

**DEPARTMENT OF ENERGY
OFFICE OF SCIENCE
HIGH ENERGY PHYSICS**



**U.S.-JAPAN SCIENCE AND TECHNOLOGY COOPERATION
PROGRAM IN HIGH ENERGY PHYSICS**

**DOE NATIONAL LABORATORY PROGRAM ANNOUNCEMENT NUMBER:
LAB 21-2423**

ANNOUNCEMENT TYPE: INITIAL

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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 proposals before the deadline.

CURRENT AND PENDING SUPPORT AND BIOSKETCHES

The instructions for the content of current and pending support and biosketches have changed. Please read the instructions carefully and follow them.

DATA MANAGEMENT PLAN

The Office of Science Statement on Digital Data Management, published at <http://science.osti.gov/funding-opportunities/digital-data-management/>, governs proposals submitted under this Announcement. Compliance is detailed in Section IV of this Announcement.

UNIQUE ENTITY IDENTIFIER (UEI)

The Federal Government is transitioning from the Data Universal Numbering System (DUNS), assigned by Dun and Bradstreet at <https://fedgov.dnb.gov> to the UEI, assigned by the System for Award Management at <https://www.sam.gov>. Information systems including SAM.gov and PAMS (<https://pamspublic.science.energy.gov>) are being updated: Please follow the on-screen instructions or contact each system's Help Desk for additional information.

ACKNOWLEDGMENT OF FEDERAL SUPPORT

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

PUBLIC ACCESS

Awards made under this Announcement are subject to DOE's Public Access Plan (<https://www.energy.gov/downloads/doe-public-access-plan>). Full-text version of scientific publications must be made publicly accessible at no charge to readers.

Checklist for Avoiding Common Errors:

Item	Issue
Page Limits	Strictly followed throughout proposal, including particular attention to: <ul style="list-style-type: none"> - Research Narrative - Appendix 2 Narrative, if any - Biosketches - Data Management Plan(s) (DMPs)
Personally Identifiable Information	None present in the proposal
Research Narrative	Composed of one PDF file including all appendices
Project Summary / Abstract	Name, title and institution of the U.S. and Japanese Principal Investigators and the U.S. Co-Investigators
DOE Title Page	Follow instructions closely
Budget	Use current negotiated indirect cost and fringe benefit rates
Budget Justification (attached to budget)	Justify all requested costs
Biographical Sketches	Follow page limits strictly
Current and Pending Support	Ensure complete listing of all activities including brief abstract of scope of work for all items listed, regardless of the source of support
Data Management Plans (DMP)	<ul style="list-style-type: none"> - If referring to an experiment's DMP, describe the relationship to the proposed research - Include a DMP even if no experimental data is expected

Section I – DOE NATIONAL LABORATORY OPPORTUNITY DESCRIPTION

GENERAL INQUIRIES ABOUT THIS ANNOUNCEMENT SHOULD BE DIRECTED TO:

Technical/Scientific Program Contacts:

For accelerator science and technology inquires:

Dr. L.K. Len

301-903-3233

LK.Len@science.doe.gov

For all other inquires:

Dr. Michael Cooke

301-903-4140

Michael.Cooke@science.doe.gov

SUMMARY

The DOE SC program in High Energy Physics (HEP) hereby announces its interest in bilateral cooperative research activities as part of the U.S.-Japan Science and Technology Cooperation Program in High Energy Physics (“Program”).

SUPPLEMENTARY INFORMATION

Program Objective

This Announcement solicits proposals with scopes of work in HEP that involve substantial collaboration with Japanese investigators.

Supported Activities

Proposals submitted to this U.S.-Japan Laboratory Announcement should support current HEP experiments or technology development of mutual interest to U.S.-Japan collaborations. Seed funding requests for new ideas to incubate and develop new accelerator and detector systems for application in this time scale will also be considered.

“HEP experiments” includes experiments within the Energy, Intensity and Cosmic Frontiers. See <https://science.osti.gov/hep/research/> for a description of these HEP program thrusts.

The research areas supported by this program include:

- Research and development (R&D) to enhance the physics yield of existing or future HEP experiments
- Development of accelerator technology
- Development of detectors for high energy physics experiments.

- Workshops, conferences and/or travel support to incubate and develop new accelerator, detector and experiment concepts.

Please note that the following research areas are not supported by this program:

- R&D devoted to eventual cost reduction of a potential International Linear Collider (ILC). Support for ILC cost-reduction R&D will be provided through mechanisms outside this Announcement.

Limitations of support:

- Proposals that do not involve significant collaboration between U.S. and Japanese investigators will not be supported.
- Support will be provided for cooperative R&D activities only.
- No scientific staff is to be supported with award funds. Proposed budgets must include only costs for technical or engineering staff support, apparatus for R&D, materials and supplies, and travel related to the cooperative activity.
- Theoretical research will not be supported, other than for travel and materials and supplies for participation in workshops, conferences or collaboration meetings devoted to incubating and developing new accelerator, detector and experiment concepts.

Multi-Institutional Teams

In conformance with the Program Objective, each international collaboration will consist of at least one U.S. and one Japanese institution. U.S. institutions will receive their support from DOE while Japanese institutions will receive their support from the Japanese High Energy Accelerator Research Organization (KEK). See “Coordination between DOE and KEK” below.

Within this program, the U.S. component of an international collaboration must be submitted as one proposal. Multi-institutional teams may submit one proposal from a designated lead institution with all other team members proposed as subawards. The lead institution must provide the overall scientific leadership and direction of the U.S. participation in the international collaborative effort. Other Federal agencies, and another Federal agency’s FFRDCs¹ may be proposed as subawardees. Note that the value of any such proposed subaward will be removed from any such prime award: DOE will make separate awards to Federally-affiliated institutions.

Only DOE national laboratories may be designated as the lead institution for a given effort, and therefore only DOE laboratories may apply to this Announcement. Other institutions, whether intuitions of higher education, non-DOE laboratories, or non-lead DOE laboratories must join a DOE laboratory-led effort in order to receive support from this Program.

The U.S. Principal Investigator (U.S. “PI”) will be a member of the lead DOE laboratory. Other U.S. research institutions and/or DOE laboratories will each have a Co-Investigator identified

¹ An authoritative list of all Federally Funded Research and Development Centers (FFRDCs) may be found at <https://www.nsf.gov/statistics/ffrdclist/>

(U.S. “Co-I”) who will be responsible to the U.S. PI for the proposed scope of work performed by that institution.

As an example, if DOE Laboratory A were the lead institution of a given U.S. team, with other collaborating institutions being DOE Laboratory B and Universities C and D, only DOE Laboratory A would submit a proposal for funding of the entire team’s scope of work. The proposal budget would itemize subawards to DOE Laboratory B and to Universities C and D in the “Other Direct Costs” category in the budget page, along with providing complete budgets for each proposed subaward. Laboratory A would be the home institution of the PI, and Laboratory B and Universities C and D would each have a designated Co-I.

Coordination between DOE and KEK

On the same date that DOE issues this Announcement, KEK plans to issue its own solicitation for proposals to support Japanese investigators for engagement in cooperative research activities under the same U.S.-Japan Science and Technology Cooperation Program in High Energy Physics. The agencies’ intent is that a given U.S.-Japan collaboration will have its U.S. (Japanese) Principal Investigators apply to DOE (KEK) for support in the collaborative activity.

All proposals to DOE will be reviewed in accordance with the DOE Office of Science review process; similarly, all proposals to KEK will be reviewed by KEK. Selection of a proposal for award will be made by the agency to which it was submitted. Strategic coordination between the agencies will impact the final selections; it is expected that a majority of proposals selected by DOE will have their Japanese counterpart proposals selected by KEK, and vice versa.

To facilitate DOE-KEK coordination in the final selection process, a U.S.-Japan collaboration’s proposals to DOE and to KEK are to have identical texts in the following sections:

- Project Summary/Abstract
- Cover Page Supplement for Consortia
- Project Narrative

This requirement is called out in this Announcement as well as in the KEK counterpart solicitation. Both agencies intend to conduct separate reviews of the same project and want their separate evaluations to be based on a common narrative.

Therefore, U.S. PIs are strongly encouraged to work with their Japanese colleagues in the preparation of their proposals so that the texts and tables for this Announcement’s Project Summary/Abstract, Cover Page Supplement for Consortia, and Project Narrative are the same as the corresponding sections specified in the KEK solicitation.

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.

Section II – AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT

DOE anticipates awarding laboratory work authorizations under this DOE National Laboratory Program Announcement.

Any awards made under this Announcement will be subject to the provisions of the contract between DOE and the awardee National Laboratory.

B. ESTIMATED FUNDING

DOE anticipates that, subject to the availability of future year appropriations, approximately \$6,000,000 in current and future fiscal year funds will be used to support awards under this Announcement.

Awards are expected to be made for a period of up to three years at a funding level appropriate for the proposed scope, with out-year support contingent on the availability of funds and satisfactory progress.

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

C. MAXIMUM AND MINIMUM AWARD SIZE

The award size will depend on the availability of appropriated funds. The ceiling and floor described in this Announcement represent the expected range of award sizes. Applicants should request sufficient funding to achieve their proposed results.

Ceiling

\$500,000 per year

Floor

\$5,000 per year

D. EXPECTED NUMBER OF AWARDS

Approximately 20 to 30 awards are expected.

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

E. ANTICIPATED AWARD SIZE

It is anticipated that award sizes may range from \$20,000 per year to \$500,000 per year. The DOE award amounts for this Program's FY 2020 selections had a mean of \$82,500 and a median of \$55,000.

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

F. PERIOD OF PERFORMANCE

DOE anticipates making awards with a project period of up to three years.

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 proposal; (3) submission of required reports; and (4) compliance with the terms and conditions of the award.

G. TYPE OF PROPOSAL

DOE will accept new DOE National Laboratory Proposals under this DOE National Laboratory Announcement. Please only submit a PAMS lab technical proposal in response to this Announcement; do not submit a DOE Field Work Proposal (FWP) at this time. SC will request FWPs later from those selected for funding consideration under this Announcement.

Section III – ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS AND TOPICS

This is a DOE National Laboratory-only Announcement. FFRDCs from other Federal agencies are not eligible to submit in response to this Program Announcement.

B. COST SHARING

Cost sharing is not required.

C. ELIGIBLE INDIVIDUALS

Eligible 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 a proposal. Individuals from underrepresented groups as well as individuals with disabilities are always encouraged to apply.

Section IV – PROPOSAL AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST PROPOSAL PACKAGE

Proposal submission instructions are available in this Announcement on the DOE SC Portfolio Analysis and Management System (PAMS). Screenshots showing the steps in DOE National Laboratory proposal submission are available in the PAMS External User Guide, accessible by navigating to <https://pamspublic.science.energy.gov> and clicking on the “PAMS External User Guide” link.

Proposals submitted outside of PAMS will not be accepted.

B. LETTER OF INTENT AND PRE-PROPOSAL

1. Letter of Intent

Not applicable.

2. Pre-proposal

Not applicable.

C. PROPOSAL SUBMISSION AND CONTENT

1. Summary of Proposal Contents

Each DOE National Laboratory proposal will contain the following sections:

- A Cover Page, entered into PAMS as structured data using the on-screen form
- Budget, entered into PAMS as structured data using the PAMS budget form
- Abstract (one page), entered into PAMS as a separate pdf
- Budget justification, entered into PAMS as a separate pdf
- Proposal, combined into a single pdf containing the following information:
 - Proposal Title Page
 - Table of Contents
 - Project Narrative (main technical portion of the proposal, including background/introduction, proposed research and methods, timetable of activities, and responsibilities of key project personnel)
 - Appendix 1: Biographical Sketch(es)
 - Appendix 2: Current and Pending Support
 - Appendix 3: Bibliography and References Cited
 - Appendix 4: Facilities and Other Resources
 - Appendix 5: Equipment
 - Appendix 6: Data Management Plan
 - Appendix 7: Other Attachments (optional)

SUBMISSION INSTRUCTIONS

Completed proposals must be submitted into the DOE SC Portfolio Analysis and Management System (PAMS) at <https://pamspublic.science.energy.gov>.

Important Instructions to the Sponsored Research Office of Submitting Institutions: SC requires that you create one single machine readable PDF file that contains the DOE Title 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 may not be scanned from a printed document and must be uploaded in PAMS.

WARNING: The PAMS website at <https://pamspublic.science.energy.gov> will permit you to edit a previously submitted proposal 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.

PROPOSAL DUE DATE

The proposal due date is printed on the cover of this Announcement.

LETTERS

Neither letters of support nor letters of recommendation will be accepted and are not to be submitted.

2. Abstract

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.

In the tabular format given below, provide the proposal title, and the name, title and institution of the U.S. and Japanese Principal Investigators and the U.S. Co-Investigators. The Abstract should state the objectives of the proposed activities, a description of the proposed activities including methods to be employed, and the potential impact (i.e., benefits, outcomes).

Title of Proposal	<i>Proposal Title</i>
Principal Investigators and U.S. Co-Investigators	<i>Yuki Nakamura, Professor and Japanese PI, U. of X Brian Smith, Senior Scientist and U.S. PI, DOE Lab A Claire Johnson, Professor and Co-I, U. of C Helen Jones, Associate Professor and Co-I, U. of D</i>

Project Summary/ Abstract	<i>The objectives of the proposed work, a description of the proposed work, the methods to be employed to achieve the objectives, and potential impact.</i>
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The project summary must not exceed 1 page when printed using standard letter-size (8.5 x 11 inch) paper with 1 inch margins (top, bottom, left, and right). The font must not be smaller than 11 point.. The one-page project summary/abstract should be placed in a separate, single pdf document and attached on the appropriate screen in PAMS.

If a proposal 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.osti.gov/about/>.

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

3. Budget and Justification

The budget must be submitted into PAMS using the PAMS budget form.

Budgets are required for the entire project period. A budget form should be completed for each budget period of the award, and a cumulative budget form for the entire project period will be populated by PAMS. PAMS will calculate the cumulative budget totals for you.

A written justification of each budget item is to follow the budget pages. The budget justification should be placed in a separate, single pdf document and attached on the appropriate screen in PAMS. Further instructions regarding the budget and justification are given below and in the PAMS software.

4. Proposal

DOE TITLE PAGE
(PART OF PROJECT NARRATIVE)

The following proposal title page information may be placed on a plain page. No form is required. This cover page will not count in the project narrative page limitation.

- The project title:
- Applicant/Institution:
- Street Address/City/State/Zip:
- Postal Address:
- Administrative Point of Contact name, telephone number, email:
- Lead PI name, telephone number, email:
- DOE National Laboratory Announcement Number:

- DOE/SC Program Office:
- DOE/SC Program Office Technical Contact:

TITLE PAGE SUPPLEMENT FOR COLLABORATIVE PROPOSALS
(PART OF PROJECT NARRATIVE)

Provide the following information on a separate page or pages as a Supplement to the Cover Page.

- In the Member List Table, whose format is shown below, list the names, positions and institutional affiliations of all PIs, Co-Is and senior scientists who will be involved in executing the scopes of work, both U.S. and Japanese, within the international collaboration. The U.S. PI and Japanese PI will be the joint points of contact and coordinators for the combined research activity within each nation. This Table should have its own page(s).
- The Budget Requests Table below collects into a single table all individual institutions' budgets. Continuing the example given in Section I, "Multi-Institutional Teams," assume the total project cost listed in DOE Lab A's budget is \$300,000, of which \$50,000, \$40,000 and \$90,000 are to be provided as subawards by DOE Lab A to DOE Lab B, and Universities C and D, respectively. The Budget Requests Table should then list the amounts \$120,000, \$50,000, \$40,000 and \$90,000 for DOE Lab A, DOE Lab B, University C and University D, respectively. The budget total would be listed as \$300,000.
- In addition to these numbers, please provide the collaboration's total multi-institutional request to KEK, broken down into Equipment and Supplies Costs and Travel Costs. These tabulated data are planned to be used by DOE and KEK for coordination purposes.

In the same budget summary table, please provide information, if pertinent, on amounts requested in FY 2022 and FY 2023.

Member List Table (example)

U.S. Collaboration Members			
No.	Name	Affiliation	Position
1	Brian Smith	DOE Lab A	Senior Scientist (PI)
2	Robert Doe	DOE Lab B	Senior Scientist (Co-I)
3	Louise Foret	DOE Lab B	Senior Scientist
4	Claire Johnson	University of C	Professor (Co-I)
5	Helen Jones	University of D	Associate Professor (Co-I)
Japanese Collaboration Members			
No.	Name	Institution	Position
1	Yuki Nakamura	University of X	Professor (PI)
2	Haru Saito	University of W	Professor (Co-I)
3	Takumi Takahasi	University of W	Research Physicist
4	Haruto Shimizu	University of W	Senior Physicist

5	Yuna Tanaka	University of V	Assistant Professor (Co-I)

Budget Table (example)

Budget Request to DOE (in USD)					
Name	Institution	FY 2021 Request	FY 2022 Request	FY2023 Request	
Smith, B.	DOE Lab A	\$120,000	\$140,000	\$	
Doe, R.	DOE Lab B	\$50,000	\$50,000	\$	
Johnson, C.	U. of C	\$40,000	\$60,000	\$	
Jones, H.	U. of D	\$90,000	\$30,000	\$	
TOTAL		\$300,000	\$280,000	\$	
Budget Request to KEK (in kJPY)					
Equipment and Supplies Costs		¥	¥	¥	
Travel Costs		¥	¥	¥	

PROJECT NARRATIVE

The project narrative **must not exceed a page limit of 8 pages** of technical information, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard letter-size (8.5 x 11 inch) 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 Title Page, Budget Page(s), Budget Justification, biographical material, publications and references, and appendices, each of which may have its own page limit defined later in this Announcement.

Proposals with a Project Narrative exceed the 8-page limit may be declined without review at DOE’s sole discretion.

Do not include any Internet addresses (URLs) that provide supplementary or additional information that constitutes a part of the proposal. 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 for instructions on how to mark proprietary proposal information.

The Project Narrative comprises the research plan for the entire collaboration’s proposed full scope of work. 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.

The Project Narrative text should include:

- **Introduction:** An overview with background information that describes the importance and relevance of the proposed work and discusses relevant literature. “Proposed work” refers to the entire collaboration’s full scope of work, not just that of the lead laboratory.
- **Objectives:** This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.
- **Proposed Research and Methods:** A full description of the proposed work and the methods to be used.
- **Timetable of Activities:** Timeline for all major activities including milestones and deliverables.

Under a separate heading of “Separate Institutional Responsibilities,” the Project Narrative is also to briefly describe each institution’s assigned responsibilities within the U.S.-Japan collaboration and the unique scopes of work within the full set of proposed activities. Text in this section does not count toward the 8-page limit on the Project Narrative. Ensure that each scope of work is described in sufficient detail so that it is clear that no two institutions are performing the same scope of work.

APPENDIX 1: BIOGRAPHICAL SKETCH

Provide a biographical sketch for the DOE Laboratory PI, each U.S. team member institutions’ Co I, and each senior/key person as an appendix to your technical narrative.

- 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 letter-size (8.5 x 11 inch) paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point

Detailed instructions may be found in [Section VIII](#) of this Announcement.

WARNING: These instructions have been significantly revised to require disclosure of a variety of potential conflicts of interest or commitment, including participation in foreign government-sponsored talent recruitment programs.

The PI and each senior/key person at the prime applicant and any proposed subaward must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or

domestic; governmental or private-sector; directly supporting the individual's research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All foreign government-sponsored talent recruitment programs must be identified in current and pending support.

APPENDIX 2: CURRENT AND PENDING SUPPORT

Provide a list of all current and pending support for the DOE Laboratory PI, each U.S. team member institutions' Co I, and each and senior/key personnel, including subawardees. 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.

Detailed instructions may be found in [Section VIII](#) of this Announcement.

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, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. For proposed investigations requiring access to experimental user facilities maintained by institutions other than the applicant, please provide a document from the facility manager confirming that the researchers will have access to the facility. 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) as an appendix to the research narrative.

- This appendix should not exceed a page limit of 5 pages including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard letter-size (8.5 x 11 inch) paper with 1 inch margins (top, bottom, left, and right)
- Do not attach a separate file.
- This appendix will not count in the project narrative page limitation.

The standard requirements for a DMP may be found in [Section VIII](#) of this Announcement.

APPENDIX 7: OTHER ATTACHMENT

If you need to elaborate on your responses to the PAMS Cover Page, 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 proposal. 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.

D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS

If selected for award, DOE reserves the right to request additional or clarifying information.

E. SUBMISSION DATES AND TIMES

1. Letter of Intent Due Date

Not applicable.

2. Pre-proposal Due Date

Not applicable.

3. Proposal Due Date

The proposal due date is printed on the cover of this Announcement.

You are encouraged to transmit your proposal well before the deadline. Proposals may be submitted at any time between the publication of this Announcement and the stated deadline.

4. Late Submissions

Delays in submitting letters of intent, pre-proposals, and proposals 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/Manager listed in this Funding Opportunity Announcement to discuss the option of a late submission. Contacting the Program Office/Manager 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.

Section V - PROPOSAL REVIEW INFORMATION

A. CRITERIA

1. Initial Review Criteria

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for the award; (2) the information required by the Program Announcement has been submitted; (3) all mandatory requirements are satisfied; (4) the proposed project is responsive to the objectives of the Program Announcement, and (5) the proposed project is not duplicative of programmatic work. Proposals that fail to pass the initial review will not be forwarded for merit review and will be eliminated from further consideration.

2. Merit Review Criteria

Proposals will be subjected to scientific merit review (peer review) and will be evaluated against the following criteria, listed in descending order of importance.

- 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;
- Reasonableness and Appropriateness of the Proposed Budget; and
- Balance of responsibilities between the U.S. and Japanese components of the bilateral collaboration.

The evaluation process will also include program policy factors such as the relevance of the proposed research to the terms of the DOE National Laboratory Announcement and the agency's programmatic needs, the balance of activities within the program, and the utility of the proposed activities to the broader scientific community. 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 proposal 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:

SCIENTIFIC AND/OR TECHNICAL MERIT OF THE PROPOSED RESEARCH

- What is the scientific innovation of proposed effort?
- How does the proposed work compare with other efforts in its field, both in terms of scientific and/or technical merit and originality?
- How might the results of the proposed work impact the direction, progress, and thinking in relevant scientific fields of research?
- What is the likelihood of achieving influential results?
- Is the Data Management Plan suitable for the proposed research and to what extent does it support the validation of research results?

APPROPRIATENESS OF THE PROPOSED METHOD OR APPROACH

- Does the proposed effort employ innovative concepts or methods?
- How logical and feasible are the approaches?
- Are the conceptual framework, methods, and analyses well justified, adequately developed, and likely to lead to scientifically valid conclusions?
- Does the applicant recognize significant potential problems and consider alternative strategies?

COMPETENCY OF APPLICANT'S PERSONNEL AND ADEQUACY OF PROPOSED RESOURCES

- Does the proposed work take advantage of unique facilities and capabilities?
- What is the past performance of the team?
- How well qualified is the team to carry out the proposed work?
- Are the environment and facilities adequate for performing the proposed effort?

REASONABLENESS AND APPROPRIATENESS OF THE PROPOSED BUDGET

- Are the proposed budget and staffing levels adequate to carry out the proposed work?
- Is the budget reasonable and appropriate for the scope?

BALANCE OF RESPONSIBILITIES BETWEEN THE U.S. AND JAPANESE COLLABORATORS

- Are the responsibilities assigned to the U.S. and Japanese sides of the collaboration well balanced, i.e., are the scopes of work of comparable magnitude, with significant tasks undertaken by both sides?
- Are the contributions by each side of the collaboration synergistic? Are any unique capabilities of either or both sides being utilized to make the proposed scope of work more compelling?

B. REVIEW AND SELECTION PROCESS

1. Merit Review

Proposals that pass the initial review will be subjected to a formal merit review and will be evaluated based on the criteria above.

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 priorities

- Ensuring an appropriate balance of activities within SC programs
- The balance of responsibilities within the bilateral collaboration

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. Discussions and Award

The Government may enter into discussions with a selected applicant for any reason deemed necessary. 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 April 2021. It is expected that awards will be made in Fiscal Year 2021.

DOE is interested in seeing projects supported under this Announcement begin work by August 1, 2021.

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.

Non-selected Notification: Organizations whose proposals have not been selected will be advised as promptly as possible. This notice will explain why the proposal was not selected.

2. Notice of Award

A work authorization/contract modification issued by the contracting officer is the authorizing award document.

B. ADMINISTRATIVE AND POLICY REQUIREMENTS

The following additional policy provisions are applicable to this Announcement. The full text of each provision is in Section VIII of this Announcement and may be accessed by navigating to the hyperlinks below:

[1. Availability of Funds](#)

[2. Commitment of Public Funds](#)

[3. Environmental, Safety and Health \(ES&H\) Performance of Work at DOE Facilities](#)

[4. Evaluation and Administration by Non-Federal Personnel](#)

[5. Federal, State, and Local Requirements](#)

[6. Funding Restrictions](#)

[7. Government Right to Reject or Negotiate](#)

[8. Modification](#)

[9. Proprietary Proposal Information](#)

[10. Publications](#)

C. REPORTING

Annual progress reports from the award investigator will be required and will be due 90 days before the end of each budget year.

Section VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS

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. All submission and inquiries about this DOE National Laboratory Program Announcement should reference the Announcement number printed on the cover.

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 DOE National Laboratory Program Announcement or below.

Please contact the program staff with all questions not directly related to the PAMS system.

B. AGENCY CONTACTS

PAMS Customer Support	855-818-1846 (toll-free) 301-903-9610 sc.pams-helpdesk@science.doe.gov
Program Manager Scientific Contact	For accelerator science and technology inquires: DOE Office of Science, High Energy Physics Dr. L.K. Len 301-903-3233 LK.Len@science.doe.gov For all other inquires: DOE Office of Science, High Energy Physics Dr. Michael Cooke 301-903-4140 Michael.Cooke@science.doe.gov

C. DEPARTMENT OF ENERGY, OFFICE OF INSPECTOR GENERAL HOTLINE:

The Office of Inspector General (OIG) maintains a Hotline to facilitate the reporting of allegations of fraud, waste, abuse, or mismanagement in DOE programs or operations. If you wish to report such allegations, you may call, send a letter, or email the OIG Hotline ighotline@hq.doe.gov. Allegations may be reported by DOE employees, DOE contractors, or the general public. OIG contact information is available at <https://energy.gov/ig/services>.

Section VIII – SUPPLEMENTARY MATERIAL

A. HOW-TO GUIDES

1. How Consortia May be Used

INCORPORATED CONSORTIA

Incorporated consortia, which may include domestic and/or foreign entities, are eligible to apply for funding as a prime recipient (lead organization) or subawardee (team member).

Each incorporated consortium must have an internal governance structure and a written set of internal rules. Upon request, the consortium must provide a written description of its internal governance structure and its internal rules to the DOE contracting officer. There is no requirement that subawards be formalized into incorporated consortia.

UNINCORPORATED CONSORTIA

Unincorporated consortia (team arrangements), which may include domestic and foreign entities, must designate one member of the consortium to serve as the prime recipient/consortium representative (lead organization). There is no requirement that subawards be formalized into unincorporated consortia.

Upon request, unincorporated consortia must provide the DOE contracting officer with a collaboration agreement, commonly referred to as the articles of collaboration, which sets out the rights and responsibilities of each consortium member. This agreement binds the individual consortium members together and should discuss, among other things, the consortium's:

- Management structure;
- Method of making payments to consortium members;
- Means of ensuring and overseeing members' efforts on the project;
- Provisions for members' cost sharing contributions; and
- Provisions for ownership and rights in intellectual property developed previously or under the agreement.

Note that a consortium is applied for in one application and results in one award with subawards to consortia members. Multi-institutional teams may, if permitted under this Announcement, submit collaborative applications with each institution submitting its own application with an identical research narrative, resulting in multiple awards to the collaborating institutions.

2. How to Submit Letters of Intent

It is important that the LOI be a single file with extension .pdf, .docx, or .doc. The filename must not exceed 50 characters. 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 letter of intent. **All PIs and those submitting LOIs 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.

Submit Your Letter of Intent:

- Create your letter of intent 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 DOE National Laboratory 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 Letter of Intent” from the dropdown.
- On the Submit Letter of Intent page, select the institution from which you are submitting this LOI 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 LOI; 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 LOI. Save the LOI for later work by clicking the “Save” button at the bottom of the screen. It will be stored in “My Letters of Intent” for later editing.
- Enter a title for your letter of intent.
- Select the appropriate technical contact from the Program Manager dropdown.
- To upload the LOI 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 LOI to DOE.
- Upon submission, the PI will receive an email from the PAMS system <PAMS.Autoreply@science.doe.gov> acknowledging receipt of the LOI.

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

<p>WARNING: The PAMS website at https://pamspublic.science.energy.gov/ will permit you to edit a previously submitted LOI in the time between your submission and the deadline. If you choose to edit, doing so will remove your previously submitted version</p>

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.

3. How to Submit a Pre-Proposal

It is important that the pre-proposal be a single file with extension .pdf, .docx, or .doc. The filename must not exceed 50 characters. 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-proposals 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.

Submit Your Pre-Proposals:

- Create your pre-proposal (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 DOE National Laboratory 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> 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://pamspublic.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.

4. How to Prepare and Submit a Proposal

SUBMITTING A PROPOSAL

The following information is provided to help with proposal submission. Detailed instructions and screen shots can be found in the user guide. To find the user guide, click the “External User Guide” link on the PAMS home page. Onscreen instructions are available within PAMS.

- Log into PAMS. From the proposals tab, click the “View DOE National Laboratory 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 Proposal” from the dropdown.
- Note that you must select one and only one Principal Investigator (PI) per proposal; 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 proposal. Save the proposal for later work by selecting “Save” from the dropdown at the bottom of the screen and then clicking the “Go” button. It will be stored in “My Proposals” for later editing. As a minimum, you must complete all the required fields on the PAMS cover page before you can save the proposal for the first time.
- The cover page, budget, and attachments sections of the lab proposal are required by PAMS before it can be submitted to DOE.

- Complete the sections in PAMS one at a time, starting with the cover page and following the instructions for each section.
- Click the “+View More” link at the top of each section to expand the onscreen instructions. On the budget section, click the “Budget Tab Instructions” link to obtain detailed guidance on completing the budget form.
- Save each section by selecting either “Save” (to stay in the same section) or “Save... and Continue to the Next Section” (to move to the next section) from the dropdown menu at the bottom of the screen, followed by clicking the “Go” button.
- If you save the proposal and navigate away from it, you may return later to edit the proposal by clicking the “View My Existing Proposals” or “My Proposals” links within PAMS.
- You must enter a budget for each annual budget period.
- You must also enter a budget for each proposed sub-award. The sub-award section can be completed using the same steps used for the budget section.
- In the attachments section of the lab proposal, the abstract, the budget justification, and the proposal narrative are required and must be submitted as separate files.
- You must bundle everything other than the budget, abstract, and budget justification into one single PDF file to be attached under “Proposal Attachment.”
- Do not attach anything under “Other Attachments.”
- To upload a 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.
- Once you have saved all of the sections, the “Submit to DOE” option will appear in the dropdown menu at the bottom of the screen.
- To submit the proposal, select “Submit to DOE” from the dropdown menu and then click the “Go” button.
- Upon submission, the PI will receive an email from the PAMS system <PAMS.Autoreply@science.doe.gov> acknowledging receipt of the proposal.
- The proposal will also appear under My Proposals with a Proposal Status of “Submitted to DOE.”

Please only submit a PAMS lab technical proposal in response to this Announcement; do not submit a DOE Field Work Proposal (FWP) at this time. SC will request FWPs later from those selected for funding consideration under this Announcement.

PROPOSAL PREPARATION

All files submitted a part of a proposal must be PDF files unless otherwise specified in this Announcement. 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.

RESUBMISSION OF PROPOSALS

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

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

IMPROPER CONTENTS OF PROPOSALS

Proposals submitted under this Announcement 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.

5. How to Prepare a Biosketch

A biosketch is to 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.

SC does not require a particular format for a biosketch. SC requires the use of the format approved by the National Science Foundation (NSF), which may be generated by the Science

Experts Network Curriculum Vita (SciENcv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at <https://nsf.gov/bfa/dias/policy/nsfapprovedformats/biosketch.pdf>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.

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, the biographical sketch must include information to permit DOE to identify individuals who are conflicted with or potentially biased (favorably or unfavorably) against the investigator. Include a section entitled “**Identification of Potential Conflicts of Interest or Bias in Selection of Reviewers**” that will not count in a page limit. Provide the following information in this section:

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

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.

6. How to Prepare Current and Pending Support

WARNING: These instructions have been significantly revised to require disclosure of a variety of potential conflicts of interest or commitment, including participation in foreign government-sponsored talent recruitment programs.

Current and Pending support is intended to allow the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support. The PI and each senior/key person at the prime applicant and any proposed subaward must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual's research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All foreign government-sponsored talent recruitment programs must be identified in current and pending support. SC requires the use of the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vita (SciENcv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at <https://www.nsf.gov/bfa/dias/policy/nsfapprovedformats/cps.pdf>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.

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 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 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.

Details of any obligations, contractual or otherwise, to any program, entity, or organization sponsored by a foreign government must be provided on request to either the applicant institution or DOE.

7. How to Prepare a Data Management Plan

In general, a DMP should address 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.osti.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.osti.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.osti.gov/funding-opportunities/digital-data-management>

8. How to Prepare a Budget and Justification

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.
- Do not prepare a budget justification using the expired DOE form F4260.1.

Budget Fields

Section A	For each Senior/Key Person, enter the requested information. List
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Senior/Key Person	<p>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.</p> <p>Include a written narrative in the budget justification that justifies the need for requested personnel. Within the justification, explain the fringe benefit rate used if it is not the standard faculty rate.</p>
Section B Other Personnel	<p>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.</p> <p>Include a written narrative in the budget justification that fully justifies the need for requested personnel. Within the justification, provide the number of positions being filled in each category of other personnel.</p>
Section C Equipment	<p>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, unless a different threshold is specified in a negotiated Facilities and Administrative Cost Rate. (Note that this designation applies for proposal budgeting only and differs from the DOE definition of capital equipment.) List each 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.</p>
Section D Travel	<p>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. Within the budget justification, detail the number of personnel planning to travel and the estimated per-traveler cost for each trip.</p>
Section E Participant/Trainee Support Costs	<p>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</p>

	<p>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).</p>
<p>Section F Other Direct Costs</p>	<ul style="list-style-type: none"> • Materials and Supplies: 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). • Publication Costs: 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 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). • Consultant Services: 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). • ADP/Computer Services: 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). • Subawards/Consortium/Contractual Costs: Enter total costs for all subawards/consortium organizations and other contractual costs proposed for the project. In the budget justification, justify the details. • Equipment or Facility Rental/User Fees: 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). • Alterations and Renovations: Enter total funds requested for Alterations and Renovations. In the budget justification, itemize by category and justify the costs of alterations and renovations,

	<p>including repairs, painting, removal or installation of partitions, shielding, or air conditioning. Where applicable, provide the square footage and costs.</p> <ul style="list-style-type: none"> • Other: 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.
Section G Direct Costs	This represents Total Direct Costs (Sections A through F). PAMS will automatically calculate this.
Section H Other Indirect Costs	Enter the Indirect Cost information, including the rates and bases being used, 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. Within the budget justification, explain the use of multiple rates, if multiple rates are used.
Section I Total Direct and Indirect Costs	This is the total of Sections G and H. PAMS will automatically calculate this.

9. How to Register in PAMS

You must register in PAMS to submit a pre-proposal, letter of intent, or DOE national laboratory proposal.

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>. 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.

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.)

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. All submission and inquiries about this Announcement should reference the number printed on the cover page.

10. How to View Proposals in PAMS

Upon submission, the PI will receive an email from the PAMS system <PAMS.Autoreply@science.doe.gov> acknowledging receipt of the proposal.

Upon submission, the proposal will appear under My Proposals for the PI and the Submitter with a Proposal Status of “Submitted to DOE.”

B. POLICY PROVISIONS

1. 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.

2. Commitment of Public Funds

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

3. 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.

4. 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 proposal, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign a conflict of interest and a certificate of confidentiality prior to reviewing a proposal. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

5. 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.

6. Funding Restrictions

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

7. Government Right to Reject or Negotiate

DOE reserves the right, without qualification, to reject any or all proposals received in response to this DOE National Laboratory Announcement and to select any proposal, in whole or in part, as a basis for negotiation and/or award.

8. Modification

Notices of any modifications to this DOE National Laboratory Announcement will be posted on the Grants and Contracts website (<http://science.osti.gov/grants/>).

9. Proprietary Proposal Information

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in a proposal 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 any document included in the proposal that contains such proprietary information and specifies the pages of the document which are to be restricted:

“The data contained in pages _____ of this document 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 proposal, 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.”

10. Publications

Researchers are expected to publish or otherwise make publicly available the results of the work conducted under any authorization resulting from this Announcement. Publications and other methods of public communication describing any work based on or developed under an authorization resulting from this Announcement must contain an acknowledgment of SC support. The format for such acknowledgments is provided at <https://science.osti.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.