NOFO DE-FOA-NA0003284
FAQs – PIs or Co-PI POSITIONS

1. **The NOFO states that each identified PIs and Co-PI are required to be a U.S. Person and must be an active member of the teaching/research faculty of an IHE. Clarification on Eligible Individuals outside of the Pis is requested. Is it required for individuals outside of the PI's who are not a U.S. person and will be supported by award funds or by cost share to be screened and approved by DOE NNSA at proposal stage and throughout the award period of performance?**

   DOE/NNSA will review the list of individuals that will be PSAAP-funded and supported by cost share prior to the award and throughout the award. Please refer to Appendix 7 under "6. Appendices to Project Narrative Information" in Section IV, Part B which discusses the Non-U.S. Person Support List. An individual that is participating in the project but is not PSAAP funded or supported by cost share must be part of the Non-U.S. Citizen Support List.

   DOE/NNSA's Digital Persistent Identifier: Individuals required to submit Biographical Sketch and 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.

2. **Can staff at University affiliated research center (UARC) serve as co-PIs on this grant? or not?**

   University Affiliated Research Centers (UARCs) are non-profit organizations so they would not be eligible to be a subrecipient for awards under this funding opportunity. Eligibility for awards under this NOFO is restricted to U.S. Institutes of Higher Education. While not eligible to apply as the prime institution, U.S. Institutions of Higher Education that are non-PhD granting educational institutions and grant other degrees, are eligible to be subawardees.

   Applications may have co-PIs from the prime applicant or sub-applicant IHEs. Each identified PIs 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. Adjunct professors, visiting professors, and post-doctoral fellows are ineligible to be PIs or Co-PIs. See Section III.B & C of the NOFO for additional detail to eligibility.

3. **Are Co-PIs from multiple universities encouraged**?

   Co-PIs from multiple universities are neither encouraged nor discouraged. We encourage you to build a team that makes a very strong proposal and recognize that there will be an extra load on the program associated with the complexities of working with multiple universities. Please make sure that individuals in the role of Co-PI are deemed eligible as discussed in Section III Part B of the NOFO.

4. **Considering the same individual to serve on 2 separate teams – the preapplication and application and potential position is the co-PI for the PSAAP IV NOFO. The position is a tenure-track professor and not a PI for the PSAAP IV application. Can the same individual serve as a co-PI for both the pre-application and the application?**

   The position of co-PI can serve on both the preapplication and application. The preapplication is a submission of the potential final application submitted by the prime (or lead) applicant (IHE) for the PSAAP IV. Therefore, the position of co-PI can be the same individual on both the preapplication and application but must meet the eligibility requirements stated in Section III, Part B of the NOFO.

5. **If a Co-PI is a citizen of a foreign, but not an at-risk country, is this individual eligible in the pre application (and if encouraged, the full application) and go through the approval process post-award? Or should the vetting process begin now?**

   Section III Part B of the NOFO, Item 3 provides details on foreign participants for the application. The individual can be involved in the project but not under the capacity of Co-PI based on this requirement. DOE/NNSA will review the list of individuals that will be PSAAP-funded and supported by cost share prior to and throughout the

potential award. Also, refer to Appendix 7 under Item 6. Appendices to Project Narrative Information, Section IV, Part B which discusses the Non-U.S. Citizen Support List.

6. **Section III Part B notes that Co-PIs must be US Persons. Some US government agencies define this to include US Residents (which I think means only US Permanent Residents). So, would a US Permanent Resident be qualified to be Co-PI? I have noted Appendix 7 in Section IV Part B on non-US Citizen support.**

   Section VIII.C.2 of the NOFO provides a glossary that includes a definition of U.S. person as "*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*." As such, a U.S. "lawful" permanent resident is qualified to be a PI.

7. **Is there a maximum/recommended number of PIs? External Collaborations?**

   There is no limitation to the number of Co-PI's and external collaborations, but we do expect that a single PI be identified as the point of contact for communication for the team.

8. **The NOFO mentions that every research staff member and postdoc (funded half-time or greater) supported by a PSAAP-IV award will be required to spend one week collaborating with an NNSA National Laboratory. *Can you tell me whether the PIs or Co-PIs qualify as "research staff members?"***

   PIs and co-PIs qualify as "research staff members" for the purposes of the annual 1-week visit requirement. However, as faculty members the majority of their time (typically 9 months) is paid by the university, so they are only funded for 1-3 months per year from the PSAAP grant and thus don't meet the 50% threshold.

9. **Specific question about a co-PI. The university is considering applying and planning to partner with another IHE. The co-PI is a Principal Research Scholar but also a Deputy Department Head (at an FFRDC). Is he eligible to be co-PI using his PU affiliation despite having a PPPL position also?**

   Awards will be presented to entities, not individuals. To be eligible for an award, the prime institution must be a U.S. Institute of Higher Education (IHE). While not eligible to apply as the prime institution, U.S. IHEs that are non-PhD granting educational institutions and grant other degrees, are eligible to be subawardees.

   Biosketches and Current and Pending Other Support forms for each key personnel are required and will be assessed. Eligibility for awards under this NOFO is restricted to U.S. Institutes of Higher Education. Applications may have co-PIs from the prime applicant or sub-applicant IHEs. Each identified PIs 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. Adjunct professors, visiting professors, and post-doctoral fellows are ineligible to be PIs or Co-PIs.

   Federally Funded Research and Development Centers (FFRDCs) are public-private partnerships for the United States Government that typically conduct research and development. The FAR requires a written agreement of sponsorship between the government and an FFRDC and sets forth the federal policy regarding the establishment, use, review, and termination of FFRDCs. FFRDCs agree to terms and conditions more restrictive than those of other organizations that do business with the federal government. The FAR limits the operation of FFRDCs to not-for-profits, academic institutions, or wholly separate units of a commercial company to avoid conflicts of interest. The FFRDC is required to work within the purpose, mission, general scope, or competency as assigned by the sponsoring agency. FFRDCs are not allowed to be recipients or subrecipients of this NOFO.

   For the question posed about a specific individual that has various appointments. It is recommended that the individual do the following: 1) Consult with their contracting or agreements officer for the FFRDC to learn if there are any terms or conditions in that agreement which they should be aware (e.g., would they need to step down from that position to provide effort on a federal cooperative agreement?); and 2) Consult with their Authorized Organizational Representative at their university to identify potential duplication, overcommitment, potential conflicts of interest or commitment, etc.