



Department of Energy
Financial Assistance Regulations

No. FAL 2024-05
Date: August 8, 2024

FINANCIAL ASSISTANCE LETTER

This Financial Assistance Letter is issued under the authority of the DOE and NNSA Senior Procurement Executives.

Subject: Digital Persistent Identifier Requirements for Certain Individuals for Research and Development

References:

National Security Presidential Memorandum on United States Government-Supported Research and Development National Security Policy 33 ([NSPM-33](#)), January 14, 2021

Guidance for Implementing National Security Presidential Memorandum 33 (NSPM-33) on National Security Strategy for United States Government-Supported Research and Development ([NSPM-33 Implementation Guidance](#)), January 2022

Office of Science and Technology Policy (OSTP) Memo Ensuring Free, Immediate, and Equitable Access to Federally Funded Research ([OSTP Public Access Memo](#)), August 25, 2022

[DOE Public Access Plan](#), June 2023

Office of Science and Technology Policy, Policy Regarding Use of Common Disclosure Forms for the “Biographical Sketch” and the “Current and Pending (Other) Support” Sections of Applications by Federal Research Funding Agencies ([Policy Regarding Use of Common Disclosure Forms](#)), February 14, 2024

When is this Financial Assistance Letter (FAL) Effective?

This FAL is effective upon issuance.

When does the FAL expire?

This FAL remains in effect until canceled or superseded.

Who is the intended audience?

Department of Energy (DOE) and National Nuclear Security Administration (NNSA) Contracting and Grants Officers. Any reference in this guidance to Contracting Officer (CO) should be understood to include Grants Officer (GO). Any reference in this guidance to the DOE should be understood to include the NNSA, unless otherwise indicated.

Who are the Points of Contact?

For DOE questions, please contact the Contract and Financial Assistance Policy Division at DOE_OAPMPolicy@hq.doe.gov.

For NNSA, contact [NNSA at \(505\) 845-4337](tel:505-845-4337).

What is the purpose of this FAL?

The purpose of this FAL is to provide information and guidance regarding DOE's implementation of the digital persistent identifier requirements included in NSPM-33, the NSPM-33 Implementation Guidance, the OSTP Public Access Memo, the DOE Public Access Plan, and the Policy Regarding Use of Common Disclosure Forms.

What is the background information?

NSPM-33 instructs agencies to develop policies regarding requirements for participants of federally funded research and development (R&D), including individuals supported by financial assistance, to be registered with a service that provides a digital persistent identifier (PID) for that individual. NSPM-33 also instructs agencies to standardize forms for initial disclosures, integrating digital persistent identifiers for individuals applying for grants and cooperative agreement funding.

Standard DOE forms for Biographic Sketch and Current and Pending (Other) Support disclosures are in development with an anticipated calendar year 2025 release date. DOE's use of these disclosures is described in the FAL "Department of Energy Current and Pending Support Disclosure Requirements for Financial Assistance" (FAL 2022-04 or superseding FALs).

The OSTP Public Access Memo instructs agencies to collect and make publicly available metadata associated with scholarly publications and data resulting from federally funded research. These metadata include all authors and co-authors, referencing their digital persistent identifiers. The OSTP Public Access Memo also directs agencies to instruct federally funded researchers to obtain a PID for themselves that meets the common/core standards of a PID service defined in NSPM-33 Implementation Guidance. Individuals are expected to include their PID in the metadata of published research outputs when available and provide their PID to agencies with the metadata associated with all published research outputs they produce.

What are the instructions/guidance of this FAL?

Sections

- A. Applicability
- B. Definitions
- C. Requirements
- D. Implementation

A. Applicability

The FAL applies to all DOE and NNSA notice of funding opportunities (NOFOs), financial assistance agreements resulting from those NOFOs, and financial assistance agreements resulting from unsolicited proposals that 1) are issued on or after the effective date of this FAL; and 2) encompass R&D activities, or technical assistance to support R&D activities.

If a NOFO permits submission of R&D applications from another federal agency, a federally funded research and development center, or a National Laboratory, those institutions must comply with these same requirements.

B. Definitions

Digital Persistent Identifier or Persistent Identifier (PID, pl. PIDs) – A digital identifier that is globally unique, persistent, machine resolvable and processable, and has an associated metadata schema. Generally, a long-lasting, managed, and registered unique digital reference (often in the form of a URL) to a research object that can be represented or described online. PIDs are often associated with people, organizations, funding, and R&D outputs.

ORCID iD – A persistent identifier for individuals/researchers that allows people to distinguish themselves from others. Individuals can connect their ORCID iDs with professional information (e.g., employment, education, professional activities, funding, and R&D outputs) creating an ORCID record similar to an online CV. An ORCID iD can be used to share information with other systems, allow individuals to be uniquely identified, reduce administrative burden, ensure people get recognition for their contributions, and reduce the risk of information errors. ORCID iDs help people and computers better identify individuals and their contributions.

Research and Development (R&D) – All basic and applied research activities and all development activities performed by a recipient or subrecipient. The term research also includes activities involving the training of individuals in research techniques where such activities use the same facilities as other research and development activities and where such activities are not included in the instruction function. “Research” is the systematic study directed toward fuller scientific knowledge or understanding of the subject studied. “Development” is the systematic use of knowledge and understanding gained from research to produce useful materials, devices, systems, or methods, including designing and developing prototypes and processes.

C. Requirements for Applicants and Recipients

Applicants must ensure that any individuals who meet both conditions below obtain a PID for themselves that meets the common/core standards specified in the NSPM-33 Implementation Guidance or successor guidance (e.g., ORCID iD).

1. Individual is listed within financial assistance applications that will fund R&D activities, or technical assistance to support R&D activities; and
2. Individual is required to submit Biographical Sketch and/or Current and Pending (Other) Support disclosure.

The PID must be provided in the Biographical Sketch and/or Current and Pending (Other) Support disclosures as part of the NOFO application. The inclusion of a PID will be optional until May 1, 2025, and mandatory thereafter.

The PID (e.g., ORCID iD) must be obtained and used by all recipients conducting R&D in published R&D outputs when available and be provided to the Department of Energy Office of Scientific and Technical Information (DOE OSTI) with R&D metadata records.

DOE and NNSA NOFOs and awards must include the language provided in Attachment 1a (if using the common Biographical Sketch and/or Current and Pending (Other) Support disclosures) and 1b. Additionally, per the award term below, Grants Officers must ensure that recipients of financial assistance awards that include R&D activities, or technical assistance to support R&D activities, have obtained a PID for themselves (e.g., ORCID iD).

D. Implementation

Grants Officers must include the NOFO text in Attachment 1a in Part VI Award Administration Information for NOFOs utilizing the common Biographical Sketch and/or Current and Pending (Other) Support disclosure.

Grants Officers must include the Award Term in Attachment 1b in awards that fund R&D activities, or technical assistance to support R&D activities.

Attachment 1a

Notice of Funding Opportunity

- a. Provision:** Grants Officers must include the following text in Part VI Award Administration Information for NOFOs utilizing the Biographical Sketch and/or Current and Pending (Other) Support disclosures.

Digital Persistent Identifier NOFO Language

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

Attachment 1b

Award Term

- b. Provision:** Grants Officers must include in awards for research and development (R&D) activities, or technical assistance to support R&D activities.

Digital Persistent Identifier Award Term Language

Throughout the lifetime of the award, those individuals conducting research and development (R&D) under the award at the prime and subaward level must obtain and use a digital persistent identifier (PID) for themselves that meets the common/core standards specified in the [NSPM-33 Implementation Guidance](#) or successor guidance (e.g., an [ORCID iD](#)).

DOE requires recipients of federal awards with R&D activities, or technical assistance that supports R&D activities, to use the PID when publishing R&D outputs when that is an available option. Individuals conducting R&D activities at the prime and subaward level must report their R&D outputs as outlined in the DOE F 4600.2, U.S. Department of Energy “Federal Assistance Reporting Checklist” (FARC). The PID for individuals must be provided when reporting R&D outputs to the Department of Energy Office of Scientific and Technical Information (DOE OSTI).