

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy  
Office of Science  
Office of High Energy Physics**

***FY 2012 Research Opportunities in High Energy Physics***

**Funding Opportunity Number: DE-FOA-0000573**

**Announcement Type: Initial**

**CFDA Number: 81.049**

**ISSUE DATE: August 19, 2011**

**Application Due Date: November 15, 2011, 11:59 PM Eastern Time**

## NOTE: REQUIREMENTS FOR GRANTS.GOV

**Where to Submit:** Applications must be submitted through Grants.gov to be considered for award. You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately. Remember you have to update your Central Contract Registry CCR registration annually. If you have any questions about your registration, you should contact the Grants.gov Helpdesk at 1-800-518-4726 to verify that you are still registered in Grants.gov.

**Registration Requirements:** There are several one-time actions you must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/assets/OrganizationRegCheck.pdf> to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

**IMPORTANT NOTICE TO POTENTIAL APPLICANTS:** When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).

**Questions:** Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). Part VII of this Funding Opportunity Announcement (FOA) explains how to submit other questions to the Department of Energy (DOE).

### Application Receipt Notices

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of four e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. The titles of the four e-mails are:

- Number 1 - Grants.gov Submission Receipt Number
- Number 2 - Grants.gov Submission Validation Receipt for Application Number
- Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number
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## **PART I – FUNDING OPPORTUNITY DESCRIPTION**

### **GENERAL INQUIRIES ABOUT THIS FOA SHOULD BE DIRECTED TO:**

#### **Administrative Contact:**

Questions about program rules should be sent to [sc.hepfoa@science.doe.gov](mailto:sc.hepfoa@science.doe.gov)

#### **Technical/Scientific Program Contact:**

Questions regarding the specific program areas/technical requirements can be directed to the technical contacts listed for each program within the FOA.

### **STATUTORY AUTHORITY**

Public Law 95-91, US Department of Energy Organization Act  
Public Law 109-58, Energy Policy Act of 2005

### **APPLICABLE REGULATIONS**

U.S. Department of Energy Financial Assistance Rules, codified at 10 CFR Part 600  
U.S. Department of Energy, Office of Science Financial Assistance Program Rule, codified at 10 CFR Part 605

### **SUMMARY:**

The Office of High Energy Physics at the U. S. Department of Energy's Office of Science, hereby invites new grant applications for support of research programs in high-energy physics. Applications are sought in the following subprogram areas: Experimental Research at the Energy Frontier, Experimental Research at the Intensity Frontier, Experimental Research at the Cosmic Frontier, Theoretical High Energy Physics Research, and Advanced Technology Research and Development. Additional information about submission of applications, eligibility, limitations, evaluation and selection processes and other policies and procedures are specified in 10 CFR Part 605.

### **SUPPLEMENTARY INFORMATION:**

The following program descriptions are offered to provide more in-depth information on scientific and technical areas of interest to the Office of High Energy Physics:

**Program Website:** <http://science.energy.gov/hep/>

The mission of the High Energy Physics (HEP) program is to understand how the universe works at its most fundamental level, which is done by discovering the elementary constituents of matter

and energy, probing the interactions between them, and exploring the basic nature of space and time.

The HEP program focuses on three scientific frontiers:

- *The Energy Frontier*, where powerful accelerators are used to create new particles, reveal their interactions, and investigate fundamental forces;
- *The Intensity Frontier*, where intense particle beams and highly sensitive detectors are used to pursue alternate pathways to investigate fundamental forces and particle interactions by studying events that occur rarely in nature; and
- *The Cosmic Frontier*, where non-accelerator-based experiments and telescopes are used to make measurements of naturally occurring phenomena that will offer new insight and information about the nature of dark matter, dark energy, and other phenomena to understand fundamental properties of matter and energy.

Together, these three interrelated and complementary discovery frontiers offer the opportunity to answer some of the most basic questions about the world around us. Also integral to the mission of HEP are two additional cross-cutting subprograms that enable new scientific opportunities by developing the necessary tools and methods for discoveries:

- *Theoretical Particle Physics*, where the vision and mathematical framework for understanding and extending the knowledge of particles, forces, space-time, and the universe are developed; and
- *Advanced Technology Research and Development*, where the technologies and basic science needed to design, build, and operate the accelerator and detector facilities essential for making new discoveries are developed.

All grant applications should address specific research goals in one or more of these five subprograms (as in the examples given below), and explain how the proposed research or technology development supports the broad scientific objectives and mission of the HEP program. The scientific objectives and priorities for the field recommended by the High Energy Physics Advisory Panel are detailed in their recent long-range plan, available at: [http://science.energy.gov/~media/hep/pdf/files/pdfs/p5\\_report\\_06022008.pdf](http://science.energy.gov/~media/hep/pdf/files/pdfs/p5_report_06022008.pdf)

There are five broad sub-programs within the Office of High Energy Physics that support research and technology development aimed at these objectives. New applications must focus on one or more of the following subprograms.

#### **(a) Experimental Research at the Energy Frontier**

**Technical Contact: Saul Gonzalez, 301-903-2359, [saul.gonzalez@science.doe.gov](mailto:saul.gonzalez@science.doe.gov)**

This subprogram seeks to support studies of fundamental particles and their interactions using proton-(anti)proton collisions at the highest possible energies. This is accomplished through direct detection of new phenomena or through sensitive measurements that probe the Standard Model and new physics beyond it. In particular, applications are sought for physics research

utilizing the D0 and CDF experiments at the Tevatron and the ATLAS and CMS experiments at the LHC. This subprogram also provides graduate and postdoctoral research training for the next generation of scientists, and equipment and computational support for physics research activities. Support for Heavy Ion Physics research is not provided under this subprogram.

**(b) Experimental Research at the Intensity Frontier**

**Technical Contact: Alan Stone, 301-903-7998, alan.stone@science.doe.gov**

This subprogram seeks to support precision studies that are sensitive to new physics at very high energy scales, beyond what can be directly probed with energy frontier colliders. Often these studies involve observing rare processes that require intense particle beams. In addition, recent advances in neutrino physics have opened the first window beyond the Standard Model of particle physics, perhaps signaling significant new properties of neutrinos that will have wide ranging impact in particle physics and cosmology. This subprogram includes studies of high intensity electron-positron collisions; studies of the properties of neutrinos produced by accelerators, nuclear reactors, and certain rare nuclear decays; and studies of rare processes using high intensity beams on fixed targets. In addition, this subprogram includes searches for proton decay. This subprogram also provides graduate and postdoctoral research training for the next generation of scientists, and equipment and computational support for physics research activities.

**(c) Experimental Research at the Cosmic Frontier**

**Technical Contact: Kathy Turner, 301-903-1759, kathy.turner@science.doe.gov**

This subprogram supports studies of particle physics using naturally occurring particles and phenomena. High-energy cosmic rays, photons and neutrinos serve as some of the non-accelerator-based particle sources used in this area of research. In addition, this program seeks to support studies of dark energy; studies of primordial antimatter; and direct detection of the particles constituting dark matter. This subprogram also provides graduate and postdoctoral research training for the next generation of scientists, and equipment and computational support for physics research activities.

Studies of gravitational physics, classical astrophysics phenomena, or fundamental symmetries are not included in this subprogram.

**(d) Theoretical High Energy Physics Research**

**Technical Contact: Simona Rolli, 301-903-0504, simona.rolli@science.doe.gov**

This program supports activities that range from detailed calculations of the predictions of the Standard Model to the extrapolation of current knowledge to a new level of understanding and the identification of the means to experimentally search for them.

Topics studied in the theoretical research program include, but are not limited to: phenomenological and theoretical studies that support the experimental HEP research program, both in understanding the data and in finding new directions for experimental exploration; development of analytical and numerical computational techniques for these studies; and exploration of theoretical frameworks for understanding fundamental particles and forces at the

deepest level possible. This subprogram also provides graduate and postdoctoral research training for the next generation of scientists and computational resources needed for theoretical calculations.

### **(e) Advanced Technology Research and Development**

**Technical Contact: L.K. Len, 301-903-3233, lk.len@science.doe.gov**

The advanced technology R&D subprogram develops the next generation of particle accelerators, detectors, and computing technologies for the future advancement of high-energy physics and other sciences, supporting world-leading research in the physics of particle beams and fundamental advances in the science of particle detection and instrumentation. This subprogram supports long-range, exploratory research aimed at developing new concepts. This subprogram also provides graduate and postdoctoral research training, equipment for experiments and related computational efforts.

Topics studied in the accelerator science program include, but are not limited to: analytic and computational techniques for modeling particle beams; novel acceleration concepts; muon colliders and neutrino factories; the science of high gradients in room-temperature accelerating cavities; high-brightness beam sources; and cutting-edge beam diagnostic techniques. Topics studied in the detector R&D program include, but are not limited to: low-mass, high channel density charged particle tracking detectors; high resolution, fast-readout calorimeters and particle identification detectors; techniques for improving the radiation tolerance of particle detectors; and advanced electronics and data acquisition systems. In addition, this subprogram develops next-generation computational tools and techniques in support of the experimental and theoretical physics research programs

### **APPLICATION REQUIREMENTS**

All applicants must comply with the following requirements when completing their new applications:

- (1) All applications must address at least one of the five subprograms described in the previous section.
- (2) The research description(s) must list specific past accomplishments and must give future milestones for the proposed research. In applications with more than one senior investigator, the accomplishments, milestones, and plans of each senior investigator must be clearly identified. Reviewers will be asked to assess the accomplishments and plans of each senior investigator.
- (3) A application responding to two or more subprogram areas must be structured such that each subprogram is clearly distinguishable within the application. Each subprogram area within an application will be reviewed independently and therefore the research description must be self-contained.
  - a. Any supporting narrative that is common to all the subprograms (e.g., a description of indirect costs or infrastructure) can be included in a separate single section of the application. Reviewers will have access to the complete application

and will be asked to comment on the particular benefits of institutional support and/or infrastructure as appropriate to the application.

- b. Budget sheets (DOE Form 4620) **must** be included for the proposed activities described in **each subprogram section** of the application. This is in addition to the standard grants.gov budget form requirements for the overall application.
- (4) The total length of the research description(s) must not exceed 9 pages per senior investigator. References can be listed in footnotes. Additional supporting material (i.e. CVs, publication lists, etc.) should be put in a separate file. **Applications which exceed the page limit will NOT be reviewed and therefore cannot be considered for funding.**

All incoming new applications will be pre-screened for responsiveness to the subprogram descriptions and for compliance with the application requirements.

## **PART II – AWARD INFORMATION**

### **A. TYPE OF AWARD INSTRUMENT.**

DOE anticipates awarding grants under this Funding Opportunity Announcement (FOA).

### **B. ESTIMATED FUNDING.**

It is anticipated that approximately \$35,000,000 will be available for all DOE Office of High Energy Physics new grant and cooperative agreement awards in FY 2012, subject to the availability of appropriated FY 2012 funds. The number, duration and size of awards will depend on the number of applications selected for award, and the actual amount of funds available in FY 2012. This FOA, DE-FOA-0000573, is for new applications and multiple year funding is expected.

DOE is under no obligation to pay for any costs associated with preparation or submission of applications. DOE reserves the right to fund, in whole or in part, any, all, or none of the applications submitted in response to this FOA.

### **C. MAXIMUM AND MINIMUM AWARD SIZE.**

See B. Estimated Funding Section Above

### **D. EXPECTED NUMBER OF AWARDS.**

See B. Estimated Funding Section Above

### **E. ANTICIPATED AWARD SIZE.**

See B. Estimated Funding Section Above

### **F. PERIOD OF PERFORMANCE.**

See B. Estimated Funding Section Above

### **G. TYPE OF APPLICATION.**

DOE will accept new applications under this FOA.

### **PART III - ELIGIBILITY INFORMATION**

#### **A. ELIGIBLE APPLICANTS.**

All types of entities are eligible to apply, except other Federal agencies, Federally Funded Research and Development Center (FFRDC) Contractors, and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995.

#### **B. COST SHARING.**

Cost sharing is not required.

#### **C. OTHER ELIGIBILITY REQUIREMENTS.**

N/A

## PART IV – APPLICATION AND SUBMISSION INFORMATION

### A. ADDRESS TO REQUEST APPLICATION PACKAGE.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "Apply for Grants", and then select "Download a Grant Application Package". Enter the CFDA and/or the funding opportunity number located on the cover of this FOA and then follow the prompts to download the application package.

### B. LETTER OF INTENT AND PREAPPLICATION.

#### 1. Letter of Intent.

Letter of Intent not required.

#### 2. Preapplication.

Preapplications are not required.

### C. CONTENT AND FORM OF APPLICATION – SF 424 (R&R).

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL-Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this FOA.**

#### 1. SF 424 (R&R).

Complete this form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. The list of certifications and assurances referenced in Field 17 can be found on the DOE Financial Assistance Forms Page at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>, under Certifications and Assurances.

#### 2. RESEARCH AND RELATED Other Project Information.

Complete questions 1 through 6 and attach files. The files must comply with the following instructions:

##### **Project Summary/Abstract (Field 7 on the Form).**

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/principal investigator(s) (PD/PI), the project title, the objectives of the project, a description of the project, including methods to be

employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary must not exceed 1 page when printed using standard 8.5” by 11” paper with 1” margins (top, bottom, left and right) with font not smaller than 11 point. To attach a Project Summary/Abstract, click “Add Attachment.”

**Project Narrative (Field 8 on the Form).**

The project narrative **must not exceed 9 pages per senior investigator** of technical information, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right). The font must not be smaller than 11 point. **EVALUATORS WILL ONLY REVIEW THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE.** Do not include any Internet addresses (URLs) that provide information necessary to review the application, because the information contained in these sites will not be reviewed. See Part VIII.D for instructions on how to mark proprietary application information.

The page count of **9** per senior investigator does not include the Face Page and Budget Pages, the Title Page, the biographical material and publication information, or any Appendices. However, it is important that the technical information section provide a complete description of the proposed work, because reviewers are not obliged to read the Appendices. Applications exceeding these page limits may be rejected without review. **All applications should be in a single PDF file with the exception of the budgets and Project Summary which must be attached separately as directed in Grants.gov.** The PDF file may also include a few selected publications in an Appendix as background information. In addition, please limit biographical and publication information for the principal investigator and senior personnel to no more than 2 pages each. Letters from collaborators should also be included, if applicable. Each principal investigator should provide an E-mail address. To attach a Project Narrative, click “Add Attachment.”

The application narrative should begin with a cover page that includes: the project title, the Lead PI’s name and complete contact information.

**The cover page must also include the following information (this page will not count in the project narrative page limitation):**

**Applicant/Institution:**

**Street Address/City/State/Zip:**

**Principal Investigator:**

**Postal Address:**

**Telephone Number:**

**Email:**

**Funding Opportunity Announcement Number:** DE-FOA-0000573

**DOE/Office of Science Program Office:** Office of High Energy Physics

**DOE/Office of Science Program Office Technical Contact:**

**DOE Grant Number (if Renewal Application):**

**Is this a Collaboration?** If yes, please list ALL Collaborating Institutions/PIs and indicate which ones will also be submitting applications. Also indicate the PI who will be the point of contact and coordinator for the combined research activity.

**The project narrative must include:**

**Project Objectives:**

This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.

The Project Narrative comprises the research plan for the project, it should contain enough background material in the Introduction, including review of the relevant literature, to demonstrate sufficient knowledge of the state of the science. The major part of the narrative should be devoted to a description and justification of the proposed project, including details of the method to be used. It should also include a timeline for the major activities of the proposed project, and should indicate which project personnel will be responsible for which activities.

**Project Timetable:**

This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period. Successful applicants must use this project timetable to report progress.

**Appendix 1: Biographical Sketch.**

Provide a biographical sketch for the project director/principal investigator (PD/PI) and each senior/key person listed in Section A on the R&R Budget form. **Provide the biographical sketch information as an appendix to your project narrative. Do not attach a separate file. The biographical sketch appendix will not count in the project narrative page limitation.** The biographical information (curriculum vitae) for each person must not exceed 2 pages when printed on 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point and must include:

*Education and Training.* Undergraduate, graduate and postdoctoral training, provide institution, major/area, degree and year.

*Research and Professional Experience:* Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

*Publications.* Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically. You may use an abbreviated style such as the *Physical*

*Review Letters* convention for citations (list only the first author). You may also use this convention in the application bibliography.

Patents, copyrights and software systems developed may be provided in addition to or substituted for publications.

*Synergistic Activities.* List no more than 5 professional and scholarly activities related to the effort proposed.

*Identification of Potential Conflicts of Interest or Bias in Selection of Reviewers.* Provide the following information in this section.

Collaborators and Co-editors: List in alphabetical order all persons, including their current organizational affiliation, who are, or who have been, collaborators or co-authors with you on a research project, book or book article, report, abstract, or paper during the 48 months preceding the submission of this application. For publications or collaborations with more than 10 authors or participants, only list those individuals in the core group with whom the Principal Investigator interacted on a regular basis while the research was being done. Also, list any individuals who are currently, or have been, co-editors with you on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application. If there are no collaborators or co-editors to report, state “None.”

Graduate and Postdoctoral Advisors and Advisees: List the names and current organizational affiliations of your graduate advisor(s) and principal postdoctoral sponsor(s) during the last five years. Also, list the names and current organizational affiliations of your graduate students and postdoctoral associates during the past five years.

### **Appendix 2: Current and Pending Support.**

Provide a list of all current and pending support (both Federal and non-Federal) for the Project Director/Principal Investigator(s) (PD/PI) and senior/key persons, including subawardees, for ongoing projects and pending applications. For each organization providing support, show the total award amount for the entire award period (including indirect costs) and the number of person-months per year to be devoted to the project by the senior/key person. **Provide the Current and Pending Support as an appendix to your project narrative. Do not attach a separate file. The Current and Pending Support Appendix will not count in the project narrative page limitation.**

### **Appendix 3: Bibliography & References Cited.**

Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. In order to reduce the number of files

attached to your application, **please provide the Bibliography and References Cited information as an appendix to your project narrative. This appendix will not count in the project narrative page limitation.**

**Appendix 4: Facilities & Other Resources.**

This information is used to assess the capability of the organizational resources, including subawardee resources, available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. In order to reduce the number of files attached to your application, **please provide the Facility and Other Resource information as an appendix to your project narrative. Do not attach a separate file. This appendix will not count in the project narrative page limitation.**

**Appendix 5: Equipment.**

List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. **Provide the Equipment information as an appendix to your project narrative. Do not attach a separate file. This appendix will not count in the project narrative page limitation.**

**Appendix 6: Other Attachment.**

If you need to elaborate on your responses to questions 1-5 on the “Other Project Information” document, **please provide this information as an appendix to your project narrative. Do not attach a separate file. This appendix will not count in the project narrative page limitation.**

**Do not attach any of the requested appendices described above as files for fields 9, 10, 11, and 12, instead follow the above instructions to include the information as appendices to the project narrative file (these appendices will not count in the project narrative page limitation).**

**3. RESEARCH AND RELATED BUDGET.**

Complete the Research and Related Budget form in accordance with the instructions on the form and the following instructions. You must complete a separate budget for each year of support requested. The form will generate a cumulative budget for the total project period. You must complete all the mandatory information on the form before the NEXT PERIOD button is activated. You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this FOA (See PART IV, G).

**Budget Justification (Field K on the form).**

Provide the required supporting information for the following costs (See R&R Budget instructions): equipment; domestic and foreign travel; participant/trainees; material and supplies; publication; consultant services; ADP/computer services; subaward/consortium/contractual; equipment or facility rental/user fees; alterations and renovations; and indirect cost type. Provide any other information you wish to submit to justify your budget request. **Attach a single budget justification file for the entire project period in Field K.** The file automatically carries over to each budget year.

#### **4. R&R SUBAWARD BUDGET ATTACHMENT(S) FORM.**

**Budgets for Subrecipients, other than DOE FFRDC Contractors.** You must provide a separate cumulative R&R budget for each subrecipients that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (whichever is less). If you are selected for award, you must submit a multi-year budget for each of these subrecipients. Download the R&R Budget Attachment from the R&R SUBAWARD BUDGET ATTACHMENT(S) FORM and e-mail it to each subsubrecipient that is required to submit a separate budget. After the Subsubrecipient has e-mailed its completed budget back to you, attach it to one of the blocks provided on the form. Use up to 10 letters of the subsubrecipient's name (plus.xfd) as the file name (e.g., ucla.xfd or energyres.xfd).

#### **5. PROJECT/PERFORMANCE SITE LOCATION(s)**

Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), identify the site location(s) in the blocks provided.

**Note that the Project/Performance Site Congressional District is entered in the format of the 2 digit state code followed by a dash and a 3 digit Congressional district code, for example VA-001. Hover over this field for additional instructions.**

Use the Next Site button to expand the form to add additional Project/Performance Site Locations.

#### **6. SF-LLL Disclosure of Lobbying Activities.**

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

### Summary of Required Forms/Files

Your application must include the following documents:

| Name of Document   | Format | Attach to |
|--|--------|-----------|
| <b>SF 424 (R&amp;R)</b>  | Form   | N/A       |
| <b>RESEARCH AND RELATED Other Project Information</b>          | Form   | N/A       |
| Project Summary/Abstract                                       | PDF    | Field 7   |
| Project Narrative, including required appendices               | PDF    | Field 8   |
| <b>RESEARCH &amp; RELATED BUDGET</b>                           | Form   | N/A       |
| Budget Justification   | PDF    | Field K   |
| <b>PROJECT/PERFORMANCE SITE LOCATION(S)</b>                    | Form   | N/A       |
| <b>SF-LLL Disclosure of Lobbying Activities, if applicable</b> | Form   | N/A       |

#### **D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.**

If selected for award, DOE reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Representation of Limited Rights Data and Restricted Software, if applicable
- Commitment Letter from Third Parties Contributing to Cost Sharing, if applicable

#### **E. SUBMISSION DATES AND TIMES.**

- 1. Letter of Intent Due Date:** Not Applicable
- 2. Preapplication Due Date:** Not Applicable
- 3. Formal Applications.**

Formal applications submitted in response to this Funding Opportunity Announcement must be received by **November 15, 2011, 11:59 PM Eastern Time**, to permit timely consideration of awards. **You are encouraged to transmit your application well before the deadline. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

## **F. INTERGOVERNMENTAL REVIEW.**

This program is not subject to Executive Order 12372 Intergovernmental Review of Federal Programs.

## **G. FUNDING RESTRICTIONS.**

Cost Principles. Costs must be allowable, allocable, and reasonable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600 and 2 CFR 215. The Cost Principles for commercial organizations are located in FAR 31.2.

Pre-award Costs. Recipients may charge to an award resulting from this FOA pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600 and 2 CFR 215. Recipients must obtain the prior approval of the awarding agency / contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period.

Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs if for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

## **H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS.**

### **1. Where to Submit.**

**APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD.**

Submit electronic applications through the "Apply for Grants" function at [www.Grants.gov](http://www.Grants.gov). If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 or send an email to [support@grants.gov](mailto:support@grants.gov).

### **2. Registration Process.**

You must COMPLETE the one-time registration process (all steps) before you can submit your first application through Grants.gov. We recommend that you start this process at least three weeks before the application due date. It may take 21 days or more to complete the entire process. Use the Grants.gov Organizational Registration Checklists at <http://www.grants.gov/assets/OrganizationRegCheck.pdf> to guide you through the process.

**IMPORTANT:** During the CCR registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called "Marketing Partner Identification Number" (MPIN). When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e., Grants.gov registration).

You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately. Remember you have to update your CCR registration annually.

### **3. Application Receipt Notices**

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of four e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. The titles of the four e-mails are:

Number 1 - Grants.gov Submission Receipt Number

Number 2 - Grants.gov Submission Validation Receipt for Application Number

Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number

Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number

## **Part V - APPLICATION REVIEW INFORMATION**

### **A. CRITERIA.**

#### **1. Initial Review Criteria.**

Prior to a comprehensive merit evaluation, DOE will perform an initial review in accordance with 10 CFR 605.10(b) to determine that (1) the applicant is eligible for the award; (2) the information required by the FOA has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the funding opportunity announcement.

#### **2. Merit Review Criteria.**

Applications will be subjected to scientific merit review (peer review) and will be evaluated against the following evaluation criteria which are listed in descending order of importance codified at 10 CFR 605.10(d):

1. Scientific and/or Technical Merit of the Project;
2. Appropriateness of the Proposed Method or Approach;
3. Competency of Applicant's Personnel and Adequacy of Proposed Resources; and
4. Reasonableness and Appropriateness of the Proposed Budget.

The evaluation process will include program policy factors such as the relevance of the proposed research to the terms of the FOA and the agencies' programmatic needs. Note that external peer reviewers are selected with regard to both their scientific expertise and the absence of conflict-of-interest issues. Both Federal and non-Federal reviewers may be used, and submission of an application constitutes agreement that this is acceptable to the investigator(s) and the submitting institution.

### **B. REVIEW AND SELECTION PROCESS.**

#### **1. Merit Review.**

Applications that pass the initial review will be subjected to a formal merit review and will be evaluated based on the criteria codified at 10 CFR Part 605.10(d) in accordance with the guidance provided in the "Office of Science Merit Review System for Financial Assistance." This Merit Review System is available at: <http://www.sc.doe.gov/grants/merit.asp>.

#### **2. Selection.**

The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available.

#### **3. Government Discussions and Award.**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR Part 600 and 605; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

**C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES.**

DOE is striving to make **awards within 6 months**. The time interval begins on the date applications are due or the date the application is received. It is anticipated that selections will be completed by the winter of 2011 and awards will be made before the end of FY 2012.

## **Part VI - AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES.**

#### **1. Notice of Selection.**

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Part IV.G with respect to the allowability of pre-award costs.)

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

#### **2. Notice of Award.**

An Assistance Agreement issued by the contracting officer is the authorizing award document. It normally includes, either as an attachment or by reference: 1. Special Terms and Conditions; 2. Applicable program regulations, if any; 3. Application as approved by DOE/NNSA; 4. DOE assistance regulations at 10 CFR Part 600; 5. National Policy Assurances to Be Incorporated As Award Terms; 6. Budget Summary; and 7. Federal Assistance Reporting Checklist, which identifies the reporting requirements.

For grants and cooperative agreements made to universities, non-profits, and other entities subject to Title 2 CFR, the Award also includes the Research Terms and Conditions located at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.**

#### **1. Administrative Requirements.**

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR Part 600 and 10 CFR Part 605 (See: <http://ecfr.gpoaccess.gov>). Grants and cooperative agreements made to universities, non-profits and other entities subject to Title 2 CFR are subject to the Research Terms and Conditions located on the National Science Foundation web site at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>.

#### **DUNS and CCR Requirements**

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR, Part 25 (See: <http://ecfr.gpoaccess.gov>). Prime awardees must keep their data at CCR current. Subawardees at all tiers must obtain DUNS numbers and provide the DUNS to the prime awardee before the subaward can be issued.

## **Subaward and Executive Reporting**

Additional administrative requirements necessary for DOE grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR, Part 170. (See: <http://ecfr.gpoaccess.gov>). Prime awardees must register with the new FSRS database and report the required data on their first tier subawardees. Prime awardees must report the executive compensation for their own executives as part of their registration profile in the CCR.

## **2. Special Terms and Conditions and National Policy Requirements.**

### **Special Terms and Conditions and National Policy Requirements.**

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>. The National Policy Assurances to Be Incorporated As Award Terms are located at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf>.

### **Intellectual Property Provisions.**

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at <http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>.

## **C. REPORTING.**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F4600.2, attached to the award agreement. For a sample Checklist, see <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Awards Forms.

## **PART VII - QUESTIONS/AGENCY CONTACTS**

### **A. QUESTIONS.**

Questions regarding the content of the FOA must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to view responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf). DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

**Applications submitted through FedConnect will not be accepted.**

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). DOE cannot answer these questions.

### **B. AGENCY CONTACT:**

**GENERAL INQUIRIES ABOUT THIS FOA SHOULD BE DIRECTED TO:**

#### **Administrative Contact:**

Questions about program rules should be sent to [sc.hepfoa@science.doe.gov](mailto:sc.hepfoa@science.doe.gov)

#### **Technical/Scientific Program Contact:**

Questions regarding the specific program areas/technical requirements can be directed to the technical contacts listed for each program within the FOA.

## **PART VIII - OTHER INFORMATION**

### **A. MODIFICATIONS.**

Notices of any modifications to this FOA will be posted on Grants.gov and the FedConnect portal. You can receive an email when a modification or an announcement message is posted by registering with FedConnect as an interested party for this FOA. It is recommended that you register as soon after release of the FOA as possible to ensure you receive timely notice of any modifications or other announcements. More information is available at <http://www.fedconnect.net>.

### **B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE.**

DOE reserves the right, without qualification, to reject any or all applications received in response to this FOA and to select any application, in whole or in part, as a basis for negotiation and/or award.

### **C. COMMITMENT OF PUBLIC FUNDS.**

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

### **D. PROPRIETARY APPLICATION INFORMATION.**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

“The data contained in pages \_\_\_\_\_ of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government’s right to use or disclose data obtained without restriction from any source, including the applicant.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

## **E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL.**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

## **F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM.**

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See “Notice of Right to Request Patent Waiver” in paragraph G below.)

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE’s own needs or to insure the commercialization of technology developed under a DOE agreement.

## **G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER.**

Applicants may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this announcement, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784, <https://cms.doe.gov/node/12613>.

Domestic small businesses and domestic nonprofit organizations will receive the patent rights clause at 37 CFR 401.14, i.e., the implementation of the Bayh-Dole Act. This clause permits domestic small business and domestic nonprofit organizations to retain title to subject inventions. Therefore, small businesses and nonprofit organizations do not need to request a waiver.

## **H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES.**

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those

which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

## **I. AVAILABILITY OF FUNDS**

Funds are not presently available for this award. The Government's obligation under this award is contingent upon the availability of appropriated funds from which payment for award purposes can be made. No legal liability on the part of the Government for any payment may arise until funds are made available to the Contracting Officer for this award and until the awardee receives notice of such availability, to be confirmed in writing by the Contracting Officer