

DEPARTMENT OF ENERGY
NATIONAL NUCLEAR SECURITY ADMINISTRATION
OFFICE OF PARTNERSHIP AND ACQUISITION SERVICES



GLOVEBOX MANUFACTURING EXPANSION INITIATIVE (GMEI)

NOTICE OF FUNDING OPPORTUNITY (NOFO) NUMBER
DE-NOFO-0003244

NOFO TYPE: INITIAL
ASSISTANCE LISTING NUMBER: 81.258

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Submission Deadline for Applications	April 5, 2024
Expected Date for Selection Notifications	June 1, 2024

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UPDATES AND REMINDERS

REPORTING AND ADMINISTRATIVE REQUIREMENTS

DOE/NNSA is implementing enhanced reporting requirements for applications and awards. Reporting and administrative requirements, including but not limited to those pertaining to other sources of support and potential conflicts of interest or commitment, are subject to change before the Federal award date. The terms and conditions of award will specify changed requirements: Applicants have the right to reject any proposed awards. Terms and conditions may be modified at the time of an award modification: Recipients have the right to reject such modifications and allow an award to expire.

UNIQUE ENTITY IDENTIFIER (UEI)

The Federal Government has transitioned from the Data Universal Numbering System (DUNS), assigned by Dun and Bradstreet to the UEI, assigned by the System for Award Management at <https://www.sam.gov>, UEIs are required in accordance with 2 CFR Part 25, and the transition from DUNS to UEI has resulted in the UEI being issued by the Federal Government in . SAM.gov. Please follow the on-screen instructions or contact each system's Help Desk for additional information. Detailed information about the transition is available at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-information-kit/unique-entity-identifier-update>.

STATEMENT OF COMMITMENT

The DOE/NNSA is fully and unconditionally committed to fostering safe, diverse, equitable, and inclusive work, and funding environments that value mutual respect and personal integrity. Discrimination and harassment undermine NNSA's ability to achieve its mission by reducing productivity, discouraging, or inhibiting talent retention and career advancement, and weakening the integrity of the NNSA enterprise overall. NNSA does not tolerate discrimination or harassment of any kind, including sexual or non-sexual harassment, bullying, intimidation, violence, threats of violence, retaliation, or other disruptive behavior in the federal workplace, including NNSA field site offices, or at national laboratories, scientific user facilities, academic institutions, other institutions receiving NNSA funding, or other locations where activities funded by NNSA are carried out.

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SUMMARY

Current nuclear glovebox manufacturers do not have sufficient manufacturing capacity to meet the DOE/NNSA's anticipated glovebox demand through 2035. The demand is driven principally by the magnitude and timing of gloveboxes required by the Los Alamos Plutonium Pit Production Project (LAP4) and the Savannah River Plutonium Processing Facility (SRPPF). Other projects, across NNSA, DOE, DoD, commercial industry, and the United Kingdom's Atomic Weapons Establishment (AWE) also require gloveboxes in significant quantities and may compete with NNSA's programs for glovebox design and fabrication.

More specific information on each area of interest is outlined in the general and program specific information below.

Section I – FUNDING OPPORTUNITY DESCRIPTION

A. GENERAL INQUIRIES ABOUT THIS NOFO SHOULD BE DIRECTED TO:

Technical Program Contact:

Edward Hoegg

National Nuclear Security Administration

Production Modernization Program

Phone: (240) 306-8561

Email: edward.hoegg@nnsa.doe.gov

NNSA Grants Officer

Yolanda F. Robinson-Freeman

National Nuclear Security Administration

Specialty Acquisition Branch – Office of Partnership & Acquisition Services

Phone: (505) 845-4693

Email: yolanda.r-freeman@nnsa.doe.gov

NNSA Grants Specialist:

Iralien Sainvilmar (Ira)

National Nuclear Security Administration

Specialty Acquisition Branch – Office of Partnership & Acquisition Services

Phone: (505) 845-5569

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Email: Iralien.sainvilmar@nnsa.doe.gov

B. STATUTORY AUTHORITY

Public Law 117-263; FY 2023 James M. Inhofe National Defense Authorization Act
Federal Grant and Cooperative Agreement Act of 1977
Public Law 95-22; 1977

C. APPLICABLE REGULATIONS

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, codified at 2 CFR Part 200 and U.S. Department of Energy Financial Assistance Rules, codified at 2 CFR Part 910.

D. INFORMATION

To meet its mission, “*to protect the Nation, our allies and our partners by providing a resilient and responsive Nuclear Security Enterprise,*” the DOE/NNSA must sometimes rely on commercial manufacturers to help meet important mission objectives. In late 2022, the DOE/NNSA determined the need to ensure a sufficient supply of gloveboxes is available for necessary capital projects and equipment replacements and installations within designated facilities. After extensive market research and in coordination Energy Facility Contractors Group (EFCOG), the DOE/NNSA developed a Strategic Action Plan to coordinate efforts of federal management & operating (M&O) partners across technical, fiscal, contracting, and industrial base domains to create a coherent approach that uses all levers to meet prioritized mission requirements.

The Strategic Action Plan directed the Matrixed Execution Team (MET) Glovebox Working Group to pursue cost sharing grants for glovebox manufacturing expansion. To meet this directed action, the DOE/NNSA seeks cooperative agreement applications for the Glovebox Manufacturing Expansion Initiative (GMEI). Funding will support investments in facility expansion and equipment modernization of commercial facilities in the United States for the fabrication of Nuclear Quality Assurance (NQA-1) or International Organization for Standardization (ISO) 9001 nuclear gloveboxes. Applications must identify achievable expansion goals to meet the following:

1. Double current manufacturing capacity no later than December 31, 2028

Applicants should be prepared to show how facility expansion and/or equipment purchases will increase (at least double) their manufacturing capability no later than December 31, 2028. Multiple metrics may be appropriate. Applicants should estimate benefits in their applications and appendices using the same metrics by which they intend to measure success.

If an application is recommended for funding by DOE/NNSA, applicants are cautioned to strictly follow that organization's instructions regarding the transfer of the application and potential award administration. All Entities submitting applications for this NOFO must recognize the moral and legal obligations to comply with export controls and policies that limit the transfer of

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technology with potential dual use. Applicants are reminded that international activities must comply with nonproliferation, sanction and other protocols described at <https://www.export.gov>.

E. KEY DATES

Informational Meeting:	7 March 2024
Application Due Date:	5 April 2024 (due by 11:59 pm EST through grants.gov)
Initial Review:	8 April – 12 April 2024
Merit Review Cycle:	15 April 2024 – 30 April 2024
Earliest Award Date:	1 June 2024

Section II – AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT

DOE/NNSA anticipates awarding Cooperative Agreements under this NOFO.

B. ESTIMATED FUNDING

\$50 Million

DOE/NNSA is under no obligation to pay for any costs associated with preparation or submission of applications. DOE/NNSA reserves the right to fund, in whole or in part, any, all, or none of the applications submitted in response to this NOFO.

C. ESTIMATED AWARD RANGE AND SIZE:

Estimated award range will vary based on the number of eligible applicants and amount requested by applicants.

Ceiling

The maximum amount for a single award made under this NOFO is \$14,000,000.

Floor

The minimum amount for a single award made for this NOFO is \$1,000,000.

D. EXPECTED NUMBER OF AWARDS

The number of awards will depend on the number of meritorious applications and the availability of appropriated funds.

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E. PERIOD OF PERFORMANCE

DOE/NNSA anticipates making awards with a project period of up to four years. Selected applicants will be expected to show progress toward manufacturing expansion efforts within 24 months.

Continuation funding is contingent on: (1) progress towards meeting the objectives of the approved application; (2) submission of required reports; and (3) compliance with the terms and conditions of the award.

F. TYPE OF APPLICATION

DOE/NNSA will accept new applications for a cooperative agreement under this NOFO.

Section III – ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

This NOFO imposes several eligibility requirements for funding. To be considered for evaluation, an applicant's submission must meet the criteria set forth:

1. Funding must be for the expansion or modernization of glovebox manufacturing facilities. For this NOFO, expansion or modernization includes significantly enlarging an existing facility or increasing the capacity of an existing facility via material capital investment. Both expansion and modernization will be evaluated on the materiality of the investment relative to existing production.
2. To comply with 2 CFR Part 200, funding is available to domestic nuclear glovebox manufacturers who have the domestic capability to perform the activity successfully.
 - a. To qualify as a domestic entity, the entry must be organized and incorporated (or otherwise formed) under the laws of a particular state or territory of the United States, have a majority domestic ownership and control, and have a physical place of business in the United States.
 - b. Entities banned from doing business with the U.S. government, such as entities debarred, suspended, or otherwise excluded from or ineligible to participate in a federal program, are not eligible.
3. Applicants must be registered in SAM before submitting their applications and maintain the SAM registration with current information.
 - a. Applicants must provide a valid Unique Entity Identification number (UEI) in the application.
4. Funding is available to nuclear glovebox manufacturers that have demonstrated the ability to fabricate a nuclear NQA-1 or ISO 9001 certified glovebox.
5. Applicants shall have implemented or be in the process of implementing the cybersecurity requirements contained in National Institute for Standards and Technology (NIST) Special Publication (SP) 800-171.

B. EXPECTATIONS

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The DOE/NNSA expects the following from glovebox manufacturers:

1. Applicants should have a clear understanding and demonstrated experience with Common Industry Codes, Specifications, and Standards - *AGS-G001-2007 Guideline for Gloveboxes*
2. Applicants should have a clear understanding and demonstrated experience with Common Industry Codes, Specifications, and Standards - *AGS-G006-2017 Standard of Practice for the Design and Fabrication of Nuclear Application Gloveboxes*
3. Applicants should have a clear understanding and demonstrated experience with Common Industry Codes, Specifications, and Standards - *AGS-G004, 2014: Standard of Practice for Leak Test Methodologies for Gloveboxes and other Enclosures*
4. Applicants should have a clear understanding and demonstrated experience with Common Industry Codes, Specifications, and Standards - *ASME NQA-1: Quality Assurance Requirements for Nuclear Facility Applications*
5. Applicants should have a clear understanding and demonstrated experience with Common Industry Codes, Specifications, and Standards - *DOE Order 414.1D Quality Assurance*

C. COST SHARING

Applicants are bound by the cost share proposed in their full applications if selected for award negotiations.

Effort	Cost Share Requirement
Facility Expansion	80/20%
Equipment Purchases	80/20%

Legal Responsibility

The cost share requirement applies to the applicant of the cooperative agreement. The prime recipient is legally responsible for paying the entirety of the cost share. If the funding agreement is terminated prior to the end of the agreement, the prime recipient is required to contribute at least the cost share percentage of total expenditures incurred through the date of termination.

Cost Share Allocation

Cost share must come from non-federal sources (unless otherwise allowed by law), such as project participants, state or local governments, or other third-party financing. Federal financing, such as DOE Loan Guarantee, cannot be leveraged by applicants to provide the required cost share or otherwise support the same scope that is proposed under a project.

Cost share may be provided by the prime recipient, subrecipients, or third parties (entities that do not have a role in performing the scope of work). Vendors/contractors may not provide cost share. Any partial donation of goods or services is considered a discount and is not allowable.

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Cash contributions include but are not limited to personnel costs, fringe costs, supply and equipment costs, indirect costs, and other direct costs.

In-kind contributions are those where a value of the contribution can be readily determined, verified, and justified but where no actual cash is transacted in securing the good or service comprising the contribution. Allowable in-kind contributions include but are not limited to the donation of volunteer time or the donation of space or use of equipment.

Cost Share Verification

Applicants are required to provide written assurance of their proposed cost share contributions in their Full Applications.

Upon selection for award negotiations, applicants are required to provide additional information and documentation regarding their cost share contributions.

Section IV – APPLICATION AND SUBMISSION INFORMATION

A. APPLICATION PACKAGE

Application forms and instructions are available at Grants.gov. To access these materials, go to <https://www.Grants.gov>, select “Search Grants”, and then enter the Assistance Listing Number (81.258) and/or the NOFO number shown on the cover of this opportunity announcement. Select the “Apply” button to access the application package.

1. SF-424 (R&R)

Complete this 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 referenced in Field 17 is available on the DOE Financial Assistance Forms Page at <https://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Certifications and Assurances. Applicants are bound by their representations and certifications in SAM.gov.

B. PROJECT NARRATIVE AND SUPPORTING APPENDICES

1. Project Narrative

Applicants must submit a project narrative and supporting appendices to be officially considered for the expansion initiative. The narrative should detail the following:

1. Brief company history and key personnel expected to be involved in the GMEI program.
2. Experience building NQA-1/ISO9001 gloveboxes and include the number of years of experience as well as any prior DOE/NNSA experience to include work contracted with NNSA Management and Operating (M&O) contractors.
3. Current manufacturing capacity
 - a. Total floor space and current available floor space for DOE/NNSA work

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- b. Current available shop labor hours
 - i. Labor hours per glovebox type (Type I, Type II, Type III, Type IV)
 - c. Annual glovebox fabrication numbers for 2023
 4. Plan to increase manufacturing capability
 - a. Describe the Applicant's plan to increase manufacturing capability, including any proposed expansion and/or equipment purchases, detailing how the Applicant will move from the current manufacturing capacity to the capacity detailed in #5 below.
 - b. Include achievable goals in the plan and explain how the proposed efforts (i.e. facility expansion and/or equipment purchases) will increase the glovebox manufacturing capacity, at least doubling manufacturing capability no later than December 31, 2028.
 - c. Include appropriate metrics by which Applicant will measure success.
 5. Describe Applicant's current resources available (e.g. welders, fabricators, project managers), the resources expected to be required to operate after capacity expansion, and the Applicant's plans for adding these additional resources to meet capacity expansion.
 6. Projected impacts to glovebox manufacturing once expansion is complete.
 - a. Total floor space available for NNSA work after expansion.
 - b. Projected number of available shop labor hours after expansion.
 - i. Labor hours per glovebox type (Type I, Type II, Type III, Type IV)
 - c. Projected glovebox fabrication estimates after expansion is complete.
 7. Describe any process improvements/manufacturing initiatives Applicant has previously implemented, and the resulting outcomes of these initiatives.
 8. Short description of NIST SP 800-171 Rev 2 cybersecurity implementation efforts
 - a. If a security audit has been conducted by an NNSA M&O contractor, please provide a summary of findings and remediation efforts, or provide a description of efforts to comply with NIST SP 800-171 Rev 2.

All submissions must conform to the form and content requirements described below, including maximum page limitations.

- Each document must be submitted in Adobe PDF format unless stated otherwise.
- Must be written in English.
- All pages must be formatted to fit on 8.5" x 11" paper with margins not less than one inch, and black, 12-point, Times New Roman font.
- Narrative should be no more than twenty pages.
 - The appendices will not count in the project narrative page limitation.

2. Supporting Appendices

Appendices should include:

- A. Company contact information; the company name, primary point of contact for purposes of this NOFO, e-mail address, and telephone number
- B. Key Personnel contact information; name, e-mail address, and telephone number of each Key Person
- C. A list of DOE\NNSA sites for which the applicant company is on the approved or qualified NQA-1 or ISO9001 suppliers list.

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- D. Schedule with no more than level 3 project milestones
- E. Budget/Cost outline for expansion effort, including but not limited to equipment necessary to support manufacturing capabilities.
 - a. Provide a justification that explains all costs proposed in the budget.
 - i. Organize the justification by listing items in the same order as presented in the budget.
 - ii. Ensure narrative matches the budget in dollars amounts and language.
 - iii. Explain the line items (if costs are estimated, please provide a basis for the estimate.)
- F. Facility expansion plans
 - a. Expansion plans should include expanded manufacturing floorspace drawings.
- G. List of major items of equipment necessary to expand manufacturing capacity.
 - a. Provide a brief description of the production equipment necessary to expand manufacturing capacity (including how it will be utilized during the manufacturing process.)
 - b. Estimated cost for each piece of equipment.
 - c. Estimated earliest date of production impact. (Please take into consideration equipment purchase and delivery lead times.)

3. Project/Performance Site Location(s)

Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), 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.

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

4. Disclosure of Lobbying Activities (SF-LLL)

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

5. Identification of Merit Reviewer Conflicts

Provide a list of individuals who should or should not serve as merit reviewers of this application, following the instructions in [Section VIII](#) of this NOFO. Attach this information to Field 12 of the Research and Related Other Project Information Form.

6. Summary of Required Forms/Files

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Your application must include the following items:

Name of Document	Format	Attach to
SF 424	Form	N/A
RELATED Other Project Information		
Project Narrative, including required appendices	PDF	Field 8
Identification of Merit Review Conflicts	Excel template	Field 12
PROJECT/PERFORMANCE SITE LOCATION(S)	Form	N/A
SF-LLL Disclosure of Lobbying Activities, if applicable	Form	N/A

C. SUBMISSIONS FROM SUCCESSFUL APPLICANTS

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

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)

D. SUBMISSION DATES AND TIMES

1. Application Due Date

The application due date is printed on the cover of this NOFO.

You are encouraged to transmit your application well before the deadline. Applications may be submitted at any time between the publication of this NOFO and the stated deadline.

2. Late Submissions

Delays in submitting applications and supporting detail may be unavoidable. DOE/NNSA has accepted late submissions when applicants have been unable to make timely submissions because of widespread technological disruptions or significant natural disasters. DOE/NNSA has made accommodations for incapacitating or life-threatening illnesses and for deaths of immediate family members. Other circumstances may or may not justify late submissions. Unacceptable justifications include the following:

- Failure to begin submission process early enough.
- Failure to provide sufficient time to complete the process.
- Failure to understand the submission process.
- Failure to understand the deadlines for submissions.
- Failure to satisfy prerequisite registrations.
- Unavailability of administrative personnel.

You are responsible for beginning the submission process in sufficient time to accommodate

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reasonably foreseeable incidents, contingencies, and disruptions.

Applicants must contact the Program Office/Manager listed in this NOFO to discuss the option of a late submission. Contacting the Program Office/Manager after the deadline may reduce the likelihood that a request will be granted.

DOE/NNSA notes that not all requests for late submission will be approved.

Section V - APPLICATION REVIEW INFORMATION

A. CRITERIA

1. Initial Review Criteria

Prior to a comprehensive merit evaluation, DOE/NNSA will perform an initial review to determine that (1) the applicant is eligible for the award; (2) the information required by the NOFO has been submitted; (3) all mandatory requirements are satisfied; (4) the proposed project is responsive to the objectives of the NOFO. Applications that fail to pass the initial review will not be forwarded for merit review and will be eliminated from further consideration.

B. REVIEW AND SELECTION PROCESS

1. Merit Review Criteria

Applications that pass the initial review will be subjected to a formal merit review and will be evaluated based on the criteria as noted below. Criterion 1 is the most important; Criterion 2, Criterion 3 and Criterion 4 are equally important; and Criterion 5 is the least important.

Merit Review Criterion 1: Nuclear glovebox manufacturing experience

- The Applicant's Experience building nuclear NQA-1/ISO 9001 nuclear gloveboxes will be evaluated to include the Applicant's presence on NQA-1 or ISO9001 approved qualified suppliers list, years of experience, and prior DOE/NNSA glovebox fabrication experience.

Merit Review Criterion 2: Feasibility of plan to increase manufacturing capability

- The feasibility of Applicant's plan to increase manufacturing capability will be evaluated, and considerations will include whether the plan is sufficiently detailed and explains how funding will be used to increase capability and capacity, establishes clear and achievable goals and metrics, and whether implementation of the plan provided by Applicant is likely to increase the glovebox manufacturing capacity, with an objective of at least doubling manufacturing capability no later than December 31, 2028.

Merit Review Criterion 3: Effects on manufacturing capability

- The Applicant's ability to effect change to support DOE/NNSA glovebox needs through 2035 with the funding and expansion will be evaluated based on the Applicant's projected increase to total floor space available for NNSA work after

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expansion, the projected number of available shop labor hours after expansion, and the glovebox fabrication estimate after expansion is complete.

Merit Review Criterion 4: Availability of resources and resource plan

- The Applicant's availability of resources and plan for resources after expansion will be evaluated to assess whether the Applicant is, and will be, sufficiently resourced both during and after capacity expansion.

Merit Review Criterion 5: Process improvements

- The Applicant's previous process improvements/manufacturing initiatives will be evaluated to assess the Applicant's ability to create efficiencies likely to improve manufacturing.

2. Program Policy Factors

Selection Officials may consider any of the following program policy factors in making the selection, listed in no order of significance:

- Availability of funds
- Performance under current and previous M&O awards
 - Project management experience and execution
- Relevance of proposed equipment and facility expansion to glovebox manufacturing capability

3. Selection

The Selection Official will consider the findings of the merit review and may consider any of the Program Policy Factors described above.

4. Review of Risk

Pursuant to 2 CFR 200.206, the NNSA will conduct an additional review of risk posed by the applications submitted under this NOFO. Such review of risk will include:

- Quality of application
- Financial stability
- Management systems and standards
- History of performance
- Previous audit reports and findings
- Ability to effectively implement requirements.

NNSA may adjust requirements when a risk-evaluation indicates that it may be merited either pre-award or post-award.

5. Discussions and Award

The Government may enter discussions with selected applicants for any reason deemed necessary, including but not limited to the following: (1) the budget and proposed expansion plans are not appropriate or reasonable; (2) the government needs additional information to determine that the recipient can comply with the requirements and/or (3) special terms and

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conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES

DOE/NNSA is interested in seeing projects supported under this NOFO begin work May 1, 2024.

Section VI – AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

1. Notice of Selection

Selected Applicants Notification: DOE/NNSA will notify applicants selected for award. This notice of selection is not an authorization to begin performance.

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

2. Notice of Award

An Assistance Agreement issued by the NNSA Contracting Officer/Grants Officer is the authorizing award document. It normally includes, either as an attachment or by reference, the following items: (1) Special Terms and Conditions, (2) Intellectual Property Provisions, (3) Federal Assistance Reporting Checklist and Instructions, (4) Budget Pages, (5) DOE Assistance Regulations, 2 CFR 200 as amended by 2 CFR 910 at <https://www.ecfr.gov/>, (6) Application/proposal as approved by DOE/NNSA.

2. Terms and Conditions

A DOE/NNSA financial assistance award is valid only if it is in writing and is signed, either in writing or electronically by an NNSA Contracting Officer/Grants Officer. Recipients are free to accept or reject the award. A request to draw down funds constitutes the Recipient's acceptance of the terms and conditions of this Award.

Selected awardees will be expected to show progress toward manufacturing expansion efforts within 24 months of receipt of first portion of funding.

Continuation funding is contingent on: (1) progress towards meeting the objectives of the approved application; (2) submission of required reports as outlined in Federal Assistance Reporting Checklist and Instructions (DOE F 4600.2); and (3) compliance with the terms and conditions of the award.

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3. NATIONAL POLICY ASSURANCES

The National Policy Assurances To Be Incorporated As Award Terms are located at <https://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Terms.

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

The following additional policy provisions are applicable to this NOFO. The full text of each provision is in [Section VIII](#) of this NOFO and may be accessed by navigating to the hyperlinks below:

- [1. Evaluation and Administration by Non-Federal Personnel](#)
- [2. Government Right to Reject or Negotiate](#)
- [3. Intergovernmental Review](#)
- [4. 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 and may be accessed by navigating to the hyperlinks below:

- [1. Administrative Requirements](#)
- [2. Availability of Funds](#)
- [3. Conference Spending \(February 2015\)](#)
- [4. Commitment of Public Funds](#)
- [5. Corporate Felony Conviction and Federal Tax Liability Representations \(March 2014\)](#)
- [6. Environmental, Safety and Health \(ES&H\) Performance of Work at DOE 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](#)

C. REPORTING

Per reporting requirements identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement, award recipients must adhere to the following reporting efforts and milestones.

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Management Reporting

Milestone Report	Due Date
Progress Report	Quarterly on the 10 th business day following end of quarter.
Financial Report (SF-425 Federal Financial Report)	Quarterly on the 10 th business day following end of quarter.
Closeout Reporting – Property Certification	End of project period or after expansion efforts have been completed.

D. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE (DECEMBER 2015)

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

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

DOE/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 Federal awarding agency review of risk posed by applicants.

E. COMPLIANCE AUDITS

Per 2 CFR 501 compliance audits will be performed for awardees with award expenditures over \$750,000 during the awardee's fiscal year. 2 CFR 910.514 Scope of the audit, requires that the audit is conducted in accordance with generally accepted government auditing standards.

Section VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS

Questions relating to the Grants.gov registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@Grants.gov. DOE/NNSA cannot answer these questions. Please only contact the Grants.gov help desk for questions related to Grants.gov.

Questions regarding the specific program areas and technical requirements may be directed to

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the technical contacts listed for each program within the NOFO or below. Please contact the program staff with all questions not directly related to the Grants.gov.

B. AGENCY CONTACTS

Grants.gov Customer Support	800-518-4726 (toll-free) support@Grants.gov
NNSA Program Manager	Edward Hoegg 240 306-8561 Edward.hoegg@nnsa.doe.gov

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Section VIII – SUPPLEMENTARY MATERIAL

A. REGISTRATION INFORMATION

This section provides the application submission and receipt instructions for applications. Please read the following instructions carefully and completely.

ELECTRONIC DELIVERY

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

1. HOW TO REGISTER TO APPLY THROUGH GRANTS.GOV

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

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

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

Complete organization registration instructions can be found on Grants.gov here:

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

1) *Obtain a UEI Number*: All entities applying for funding, including renewal funding, must have a UEI Number. Applicants must enter the UEI Number in the data entry field labeled "Organizational UEI" on the SF-424 form. For more detailed instructions for obtaining a UEI Number, refer to:

<https://www.Grants.gov/web/grants/applicants/organization-registration/step-1-obtain-UEI-number.html>

2) *Register with SAM*: All organizations applying online through Grants.gov must register with SAM at <https://www.sam.gov>. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. For more detailed instructions for registering with SAM, refer to:

<https://www.Grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

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3) *Create a Grants.gov Account*: The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here:

<https://www.Grants.gov/web/grants/applicants/registration.html>

4) *Add a Profile to a Grants.gov Account*: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all applications. To add an organizational profile to your Grants.gov account, enter the UEI Number for the organization in the UEI field while adding a profile. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.Grants.gov/web/grants/applicants/registration/add-profile.html>

5) *EBiz POC Authorized Profile Roles*: After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access are sent to the Electronic Business Point of Contact (EBiz POC). The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the Authorized Organization Representative (AOR) role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.Grants.gov/web/grants/applicants/registration/authorize-roles.html>

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

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

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

HOW TO SUBMIT AN APPLICATION GRANTS.GOV

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

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

<https://www.Grants.gov/web/grants/applicants/apply-for-grants.html>

1) *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

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2) Complete a Workspace: Add participants to the workspace, complete all the required forms, and check for errors before submission.

a. 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 similar to 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.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.Grants.gov/web/grants/applicants/adobe-software-compatibility.html>

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

c. Complete 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 information first. Once it is completed, the information will transfer to the other forms.

3) 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.

4) Track a Workspace: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission.

For additional training resources, including video tutorials, refer to:

<https://www.Grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@Grants.gov. For questions related to the specific opportunity, contact the number listed in the application package of the grant/cooperative agreement 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 with tracking your issue and understanding background information on the issue.

TIMELY RECEIPT REQUIREMENTS AND PROOF OF TIMELY SUBMISSION

Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time

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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 the 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. 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 may not be considered for funding.

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

2. How to Prepare an Application

APPLICATION PREPARATION

You must submit the application through Grants.gov at <https://www.Grants.gov/>, using either the online webforms or downloaded forms. (Additional instructions are provided in [7., above.](#))

You are required to use the compatible version of Adobe Reader software to complete a [Grants.gov](#) Adobe application package. To ensure you have the [Grants.gov](#) compatible version of Adobe Reader, visit the software compatibility page at <https://www.Grants.gov/web/grants/applicants/adobe-software-compatibility.html>.

You must complete the mandatory forms and any applicable optional forms (e.g., Disclosure of Lobbying Activities (SF-LLL)) in accordance with the instructions on the forms and the additional instructions below.

Files that are attached to the forms must be PDF files unless otherwise specified in this 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.

Please note the following restrictions that apply to the names of all files attached to your application:

- Please limit file names to 50 or fewer characters
- Do not attach any documents with the same name. All attachments must have a unique name.

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- Please 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.

IMPROPER CONTENTS OF APPLICATIONS

Applications submitted under this NOFO will be stored in controlled-access systems, but they may be made publicly available if an award is made. As such, it is critical that applicants follow these guidelines:

- 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.

3. How to Prepare a List of Individuals Who Should Not Serve as Reviewers

To assist in identifying individuals who should not serve as merit reviews, provide the following information for each and every senior/key person who is planned to be or is identified in Section A of the R&R Budget for the applicant and any proposed subrecipients:

- Advisees (graduate students or postdocs) of the senior/key person
- Advisors of the senior/key person while a graduate student or a postdoc
- Close associates of the senior/key person over the past 48 months
- Co-authors of the senior/key person over the past 48 months
- Co-editors of the senior/key person over the past 48 months
- Co-investigators of the senior/key person over the past 48 months
- Collaborators of the senior/key person over the past 48 months

Do not identify any personnel at the applicant institution or any proposed subrecipient or team institution: Those personnel are prohibited from serving as merit reviewers.

4. How to Register in Other Systems Before Submitting an Application

SYSTEMS TO REGISTER IN

Applicants must complete a series of registrations and enrollments to submit applications in response to this NOFO. Applicants not currently registered with SAM and Grants.gov should

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allow **at least four weeks** to complete these requirements.

You should start the process as soon as possible.

You may not be able to use your preferred Internet browser: Each system has its own requirements.

Applicants must obtain a UEI number at <https://fedgov.dnb.com/webform>.

Applicants must register with SAM at <https://www.sam.gov/>. More information about SAM registration for applicants is found at https://www.sam.gov/SAM/transcript/Quick_Guide_for_Grants_Registrations.pdf. SAM maintains a complete user guide at https://www.sam.gov/SAM/transcript/SAM_Non_Federal_User_Guide.pdf.

Applicants must provide a Taxpayer Identification Number (TIN) to complete their registration in www.SAM.gov. An applicant's TIN is an EIN assigned by the Internal Revenue Service (IRS). In limited circumstances, a Social Security Number (SSN) assigned by the Social Security Administration (SSA) may be used as a TIN. You may obtain an EIN from the IRS at <https://www.irs.gov/businesses/small-businesses-self-employed/apply-for-an-employer-identification-number-ein-online>.

Do not use a SSN as a TIN.

Obtain a TIN from the IRS using the website listed above.

Applicants must register with Fed Connect at www.FedConnect.net. The full, binding version of assistance agreements will be posted to Fed Connect.

Recipients must register with the Federal Funding Accountability and Transparency Act Subaward Reporting System at <https://www.frs.gov>. This registration must be completed before an award may be made you are advised to register while preparing your application.

REGISTERING IN GRANTS.GOV

Applicants must register with Grants.gov, following the instructions at <https://www.Grants.gov/web/grants/applicants/registration.html> and described above.

WHERE TO SUBMIT AN APPLICATION

You must submit the application through Grants.gov at www.Grants.gov, using either the online webforms or downloaded forms, or a system-to-system service.

Submit electronic applications through the "Apply for Grants" function at www.Grants.gov. If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 or send an email to support@Grants.gov.

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Please ensure that you have read the applicable instructions, guides, help notices, frequently asked questions, and other forms of technical support on Grants.gov.

B. POLICY PROVISIONS

1. Evaluation and Administration by Non-Federal Personnel

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

2. Government Right to Reject or Negotiate

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

3. Intergovernmental Review

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

4. Modifications

Notices of any modifications to this NOFO will be posted on Grants.gov and the Fed Connect portal. You can receive an email when a modification or an NOFO message is posted by registering with Fed Connect 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.

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C. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Requirements

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

2. 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 Contracting Officer for this award and until the awardee receives notice of such availability, to be confirmed in writing by the DOE Contracting Officer.

3. 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) A DOE financial assistance award is valid only if it is in writing and is signed, either in writing or electronically, by a DOE Contracting Officer.

(b) Recipients are free to accept or reject the award. A request to draw down DOE 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 submitting an application 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,
- 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:

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- 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 Facilities

With respect to the performance of any portion of the work under this award which is performed at a DOE-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-Owned or controlled site, the recipient shall contact the site facility manager for information on DOE and site-specific ES&H requirements.

The recipient shall apply this provision to all subrecipients at any tier.

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 awardees at any tier.

8. 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 Part 200 as modified by 2 CFR Part 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, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 2 CFR Part 200 as modified by 2 CFR Part 910 (DOE Financial Assistance Regulation). Recipients must obtain the prior approval of the DOE Contracting Officer for any pre-award costs that are for periods greater than this 90-day calendar period.

Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs if for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

9. National Environmental Policy Act (NEPA) Compliance

If question 4.a. on the "Research and Related Other Project Information" document indicates "potential impact on the environment", or if DOE's own review indicates it, DOE 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

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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 determines the latter documentation is necessary, this process will need to be completed, funded by and with the participation of the awardee, 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 has the expectation that the Applicant will disclose the potential, which would serve to initiate dialog with DOE if necessary. The inability to satisfy the NEPA requirements after an award would result in cancellation of the award.

10. Nondisclosure and Confidentiality Agreements Representations (June 2015)

In submitting an application 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.

11. Notice Regarding Eligible/Ineligible Activities

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

12. Prohibition on Discrimination and Harassment

All people conducting, supporting, or participating in 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).

13. 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.

14. 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 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

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specifically identified and marked with a legend similar to the following:

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

16. Registration Requirements

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR 25 (See: www.eCFR.gov). Prime awardees must keep their data in SAM current at www.SAM.gov. Subrecipients at all tiers must obtain UEI numbers and provide the UEI to the prime awardee before the subaward can be issued.

17. Subaward and Executive Reporting

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

D. REFERENCE MATERIAL

Glossary of Useful Grants and Cooperative Agreement terms

Acquisition cost	<i>Acquisition cost</i> means the cost of the asset including the cost to ready the asset for its intended use. Acquisition cost for equipment, for example, means the net invoice price of the equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Acquisition costs for software includes those development costs capitalized in accordance with generally accepted accounting principles (GAAP). Ancillary charges, such as taxes, duty, protective in transit insurance, freight, and installation may be included in or excluded from the acquisition cost in accordance with the non-Federal entity's regular accounting practices.
Administrative requirements	<i>Administrative requirements</i> 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	<i>Advance payment</i> 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	<i>Allocation</i> 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	<i>Allocability</i> 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	<i>Allowable cost</i> means a cost incurred by a recipient that is: (1) reasonable for

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	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.
Application	<i>Application</i> means a request for financial support of a project or activity submitted to DOE on specified forms and in accordance with DOE instructions. Also known as a proposal.
Appropriation Act	<i>Appropriation act</i> 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 2 CFR 200.308(a).
Assurance	<i>Assurance</i> means a certification 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.
Authorized organizational representative	<i>Authorized organizational representative</i> 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.
Award	<i>Award</i> 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	<i>Award documents</i> means 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 Contracting Officer that: • notifies the recipient of the award of a grant. • contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and, • provides the documentary basis for recording the obligation of Federal funds in the DOE accounting system.
Bayh-Dole Act	<i>Bayh-Dole Act</i> 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	<i>Budget</i> 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	<i>Budget period</i> means the intervals of time (usually 12 months each) into which a project period is divided for budgetary and funding purposes.
Business officer	<i>Business officer</i> means the financial official of the grantee who has primary fiscal responsibility for the grant. Also known as authorized organizational representative.

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Capital assets	<i>Capital assets</i> means tangible or intangible assets used in operations having a useful life of more than one year which are capitalized in accordance with GAAP. Capital assets include: (a) Land, buildings (facilities), equipment, and intellectual property (including software) whether acquired by purchase, construction, manufacture, lease-purchase, exchange, or through capital leases; and (b) Additions, 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	<i>Carryover</i> 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	<i>Change in scope</i> means an activity whereby the objectives or specific aims identified in the approved grant application are significantly changed by the grantee after award. Contracting Officer prior approval is required for a change in scope to be allowable under an award.
Closeout	<i>Closeout</i> 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 grantee and the Federal awarding agency.
Competitive segment	<i>Competitive segment</i> means the initial project period recommended for support or each extension of a project period resulting from a renewal award.
Conference (domestic or international)	<i>Conference (domestic or international)</i> 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 a published report results from such meeting.
Consortium or sub-award agreement	<i>Consortium or sub-award agreement</i> means a formalized agreement whereby a research project is carried out by the grantee and one or more other organizations that are separate legal entities. Under the agreement, the grantee must perform a substantive role in the conduct of the planned research and not merely serve as a conduit of funds to another party or parties. These agreements typically involve a specific level of effort from the consortium organization's PD/PI and a categorical breakdown of costs, such as personnel, supplies, and other allowable expenses, including F&A costs. The relationship between the recipient and the collaborating organizations is considered a sub-award relationship.
Consultant	<i>Consultant</i> 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, grantees 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	<i>Continuation application/award</i> means a financial assistance request (in the form of an application or progress report) or resulting award for a subsequent budget period within a previously approved project period for which a recipient does not have to compete with other applicants.
Contract	<i>Contract</i> 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).

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Contractor	<i>Contractor</i> means an entity that receives a contract as defined in 2 CFR 200.1 Contract.
Contracting (or Grants) Officer	<i>Contracting (or Grants) Officer</i> means a DOE 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. COs and GOs are delegated the authority to obligate DOE to the expenditure of funds and permit changes to approved projects on behalf of DOE.
Contracting (or Grants Management) specialist	<i>Contracting (or Grants Management) specialist</i> means a DOE staff member who works with a Contracting or 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 grantees; and administering grants after award.
Cooperative agreement	<i>Cooperative agreement</i> means a type of financial assistance used when there will be substantial Federal scientific or programmatic involvement. Substantial involvement means that, after award, scientific or program staff will assist, guide, coordinate, or participate in project activities.
Cost principles	<i>Cost principles</i> means the government-wide principles, 2 CFR 200 Subpart E (or, in the case of commercial organizations, the Federal Acquisition Regulation [48 CFR 31], or, in the case of hospitals, see Appendix IX to Part 200—Hospital Cost Principles, Appendix E, “Principles For Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals”), on allowability and un-allowability of costs under federally sponsored agreements.
Cost sharing or matching	<i>Cost sharing or matching</i> means the portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statute). See also 2 CFR 200.306 Cost sharing or matching.
Deadline	<i>Deadline</i> means the published date and/or time that a grant application is to be submitted to the funding agency.
Debarment and suspension	<i>Debarment and suspension</i> mean the actions taken by a debarring 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	<i>Direct costs</i> 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.
Disallowed costs	<i>Disallowed costs</i> 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	<i>Domestic organization</i> 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.
Effort	<i>Effort</i> means the amount of time, usually expressed as a percentage of the total, which a faculty member or other employee spends on a sponsored

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	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	<i>Equipment</i> 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 \$5,000. See also 2 CFR 200.1 Capital assets, Computing devices, General purpose equipment, Information technology systems, Special purpose equipment, and Supplies.
Expanded authorities	<i>Expanded authorities</i> means authorization to grantees under certain research grant mechanisms which waives the requirement for prior agency approval for specified actions related to awards. Example: 90-day pre-award spending authority, no cost 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	<i>Expiration date</i> means generally, the date signifying the end of the current project period, after which the grantee is not authorized to obligate grant funds.
Facilities and administrative costs	<i>Facilities and administrative costs</i> mean costs that are incurred by a grantee 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	<i>Federal financial report</i> means 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.
Financial assistance	<i>Financial assistance</i> means transfer by DOE of money or property to an eligible entity to support or stimulate a public purpose authorized by statute.
Financial status report	<i>Financial status report</i> means see Federal Financial Report.
Foreign travel	<i>Foreign travel</i> is meant to include travel outside of North America (Canada, Mexico, and the United States) and U.S. territories and possessions (Guam, American Samoa, Puerto Rico, the U.S. Virgin Islands. A trip is considered foreign travel for all legs of the itinerary if the traveler does not return to his or her post prior to departure for a foreign destination. Costs for foreign travel may be restricted by the language of a Funding Opportunity Announcement.
Funding opportunity announcement (NOFO)	<i>Funding opportunity announcement (NOFO)</i> 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. Funding opportunity announcements may be known as program announcements, requests for applications, notices of funding availability, solicitations, or other names depending on the Agency and type of program. Funding opportunity announcements can be found at www.Grants.gov . An NOFO may also be known as a solicitation.
Grant agreement	<i>Grant agreement</i> means a legal instrument of financial assistance between a federal awarding agency or pass-through entity and a non-Federal entity that, consistent with 31 USC 6302, 6304: (a) 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 USC 6101(3)); and not to acquire property or services for the Federal awarding agency or pass-through entity's direct benefit or use.

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	(b) Is distinguished from a cooperative agreement in that it does not provide 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. (c) Does not include an agreement that provides only: (1) Direct United States Government cash assistance to an individual. (2) A subsidy; (3) A loan; (4) A loan guarantee; or (5) Insurance.
Grant-supported project or activity	<i>Grant-supported project or activity</i> means those activities specified or described in a grant 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.
Grantee	<i>Grantee</i> means the organization or individual awarded a grant or cooperative agreement by DOE that is responsible and accountable for the use of the funds provided and for the performance of the grant-supported project or activity. The grantee is the entire legal entity even if a particular component is designated in award documents. The grantee is legally responsible and accountable to DOE for the performance and financial aspects of the grant-supported project or activity. Also known as awardee or recipient.
Grants.gov	<i>Grants.gov</i> (https://www.Grants.gov/) has been designated by the Office of Management and Budget as the single access point for all grant programs offered by 26 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.
Indirect costs (facilities & administrative)	<i>Indirect (F&A) costs</i> 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	<i>Institutional base salary</i> means the annual compensation paid by an organization 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/grantee organization. Base salary may not be increased as a result of replacing organizational salary funds with grant funds.
Matching or cost sharing	<i>Matching or cost sharing</i> 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. Matching or cost sharing may be required by statute or program regulation. Costs used to satisfy matching or cost-sharing requirements are subject to the same policies governing allowability as other costs under the approved budget.
Merit (or peer) review	<i>Merit (or peer) review</i> 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 and to the DOE individuals responsible for making award decisions.
Monitoring	<i>Monitoring</i> means a process whereby the programmatic and business

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	management performance aspects of a grant are assessed by reviewing information gathered from various required reports, audits, site visits, and other sources.
NEPA	NEPA means 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	<i>No-cost extension</i> 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 share	<i>Non-Federal share</i> means when cost sharing or matching is required as a condition of an award, the portion of allowable project/program costs not borne by the Federal government.
Obligations	<i>Obligations</i> when used in connection with a non-Federal entity's utilization of funds under a federal award, <i>obligations</i> means 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.
OMB circulars	<i>OMB circulars</i> 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.
Program participant	<i>Program participants</i> are the recipients of 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 grantee or a third party or would not be terminated or replaced for failure to perform.
Participant support costs	<i>Participant support costs</i> 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	<i>Person months</i> is the metric for expressing the effort (amount of time) PD/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. For instance, some institutions define the academic year as a 9-month appointment while others define it as a 10-month appointment.
Pre-application or pre-proposal	<i>Pre-application or pre-proposal</i> 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: • 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.

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Pre-award costs	<i>Pre-award costs</i> means 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.
Prior approval	<i>Prior approval</i> means written approval from the designated Contracting Officer.
Program Director/ Principal Investigator	<i>Program Director/ Principal Investigator</i> means the individual(s) 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 program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple PD/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 PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.
Program income	<i>Program income</i> 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	<i>Program Manager</i> 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	<i>Progress report</i> means periodic, frequently annual, report submitted by the grantee 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.
Project/performance site	<i>Project/ performance site</i> means location(s) of where the work described in the research plan will be conducted.
Project period	<i>Project period</i> 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.
Proposal	See application.
Re-budgeting	<i>Re-budgeting</i> means reallocation of funds available for spending between approved budget categories to allow best use of funds to accomplish the project goals.
Recipient	<i>Recipient</i> means the organizational entity or individual receiving a grant or cooperative agreement.
SAM.gov	<i>SAM.gov</i> is the System for Award Management (SAM) a consolidated service

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	that includes Entity Registration, Assistance Listings, and other services for making, managing, and receiving Federal awards.
Scope of work	<i>Scope of work</i> 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	<i>Senior/Key personnel</i> means the PD/PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. 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	<i>Significant re-budgeting</i> 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.
Small business concern	<i>Small business concern</i> means a business that meets the regulatory and size requirements established by the SBA at 13 CFR 121.
Solicitation	See Funding Opportunity Announcement.
Subaward	<i>Subaward</i> 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.
Subrecipient	<i>Subrecipient</i> 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.
Supplement	<i>Supplement</i> 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.
Terms and conditions of award	<i>Terms and conditions of award</i> 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.
Unallowable costs	<i>Unallowable costs</i> 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 obligation	<i>Unliquidated obligations</i> 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

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	obligations incurred by the non-Federal entity for which an expenditure has not been recorded.
Unobligated balance	<i>Unobligated balance</i> 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, <i>validate</i> 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.