bulk of your application will consist of files attached to the Research and Related Other Project Information form. The files must comply with the following instructions – See Attachment 2 for detailed information on formatting and forms to attach.

NOTE: For 4.a. and 4.b.: *If any environmental impact, positive or negative, is anticipated, indicate “yes” in response to question 4.a., “potential impact – positive or negative - on the environment.” Disclosure of the impact should be provided in response to question 4.b. First indicate whether the impact is positive or negative and then identify the area of concern (e.g., air, water, exposure to radiation). Should the applicant have any uncertainty, they should check, “yes.”*

DOE/NNSA understands the phrase in field 4.a., “potential impact ... negative” to apply if the work described in the application could potentially have any of the impacts listed in (1) through (5) of 10 CFR 1021, Appendix B, Conditions that Are Integral Elements of the Classes of Action in Appendix B (<https://www.ecfr.gov/current/title-10/chapter-X/part-1021>).

Additionally, for actions which could have any other adverse impacts to the environment or have any possibility for adverse impacts to human health (e.g., use of human subjects, Biosafety Level 3-4 laboratory construction/operation, manufacture or use of certain nanoscale materials which are known to impact human health, or any activities involving transuranic or high level radioactive waste, or use of or exposure to any radioactive materials beyond de minimis levels), applicants should indicate a “negative” impact on the environment.

Lastly, 1) if there would be extraordinary circumstances (i.e., scientific or public controversy) related to the significance of environmental effects (10 CFR 1021.410 (b)(2)), 2) if the work is connected to other actions with potentially significant impacts (10 CFR 1021.410 (b)(3)), or 3) if the work is related to other nearby actions with the potential for cumulatively significant impacts (10 CFR 1021.410 (b)(3)), applicants should indicate a “negative” impact on the environment.

NOTE: Review the attached *DOE FA NEPA Checklist*; if selected for award, the Prime and Subapplicant’s may be required to fill-in and return the document.

D. MANDATORY APPLICATION REQUIREMENTS FOR PRIME APPLICANT ONLY

TITLE PAGE

This document must not include any proprietary or sensitive business information as the Department may make it available to the public after awards are made.

On Title Page include the below (limited to 2 Pgs.):

- The Project Title (limit to 50 or less characters)
- NNSA Program Office: Office of Defense Nuclear Nonproliferation Research and Development
- NOFO Number: DE-FOA-0003567
- Applicant/Institution Name
- Street Address/City/State/Zip, Postal Address (5-digit zip code + 4 Code Lookup)
- Congressional District
- Lead Principal Investigator (PI) Name, Telephone #, and Email
- Co-PI Name, Telephone #, and Email (if more than one, please list)
- Office of Sponsored Research, Administrative Point of Contact

CONSORTIUM FOR NUCLEAR FORENSICS FUNDING OPPORTUNITY: DE-FOA-NA0003567

- Authorized Organization Representative (AOR) Name, Telephone Number, Email
- Fiscal Contact Name, Telephone, and Email
- Senior/Key Personnel, Title, Name of Institution, Telephone #, Email
- Consortium (Team Members), IHE Name, Telephone #, Email of each team-member
- List DOE National Laboratories collaborating on the project and principal partner for project
- Budget shown below should only provide a summary of the budget for each institution in the consortium (this is only a table summarizing annual amounts for each institution of the consortium showing a 5-Year Budget Period at \$5M per year for a total of \$25M).

Figure 1. Title Page Example

PROJECT TITLE
 Office of Defense Nuclear Nonproliferation Research and Development
NOFO: DE-FOA0003567
 Name of Institution
 Street Address City/State/Zip, Postal Address (5-digit zip code + 4 Code Lookup)
 Congressional District

PRIME (LEAD) IHE
 A. Smith, Title, Name of Institution - Principal Investigator
 A. Jones, Title, Name of Institution) – Co-PI
 A. Greene, Title, Name of Institution – Senior Key Person
 Office of Sponsored Research, Administrative Point of Contact
 Authorized Organization Representative (AOR) Name, Telephone Number, Email
 Fiscal Contact Name, Telephone Number, and Email

Consortium IHEs (list all partners)
 A. Brown, Title, Institution, Co-PI (Role)
 A. Jones, Title, Institution, Senior Key Person (Role)
 etc....

Figure 2. Budget Summary Example

Name of Institution	Year 1	Year 2	Year 3	Year 4	Year 5	Total
PRIME (Lead)						
Subapplicant #1						
Subapplicant #2						
Subapplicant #3						
Subapplicant #4						
Subapplicant #5						
Subapplicant #6						
Total:	XXX	XXX	XXX	XXX	XXX	XXX

**Add more rows to include all IHEs in the proposed consortium*

ABSTRACT

Not to exceed 2 pages., including a table of contents, charts, graphs, maps, photographs, tables, and other pictorial presentations.

The Abstract is a short summary of the research paper that serves multiple purposes, such as letting readers get the “gist” of the proposed project. The abstract concisely reports the aims and outcomes of your research, so that readers know exactly what the proposed project is about and is usually about a paragraph (6-7 sentences, 150-250 words long).

A well-written abstract should serve multiple purposes: 1) lets the reader get the gist or essence of the paper or article quickly, in order to decide whether to read the entire proposal; b) prepares readers to follow the detailed information, analyses, and arguments provided in the research and development proposed project; and c) later helps readers remember key elements of the proposed project. The Abstract should describe the purpose of the proposed work, the methodology used, and the conclusions drawn. Ultimately, it must be suitable for distribution to the public and not include proprietary or business information.

- Use standard 8.5” by 11” pager with 1-inch margins (top, bottom, left, and right)
- Font size not smaller than 11-point
- Do not duplicate information from the Title Page and the Technical Project Narrative for the Abstract
- Do not include internet addresses that provide information necessary to review the application
- Information on any external information (e.g., Uniform Resource Locators) will not be reviewed.

Table of Contents

Limited to 1 Pg.

Technical Project Narrative

The Project Narrative must begin with a TITLE PAGE(S) that will not count towards the overall page limitation of 30 Pgs. including charts, graphs, maps, photographs, tables, and other pictorial presentations.

- Must use standard 8.5” by 11” Pg., Times New Roman with font size not smaller than 11-point with 1-inch margins (top, bottom, left, and right)
- The Project Narrative is attached to Field 8 on the Research and Related Other Project Information Form.

The Scientific and Technical Merit element of the project narrative, including required plans detailed below, comprise most of the narrative. The Project Narrative must contain and discuss, in more detail, the elements within the Statement of Objectives and must be tailored to meet the specific applicant’s project description.

The **Technical Project Narrative** excluding the Title Page and Abstract includes the below elements:

1. [Table of Contents](#)

Limit to 1-2 Pg.

2. [Statement of Objectives \(SO\) – Stand Alone Document](#)

Begin document on a fresh clean sheet of paper and start after the Table of Contents numbering sequentially. This section must not be more than 5-6 Pgs., and not less than 11 font size with 1 inch margins on all four sides (top, bottom, left, and right).

The Statement of Objectives identifies the broad, basic, top-level objectives of the proposed project and is used as a focusing tool for both the Federal government project managers and the consortium team members. It is a concise and descriptive summary of the work to be performed addressing the objectives of the project and how each will be met. It must include a description of all activities to be completed during the project period using a timetable and milestones. The SO must also provide sufficient information and a detailed structure of the program design that

is proposed to satisfy the objectives.

This is a stand-alone document and is generally less than 6-7 Pgs. total and contains the below elements:

a. **Objectives**

One paragraph describing the overall objectives and each phase of the work. This is the decision-making and resource allocation process.

b. **Scope of Work**

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

c. **Organizational Chart - Visual**

An organizational chart of the team members provides a visual perspective of how the consortium will best achieve the objectives of the project. The organizational chart should include all funded collaborators showing how the roles and responsibilities of the consortium will work together to achieve the objectives of the project. The PRIME (Lead) Applicant will be the CEO of this project, and all other IHEs will fall below the PI and have specific roles and responsibilities to ensure a successful project.

d. **Roles of Participants**

Further discussion of the elements contained within the Statement of Objectives of the multi-organizational or multi-investigator project, 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. Discuss the roles and responsibilities of the team members, external partners (can include other universities and other sponsoring or participating entities), and all collaborators and the collaborative support of each team member, etc. Additionally, this section should discuss how the collaborating institutions and all aspects of its research plan will be integrated and managed; how priorities will be set and if necessary, how they will be enforced. This section is tied to the Organizational Chart but is descriptive and in narrative format.

e. **Consortium Resources**

Limit 2-3 Pgs.

The narrative is to include discussion of the competency and adequacy of the proposed consortium resources, including collaborations, as well as facility and computer resources. The discussion must present a team of personnel with proven capabilities in the relevant field(s) of endeavor and describe the roles and the work to be performed by each participant and member of the Consortium.

f. **Identification of Tasks and Performance**

This identifies all the tasks required for full performance of the proposed project and must be concisely written. It should be in logical sequence and divided into the phases of the project, as appropriate. This section provides a summary of the planned approach to this project. Task identification is essential for creating effective job descriptions/roles that accurately reflect the duties of a position for each of the participants. Clearly defined tasks often lead to improved employee performance by setting clear expectations and measurable outcomes. Therefore, by providing clear expectations and measurable outcomes for each of the roles whether a Principal Investigator or co-Principal Investigator or Senior Key Personnel. This section should also provide clear definition of the roles and responsibilities of each of the Post-doctoral positions for each of the supporting IHEs. Once this is developed, the organizational chart will show the individuals providing the support to the Prime (lead) applicant. Individuals that are not of the Prime (Lead) applicant are identified as co-Principals and/or Senior Key Personnel.

g. **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. At 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 or identified major risks and associated mitigation strategies.

h. **Relevance and Outcomes/Impacts**

Limit to 0.5-1 Page

This section is to explain the relevance of the effort to the DNN R&D Program Objectives stated in Section 1.G. of this NOFO and the expected outcomes and/or impacts. Review entire Section to be clear of the overall program description and requirements.

i. **Project Timetable**

Limit to 0.5-1 Page

This section provides an outline of the function of time, year-by-year and all the important activities or phases of the project. Include activities planned beyond the project period. Successful applicants must use this project timetable to report progress. An example of a research and development proposed project is shown below in **Figure 3**.

j. **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. 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.

NOTE: *Upon award and during project performance (Postaward), the Recipient must report the Milestone Status as part of the required quarterly Research Performance Progress Report (RPPR) as per the DOE F-4600.2 Federal Assistance Reporting Requirements Checklist (attached in the Base Award).*

3. **Merit Review Criterion Discussion – Stand Alone Document**

Limit 1-2 Pgs.

The Merit Review Criterion discussion should be formatted to address each of the merit review criteria and sub-criterion listed in Section on Merit Review V.A.1. of the Application Review Information and continue to review entire Section V. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. The Merit Review Discussion requires that the first three bullets are summarized in a single page “roadmap” that shows how all the pieces fit together to support the overall research goals. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. **NOTE:** NNSA will evaluate and consider only those applications that address each Merit Review Criterion and sub criterion separately found in SECTION V.

4. **Collaboration Plan – Stand Alone Document**

Limit to 1-2 Pgs.

Describe management and coordination mechanisms and how the work of the consortium shall be coordinated and integrated with the partner DOE National Laboratories (See Attachment 2 for List of DOE National Laboratories. This plan should address ideas for interacting with the DOE National Laboratories, including exposing laboratory technical personnel to work being done by the proposed consortium and academia personnel to work done by the DOE National

Laboratories. This plan should also address the required internships at DOE National Laboratories (NNSA-funded graduate students are required to complete a 10-consecutive week internship during their graduate career. Post-docs and research staff are required to visit the lab for one week during each year they receive DNN R&D funding) and other proposed collaboration between the applicant and the DOE National Laboratories. Describe management and coordination mechanisms and how the work of the consortium shall be coordinated and integrated with the partner DOE National Laboratories. NOTE: Collaborations with other IHEs and industry while DOE/NNSA may expect and give preference to a selected consortium to be primarily focused on a single lead university, collaborations with other universities, and industry are appropriate.

5. **Project Management Plan (PMP) – Stand Alone Document**

Limited to 10 Pgs.

This section must include how the: 1) Proposed project will be organized and managed, both in terms of day-to-day operation and in establishing and maintaining longer-term goals; and 2) Overall system integration will be organized; 3) Software development will be coordinated and integrated within the consortium framework.

The PMP should be detailed to include the below sections. Note that the Project Management Plan is not the Project Narrative. This plan should describe the structure of the proposed partnership and roles of each member of the organization including the DOE National Laboratories. This section should also include management/monitoring plans for all subawards 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.)

- **Management Process**

Provide a description of the proposed approach to manage the coordination of activities within and amongst the IHEs and DOE National Laboratories of the consortium. The management process should include prioritization, quality, and out-year selection of research including multi-site research; and dialog among, and if needed replenishment of, key personnel.

- **Success Criteria at Decision Points**

Provide success criteria for each decision point in the project, including go/no-go decision points at the conclusion of each budget period and for 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.

- **Funding and Cost 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 the first budget period, at a minimum.

- **Project Timeline**

Provide a milestone schedule, 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 interdependence between tasks and include the milestones that are identified in the Milestone Log as requested in the Statement of Objectives above.

6. [Data Management Plan – Stand Alone Document](#)

Limited to 5 Pgs.

Please see the Digital Research Data Management website located at [DOE Requirements and Guidance for Digital Research Data Management | Department of Energy](#)

Figure 3. Research & Development Timetable Example
(Must show interdependence between phases and activities depicted in table)

Phase	Activity	Estimated Duration	Start Date	End Date	Deliverable	Comments
Research Design & Planning	Finalize research problem/questions				Confirmed research problem/questions	
	Develop research design				Draft research design section for final report	
	Prepare research proposal				Research proposal/ethical approval submission	
Literature Review	Search, capture, and synthesize relevant literature				Notes & other output from review process	
	Prepare draft literature review				Draft literature review section for final report	

APPENDICES – MANDATORY FOR THE PRIME (LEAD) APPLICANT AND SUBAPPLICANT

The Prime (Lead) Applicant is required to provide the completed Appendices one through eight listed below.

- The Prime (Lead) applicant is also responsible for ensuring that the subapplicant(s) also provide completed Appendices in their package to support application requirement.
- Prior to uploading to the RR Other Project Information Form, Label the Appendix with the Appendix Number, Entity Name and Person that filled in the information on the Appendix.
- PDF documents before uploading them to the RR Other Project Information Form or Attachments Form.

Appendix 1 Biographical Sketch

Limited to 3 Pgs. and must PDF document

The Biographical Sketches are used to assess how well qualified the individuals and teams are to conduct the proposed activities. A Biographical Sketch (limited to three pages) must be provided separately for everyone designated as the Principal Investigator and key/senior personnel. The Biographical Sketch documents must be in PDF format and attached to the RESEARCH & RELATED Senior/Key Person Profile (Expanded) Form. The Biographical Sketch for each person must not exceed three pages when printed on letter- size (8.5-inch x 11 inch) paper with 1-inch margins (top, bottom, left, and right) with font not smaller than 11-point.

The Biographical Sketch format is generated by the Science Experts Network Curriculum Vita (SciENcv); a cooperative venture maintained at [SciENcv: Science Experts Network Curriculum Vitae](#). Instructions for the Biographical Sketch is located at [Documents Required for Senior/Key Personnel - Funding at NSF | NSF - U.S. National Science Foundation](#). To format the Biographical sketch, please review the National Science Foundation’s website located at [SciENcv: Science Experts Network](#)

Curriculum Vitae.

DOE/NNSA requires a biographical sketch for each individual identified as senior/key personnel. A brief outline of the information you will need to include is provided below.

- Identifying Information
- Organization and Location
- Professional Preparation
Provide a list of the senior person's professional preparation (e.g., education and training), listed in reverse chronological order by start date. Include all postdoctoral and fellowship training, as applicable, listing each separately. Also include the baccalaureate degree or other initial professional education.
- Appointments and Positions
Provide a list, in reverse chronological order by start date, of all the senior person's academic, professional, or institutional appointments and positions, beginning with the current appointment.
- Products
Provide a list of up to 10 publications most closely related to the proposed project. In addition, if applicable, provide a list of up to five products most closely related to the proposed project and up to five other significant products.

Appendix 2 Current and Pending Support

Must be in PDF format

The format generated by the Science Experts Network Curriculum Vita (SciENcv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/> is available with additional information, required disclosures, and frequently asked questions via [SciENcv: Science Experts Network Curriculum Vitae](#) at [Documents Required for Senior/Key Personnel - Funding at NSF | NSF - National Science Foundation](#). To formatting of the Current and/or Pending Support, please review the NSF website and click on the link for instructions found at [NSTC Research Security Subcommittee NSPM-33 Implementation Guidance Requirements & Standardization](#).

Individuals required to submit Current and/or Pending (Other) Support disclosures must provide a digital persistent identifier (PID) as part of the NOFO application. Included PIDs must meet the common/core standards specified in the [NSPM-33 Implementation Guidance](#) or successor guidance (e.g., an [ORCID iD](#)). The inclusion of an individual's PID will be optional until May 1, 2025, and mandatory thereafter.

(a) All resources made available, or expected to be made available, to an individual in support of the individual's RD&D efforts, regardless of (i) whether the source is foreign or domestic; (ii) whether the resource is made available through the entity applying for an award or directly to the individual; or (iii) whether the resource has monetary value; and (b) includes in-kind contributions requiring a commitment of time and directly supporting the individual's RD&D efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students. This term has the same meaning as the term Other Support as applied to researchers in [NSPM-33](#): For researchers, Other Support includes all resources made available to a researcher in support of and/or related to all of their professional RD&D efforts, including resources provided directly to the individual or through the organization, and regardless of whether or not they have monetary value (e.g., even if the support received is only in-kind, such as office/laboratory space, equipment, supplies, or employees). This includes resource and/or financial support from all foreign and domestic entities, including but not limited

to gifts provided with terms or conditions, financial support for laboratory personnel, and participation of student and visiting researchers supported by other sources of funding.

Senior/key personnel – an individual who contributes to a substantive, meaningful way to the scientific development or execution of a R&D project proposed to be carried out with a DOE award. DOE has designated any individual who meets the definition of senior/key personnel as a covered individual responsible for completing a current and pending support disclosure. DOE may further designate covered individuals during award negotiations or the award period of performance.

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

Individuals required to submit Current and/or Pending (Other) Support disclosures must provide a digital persistent identifier (PID) as part of the NOFO application. Included PIDs must meet the common/core standards specified in the [NSPM-33 Implementation Guidance](#) or successor guidance (e.g., an [ORCID iD](#)). The inclusion of an individual's PID will be optional until May 1, 2025, and mandatory thereafter.

Certification Statement (MANDATORY)

Each current and pending support disclosure must be signed and dated and include the following certification statement:

I, [Full Name and Title], certify to the best of my knowledge and belief that the information contained in this Current and Pending Support Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3733 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which may impact the responses provided above.

If the fillable NSF PDF format is used, the individual must still include a signature, date, and a certification statement using the language included in the paragraph above. If the online version is used in SciENCv, a signature, date, and a certification statement must be attached until the SciENCv website automatically attaches a certification statement.

Individuals required to submit Current and/or Pending (Other) Support disclosures must provide a digital persistent identifier (PID) in such disclosures as part of the NOFO application. Included PIDs must meet the common/core standards specified in the

[NSPM-33 Implementation Guidance](#) or successor guidance (e.g., an [ORCID iD](#)). The inclusion of an individual's PID will be optional until May 1, 2025, and mandatory thereafter.

NOTE: *Appendices 1 and 2 are attached to the RR Senior/Key Person Profile (Expanded) form. Appendices 3-8 are attached to the RR Other Project Information Form in PDF (Prior to attaching the appendices, fill-in Items 1-6 on the RR Other Project Information Form). Forms must be in PDF form.*

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

A list of potential conflicts of interest or bias in selection of reviewers for your application is required to be submitted via a tabular format, preferably as Microsoft Excel (.xls or .xlsx) files. This is a separate document from required under Appendix 3 and is a part of the Current and Pending Support.

NOTE: *Do not combine Appendix 3 with Appendix 2 Current and Pending Support (two separate documents and must not be combined or merged).*

NOTE: *Do not identify any personnel at the applicant institution or any proposed subrecipient or team institution; these staff are prohibited from serving as merit reviewers. Large collaborations of 50 or more researchers do not require that all collaborators be identified: rather, only list the researchers with whom the senior/key person are collaborating.*

For all identified individuals, 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." For Appendix 3, please provide the information below:

- 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. For research areas where there are routinely more than 10 coauthors of archival publications, you may use an abbreviated style such as the Physical Review Letters (PRL) convention for citations (listing only the first author). For example, your paper may be listed as, "A Really Important New Result," A. Aardvark et. al. (MONGO Collaboration), PRL 999. 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.

NOTE: *Do not attach a separate file. This appendix will not count in the project narrative page limitation. Must be in PDF format.*

Appendix 5 Facilities & Other Resources

Institutional Facilities: Discussion should include computing and experimental resources, available facilities, and budget, in relation to other commitments. Support of the Center by the prime institution is required and will be evaluated; the institution must ensure that the required infrastructure to support a successful Center is, or will be, in place. 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.

This information is used to assess the capability of the organizational resources, including subrecipient resources, available to perform the effort proposed. 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. For proposed investigations requiring access to experimental user facilities maintained by institutions other than the applicant, provide a document from the facility manager confirming that the researchers will have access to the facility. Such documents, if they do not become letters of support or recommendation, may be printed on appropriate letterhead or with the header of, Appendix 5. Facilities and Other Resources. Letters of support from entities or IHEs may be attached but should not be part of the description for Facilities and Other Resources provided for that entity.

Allocation of resources/facility use time: If collaboration with a DOE National Laboratory is proposed in which experiments will take place at a DOE/NNSA facility, the application should discuss how access to the facility will be accomplished. The PI is responsible for contacting the DOE/NNSA facility director to discuss any facility-related activities, including beam-time availability, shot schedule, etc. The process by which access to the necessary experimental facility is obtained should be discussed in the application. If possible, a letter from either the facility director or program manager (who has experiment schedule authority at the facility) should be included with the application indicating the facility has the appropriate availability and that the proposed work on the facility is feasible.

When the activities of the proposed project for award may use a facility owned or operated by the prime applicant (home institution of the PI), the application should

include or reference the facility use plan for the facility, detailing the process by which Collaborators within the award and other researchers will be allotted facility use or experimental time.

NOTE: *Letters of support for Facilities and Other Resources may be attached but note that they will not be considered part of the narrative description of equipment provided by entities or collaborators.*

Appendix 6 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. Provide the Equipment information as Appendix 6 to your project narrative. Letters of support from entities or IHEs should be attached to Appendix 6 but should not be part of the narrative or discussion of equipment provided by collaborators or IHEs.

If applicable, the application must present a detailed scientific justification for any request for capital equipment and for construction investments necessary for the cooperative agreement to achieve its scientific goals. Requests for construction investments not specifically related to the scientific goals of the grant and requests for facility operating funds outside of that needed to conduct experiments to achieve the scientific goals of the proposed project for award will not be considered.

The following is important to mention and include in the appendix:

- Access to lab equipment, mentors, and facilities will be coordinated by the DOE National Laboratory and a listed point of contact and/or project coordinator at that site.
- The DOE National Laboratories are responsible for the cost of equipment or facility usage incurred by the Consortium's Postdoctoral (typically a Ph.D.), Graduate Fellows, or Interns, except for reimbursement for use of facilities that require "user fees" in accordance with the labs policies and procedures.
- Access to the IHE equipment, colleagues and students, and facilities will be coordinated by the IHE and a listed point of contact and/or Principal Investigator (PI) at that site. The IHE staff may be either Prime (Lead) PI or the subaward co-PI.

NOTE: *Letters of support for Equipment may be attached but are not considered part of the narrative description of equipment required by the team.*

Appendix 7 Non-U.S. Citizen Support List

No foreign persons are allowed to be funded through the awarded consortia, but the following information is still required. Provide a list of foreign persons including full name, countries of birth and citizenship, and U.S. status that are planned to be supported in this application, either through Federal funds or IHE cost-share funds. Failure to provide this information may result in disqualification of your project application.

NOTE: *NNSA must approve, in-writing, any foreign person participating in the project that is approved at award or postaward. If you do not have any foreign persons listed in your application, please indicate in Appendix 7, "None."*

Appendix 8 Letters of Collaboration/Support

Collaboration Letters or Letters of Support (from each collaborator named on the application describing the contribution to the proposed research).

MANDATORY FOR PRIME (LEAD) APPLICANT AND SUBAPPLICANT: THE BUDGET AND BUDGET NARRATIVE JUSTIFICATION WORKSHEET

See Pg. 45 – for an explanation of the budget categories and what is required from you. Please fill-in all information requested and provide detailed information such as quotes from various vendors for equipment – you must obtain a minimum of three quotes for equipment greater than \$10,000 unless it is the only manufacture that provides the equipment required. If sole sourcing, please provide justification and documentation in the spaces for vendor and justification areas.

There are two types of budgets available to the applicant that are dependent on whether you are cost sharing. Although, cost share is not required nor is it taken into consideration when reviewing the applications for award, the applicant must still choose the proper RR Budget Form. These are Standard Forms and can be found in Grants.gov at [R&R Family | Grants.gov](#). Along with the RR Budget Form, the applicant is also required to submit the RR Budget Justification Worksheet (attachment).

NOTE: [For more tips on budgets, see Pgs. 45 – 52.](#)

- **For Cost Share**
 - Use the **Research and Related (RR) Budget (Total Fed+Non-Fed) Form**.
 - At the bottom of the last page, budget periods may be added for a total of a 5Yr Budget Period.
 - Complete the Budget Justification Narrative Worksheet (this is an Excel document and must not be modified in any manner).
 - Once completed, attach both documents to the Attachments Form along with the RR Budget Narrative Justification Worksheet.

- **For Non-Cost Share**
 - Use the **Research and Related Budget Form** (*no cost share*)
 - This budget is used for the 5-Year Budget Period submission (at the bottom of the last page, click on “Add Period” and another year is added to the budget until all 5-years are filled in.
 - In the RR Budget Form, in Section L, Budget Justification attach the Budget Justification Narrative Worksheet (this is an Excel document and must not be Pdf’d nor changed in any way).
 - In the upper left-hand side of these forms, the applicant will check the box to denote consortium and/or subaward.
 - Once completed, attach both documents to the Attachments Form.

The PRIME (Lead) Applicant is responsible and:

1. Has its performance measured in relation to whether the objectives of a Federal program are met.
2. Has responsibility for programmatic decision-making.
3. Is responsible for adherence to applicable Federal program requirements specified in the Federal award.

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4. Implements a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.
5. Responsible for ensuring that each subapplicant's application package is complete and conforms with the requirements of the overall project requirements ensuring that it is not submitted as a stand-alone application package but is that of a supporting role.

The forms to include are cited below and must be filled in and submitted for both the PRIME (Lead) and Subapplicant(s). The subapplicant must coordinate submission of their application with the PRIME (Lead) Applicant; however, you are required to submit all forms as indicated in this NOFO. See **Attachment 2** for more information on both applicant and subapplicant required forms and formats for a quick summary of forms required.

NOTE: *All of the below standard forms are required of both the PRIME (Lead) applicant and subapplicants.*

Government Approved Indirect Cost Rate Agreements – Mandatory for Applicant and Subapplicant

If a Negotiated Indirect Cost Rate Agreement (NICRA) has been negotiated and approved for the Prime and Subapplicant(s) (IHEs) by its the cognizant federal agency, this document must be submitted with the application. The NICRA 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" in the Attachments Form, Attachment 1 in Grants.gov Workspace.to the Grants.gov Workspace

The Prime Applicant or Subapplicant may request indirect costs under this NOFO if a negotiated indirect cost rate does not exist. If an entity is proposing indirect costs and does not already have an Indirect Cost Rate Agreement with a Cognizant Federal Agency or documentation of rates accepted for estimating purposes by DOE/NNSA or another Federal agency, it is recommended that you begin preparing an Indirect Cost Rate Application to be submitted, upon request, to the NNSA Grants Officer/Specialist who will evaluate your application if you are considered for award.

Summary of Required Forms and Files

For minimum eligibility, an application must include the standard forms and additional mandatory forms found in **Attachment 2, Applicant and Subapplicant Required Forms and Format**. Please note that the below is not a complete list of all required standard forms and documentation.

National Environmental Policy Act (NEPA) Compliance

Neither the PRIME (Lead) Applicant or Subapplicant are required to complete this form. If selected, you may be asked to provide the information on this form so, please take the time to familiarize yourself with the NEPA Compliance requirements.

Question 4.a. on the "Research and Related Other Project Information" document indicates "potential impact on the environment," or if DOE/NNSA's own review indicates it, DOE/NNSA may ask the applicant to provide additional information on those impacts to prepare an environmental critique/synopsis per 10 CFR 1021.216. Note that this pre-award environmental critique/synopsis process would be separate from the preparation of a NEPA document such as an environmental impact statement (EIS) or an environmental assessment (EA). If DOE/NNSA determines the latter documentation is necessary, this process would need to be completed, funded by and with the participation of the recipient, prior to them taking any action on the proposed project that could have adverse environmental effects or that could limit the choice of reasonable alternatives. Note that in most cases, even when "Potential Impact to the Environment" is checked "Yes," preparation of such NEPA documents is rarely necessary, but DOE/NNSA has the

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expectation that the Applicant will disclose any potential impact to the environment which serves to initiate dialog with DOE/NNSA, if necessary. The inability to satisfy the NEPA requirements after an award would result in cancellation of the award.

If selected for potential award, DOE/NNSA reserves the right to request additional or clarifying information for any reason deemed necessary. The request may include but not be limited to:

- Environmental Information
- Indirect cost information
- Information to determine risk posed
- Letter from Vice President for Research (or equivalent), as described in Section I-I.
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See [10 CFR 1040.5](#))
- Other budget information
- Representation of Limited Rights Data and Restricted Software ([52.227-5](#)), if applicable

Deliverables, if Selected for an Award

The *DOE F-4600.2, Federal Assistance Reporting Checklist* provides instructions for submission of both financial and progress reports. You will receive a filled-in document that indicates which reports are required and their associated due dates. Please follow the instructions on this form carefully.

NOTE: *The PRIME (Lead) Applicant must provide a list of deliverables other than those identified on the "Federal Assistance Reporting Checklist" that will be submitted to the program official for review and approval. The DOE F 4600.2 Federal Assistance Reporting Checklist can be found at [www.energy.gov.docx](http://www.energy.gov/docx) (downloadable document). The reports must also be identified within the text of the Statement of Project Objectives. The PRIME (Lead) Applicant (Lead) is the responsible entity that will submit all Performance and Financial Reports; however, it is critical that a subapplicant provides bi-annual reports about their progress and financial expenditures that coincide with their budgets (or as requested by the PRIME (Lead) Applicant). Once an award is made, the information from the subapplicants flows up to the PRIME (Lead) recipient and is combined to provide a progress performance report as well as financial reports.*

E. SUBAPPLICANT APPLICATION REQUIREMENTS AND MANDATORY FORMS

The subapplicant is required to submit the Standard Forms. Please see Pgs. 32 - 37 for instructions on the expected Standard Form documents required. Please review the instructions provided to the PRIME (Lead) Applicant to better understand the requirements for the subapplicant. Further, once the Standard Forms are completed, the Subapplicant must follow the below as these are required, as well.

MANDATORY STANDARD FORMS – SUBAPPLICANT

The subapplicant is required to submit the Standard Forms. See Pgs. 26 - 28 for instructions on the expected documentation for each form.

1. RR SF-424 Application for Federal Assistance
2. RR SF-424B Assurances for Non-Construction Programs
3. Key Contacts for the Authorized Organizational Representative
4. RR Senior/Key Person Profile (Expanded) – *this form contains links to upload the Biographical Sketch of each Senior Key Person is required and Current and Pending Support is required of each Senior Key Person (Appendices 1 & 2)*
5. Disclosure of Lobbying Activities (SF-LLL)
6. Grants.gov (GG) Lobbying Form
7. Research and Related (R&R) Other Project Information

8. Project Performance Site Location Form

APPLICATION REQUIREMENTS FOR SUBAPPLICANT

Each subapplicant is required to submit a **Cover Page, Abstract and Statement of Objectives (this excludes the required Appendices and the Standard Forms)**.

In combination, these sections are limited to 8 Pgs. maximum with the exclusion of the budget, appendices and Standard Forms. When complete, please ensure that there is coordination with the PRIME (Lead) applicant.

All forms and documents must be submitted directly to the PRIME (Lead) applicant for their approval as to the role and scope of work the subapplicant is assuming to meet the project objectives/goals in whole and not an individually submitted application.

- The PRIME (Lead) Applicant will determine placement of the documents submitted by each subapplicant. In Attachment 2, there is a suggested location to upload the documents, but this can change based on the Prime (Lead) applicant.
- For the abstract, project narrative, and statement of objectives review the information provided for the Prime (Lead) applicant requirements and tailor your submission to 8 Pgs. maximum only. Do not duplicate the information provided by the Prime (Lead) applicant.
- Instructions for the Cover Page are below and are not the same as those for the Prime (Lead) applicant.
- As part of the consortium, each subapplicant assumes a role and each should describe the role and performance to ensure a proficient proposal and project. Therefore, each subapplicant is required to collaborate (cooperate) with the Prime (Lead) applicant in submitting the required documentation. The application of the subapplicant is not a stand-alone document but rather each subapplicant ensures the support to the entire proposed project as per the Prime (Lead) applicant. Therefore, the subapplicants' participation is as a consortium member and not as an individual applicant; therefore, it is critical to work in tandem and in partnership with the PRIME (Lead) applicant when submitting the application.
- It is expected that the application submitted will be well-organized and developed effectively for the proposed project that balances risk, cost, schedule, and performance.
- *As the subapplicant, you are not submitting an application on your own but as part of the consortium (partnership) of which the PRIME (Lead) will provide direction as to the management of the Standard Forms, Narratives, and Budget and submission of the application – please take the Prime (Lead) Applicant's direction to allow for ease of submission of the entire application.*

It is also critical that the documents submitted by the subapplicant contain headers identifying the IHE, co-Principal Investigator, and the PRIME (Lead) university name. Each document must be labeled with the headers to ensure that the documents remain together during the upload and download of the applications from the subapplicant. They must also be in PDF format when requested as this will help maintain orderly submission apart from the Budget Narrative Justification Worksheet (this document must remain in Excel format).

In addition, the subapplicant must submit the Appendices 1 – 8. Follow the instructions provided to the PRIME (Lead) applicant.

Cover Page (limited to 1 Pg.)

- Project Title of Consortium Project Proposal (*there is only one project title, and it is that of the consortium*). See Figure 6 below for example of the Cover Page.

- NOFO: DE-FOA-0003567
- Entity Name – Name of University
- Name of Senior/Key Personnel (co-Principal and/or Senior Key Personnel)
- Contact Information of each to include the name of individual, telephone number and email of persons
- Authorized Organizational Representative (person authorized to sign the award document)
- Budget Summary

Figure 6. Subapplicant Cover Page

Project Title of Consortium Proposal (Not an Individual Project) NOFO: DE-FOA0003567 Consortium Team Members and their Role in the Project Co-PI, A. Smith, Title, Institution Name, Telephone Number, Email Address Senior Key Person, A. Jones, Title, Institution Name, Telephone Number, Email Address Senior Key Person, A. Greene, Title, Institution Name, Telephone Number, Email Address Include AOR and Contact Information

Example of Budget Summary

Name of Institution	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Subapplicant #1						
Total:	XXX	XXX	XXX	XXX	XXX	XXX

Abstract (Limited to 1 Pg.)

The project abstract is a summary of the proposed activity suitable for distribution to the public and sufficient to permit potential reviewers to identify conflicts of interest. The abstract must take into account the role and performance that the subapplicant is assuming under this project; therefore, it is not submitting its own application but assigned or suggested by the PRIME (Lead) applicant.

Statement of Objectives (SO) (Limited to 6 Pgs.)

A Statement of Objectives is required of each subapplicant and must contain a clear, concise description of all activities to be completed during project performance. This document must address how the objectives will be met and is generally less than 4 pages in total for the proposed work, which does not include the cover page. Following are the requirements of the subapplicant for this section.

- **Title of the Proposed Project**
Insert the title of the proposed project in whole – the title is that of the Consortium and not of each subapplicant. There is only one Project Title.
- **Statement of Objectives – 2 Pgs. Stand alone**
Must include one paragraph on the overall objective(s) of the work. Also, include objective(s) for each phase of the work that you will undertake – this is not the objectives of the project in totality but that of the objectives you will perform. Each subapplicant must describe their role and how they will collaborate to achieve the overall project objectives.
- **Scope of Work**
Must not exceed one-half page and should summarize the effort and approach to achieve the objective(s) of the work for each Phase.
- **Tasks to be Performed (Milestones)**
Must be concisely written, should be provided in a logical sequence, and divided into the

phases of the project, as appropriate. This section provides a summary of the planned approach to this project.

APPENDICES 1-8 – MANDATORY REQUIREMENT OF SUBAPPLICANT

See Pgs. 34 – 37 for instructions.

The appendices listed as required of the PRIME (Lead) Applicant are also required of the subapplicant. The instructions for each of the Appendices' can be found above for the PRIME (Lead) applicant are required of the subapplicant. For instructional details, please see the above referenced requirements and on the form or as requested of the PRIME (Lead) applicant.

MANDATORY – SUBAPPLICANT R&R BUDGET FORMS AND BUDGET NARRATIVE JUSTIFICATION WORKSHEET

RR Budget (Fed+NonFed) Form and RR Budget Form

There are two types of budgets available to the subapplicant that are dependent on whether you are cost sharing. Although, cost share is not required nor is it taken into consideration when reviewing the applications for award, the applicant must still choose the proper RR Budget Form. These are Standard Forms and can be found in Grants.gov at [R&R Family | Grants.gov](#). Along with the RR Budget Form, the applicant is also required to submit the RR Budget Justification Worksheet (attachment). Please follow the instructions provided to the PRIME (Lead) applicant for the subapplicant RR Budget Form (no cost share) or the RR Budget (Fed+NonFed) Form.

The Research and Related (RR) Budget or the RR Fed+NonFed Budget form must be completed in accordance with the instructions on the form in Grants.gov Workspace (Activate Help Mode to see instructions). Applicants must complete a separate budget for each year of support requested. The form will generate a cumulative budget for the total project period. Applicants must complete all the mandatory information on the form before the NEXT PERIOD button is activated. Applicants may request funds for 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, reasonableness, and allocability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this NOFO.

When completing the form in Grants.gov Workspace, applicants can hover over the specific fields within the form to view instructions for completing the fields.

It is critical that in either the RR Budget or the RR Budget Fed+NonFed Budget, the subapplicant select the **“consortium/subaward button”** on the upper left-hand corner of the budget forms. Each subapplicant is required to submit a separate budget (please collaborate with the PRIME (Lead) Applicant to determine submission and follow their instructions to ensure uniformity amongst all partners/consortium).

After the subapplicant has either emailed its completed budget to the PRIME (Lead) Applicant or completed it within Workspace, attach it to one of the blocks provided on the form. Use up to 10 characters (UCLABudget.pdf) for the institution's (IHE) name. **Filenames must not exceed 50 characters.** PRIME (Lead) Applicants must ensure that any documents received from proposed subapplicants for the application are correct and contain accurate information as well as those that can be Pdf'd are submitted in PDF format. Each document provided by the subapplicant must contain the institution's name and person who developed the form and/or narrative.

NOTE: *Errors will be created if a subapplicant sends a PRIME (Lead) Applicant a budget form that was not extracted from the application package.*

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If the project involves more subapplicants than there are places in the SUBAWARD BUDGET ATTACHMENT(S) FORM, the additional subaward budgets may be appended to the Budget Justification attached to Field L or attached to the *Attachments Form*.

NOTE: *Applicants should consult with their local information technology (“IT”) support resources for any necessary assistance in converting the forms downloaded from Grants.gov into plain PDF files that can be combined into one non-Portfolio PDF file. Only the Budget Justification Narrative Worksheet must be submitted in Excel format (do not PDF) and must not be revised or changed in any manner.*

- **RR BUDGET (FED+NonFED) FORM** (With Cost Share)
 - Use the [Research and Related Budget \(Total Fed + Non-Fed\) Form](#), if cost sharing
 - At the bottom of the last page, budget periods may be added for a total of a 5Yr Budget Period.
 - Complete the Budget Justification Narrative Worksheet (this is an Excel document and must not be modified in any manner as well as do not PDF document).
 - Once completed, both documents are attached to the Attachments Form.

- **RR BUDGET FORM** (No Cost Share)
 - Use the [Research and Related Budget Form](#).
 - This budget is used for the 5-Year Budget Period submission (at the bottom of the last page, click on “Add Period” and another year is added to the budget until all 5-years are filled in.
 - In the RR Budget Form, Section L, attach to the Budget Justification Narrative Worksheet (this is an Excel document and must not be Pdf’d nor changed in any way)
 - In the upper left-hand side of these forms, the applicant will check the box to denote consortium and/or subaward.
 - Once completed, attach both documents to the **Attachments Form**

BUDGET JUSTIFICATION NARRATIVE WORKSHEET (EXCEL SPREADSHEET)

Please follow the instructions provided to the PRIME (Lead) applicant for instructions for the Budget Justification Narrative Worksheet.

A Budget Justification Narrative Worksheet is required for both the Prime Applicant and Subapplicant.

The budget and correlating justification detail how the project will allocate funds to support the specific budget categories and the project. It is an essential component of the application. Both the Prime Applicant and Subapplicant must submit a budget and budget justification and is required to identify how the cost estimates were developed (e.g., standard university labor rates, institution policy, vendor quotes, market research estimates, etc.).

The required Budget Justification Narrative Worksheet in Excel format contains instructions to further justify the costs requested in the budget. Do not replace this form with a written narrative. All columns in the worksheets must be filled-in when asked for such as, vendor, vendor quotes, etc.

[Do not PDF this document and do not hide tabs or worksheets.](#)

Attach the completed Budget Justification Narrative Worksheet by clicking "Add Attachment" in Field L – Budget Justification of the Research and Related (RR) Budget form in Grants.gov Workspace. The file automatically carries over to each budget year. These instructions apply to either the RR Budget (no cost share provided) and the RR Fed+NonFed Budget . This may also be submitted to the PRIME (Lead) applicant for their upload to the correct attachment form or discussions be held with the PRIME (Lead)

for uploading to the correct form(s).

Budget and Budget Narrative Tips

- Organize the justification by listing items in the same order as presented on the budget.
- Ensure that the narrative correlates with the budget in dollar amounts and language.
- Explain the line items. If costs are estimated, provide a basis for the estimate.
- Explain if costs are based on prior experience of similar activities or from a quote. If the cost is based on the product of two numbers (such as several items at a per-item price), ensure that the calculation is correct.
- Explain the basis for any inflationary factor should an inflationary factor for future budget periods be proposed.
- Provide any other information you wish to submit to justify your budget request.
- If the application includes sub-applicants, a separate budget justification for each subapplicant must be included following their detailed budget. Each sub-applicant’s budget justification narrative should be separate from the prime recipient’s justification and address just those items that pertain to their portion of the proposed award. See “R&R Subaward Budget Attachment(s)” below.
- Include the indirect cost rate agreement used in preparing a budget as a part of the budget justification.
- Applicants may request funds for any of the categories listed if the item and amount are necessary to perform the proposed work, meet all the criteria for allowability, reasonableness, and allocability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this NOFO.
- When completing the form in Grants.gov Workspace, applicants can hover over the specific fields within the form to view instructions for completing the fields.
- Fill in all required columns especially when it comes to the name of the “vendor”, whether it is sole source or provide the 3 justifications if not sole source.
- Do not leave any box not filled-in as this may render the application not forwarded for review by the program manager.

F. BUDGET BY BUDGET CATEGORIES EXPLAINED

- 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
- For Cost Share: Fed+NonFed applies to Cost Share and must use the R&R Fed+NonFed Budget

Section A: Senior/Key Personnel

Applicants are required to enter total funds requested for senior/key on the Research and Related Budget Form. If senior/key personnel are included, a budget justification narrative is required and must explain the need for requested senior/key personnel.

For each Senior/Key Person, enter the requested information (e.g., list personnel, base salary, the number of months that person will be allocated to the project, requested salary, fringe benefits, and the total funds

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requested for each person). Funds requested for personnel must be justified as the product of their effort on the project and their institutional base salary.

Funds requested for fringe benefits must be calculated as the product of the requested salary and, if present, the negotiated fringe benefit rate contained in an institution's negotiated indirect cost rate agreement.

The fringe benefit rate used must be explained if it is not the standard faculty rate. Provide the details of all senior/key personnel who will be working on the award, regardless of their source(s) of compensation. Explain their source(s) of compensation if it is not from this award. Include the indirect cost rate agreement as a part of the budget justification, if applicable.

Section B: Other Personnel

Applicants are required to enter total funds requested for other personnel on the Research and Related Budget Form. If other personnel are included, a budget justification narrative is required and must explain the need for requested the other personnel and provide the number of positions being filled in each category of other personnel.

For each Other Personnel, enter the requested information (e.g., list personnel, the number of months that person will be allocated to the project, requested salary fringe benefits, and the total funds requested for each person). Funds requested for personnel must be justified as the product of their effort on the project and their institutional base salary. Funds requested for fringe benefits must be calculated as the product of the requested salary and, if present, the negotiated fringe benefit rate contained in an institution's negotiated indirect cost rate agreement.

Provide the details of all other personnel who will be working on the award, regardless of their source(s) of compensation. Explain their source(s) of compensation if it is not from this award. Include the indirect cost rate agreement as a part of the budget justification, if applicable.

The below sections are not separate documents and will not be provided but are included in the Research and Related Budget Form and justified in the Budget Narrative Excel Spreadsheet. However, you may use a Budget Narrative format to provide a full narrative justification of each of the costs below, if necessary.

Section A&B: Fringe Benefits

Except as otherwise provided, all project grants and cooperative agreements awarded by the Department shall include funds for indirect costs applicable to the awards and must be based on the Federally Negotiated Indirect Cost Rate in effect for the recipient at the time of the award. All Yellow Highlighted Rows/Columns Must be Filled-in, provided costs are included. Attach a copy of the Negotiated Indirect Cost Rate Agreement.

Section C: Equipment

Applicants are required to enter total funds requested for equipment on the SF424. If equipment is included, a budget justification narrative is required and must explain the need for the equipment.

Equipment is 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 \$10,000. (Note that this designation applies for application budgeting only and differs from the DOE definition of capital equipment.)

Allowable items will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose office equipment is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research.

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List each item of equipment separately and justify each in the budget justification narrative. Do not aggregate items of equipment.

If equipment that is already available is requested, the justification must explain why the current equipment is insufficient to accomplish the proposed research and how the new equipment's use will be allocated specifically to the proposed research.

General purpose equipment, such as desktop computers and laptops, that will be used on multiple projects or for personal use should not be listed as a direct cost but should come out of the F&A costs, unless primarily or exclusively used in the actual conduct of the proposed scientific research. Price quotations that are unexpired must be provided to support the requested funding.

If application is selected for negotiation, be prepared to submit quotes for requested equipment items.

Section D: Travel – Domestic and Foreign Travel

Applicants are required to enter total funds requested for travel on the Research and Related Budget . A budget justification narrative is required for all travel.

Senior and key personnel travel requests must be included in the budget request and budget justification narrative. Trainee and participant travel may be requested in Section E for participant/trainee costs.

The budget justification narrative must clearly state the purpose of the travel and how the travel is directly related to the proposed project research and activity. To qualify for support, attendance at meetings or conferences must be related to the project of the award and enhance the individual(s) on the award capability to perform the research, plan extensions of it, or disseminate its results.

The budget justification narrative is to include: 1) the destination (if known, at least for year 1), 2) number of people traveling, 3) dates or duration of the stay for all anticipated travel; and 4) cost breakdown for transportation, per diem meals (e.g., number of days), per diem lodging (e.g., number of nights), using the entity's policy. Indicate the basis for the cost estimate and submit a copy of the IHE Travel Policy.

To submit a budget and justification for travel, there are two potential locales: domestic and foreign travel. If an applicant entity does not have a travel policy, this must be reported immediately and the recipient must use the U.S. Federal government guidance for domestic travel located at [Per diem rates | GSA](#). For foreign travel, applicants must use the Department of State's foreign travel guidance located at [U.S. Department of State | Home Page](#). For foreign travel alerts/advisories, please review information at the Department of State <https://travel.state.gov/content/travel/en/traveladvisories/traveladvisories.html/>.

All requests for foreign travel during performance of an awarded cooperative agreement, not initially authorized by the grant officer, must be submitted in advance (a minimum of 45 calendar days) and in writing, to the Grant Officer for prior approval (please copy the Technical Project Officer). This prior approval request to travel abroad must include the travel dates, location (including any personal travel during the trip), purpose, justification, and cost. Each recipient must refer to their institution's travel policy for guidance on how to arrange the trip.

DOE/NNSA will not support a travel allowance that is more than per diem rates established via the U.S. Department of State and the U.S. General Services Administration (GSA), or allowable from an IHE's policy. The first and last day of travel, is reimbursed at 75 percent of the total cost to travel on those two days.

While on travel, the documented pay salary at the rate specified in the budget must continue for both student internship(s) and post-doctoral/staff while visiting a DOE All travel should include transportation to and from the cities within the U.S. as well as lodging, and meals as per their institution's policy. Domestic travel

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is to be justified separately from foreign travel.

Section E: Participant Support/Trainee Costs

Applicants are required to enter total funds requested for participant/trainee costs on the Research and Related Budget Form. A budget justification narrative is required for requested participant/trainee costs. The Applicant may use the format provided in the Excel Budget Narrative Justification Worksheet for Travel to document the Participant Support/Trainee Costs.

Training costs include the educational projects that are intended to support trainees (college, graduate, and postgraduate students).

Requested training costs may include stipend levels and amounts, tuition, and travel. All costs must be included and explained in the budget justification narrative.

Applicants should budget travel expenses (including transportation to and from U.S. institution of higher learning and DOE National Laboratory, lodging, and meals per their home institution's policy for each student internship and postdoc/staff laboratory visit and continue to pay salary at regular rate.

Participant costs are those costs associated with conferences, workshops, symposia, or institutes. Requested participant costs may include registration and travel to program related conferences, workshops, symposia, or institutes.

The budget justification narrative is to indicate the number of participants, cost for each participant, purpose of the activity, dates and places of activity and any related administrative expenses. It is also to include the same information for travel as listed above in the travel category, as well as indicate the basis for the cost estimate (e.g., quotes from vendors or suppliers, experience of similar professional events, or some other basis).

NOTE: Travel for student internships and post-doctoral staff is justified in the Participant Support/Trainee Cost and not on the travel budget – these costs are to be isolated from the project costs.

Section F: Other Direct Costs

Applicants are required to enter requested costs for each of the following sections.

Worksheet F-1: Materials & Supplies

Materials and Supplies: Enter total funds requested for materials and supplies in the appropriate fields on the Research and Related Budget Form.

If funds are requested for materials and supplies, a budget justification is required.. The budget justification narrative must clearly state how the materials and supplies are directly related to the proposed research or activity.

The budget justification narrative is to indicate general categories such as laboratory supplies, glassware, chemicals, including an amount for each category (items not identified under "Equipment"). Line items for supplies/materials less than \$1,000 are not required to be itemized but must be listed (provide a list of the items you will be purchasing) and this cost must include a justification. Justifications such as, "*the same as the justification in the last award*" is not sufficient justification and the application will be returned for greater justification.

Indicate the basis for the cost estimate (e.g., if available, include on-line weblinks and/or addresses, vendor

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quote(s) from vendors or suppliers, or some other basis to justify the request).

Unexpired price quotations will be required, at the time of award discussions and negotiations, to support individual items exceeding \$5,000 in Material & Supplies. If available, include website for search of costs, vendor quote(s) or suppliers.

Worksheet F-2: Publication Costs

Enter the total publication funds requested on the Research and Related Budgets or Research and Related Fed+NonFed Budget. Applicants may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the award. The budget justification narrative is to include supporting information and indicate the basis for the cost estimate (e.g., link from vendors or suppliers, experience of similar items, or some other basis).

Worksheet F-3 Consultant Services: Enter total funds requested for all consultant services on the Research and Related Budgets or Research and Related Fed+NonFed Budget. The budget justification narrative is to identify each consultant, the services he/she/they will perform, total number of calendar days, travel costs, and total estimated costs, as well as indicate the basis for the cost estimate (e.g., quotes from vendors or suppliers, experience of similar services, or some other basis).

Worksheet F-5 ADP/Computer Services:

Enter total funds requested for ADP/Computer Services on the Research and Related Budgets or Research and Related Fed+NonFed Budget. Any cloud computing costs must be included under this item. The cost of computer services, including computer-based retrieval of scientific, technical and education information may be requested. The budget justification narrative is to include the established computer service rates at the proposed organization, if applicable, as well as indicate the basis for the cost estimate (e.g., links/quotes from vendors or suppliers, experience of similar services, or some other basis).

Worksheet F-5 Subawards/Consortium/Contractual Costs: Enter total costs for all subawards/ consortium organizations and other contractual costs proposed for the project on the Research and Related Budget . The budget justification narrative is to detail the associated costs.

Worksheet F-6 Equipment or Facility Rental/User Fees:

Enter total funds requested for Equipment or Facility Rental/User Fees on the Research and Related Budget . The budget justification narrative is to identify each rental/user fee and provide an explanation of its need, as well as indicate the basis for the cost estimate (e.g., copy of Equipment or Facility Rental User Fee Agreement, quotes from vendors or suppliers, experience of similar user fees, or some other basis).

Worksheet F-7 Alterations & Renovations

Provide a description of the alterations and renovation costs (including repairs, painting, removal or installation of partitions, shielding, or air conditioning, and applicable square footage and costs) by year and explain how they will benefit the project. Provide supporting documentation and quotes.

Worksheet F-7 Tuition & Fees Remission Costs

Provide number of students, graduate or undergraduate, and full or part time per year will be funded. Also provide web site reference to institution policy regarding tuition costs that reflects amounts and/or percentages of tuition costs that will be charged to the Government.

Worksheet F-9 Other Direct Costs

Other: Add text to describe any other Direct Costs not requested above. Enter costs associated with "Other" item(s) on the Research and Related Budget . Use the budget justification to further itemize and provide need rationale.

Direct Costs: This section represents Total Direct Costs (Sections A through F).

Section G: Indirect Costs

Applicants are required to enter the Indirect Cost information, including the rates and bases being used, for each field. Only four general categories of indirect costs are allowed/requested on this form, so please consolidate if needed. Include the cognizant Federal agency and contact information if using a negotiated rate agreement. Within the budget justification, explain the use of multiple rates if multiple rates are used. Must provide a negotiated indirect cost rate agreement.

If there is a sponsor or a third-party is committing and/or contributing cost share, a letter is required. Please ensure that it is addressed to your entity and that the amount of commitment/contribution is included.

Section I: Total Direct and Indirect Costs: This is the total of Sections G and H.

G. SUBMISSION DATES AND TIMES

Application Due Date: The application due date is printed on the cover of this NOFO. Entities are encouraged to submit applications well before the deadline. Applications may be submitted at any time between the publication of this NOFO and the stated deadline.

Late Submissions: Entities are responsible for beginning the submission process in sufficient time to accommodate reasonably foreseeable incidents, contingencies, and disruptions. DOE/NNSA may consider accepting late applications and full applications should there be a significant natural disaster in the prime entity's location or an incapacitating or life-threatening illnesses of the individual responsible for submitting the application on behalf of the entity. Should this occur, the entity's Authorized Organizational Representative (AOR) must submit an extension request with documentation to justify the late submission request no more than 30 calendar days, post deadline. There is no guarantee that the request will be approved for late submission.

SECTION V - APPLICATION REVIEW INFORMATION

The application review process is a critical step in determining which projects will receive funding. It involves several key steps to ensure that only the most impactful and eligible projects are selected for support:

- **Application Review:** Initial checks for registration information and completeness to ensure basic requirements are met.
- **Programmatic Review:** Evaluation of the application's content, including peer review if applicable, to assess its relevance and feasibility.
- **Financial Review:** Assessment of the proposed costs and their justification to ensure they are reasonable and allowable under federal cost principles and agency regulations.

The process is designed to be fair, transparent, and efficient, with a focus on maximizing the impact of the grants awarded. Organizations and individuals can expect to receive feedback on their applications, which can be used to improve future submissions.

A. CRITERIA

The section includes the criteria reviewers will use to evaluate and score applications, information on the merit review and award selection process, as well as anticipated announcement and award dates.

Application requirements cover a diverse set of topics and include not just a detailed project narrative but also a robust set of application attachments. Application attachments differ based on each program's unique requirements and may have included, for example, organizational and governing documents; resumes of board members and senior management; legal and compliance risk management policies and procedures; financial statements; workplans for the first year of program implementations, and budget as well as budget narratives. The Selection Official is responsible for reviewing each of the required elements and from this action determines eligibility for award.

B. APPLICATION ELIGIBILITY – COMPETITIVE APPLICATION REVIEW PROCESS

Prior to conducting the comprehensive merit review, an initial review will be performed to determine whether:

1. The Applicant is eligible for an award;
2. The information required by the NOFO has been submitted;
3. All requirements of the NOFO are satisfied; and
4. The proposed project is responsive to the program objectives of the NOFO (program determination).

An initial review for eligibility and responsiveness is performed by the Grants Officer or a designated official as designated by the GO in writing. The results of this review will be documented on the Initial Review form.

Initial Compliance Review

All applications that are received by the application due date and time, as specified in the NOFO, will be subject to an initial compliance review, and upon satisfactorily passing the initial review, will be subjected to a comprehensive evaluation. If an application is submitted past the deadline and deemed ineligible for

consideration, the Grants Officer will promptly notify the applicant in writing that the application cannot be considered for award. An application is late if the date and time stamp for submission to Grants.gov is after the stated closing date and time. A late application may be reviewed if the applicant provides evidence of technical issues that the Grants.gov helpdesk failed to resolve prior to the receipt date and time or if the entity received approval from the GO based on the late submissions policy in the NOFO, regarding significant natural disaster or incapacitating or life-threatening illness.

Reminder: To be eligible for the Merit Review, applicants are to ensure that they have addressed all mandatory requirements in their application submission.

Applications that pass the initial review will be subjected to a merit review in accordance with [2 CFR 200.205](#). 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](#)."

C. COMPREHENSIVE MERIT REVIEW

All timely applications that satisfactorily pass the initial review will be eligible for comprehensive merit review. The comprehensive review will be conducted in two stages: independent review and consensus review. The evaluation criteria are listed in [Section V.D](#). If necessary, the merit review panel will conduct pre-selection clarifications detailed in [Section V.D](#).

D. MERIT REVIEW CRITERIA

All timely applications that satisfactorily pass the initial review will be eligible for comprehensive merit review. The comprehensive review will be conducted in two stages: independent review and consensus review. Applications passing the initial review will be evaluated in accordance with the following Merit Review Criteria.

Criterion 1 – Technical Merit – 40%

1. The proposal clearly lays out a plan for conducting innovative research across multiple objectives.
2. The proposed research complements on-going research at the DOE National Laboratories.
3. What is the likelihood the stated research objectives are achievable? Is the risk well explained and understood by the reviewer?
4. Extent to which the application supports the continued development of nuclear nonproliferation-related disciplines.
5. Extent to which the application supports the development and sustainment of the next generation of nuclear nonproliferation professionals.
6. Extent to which the plan integrates multiple scientific, engineering, and other disciplines to achieve stated objectives, and that proposed activities are well-reasoned, well-organized, and based on a sound rationale.

Criterion 2 – Applicant Team Capabilities – 40%

1. The likelihood that the applicant's described approach and structure (e.g., communication, coordination, and integration) to managing the consortium, including a framework for coordinating DOE National Laboratories interactions, will lead to the successful performance of the proposed work and objectives under this NOFO.
2. Qualifications, capabilities and experience of the principal investigators, team leaders, and key personnel involved.
3. PI time commitment to the project (refer to current and pending support): If the same PI is already working on multiple awards, consideration should be given if the PI can make significant contribution to the proposed project considering time commitments to other project awards.

4. The likelihood that the applicant's resources and facilities, including key and unique facilities, as identified by the applicant, will lead to the successful achievement of the proposed work and objectives under this NOFO.

Criterion 3 – Past Experience – 20%

1. Extent of experience the lead institution has in implementing and managing similar programs of this size.
2. Extent of experience the lead institution has with building and managing a multi-component consortium/organization, and to what extent the applicant has had past or on-going working relationships with the DOE National Laboratories.
3. Likelihood the consortium's relevant experience and past, and on-going relationships with the DOE National Laboratories will lead to success.

Proposed budgets and costs will be evaluated for those applications which receive the highest merit review ratings to determine whether 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 approval.

E. PROGRAM POLICY REVIEW

Each application deemed a finalist by the merit review panel may receive a program policy review. The program policy factors will not be point scored, but the Selecting Official (SO) may consider them in making the selections for negotiation of award. The SO may request that an independent person(s) (i.e., not member(s) of the Merit Review Panel) aid in the application of the program policy factors. These factors, while not indicators of the application's merit (e.g., technical excellence, cost, applicant's ability), nevertheless, may be essential to the process of selecting the application(s) that, individually or collectively, will best achieve the program objectives. Such factors are often beyond the control of the applicant. The SO will evaluate applications based on the program policy factors listed below:

1. A group of awards which represent a variety of technical approaches and methods.
2. A group of awards that are complementary which, when taken together, will best achieve the research goals and objectives.
3. A group of awards that provide a balanced programmatic effort and a variety of different technical perspectives.
4. A group of awards that provide a balance in geographic regions.

F. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY

The DOE/NNSA, prior to making a federal award with a total amount of Federal share greater than the simplified acquisition threshold (SAT), is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM.

The applicant 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.

The DOE/NNSA 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 200.206](#).

G. ANTICIPATED SELECTION OF AWARD

The Selection Official will consider the availability of funds, the distribution of funds among the topic areas, program priorities, program policy factors, and the merit review results when selecting applications to be considered for award.

Award Negotiation

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

H. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES

DOE/NNSA anticipates notifying the applicant(s) selected for potential awards as per the dates on the Cover Page of this NOFO. For the potential start date, please see the NOFO Cover Page which is dependent on availability of funds.

SECTION VI – FEDERAL AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

Notice of Selection: Please see Cover Page of this NOFO for dates.

Selected Applicant Notification: If an application is considered for award by NNSA, the applicant will be notified by the NNSA Grants Officer, this is called the Notice of Selection. The notice of selection is not an authorization to begin performance; it is a notice that NNSA may begin award negotiations with the selected applicant.

Non-selected Notification: Entities whose applications have not been selected will be notified as promptly as possible via non-selection letter by DOE/NNSA.

B. NOTICE OF AWARD: COOPERATIVE AGREEMENT

Once the negotiation process is complete and a cost price analysis is conducted, if applicable, a Cooperative Agreement is issued by the DOE/NNSA Grant Officer, and this document is the authorizing award.

C. TERMS, CONDITIONS, AND REQUIREMENTS

All awards under this NOFO are subject to the NOFO terms and conditions and its applicable program statute. In addition to the terms and conditions, unless explicitly written into the award that they are not required, become a part of and are incorporated into the Terms and Conditions:

- Federal Assistance Reporting Checklist and Instructions (DOE F-4600.2) form is located at [Financial Assistance Forms and Information For Applicants and Recipients | Department of Energy](#)
- [National Policy Assurances to be Incorporated as Award Terms | Department of Energy](#)
- [Standard Intellectual Property \(IP\) Provisions for Financial Assistance Awards | Department of Energy](#).
- [The Special Terms and Conditions Used in Most Grants and Cooperative Agreements are found at Financial Assistance Forms and Information For Applicants and Recipients | Department of Energy](#)
- [DOE Agency Specific Requirements | NSF - U.S. National Science Foundation](#)
- [Department of Energy - Guide to Financial Assistance | Department of Energy](#)
- [eCFR :: 2 CFR Part 200 -- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#).
- [eCFR :: 2 CFR Part 910 -- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#)

Preaward Costs

Upon selection of the applicant and during the negotiation phase, recipients may request preaward costs REQUIRES PRIOR APPROVAL FROM THE GRANTS OFFICER and should include a justification to cover requested preaward costs along with a detailed breakdown of budget cost element (i.e., labor, travel, materials, supplies, etc.).

Recipients may charge preaward costs to an award resulting from this announcement that are 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](#). Recipient must notify the Grants Officer in writing if the 90-day preaward cost option will be used. Recipients must obtain the prior approval by the Grants Officer for any preaward

costs that are for periods greater than this 90-day calendar period.

Preaward costs are allowable only to the extent that they would have been allowable if incurred after the date of the Federal award. Preaward costs are incurred at the applicant's risk. DOE/NNSA 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. IHEs are encouraged to start recruitment of students and postdocs early and be prepared for an immediate start at the beginning of Period of Performance. Consequently, there may be a substantial lead time necessitating the request for pre-award costs beyond 90 days. Additional information may be found at 2 CFR [200.438](#).

For further information related to the Federal Award Administration, please see Attachments 3, 4, 5, and 6.

Section VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS

Grants.gov Questions

Direct questions relating to the Grants.gov registration process, system requirements, application form, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@Grants.gov. DOE/NNSA staff are unable to answer Grants.gov questions.

NOFO Program and Technical Questions

Direct specific program and technical questions to FedConnect at www.FedConnect.net. Questions sent to an email address will be referred to www.FedConnect.net

NOFO Financial and Administrative Questions

Direct specific financial and administrative questions submitting your question to www.FedConnect.net. Do not address questions related to the application process to the emails provided below. Please use FedConnect.

B. AGENCY CONTACT

Virginia Hernandez, Federal Grant Officer
Virginia.Hernandez@nnsa.doe.gov
240-688-5349

C. UNAUTHORIZED COMMUNICATION

Any questions or comments about the NOFO must be directed to FEDConnect at www.FedConnect.net. E-Mails or telephone calls made directly to the above agency contact will not be considered.

D. OTHER PERTINENT RESOURCES

Attachment 1. Applicant and Subapplicant Required Forms and Narrative Documents Required

Attachment 2. DOE National Laboratories – For Reference Only

Attachment 3: Policy Provisions

Attachment 4. Administrative and National Policy Requirements

Attachment 5: Glossary of Terms and Conditions

Attachment 6: Reference Materials – WEBLINKS

Attachment 7: R&R Budget Narrative Justification Worksheet

Attachment 8: FA Environmental Checklist (for review only)

**ATTACHMENT 1
REQUIRED AND MANDATORY FORMS
FOR PRIME (LEAD) APPLICANT AND SUBAPPLICANT**

Applicant and Subapplicant Mandatory and Required Forms

Your application must include the mandatory forms and documents listed on the table below. For additional information, See Sections IV & V - Application Contents and Format and Application Review Information. Review the entire NOFO prior to preparing application. All documents prepared for submission and those that are not a Grants.gov Standard Form (SF) must be in PDF format. Documents must be single-spaced 11-point Times New Roman font on letter sized paper (8 1/2 x 11 inches) with a minimum 1-inch margins on all sides (top, bottom, right, and left side).

The PRIME (Lead) (known as the PI) applicant is the party responsible for ensuring all documentation is submitted by the subapplicant(s). The PRIME (Lead) and the subapplicants should discuss the submission of applications and how to submit their application package.

The below is from SECTION IV - SUMMARY OF REQUIRED APPLICANT FORMS AND FILES: Your application must include the mandatory documents listed in the below table, especially, the Standard Forms. These are required of both the PRIME (Lead) applicant and subapplicant. For additional information, please review Section IV - Application Review Information, Initial Review Criteria, and Application Award Eligibility. Note that the Standard Forms (SF) is required of each of the applicants and the subapplicants. Standard Forms that are not submitted by the selected applicant and subapplicants may render the application void.

REQUIRED and MANDATORY FORMS		REQUIRED	Specific Notes	WHERE IS FORM LOCATED and WHEN TO SUBMIT FORM	WHERE TO ATTACH THE FORM
APPLICANT	SUBAPPLICANT				
Mandatory	Mandatory	RR SF-424 Application for Federal Assistance	This is a Standard Form - Required of the Prime (Lead) and of the Subapplicant - this is a mandatory form.	Grants.gov Workspace	- Grants.gov Workspace Application Package, Attach to Field L
Mandatory	Mandatory	Technical Project Narrative - (Overall document is limited to 30 Pgs.) 1. Title Page Limited to 1-2Pgs. 2. Abstract Limited to 2 Pgs. 3. Table of Contents Limited to 1Pg 4. Statement of Objectives Standalone document/Limited to 5-6 Pgs. 5. Merit Review Standalone document/Limited to 1-2 Pgs. 6. Collaboration Plan Standalone document/Limited to 1-2 Pgs. 7. Project Management Plan Standalone document/Limited to 10Pgs. 8. Data Management Plan Standalone document/Limited to 5Pgs.	Prime (Lead) Applicant's requirements are as follows: - Documents should be Pdf'd prior to submitting and sequentially numbered. - 30Pgs. maximum for the Technical Project Narrative - Single-spaced, 11 Font size, on 8.5x11 size paper with 1" margins on all sides (top, bottom, left and right side) Subapplicant Requirements are as follows: - Is responsible for the Cover Page, Abstract, and Statement of Objectives . Must be specifically written to the role as assigned by the PRIME (Lead) Applicant. - 8 Pgs. maximum for Subapplicant's Project Narrative and only include those elements most important and specific to the role you are assuming in the project.	Submit to Grants.gov Workspace created specifically for this NOFO.	- Attach to Attachments form - Label in header the document's name and institution, especially if it is a standalone document. - Can be Pdf'd altogether once labeled
Mandatory	Mandatory	1. RR Budget (Fed+NonFed) or 2. RR Budget (Fed only)	- RR Budget (Fed+NonFed): Select this budget form if Cost Share is applied. - RR Budget (Fed only): Select this budget form if cost share is <u>not applied</u> (or no cost share).	- Do Not PDF document - Upload to Grants.gov Workspace when complete	Attach to RR Other Project Information form, Item #12, Other Attachments

**ATTACHMENT 1
REQUIRED AND MANDATORY FORMS
FOR PRIME (LEAD) APPLICANT AND SUBAPPLICANT**

REQUIRED and MANDATORY FORMS		REQUIRED	Specific Notes	WHERE IS FORM LOCATED and WHEN TO SUBMIT FORM	WHERE TO ATTACH THE FORM
APPLICANT	SUBAPPLICANT				
Mandatory	Mandatory	RR Budget Justification Narrative Worksheet	- Required of the Prime (Lead) Applicant and Subapplicant	- Do not PDF document - Do not change, delete or hide TABs in Worksheet.	Attach to <i>Budget Narrative Attachment form</i>
Mandatory	Mandatory	Letter from institution's Vice-President affirming proposed project capabilities	See Pgs. 10, 19 & 39 for information related to the letter	PDF Final Document	Attachment Form (Use header to label document and attach)
For review only	For review only	FA Environmental Checklist (NEPA).	If selected for an award, you may be asked to fill-in and submit	Not applicable - for review only	For review only
Mandatory	Mandatory	Government approved Negotiated Indirect Cost Rate Agreement (NICRA)	See Pg. 49 of NOFO for detailed information.	Grants.gov Workspace	Attachment Form (Use header to label document and attach)
X	X	Commitment Letter(s) from third parties only if sponsor or contributing cost share.	See Pg. 48 of NOFO for detailed information	PDF Final Document(s)	Attachment Form (Use header to label document and attach)
Mandatory	Mandatory	Other Types of Required Letters, if applicable: 1. Commitments for "Cost Share Financial Responsibility" Letter 2. Letters of Support such as those from the DOE National Laboratories	- See Pg. 49 of NOFO for detailed information - Submit only if applicable	PDF Final Document(s)	Attachment Form (Use header to label document and attach)
APPENDICES					
Mandatory	MANDATORY	Appendix 1: Biographical Sketch	<i>Appendices 1-2 are attached to the RR Senior/Key Person Profile</i>	Grants.gov Workspace	Attach to RR Senior Key Person Expanded Form
Mandatory	MANDATORY	Appendix 2: Current & Pending Support			
Mandatory	MANDATORY	Appendix 3: Identification of Potential Conflicts of Interest	PDF Appendices 3 - 8 and attach to the RR Other Project Information Form or the Attachments form		RR Other Project Information Form or Attachments form
Mandatory	MANDATORY	Appendix 4: Biography & References Cited			
Mandatory	MANDATORY	Appendix 5: Facilities & Other Resources Letters of Support			
Mandatory	MANDATORY	Appendix 6: Equipment			
Mandatory	MANDATORY	Appendix 7: Non-U.S. Citizen Support	If not applicable, label & state "none"		
Mandatory	MANDATORY	Appendix 8: Letters of Collaboration or Support	Include in the merged appendices and upload accordingly.		
STANDARD FORMS					
Mandatory	MANDATORY	Project/Performance Site Location(s)	Under manage Workspace Tab, Forms Tab	Grants.gov Workspace	PDF and merge documents and upload them to the Application Package, Attach to Field L
Mandatory	MANDATORY	Certification Regarding Lobbying	This is called the Grants.gov (GG) Lobbying Form and is required		
X	X	Disclosure of Lobbying Activities (SF-LLL)	Used only to disclose lobbying activities.		
Mandatory	MANDATORY	Assurances for Non-Construction Programs (RR Sf-424B)	Required		
Mandatory	MANDATORY	RR Senior/Key Person Profile Expanded	Attach the Biographical Sketch & Current and Pending Support		
Mandatory	MANDATORY	Key Contacts	For Fiscal/Budget Manager and AOR only		

ATTACHMENT 2

DOE Laboratories, Plants, and other Field Sites or **Federally funded research and development centers (FFRDCs)**. The table below contains a Point of Contacts (POCs) for Federally Funded Research & Development Centers (FFRDC) as well as links to further information on lab/site/complex research specialties are as listed below.

The POC List identified below is not intended to be all inclusive of all available DOE and/or NNSA FFRDC. Applications collaborating with other DOE and/or NNSA FFRDCs (including sites/complexes) not listed in the table below will be accepted. Other collaborators may be found at: [Department of Energy Facilities](#) | [Department of Energy](#).

DOE LABORATORIES, PLANTS AND OTHER FIELD SITES OR FEDERALLY FUNDED RESEARCH & DEVELOPMENT CENTERS (FFRDC)	
Argonne National Laboratory (ANL) Candido Pereira, Technical POC pereira@anl.gov Alex Heifetz, University POC aheifetz@anl.gov	https://www.anl.gov/ https://www.anl.gov/global-security https://www.anl.gov/partnerships/collaborative-partnerships
Brookhaven National Laboratory (BNL) Donny Hornback, Technical POC dhornback@bnl.gov Dominic Piedmont, University POC dpiedmont@bnl.gov	Brookhaven National Laboratory — a passion for discovery
Idaho National Laboratory (INL) David Chichester, Technical POC david.chichester@inl.gov	INL Idaho National Laboratory and Its Expertise - Idaho National Laboratory Idaho National Laboratory Learning Opportunities Available - Idaho National Laboratory
Lawrence Berkeley National Laboratory (LBNL) Shawn Tornga, stornqa@lbl.gov John Valentine, jvalentine@lbl.gov	Home – Lawrence Berkeley National Laboratory Homepage – Office of National and Homeland Security
Lawrence Livermore National Laboratory (LLNL) Scot S. Olivier, Technical POC olivier1@llnl.gov Eric Schwegler, University POC schwegler1@llnl.gov	Lawrence Livermore National Laboratory
Los Alamos National Laboratory (LANL) Dave Podlesak, Technical POC podlesak@lanl.gov Bob Shirey, shirey@lanl.gov	Research Opportunities Los Alamos National Laboratory
Nevada National Security Site (NNSS) Melissa Hunt, Technical POC huntmj@nv.doe.gov Jessica Drinkwine, University POC drinkwja@nv.doe.gov	Homepage - Nevada National Security Site
Oak Ridge National Laboratory (ORNL) Jennifer Ladd-Lively, Technical POC laddjl@ornl.gov Ben Thomas, University POC thomasbjr@ornl.gov	Oak Ridge National Laboratory: Big Science. Big Impact. ORNL Education & Internship Opportunities – ORNL

ATTACHMENT 2

DOE LABORATORIES, PLANTS AND OTHER FIELD SITES FEDERALLY FUNDED RESEARCH & DEVELOPMENT CENTERS (FFRDC)	
Pacific Northwest National Laboratory (PNNL) Robert Brigantic, Technical POC robert.brigantic@pnnl.gov Erin Searcy, University POC erin.searcy@pnnl.gov	Education PNNL
Princeton Plasma Physics Laboratory (PPPL) Robert Goldston, Technical POC goldston@pppl.gov	Princeton Plasma Physics Laboratory
Sandia National Laboratories (SNL) David W. Peters, Technical POC dwpeter@sandia.gov	Sandia National Laboratories Academic Programs – Working with Sandia
Savannah River National Laboratory (SRNL) Chris Barrett, Technical POC christopher.barrett@srnl.doe.gov Martine Duff, University POC martine.duff@srnl.doe.gov	Academia - Savannah River National Laboratory National Security - Savannah River National Laboratory
Y12 National Security Complex (Y12) Matthew Francis, Technical POC matthew.francis@y12nsc.doe.gov Grant Allard, Business Partnership POC grant.allard@y12nsc.doe.gov	Home Y-12 National Security Complex Technologies and Research Capabilities Y-12 National Security Complex

ATTACHMENT 3. POLICY PROVISIONS

A. POLICY PROVISIONS

Evaluation and Administration by Non-Federal Personnel

In conducting the merit review, 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. Federal and Non-Federal reviewers must sign a conflict-of-interest agreement and a certificate of confidentiality prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

Intergovernmental Review

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

Modifications

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

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

Administrative Requirements

The administrative requirements for DOE/NNSA grant agreements and cooperative agreements are contained in 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulations).

Availability of Funds

The Government's obligation under this award is contingent upon the availability of appropriated funds from which payment for award purposes can be made. No legal liability on the part of the Government for any payment may arise until funds are made available to the DOE/NNSA Grants Officer for this award and until the recipient receives notice of such availability, to be confirmed in writing by the DOE/NNSA Grants Officer.

Conference Spending (February 2015)

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.

4. Commitment of Public Funds

- A DOE/NNSA financial assistance award is valid only if it is in writing and is signed, either in writing or electronically, by a DOE/NNSA Grants Officer.

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- Recipients are free to accept or reject the award. A request to draw down DOE/NNSA funds constitutes the Recipient's acceptance of the terms and conditions of this Award.

5. Corporate Felony Conviction and Federal Tax Liability Representations (March 2014)

In applying in response to this NOFO, the Applicant represents that:

- It is not a corporation that has been convicted of a felony criminal violation under any Federal law within the preceding 24 months, and/or
- 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 definitions apply:

- 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.

6. Environmental, Safety and Health (ES&H) Performance of Work at DOE/NNSA Facilities

With respect to the performance of any portion of the work under this award which is performed at a DOE/NNSA-owned or controlled site, the recipient agrees to comply with all state and Federal ES&H regulations, and with all other ES&H requirements of the operator of such site. Prior to the performance on any work at a DOE/NNSA-Owned or controlled site, the recipient shall contact the site facility manager for information on DOE/NNSA and site-specific ES&H requirements. The recipient shall apply this provision to all subrecipients at any time.

7. Federal, State, and Local Requirements

With respect to the performance of any portion of the work under this award, the recipient agrees to comply with all applicable local, state, and Federal ES&H regulations. The recipient shall apply this provision to all sub recipients at any tier.

Funding Restrictions

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 200 as amended by 2 CFR 910 (DOE Financial Assistance Regulation).

Pre-award Costs: Recipients may charge to an award resulting from this NOFO pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award,

ATTACHMENT 3. POLICY PROVISIONS

if the costs are allowable in accordance with the applicable Federal cost principles referenced in 2 CFR 200 as amended by 2 CFR 910 (DOE Financial Assistance Regulation). Recipients must obtain the prior approval of the DOE Grants 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/NNSA 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.

9. Nondisclosure and Confidentiality Agreements Representations (June 2015)

In applying in response to this NOFO, 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.
- c. 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 in the course of 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.

10. 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

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political activities such as the collection and dissemination of information related to potential, planned, or pending legislation.

11. Prohibition on Discrimination and Harassment

All people conducting, supporting, or participating in scientific research under this award must be able to do so on the basis of their abilities and without any unnecessary barriers. Recipients of awards resulting from this NOFO are prohibited from engaging in discrimination on any basis prohibited by law, including harassment (sexual or non-sexual) as contained in 10 CFR 1040, 1041, and 1042. Recipients may contact the DOE's Office of Civil Rights for technical assistance in meeting their institutional requirements under these regulations, including assistance in addressing complaints of discrimination or harassment (<https://www.energy.gov/diversity/title-ix>). The United States Equal Employment Opportunity Commission also makes a number of resources available at <https://www.eeoc.gov/eeoc/publications/index.cfm> to ensure that employees may perform their work without hindrance. Graduate students and post-doctoral researchers are understood to have a dual role as both trainees and employees, in accordance with 2 CFR 200.400 (f).

12. Prohibition on Lobbying Activity

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 USC 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation and is required for all subawards at all tiers, including subcontracts and subrecipients awarded under this NOFO. The government-wide National Policy Requirements are posted to the NSF web site; the current version is at: https://www.nsf.gov/bfa/dias/policy/fedrctc/appendix_c.pdf.

13. 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 any document included in the application that contains such proprietary information and specifies the pages of the document which are to be restricted:

"The data contained in pages _____ of this document 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/NNSA 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 similar to the following:

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

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14. Publications

The recipient is expected to publish or otherwise make publicly available the results of the work conducted under any award resulting from this NOFO. Publications and other methods of public communication describing any work based on or developed under an award resulting from this NOFO must contain an acknowledgment of DOE/NNSA support. Specific instructions apply to publications and the grants officer/grants specialist must be contacted for further instructions on publications.

15. Registration Requirements

Additional administrative requirements for DOE/NNSA grants and cooperative agreements are contained in [2 CFR 25](#) for universal identifiers and the System for Award. Prime recipients must keep their SAM registration current at www.SAM.gov. Each subrecipients, at any tier, must obtain a unique entity identifier (UEI) and provide the UEI to the prime recipient before a subaward is issued under this NOFO.

- A. In accordance with 2 CFR 25, applicants and recipients are required to:
 1. Be registered in the SAM prior to applying or plan.
 2. Maintain an active, updated SAM registration with current information, including information on a recipient's immediate and highest-level owner and subsidiaries, as well as on all predecessors that have been awarded a Federal contract, grant agreement, or cooperative agreement within the last three years, if applicable, at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency; and
1. Provide its Unique Entity Identifier (UEI) in each application. DOE may not make an award or financial modification to an existing Federal award to an applicant or recipient until the entity has complied with the requirements described in 2 CFR 25.200 to provide a valid Unique Entity Identifier (UEI) and maintain an active SAM registration with current information any requirement that is not applicable because the entity is exempted under 2 CFR 25.110.
- B. DOE requires the following for subawards:
 - Sub-recipients, at all tiers, must have an active SAM registration with current information and provide its UEI to the Prime Recipient before receiving a sub-award.
 - Prime recipients must register with the Federal Funding Accountability and Transparency Act (FFATA) Subaward reporting System (FSRS) database and report the required data on their first tier subrecipients. Prime recipients must report the executive compensation for their own executives as part of their registration profile in SAM. See 2 CFR Part 170.

16. Research Misconduct

Scientific discoveries can only take place when scientific research is conducted in a fair, transparent, and honestly reported manner. Any form of dishonesty—whether plagiarism, falsifying results, or misrepresenting conditions—makes it impossible to advance our understanding of the physical universe. Recipients are required and responsible for maintaining the integrity of research of any kind under an award from DOE/NNSA including the prevention, detection, and remediation of research misconduct, and the conduct of inquiries, investigations, and adjudication of allegations of research misconduct, and conducting appropriate administrative processes in response to allegations of research misconduct in accordance with 2 CFR 910.132. Allegations of any misconduct under an award resulting from this NOFO must be reported to the appropriate institutional officials in accordance with institutional policies against misconduct.

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17. Rights in Technical Data

Normally, the government has unlimited rights in technical data created under a DOE/NNSA agreement, including the right to distribute to the public. Delivery or third-party licensing of proprietary software or data developed solely at private expense (“Limited Rights Data”) will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE/NNSA’s own needs or to ensure the commercialization of technology developed under a DOE agreement.

If software is specified for delivery to DOE/NNSA, or if other special circumstances exist (e.g., DOE/NNSA specifying “open-source” treatment of software), then the DOE/NNSA Grants Officer, after negotiation with the recipient, may include in the award special provisions requiring the recipient to obtain written approval of the DOE Grants Officer prior to asserting copyright in the software, modifying the retained Government license, and/or otherwise altering the copyright provisions.

18. Subaward and Executive Reporting

Additional administrative requirements necessary for DOE/NNSA grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR 170. Prime recipients must register with the Federal Funding Accountability and Transparency Act subaward Reporting System (FSRS) database at the time of award via <https://www.fsr.gov> and report the required data on their first tier subrecipients. Prime recipients are required to report the executive compensation for their own executives as part of their registration profile in SAM.

19. Title to Subject Inventions

A primary objective of DOE’s multi-billion-dollar research, development and demonstration investments is to cultivate new research and development ecosystems, manufacturing capabilities, and supply chains for and by U.S. industry and labor. Therefore, in exchange for receiving taxpayer dollars to support an applicant’s project, the applicant must agree to the following U.S. Competitiveness Provision as part of an award under this NOFO.

U.S. Competitiveness: The Recipient agrees that any products embodying any subject invention or produced through the use of any subject invention will be manufactured substantially in the United States unless the Recipient can show to the satisfaction of DOE that it is not commercially feasible. In the event DOE agrees to foreign manufacture, there will be a requirement that the Government’s support of the technology be recognized in some appropriate manner, e.g., alternative binding commitments to provide an overall net benefit to the U.S. economy. The Recipient agrees that it will not license, assign, or otherwise transfer any subject invention to any entity, at any tier, unless that entity agrees to these same requirements. Should the Recipient or other such entity receiving rights in the invention(s): (1) undergo a change in ownership amounting to a controlling interest, or (2) sell, assign, or otherwise transfer title or exclusive rights in the invention(s), then the assignment, license, or other transfer of rights in the subject invention(s) is/are suspended until approved in writing by DOE. The Recipient and any successor assignee will convey to DOE, upon written request from DOE, title to any subject invention, upon a breach of this paragraph. The Recipient will include this paragraph in all subawards/contracts, regardless of tier, for experimental, developmental or research work.

Note that a subject invention is any invention conceived or first actually reduced in performance of work under an award. An invention is any invention or discovery which is or may be patentable. The contractor includes any awardee, recipient, sub-awardee, or sub-recipient.

As noted in the U.S. Competitiveness Provision, at any time in which an entity cannot meet the requirements of the U.S. Competitiveness Provision, the entity may request a modification or waiver of

ATTACHMENT 3. POLICY PROVISIONS

the U.S. Competitiveness Provision. For example, the entity may propose modifying the language of the U.S. Competitiveness Provision to change the scope of the requirements or to provide more specifics on the application of the requirements for a particular technology. As another example, the entity may request that the U.S. Competitiveness Provision be waived in lieu of a net benefits statement or U.S. manufacturing plan. The statement or plan would contain specific and enforceable commitments that would be beneficial to the U.S. economy and competitiveness. Examples of such commitments could include manufacturing specific products in the U.S., making a specific investment in a new or existing U.S. manufacturing facility, keeping certain activities based in the U.S. or supporting a certain number of jobs in the U.S. related to the technology. DOE may, in its sole discretion, determine that the proposed modification or waiver promotes commercialization and provides sufficient U.S. economic benefits, and grant the request. If granted, DOE will modify the award terms and conditions for the requesting entity accordingly.

The U.S. Competitiveness Provision is implemented by DOE pursuant to a Determination of Exceptional Circumstances (DEC) under the Bayh-Dole Act and DOE Patent Waivers.

- **Determination of Exceptional Circumstances (DEC):** DOE has issued the DEC entitled, “DETERMINATION OF EXCEPTIONAL CIRCUMSTANCES (DEC) UNDER THE BAYH-DOLE ACT TO FURTHER PROMOTE DOMESTIC MANUFACTURE OF DOE SCIENCE AND ENERGY TECHNOLOGIES”, dated June 7, 2021, pursuant to 37 CFR 401.3(a)(2), which applies to agreements issued under this NOFO requiring each applicant to agree to a U.S. Competitiveness Provision. DOE has determined that exceptional circumstances exist that warrant the modification of the standard patent rights clause for small businesses and non-profit awardees under the Bayh-Dole Act, 35 U.S.C. 200 et seq., to the extent necessary to ensure that DOE “obtains sufficient rights in the federally supported inventions to meet the needs of [DOE]” and “to promote the commercialization and public availability of inventions made in the United States by United States industry and labor” and/or further promote other purposes of the Bayh-Dole Act. 35 U.S.C. § 200. In accordance with this DEC, all awards, including sub-awards, under this NOFO shall include the U.S. Competitiveness Provision above. A copy of the DEC can be found at <https://www.energy.gov/gc/determination-exceptionalcircumstances-decs>.
- Pursuant to 37 CFR § 401.4, any nonprofit organization or small business firm as defined by 35 U.S.C. 201 affected by any DEC has the right to appeal it by providing written notice to DOE within 30 working days from the time it receives a copy of the determination.
- DOE may require additional submissions or requirements as authorized by any applicable DEC.
- **DEC:** DOE has issued the DEC entitled, “DETERMINATION OF EXCEPTIONAL CIRCUMSTANCES UNDER THE BAYH-DOLE ACT FOR QUANTUM INFORMATION SCIENCE TECHNOLOGIES,” dated August 28, 2020, pursuant to 37 CFR 401.3(a)(2), which applies to agreements issued under this NOFO requiring each applicant to agree to a U.S. Competitiveness Provision. DOE has determined that exceptional circumstances exist that warrant the modification of the standard patent rights clause for small businesses and non-profit awardees under the Bayh-Dole Act, 35 U.S.C. 200 et seq., to the extent necessary to ensure that DOE “obtains sufficient rights in the federally supported inventions to meet the needs of [DOE]” and “to promote the commercialization and public availability of inventions made in the United States by United States industry and labor” and/or further promote other purposes of the Bayh-Dole Act. 35 U.S.C. § 200. In accordance with this DEC, all awards, including subawards, under this NOFO shall include the U.S. Competitiveness

ATTACHMENT 3. POLICY PROVISIONS

Provision above. A copy of the DEC can be found at <https://www.energy.gov/gc/determination-exceptional-circumstances-decs>.

Ownership of subject inventions is governed pursuant to the authorities listed below:

-
- **Nonprofit organizations or small business firms:** Under the Bayh-Dole Act (35 U.S.C. § 200 et seq.), nonprofit organizations or small business firms as defined by 35 U.S.C. 201 may elect to retain title to their subject inventions subject to the above identified U.S. Competitiveness Provision.
- **All other parties:** The federal Non-Nuclear Energy Act of 1974, 42 U.S.C. 5908, provides that the government obtains title to new inventions unless a waiver is granted (see below).
- **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 NOFO, in advance of or within 30 calendar 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. For more information, see <https://energy.gov/gc/services/technology-transfer-andprocurement/office-assistant-general-counsel-technology-transf-1>. Nonprofit organizations and small business firms do not need a patent waiver to retain title to their subject inventions (see above).
- **Class Patent Waiver:** DOE has issued Class Patent Waiver I W(C) 2020-001 that applies to this NOFO for any domestic large business that is a recipient, or subrecipient at any tier to this NOFO and is providing at least 20% cost share. Under this Class Patent Waiver, domestic large businesses may elect title to their subject inventions similar to the right provided to the domestic small businesses, educational institutions, and nonprofits by law. To avail itself of the class patent waiver, a domestic large business must agree that any products embodying or produced through the use of a subject invention first created or reduced to practice under this program will be substantially manufactured in the United States. Entities not eligible under the Class Patent Waiver are still able to petition DOE for rights under an Advanced or Identified Patent Waiver as described above. Nonprofit organizations and small business firms do not need a patent waiver to retain title to their subject inventions (see above).

ATTACHMENT 4. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

A. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

The following additional policy provisions are applicable to this NOFO. The full text of each provision is located as attachments of this NOFO and may be accessed by navigating to the hyperlinks below:

1. Evaluation and Administration by Non-Federal Personnel
2. Intergovernmental Review
3. Modifications

Awards made under this NOFO are subject to the following Administrative and National Policy Requirements. The full text of each provision is in [Section VIII](#) of this NOFO:

1. Administrative Requirements
2. Availability of Funds
3. Conference Spending (February 2015)
4. Commitment of Public
5. Corporate Felony Conviction and Federal Tax Liability Representations (March 2014)
6. Environmental, Safety and Health (ES&H) Performance of Work at DOE/NNSA Facilities
7. Federal, State, and Local Requirements
8. Funding Restrictions
9. National Environmental Policy Act (NEPA) Compliance
10. Nondisclosure and Confidentiality Agreements Representations (June 2015)
11. Notice Regarding Eligible/Ineligible Activities
12. Prohibition on Discrimination and Harassment
13. Prohibition on Lobbying Activity
14. Proprietary Application Information
15. Publications
16. Registration Requirements
17. Research Misconduct
18. Rights in Technical Data
19. Subaward and Executive Reporting
20. Title to Subject Inventions

B. MONITORING

All financial assistance awards are subject to monitoring. Monitoring is a process whereby the programmatic progress and financial and business management aspects of a financial assistance award are reviewed by accessing and assessing information gathered from program and financial reports, site visits, teleconferences, and other means. DOE/NNSA requires financial assistance recipients to have adequate management systems to ensure that project objectives are met, and funds are properly spent. Besides monitoring awards, DOE/NNSA is required to monitor recipients taking corrective actions on identified audit findings.

A prime recipient has full responsibility for the conduct of the project or activity supported and for the results achieved under their award. The recipient is required to monitor the performance of the project to assure adherence to performance goals, time schedules or other requirements as appropriate to the project and the terms and conditions of the award agreement. The recipient is responsible for monitoring the activities and performance of, and the pass-through requirements to, any, and all

ATTACHMENT 4. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

subrecipients.

Subrecipients are required to be monitored by the Prime Recipient to ensure program/award/project performance and financial and administrative regulatory compliance. Prime Recipients must ensure their subrecipient institutions possess adequate policies, processes, procedures, and systems to manage their awards from a Prime Recipient.

Applicants being considered for a DOE/NNSA award that contain subawards should be prepared to submit a copy of their Subrecipient Monitoring Policy and, if necessary, a copy of the proposed subaward agreement(s) to DOE/NNSA for review.

C. REPORTING

All financial assistance awards are subject to federal, agency, and program-specific reporting requirements. The recipient's frequency and type of reporting requirements will be identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, that will be attached to the award agreement.

Recipients will be required to fulfill the reporting requirements that will be listed in the award's attachment, DOE F 4600.2. Reporting requirements discussed in 2CFR200 for post-award and closeout. Reporting will include but not be limited to management reporting, scientific/technical reporting, financial reporting, and closeout reporting. An example of DOE's Federal Assistance Reporting Checklist and Instructions (DOE F 4600.2) is available at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> (under Award Form).

DOE/NNSA awards may impose additional requirements based on the complexity of award, risk determinations, and other factors.

DNN R&D specific reporting requirements will include, but not be limited to the following:

- Award recipients will be required to report all Journal Articles and Accepted Manuscripts that have been submitted for publication in a peer-reviewed journal that resulted from any award activity in their progress reports and via the OSTI website.
- Award recipients will be required to upload all accepted articles and manuscripts to the OSTI (<http://www.osti.gov/home/>) website within 60 calendar days of acceptance.
- DNN R&D award recipients' Principal Investigators will be required to provide a minimum of quarterly progress reports that describe key scientific progress, and other issues, in addition to responses to the recommendations of the annual NSEC review meeting. Reports will include but not be limited to the NSEC's technical goals for the coming year and provide an updated project plan, as appropriate. The frequency of the reporting will be reported in the DOE F-4600.2 award checklist.
- Award recipients' Principal Investigators will be required to provide a minimum of annual progress reports that describe key advances in their scientific discipline and/or enabling technology development, and other issues, in addition to responses to the recommendations of the annual NSEC review meetings. Reports will include the NSEC's technical goals for the coming year and provide an updated project plan, as appropriate. The frequency of the reporting will be reported in the award checklist, if more than annual.

ATTACHMENT 4. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

D. RESEARCH SECURITY TRAINING REQUIREMENT (NEW MANDATE)

The U.S. National Science Foundation, in partnership with the National Institutes of Health, the Department of Energy and the Department of Defense, is sharing online research security training for the research community. To fulfill this requirement, recipients may utilize the four one-hour training modules developed by the National Science Foundation at <https://new.nsf.gov/research-security/training>. This policy is not effective as of to date but may be in effect by May 2025 and the selected applicant may be required to observe this requirement.

NOTE: The selected applicant will be notified when and if this training is required.

This training provides recipients of federal research funding with information on risks and threats to the global research ecosystem — and the knowledge and tools necessary to protect against these risks. Recipients must maintain a research security training program for covered individuals on the project, consistent with Section 10634 of the CHIPS and Science Act of 2022. Any new covered individuals at the recipient and subrecipient levels added to the project must certify that they have completed the training within thirty (30) calendar days of the individual joining the project (see Current and Pending Support term for certification instructions).

Responsibility of the Prime Recipient:

To assess the applicability of (a) against each person listed on the project (i.e., listed by the non-Federal entity in the application for Federal financial assistance, approved budget, progress report, or any other report submitted to DOE by the non-Federal entity regarding the subject project). Further, the prime recipient is responsible for identifying any such individual to DOE for designation as a covered individual, if not already designated by DOE as described above.

Acknowledge that submission of a current and pending support disclosure and/or biosketch/resume for a particular person serves as an acknowledgement that DOE designates that person as a covered individual. DOE may further designate covered individuals during the award period of performance.

Must maintain sufficient records (records must be retained for the time period noted in 2 CFR 200.334 and made available to DOE upon request) of their compliance with this requirement for covered individuals at the Prime recipient institution and they must extend this requirement to any and all subrecipients. The recipient may develop and implement their own research security training program aligned with the requirements in Section 10634(B) of the CHIPS and Science Act of 2022. The submission of an application to this NOFO constitutes the applicant's acceptance of this requirement.

Covered Individual Definition and Minimum Designation – 1 and 2

Covered Individual means an individual who (a) contributes in a substantive, meaningful way to the development or execution of the scope of work of a project funded by DOE, and (b) is designated as a covered individual by DOE. DOE designates as covered individuals any principal investigator (PI); project director (PD); co-principal investigator (Co-PI); co-project director (Co-PD); project manager; and any individual regardless of title that is functionally performing as a PI, PD, Co-PI, Co-PD, or project manager. Status as a consultant, graduate (master's or PhD) student, or postdoctoral associate does not automatically disqualify a person from being designated as a "covered individual" if they meet the definition in (a) above. Individuals committing no measurable effort, or "as-needed" effort are not automatically exempt from being designated as a covered individual. The prime recipient's listing of an individual in the "Senior/Key Person" section of an SF-424(R&R) budget serves as an acknowledgement

ATTACHMENT 4. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

that DOE designates that person as a covered individual.

E. INFORMATIONAL PURPOSES

The below is for informational purposes and may be included in your project narrative attached as an addendum:

- Proprietary Information/Data: 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 not to be released to persons outside the Government, except for purposes of review and evaluation."

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.

- Intellectual Property Developed

Patent Rights

The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE/NNSA award. 42 U.S.C. 5908 provides that title to such invention's 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 below.)

Rights in Technical Data

Normally, the government has unlimited rights in technical data created under a DOE/NNSA 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 ensure the commercialization of technology developed under a DOE agreement.

ATTACHMENT 4. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

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 because 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 [eCFR :: 10 CFR Part 784](#) -- Patent Waiver Regulation. Domestic small businesses and domestic nonprofit organizations will receive the patent rights clause at [eCFR :: 37 CFR 401.14](#) -- Standard patent rights clauses., 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.

- **Protection of Personally Identifiable Information**

In responding to this NOFO, 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.”

The term “PII,” as defined in OMB Memorandum Office of Management and Budget Directives about the Privacy Act and Federal Agency Privacy Policies | US EPA refers to information that can be used to distinguish or trace an individual’s identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual. The definition of PII is not anchored to any single category of information or technology. Rather, it requires a case-by-case assessment of the specific risk that an individual can be identified. In performing this assessment, it is important for an agency to recognize that non-PII can become PII whenever additional information is made publicly available - in any medium and from any source - that, when combined with other available information, could be used to identify an individual.

- The definition of PII can be further defined as Public PII and Protected PII.

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.

Protected PII

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

- **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 \$1M or more of Federal funds during the non-Federal entity's fiscal

ATTACHMENT 4. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

year, then a single or program- specific audit is required. For additional information, please refer to [eCFR :: 2 CFR 200.501](#) -- Audit requirements and [eCFR :: 2 CFR Part 200 Subpart F -- Audit Requirements](#).

If a for-profit entity is a Prime Recipient or Subrecipient and has expended \$1M or more of DOE funds during the entity's fiscal year, an annual compliance audit performed by an independent auditor is required. For additional information, please refer to [eCFR :: 2 CFR 910.501](#) -- Audit requirements and [eCFR :: 2 CFR Part 910 Subpart F -- Audit Requirements for For-Profit Entities](#).

Applicants and subrecipients (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.

- 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 Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards. For commercial entities, FAR Part 31 is applied to the award.

ATTACHMENT 6. GLOSSARY OF TERMS AND DEFINITIONS

GLOSSARY OF TERMS AND DEFINITIONS

Definitions below may apply to terms identified in this NOFO and subsequent awards.

TERM	DEFINITION
Administrative Requirements	Administrative requirements mean the general business management practices that are common to the administration of all grants, such as financial accountability, reporting, equipment management, and retention of records.
Advance Payment	Advance payment means a payment that a Federal awarding agency or pass-through entity makes by any appropriate payment mechanism, including a predetermined payment schedule, before the non-Federal entity disburses the funds for program purposes.
Allocation	Allocation means the process of assigning a cost, or a group of costs, to one or more cost objective(s), in reasonable proportion to the benefit provided or other equitable relationship. The process may entail assigning a cost(s) directly to a final cost objective or through one or more intermediate cost objectives.
Allocability	Allocability means the principle which requires that an expense or service charged must directly benefit and be necessary for the performance of the project; when multiple projects are benefited reasonable proportions must be able to be assigned. See 2 CFR 200.405.
Allowable Cost	Allowable cost means a cost incurred by a recipient that is: (1) reasonable for the performance of the award; (2) allocable; (3) in conformance with any limitations or exclusions set forth in the Federal cost principles applicable to the organization incurring the cost or in the award documents as to the type or amount of cost; (4) consistent with regulations, policies, and procedures of the recipient that are applied uniformly to both federally supported and other activities of the organization; (5) accorded consistent treatment as a direct or indirect cost; (6) determined in accordance with generally accepted accounting principles; and (7) not included as a cost in any other federally supported award (unless specifically authorized by statute). See 2 CFR 200.403 .
Amendment	An amendment is the written document executed by a DOE/NNSA Grants Officer that changes one or more provisions or terms or conditions of an existing notice of funding opportunity or financial assistance award. Amendments are used to approve changes to the budget or in project activities, increase funding, and extend budget or project periods.
Applicant	A registered grant applicant user who is working on or submitting applications on behalf of an organization, such as a state government, nonprofit organization, private business, or any other type of institution.
Application	Application means a request for financial support of a project or activity submitted to DOE on specified forms and in accordance with DOE instructions. A full-application or application is the written or electronic request for financial assistance to support an idea, method, or approach, submitted by individuals, businesses, and organizations in response to a DOE funding opportunity. An application is required for all financial assistance projects or programs funded by DOE. At a minimum, the application should include: (A) a face sheet containing basic identifying information. The face sheet shall be the Standard Form (SF) 424 or other Government-wide application form; (B) a detailed narrative description of the proposed project as required by the NOFO, including the objectives of the project and the applicant's implementation plan; (C) a budget with supporting justification; and (D) Any required pre-award assurances. Also known as a proposal.

ATTACHMENT 6. GLOSSARY OF TERMS AND DEFINITIONS

TERM	DEFINITION
Appropriations Act	Appropriations act means the statute that provides the authority for Federal agencies to incur obligations to and make payments out of the U.S. treasury for specified purposes.
Approved Budget	The approved budget for the Federal award summarizes the financial aspects of the project or program as approved during the Federal award process. It may include either the Federal and non-Federal share or only the Federal share, depending upon Federal awarding agency requirements. It must be related to performance for program evaluation purposes whenever appropriate. See eCFR :: 2 CFR 200.308 -- Revision of budget and program plans .
Assurance	Assurance means by an applicant, normally included with the application or State plan, indicating that the entity is in compliance with, or that it will abide by, a particular requirement if awarded a Federal grant or cooperative agreement.
Authorized Organizational Representative (AOR)	Authorized organizational representative (AOR) means the individual, named by the applicant organization, who is authorized to act for the applicant and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or grant awards. An AOR is a member of your organization authorized by the EBiz POC to submit applications in Grants.gov on behalf of the organization. An applicant user with the Standard AOR role can only submit applications when they are a participant of that workspace.
Award	Award means the provision of funds by DOE, based on an approved application and budget or progress report, to an organizational entity or an individual to carry out a project or activity.
Award Documents	Award documents mean the entirety of the documents describing the legal relationship between DOE and an awardee or recipient. The award documents include an Assistance Agreement and other documents which may be incorporated by reference or as attachments to the Assistance Agreement. The award documents are the official, legally binding document, signed (or the electronic equivalent of signature) by a Grants Officer that: 1) notifies the recipient of the award of a grant or cooperative agreement (grant); 2) contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and 3) provides the documentary basis for recording the obligation of Federal funds in the DOE accounting system.
Bayh-Dole Act	Bayh-Dole Act means a law which encourages universities and researchers to develop their inventions into marketable products; formal citation is Section 6 of the Patent and Trademark Amendment of 1980, Pub. L 96-517 as amended.
Budget	Budget means the financial plan for the project or program that the Federal awarding agency or pass-through entity approves during the Federal award process or in subsequent amendments to the Federal award. It may include the Federal and non-Federal share or only the Federal share, as determined by the Federal awarding agency or pass-through entity.
Budget Period	Budget period means the intervals of time (usually 12 months each) into which a project period is divided for budgetary and funding purposes.
Business Officer	Business officer means the financial official of the recipient who has primary fiscal responsibility for the grant. Also known as authorized organizational representative.
Capital Asset	Capital assets mean tangible or intangible assets used in operations having a useful life of more than one year which are capitalized in accordance with Generally Accepted Accounting Principles (GAAP). Capital assets include A) land and buildings (facilities), equipment, and intellectual property (including software) whether acquired by purchase, construction, manufacture, lease-purchase, exchange, or through capital leases; and B) additions,

ATTACHMENT 6. GLOSSARY OF TERMS AND DEFINITIONS

TERM	DEFINITION
	improvements, modifications, replacements, rearrangements, reinstallations, renovations, or alterations to capital assets that materially increase their value or useful life (not ordinary repairs and maintenance).
Carryover	Carryover means unobligated Federal funds remaining at the end of any budget period that may be carried forward to another budget period to cover allowable costs of that budget period (whether as an offset or additional authorization). Obligated, but unliquidated, funds are not considered carryover.
Change in Scope	Change in scope means an activity whereby the objectives or specific aims identified in the approved grant application are significantly changed by the recipient after award. Grants Officer prior approval is required for a change in scope to be allowable under an award.
Closeout	Closeout means the process by which a Federal awarding agency determines that all applicable administrative actions and all required work under an award have been completed by the recipient and the Federal awarding agency.
Competitive Segment	Competitive segment means the initial project period recommended for support or each extension of a project period resulting from a renewal award.
Conference	Conference (domestic or international) means a symposium, seminar, workshop, or any other organized and formal meeting, whether conducted face-to-face or via the Internet, where individuals assemble (or meet virtually) to exchange information and views or explore or clarify a defined subject, problem, or area of knowledge, whether or not a published report results from such meeting.
Consultant	Consultant means an individual who provides professional advice or services for a fee, but not as an employee of the engaging party. To prevent apparent or actual conflicts of interest, recipients and consultants must establish written guidelines indicating the conditions of payment of consulting fees. Consultants also include firms that provide professional advice or services. See 2 CFR 200.459.
Continuation Application/Award	Continuation application means the second or subsequent budget period within an identified period of performance.
Contract	Contract means a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used in this part does not include a legal instrument, even if the non-Federal entity considers it a contract when the substance of the transaction meets the definition of a Federal award or sub-award. See 2 CFR 200.1 – Subaward.
Contractor	Contractor means an entity that receives a contract as defined in 2 CFR 200.1 Contract.
Cooperative Agreement	A legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity that, consistent with 31 U.S.C. 6302– 6305: 1) Is used to enter into a relationship the principal purpose of which is to transfer anything of value from the Federal awarding agency or pass-through entity to the non-Federal entity to carry out a public purpose authorized by a law of the United States (see 31 U.S.C. 6101(3)); and not to acquire property or services for the Federal government or pass-through entity's direct benefit or use. 2) Is distinguished from a grant in that it provides for substantial involvement between the Federal awarding agency or pass-through entity and the non-Federal entity in carrying out the activity contemplated by the Federal award. 3) The term does not include: (a) A cooperative research and development agreement as defined in 15 U.S.C. 3710a; or (b) An agreement that provides only: (i) Direct United States Government cash assistance to an individual; (ii) A subsidy; (iii) A loan; (iv) A loan guarantee; or (v) Insurance.
Cost Principles	Cost principles mean the government-wide principles, 2 CFR 200 Subpart E on allowability and non-allowability of costs under federally sponsored agreements.
Cost Sharing	Cost sharing means the portion of project costs not paid by Federal funds (unless otherwise

ATTACHMENT 6. GLOSSARY OF TERMS AND DEFINITIONS

TERM	DEFINITION
	authorized by Federal Statute). Cost sharing means the value of third-party in-kind contributions and the portion of the costs of a federally assisted project or program not borne by the Federal government. Cost used to satisfy cost-sharing requirements are subject to the same policies governing allowability as other costs under the approved budget. See 2 CFR 200.306 .
Deadline	Deadline means the published date and/or time that a grant application is to be submitted to the funding agency.
Debarment and Suspension	Debarment and suspension mean the actions taken by a debaring official in accordance with OMB guidance at 2 CFR 180, “Non-procurement Debarment and Suspension,” to exclude a person or organization from participating in grants and other non-procurement awards government-wide. If debarred or suspended, the person or organization may not receive financial assistance (under a grant, cooperative agreement, or sub-award, or contract under a grant) for a specified period of time. Debarments and suspensions carried out pursuant to 2 CFR 376 are distinct from post-award suspension action by an awarding agency. See 2 CFR 901 for DOE implementation.
Direct costs	Direct costs mean costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. See 2 CFR 200.413 .
Diversity, Equity, Inclusion, and Accessibility (DEIA)	DEIA is a way of thinking and acting of those values and respects the varied identities and differences of all people. It is also a goal and an effort to create a model workplace that is fully accessible to employees with disabilities and that advances opportunities for underserved communities.
Disallowed Costs	Disallowed costs mean those charges to a Federal award that the Federal awarding agency or pass-through entity determines to be unallowable, in accordance with the applicable Federal statutes, regulations, or the terms and conditions of the Federal award.
	Domestic organization means a public (including a State or other governmental agency) or private non-profit or for-profit organization that is in the United States or its territories, is subject to U.S. laws, and assumes legal and financial accountability for awarded funds and for the performance of the grant-supported activities.
Domestic Organization	Domestic organization means a public (including a State or other governmental agency) or private non-profit or for-profit organization that is in the United States or its territories, is subject to U.S. laws, and assumes legal and financial accountability for awarded funds and for the performance of the grant-supported activities.
Effective Date	Effective date means the date specified in the Assistance Agreement form on or after which expenditures may be charged to the award. If no effective date is specified, then the beginning date of the period of performance for the award is the effective date.
Effort	Effort means the amount of time, usually expressed as a percentage of the total, which a faculty member or other employee spends on a sponsored project. No one is allowed to spend more than 100% total commitment on all academic activities, including grant-sponsored research, university-sponsored research, teaching, administration, advising and other contracted duties. Effort is indicated on the budget in units of person-months.
Equipment	Equipment means 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 non-Federal entity for financial statement purposes, or \$10,000. See also 2 CFR 200.1 Capital assets, Computing devices, General purpose equipment, Information technology systems, Special purpose equipment, and Supplies.
Expanded Authorities	Expanded authorities mean authorization to recipients under certain research grant mechanisms which waives the requirement for prior agency approval for specified actions related to awards. Example: 90-calendar day pre-award spending authority, no cost

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	extensions for up to one additional year, and automatic carryover of unobligated funds from one budget period to the next. The expanded authorities are now contained in the standard terms and conditions for most research grants.
Expiration Date	Expiration date means generally, the date signifying the end of the current project period, after which the recipient is not authorized to obligate grant funds.
Facilities and Administrative (F&A) Costs	Facilities and administrative costs mean costs that are incurred by a recipient for common or joint objectives and that, therefore, cannot be identified specifically with a particular project or program. These costs also are known as indirect costs.
Federal Financial Report (FFR)	Federal financial report is a report submitted on Standard Form (SF) 425, to indicate the status of awarded funds for the period covered. Frequency of reporting is specified in the Reporting Checklist provided as part of the award documents.
Federal Program Analyst	A Federal Program Analyst is an official who supports implementation and administration of a specific program which may include one or more projects. One designated for this role contributes to oversight of the development of program regulations and/or program announcements, evaluation of applications/plans, and development of recommendations for ranking and selection.
Federal Program Manager (FPM/PM)	An official of a program office delegated responsibility for implementation and administration of a specific program which may include one or more projects. This may include oversight of the development of program regulations and/or program announcements, supervision of the evaluation of applications/plans, and development of recommendations for ranking and selection.
Financial Assistance	Financial assistance means transfer by DOE of money or property to an eligible entity to support or stimulate a public purpose authorized by statute.
Foreign Government-Sponsored Talent Recruitment Program	Foreign Government-Sponsored Talent Recruitment Program is an effort directly or indirectly organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to relocate physically to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United States research facilities or receipt of federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to U.S. entities. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.
Foreign Person	Foreign person means any natural person who is not a lawful permanent resident as defined by 8 U.S.C. 1101 (a) (20) or who is not a protected individual as defined by 8 U.S.C. 1324b (a) (3).
Foreign Travel	Foreign travel (whether wholly or partly on official business) from the United States (including Alaska, Hawaii, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories and possessions of the United States) to a foreign country and return or travel between foreign countries by persons, including foreign persons, whose salaries or travel expenses or both will ultimately be funded in whole or in part by DOE from its appropriations in an agreement awarded from this NOFO. A trip is considered foreign

ATTACHMENT 6. GLOSSARY OF TERMS AND DEFINITIONS

TERM	DEFINITION
	travel for all legs of the itinerary if the traveler does not return to their post prior to departure for a foreign destination. Costs for foreign travel may be restricted by the NOFO or by a recipient's institutional policy.
Funding Period	The period of time when federal funding is available for obligation by the recipient.
Grant-Supported Project or Activity	Grant-supported project or activity means those activities specified or described in a grant or cooperative agreement application or in a subsequent submission that are approved by DOE for funding, regardless of whether Federal funding constitutes all or only a portion of the financial support necessary to carry them out.
Grants.gov	Grants.gov is designated by the Office of Management and Budget (OMB) as the single access point for all grant programs offered by Federal grant-making agencies. It provides a single interface for agencies to announce their grant opportunities and for all applicants to find and apply for those opportunities.
Grants.gov Tracking Number	A number set used by Grants.gov which is used to identify each application it receives.
Grants Officer	Grants Officer means a DOE federal official responsible for the business management aspects of grants and cooperative agreements, including review, negotiation, award, and administration, and for the interpretation of grants administration policies and provisions. GOs are delegated the authority to obligate DOE to the expenditure of funds and permit changes to approved projects on behalf of DOE.
Grants Specialist	Grants Specialist means a DOE staff member who works with a Grants Officer and is assigned the day-to-day management of a portfolio of grants and/or cooperative agreements. These activities include, but are not limited to, evaluating grant applications for administrative content and compliance with statutes, regulations, and guidelines; negotiating grants; providing consultation and technical assistance to recipients; and administering grants after award.
Incremental Funds	The Incremental Funding Policy states that partial funding of a contract is allowed with additional funds anticipated to be provided at a later time, and the amount budgeted shall be limited to the budget authority needed to cover all costs expected to be incurred during a (12) month period. This is used when the total cost of a project can't be covered within the current allocated budget because the project spans multiple years.
Indirect Costs	Indirect (or Facilities & Administration (F&A)) costs mean those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish a number of pools of indirect (F&A) costs. Indirect (F&A) cost pools must be distributed to benefitted cost objectives on bases that will produce an equitable result in consideration of relative benefits derived.
Institutional Base Salary	Institutional base salary means the annual compensation paid by an entity (e.g., IHE) for an employee's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of duties for the applicant/recipient organization. Base salary may not be increased as a result of replacing an entity salary funds with grant funds.
Institutions of Higher Education (IHEs)	IHE is defined at 20 U.S.C. 1001, which states, "an educational institution in any State that— <ol style="list-style-type: none"> 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, or persons who meet the requirements of section 1091(d) of this title. 2. is legally authorized within such State to provide a program of education beyond secondary education.

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	<p>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 or awards a degree that is acceptable for admission to a graduate or professional degree program, subject to review and approval by the Secretary.</p> <p>4. is a public or other nonprofit institution; and is accredited by a nationally recognized accrediting agency or association, or if not so accredited, is an institution that has been granted preaccreditation status by such an agency or association that has been recognized by the Secretary for the granting of preaccreditation status, and the Secretary 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."</p>
Internship	An internship is defined as a research experience in which NNSA-funded graduate students at each Center at each Center are required to complete a 10 consecutive week visit to one of the three NNSA National Laboratories during their graduate career. During their visits graduate students shall conduct research related to their responsibilities at their home institution. In addition, they shall take advantage of opportunities provided by the Laboratories that expose them to Laboratory research programs. Internships may occur during summers, but often do not. Students and their advisors should work with their Center's TST to identify potential Laboratory mentors, projects, and dates before applying to advertised openings.
Merit Review	Merit review means the process that involves the consistent application of standards and procedures that produce fair, equitable, and objective examinations of applications based on an evaluation of scientific or technical merit or other relevant aspects of the application. The review is performed by experts (reviewers) in the field of endeavor for which support is requested. Merit review is intended to provide guidance to the Selection Official, Program Official, and Merit Review Panel. See 200.205.
Monitoring	Monitoring means a process whereby the programmatic and business management performance aspects of a grant are assessed by reviewing information gathered from various required reports, audits, site visits, and other sources.
National Environmental Policy Act (NEPA)	The National Environmental Policy Act (NEPA), Public Law 91-190, as amended. NEPA requires Federal agencies to assess the environmental effects of proposed major Federal actions prior to making decisions.
No-Cost Extension (NCE)	No-cost extension means an extension of time to a project period and/or budget period to complete the work of the grant under that period, without additional Federal funds or competition.
Non-Federal Entities (NFE)	Non-federal entity is a state, local government, Indian tribe, institution of higher education (IHE), or nonprofit organization that carries out a Federal award as a recipient or subrecipient. Also termed, entity, throughout the NOFO.
Non-Federal Share	Non-Federal share means when cost sharing is required as a condition of an award, the portion of allowable project/program costs not borne by the Federal government.
Notice of Funding Opportunity (NOFO)	Notice of Funding opportunity (NOFO) means a publicly available document by which a Federal Agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. NOFOs may be known as funding opportunity announcements (FOAs), program announcements, requests for applications, notices of funding availability, solicitations, or other names depending on the Agency and type of program. NOFOs can be found at www.Grants.gov .
Obligations	Obligations mean when funds are used in connection with a non-Federal entity's utilization of funds under a Federal award, obligations mean orders placed for property and services, contracts and sub-awards made, and similar transactions during a given period that require payment by the non-Federal entity during the same or a future period.

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TERM	DEFINITION
OMB Circulars	OMB circulars means government-wide guidance issued to Heads of Federal agencies by the Director of the Office of Management and Budget.
Other Significant Contributors	Other significant contributors mean individuals who have committed to contribute to the scientific development or execution of the project but are not committing any specified measurable effort (i.e., person months) to the project. These individuals are typically presented at “effort of zero person months” or “as needed.” Individuals with measurable effort may not be listed as Other Significant Contributors (OSCs). Consultants should be included if they meet this definition.
Pass-Through Entity	Pass-through entity means a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program.
Program Participant	Program participants mean the participants of award recipients for service or training provided at a workshop, conference, seminar, symposium or other short-term instructional or information-sharing activity funded by an external grant or award, or the training beneficiaries of the project or program funded by an external grant or award. A participant is not involved in providing any deliverable to the recipient or a third party or would not be terminated or replaced for failure to perform.
Participant Support Costs	Participant support costs means direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences or training projects.
Person Months	Person months is the metric for expressing the effort (amount of time) PI(s), faculty and other senior/key personnel devote to a specific project. The effort is based on the type of appointment of the individual with the organization (e.g., calendar year, academic year, and/or summer term; and the organization’s definition of such).
Pre-Application	Pre-application means a brief outline or narrative of proposed work and sometimes budget, for informal review by a sponsor to determine whether an application should be submitted. Three predominant reasons for requiring submission of a preliminary pre-application are: <ul style="list-style-type: none"> • Reduce the applicant’s unnecessary effort in proposal preparation when the chance of success is very small. This is particularly true of exploratory initiatives where the community senses that a major new direction is being identified, or competitions that will result in a small number of actual awards. • Increase the overall quality of the submission. • Distill the number of applications that will be submitted to the agency and the number of anticipated reviewers needed to review.
Pre-award Costs	Pre-award costs mean any cost incurred prior to the beginning date of the project period or the initial budget period of a competitive segment (under a multi-year award), in anticipation of the award and at the applicant’s own risk, for otherwise allowable costs. See 200.XXXX
Principal Investigator	Principal Investigator (PI) means the individual designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. The applicant organization may designate multiple individuals as principal investigators (PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple PIs are named, each is responsible and accountable to the applicant organization, or as appropriate, to a collaborating organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one PI on an application or award diminishes neither the responsibility nor the accountability of any individual PI.
Prior Approval	Prior approval means written approval from the designated Grants Officer/Grants Specialists.
Project Cost	Project cost means total allowable costs incurred under a Federal award and all required cost sharing and voluntary committed cost sharing, including third-party contributions.

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TERM	DEFINITION
Project Period	Project period means the total time for which Federal support of a project has been programmatically approved as shown in the award documents; however, it does not constitute a commitment by the Federal government to fund the entire period. The total award period comprises the initial competitive segment, any subsequent competitive segments resulting from a renewal award(s), and extensions.
Project/Performance Site Location	Project/ performance site means location(s) of where the work described in the research plan will be conducted.
Program Income	Program income means gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance except as provided in 2 CFR 200.307 paragraph (f) (See 2 CFR 200.1 Period of performance). Program income includes but is not limited to income from fees for services performed, the use or rental of real or personal property acquired under Federal awards, the sale of commodities or items fabricated under a Federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal statutes, regulations, or the terms and conditions of the Federal award, program income does not include rebates, credits, discounts, and interest earned on any of them. See also 2 CFR 200.407 Prior written approval (prior approval). See also 35 USC 200-212 “Disposition of Rights in Educational Awards” for inventions made under Federal awards.
Program Manager	Program Manager or Federal Program Manager means the DOE official responsible for the programmatic, scientific, and/or technical aspects of a grant. The same role is filled by Program Directors, Program Officers, or Project Directors at other Federal agencies.
Progress Report	Progress report means periodic, frequently annual, report submitted by the recipient and used by DOE to assess progress and to determine whether to provide funding for the budget period subsequent to that covered by the report.
Proposal	A grant proposal is a request for funding for a project. It is an integral part of a grant application. Individuals in many industries, such as education, science and art, write grant proposals to obtain funding for their projects. A grant proposal provides a background on the organization or individual in search of funding, explains why they're seeking funds and predicts the project's positive outcomes and benefits to society if it can receive funding. It often also includes the amount of funding the project requires and an item-by-item breakdown of how the project's organization or individual may use the funding.
Re-budgeting	Re-budgeting means reallocation of funds available for spending between approved budget categories to allow best use of funds to accomplish the project goals.
Recipient	Recipient means a non-Federal entity that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program. The recipient is responsible and accountable for the use of the funds provided and for the performance of the grant-supported project or activity. The recipient is the entire legal entity even if a particular component is designated in award documents. The recipient is legally responsible and accountable to DOE for the performance and financial aspects of the grant-supported project or activity. The term recipient does not include subrecipients. See also § 200.69 Non-Federal entity in the OMB Uniform Grants Guidance. Also known as awardee or grantee.
Renewal Application	Renewal application means an application requesting additional funding for a period subsequent to that provided by a current award. Renewal applications compete for funds with all other peer reviewed applications and must be developed as fully as though the applicant is applying for the first time.
Research	Research is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. See 2 CFR 200.1 Research and Development (R&D).

ATTACHMENT 6. GLOSSARY OF TERMS AND DEFINITIONS

TERM	DEFINITION
Research Misconduct	Research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results, but does not include honest error or differences of opinion. See 10 CFR 733.
SAM.gov	SAM.gov is the System for Award Management (SAM); a consolidated service that includes Entity Registration, Assistance Listings, and other services for making, managing, and receiving Federal awards.
Scope of Work	Scope of work means the aims, objectives, and purposes of a grant; as well as the methodology, approach, analyses, or other activities; and the tools, technologies, and timeframes needed to meet the grant’s objectives. This includes the research or training plan included with the original grant application, along with any approved modifications.
Senior/Key Personnel	Senior/Key personnel means the PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether they receive salaries or compensation under the award. Typically, these individuals have doctoral or other professional degrees, although individuals at the master’s or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a postdoctoral role also may be considered senior/key personnel if they meet this definition. “Zero percent” effort or “as needed” is not an acceptable level of involvement for Senior/Key Personnel.
Significant Re-budgeting	Significant re-budgeting means a threshold that is reached when expenditures in a single direct cost budget category deviate (increase or decrease) from the categorical commitment level established for the budget period by more than 25 percent of the total costs awarded. Significant re-budgeting is one indicator of change in scope.
Simplified Acquisition Threshold	Simplified acquisition threshold means the dollar amount below which a non-Federal entity may purchase property or services using small purchase methods (see § 200.320). Non-Federal entities adopt small purchase procedures to expedite the purchase of items at or below the simplified acquisition threshold. The simplified acquisition threshold for procurement activities administered under Federal awards is set by the FAR at 48 CFR part 2, subpart 2.1 . The non-Federal entity is responsible for determining an appropriate simplified acquisition threshold based on internal controls, an evaluation of risk, and its documented procurement procedures. However, in no circumstances can this threshold exceed the dollar value established in the FAR (48 CFR part 2, subpart 2.1) for the simplified acquisition threshold. Recipients should determine if local government laws on purchasing apply.
Subaward	Subaward means a legal instrument by which a recipient provides funds (or property in lieu of funds) to an eligible subrecipient (or a lower-tier transaction) to perform a substantive portion of the grant-supported program or project. The term includes such financial assistance when provided by any legal agreement (even if the agreement is called a contract) but does not include any form of assistance which is excluded from the definition of a grant, including the recipient’s procurement of property or services needed to carry out the project or program. The term includes consortium agreements.
Subaward Agreement	A subaward is an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity, while a contract is a legal instrument by which a non-federal entity purchases goods or services needed to carry out the project or program under a federal award.
Subrecipient	Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A sub-recipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

ATTACHMENT 6. GLOSSARY OF TERMS AND DEFINITIONS

TERM	DEFINITION
Supplement	Supplement means a request for an increase in support during a current budget period for expansion of the project’s scope or to meet increased costs unforeseen at the time of the new or renewal application. A supplement may increase support for future years in addition to the current year. Supplements require applications and are subject to administrative and merit review.
System for Award Management (SAM)	SAM validates applicant information and electronically shares the secure and encrypted data with the federal agencies’ finance offices to facilitate paperless payments through Electronic Funds Transfer (EFT). SAM stores organizational information, allowing Grants.gov to verify your identity and to pre-fill organizational information on grant applications.
Terms and Conditions	Terms and conditions of award means all legal requirements imposed on a grant by DOE, whether based on statute, regulation, policy, or other document referenced in the grant award, or specified by the grant award document itself. The award documents may include both standard and special conditions that are considered necessary to attain the grant’s objectives, facilitate post-award administration of the grant, conserve grant funds, or otherwise protect the Federal government’s interests.
Total Costs	The total costs mean the funding amount requested in your budget includes allowable direct costs (related to the performance of the award) plus allowable indirect costs.
Technical Project Officer (TPO)	A Technical Project Officer is a federal staff member designated to monitor the programmatic aspects of project performance.
U.S. Person	U.S. person means a person who is a lawful permanent resident of the United States of America as defined by 8 U.S.C. 1101(a)(20) or who is a protected individual as defined by 8 U.S.C. 1324b(a)(3). It does not include any foreign person as defined in §120.63 .
Unique Entity Identifier (UEI)	A UEI number is the authoritative identification number provided by the U.S. government, used to identify businesses awarded federal grants, cooperative agreements, awards, and contracts. The UEI replaces the DUNS number and allows entities to obtain an authorized identifier directly from the System for Award Management (SAM) rather than through a third party. See § 200.403 Factors affecting allowability of costs.
Unallowable Costs	Unallowable costs mean costs that cannot be charged, directly or indirectly, to Federal awards because the costs are prohibited by law, regulation (including applicable cost principles), or the terms and conditions of award. Costs that are not allowable, allocable, or reasonable are unallowable.
Unliquidated Obligations	Unliquidated obligations mean, for financial reports prepared on a cash basis, obligations incurred by the non-Federal entity that have not been paid (liquidated). For reports prepared on an accrual expenditure basis, these are obligations incurred by the non-Federal entity for which an expenditure has not been recorded. See eCFR :: 2 CFR 200.1 -- Definition for Unliquidated Obligations.
Unobligated Balance	Unobligated balance means the amount of funds under a Federal award that the non-Federal entity has not obligated. The amount is computed by subtracting the cumulative amount of the non-Federal entity’s unliquidated obligations and expenditures of funds under the Federal award from the cumulative amount of the funds that the Federal awarding agency or pass-through entity authorized the non- Federal entity to obligate.
Validate	In the context of the data management plan requirements, validate means to support, corroborate, verify, or otherwise determine the legitimacy of the research findings. Validation of research findings could be accomplished by reproducing the original experiment or analyses, comparing, and contrasting the results against those of a new experiment or analyses, or by some other means.

ATTACHMENT 6. GLOSSARY OF TERMS AND DEFINITIONS

TERM	DEFINITION
Value/Funding	The value of, and funding for, the DOE National Laboratories' portion of the work should not be included in the prime IHEs proposed budget.
Voluntary Committed Cost Share	DOE/NNSA considers any voluntary cost sharing offered at the application state as "committed" cost sharing at the award phase and occurs when the applicant/subapplicant pledges cash or in-kind resources towards a project but is not obligated to do so by the NOFO. This is negotiable during the negotiation phase upon selection for an award.
Voluntary Cost Share	Cost share is considered "voluntary" when the applicant describes a quantifiable amount of resources it will contribute to the project.

ATTACHMENT 5. REFERENCE MATERIAL - WEBLINKS

REFERENCE MATERIAL – WEBLINKS

TITLE	WEBSITE - WEBPAGE
2 CFR 200 Office and Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (UG)	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200
2 CFR Part 170 Reporting Subaward and Executive Compensation Information	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-170
2 CFR 205 Federal awarding agency review of merit of proposals	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-C/section-200.205
2 CFR 206 Federal awarding agency review of risk posed by applicants	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-C/section-200.206
2 CFR 200.403 Factors affecting allowability of costs	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRea20080eff2ea53/section-200.403
2 CFR 200.404 Reasonable costs	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRea20080eff2ea53/section-200.404
2 CFR 200.405 Allocable costs	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRea20080eff2ea53/section-200.405
2 CFR 200.459 Professional service costs	eCFR :: 2 CFR 200.459 -- Professional service costs. https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E/subject-group-ECFRed1f39f9b3d4e72/section-200.459
2 CFR Part 200 Subpart E -- Cost Principles	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-E
2 CFR 3187.14 -- Subawards	https://www.ecfr.gov/current/title-2/subtitle-B/chapter-XXXI/part-3187/subpart-C/subject-group-ECFR1c38957a8249b7e/section-3187.14
2 CFR Part 910 -- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards	https://www.ecfr.gov/current/title-2/subtitle-B/chapter-IX/part-910
2 CFR 910.132 -- Research misconduct.	https://www.ecfr.gov/current/title-2/subtitle-B/chapter-IX/part-910/subpart-B/section-910.132
2 CFR Part 25 -- Universal Identifier and System for Award Management	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-25
10 CFR Part 1021 -- National Environmental Policy Act Implementing Procedures	https://www.ecfr.gov/current/title-10/chapter-X/part-1021
10 CFR 1021: National Environmental Policy Act Implementing Procedures (DOE, 2011; rev. 2021)	https://www.energy.gov/nepa/articles/10-cfr-1021-national-environmental-policy-act-implementing-procedures-doe-2011-rev
41 USC 2313: Database for Federal agency contract and grant officers and suspension and debarment officials (house.gov)	https://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title41-section2313&num=0&edition=prelim

ATTACHMENT 5. REFERENCE MATERIAL - WEBLINKS

TITLE	WEBSITE - WEBPAGE
Biographical Sketch Form	https://new.nsf.gov/funding/senior-personnel-documents#biographical-sketch-0bd
Department of Energy (DOE)	https://www.energy.gov/
DOE Determination of Exceptional Circumstances (DECs)	https://www.energy.gov/gc/determination-exceptional-circumstances-decs
DOE Federal Assistance Reporting Checklist and Instructions (DOE F-4600.2)	https://www.energy.gov/management/financial-assistance-forms-and-information-applicants-and-recipients
DOE Financial Assistance	https://www.energy.gov/management/financial-assistance
DOE Financial Assistance Certifications and Assurances for Use with the SF- 424	https://www.energy.gov/management/articles/certifications-and-assurances-use-sf-424
DOE Financial Assistance Forms and Information For Applicants and Recipients	https://www.energy.gov/management/financial-assistance-forms-and-information-applicants-and-recipients
DOE Financial Assistance Forms and Information For Auditors	https://www.energy.gov/management/financial-assistance-forms-and-information-auditors
DOE Financial Assistance Regulations, 2 CFR Part 910	https://www.ecfr.gov/current/title-2/subtitle-B/chapter-IX/part-910
DOE Guide to Financial Assistance (November 2023)	https://www.energy.gov/sites/default/files/2023-11/Guide%20to%20Financial%20Assistance%20November%202023.pdf
DOE Justice40 Initiative	https://www.energy.gov/justice/justice40-initiative
DOE National Policy Assurances to be Incorporated as Award Terms	https://www.energy.gov/management/articles/national-policy-assurances-be-incorporated-award-terms
DOE New Restrictions on Lobbying	https://www.ecfr.gov/current/title-10/chapter-II/subchapter-H/part-601?toc=1
DOE Office of Scientific and Technical Information	https://www.osti.gov/
DOE Policy for Digital Research Data Management	https://www.energy.gov/datamanagement/doe-policy-digital-research-data-management#Respondents
DOE Policy for Digital Research Data Management: Suggested Elements for a Data Management Plan	https://www.energy.gov/datamanagement/doe-policy-digital-research-data-management-suggested-elements-data-management-plan
DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements	SPECIAL TERMS AND CONDITIONS FOR USE IN MOST GRANTS AND COOPERATIVE AGREEMENTS APR2023 .pdf (energy.gov)
DOE Standard Intellectual Property (IP) Provisions for Financial Assistance Awards	https://www.energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards
DOE and Federal-Wide Research Terms and Conditions	https://www.nsf.gov/awards/managing/rtc.jsp
DOE and Federal-Wide Research Terms and Conditions (Appendix)	https://www.nsf.gov/bfa/dias/policy/fedrtrc/appendix_c.pdf
DOE Financial Assistance Forms and	https://www.energy.gov/management/financial-assistance-forms-and-

ATTACHMENT 5. REFERENCE MATERIAL - WEBLINKS

TITLE	WEBSITE - WEBPAGE
Information For Applicants and Recipients	information-applicants-and-recipients
DOE National Policy Assurances to be Incorporated as Award Terms	https://www.energy.gov/management/articles/national-policy-assurances-be-incorporated-award-terms
DOE Policy for Digital Research Data Management	https://www.energy.gov/datamanagement/doe-policy-digital-research_data-management#Respondents
DOE Prior Approval Requirements	https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_a.pdf
DOE Research Terms and Conditions to be Incorporated as Award Terms	https://www.nsf.gov/awards/managing/rtc.jsp
DOE Research Terms and Conditions to be Incorporated as Award Terms (National Policy – Appendix C)	https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_c.pdf
DOE Standard Intellectual Property (IP) Provisions for Financial Assistance Awards	https://www.energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards
DOE Subaward Requirements (Appendix B)	https://www.nsf.gov/bfa/dias/policy/fedrtc/appendix_b.pdf
DOE Title IX Employer Identification Number (EIN)	https://www.energy.gov/justice/title-ix
EIN and TIN Difference	https://www.irs-ein-tax-id.com/faq/difference-tin-ein/
Fed Connect	https://www.fedconnect.net/
Fed Connect Registration	https://www.fedconnect.net/FedConnect/PublicUserRegistration.aspx
Federal awarding agency review of risk posed by applicants	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-C/section-200.206
Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS)	https://www.fsr.gov/
FSRS Frequently Asked Questions	https://www.fsr.gov/#a-faqs
Freedom of Information Act (FOIA)	https://www.foia.gov/about.html
Governmentwide Uniform Regulations for Financial Assistance, 2 CFR Part 200	https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200
Government Research Terms and Conditions	https://www.nsf.gov/awards/managing/rtc.jsp
Grants.gov	https://www.grants.gov/
Grants.gov – Adobe Software Compatibility	grants.gov/applicants/adobe-software-compatibility
Grants.gov – Applicant Registration	grants.gov/applicants/grant-applications/how-to-apply-for-grants
Grants.gov – Applicant Training	https://www.grants.govgrants.gov/applicants/applicant-training
Grants.gov – Application Portal	https://www.grants.gov/applicants
Grants.gov – Grants [Financial Assistance] Learning Center	https://www.grants.gov/learn-grants
Grants.gov – Search Grants	grants.gov/search-grants
Grants.gov – Self Help	https://gditshared.servicenow.com/hhs_grants
Grants.gov – Support Center	https://www.grants.gov/support
Master Government List of Federally Funded R&D Centers	https://www.nsf.gov/statistics/ffrdclist/
National Nuclear Security Administration (NNSA)	https://www.energy.gov/nnsa/national-nuclear-security-

ATTACHMENT 5. REFERENCE MATERIAL - WEBLINKS

TITLE	WEBSITE - WEBPAGE
	administration
Predictive Science Academic Alliance Program (PSAAP)	https://psaap.llnl.gov/
System for Award Management (SAM)	https://sam.gov/content/home
SAM.gov – GSA Federal Service Desk	GSA Federal Service Desk Service Portal
SAM.gov – Help Desk	https://sam.gov/content/help
U.S. Department of State Office of Allowances	https://aoprals.state.gov/Web920/location.asp?menu_id=95
U.S. Equal Employment Opportunity Commission	https://www.eeoc.gov/eeoc-publications
U.S. General Services Administration Per Diem Rates	https://www.gsa.gov/travel/plan-book/per-diem-rates