

**ATTACHMENT 5**

**RECORD OF INITIAL COMPLIANCE REVIEW**

**FOA #: [Insert FOA Number]  
[Insert Title of Announcement]**

Application No: \_\_\_\_\_  
 Applicant: \_\_\_\_\_  
 Period of Performance: \_\_\_\_\_

Review Elements	YES	NO	N/A	
<b>Qualified Organization Eligible for Award</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Application Received Prior to Deadline</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Mandatory Files Submitted</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
SF 424 – Application For Federal Assistance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Project Performance Site Locations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other Project Information form	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Project Summary/Abstract	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Project Narrative	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Appendix: Biographical Sketch	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Appendix: Third Parties Contributing to Cost Sharing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Appendix: Equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Appendix: Bibliography & References Cited	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Appendix: Facilities and Other Resources	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Data Management Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Project Management Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Commitment Letters from Third Parties Contributing to Cost Sharing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
FFRDC Authorization and Field Work Proposal (if DOE/NNSA FFRDC)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
SF 424 A - Budget Information (Total FED + Non-FED)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Budget Justification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Additional Files</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Letter of Intent / Concept Paper (Received prior to deadline)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Senior/Key Person	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Subaward (FED/Non-FED) Budget Attachments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
SF-LLL Disclosure of Lobbying Activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Proposed Project is Responsive to the Objectives of the FOA</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>NOTES:</b>				
<b>FINANCIAL DATA:</b> <i>XX% cost share required</i>				
ESTIMATED COSTS	DOE Share	Recipient Share	TOTAL	COST SHARE%
	\$0	\$0	\$0	

Based upon the Contract Specialist's and Project Officer's preliminary review, it has been determined that (1) the applicant is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements of the FOA have been submitted; and (4) the proposed project is responsive to the objectives of the FOA.

**Signature/Date:** \_\_\_\_\_

**Name/Title:** \_\_\_\_\_

**Phone number:** \_\_\_\_\_

**Email address:** \_\_\_\_\_