

**DEPARTMENT OF ENERGY  
OFFICE OF SCIENCE  
BASIC ENERGY SCIENCES**



**DATA SCIENCE FOR DISCOVERY IN CHEMICAL AND  
MATERIALS SCIENCES**

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER:  
DE-FOA-0002082**

**FOA TYPE: AMENDMENT 000001  
CFDA NUMBER: 81.049**

<b>FOA Issue Date:</b>	<b>February 7, 2019</b>
<b>Submission Deadline for Letters of Intent:</b>	<b>N/A</b>
<b>Submission Deadline for Pre-Applications:</b>	<b>March 8, 2019 at 5:00 PM Eastern Time A Pre-Application is required</b>
<b>Pre-Application Response Date:</b>	<b>April 12, 2019</b>
<b>Submission Deadline for Applications:</b>	<b>May 22, 2019 at 5:00 PM Eastern Time</b>

This Amendment 000001 is to reflect the change dates of the Pre-Application Response date and Submission Deadline for Applications.

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## **UPDATES AND REMINDERS**

### RECOMMENDATION

The Department of Energy (DOE) Office of Science (SC) encourages you to register in all systems as soon as possible. You are also encouraged to submit pre-applications, and applications well before the deadline.

### PRE-APPLICATION REVIEW

Pre-applications will be comparatively reviewed by DOE SC program managers to determine which pre-applications may yield the most competitive applications. Interested lead applicants are required to submit a pre-application in accordance with the instructions provided in Section IV.B.2, and to receive notification from DOE that they are encouraged to submit an application. Applications received from an applicant who has not submitted the required pre-application, or who has received notification from DOE that they are discouraged from submitting an application may be declined without further review.

### AVOIDING ERRORS

The following advice is compiled from actual experiences of applicants for SC financial assistance awards.

- Please ensure that the research narrative is comprised of one and only one Portable Document Format (PDF) file, including all appendices, when it is attached to the SF-424 (R&R) form.
- When using the PAMS website at <https://pamspublic.science.energy.gov>, please avoid using the back-arrow button in your web browser to navigate.
- Please ensure that the application contains no personally identifiable information (PII).
- Please ensure that the budget is calculated using the applicable negotiated indirect cost and fringe benefit rates.

### GRANTS.GOV WORKSPACE

Applications submitted through Grants.gov at <https://www.Grants.gov> must be submitted through a “Workspace.” Workspace permits members of a team to simultaneously work on their application in an online collaborative environment. Application forms may exist as both online webforms and downloadable forms. More information is available at <https://www.grants.gov/web/grants/applicants/workspace-overview.html>.

### DATA MANAGEMENT PLAN

Applications submitted under this FOA are subject to the Office of Science Statement on Digital Data Management, published at <https://science.energy.gov/funding-opportunities/digital-data-management/>. Compliance with this statement is detailed in Part IV of this FOA.

## ACKNOWLEDGMENT OF FEDERAL SUPPORT

SC published guidance about how its support should be acknowledged at <https://science.energy.gov/funding-opportunities/acknowledgements/>.

## **Section I – FUNDING OPPORTUNITY DESCRIPTION**

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

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

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### **STATUTORY AUTHORITY**

Public Law 95-91, US Department of Energy Organization Act

Public Law 109-58, Energy Policy Act of 2005

### **APPLICABLE REGULATIONS**

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, codified at 2 CFR 200

U.S. Department of Energy Financial Assistance Rules, codified at 2 CFR 910

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

### **SUMMARY**

The DOE SC program in Basic Energy Sciences (BES) announces its interest in receiving new applications in Data Science for Knowledge Discovery for Chemical and Materials Research with the aim of advancing the use of modern data science approaches (artificial intelligence, machine learning, graph theory, uncertainty quantification, etc.) to accelerate discovery in chemical and materials sciences. This funding opportunity is the first in this topical area sponsored by BES.

The program will support Single Investigator/Small Group efforts (up to \$500,000 per year) for research with a focus on applying data science approaches and tools for experimental, theoretical/computational, or synergistic experimental/theoretical/computational research in areas supported by BES. Although the research may involve the development of new data science approaches, the focus of the effort should be on advancing understanding of fundamental properties and processes in chemical and materials systems.

## SUPPLEMENTARY INFORMATION

### BACKGROUND

Data science combines computer science, applied mathematics, and statistics with domain science to discover new knowledge from often complex (such as unstructured) data sets generated from experimental and/or computational studies. As part of data science, machine learning and artificial intelligence methods are rapidly evolving and leading to more accurate predictions and trustworthy decisions and actions. Thus, these methods are being applied widely in society. While scientific research has benefited greatly in many areas such as the chemical and materials sciences as well as bioinformatics, medicine, drug discovery, systems control, astronomy and particle physics, many opportunities remain for data science to accelerate the rate of fundamental discovery for complex chemical processes and materials. Recent public reports outline some of the emerging opportunities, such as the National Academies report titled [Data Science: Opportunities to Transform Chemical Sciences and Engineering](#); some of the DOE-BES [Basic Research Needs Workshops](#); the NSF-sponsored report on [Framing the Role of Big Data and Modern Data Science in Chemistry](#); and the multi-agency sponsored report on the [Materials Acceleration Platform: Accelerating Advanced Energy Materials Discovery by Integrating High-Throughput Methods with Artificial Intelligence](#). These reports and other publications conclude that data science is contributing to a new paradigm in scientific research methodology.

Synergistically complementing theory, experimentation, and simulation, data science has already demonstrated some success in accelerating molecular and materials discovery. The next goal for this methodology is to generate new fundamental understanding of physical and chemical behavior, leading to successful predictions well outside the range of the original data, and possibly forcing modifications to the theoretical approaches. One specific area of interest to BES-supported research is that of complex chemical and materials processes, defined as those whose macroscopic properties, reaction mechanisms and dynamic behavior cannot be predicted from a known combination of the properties of the individual components, hence are outside the scope of existing theoretical approaches. Complex systems involve massive combinatorial spaces and nonlinear processes, which are being slowly tackled with large experimental, theoretical and computational efforts. Data science approaches, in combination with standard experimental and theoretical methods, are expected to accelerate the discovery of fundamentally new chemical mechanisms and material systems with exceptional properties and dynamic behavior, as well as new physical principles or laws. The specific energy-related topics of interest for this FOA, and those excluded, are mentioned below.

### ADDITIONAL REQUIREMENTS

To be considered, an application must address the specific Eligibility requirements in Section III and the Review Criteria in Section V. In addition, applications must:

- Focus on innovative applications of modern data science approaches (artificial intelligence, machine learning, graph theory, uncertainty quantification, etc.) to the research of complex energy-relevant chemical and materials systems to develop new and/or more accurate description of emergent behavior, processes, and mechanisms. A priority outcome from this research should be novel, robust, data-driven, hypothesis-based models that lead to improved

understanding. Use of these data models should fill knowledge gaps, correct erroneous predictions based on existing models, extract knowledge from noisy data, and ideally extrapolate beyond the range of the available datasets. Identifying new physical descriptors may be important to manage the complexity of multidimensional datasets and enable inverse or statistically driven design concepts.

- Propose experimental, theoretical/computational, or synergistic experimental/theoretical/computational research that fits within the scope and priorities of core activities within the BES Chemical Sciences, Geosciences, and Biosciences Division and/or Materials Sciences and Engineering Division. PIs are referred to <https://science.energy.gov/bes/research/> for a description of the areas within the mentioned divisions, along with links to Principal Investigator (PI) meetings that provide information on the current portfolios for each area. Of special interest is accurate modeling of the mechanisms of chemical and materials processes under exposure to thermal or radiative environments or driven excitations, with the purpose of predicting long-term dynamics.
- Address at least one of the following topics:
  - Reaction chemistry across multiple scales in complex environments important in geosciences, catalysis, biochemistry or electrochemistry
  - Synthesis science including nucleation, growth and restructuring of hybrid, hierarchical or other complex materials
  - Far from equilibrium phenomena where dynamics is fast, such as in transport and separation in complex systems
  - Behavior of properties and processes in extreme environments (e.g., radiation, corrosion, stress, pressure, temperature, electric and magnetic fields)
  - Discovery of quantum materials and/or their collective, coherent, and strong correlation phenomena

Applicants are referred to relevant Basic Research Needs Workshop reports and the described priority research directions, in particular Quantum Materials, Synthesis Science, Energy and Water, Catalysis Science, and Future Nuclear Energy:

<https://science.energy.gov/bes/community-resources/reports/>.

This FOA will NOT consider proposals in certain topics or areas including:

- Quantum computing or quantum systems for quantum information science; energy storage; ‘omics’ data and systems biology approaches; applied research, such as design or optimization of instruments, devices, tools or processes; an exclusive focus on database development and management; studies demonstrating the feasibility or performance of methods as the main or only goal; developments contributing to proprietary products; and research that could be supported by other programs, such as SBIR/STTR.
- Areas covered by the BES Scientific User Facilities Division, such as the development of data science approaches for reduction or analysis of large volumes of data from scientific user facilities as the main goal.
- Streaming data analytics, data management, visualization, and software and computational technologies such as supported by the Office of Advanced Scientific Computing Research and mentioned in the [FY 2019 Continuation of Solicitation from the Office of Science](#) (pp. 5-6).

The proposed Single Investigator/Small Group efforts should integrate the appropriate types of expertise necessary to advance the state-of-the-art in the basic science of the chosen chemical or material challenges as well as in the application of data science to pursue those challenges. New data science approaches are expected to accelerate discovery, design, synthesis, characterization, modeling, and simulation for materials science and chemistry.

### **Open Science**

SC is dedicated to promoting the values of openness in Federally-supported scientific research, including, but not limited to, ensuring that research may be reproduced and that the results of Federally-supported research are made available to other researchers. These objectives may be met through any number of mechanisms including, but not limited to, data access plans, data sharing agreements, the use of archives and repositories, and the use of various licensing schemes.

The use of the phrase “open-source” does not refer to any particular licensing arrangement, but is to be understood as encompassing any arrangement that furthers the objective of openness.

### **Collaboration**

Collaborative applications, e.g. submissions of identical proposals by different institutions, will not be accepted under this FOA. Group/team efforts must be submitted by the lead institution with subawards to teaming institutions as described below.

## **Section II – AWARD INFORMATION**

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

DOE anticipates awarding grants under this FOA.

DOE will consider funding multi-institution collaborations under this FOA. Entities proposing as a team must designate a lead organization. Pre-applications and applications must be submitted on behalf of the team members by the lead organization and DOE will enter into a prime award relationship with the designated lead organization. Only one pre-application and one application is to be submitted for each team.

### **B. ESTIMATED FUNDING**

It is anticipated that up to \$20,000,000 (approximately \$6,667,000 annually for up to 3-years) will be available under this FOA, contingent on satisfactory peer review and the availability of appropriated funds. Up to 15 awards are anticipated for Single Investigator/Small Group awards under this FOA. Applicants should request project support for three years, with the release of out-year support contingent on adequate progress of the research.

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.

Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

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

DOE anticipates making awards that support individual or a few investigators.

The award size will depend on the merit review, the number of meritorious applications, and the availability of appropriated funds.

Ceiling: \$500,000 per year; Floor: \$150,000 per year

Small group applications from multiple organizations must designate a lead organization. The designated lead organization must perform a greater percentage of the effort, as determined by the budget distribution by institution, than any other partner organization or subawardee.

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

The exact number of awards will depend on the number of meritorious applications and the availability of appropriated funds.

## **E. ANTICIPATED AWARD SIZE**

The award size will depend on the number of meritorious applications and the availability of appropriated funds.

## **F. PERIOD OF PERFORMANCE**

Research Grant Awards are expected to be made for a period of up to three years as befitting the project. Continuation funding (funding for the second and subsequent budget periods) is contingent on: (1) availability of funds appropriated by Congress and future year budget authority; (2) progress towards meeting the objectives of the approved application; (3) submission of required reports; and (4) compliance with the terms and conditions of the award.

## **G. TYPE OF APPLICATION**

DOE will only accept new applications under this FOA.

## **H. VALUE/FUNDING FOR DOE/NNSA NATIONAL LABORATORY CONTRACTORS AND NON-DOE/NNSA FFRDC CONTRACTORS**

For grant awards, the value of, and funding for team members employed by a DOE/National Nuclear Security Administration (NNSA) National Laboratory contractor, a non-DOE/NNSA Federally Funded Research and Development Center (FFRDC) contractor, or another Federal agency's portion of the work will not be included in the award to the successful applicant. DOE will fund a DOE/NNSA National Laboratory contractor through the DOE field work authorization system or other appropriate process and will fund non-DOE/NNSA FFRDC contractors and other Federal agencies through an interagency agreement in accordance with the Economy Act, 31 U.S.C. 1535, or other statutory authority.

## **I. RESPONSIBILITY**

The successful prime applicant/awardee (lead organization) will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to, disputes and claims arising out of any agreement between the applicant and any team member, and/or subawardee.

If a subaward is made to a DOE/NNSA National Laboratory, all Disputes and Claims will be resolved in accordance with the terms and conditions of the DOE/NNSA National Laboratory's management and operating (M&O) contract, as applicable, in consultation between DOE and the prime awardee.

If a subaward is made to another Federal agency or its FFRDC contractor, all Disputes and Claims will be resolved in accordance with the terms and conditions of the interagency agreement in consultation between DOE and the prime awardee.

## Section III – ELIGIBILITY INFORMATION

### A. ELIGIBLE APPLICANTS

All types of applicants are eligible to apply, except 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.

DOE National Laboratories and other Federal agencies are not eligible to receive financial assistance awards under this FOA, but they may be considered as part of an unincorporated consortium as described below. A parallel, companion announcement (LAB 19-2082) is available for applications led by DOE laboratories, including DOE/NNSA Federally Funded Research and Development Center (FFRDC) Contractors.

Applicants that are not domestic organizations should be advised that:

- Individual applicants are unlikely to possess the skills, abilities, and resources required to successfully accomplish the objectives of this FOA. Individual applicants are encouraged to address this concern in their applications and to demonstrate how they will accomplish the objectives of this FOA.
- Non-domestic applicants are advised that successful applications from non-domestic applicants include a detailed demonstration of how the applicant possesses skills, resources, and abilities that do not exist among potential domestic applicants.

Applications from organizations that propose research related to their commercial activity may be declined without merit review.

#### *DOE/NNSA National Laboratory Contractors*

DOE/NNSA National Laboratory Contractor applicants are not eligible for a prime award under this FOA, but may be proposed as a team member on another entity's application if their cognizant DOE/NNSA Contracting Officer provides written authorization. This authorization should be submitted with the application as part of the Budget Justification for DOE/NNSA National Laboratory Contractor File. [This is not required for the National Energy Technology Laboratory because it is a Government Owned/Government Operated (GOGO).] **Please note that failure to provide this authorization may result in rejection of an application prior to merit review.** If a DOE/NNSA National Laboratory Contractor is selected for award, or proposed as a team member, the proposed work will be authorized under the DOE field work authorization system or other appropriate process and performed under the laboratory Contractor's management and operating (M&O) contract, as applicable. The following wording is acceptable for the authorization:

“Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory and will not adversely impact execution of the DOE/NNSA assigned programs at the laboratory.”

## *Non-DOE/NNSA Federal Agencies and their FFRDC Contractors*

Non-DOE/NNSA Federal agencies and their FFRDC contractors are not eligible for a prime award under this announcement, but may be proposed as a team member on another entity's application subject to the following guidelines:

The prime applicant must obtain written authorization for non-DOE/NNSA FFRDC participation. The cognizant Contracting Officer for the Federal agency sponsoring the FFRDC contractor must authorize in writing the participation of the FFRDC contractor on the proposed project and this authorization should be submitted with the application. The written authorization must also contain a determination that the use of a FFRDC contractor is consistent with the contractor's authority under its award and does not place the FFRDC contractor in direct competition with the private sector, in accordance with FAR Part 17.5. **Please note that failure to provide this authorization may result in rejection of an application prior to merit review.** The following wording is acceptable for the authorization:

“Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory and will not adversely impact execution of the (insert agency) assigned programs at the laboratory. This laboratory is authorized to perform the work proposed in the application submitted under DOE Funding Opportunity Announcement DE-FOA-0002082 by the following statutory authority (insert statute name, citation, and section).”

## **B. COST SHARING**

Cost sharing is not required.

## **C. ELIGIBLE INDIVIDUALS**

Individuals with the skills, knowledge, and resources necessary to carry out the proposed research as a Principal Investigator (PI) are invited to work with their organizations to develop an application for assistance. Individuals from underrepresented groups as well as individuals with disabilities are always encouraged to apply for assistance.

## **D. LIMITATIONS ON SUBMISSIONS**

### **Lead PI and Limitation on Number of Applications**

The Lead PI must be employed or have an agreement in place to be hired by the lead organization. **An individual may not be named as the Lead PI on more than one application.** If the proposed Lead PI will not be employed by the lead organization at the time of the award, the application will be deemed non-responsive and will be rejected without further review. Further, if more than one application is received from an applicant identifying the same individual as the Lead PI, DOE will consider only the application (if any) that matches a qualified Pre-Application (as described in Section IV.B.2). The remaining applications will be

deemed non-responsive and rejected without further review. However, there is no restriction on the number of applications in which an individual may participate as a co-Principal Investigator (this is not the Lead Principal Investigator).

There is no limit on the number of pre-applications that can be submitted by an institution as a Lead institution.

## **Section 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 <https://www.grants.gov>, select “Apply for Grants”, and then select “Download Application Package.” Enter the CFDA number (81.049) and/or the funding opportunity number (DE-FOA-0002082) shown on the cover of this document and then follow the prompts to download the application package.

Applications submitted through [www.FedConnect.net](http://www.FedConnect.net) will not be accepted.

### **B. LETTER OF INTENT AND PRE-APPLICATION**

#### **1. Letter of Intent**

Not applicable.

#### **2. Pre-application**

**A pre-application is required.**

PRE-APPLICATION DUE DATE

**March 8, 2019 at 5:00 PM Eastern Time**

ENCOURAGE/DISOURAGE DATE

**April 12, 2019**

A pre-application must be submitted by **date and time shown above**. The pre-application must be submitted electronically through the DOE SC Portfolio Analysis and Management System (PAMS) website <https://pamspublic.science.energy.gov/>.

Entities proposing as a team must designate a lead organization. **Pre-applications must be submitted on behalf of the team members by the lead organization.** Pre-applications will be reviewed as outlined below. DOE will send a response by email to each applicant encouraging or discouraging the submission of an application by **the date shown above**. Applicants who have not received a response regarding the status of their pre-application by this date are responsible for contacting the program to confirm this status. **Only those applicants that receive notification from DOE encouraging an application are encouraged to submit applications.** Other applications may be declined without review.

**Note that an individual can serve as the Lead PI on only one pre-application.** In the event that two or more pre-applications are received with the same individual as the lead PI, the PAMS timestamp will be used to determine the eligible pre-application and all others will be disqualified. There is no limit on the number of proposals that can be submitted by an institution as a Lead institution.

The pre-application attachment must include, at the top of the first page, the following information:

Title of Pre-application  
Lead Principal Investigator Name, Job Title  
Institution  
Lead PI Phone Number, Email Address  
Funding Opportunity Announcement Number: DE-FOA-0002082  
Estimated Annual Budget Request:  
Estimated Annual Budget Request by Each Institution:

Note: All the information above is required. Pre-applications that are missing any of the above will be considered non-responsive and declined without review.

The designated lead organization must perform a greater percentage of the effort, as determined by the budget distribution by institution, than any other partner organization or subawardee. Applications that do not meet this requirement will be non-responsive.

This information above must be followed by a clear and concise description of the objectives and technical approach of the proposed research, including discussion of how the application will meet the requirements of this FOA. The pre-application may not exceed three pages, with a minimum text font size of 11 point and margins no smaller than one inch on all sides. Figures and references, if included, must fit within the three-page limit.

The pre-application must describe how the research will advance research described in Section I of the FOA, Supplementary Information. Applicants must describe how the research fits within the scope and priorities of the BES research divisions and are encouraged to review the descriptions of the BES Core Research Activities which can be found on the BES website at: <https://science.energy.gov/bes/research/>.

**The information described below on participating investigators, collaborators, advisors and advisees is required and does not count towards the three page limit for the pre-application.** Failure to include this information will result in the pre-application being discouraged from submitting an application.

1. On a separate page, the pre-application must include a list of the names and institutional affiliations of all participating investigators, including funded collaborators and consultants on the proposed project (one name per line with institutional affiliation, i.e., last name, first name, institution – no titles are needed).
2. On a separate page(s), for all funded individuals, provide a single list (one name per line with institutional affiliation, i.e., last name, first name, institution – no titles are needed) of collaborative investigators and co-authors of the past 48 months, co-editors of the past 24 months, past graduate and postdoctoral advisors/advisees, and close associations. **Do not include individuals from the investigators' home institutions**, as these individuals would not be asked to review the application regardless of their engagement as a collaborator/co-author.

## PRE-APPLICATION REVIEW

Federal Program Managers will evaluate all pre-applications to determine their responsiveness to the requirements of the FOA and their competitiveness within a scientific topic. The review will be based on the following criteria:

1. Responsiveness to the objectives of the FOA.
2. Scientific and technical merit.
3. Appropriateness of the proposed research approaches.
4. Likelihood of scientific impact.

The review will be conducted by no less than three federal program managers chosen for their topical knowledge and diversity of perspective. Reviews will be comparative for pre-applications within topical areas with priority given to scientifically innovative and forward-looking basic research with the highest likelihood of success as an application, including consideration of BES programmatic priorities. The results of the review will be documented.

Applicants with the highest rated pre-applications will be encouraged to submit applications; others will be discouraged from submitting applications. Upon request, feedback from the comparative review will be provided after the deadline for the receipt of applications.

SC is committed to ensuring that a sufficient number of applicants will be encouraged to submit applications to foster a competitive merit review of the applications. DOE expects to allow approximately 30 applications, with the exact number based on the review. The intent in discouraging submission of certain applications is to save the time and effort of applicants in preparing and submitting applications with a negligible likelihood of success.

The PI will receive an automated notification when the pre-application is encouraged or discouraged. The DOE SC Portfolio Analysis and Management System (PAMS) will send an email to the PI from [PAMS.Autoreply@science.doe.gov](mailto:PAMS.Autoreply@science.doe.gov), and the status of the pre-application will be updated at the PAMS website <https://pamspublic.science.energy.gov/>. Notifications are sent as soon as the decisions to encourage or discourage are finalized.

## PRE-APPLICATION SUBMISSION

It is important that the pre-application be a single file with extension .pdf, .docx, or .doc. The filename must not exceed 50 characters. The pre-application must be submitted electronically through the DOE SC Portfolio Analysis and Management System (PAMS) website <https://pamspublic.science.energy.gov/>. The PI and anyone submitting on behalf of the PI must register for an account in PAMS before it will be possible to submit a pre-application. All PIs and those submitting pre-applications on behalf of PIs are encouraged to establish PAMS accounts as soon as possible to avoid submission delays.

You may use the Internet Explorer, Firefox, Google Chrome, or Safari browsers to access PAMS.

**Please see Section IV, Part I, 4, DOE SC Portfolio Analysis and Management System (PAMS), below, for instructions about how to register in PAMS.**

**Submit Your Pre-Application:**

- Create your pre-application (called a preproposal in PAMS) outside the system and save it as a file with extension .docx, .doc, or .pdf. Make a note of the location of the file on your computer so you can browse for it later from within PAMS.
- Log into PAMS and click the Proposals tab. Click the “View / Respond to Funding Opportunity Announcements” link and find the current announcement in the list. Click the “Actions/Views” link in the Options column next to this announcement to obtain a dropdown menu. Select “Submit Preproposal” from the dropdown.
- On the Submit Preproposal page, select the institution from which you are submitting this preproposal from the Institution dropdown. If you are associated with only one institution in the system, there will only be one institution in the dropdown.
- Note that you must select one and only one PI per preproposal; to do so, click the “Select PI” button on the far right side of the screen. Find the appropriate PI from the list of all registered users from your institution returned by PAMS. (Hint: You may have to sort, filter, or search through the list if it has multiple pages.) Click the “Actions” link in the Options column next to the appropriate PI to obtain a dropdown menu. From the dropdown, choose “Select PI.”
- If the PI for whom you are submitting does not appear on the list, it means he or she has not yet registered in PAMS. For your convenience, you may have PAMS send an email invitation to the PI to register in PAMS. To do so, click the “Invite PI” link at the top left of the “Select PI” screen. You can enter an optional personal message to the PI in the “Comments” box, and it will be included in the email sent by PAMS to the PI. You must wait until the PI registers before you can submit the preproposal. Save the preproposal for later work by clicking the “Save” button at the bottom of the screen. It will be stored in “My Preproposals” for later editing.
- Enter a title for your preproposal.
- Select the appropriate technical contact from the Program Manager dropdown.
- To upload the preproposal file into PAMS, click the “Attach File” button at the far right side of the screen. Click the “Browse” (or “Choose File” depending on your browser) button to search for your file. You may enter an optional description of the file you are attaching. Click the “Upload” button to upload the file.
- At the bottom of the screen, click the “Submit to DOE” button to save and submit the preproposal to DOE.
- Upon submission, the PI will receive an email from the PAMS system <[PAMS.Autoreply@science.doe.gov](mailto:PAMS.Autoreply@science.doe.gov)> acknowledging receipt of the preproposal.

You are encouraged to register for an account in PAMS at least a week in advance of the preproposal submission deadline so that there will be no delays with your submission.

**WARNING:** The PAMS website at <https://pampspublic.science.energy.gov> will permit you to edit a previously submitted pre-application in the time between your submission and the deadline. If you choose to edit, doing so will remove your previously submitted version from consideration. If you are still editing at the time of the deadline, you will not

have a valid submission. Please pay attention to the deadline.

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9 AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submission and inquiries about this FOA should reference **DE-FOA-0002082**.

Pre-applications submitted outside PAMS will not be considered. Pre-applications may not be submitted through grants.gov or www.FedConnect.net.

## **C. GRANTS.GOV APPLICATION SUBMISSION AND RECEIPT PROCEDURES**

This section provides the application submission and receipt instructions for applications to SC. Please read the following instructions carefully and completely.

### **1. Electronic Delivery**

SC is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. SC requires applicants to submit their applications online through Grants.gov.

### **2. How to Register to Apply through Grants.gov**

a. Instructions: Read the instructions below about registering to apply for SC funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

Organizations must have a Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this funding opportunity, then you may begin with step 3, Create a Grants.gov Account, listed below.

Creating a Grants.gov account can be completed online in minutes, but DUNS and SAM registrations may take several weeks. Therefore, an organization’s registration should be done in sufficient time to ensure it does not impact the entity’s ability to meet required application submission deadlines.

Complete organization instructions can be found on Grants.gov here:  
<https://www.grants.gov/web/grants/applicants/organization-registration.html>

1) *Obtain a DUNS Number*: All entities applying for funding, including renewal funding, must have a DUNS Number from Dun & Bradstreet (D&B). Applicants must enter the DUNS Number in the data entry field labeled “Organizational DUNS” on the SF-424 form. For more detailed instructions for obtaining a DUNS Number, refer to:

<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

2) *Register with SAM*: All organizations applying online through Grants.gov must register with SAM at <https://www.sam.gov>. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. For more detailed instructions for registering with SAM, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

3) *Create a Grants.gov Account*: The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.grants.gov/web/grants/applicants/registration.html>

4) *Add a Profile to a Grants.gov Account*: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/registration/add-profile.html>

5) *EBiz POC Authorized Profile Roles*: After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

6) *Track Role Status*: To track your role request, refer to: <https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>

b. *Electronic Signature*: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; **this step is often missed and it is crucial for valid and timely submissions.**

### **3. How to Submit an Application to SC via Grants.gov**

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different

webforms within an application. For each FOA, you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/web/grants/applicants/apply-for-grants.html>

1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

2) Complete a Workspace: Add participants to the workspace, complete all the required forms, and check for errors before submission.

a. Adobe Reader: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace so that they will appear similar to other Standard forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>

b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) Track a Workspace: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission.

For additional training resources, including video tutorials, refer to:

<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant

opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist SC with tracking your issue and understanding background information on the issue.

#### **4. Timely Receipt Requirements and Proof of Timely Submission**

Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant AOR will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. Applicant AORs will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When SC successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and may not be considered for funding by SC.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

#### **D. CONTENT AND APPLICATION FORMS**

##### APPLICATION PREPARATION

You must submit the application through Grants.gov at <https://www.grants.gov/>, using either the online webforms or downloaded forms. (Additional instructions are provided in [Section IV, Part C](#) of this FOA.)

You are required to use the compatible version of Adobe Reader software to complete a [Grants.gov](#) Adobe application package. To ensure you have the [Grants.gov](#) compatible version of Adobe Reader, visit the software compatibility page at <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>.

You must complete the mandatory forms and any applicable optional forms (e.g., Disclosure of Lobbying Activities (SF-LLL)) in accordance with the instructions on the forms and the additional instructions below.

Files that are attached to the forms must be PDF files unless otherwise specified in this FOA. Attached PDF files must be plain files consisting of text, numbers, and images without editable fields, signatures, passwords, redactions, or other advanced features available in some PDF-compatible software. Do not use PDF portfolios or binders.

Please note the following restrictions that apply to the names of all files attached to your application:

- Please limit file names to 50 or fewer characters
- Do not attach any documents with the same name. All attachments must have a unique name.
- Please use only the following characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Attachments that do not follow this rule may cause the entire application to be rejected or cause issues during processing.

#### LETTERS

Letters of organizational commitment are required for each organization participating as a team member. Letters stating commitment to the project are required of any unfunded collaborator. (See Appendix 7: Letters of Commitment)

Letters of recommendation are discouraged and will not be reviewed by DOE.

#### RESUBMISSION OF APPLICATIONS

Applications submitted under this FOA may be withdrawn from consideration at any time. In the time interval between when the applicant submits the application and when DOE makes the application available to merit reviewers, the application Applications submitted under this FOA may be withdrawn from consideration by using the PAMS website at <https://pamspublic.science.energy.gov>. Applications may be withdrawn at any time between when the applicant submits the application and when DOE makes the application available to merit reviewers. Such withdrawals take effect immediately and cannot be reversed. Please exercise due caution. After the application is made available to merit reviewers, the applicant may contact the DOE program office identified in this FOA to request that it be withdrawn.

After an application is withdrawn, it may be resubmitted, if this FOA is still open for the submission of applications. Such resubmissions will only count as one submission if this FOA restricts the number of applications from an applicant.

Note that there may be a delay between the application's submission in Grants.gov and when it is available to be withdrawn in PAMS. SC will usually consider the last submission, according to its Grants.gov timestamp, to be the intended version. Please consult with your program manager to resolve any confusion about which version of an application should be considered.

## IMPROPER CONTENTS OF APPLICATIONS

Applications submitted under this FOA will be stored in controlled-access systems, but they may be made publicly available if an award is made. As such, it is critical that applicants follow these guidelines:

- Do not include information subject to any legal restriction on its open distribution, whether classified, export control, or unclassified controlled nuclear information.
- Do not include sensitive and protected personally identifiable information, including social security numbers, birthdates, citizenship, marital status, or home addresses. Pay particular attention to the content of biographical sketches and curriculum vitae.
- Do not include letters of support from Federal officials.
- Do not include letters of support on Federal letterhead. Letters that are not letters of support (such as letters confirming access to sites, facilities, equipment, or data; or letters from cognizant contracting officers) may be on Federal letterhead.
- Clearly mark all proprietary or trade-secret information.

## CHANGE OF AWARDEE INSTITUTION

If an awardee chooses to relinquish an award made under this FOA to permit the transfer of the award to a new institution, the new institution must submit an application under the then-available SC “annual” or “open” 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 is available on the DOE Financial Assistance Forms Page at <https://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Certifications and Assurances.

## DUNS AND EIN NUMBERS (FIELDS 5 AND 6)

The DUNS and Employer Identification Number (EIN) fields on the SF-424 (R&R) form are used in PAMS to confirm the identity of the individual or organization submitting an application.

- Enter each number as a nine-digit number.
- Do not use hyphens or dashes.
- SC does not use the twelve-digit EIN format required by some other agencies.
- SC does not use the DUNS+4 format.

## TYPE OF APPLICATION (FIELD 8)

A **new** application is one in which DOE support for the proposed research is being requested for the first time.

Please answer “yes” to the question “Is this application being submitted to other agencies?” if substantially similar, identical, or closely related research objectives are being submitted to

another Federal agency. Indicate the agency or agencies to which the similar objectives have been submitted.

## 2. Research and Related Other Project Information

Complete questions in fields 1 through 6 of the SF-424 Research and Related Other Project Information form.

### **Note regarding question 4.a. and 4.b.:**

If any environmental impact, positive or negative, is anticipated, indicate “yes” in response to question 4.a., “potential impact – positive or negative - on the environment.” Disclosure of the impact should be provided in response to question 4.b. First indicate whether the impact is positive or negative and then identify the area of concern (e.g., air, water, exposure to radiation, etc.). Should the applicant have any uncertainty, they should check “yes.”

DOE understands the phrase in field 4.a., “potential impact ... negative” to apply if the work described in the application could potentially have any of the impacts listed in (1) through (5) of 10 CFR 1021, Appendix B, Conditions that Are Integral Elements of the Classes of Action in Appendix B. (<http://www.ecfr.gov>)

Additionally, for actions which could have any other adverse impacts to the environment or have any possibility for adverse impacts to human health (e.g., use of human subjects, Biosafety Level 3-4 laboratory construction/operation, manufacture or use of certain nanoscale materials which are known to impact human health, or any activities involving transuranic or high level radioactive waste, or use of or exposure to any radioactive materials beyond de minimis levels), applicants should indicate a “negative” impact on the environment.

Lastly, 1) if there would be extraordinary circumstances (i.e., scientific or public controversy) related to the significance of environmental effects (10 CFR 1021.410 (b)(2)), 2) if the work is connected to other actions with potentially significant impacts (10 CFR 1021.410 (b)(3)), or 3) if the work is related to other nearby actions with the potential for cumulatively significant impacts (10 CFR 1021.410 (b)(3)), applicants should indicate a “negative” impact on the environment.

The bulk of your application will consist of files attached to the Research and Related Other Project Information form. The files must comply with the following instructions:

### PROJECT SUMMARY/ABSTRACT (FIELD 7 ON THE FORM)

The project summary/abstract is a summary of the proposed activity suitable for distribution to the public and sufficient to permit potential reviewers to identify conflicts of interest. It must be a self-contained document. Provide the project title, name of the applicant (Lead PI), the PIs, the

objectives of the project, a description of the project, including methods to be employed, and the potential impact of the project (i.e., benefits, outcomes). A sample is provided below:

<p>A Really Great Idea</p> <p>A. Smith, Lead Institution (Lead Principal Investigator) A. Brown, Institution (Principal Investigator) A. Jones, Institution (Principal Investigator)</p> <p>Text of abstract</p>
--

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.”

If an application is recommended for award, the project summary will be used in preparing a public abstract about the award. Award abstracts and titles form a Government document that describes the project and justifies the expenditure of Federal funds in light of the DOE and SC mission statements at <https://energy.gov/mission> and <https://science.energy.gov/about/>.

- Do not include any proprietary or sensitive business information.
- DOE may use the abstract may to prepare public reports about supported research.

#### DOE COVER PAGE

(PART OF PROJECT NARRATIVE ATTACHED TO FIELD 8 ON THE FORM)

The application narrative must begin with a cover page that will not count toward the project narrative page limitation. The cover page must include the following items:

- The project title
- Applicant/Institution:
- Street Address/City/State/Zip:
- Postal Address:
- Lead PI name, telephone number, email:
- Administrative Point of Contact name, telephone number, email:
- Funding Opportunity FOA Number: DE-FOA-0002082
- DOE/SC Program Office: Basic Energy Sciences
- PAMS Preproposal (Pre-application) tracking number:

The lead applicant/awardee/recipient/organization must be the same as on the required pre-application. **If an application is received for which the lead organization has changed since submission of the pre-application, then the application may be rejected without further review.** The Lead PI should not be changed unless unavoidable (discuss with the program manager) and only minor edits should be made, if necessary, to the title.

On separate pages, also not counted towards the page limitation for the narrative, as a supplement to the cover page, include

1. A list of all principal investigators with institution (postdoctoral staff and support staff need not be listed by name)
2. A table that lists the budget allocated to all partner institutions. Provide the total costs of the budget request in each year for each institution and totals for all rows and columns. **If an application is received in which the lead organization is not performing a greater percentage of the effort than each of the other institutional partners, team members, or subawardees, as determined by the budget, the application will be deemed non-responsive and rejected without further review.**

**Important Instructions to the Sponsored Research Office of Submitting Institutions:** SC requires that you create one single PDF file that contains the DOE Cover Page, project narrative, biographical sketch, current and pending support, bibliography and references cited, facilities and other resources, equipment, data management plan, and other attachments. This single PDF file must be attached in Field 8 on the Grants.gov form. Do not attach any of the items listed in this paragraph separately in any other field in Grants.gov. If you do, these additional attachments will not become part of the application in PAMS.

#### PROJECT NARRATIVE (FIELD 8 ON THE FORM)

The project narrative **must not exceed 20 pages**. The narrative should provide 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. Merit reviewers will only consider the number of pages specified in the first sentence of this paragraph. This page limit does not apply to the Cover Page and the associated principal investigator list and budget summary table; detailed Budget Page(s), Budget Justification, biographical material, publications and references, and appendices, each of which may have its own page limit.

Do not include any Internet addresses (URLs) that provide supplementary or additional information that constitutes a part of the application. Merit reviewers are not required to access Internet sites; however, Internet publications in a list of references will be treated identically to print publications. See Section VIII, Part D for instructions on how to mark proprietary application information. To attach a Project Narrative, click “Add Attachment.”

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. There should be no ambiguity about which personnel will perform particular parts of the project, and the time at which these activities will take place.

**Background/Introduction:** Explanation of the importance and relevance of the proposed work in the context of relevant literature.

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

**Proposed Research and Methods:** Identify the hypotheses to be tested and details of the methods to be used.

**Management Plan and Timeline of Activities:** For all proposals, this section should include a timeline for all major research tasks. Note that letters of commitment are required for all funded partner institutions and unfunded collaborators (Appendix 7). For small group, multi-investigator research, this section should also describe the management structure, how effective collaborations among the participants will be fostered, how integration of experimental and theoretical efforts (if both are included in the research) will be attained.

**Project Performance Site(s): Required for teams involving more than one institution.** Identify and describe the site(s) where the work will be performed. Work sites at all partner institutions should be briefly described. Appendix 4 should include detailed information about facilities, equipment, and capabilities available for the research. Costs for new construction (including new buildings or additions to existing buildings) will not be allowed in the award.

**Do not attach any of the requested appendices described below as files for fields 9, 10, 11, and 12 in Grants.gov. Follow the below instructions to include the information as appendices in the single, bundled project narrative file.**

#### APPENDIX 1: BIOGRAPHICAL SKETCH

Provide a biographical sketch for the Lead PI and other PIs listed in Section A on the R&R Budget form.

As part of the sketch, provide information that can be used by reviewers to evaluate the PI's potential for leadership within the scientific community. Examples of information of interest are invited and/or public lectures, awards received, scientific program committees, conference or workshop organization, professional society activities, special international or industrial partnerships, reviewing or editorship activities, or other scientific leadership experiences.

- 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:

The biographical information (curriculum vitae) must include the following items within its page limit:

- **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. Patents, copyrights and software systems developed may be provided in addition to or substituted for publications. An abbreviated style such as the Physical Review Letters (PRL) convention for citations (list only the first author) may be used for publications with more than 10 authors.
- **Synergistic Activities:** List no more than 5 professional and scholarly activities related to the effort proposed.

In addition, DOE requires information to identify individuals who are conflicted with or potentially biased (favorably or unfavorably) against the investigators. Include this information in Appendix 8 as a single list for all PIs.

**Personally Identifiable Information:** Do not include sensitive and protected personally identifiable information including social security numbers, birthdates, citizenship, marital status, or home addresses. Do not include information that a merit reviewer should not make use of.

#### APPENDIX 2: CURRENT AND PENDING SUPPORT

Provide a list of all current and pending support (both Federal and non-Federal) for the PI and senior/key persons, including subawardees, for ongoing projects and pending applications. List all sponsored activities or awards requiring a measurable commitment of effort, whether paid or unpaid.

For every activity, list the following items:

- The sponsor of the activity or the source of funding
- The award or other identifying number
- The title of the award or activity
- The lead PI of the award or activity
- The total cost or value of the award or activity, including direct and indirect costs. For pending proposals, provide the total amount of requested funding.
- The total cost or value of funds supporting the individual submitting the current and pending support
- The award period (start date – end date).
- The person-months of effort per year being dedicated to the award or activity
- Briefly describe the research being performed and explicitly identify any overlaps or synergies with the proposed research.

Provide the Current and Pending Support as an appendix to your project narrative. Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.

- Do not attach a separate file.
- This 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. For research areas where there are routinely more than ten coauthors of archival publications, you may use an abbreviated style such as the Physical Review Letters (PRL) convention for citations (listing only the first author). For example, your paper may be listed as, “A Really Important New Result,” A. Aardvark et. al. (MONGO Collaboration), PRL 999. 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.

Provide the Bibliography and References Cited 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 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, Computer, Office, 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. For proposed investigations requiring access to experimental or computational user facilities maintained by institutions other than the applicant, please summarize the plans for accessing these capabilities and past experience with these or similar facilities.

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: DATA MANAGEMENT PLAN

Provide a Data Management Plan (DMP) that addresses the following requirements:

1. DMPs should describe whether and how data generated in the course of the proposed research will be shared and preserved. If the plan is not to share and/or preserve certain data, then the plan must explain the basis of the decision (for example, cost/benefit considerations, other parameters of feasibility, scientific appropriateness, or limitations discussed in #4). At a minimum, DMPs must describe how data sharing and preservation will enable validation of results, or how results could be validated if data are not shared or preserved.
2. DMPs should provide a plan for making all research data displayed in publications resulting from the proposed research open, machine-readable, and digitally accessible to the public at the time of publication. This includes data that are displayed in charts, figures, images, etc. In addition, the underlying digital research data used to generate the displayed data should be made as accessible as possible to the public in accordance with the principles stated in the Office of Science Statement on Digital Data Management (<https://science.energy.gov/funding-opportunities/digital-data-management>). This requirement could be met by including the data as supplementary information to the published article, or through other means. The published article should indicate how these data can be accessed.
3. DMPs should consult and reference available information about data management resources to be used in the course of the proposed research. In particular, DMPs that explicitly or implicitly commit data management resources at a facility beyond what is conventionally made available to approved users should be accompanied by written approval from that facility. In determining the resources available for data management at Office of Science User Facilities, researchers should consult the published description of data management resources and practices at that facility and reference it in the DMP. Information about other Office of Science facilities can be found at <https://science.energy.gov/user-facilities/>.
4. DMPs must protect confidentiality, personal privacy, Personally Identifiable Information, and U.S. national, homeland, and economic security; recognize proprietary interests, business confidential information, and intellectual property rights; avoid significant negative impact on innovation, and U.S. competitiveness; and otherwise be consistent with all applicable laws, and regulations. There is no requirement to share proprietary data.

DMPs will be reviewed as part of the overall SC research proposal merit review process. Applicants are encouraged to consult the SC website for further information and suggestions for how to structure a DMP: <https://science.energy.gov/funding-opportunities/digital-data-management>

- Do not attach a separate file.
- This appendix will not count in the project narrative page limitation.

## APPENDIX 7: LETTERS OF COMMITMENT

If applicable, a single organizational letter of commitment is required from each organization participating as a team member. Each organizational letter of commitment is limited to one page, must be specific to the application, and must be signed by a person authorized to commit the

participating organization to a legally binding agreement for this project. A signature block with the name and title of the signing official should be included in the letters. (For DOE National Laboratories, the person authorized to legally commit the institution to participate in the proposal will be a senior laboratory official. If this letter is signed by a person who is not authorized to commit the national lab to the research, the application will be declined without peer review.)

If applicable, a letter of commitment must be provided by each unfunded collaborator.

- Do not attach a separate file.
- This appendix will not count in the project narrative page limitation

#### APPENDIX 8: LIST OF COLLABORATORS

To identify potential conflicts of interest or bias in selection of reviewers, for all PIs on the proposal, please provide a **single list in alphabetical order (last name, first name, institution – do not include titles or roles)** of potential conflicts. Do NOT include anyone from a partner institution since reviewers would NOT be considered from these institutions. Include:

- All persons who are, or who have been, collaborators or co-authors of papers, book or book articles, reports, or abstracts, 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 PI interacted on a regular basis while the research was being done.
- Include any individuals who are currently, or have been, co-editors with any PI on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application.
- Include graduate and postdoctoral advisors and past advisees, including the names and current organizational affiliations of the PIs' graduate advisor(s) and principal postdoctoral sponsor(s) as well as the names and current organizational affiliations of past graduate students and postdoctoral associates.

#### APPENDIX 9: OTHER ATTACHMENT

If you need to elaborate on your responses to questions 1-6 on the "Other Project Information" document, please provide the Other Attachment information as an appendix to your project narrative. Information not easily accessible to a reviewer may be included in this appendix, but do not use this appendix to circumvent the page limitations of the application. Reviewers are not required to consider information in this appendix.

- Do not attach a separate file.
- This appendix will not count in the project narrative page limitation.
- **Follow the above instructions to include the information as appendices to the project narrative file.**
- **These appendices will not count toward the project narrative's page limitation.**
- **Do not attach any files to fields 9, 10, 11, or 12.**

### 3. Research And Related Budget

Complete the Research and Related Budget form in accordance with the instructions on the form (Activate Help Mode to see instructions) 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 Section IV, Part G).

The following advice will improve the accuracy of your budget request:

- Funds requested for personnel (senior, key, and other) must be justified as the product of their effort on the project and their institutional base salary.
- Funds requested for fringe benefits must be calculated as the product of the requested salary and, if present, the negotiated fringe benefit rate contained in an institution’s negotiated indirect cost rate agreement.
- Funds requested for indirect costs must be calculated using the correct indirect cost base and the negotiated indirect cost rate.
- You are encouraged to include the rate agreement used in preparing a budget as a part of the budget justification.

If you are proposing indirect costs and do not already have an Indirect Cost Rate Agreement with your Cognizant Federal Agency or documentation of rates accepted for estimating purposes by DOE or another Federal agency, it is recommended that you begin preparing an Indirect Cost Rate Proposal to be submitted, upon request, to the DOE contract specialist/grants management specialist who will evaluate your application if you are selected for award.

For your convenience in preparing an Indirect Cost Rate proposal, a link to applicant resources, including indirect rate model templates, has been provided below:

<https://science.energy.gov/sbir/applicant-resources/grant-application/>.

#### Budget Fields

Section A Senior/Key Person	For each Senior/Key Person, enter the requested information. List personnel, base salary, the number of months that person will be allocated to the project, requested salary, fringe benefits, and the total funds requested for each person. The requested salary must be the product of the base salary and the effort. Include a written narrative in the budget justification that justifies the need for requested personnel.
Section B Other Personnel	List personnel, the number of months that person will be allocated to the project, requested salary fringe benefits, and the total funds requested for each person. Include a written narrative in the budget justification that fully justifies

	the need for requested personnel.
Section C Equipment	For the purpose of this budget, equipment is designated as an item of property that has an acquisition cost of \$5,000 or more and an expected service life of more than one year. (Note that this designation applies for proposal budgeting only and differs from the DOE definition of capital equipment.) List <b>each</b> item of equipment separately and justify each in the budget justification section. Do not aggregate items of equipment. Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose office equipment is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research.
Section D Travel	For purposes of this section only, travel to Canada or to Mexico is considered domestic travel. In the budget justification, list each trip's destination, dates, estimated costs including transportation and subsistence, number of staff traveling, the purpose of the travel, and how it relates to the project. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). To qualify for support, attendance at meetings or conferences must enhance the investigator's capability to perform the research, plan extensions of it, or disseminate its results. Domestic travel is to be justified separately from foreign travel.
Section E Participant/Trainee Support Costs	If applicable, submit training support costs. Educational projects that intend to support trainees (precollege, college, graduate and post graduate) must list each trainee cost that includes stipend levels and amounts, cost of tuition for each trainee, cost of any travel (provide the same information as needed under the regular travel category), and costs for any related training expenses. Participant costs are those costs associated with conferences, workshops, symposia or institutes and breakout items should indicate the number of participants, cost for each participant, purpose of the conference, dates and places of meetings and any related administrative expenses. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).
Section F Other Direct Costs	<ul style="list-style-type: none"> <li>• <b>Materials and Supplies:</b> Enter total funds requested for materials and supplies in the appropriate fields. In the budget justification, indicate general categories such as glassware, and chemicals, including an amount for each category (items not identified under "Equipment"). Categories less than \$1,000 are not required to be itemized. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</li> <li>• <b>Publication Costs:</b> Enter the total publication funds requested. The proposal budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work</li> </ul>

	<p>conducted under the award. In the budget justification, include supporting information. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</p> <ul style="list-style-type: none"> <li>• <b>Consultant Services:</b> Enter total funds requested for all consultant services. In the budget justification, identify each consultant, the services he/she will perform, total number of days, travel costs, and total estimated costs. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</li> <li>• <b>ADP/Computer Services:</b> Enter total funds requested for ADP/Computer Services. The cost of computer services, including computer-based retrieval of scientific, technical and education information may be requested. In the budget justification, include the established computer service rates at the proposing organization if applicable. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</li> <li>• <b>Subawards/Consortium/Contractual Costs:</b> Enter total costs for all subawards/consortium organizations and other contractual costs proposed for the project. In the budget justification, justify the details.</li> <li>• <b>Equipment or Facility Rental/User Fees:</b> Enter total funds requested for Equipment or Facility Rental/User Fees. In the budget justification, identify each rental/user fee and justify. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</li> <li>• <b>Alterations and Renovations:</b> Enter total funds requested for Alterations and Renovations. In the budget justification, itemize by category and justify the costs of alterations and renovations, including repairs, painting, removal or installation of partitions, shielding, or air conditioning. Where applicable, provide the square footage and costs.</li> <li>• <b>Other:</b> Add text to describe any other Direct Costs not requested above. Enter costs associated with “Other” item(s). Use the budget justification to further itemize and justify.</li> </ul>
Section G Direct Costs	This represents Total Direct Costs (Sections A through F)
Section H Other Indirect Costs	Enter the Indirect Cost information for each field. Only four general categories of indirect costs are allowed/requested on this form, so please consolidate if needed. Include the cognizant Federal agency and contact information if using a negotiated rate agreement.
Section I Total Direct and Indirect Costs	This is the total of Sections G and H

## BUDGET JUSTIFICATION (FIELD L ON THE FORM)

Provide the required supporting information for the following costs (See R&R Budget instructions): equipment; domestic and foreign travel; participant/trainees; materials 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 L.** The file automatically carries over to each budget year.

You may wish to include the indirect cost rate agreement as a part of the budget justification.

### 4. R&R Subaward Budget Attachment(s) Form

**Budgets for Subawardees:** You must provide a separate R&R budget for each subawardee. Download the R&R Budget Attachment from the R&R SUBAWARD BUDGET ATTACHMENT(S) FORM and either e-mail it to each subawardee that is required to submit a separate budget or use the collaborative features of Workspace. After the subawardee has either e-mailed its completed budget back to you or completed it within Workspace, attach it to one of the blocks provided on the form. Use up to 10 letters of the subawardee's name (plus.pdf) as the file name (e.g., ucla.pdf or energyres.pdf). Filenames must not exceed 50 characters.

If the project involves more subawardees than there are places in the SUBAWARD BUDGET ATTACHMENT(S) FORM, the additional subaward budgets may be saved as PDF files and appended to the Budget Justification attached to Field L.

Applicants should consult their local information technology ("IT") support resources for any necessary assistance in converting the forms downloaded from Grants.gov into plain PDF files that can be combined into one non-Portfolio PDF file (the Budget Justification).

Ensure that any files received from subawardees are the PDF files extracted from the SUBAWARD BUDGET ATTACHMENT(S) FORM. Errors will be created if a subawardee sends a prime applicant a budget form that was not extracted from the application package.

Note: If an application proposes subawards to a DOE National Laboratory, a Federal agency, or another Federal agency's FFRDC, the value of such proposed subawards will be deducted from any resulting award: Those classes of organizations must be paid directly by SC. However, the details of such proposed budgets are an essential for understanding and analyzing the proposed research.

The proposed budget must contain complete budgets for all years of all subawardees (universities, national laboratories, industrial partners, etc.). Failure to include this information will result in the proposal being declined without review.

## 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. Disclosure of Lobbying Activities (SF-LLL)

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."

## 7. Summary of Required Forms/Files

Your application must include the following items:

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 L
<b>PROJECT/PERFORMANCE SITE LOCATION(S)</b>	Form	N/A
<b>SF-LLL Disclosure of Lobbying Activities, if applicable</b>	Form	N/A

## E. 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
- Environmental Information

Applicants that are not institutions of higher education, that request indirect costs, and that do not already have an Indirect Cost Rate Agreement with their Cognizant Federal Agency or documentation of rates accepted for estimating purposes by DOE or another Federal agency, are advised to begin preparing an Indirect Cost Rate Proposal for submission, upon request, to the DOE contract specialist/grants management specialist who will evaluate your application if you are selected for award.

## **F. SUBMISSION DATES AND TIMES**

### **1. Letter of Intent Due Date**

Not applicable

### **2. Pre-application Due Date**

See Section IV.B.2 Pre-application

You are encouraged to submit your pre-application well before the deadline.

### **3. Application Due Date**

May 22, 2019 at 5:00 PM Eastern Time

You are encouraged to transmit your application well before the deadline.

### **4. Late Submissions**

Delays in submitting pre-applications and applications may be unavoidable. DOE has accepted late submissions when applicants have been unable to make timely submissions because of widespread technological disruptions or significant natural disasters. DOE has made accommodations for incapacitating or life-threatening illnesses and for deaths of immediate family members. Other circumstances may or may not justify late submissions. Unacceptable justifications include the following:

- Failure to begin submission process early enough.
- Failure to provide sufficient time to complete the process.
- Failure to understand the submission process.
- Failure to understand the deadlines for submissions.
- Failure to satisfy prerequisite registrations.
- Unavailability of administrative personnel.

You are responsible for beginning the submission process in sufficient time to accommodate reasonably foreseeable incidents, contingencies, and disruptions.

Applicants must contact the Program Office/Managers listed in this FOA to discuss the option of a late submission. Contacting the Program Office/Managers after the deadline may reduce the likelihood that a request will be granted. DOE notes that not all requests for late submission will be approved.

## **G. INTERGOVERNMENTAL REVIEW**

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

## **H. FUNDING RESTRICTIONS**

Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

**Cost Principles:** Costs must be allowable, allocable and reasonable in accordance with the applicable Federal cost principles referenced in 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulation).

**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 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulation). Recipients must obtain the prior approval of the 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.

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

### **1. Systems to Register In**

Applicants must complete a series of registrations and enrollments to submit applications in response to this FOA. Applicants not currently registered with SAM and grants.gov should allow **at least 4 weeks** to complete these requirements.

You should start the process as soon as possible.

You may not be able to use your preferred Internet browser: Each system has its own requirements.

Applicants must obtain a DUNS number at <https://fedgov.dnb.com/webform>.

Applicants must register with SAM at <https://www.sam.gov/>. If you had an active registration in the Central Contractor Registry (CCR), you should have an active registration in SAM. More information about SAM registration for applicants is found at [https://www.sam.gov/sam/transcript/Quick\\_Guide\\_for\\_Grants\\_Registrations.pdf](https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf). SAM maintains a complete user guide at [https://www.sam.gov/sam/SAM\\_Guide/SAM\\_User\\_Guide.htm](https://www.sam.gov/sam/SAM_Guide/SAM_User_Guide.htm).

Applicants must provide a Taxpayer Identification Number (TIN) to complete their registration in SAM.gov. An applicant's TIN is an EIN assigned by the Internal Revenue Service (IRS). In limited circumstances, a Social Security Number (SSN) assigned by the Social Security Administration (SSA) may be used as a TIN. You may obtain an EIN from the IRS at <https://www.irs.gov/businesses/small-businesses-self-employed/apply-for-an-employer-identification-number-ein-online>.

DOE discourages the use of a SSN as a TIN. You are encouraged to obtain a TIN from the IRS using the website listed above.

Applicants must register with FedConnect at [www.fedconnect.net](http://www.fedconnect.net). The full, binding version of assistance agreements will be posted to FedConnect.

Recipients must register with the Federal Funding Accountability and Transparency Act Subaward Reporting System at <https://www.fsrs.gov>. This registration must be completed before an award may be made: you are advised to register while preparing your application.

## **2. Registering in Grants.gov**

Applicants must register with grants.gov, following the instructions at <https://www.grants.gov/web/grants/applicants/registration.html>.

## **3. Where to Submit an Application**

You must submit the application through Grants.gov at <https://www.grants.gov/>, using either the online webforms or downloaded forms. (Additional instructions are provided in Section IV A of this FOA.)

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).

Please ensure that you have read the applicable instructions, guides, help notices, frequently asked questions, and other forms of technical support on grants.gov.

#### 4. DOE SC Portfolio Analysis and Management System (PAMS)

After you submit your application through grants.gov, the application will automatically transfer into the Portfolio Analysis and Management System (PAMS) for processing by the DOE SC. Many functions for grants and cooperative agreements can be done in PAMS, which is available at <https://pamspublic.science.energy.gov>.

You will want to “register to” your application: a process of linking yourself to the application after it has been submitted through grants.gov and processed by DOE.

You must register in PAMS to submit a pre-application or a letter of intent.

You may use the Internet Explorer, Firefox, Google Chrome, or Safari browsers to access PAMS.

Notifications sent from the PAMS system will come from the PAMS email address <[PAMS.Autoreply@science.doe.gov](mailto:PAMS.Autoreply@science.doe.gov)>. Please make sure your email server/software allows delivery of emails from the PAMS email address to yours.

Registering to PAMS is a two-step process; once you create an individual account, you must associate yourself with (“register to”) your institution. Detailed steps are listed below.

##### 1. CREATE PAMS ACCOUNT:

To register, click the “Create New PAMS Account” link on the website <https://pamspublic.science.energy.gov/>.

- Click the “No, I have never had an account” link and then the “Create Account” button.
- You will be prompted to enter your name and email address, create a username and password, and select a security question and answer. Once you have done this, click the “Save and Continue” button.
- On the next page, enter the required information (at least one phone number and your mailing address) and any optional information you wish to provide (e.g., FAX number, website, mailstop code, additional email addresses or phone numbers, Division/Department). Click the “Create Account” button.
- Read the user agreement and click the “Accept” button to indicate that you understand your responsibilities and agree to comply with the rules of behavior for PAMS.
- PAMS will take you to the “Having Trouble Logging In?” page. (If you have been an SC merit reviewer or if you have previously submitted an application, you may already be linked to an institution in PAMS. If this happens, you will be taken to the PAMS home page.)

##### 2. REGISTER TO YOUR INSTITUTION:

- Click the link labeled “Option 2: I know my institution and I am here to register to the institution.” (Note: If you previously created a PAMS account but did not register to an institution at that time, you must click the Institutions tab and click the “Register to Institution” link.)

- PAMS will take you to the “Register to Institution” page.
- Type a word or phrase from your institution name in the field labeled, “Institution Name like,” choose the radio button next to the item that best describes your role in the system, and click the “Search” button. A “like” search in PAMS returns results that contain the word or phrase you enter; you do not need to enter the exact name of the institution, but you should enter a word or phrase contained within the institution name. (If your institution has a frequently used acronym, such as ANL for Argonne National Laboratory or UCLA for the Regents of the University of California, Los Angeles, you may find it easiest to search for the acronym under “Institution Name like.” Many institutions with acronyms are listed in PAMS with their acronyms in parentheses after their names.)
- Find your institution in the list that is returned by the search and click the “Actions” link in the Options column next to the institution name to obtain a dropdown list. Select “Add me to this institution” from the dropdown. PAMS will take you to the “Institutions – List” page.
- If you do not see your institution in the initial search results, you can search again by clicking the “Cancel” button, clicking the Option 2 link, and repeating the search.
- If, after searching, you think your institution is not currently in the database, click the “Cannot Find My Institution” button and enter the requested institution information into PAMS. Click the “Create Institution” button. PAMS will add the institution to the system, associate your profile with the new institution, and return you to the “Institutions – List” page when you are finished.

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submission and inquiries about this FOA should reference the FOA number on the cover sheet of this document.

## **5. Viewing Submitted Applications**

Each grants.gov application submitted to the DOE SC automatically transfers into PAMS and is subsequently assigned to a program manager. At the time of program manager assignment, the three people listed on the SF-424 (R&R) cover page will receive an email with the subject line, “Receipt of Proposal 0000xxxxxx by the DOE Office of Science.” These three people are the PI (Block 14), Authorized Representative (Block 19), and Point of Contact (Block 5). In PAMS notation, applications are known as proposals, the PI is known as the PI, the Authorized Representative is known as the Sponsored Research Officer/Business Officer/Administrative Officer (SRO/BO/AO), and the Point of Contact is known as the POC.

There will be a period of time between the application’s receipt at grants.gov and its assignment to a DOE SC program manager. Program managers are typically assigned two weeks after applications are due at grants.gov: please refrain from attempting to view the proposal in PAMS until you receive an email providing the assignment of a program manager.

Once the email is sent, the PI, SRO/BO/PO, and POC will each be able to view the submitted proposal in PAMS. Viewing the proposal is optional.

You may use the Internet Explorer, Firefox, Google Chrome, or Safari browsers to access PAMS.

Following are two sets of instructions for viewing the submitted proposal, one for individuals who already have PAMS accounts and one for those who do not.

If you already have a PAMS account, follow these instructions:

1. Log in to PAMS at <https://pamspublic.science.energy.gov/>.
2. Click the “Proposals” tab and click “Access Previously Submitted Grants.gov Proposal.”
3. Enter the following information:
  - Proposal ID: Enter the ten-digit PAMS proposal ID, including the leading zeros (e.g., 00002xxxxx). Do not use the grants.gov proposal number. Use the PAMS number previously sent to you in the email with subject line, “Receipt of Proposal ...”.
  - Email (as entered in grants.gov application): Enter your email address as it appears on the SF424(R&R) Cover Page.
  - Choose Role: Select the radio button in front of the role corresponding to the SF-424 (R&R) cover page. If your name appears in block 19 of the SF-424 (R&R) cover page as the authorizing representative, select “SRO/BO/AO (Sponsored Research Officer/Business Officer/Administrative Officer).” If your name appears in block 14 of the SF424 R&R cover page as the PI, select “Principal Investigator (PI).” If your name appears in block 5 of the SF424 R&R as the point of contact, select “Other (POC).”
4. Click the “Save and Continue” button. You will be taken to your “My Proposals” page. The grants.gov proposal will now appear in your list of proposals. Click the “Actions/Views” link in the options column next to this proposal to obtain a dropdown list. Select “Proposal” from the dropdown to see the proposal. Note that the steps above will work only for proposals submitted to the DOE SC since May 2012.

If you do not already have a PAMS account, follow these instructions:

1. To register, click the “Create New PAMS Account” link on the website <https://pamspublic.science.energy.gov/>.
2. Click the “No, I have never had an account” link and then the “Create Account” button.
3. You will be prompted to enter your name and email address, create a username and password, and select a security question and answer. Once you have done this, click the “Save and Continue” button.
4. On the next page, enter the required information (at least one phone number and your mailing address) and any optional information you wish to provide (e.g., FAX number, website, mailstop code, additional email addresses or phone numbers, Division/Department). Click the “Create Account” button.
5. Read the user agreement and click the “Accept” button to indicate that you understand your responsibilities and agree to comply with the rules of behavior for PAMS.
6. You will be taken to the Register to Institution page. Select the link labeled, “Option 1: My institution has submitted a proposal in grants.gov. I am here to register as an SRO, PI, or POC (Sponsored Research Officer, Principal Investigator, or Point of Contact).”
7. Enter the following information:
  - Proposal ID: Enter the ten-digit PAMS proposal ID, including the leading zeros (e.g., 00002xxxxx). Do not use the grants.gov proposal number. Use the PAMS number

- previously sent to you in the email with subject line, “Receipt of Proposal ...”.
- Email (as entered in grants.gov proposal): Enter your email address as it appears on the SF424(R&R) Cover Page.
  - Choose Role: Select the radio button in front of the role corresponding to the SF-424 (R&R) cover page. If your name appears in block 19 of the SF-424 (R&R) cover page as the authorizing representative, select “SRO/BO/AO (Sponsored Research Officer/Business Officer/Administrative Officer).” If your name appears in block 14 of the SF424 R&R cover page as the PI, select “Principal Investigator (PI).” If your name appears in block 5 of the SF424 R&R as the point of contact, select “Other (POC).”
8. Click the “Save and Continue” button. You will be taken to your “My Proposals” page. The grants.gov proposal will now appear in your list of proposals. Click the “Actions/Views” link in the options column next to this proposal to obtain a dropdown list. Select “Proposal” from the dropdown to see the proposal.

If you were listed as the PI on a prior submission but you have not previously created an account, you may already be listed in PAMS. If this is the case, you will be taken to the PAMS home page after agreeing to the Rules of Behavior. If that happens, follow the instructions listed above under “If you already have a PAMS account...” to access your grants.gov proposal.

The steps above will work only for proposals submitted to the DOE SC since May 2012.

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9 AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submissions and inquiries about this FOA should reference **DE-FOA-0002082**.

## **Section 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 (See Section I, Supplementary Information). In addition to the criteria required by regulation, DOE will apply the following criteria in its initial review of applications: (5) the proposed project is not duplicative of current programmatic work; (6) for multi-institutional applications, the lead institution is performing the largest percentage of the effort as determined by the budget allocations (applications that do not include budget information for all participating institutions will be considered non-responsive); and (7) there is a corresponding, qualified pre-application for the application. Applications that fail to pass the initial review will not be forwarded for merit review and will be eliminated from further consideration.

Be advised that applications with a primary focus on advancing data science (e.g., applied mathematics and algorithm development) without applications to fundamental science issues under investigation by BES-supported researchers are out of the scope of this FOA. All applications must have an encouraged pre-application and must be submitted by the same institution that submitted the pre-application. All applications must have a Data Management Plan. Applications for which the lead institution does not receive the largest percentage of funding compared to partnering institutions will be considered non-responsive.

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

Applications will be subjected to scientific merit review (peer review) and will be evaluated against the following criteria, with the first four listed in descending order of importance as found in 10 CFR 605.10 (d), the SC Financial Assistance Program Rule.

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

In addition to the merit review criteria established by regulation, applications will be evaluated for:

- Adequacy of the Management Plan

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.

The questions below are provided to the merit reviewers to elaborate the criteria established by regulation:

#### SCIENTIFIC AND/OR TECHNICAL MERIT OF THE PROPOSED RESEARCH

- What is the scientific innovation of the proposed research?
- What is the likelihood of achieving valuable and impactful results?
- How does the proposed research advance data science research?
- Is the Data Management Plan suitable for the proposed research?

#### APPROPRIATENESS OF THE PROPOSED METHOD OR APPROACH

- How logical are the hypotheses and how feasible are the research approaches to test these hypotheses?
- How innovative is the proposed method or approach?
- How well does the applicant recognize significant potential problems and consider alternative strategies?

#### COMPETENCY OF APPLICANT'S PERSONNEL AND ADEQUACY OF PROPOSED RESOURCES

- What is the past performance and qualifications of the principal investigator (PI) and the broader team of researchers?
- How does the proposed work take advantage of unique facilities and capabilities?

#### REASONABLENESS AND APPROPRIATENESS OF THE PROPOSED BUDGET

- How adequate are the proposed budget and staffing levels to carry out the proposed research?
- How reasonable and appropriate is the budget for the scope?

#### MANAGEMENT PLAN

- What are the strengths and weaknesses of the application's management plan, including the proposed timeline?
- For small group applications, how will synergy be achieved among the participants, including integration of experimental and theoretical work (if both are included in the proposed research)?

## **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 605.10(d) in accordance with the guidance provided in the "Office of Science Merit Review System for Financial Assistance," which is available at: <https://science.energy.gov/grants/policy-and-guidance/merit-review-system/>.

### **2. Program Policy Factors**

The Selection Official may consider any of the following program policy factors in making the selection, listed in no order of significance:

- Availability of funds
- Relevance of the proposed activity to SC-BES priorities (see <https://science.energy.gov/bes/mse/> and <https://science.energy.gov/bes/csgb/>)
- Ensuring an appropriate balance and diversity for activities within SC-BES programs
- Performance under current/past awards
- Delineation of the scope of the proposed research from other research activities in which the principal investigators are involved, particularly those supported by DOE and by other federal agencies
- Degree of engagement by the lead institution for team proposals

### **3. Selection**

The Selection Official will consider the findings of the merit review and may consider any of the Program Policy Factors described above.

### **4. Review of Risk**

Pursuant to 2 CFR 200.205, DOE will conduct an additional review of the risk posed by applications submitted under this FOA. Such review of risk will include:

- Technical merit of the application,
- Reports and findings from audits performed under 2 CFR 200 or OMB Circular A-133, and
- Systems maintained under 2 CFR 180.

DOE may make use of other publicly available information and the history of an applicant's performance under DOE or other Federal agency awards.

Applicants with no prior performance of DOE awards may be asked to provide information about their financial stability and or their ability to comply with the management standards of 2 CFR 200.

#### **REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE (DECEMBER 2015)**

DOE, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313); The applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM; DOE will consider any written comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in §200.205 Federal awarding agency review of risk posed by applicants.

## **5. Discussions and Award**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to the following: (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 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulation); 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**

It is anticipated that the award selection will be completed by September 2019. It is expected that awards will be made in Fiscal Year 2019.

## **Section VI - AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

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

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

**Non-selected Notification:** 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, the following items: (1) Special Terms and Conditions; (2) Applicable program regulations, if any; (3) Application as approved by DOE; (4) 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulation); (5) National Policy Assurances To Be Incorporated As Award Terms; (6) Budget Summary; (7) General Terms and Conditions; and (8) Federal Assistance Reporting Checklist, which identifies the reporting requirements.

Research awards made under this funding opportunity will be subject to the government-wide Research Terms and Conditions published at [https://www.nsf.gov/pubs/policydocs/rtc/rtcoverlay\\_march17.pdf](https://www.nsf.gov/pubs/policydocs/rtc/rtcoverlay_march17.pdf) and the DOE Agency Specific Standard Research Terms and Conditions published at [https://www.nsf.gov/pubs/policydocs/rtc/agencyspecifics/doe\\_417.pdf](https://www.nsf.gov/pubs/policydocs/rtc/agencyspecifics/doe_417.pdf). These Terms and Conditions will be incorporated in the award by reference.

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

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

The administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulation).

#### **NONDISCLOSURE AND CONFIDENTIALITY AGREEMENTS REPRESENTATIONS (JUNE 2015)**

In submitting an application in response to this FOA the Applicant represents that:

- (1) It **does not and will not** require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.
- (2) It **does not and will not** use any Federal funds to implement or enforce any nondisclosure

and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:

a. *“These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.”*

b. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

c. Notwithstanding provision listed in paragraph (a), a nondisclosure or confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosures to Congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

#### REGISTRATION REQUIREMENTS

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR 25 (See: <https://www.ecfr.gov>). Prime awardees must keep their data in SAM current at <https://www.sam.gov>. SAM is the government-wide system that replaced the Central Contractor Registry (CCR). If you had an active registration in the CCR, you have an active registration in SAM. 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 170. (See: <https://www.ecfr.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 SAM.

#### PROHIBITION ON LOBBYING ACTIVITY

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or

appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 USC 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

## **2. Terms and Conditions**

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at <https://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Terms.

The standard DOE financial assistance intellectual property provisions applicable to various types of recipients are located at:

<https://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>

## **3. National Policy Assurances**

The National Policy Assurances To Be Incorporated As Award Terms are located at <https://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Terms.

## **4. Statement of Substantial Involvement**

Not applicable.

## **5. Additional Conditions**

### CONFERENCE SPENDING (FEBRUARY 2015)

The recipient shall not expend any funds on a conference not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded that would defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the United States Government would otherwise exceed \$20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

### CORPORATE FELONY CONVICTION AND FEDERAL TAX LIABILITY REPRESENTATIONS (MARCH 2014)

In submitting an application in response to this FOA the Applicant represents that:

- It is **not** a corporation that has been convicted of a felony criminal violation under any Federal law within the preceding 24 months,
- It is **not** a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that

is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations the following definitions apply:

- A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

#### PUBLICATIONS

The recipient is expected to publish or otherwise make publicly available the results of the work conducted under any award resulting from this FOA. Publications and other methods of public communication describing any work based on or developed under an award resulting from this FOA must contain an acknowledgment of SC support. The format for such acknowledgments is provided at <https://science.energy.gov/funding-opportunities/acknowledgements/>. The author's copy of any peer-reviewed manuscript accepted for funding must be announced to DOE's Office of Scientific and Technical Information (OSTI) and made publicly available in accordance with the instructions contained in the Reporting Requirements Checklist incorporated in all Assistance Agreements.

#### **C. REPORTING**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. The checklist is available at <https://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Forms.

## Section VII - QUESTIONS/AGENCY CONTACTS

### A. QUESTIONS

Questions relating to the grants.gov 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.

Please only contact the grants.gov help desk for questions related to grants.gov.

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submission and inquiries about this FOA should reference **DE-FOA-0002082**.

Please contact the PAMS help desk for technological issues with the PAMS system.

Questions regarding the specific program areas and technical requirements may be directed to the technical contacts listed for each program within the FOA or below.

Please contact the program staff with all questions not directly related to the grants.gov or PAMS systems.

### B. AGENCY CONTACTS

Grants.gov Customer Support	800-518-4726 (toll-free) <a href="mailto:support@grants.gov">support@grants.gov</a>
PAMS Customer Support	855-818-1846 (toll-free) 301-903-9610 <a href="mailto:sc.pams-helpdesk@science.doe.gov">sc.pams-helpdesk@science.doe.gov</a>
Program Managers Scientific Contact	Dr. Raul Miranda BES, Chemical Sciences, Geosciences, and Biosciences Division 301-903-8014 <a href="mailto:raul.miranda@science.doe.gov">raul.miranda@science.doe.gov</a>  Dr. Matthias Graf BES, Materials Sciences and Engineering Division 301-903-0874 <a href="mailto:matthias.graf@science.doe.gov">matthias.graf@science.doe.gov</a>

## **Section 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 FOA 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 FOAs. More information is available at <https://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**

(a) A DOE financial assistance award is valid only if it is in writing and is signed, either in writing or electronically, by a DOE Contracting Officer.

(b) Recipients are free to accept or reject the award. A request to draw down DOE funds constitutes the Recipient's acceptance of the terms and conditions of this Award.

### **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 agreement 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 USC 5908 provides that title to such inventions vests in the United States, except where 35 USC 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 FOA, 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. For more information, see <https://energy.gov/gc/services/technology-transfer-and-procurement/office-assistant-general-counsel-technology-transf-1>

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.

#### **J. ENVIRONMENTAL, SAFETY AND HEALTH (ES&H) PERFORMANCE OF WORK AT DOE FACILITIES**

With respect to the performance of any portion of the work under this award which is performed at a DOE-owned or controlled site, the recipient agrees to comply with all state and Federal ES&H regulations, and with all other ES&H requirements of the operator of such site.

Prior to the performance on any work at a DOE-Owned or controlled site, the recipient shall contact the site facility manager for information on DOE and site specific ES&H requirements.

The recipient shall apply this provision to all subawardees at any tier.

#### **K. FEDERAL, STATE, AND LOCAL REQUIREMENTS**

With respect to the performance of any portion of the work under this award, the recipient agrees to comply with all applicable local, state, and Federal ES&H regulations. The recipient shall apply this provision to all sub awardees at any tier.

#### **L. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) COMPLIANCE**

If question 4.a. on the "Research and Related Other Project Information" document indicates "potential impact on the environment", or if DOE's own review indicates it, DOE may ask the applicant to provide additional information on those impacts in order to prepare an environmental critique/synopsis per 10 CFR 1021.216. Note that this pre-award environmental critique/synopsis process would be separate from the preparation of a NEPA document such as an environmental impact statement (EIS) or an environmental assessment (EA). If DOE determines the latter documentation is necessary, this process would need to be completed, funded by and with the participation of the awardee, prior to them taking any action on the proposed project that could have adverse environmental effects or that could limit the choice of reasonable alternatives. Note that in most cases, even when additional information is requested, preparation of such NEPA documents is rarely necessary, but DOE has the expectation that the Applicant will disclose the potential, which would serve to initiate dialog with DOE if necessary. The inability to satisfy the NEPA requirements after an award would result in cancellation of the award.