Research, Technology, and Economic Security (RTES) Review

Definitions

Covered Entity is a recipient or subrecipient on an award.

Covered Individual is an individual who both:

- Contributes in a substantive, meaningful way to develop and execute the scope of work of a project proposed for DOE
- Is designated as a Covered Individual by DOE

Often, these individuals have doctoral or other professional degrees, although the following may be considered Covered Individuals if their involvement meets this definition:

- Individuals at the master's or PhD-candidate level
- Consultants
- Graduate students
- Individuals with a postdoctoral role

DOE designates Covered Individuals as any:

- Principal investigator (PI)
- Project director (PD)
- Co-principal investigator (Co-PI)
- Co-project director (Co-PD)
- Project manager
- Any individual functionally performing as a PI, PD, Co-PI, Co-PD, or project manager

RTES Review Requirements

Required Information for New Covered Entities:

- **Name, Country of Ownership & Control, & Role** of Covered Entity on proposed project
- **Transparency of Foreign Connections form** (see Transparency of Foreign Connections | Department of Energy for suggested template)

Required Information for New Covered Individuals:

- **Name, Position, Title, & Role** of Covered Individual on proposed project
- **Biographical sketch (biosketch).** Use SciENcv (Science Experts Network Curriculum Vitae) to produce a DOE-compliant PDF version of the biosketch.
- **CPS Common Form.** Use SciENcv (Science Experts Network Curriculum Vitae) to produce a DOE-compliant PDF version of the CPS Common Form.

Use the NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support[1] to develop the CPS Common Form. The *CPS Common Form* and *Biosketch Common Form* must together include a list of all sponsored activities, awards, and appointments.

[1] This table supersedes in its entirety Table 2a and Paragraph 7 of the Disclosure Requirements and Standardization Section of the NSPM-33 Implementation Guidance.

Additional resources to support Covered Individual requirements:

- Digital Persistent Identifier (required on CPS form)
    - Most people use ORCID: https://orcid.org/
- Biographical Sketch Common Form
    - Use SciENcv to create this form: SciENcv (Science Experts Network Curriculum Vitae). If you are using SciENcv for the first time follow these instructions:
        - Navigate to SciENcv (Science Experts Network Curriculum Vitae)
        - To log in, click More Options, Login.gov, then sign in
        - From the dashboard, click Manage SciENcv, then click Create New Document
        - Select DOE Biographical Sketch
        - Enter your information (for list of questions, see example at Biographical Sketch | Department of Energy)
        - When ready, click Download PDF, which will prompt the user to certify their responses, then the document will download and can be submitted to DOE for review.
- Current and Pending Support (CPS) Common Form
    - Use SciENcv to create this form: SciENcv (Science Experts Network Curriculum Vitae). If you are using SciENcv for the first time follow these instructions:
        - Navigate to SciENcv (Science Experts Network Curriculum Vitae)
        - To log in, click More Options, Login.gov, then sign in
        - From the dashboard, click Manage SciENcv, then click Create New Document
        - Select DOE Current and Pending (Other) Support
        - Enter your information (for list of questions, see example at Current and Pending (Other) Support | Department of Energy)
        - When ready, click Download PDF, which will prompt the user to certify their responses, then the document will download and can be submitted to DOE for review.
    - Note that the "Certification Statement" on the DOE CPS form in SciENcv refers to required research security training.
        - If a project is an R&D project, research security training is required.
        - This website has additional information about the required security training, including a link to a free 1-hour online training module that meets the requirements if the applicant hasn't already taken training that meets the requirements in the past 12 months: https://www.energy.gov/ia/research-security-training-requirement

Please consult the RTES website Research, Technology & Economic Security | Department of Energy for related information and templates.