

**APPENDIX D**

**STATEMENT OF SUBSTANTIAL INVOLVEMENT (DRAFT)**  
***(applicable to ARC-20)***

DOE anticipates having substantial involvement during the project period, through technical assistance, advice, intervention, integration with other awardees performing related activities, and technical transfer activities. The Statement of Substantial Involvement may be negotiated with the recipient prior to award. It will be something similar to the following:

The recipient's responsibilities are listed in paragraph a below and DOE's responsibilities are listed in paragraph b.

a. Recipient Responsibilities. The recipient is responsible for:

- (1) Performing the activities supported by this award, including providing the required personnel, facilities, equipment, supplies and services;
- (2) Defining approaches and plans, submitting the plans to DOE for review, and incorporating DOE's comments;
- (3) Managing and conducting the project activities, including coordinating with a DOE management and operating (M&O) contractor on activities performed under the M&O contract that are related to the project;
- (4) Attending annual program review meetings and reporting project status;
- (5) Providing DOE appropriate levels of proprietary and non-proprietary information on an as-needed basis to assist in response to external and internal private inquiry. DOE will protect information in accordance with the agreements set forth in the cooperative agreement language.
- (6) Submitting technical reports as stated in the Federal Assistance Reporting Checklist, and incorporating DOE comments; and
- (7) Presenting the project results at appropriate technical conferences or meetings as directed by the DOE Project Officer (it is anticipated that the number of conferences/meetings will not exceed two per year, not counting program review meetings).

b. DOE Responsibilities. DOE's involvement will consist of the following normal Federal stewardship responsibilities (see Section 1) below, as well as Substantial Involvement activities (see Section 2 below).

(1) Normal Federal Stewardship Activities:

- a. Approving recipient plans prior to award.

- b. Providing technical assistance prior to the start of the activity, if requested by the recipient and agreed to by DOE.
- c. Providing technical assistance to correct deficiencies in project or financial performance when reports or monitoring indicates some sort of problem.
- d. Performing site visits.
- e. Reviewing financial, performance, and audit reports.
- f. Performing technical reviews to determine whether to continue funding the next budget period.
- g. Reviewing performance to ensure that the objectives, terms, and conditions of the award are accomplished.
- h. Providing general administrative requirements, such as prior approvals required by the financial assistance regulations and/or OMB Circulars.
- i. Reviewing performance after completion.

(2) Substantial Involvement Activities:

- a. Reviewing project plans and redirecting the work effort if the plans do not address critical programmatic issues.
  - b. Conducting program review meetings (annually or more often if needed) to ensure adequate progress, and that the work accomplishes the program and project activities. Redirecting work or shifting work emphasis, if needed. Recommending continued funding.
  - c. Promoting and facilitating technology awareness activities, including disseminating program results through presentations and publications.
  - d. Serving as scientific/technical liaison between awardees and other project stakeholders.
  - e. Reviewing and approving of one stage before work can begin on a subsequent stage.
  - f. Additional monitoring to permit specified kinds of direction or redirection of the work because of interrelationships with other projects.
  - g. The power to immediately halt an activity if detailed performance specifications are not met.
- c. There are limitations on recipient and DOE responsibilities and authorities in the performance of the project activities. Performance of the project activities must be within the scope of the Statement of Objectives, the terms and conditions of the cooperative agreement, and the funding and schedule constraints.