

PRE-AWARD INFORMATION SHEET

The proposed Subrecipient must provide the following information on behalf of itself and all proposed lower tier Subrecipients and certify that all information is accurate and complete.

NOTE: This Pre-Award Information Sheet template is provided as a convenient method of documenting information required to process financial assistance awards.

Subrecipient Name:		Subaward Number:	
UEI:		DUNS (if applicable):	
Business Officer (BO):		BO Phone Number/Email:	
Principal Investigator (PI):		PI Phone Number/Email:	

A. **TYPE OF ORGANIZATION** – Please indicate the type of organization of the Subrecipient by selecting one of the following:

For-Profit Business:

- ☐ Small Business (A “Small Business” is defined by the Small Business Administration (SBA) Size Standards; see [SBA Size Standards](#))
- ☐ Other than a Small Business (e.g., large business)

Non-Profit Organization:

- ☐ A university or other institution of higher education or an organization of the type described in Section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. § 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 U.S.C. § 501(a))
- ☐ An organization of the type described in Section 501(c)(4) of the Internal Revenue Code of 1954 (26 U.S.C. § 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 U.S.C. § 501(a))
- ☐ An organization of the type described in Section 501(c)(6) of the Internal Revenue Code of 1954 (26 U.S.C. § 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 U.S.C. § 501(a))
- ☐ A nonprofit scientific or educational organization qualified under a State nonprofit organization statute. (Please identify the statute.):
- ☐ Other (specify type):

Other (specify type):

- ☐ State or Local Government
- ☐ Indian Tribal Government
- ☐ Individual
- ☐ Other not listed (specify type):

B. INTELLECTUAL PROPERTY

1. INVENTIONS/PATENTS

a. **OWNERSHIP RIGHTS:** For inventions made by the Recipient or a Subrecipient under the award (“subject inventions”) and any patents resulting from subject inventions, ownership rights differ by organization type, as follows:

- i. Recipient or Subrecipient retains ownership (see the Bayh-Dole Act, 35 U.S.C. § 200 et seq.) if the inventing organization is a:
 - domestic small business;
 - domestic educational institution; or
 - other domestic 501(c)(3) nonprofit.
- ii. Unless DOE grants a patent waiver, U.S. Government retains ownership (see the Federal Non-Nuclear Energy Act of 1974, 42 U.S.C. § 5908) if the inventing organization is a:
 - large business;
 - foreign organization;
 - state or local government; or
 - any other organization type that is not a domestic small business, educational institution or 501(c)(3) nonprofit.

b. TYPES OF PATENT WAIVERS

- i. **Class Patent Waiver:** DOE may grant a class patent waiver that applies to a class of organizations. For example, there may be a class patent waiver that applies to domestic large businesses.
- ii. **Advance Patent Waiver:** For an organization not covered by the Bayh-Dole Act or a class patent waiver, the organization may request an advance patent waiver that will cover all inventions that may be made by the organization under the award. Recipients and Subrecipients must request this waiver in advance of or within 30 days after the effective date of the award.
- iii. **Identified-Invention Patent Waiver:** Any organization not covered by the Bayh-Dole Act or a class or advance patent waiver may request an identified invention patent waiver once an invention has been made and disclosed under the award. This type of patent waiver would apply only to the invention identified in the patent waiver request.

c. PATENT WAIVER REQUESTS (not applicable or necessary for any domestic small business or domestic educational institution or other 501(c)(3) nonprofit)

In the text box below, please identify each organization, including the Recipient and any Subrecipient, that wants to request one of the patent waivers identified in Section 1.b. above.

If a class patent waiver applies, further information may be found in the Funding Opportunity Announcement (FOA).

Class Patent Waiver:

DOE has issued a class waiver that applies to this award. Under this class waiver, domestic large businesses may elect title to their subject inventions similar to the right provided to the domestic small businesses, educational institutions, and nonprofits by law. To avail itself of the class waiver, a domestic large business must agree that any products embodying or produced through the use of a subject invention first created or reduced to practice under this program will be substantially manufactured in the United States.

Advance and Identified Waivers:

Applicants not covered by a Class Patent Waiver or the Bayh-Dole Act may request a patent waiver that will cover subject inventions that may be invented under the award, in advance of or within 30 days after the effective date of the award. Even if an advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver for identified inventions, i.e., individual subject inventions that are disclosed to EERE within the timeframes set forth in the award's IP data terms and conditions. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.

For each Subrecipient, please identify the type of organization using the categories above in section A of this Pre-Award Information Sheet.

Recipient/Subrecipient Name	Organization Type	Type of Waiver Requested

2. TECHNICAL DATA PRODUCED UNDER THE AWARD

The U.S. Government retains unlimited rights in all technical data produced under the award, including the right to distribute it to the public.

Recipient (including its employees, directors, officers, managers, agents, contractors, or other representatives, and includes the respective successors or assigns of the foregoing) shall not disclose any information that is not publicly available (including technical data, subject inventions, or any other information that is not publicly available or required to be made public under applicable law or regulation) developed under the DOE-funded project with any Recipient subsidiary, affiliate, investor, supplier, licensee at any tier, battery manufacturer for Recipient end customers, or joint development partner that: (1) has a place of incorporation or a principal place of business in a Foreign Country of Risk (for entities) or (2) is a national of a Foreign Country of Risk (for individuals). The Recipient shall also ensure that its subsidiaries or affiliates under its control adhere to this same restriction.

DOE, pursuant to special statutory authority, has agreed to protect certain categories of data produced under this award, for a term of five years ("Protected Data"). See the Rights to Protected Data section of Attachment 4 – IP Provisions to determine the Protected Data available for this award.

If Subrecipient feels the need to deliver Protected Data under the award, please indicate this desire of the subrecipient or related lower tier subrecipients need to deliver such data. Recipient and the Subrecipient will then need to determine whether the data will be required for delivery, and if so, whether such data has been noted in the prime award as data that will be treated as Protected Data under the award.

- ☐ Yes, the Recipient wants the ability to mark certain data as Protected Data under the award. If you select this option, instructions for how to mark data as Protected Data will be added to the award terms and conditions.
- ☐ No, the Recipient does not want the ability to mark certain data as Protected Data. For example, even when Protected Data is an option, many organizations, especially educational institutions, intend to publish the resulting technical data and share it broadly within the scientific community consistent with its Fundamental Research Exclusion policies.

Even when Protected Data is not available or used, DOE will protect invention disclosures from public disclosure

for a reasonable time in order to allow for the filing of a patent application.

3. IDENTIFICATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE

Definitions:

- **Limited Rights Data:** confidential or trade secret-type data developed solely at private expense outside of any government contract or award.
- **Restricted Computer Software:** proprietary computer software developed solely at private expense outside of any government contract or award.

Please describe below any Limited Rights Data or Restricted Computer Software that will be used by the Recipient or any Subrecipient to carry out the work under the award. Describe it in a few sentences or bullets with sufficient detail so that DOE can understand how it relates to the award work. Published patent applications and patents should NOT be listed because those are public documents. Limited Rights Data and Restricted Computer Software are privately funded confidential data and software.

While DOE reserves the right to inspect Limited Rights Data and Restricted Computer Software, it normally does not require delivery to DOE except as necessary to evaluate award work. Based on the description below, DOE will determine whether delivery is necessary. In such cases, the award will provide instructions on how to mark such data and software in order to protect the same from public disclosure and limit the use of the data and software by DOE for evaluation purposes only. It is important to provide a sufficient description of the Limited Rights Data and Restricted Computer Software. If the description is insufficient, DOE may require the Limited Rights Data and Restricted Computer Software to be delivered to DOE to ensure award work can be evaluated properly.

Based on the above, please check the option that applies and provide the descriptions when applicable:

☐ No Limited Rights Data will be utilized in the performance of this award.

☐ Limited Rights Data as described in the box below will be utilized in the performance of this award:

USABC recommends a thorough itemization of Limited Rights Data anticipated to be used under the award. USABC will advocate to DOE that the utilization of such data is distinct from delivery of such data, which will be as limited as possible. Both USABC and DOE respect the need to shield Limited Rights Data from delivery to DOE to preserve competitive advantage and to drive commercialization under a cost shared Cooperative Agreement.

Based on the above, please check the option that applies and provide the descriptions when applicable:

☐ Restricted Computer Software will NOT be utilized in the performance of this award.

☐ Restricted Computer Software as described in the box below will be utilized in the performance of this award:

The discussion of Limited Rights Data above applies equally to Restricted Computer Software.

4. DATA MANAGEMENT PLAN

All research, development and demonstration projects require Data Management Plan (“DMP”) that explains how the results, including supporting research data, of the award will be shared and preserved to enable others to validate the results or, when justified, how the results could be validated when the data is not shared or preserved.

Attachment 5 Data Management Plan: For the deliverables under the award, the recipient does not plan on making the underlying research data supporting the findings in the deliverables publicly available for up to five (5) years after the data were first produced because such data will be considered protected under the award. The results from the DOE deliverables can be validated by DOE, who will have access, upon request, to the research data. Other than providing deliverables as specified in the award, the recipient does not intend to publish the results from the project. However, in an instance where a publication includes results of the project, the underlying research data will be made available according to the policies of the publishing media. Where no such policy exists, the recipient will indicate on the publication a means for requesting and digitally obtaining the underlying research data. This includes the research data necessary to validate any results, conclusions, charts, figures, and images in the publications.

C. PROJECT PERFORMANCE SITE AND CONGRESSIONAL DISTRICT

List the address and congressional district for the primary site where the project will be performed:

Street Address:			
City:		State:	
Zip Code + 4:		Congressional District:	
Longitude:		Latitude:	

D. BUSINESS ASSURANCES AND PAYMENT INFORMATION

1. DISCLOSURE OF POTENTIAL IMPROPRIETIES

Below, please disclose if any of the following conditions exist. If the answer to any question (a) through (g) below is yes, provide a detailed explanation in an attachment to this form.

- a. Is the proposed Recipient, Subrecipient(s), or any of the Recipient's or Subrecipient's principals¹ under investigation for or charged with a covered offense²?

☐ Yes

☐ No
- b. Has the proposed Recipient, Subrecipient(s), or any of the Recipient's or Subrecipient's principals been convicted of a covered offense in the last five years or had a civil judgment rendered against them for one of those offenses in that time-period?

☐ Yes

☐ No

1 For this form, "principal" means: (1) An officer, director, owner, partner, PI, or other person (as defined in 2 CFR 180.995) within the Project Team with management or supervisory responsibilities related to this project and any resulting transaction; or (2) A consultant or other person, whether or not employed by the Recipient, Subrecipient, or their principals, or paid with federal funds, who (a) is in a position to handle federal funds, (b) is in a position to influence or control the use of those funds, or (c) occupies a technical or professional position capable of substantially influencing the development or outcome of an activity required to perform the transaction, including but not limited to, any Co-PIs.

2 For this form, "covered offenses" include: (1) Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; (2) Violation of federal or state antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; (3) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or (4) Commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects the Recipient's present responsibility.

- c. Is the proposed Recipient, Subrecipient(s), or any of the Recipient's or Subrecipient's principals under investigation for potential violation of U.S. export control laws and regulations, or has the proposed Recipient, Subrecipient(s), or any of the Recipient's or Subrecipient's principals been convicted of any violations of U.S. export control laws and regulations?
☐ Yes
☐ No
- d. Is the proposed Recipient or Subrecipient(s) under investigation for potential violations of the Drug-Free Workplace Act of 1988, or has the proposed Recipient or Subrecipient(s) been convicted of any violations of the Drug-Free Workplace Act of 1988?
☐ Yes
☐ No
- e. Is the proposed Recipient, Subrecipient(s), or any of the Recipient's or Subrecipient's principals under investigation for research misconduct, or has the proposed Recipient, Subrecipient(s), or the Recipient's or Subrecipient's principals been convicted of research misconduct?
☐ Yes
☐ No
- f. Has any federal agency recommended or initiated proceedings against the proposed Recipient, Subrecipient(s), or the Recipient's or Subrecipient's principals for suspension or debarment, or is the proposed Recipient, Subrecipient(s), or the Recipient's or Subrecipient's principals debarred, suspended, publicly banned from doing business with the federal government, or otherwise declared ineligible from receiving federal contracts, subcontracts, or financial assistance?
☐ Yes
☐ No
- g. Is the proposed Recipient or Subrecipient(s) delinquent on federal debt or insolvent or at risk of insolvency or has the proposed Recipient or Subrecipient(s) filed for bankruptcy in any domestic or foreign jurisdiction?
☐ Yes
☐ No

2. POTENTIAL CONFLICTS OF INTEREST

- a. **Financial Conflicts of Interest.** The Recipient must disclose in writing any managed or unmanageable financial conflicts of interest involving a member of the project team (i.e., Investigators) and include sufficient information to enable DOE to understand the nature and extent of the financial conflict, and to assess the appropriateness of the non-federal entity's management plan. See Section V(b)(3) of the [DOE Interim Conflict of Interest Policy](#). As part of this DOE funded project, does the recipient or any subrecipients have any managed or unmanageable financial conflicts of interest involving a member of the project team (i.e., Investigators)?
☐ No
☐ Yes. If yes, in a separate attachment, the Recipient must provide relevant disclosures/supporting documentation as required by the [DOE Interim Conflict of Interest Policy](#) Section V(b)(3).
- b. **Organizational Conflicts of Interest³.** The Recipient must disclose, in writing, any potential or actual organizational conflict of interest to DOE. See [DOE Interim Conflict of Interest Policy](#) Section VI

³ Organizational Conflict of Interest means a situation where because of relationships with a parent company, affiliate, or subsidiary organization, the non-federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization. 2 CFR 200.318(c)(2).

and 2 CFR 200.318 for more information. As part of this DOE funded project, does the recipient or any subrecipients intend to engage in a procurement with a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe?

☐ No

☐ Yes. If yes, in a separate attachment, the Recipient must provide relevant disclosures/supporting documentation as required by the [DOE Interim Conflict of Interest Policy](#) Section VI.

3. PARTICIPANTS AND COLLABORATING ORGANIZATIONS

Agencies need to know who has worked on the project to gauge and report performance in promoting partnerships and collaborations. In a separate attachment, the proposed Recipient must provide:

a. What individuals have worked on the project

Provide the following information for individuals at the prime recipient and subrecipient level: (1) all senior and key personnel; and (2) each person who has worked or is expected to work at least one person month per year on the project regardless of the source of compensation (a person month equals approximately 160 hours of effort).

- i. Name
- ii. Organization
- iii. Job Title
- iv. Role in the project
- v. Start and end date (month and year) working on the project
- vi. State, U.S. territory, and/or country of residence
- vii. Whether this person collaborated with an individual or entity located in a foreign country in connection with the scope of this Award, and
- viii. If yes to vii, whether the person traveled to the foreign country as part of that collaboration, and, if so, where and what the duration of stay was.

b. Organizations

Identify all subrecipients, contractors, U.S. National Laboratories, partners, and collaborating organizations. Recipients must also include all foreign collaborators as outlined in the Foreign Collaboration Considerations term of the award Terms and Conditions. For each, provide name, UEI, zip code or latitude/longitude, role in the project, contribution to the project, and start and end date.

Provide the following information for each partnership:

- Organization Name
- Location of Organization: (if foreign location list country)
- Partner's contribution to the project: (identify one or more)
 - Financial support;
 - In-kind support (e.g., partner makes software, computers, equipment, etc., available to project staff);
 - Facilities (e.g., project staff use the partner's facilities for project activities);
 - Collaborative research (e.g., partner's staff work with project staff on the project);
 - Personnel exchanges (e.g., project staff and/or partner's staff use each other's facilities, work at each other's site); and
 - Other.
- More details on partner and contribution (foreign or domestic).

c. Have other collaborators or contacts been involved?

Some significant collaborators or contacts within the recipient's organization may not be covered by "What people have worked on the project?" Likewise, some significant collaborators or contacts outside the recipient's organization may not be covered under "What other organizations have been involved as partners?"

For example, describe any significant:

- Collaborations with others within the recipient's organization, especially interdepartmental or interdisciplinary collaborations;
- Collaborations or contact with others outside the organization; and
- Collaborations or contacts with others outside the United States or with an international organization.

Identify the state(s), U.S. territory(ies), or country(ies) of collaborations or contacts.

It is likely that many recipients will have no other collaborators or contacts to report.

4. CURRENT AND PENDING SUPPORT

As part of the application, the applicant was required to submit current and pending support disclosures for each proposed principal investigator and senior/key personnel at the applicant's and subrecipient level, regardless of funding source. Throughout the life of the award, the Recipient must submit current and pending support disclosure statements and a CV or Biosketch for any new PI and senior/key personnel at the recipient and subrecipient level, added to the project funded under this Award within thirty (30) days of the individual joining the project. In addition, if there are any changes to current and pending support disclosure statements previously submitted to DOE, the Recipient must submit updated current and pending disclosure statements within thirty (30) days of the change. The Recipient must ensure that all PIs and senior/key personnel at the recipient and subrecipient level, at any tier, are aware of the requirement to submit updated current and pending support disclosure statements to DOE.

Have there been any changes that would prompt the submission of a new or updated current and pending support disclosure?

☐ Yes

☐ No

If yes, the instructions to complete the new or updated disclosure are listed below.

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

For every activity, list the following items:

- The sponsor of the activity or the source of funding.
- The award or other identifying number.
- The title of the award or activity. If the title of the award or activity is not descriptive, add a brief description of the research being performed that would identify any overlaps or synergies with the proposed research.
- The total cost or value of the award or activity, including direct and indirect costs and cost share. For pending proposals, provide the total amount of requested funding.
- The award period (start date – end date).

- The person-months of effort per year being dedicated to the award or activity.
- Identify any overlap, duplication of effort, or synergistic efforts, with a description of the other award or activity to the current and pending support.
- Details of any obligations, contractual or otherwise, to any program, entity, or organization sponsored by a foreign government must be provided to DOE.
- Digital Persistent Identifier (e.g., ORCID iD) required at the prime and subaward level.

All PIs and senior/key personnel must provide a separate disclosure statement listing the required information above regarding current and pending support. The individual must sign and date their respective disclosure statement and include the following certification statement:

I, [Full Name and Title], understand that I have been designated as a covered individual by the federal funding agency.

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

I also certify that, at the time of submission, I am not a party in a [malign foreign talent recruitment program](#).

I further certify that within the past 12 months I have completed one of the following: (1) research security training meeting the guidelines in SEC. 10634(b) of 42 USC 19234, or (2) all of the NSF training modules located <https://new.nsf.gov/research-security/training>.

The information may be provided in the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vita (SciENCv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at https://www.nsf.gov/bfa/dias/policy/researchprotection/commonform_cps.pdf. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats. If the NSF format is used, the individual must still include a signature, date, and a certification statement using the language included in the paragraph above.

5. Total Estimated Project Cost is the sum of the federal Government share and Recipient share of the estimated project costs. The Recipient's cost share must come from non-federal sources unless otherwise allowed by law. By accepting federal funds under this award, you agree that you are liable for your percentage share of total allowable project costs throughout the life of the project (i.e., on an invoice basis), even if the project is terminated early or is not funded to its completion. EERE requires Recipients to contribute the cost share amount incrementally over the life of the award. Specifically, the cumulative cost share percentage provided to date on each invoice received must reflect, at a minimum, the cost sharing percentage specified in your award. If your entity intends to request a waiver of this requirement, please indicate below and attach a waiver request which includes: (1) a detailed justification for the request; (2) a proposed schedule of payments, including amounts and dates; (3) a written commitment to meet that schedule; and (4) such evidence as necessary to demonstrate that the Recipient has complied with its cost share obligations to date. The Contracting Officer must approve all such requests before they are permitted to go into effect under any Subrecipient Award. The Contracting Officer may require additional information before considering any waiver request.

- ☐ I verify that the Recipient percentage share of total allowable project costs (cost share) will be provided on an invoice basis.
- ☐ A waiver request is attached.

6. Indicate the name, phone number, and email address of the Designated Responsible Employee for complying with national policies prohibiting discrimination (see 10 CFR 1040.5 and the Certifications and Assurances SF-424B Assurances for Non-Construction Programs or SF-424D Assurances for Construction Programs found at: <http://www.grants.gov/web/grants/forms/sf-424-family.html>.)

Name/Title _____

Phone No/Email _____

7. Research involving human subjects, biospecimens, or identifiable private information and conducted with DOE funding is subject to the requirements of DOE Order 443.1C, *Protection of Human Research Subjects*; 10 CFR Part 745, *Protection of Human Subjects*; and 45 CFR Part 46 (all subparts), *Protection of Human Subjects*. No DOE funded research activity involving human subjects, biospecimens, or identifiable private information shall be conducted without: 1) a registration and a Federal Wide Assurance accepted by the Office of Human Research Protection (OHRP) in the Department of Health and Human Services; and 2) certification that the research has been reviewed and approved by an Institutional Review Board (IRB) provided for in the assurance. Options for IRB review may include one or more of the following: 1) review by the awardee's institutional IRB, in accordance with an IAA or MOU negotiated between DOE and the institution; 2) review by the Central DOE IRB; and/or 3) if collaborating with one of the DOE national laboratories, review by the DOE national laboratory IRB.

The recipient shall provide the assurance number identified in item 1 and the certification identified in item 2 to DOE prior to initiation of any research involving human subjects as defined in 10 CFR Section 745.102. Additionally, each project must be reported annually to the DOE Human Subjects Research Database: [Human Subjects Database | U.S. DOE Office of Science \(SC\) \(osti.gov\)](#). Additional information on the DOE Human Subjects Research Program can be found at: [HUMAN SUBJECTS Human Subjects Pr... | U.S. DOE Office of Science \(SC\) \(osti.gov\)](#).

E. PERFORMANCE AND FINANCIAL INFORMATION REQUEST

**** Educational Institutions and Tribal organizations are not required to complete this section ****

This Section includes a separate **ADDENDUM** to the Pre-award Information Sheet, which is used to explain the proper Cognizant responsibilities as well as to obtain assurances that the Recipient's accounting system can perform on Government awards.

The **ADDENDUM** and **Financial Accounting System – Detailed Information** shall be reviewed and populated based on the below responses:

1. Does the application budget include indirect costs? ☐ Yes ☐ No

If No, Recipient will not need to review the Addendum.

2. Has the Recipient had prior federal awards? ☐ Yes ☐ No

If No, Recipient must review the Addendum.

Proceed to **FINANCIAL AUDIT DATA** (E.4) below

If Yes, including this proposed award, provide the four (4) highest dollar values for federal contracts or awards for which the organization is the Prime Recipient receiving the funding directly from a Government Agency. The total federal dollars should include the full project period, not just the incremental funding.

Awarding Agency	Awarding Office	Contract/Award #	Start Date	End Date	Total Federal Dollars
					\$
					\$
					\$
					\$
					\$
					\$

3. Has one of the listed Agencies above officially assumed Cognizance with the authority to negotiate the organization's current indirect cost billing rates? ☐ Yes ☐ No

If No, Recipient **must review the Addendum**.

If Yes, Recipient **will not need to review the Addendum**.

Provide the Cognizant Agency, Cognizant Contracting Officer who negotiated the indirect billing rates, and Contact Information. If available, include a copy of the current Negotiated Indirect Cost Rate Agreement (NICRA).

Agency: _____

Contracting Officer: _____

POC Phone: _____

POC Email: _____

4. FINANCIAL AUDIT DATA:

Recipient's Fiscal Year End:

Does the Recipient have a timekeeping system which identifies employees' labor by intermediate and final cost objective (i.e. award/project level)? ☐ Yes ☐ No

Does the Recipient have an accounting system which excludes costs charged to Government projects which are not allowable per applicable Federal Cost Principles? ☐ Yes ☐ No

Has the Recipient had any of the following Audits Performed? ☐ Yes ☐ No

A. DCAA/DCMA Audit within the last 6 years

B. Single Audit or Compliance Audit per 2 CFR 200, Section F or 2 CFR 910, Section F within last 6 years

C. Financial Audit within the last 3 years

If yes, please attach a copy of the audit(s) upon submission of this form.

F. REPRESENTATION/CERTIFICATION

Certification of the information is required by the organization's authorized official and principal investigator

☐ I certify that I have a registered UEI number in the System for Award Management (SAM).

☐ I certify that all subrecipient cost information has been reviewed, and that all subrecipient costs are reasonable, allowable, and allocable in accordance with our organization's written procurement procedures and applicable cost principles. All subrecipient budget documents should be available upon USABC / DOE request.

☐ I certify that all direct costs proposed in the application (under the personnel, travel, equipment, supplies, contractual, construction, and/or other direct costs categories) are direct to the project and are not duplicated in the proposed indirect costs.

☐ I certify that the processes undertaken to solicit any subrecipients, subawards, subcontracts and vendors comply with our organization's written procurement procedures as outlined in "Procurement Standards" 2 CFR 200.317 through 2 CFR 200.326 inclusive.

☐ I certify the Sub-recipient:

- (1) Has in effect an up to date, written, and enforced administrative process to identify and manage conflicts of interest with respect to all projects for which financial assistance funding is sought or received from USABC as a pass-through entity for DOE;
- (2) Shall promote and enforce Investigator compliance with DOE's Interim Conflict of Interest (COI) Policy's requirements including those pertaining to disclosure of significant financial interests;
- (3) Shall manage financial conflicts of interest and provide initial and ongoing financial conflicts of interest reports to DOE;
- (4) Agrees to make information available, promptly upon request, to USABC / DOE relating to any Investigator disclosure of financial interests and the Recipient's review of, and response to, such disclosure, whether or not the disclosure resulted in the Recipient's determination of a financial conflict of interest; and
- (5) Shall fully comply with the requirements of the DOE Interim COI Policy.

☐ I certify the Sub-recipient will:

- (1) Establish, document, and maintain effective internal control over the Federal award that provides reasonable assurance that the recipient or subrecipient is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should align with the guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States or the "Internal Control-Integrated Framework" issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (2) Comply with the U.S. Constitution, Federal statutes, regulations, and the terms and conditions of the Federal award.
- (3) Evaluate and monitor the recipient's or subrecipient's compliance with statutes, regulations, and the terms and conditions of Federal awards.
- (4) Take prompt action when instances of noncompliance are identified.
- (5) Take reasonable cybersecurity and other measures to safeguard information including protected personally identifiable information (PII) and other types of information. This also includes information the Federal agency or pass-through entity designates as sensitive or other information the recipient or subrecipient considers sensitive and is consistent with applicable Federal, State, local, and tribal laws regarding privacy and responsibility over confidentiality.

G. SIGNATURES

I, the Authorization Official named below, represent by my signature that I am authorized to certify this information on behalf of the Recipient. I certify to the best of my knowledge and belief that the information contained in this Pre-Award Information Sheet is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

Name: _____
Title: _____
Signature of _____
Authorized Official: _____
Date: _____

I, the Principal Investigator named below, certify to the best of my knowledge and belief that the information contained in this Pre-Award Information Sheet is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

Name: _____
Title: _____
Signature of _____
Principal Investigator: _____
Date: _____

ADDENDUM TO SECTION E

If your organization has been identified under Section E to populate the “Financial Accounting System – Detailed Information,” read below for more information.

This information will assist the Recipient and DOE in the following:

- I. Understanding the assumption of Cognizance; and
- II. Determining if the Sub-recipient has adequate internal financial and management controls and an accounting system which can perform on federal financial assistance awards.

NOTE: The Sub-recipient will have the following annual reporting responsibilities:

A Certified Annual Incurred Cost Proposal due 180 days after Recipient’s fiscal year end.

For an example of the ICE Model, please visit <https://www.dcaa.mil>. Under “CUSTOMERS->Checklists and Tools”, click on ICE (Incurred Cost Electronically) Model and download the ICE model.

COGNIZANCE

Cognizance is determined by the preponderance of federal award/contract dollars received by the Subrecipient from a federal agency. Once a federal agency assumes cognizance for an organization, it should remain cognizant for at least five years to ensure continuity and ease of administration unless federal agencies coordinate an official transfer of cognizance.

The Cognizant Agency has the federal financial oversight responsibility for assuring an organization has an acceptable Accounting System in place to manage federal funds on behalf of all government agencies. Assuming Cognizance of an organization also includes the responsibility for verifying the allocation of indirect billing rates to reasonable and allowable incurred costs, issuing Negotiated Indirect Cost Rate Agreements (NICRAs), and coordinating DOE-initiated audits with the Defense Contract Audit Agency (DCAA – DOE’s Cognizant Audit Agency) or another independent audit firm.

FINANCIAL MANAGEMENT SYSTEM – ADEQUATE ACCOUNTING SYSTEM

To qualify for financial assistance, compliance with 2 CFR 200 as amended by 2 CFR 910 is required. This includes assurance of an adequate accounting system per 2 CFR 200.302, FAR 31.2 or 2 CFR 200 Subpart E, Generally Accepted Accounting Principles (GAAP), Generally Accepted Government Accounting Standards (GAGAS), and Standard Form 1408 as applicable.

The Cognizant Agency has the responsibility for verifying an adequate accounting system through a system review, or audit if deemed necessary. The review or audit provides DOE the proper assurances that federal funds which have been estimated, incurred and invoiced on Government awards are reasonable, allocable and allowable.

