

**DEPARTMENT OF ENERGY (DOE)
OFFICE OF SCIENCE (SC)
FUSION ENERGY SCIENCES (FES)**



**OPPORTUNITIES IN FOUNDATIONAL FUSION MATERIALS,
NUCLEAR SCIENCE, AND ENABLING R&D**

**DOE NATIONAL LABORATORY PROGRAM ANNOUNCEMENT NUMBER:
LAB 24-3295**

ANNOUNCEMENT TYPE: INITIAL

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| Announcement Issue Date: | February 16, 2024 |
| Submission Deadline for Pre-proposal: | March 22, 2024, at 5:00 PM, Eastern Time Pre-proposals are required. Must be submitted by an authorized institutional representative |
| Pre-proposal Response Date: | March 29, 2024, at 5:00 PM, Eastern Time |
| Submission Deadline for Proposals: | May 3, 2024, at 5:00 PM, Eastern Time |

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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 letters of intent, pre-proposals, and proposals before the deadline.

PROMOTING INCLUSIVE AND EQUITABLE RESEARCH (PIER) PLAN

All new and renewal proposals must provide a Promoting Inclusive and Equitable Research (PIER) Plan as an appendix to the research narrative. Please read the instructions in [Section IV](#) and the associated review criteria in [Section V](#).

INTERAGENCY FORMATS FOR CURRENT AND PENDING SUPPORT AND BIOGRAPHICAL SKETCHES

Interagency common instructions for preparing current and pending support and biographical sketches are being developed. The Science Experts Network Curriculum Vitae (SciENCv) system at <https://www.ncbi.nlm.nih.gov/sciencv/> will be updated to support the forthcoming common instructions and formats. The fillable PDFs provided by the National Science Foundation at <https://nsf.gov/bfa/dias/policy/nsfapprovedformats/> are no longer available. When interagency common formats and instructions are promulgated, their use will be required. SC strongly encourages all researchers to use the online SciENCv system to ensure that their documents are prepared in the appropriate format with the least inconvenience.

INDIVIDUALS WHO SHOULD NOT SERVE AS MERIT REVIEWERS

Follow the updated instructions in [Section VIII](#) and consider the use of the Collaborator Template available at <https://science.osti.gov/grants/Policy-and-Guidance/Agreement-Forms>. Do not include this list as part of the biographical sketch.

SC STATEMENT OF COMMITMENT

The DOE SC is fully and unconditionally committed to fostering safe, diverse, equitable, and inclusive work, research, and funding environments that value mutual respect and personal integrity. SC is committed to advancing belonging, accessibility, justice, equity, diversity, and inclusion across the portfolio of activities we sponsor. SC's effective stewardship and promotion of safe, accessible, diverse, and inclusive workplaces that value and celebrate the diversity of people, ideas, cultures, and educational backgrounds across the country and that foster a sense of belonging in our scientific community is foundational to delivering on our mission. We are committed to promoting people from all backgrounds, including individuals and communities that were historically underrepresented and minoritized in science, technology, engineering, and math (STEM) fields and the activities we sponsor in recognition of our responsibility to serve the public. We also recognize that harnessing a broad range of views, expertise, and experiences drives scientific and technological innovation and enables the SC community to push the frontiers of scientific knowledge for U.S. prosperity and security. Discrimination and harassment

undermine SC's ability to achieve its mission by reducing productivity, discouraging, or inhibiting talent retention and career advancement, and weakening the integrity of the SC enterprise overall. SC does not tolerate discrimination or harassment of any kind, including sexual or non-sexual harassment, bullying, intimidation, violence, threats of violence, retaliation, or other disruptive behavior at institutions receiving SC funding or other locations where activities funded by SC are carried out. All applicants and collaborators should familiarize themselves with the SC Statement of Commitment available at <https://science.osti.gov/SW-DEI/SC-Statement-of-Commitment>.

UPDATING YOUR PAMS PROFILE

All applicants are encouraged to update their profiles in the PAMS website at <https://pamspublic.science.energy.gov> regularly, at least annually, to ensure SC has your most up to date information. The PAMS profile now requires that individuals provide responses to the demographic related fields. SC strongly encourages personnel at applicant and awardee institutions, including Principal Investigators (PIs), Co-PIs, and other Key Personnel, to provide their demographic information. By providing your demographic information, you are assisting with SC's continued commitment to advancing diversity, equity, and inclusion in its business practices. Alternatively, for information you wish not to disclose, please select, "Do not wish to provide." Your individual demographic information will not be shared with peer reviewers and the information in your PAMS profile is protected by the requirements established in the Federal Privacy Act of 1974. Aggregate, anonymized demographic information may be shared with confidential review committees who are charged to evaluate the quality and efficacy of SC's business practices. For example, summary statistics of all applicants to or award selections from a particular SC FOA may be reviewed by a Committee of Visitors.

PDF GENERATION

The research narrative in a proposal must be one single machine-readable PDF file that contains the DOE Title Page, project narrative, all required appendices, and other attachments. This single PDF file may not be scanned from a printed document and must be uploaded in PAMS. This must be a plain PDF file consisting of text, numbers, and images without editable fields, signatures, passwords, redactions, or other advanced features available in some PDF-compatible software. The research narrative will be read by SC staff using the full version of Adobe Acrobat: Please ensure that the narrative is readable in Acrobat. If combining multiple files into one research narrative, ensure that a PDF portfolio or binder is not created. If creating PDF files using any software other than Adobe Acrobat, please use a "Print to PDF" or equivalent process to ensure that all content is visible in the research narrative. Once a research narrative has been assembled, please submit the combined research narrative file through a "Print to PDF" or equivalent process to ensure that all content is visible in one PDF file that can be viewed in Adobe Acrobat. Review your submission to ensure that blank pages are not present.

Checklist for Avoiding Common Errors:

| Item | Issue |
|--|---|
| Proposals | Submitted in PAMS. Do not submit proposals in Grants.gov or FedConnect. Do not attempt to submit a proposal unless you are affiliated with a DOE/NNSA National Laboratory. |
| Pre-proposals | <ul style="list-style-type: none"> - Submit your pre-proposal in PAMS. - Do not submit your pre-proposal in Grants.gov. - Follow the instructions in Section IV for the preparation of a pre-proposal. |
| 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) - Letter(s) of Collaboration, if any |
| Personally Identifiable Information | None present in the proposal |
| Research Narrative | Composed of one PDF file including all appendices |
| Project Summary / Abstract | Name(s) of applicant, PI(s), PI's institutional affiliation(s), Co-Investigator(s), Co-Investigator's institutional affiliation(s) |
| 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 and do not include list of collaborators. |
| Current and Pending Support | Ensure complete listing of all activities, regardless of source of funding. |
| List of Individuals who Should not Serve as Merit Reviews | Provided as separate file in proposal |
| 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 |
| Promoting Inclusive and Equitable Research (PIER) Plan | PIER Plans are a new requirement for new and renewal proposals. |
| Institutions capable of being funded through the DOE Field Work System | Do not create new institutions in the PAMS website for any DOE/NNSA National Laboratory or DOE Site. |

| | |
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| | <p>Submissions will be evaluated for technical merit, but any resulting funding, work, or awards will be made under the laboratory or site's contract with DOE. No separate financial assistance awards will be made. No administrative provisions of this Announcement will apply to the laboratory or any laboratory subcontractor.</p> |
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Section I – DOE NATIONAL LABORATORY OPPORTUNITY DESCRIPTION

GENERAL INQUIRIES ABOUT THIS ANNOUNCEMENT SHOULD BE DIRECTED TO:

Technical/Scientific Program Contacts:

Dr. Guinevere Shaw

guinevere.shaw@science.doe.gov

Administrative Contact (questions about budgets and eligibility):

Ms. Marty Carlin

marty.carlin@science.doe.gov

SUMMARY

The DOE SC program in Fusion Energy Sciences (FES) hereby announces its interest in receiving single investigator or small multi-investigator research proposals to carry out research in the Fusion Materials, Fusion Nuclear Science, and Enabling R&D areas. The purpose of this FOA is to reorient the laboratory based foundational and basic science research programs in these areas to better align and support the new FES program vision. Research should address critical scientific gaps and align with the FES vision and future Science and Technology Roadmap. Outcomes will inform the future U.S. Fusion Science and Technology roadmap, and other parts of our program as we expand, define, and develop the fusion and plasma science ecosystem for energy.

Researchers at institutions that are not DOE/NNSA national laboratories are invited to work with their institutions to submit applications in this subject area to the FY 2024 Continuation of Solicitation for the Office of Science Financial Assistance Program, DE-FOA-0003177, in Grants.gov. Applicants doing so should adhere to the technical topical descriptions in this Program Announcement while ensuring that their applications follow all requirements in the Funding Opportunity Announcement (FOA) DE-FOA-0003177.

Program Mission

The mission of the FES program is to expand the fundamental understanding of matter at very high temperatures and densities and to build the scientific foundations needed to develop a fusion energy source. This is accomplished by the study of the plasma state and its interactions with its surroundings. The Energy Act of 2020 (42 U.S.C. § 18645) augmented the scientific mission of FES with “supporting the development of a competitive fusion power industry in the U.S.”

FES has since reoriented its program priorities to the following:

1. Accelerate fusion development as a carbon-free energy source via public-private partnerships (“bold decadal vision”)

2. Support R&D to establish FS&T basis of a Fusion Pilot Plant (FPP)
3. U.S. participation in ITER to leverage engineering and study burning plasma science technology at power plant scale while expanding Inertial Fusion Energy (IFE) program.
4. Support discovery plasma science and technology.
5. Broaden participation in fusion and DEIA activities to enable the program.

Building off the program priorities, the key elements of FES's vision are:

- Workforce Development and Sustainment: Ensuring we establish sustainable and resilient pathways for diverse and exceptional talent;
- Bridging Gaps: Creating innovation engines with national laboratories, universities, and industry to resolve R&D gaps and support domestic supply chains for fusion energy; and
- Transformational Science: Nurturing plasma science and technology discovery translating to innovation impact.

To achieve its mission, FES invests in flexible U.S. experimental facilities of various scales, international partnerships leveraging U.S. expertise, large-scale numerical simulations based on experimentally validated theoretical models, development of advanced fusion-relevant materials, future blanket concepts and tritium fuel cycle, and innovation in measurement techniques. Additionally, FES supports partnerships with the private fusion sector to enable viable Fusion Pilot Plant designs.

FES research is guided by the Long-Range Plan "Powering the Future: Fusion and Plasmas" developed by the Fusion Energy Sciences Advisory Committee (FESAC):

https://science.osti.gov/-/media/fes/fesac/pdf/2020/202012/FESAC_Report_2020_Powering_the_Future.pdf

This report included recommendations to support and expand R&D for fusion materials and technologies including expanding the blanket and tritium R&D program. More broadly, the program specific recommendations make mention of the need to expand into the areas listed in the "Topical Areas" section below. In addition to this report and building off the recommendations in the LRP, four different research communities hosted community-organized workshops to better define gaps, challenges, and research objectives of their research community. This includes neutronics, magnet research, fuel cycle, blanket, and materials. Some final reports are available, and links are listed below. Applicants are encouraged to reach out to the lead organizers for more information and to become familiar with the activities, workshop pre-read materials, and historical documents that were the foundation to these workshops.

Additional resources include:

- FES Vision Talk: <https://science.osti.gov/-/media/fes/fesac/pdf/2023/FES-Vision.pdf>
- National Academies reports such as:
 - the 2021 report on [Bringing Fusion to the U.S. Grid](#)
- IFE Basic Research Needs (BRN) Report: <https://science.osti.gov/-/media/fes/pdf/workshop-reports/2023/IFE-Basic-Research-Needs-Final-Report.pdf>
 - Sections for Fusion Power Plant Integrated Systems and Cross-cutting areas

- EPRI Hosted 2022 Fusion Prototypic Neutron Source (FPNS) Performance Requirements Workshop Summary: <https://www.epri.com/research/products/000000003002023917>
- Fusion Neutronics: <https://www.ornl.gov/file/white-paper-us-fusion-nuclear-engineering-program/display>
- Fusion Magnet Community Workshop: <https://sites.google.com/pppl.gov/fusion-magnet-workshop/workshop-materials>
- EPRI Hosted Fusion Fuel Cycle and Blankets Workshop: <https://www.epri.com/events/A9EE23A5-9B05-4B96-B36B-AEFDB8D08A09>
 - Contact EPRI staff for more information.
- EPRI Hosted U.S. Fusion Materials Roadmapping Workshop – November 2023: <https://www.epri.com/research/programs/065093/events/0B97781D-E3EB-470A-AB11-97800FB84638>
 - Contact EPRI staff for more information.
- Basic Research Needs (BRN) Workshop on Measurement Innovation (MI): <https://web.cvent.com/event/c6850a60-69dc-489d-9345-1d47a5d704d2/summary>

Descriptions of Topical Areas

Please note, some of these research topics are considered cross-cutting and R&D can be supported by more than one of the topics below. If this is the case, please indicate if the topic is cross-cutting. It is strongly encouraged that any basic science research proposed must (1) identify how the research aligns with the FS&T drivers identified in the LRP; (2) demonstrate a comprehensive understanding of the research’s potential end-use and the associated complexities with whole-system integration and interdependencies that would help inform end-use for viable fusion energy; (3) demonstrate how the research would create bridges to other parts of the FES research program (e.g., Advanced Tokamak, IFE, INFUSE, Milestone) to encourage information sharing, collaborations, and active participation in the vibrant fusion energy ecosystem and reduce barriers, siloing and duplicative efforts.

1. Enabling Research and Development:

The realization of fusion energy and the advancement of plasma science requires advances in supporting technologies to achieve higher levels of performance and flexibility to explore new plasma regimes. The purpose of the Enabling Research and Development (R&D) program element is to develop these supporting technologies for deployment on existing and next generation fusion research facilities. Proposals to this area must focus on experimental research and/or model validation pertaining to supporting technologies and how it enables plasma initiation, control and flexibility, confinement, performance, and/or operation.

2. Fusion Materials:

The selection of materials for future fusion device design is foundational. Every component, from the innermost chamber walls to the outer framework, demands a diverse array of materials that can endure a spectrum of conditions encompassing heat, particle exposure, and neutron fluxes. This endeavor involves advancing materials, developing physical and numerical models, and other essential tools for realizing the next generation fusion material technologies.

Leveraging the FESAC Long-Range Plan and recent community workshops, listed above, underscores the urgent necessity for a fusion prototypic neutron source which can replicate fusion conditions. This capability serves as the fundamental basis for the materials constituting a fusion device. Alongside the neutron environment, there exist other interconnected materials challenges that broaden the spectrum of considerations for a fusion device. This subprogram supports research in the areas listed below.

- Plasma Material Interactions and Plasma Facing Components (PFC): The innermost wall of a fusion device, known as the plasma-facing components (PFCs), is exposed to the high-energy plasma. Plasma-material interactions can cause erosion, sputtering, and material migration. Research in this area aims to develop materials that can withstand extreme heat, particle fluxes, and erosion caused by plasma interactions.
- Structural Materials for Fusion: Structural materials refer to those materials used in the overall construction of the fusion device, such as the vacuum vessel, blanket structure, and other supporting components. These materials must be able to withstand the structural loads, radiation, and heat while maintaining their desired material properties. Advanced structural steels, advanced alloys, and engineered composites are areas of interest for research.
- Fundamental Modeling and Materials Behavior: Advances in materials modeling play a crucial role in predicting how materials will behave under fusion system conditions. Computational tools allow researchers to simulate material responses to high temperatures, radiation, and stress, aiding in material selection and design optimization.
- Functional Materials: These are materials that impact the functionality of various fusion components beyond their structural integrity. For instance, materials used for sensors and heat transfer enhancement fall under this category.
- Advanced and Additive Manufacturing: Novel manufacturing techniques, including additive manufacturing, offer the potential to create components with enhanced material characteristics and complex geometries that might be challenging to achieve through traditional manufacturing methods. This area includes researching near-net-shape additive manufacturing and exploring ways to improve component performance and cost compared to conventional manufacturing techniques.

3. Fusion Nuclear Science:

Interlinked with burning plasma and materials that can withstand fusion system conditions are all the key systems required to capture the power, breed fuel, and ensure the safe operation of a fusion plant. Building off the FESAC Long-Range Plan, the fusion technology community organized a series of workshops which outlined in more detail key challenges and research objectives, which can be found below. This program area supports research in the following areas:

- Blanket: Breeding tritium within the fusion plant is crucial for achieving a self-sustaining fusion reaction. Areas of interest are tritium control, functional materials, and blanket enabling technologies.
- Fuel Cycle: Extraction and exhaust processing is crucial for maintaining the self-sustaining fusion reaction. Areas of interest are fueling and exhaust processing, isotope processing, rebalancing and storage, and confinement processing and tritium accountancy.

- Advanced first wall and divertor engineering components: Liquid metal plasma facing components included in the first wall and/or the divertor.
- Remote Handling: Fusion involves hazardous environments, so remote handling systems are required for maintenance, repairs, and component replacement.
- Safety Analysis: Safety assessments, helping to understand how the fusion plant behaves under various operational and accident scenarios.
- Fusion Nuclear Analysis: Incorporates neutronics for fusion devices including the development of methodologies, radiation transport simulations, nuclear heating to components, activation of in-vessel components, radiation damage to materials, and neutron and γ -ray fluxes and biological dose rates throughout the facility.
- Activation and Waste: Neutrons can cause activation and radiation damage in fusion materials. Studying these effects helps design materials that can withstand the fusion environment and predict the radioactive waste generated during operation.
- Integration and Impact Evaluation: Fusion will be integrated into the larger energy grid and society. This involves assessing the broader impacts of fusion design choices on economic, safety, environmental, and social factors.

Program Objectives

Proposals must demonstrate the following:

- Relevance to the new FES mission, vision, and topical area(s)
- How is research foundational to fusion science and technology?
- How would the results inform the fusion science and technology community?
- How will programs train the next generation of researchers?
- How will resulting data and metadata be managed based on community standards in preparation for a fusion database?
- *Only for existing programs:* How are you reorienting your existing program to better support the fusion science and technology vision?

This Announcement does not support medium to large-scale capability development or facility sustainability. This Announcement is for single PI or small collaborative research endeavors that are foundational to the basic fusion materials, fusion nuclear science, and enabling technology areas. Research that includes coordination of fusion science and technology meta data standards, participation in, or interest in the development of a fusion science and technology database is of particular interest to FES. Proposals addressing research clearly within the mission space of other SC and FES programs not mentioned in the topic above are nonresponsive and may be declined without a merit review.

SC is committed to promoting the diversity of investigators and institutions it supports, as indicated by the ongoing use of program policy factors (see [Section V.B.2](#)) in making selections of awards. To strengthen this commitment, small collaborative research proposals are encouraged to form teams that include the participation of emerging research institutions and minority serving institutions (MSIs) institutions that are underrepresented in the FES research portfolio as well as researchers from groups historically underrepresented in STEM.

Post-Award Process

The awarded projects will be expected to coordinate their research efforts, to the extent possible, with the FES fusion science and technology community activities. Awardees will be required to attend an annual PI meeting hosted by FES or a contractor. Awardees will be required to include a reporting schedule estimating dates for annual reporting and a mid-term review. Annual reporting is required, and a mid-term review is contingent on award progress.

Proposal Tracks

Proposals will be accepted under three tracks that are differentiated by the award size and award duration. Award size represents per year amount.

| | Award Floor | Award Ceiling | Award Duration | Page Length |
|--|--------------------|----------------------|-----------------------|--------------------|
| Exploratory Proposal – Single topic | \$300,000 | \$500,000 | 1 or 2 years | 10 |
| Full Proposal – Single topic | \$300,000 | \$750,000 | 1 to 3 years | 12 |
| Full Proposal – Multiple topics | \$500,000 | \$1,500,000 | 1 to 3 years | 15 |

An example of an Exploratory Proposal is of smaller scope and duration such as a proposal from a lab with no existing funding from FES fusion materials, fusion nuclear science, or enabling R&D. An Exploratory Proposal is not required before submitting a Full Proposal-single topic or Full Proposal-multiple topics. Applicants interested in the Full Proposal-single or multiple topics should leverage existing capabilities.

All proposals will be considered equally. The distribution between the number of and funding for Exploratory and Full awards depends on the number and quality of the proposals; there is no quota for each category.

Proposals do not need to be at or near the award ceiling. Equal budgets for each year of the award are not required; for example, the first year of the award could include one-time costs for equipment purchases.

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.

Multi-Institutional Teams

SC uses two different mechanisms to support teams of multiple institutions.

COLLABORATIVE PROPOSALS

Collaborative proposals will not be accepted under this Announcement.

SUBAWARDS

Multi-institutional teams may submit one proposal from a designated lead institution with all other team members proposed as subawards.

Other Federal agencies, and another Federal agency's FFRDCs¹ may not 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.

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

Section II – AWARD INFORMATION

II.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.

II.B. ESTIMATED FUNDING

A total of \$51,000,000 in current and future fiscal year funds may be available to support awards made under this DOE National Laboratory Announcement. DOE anticipates that the value of awards made under this announcement will be approximately \$17,000,000 per year, with outyear support contingent on the availability of appropriated funds, progress of the research, and programmatic needs.

Any awards made under the [FOA](#) may reduce the funding available under this Program Announcement.

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.

II.C. MAXIMUM AND MINIMUM AWARD SIZE

The award size will depend on the number of meritorious proposals and the availability of appropriated funds. Proposals do not need to be at or near the award ceiling.

| | Award Floor | Award Ceiling |
|--|--------------------|----------------------|
| Exploratory Proposal – Single topic | \$100,000 | \$500,000 |
| Full Proposal – Single topic | \$300,000 | \$750,000 |
| Full Proposal – Multiple topics | \$300,000 | \$1,500,000 |

II.D. EXPECTED NUMBER OF AWARDS

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

II.F. PERIOD OF PERFORMANCE

DOE anticipates making awards with a project period 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.

II.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

III.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.

III.B. COST SHARING

Cost sharing is not required.

III.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.

III.D. LIMITATIONS ON SUBMISSIONS

Applicant institutions are limited to no more than four (4) pre-proposals, or proposals as the lead institution and no more than two (2) pre-proposals, or proposals as the lead PI.

DOE will consider the latest received submissions to be the institution's intended submissions.

- Pre-proposals in excess of the limited number of submissions will be discouraged.
- Proposals in excess of the limited number of submissions will be declined without review.

LIMITATIONS ON PI

The PI on a pre-proposal, or proposal may also be listed as a senior or key personnel [including in any role on a proposed subaward on an unlimited number of separate submissions.

Section IV – PROPOSAL AND SUBMISSION INFORMATION

IV.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 Help materials, accessible by navigating to <https://pamspublic.science.energy.gov> and clicking on the “PAMS Help” link.

Proposals submitted outside of PAMS will not be accepted.

IV.B. LETTER OF INTENT AND PRE-PROPOSAL

IV.B.1. Letter of Intent

Not applicable.

IV.B.2. Pre-proposal

PRE-PROPOSAL DUE DATE

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

ENCOURAGE/DISCOURAGE DATE

The pre-proposal response date is printed on the cover of this Announcement.

A pre-proposal is required and must/should be submitted by the date indicated on the cover of this Announcement.

Pre-proposals will be reviewed for responsiveness of the proposed work to the research topics identified in this Announcement. DOE will send a response by email to each applicant encouraging or discouraging the submission of a proposal by the date indicated on the cover of the Announcement. Applicants who have not received a response regarding the status of their pre-proposal by this date are responsible for contacting the program to confirm this status.

Only those applicants that receive notification from DOE encouraging submission of a proposal may submit proposals. No other proposals will be considered.

The pre-proposal attachment should include, at the top of the first page, the following information:

Title of Pre-proposal
Principal Investigator Name, Job Title
[Lead] Institution
PI Phone Number, PI Email Address

Announcement Number: Include the number indicated on the cover of this Announcement.

Include a list of all known senior/key personnel at the applicant institution.
List of Collaborating Institutions [Including Sub-Recipients [if applicable]]
The research area, specified in [Section I](#), primarily addressed by the proposed work; is the
research crosscutting [Y, N], if so, what other areas.
Expected Proposal Track: List the expected proposal track, specified in [Section I](#)

The material listed here defines the required content in the pre-proposal heading. Additional material is not allowed.

Provide a clear and concise summary, list of objectives, expected results, and estimated budget of the proposed research and how the research aligns with the FESAC LRP and is foundational to fusion science and technology. The pre-proposal may not exceed three (3) pages, when printed using standard letter-size (8.5-inch x 11-inch) paper with 1-inch margins (top, bottom, left, and right). The body text font must not be smaller than 11-point. Figures and references, if included, must fit within the three-page limit.

In addition, the pre-proposal **must include a listing of individuals who should not serve as merit reviewers** of a subsequent proposal. Detailed instructions for how to craft such a listing are provided in [Section VIII](#) of this Announcement. This listing will not count toward the pre-proposal's page limit. The list of individuals must be sent via email to the program manager selected as the recipient of your pre-proposal in PAMS.

The pre-proposal must be machine readable. Do not submit a scanned image of a printed document.

PRE-PROPOSAL REVIEW

Program Managers may evaluate all or some portion of pre-proposals to determine their competitiveness within a scientific topic.

Any review will be based on the following criteria:

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

Any such review will be conducted by no less than three federal program managers [*or* DOE-affiliated personnel, under the direction of Federal program managers] chosen for their topical knowledge and diversity of perspective.

Reviews within a topical field will be a comparative review with priority given to scientifically innovative and forward-looking basic research with the highest likelihood of success as a proposal. The results of the review will be documented.

Applicants with the highest rated pre-proposals will be encouraged to submit proposals; others will be discouraged from submitting proposals.

Written feedback about pre-proposals will be provided after award selections have been announced.

Topics with comparatively few pre-proposals may not make use of such pre-proposal reviews. The ratio of encourage/discourage results will differ between topical subjects.

SC is committed to ensuring that a sufficient number of applicants will be encouraged to submit proposals to foster a competitive merit review of the proposals. SC's intent in discouraging submission of certain proposals is to save the time and effort of applicants in preparing and submitting proposals with a negligible likelihood of success.

The PI will be automatically notified when the pre-proposal 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, and the status of the pre-proposal 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-PROPOSAL SUBMISSION

Pre-proposals are created in the software system of your choice and must be submitted electronically through the DOE SC Portfolio Analysis and Management System (PAMS) website <https://pamspublic.science.energy.gov/>. You cannot draft or edit a pre-proposal in PAMS. Do not submit a pre-proposal through [FedConnect](#) or [Grants.gov](#).

Pre-proposals may only be submitted by a user at the PI's institution with the "Submit to DOE" privilege in PAMS. A PI may draft a pre-proposal but will only be able to submit the pre-proposal for institutional countersignature.

Applicants are strongly encouraged to inform their DOE Program Manager if teaming arrangements, proposed personnel, topics, or the anticipated title change between submitting the pre-proposal and when a proposal is submitted, to ensure that their proposal is properly linked to their pre-proposal and that reviewers are properly assigned to the proposal.

Detailed instructions about how to submit a pre-proposal are in [Section VIII](#) of this Announcement.

IV.C. PROPOSAL SUBMISSION AND CONTENT

IV.C.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: Promoting Inclusive and Equitable Research (PIER) Plan
 - Appendix 8: Other Attachments (optional)
- Collaborator Information

SUBMISSION INSTRUCTIONS

Completed proposals must be submitted into the DOE SC Portfolio Analysis and Management System (PAMS) at <https://pampublic.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. This must be a plain PDF file 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. The research narrative will be read by SC staff using the full version of Adobe Acrobat: Please ensure that the narrative is readable in Acrobat. If combining multiple files into one research narrative, ensure that a PDF portfolio or binder is not created. If creating PDF files using any software other than Adobe Acrobat, please use a “Print to PDF” or equivalent process to ensure that all content is visible in the research narrative. Once a research narrative has been assembled, please submit the combined research narrative file through a “Print to PDF” or equivalent process to ensure that all content is visible in one PDF file that can be viewed in Adobe Acrobat.

WARNING: The PAMS website at <https://pampublic.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

Letters of Support are not allowed. Optional letters of collaboration for unfunded or funded collaborations may be placed in Appendix 8 (Other Attachments). Letters of collaboration should state the intention to participate, but they must not be written as recommendation or endorsement letters, which are not allowed. Each optional letter of collaboration may contain two and only two sentences and must use the following format:

Dear <Principal Investigator Name>:

If your proposal entitled, “<Proposal Name>,” is selected for funding under the DOE Lab Call Opportunities for Fusion Materials, Nuclear Science, and Technology, it is my intent to collaborate in this research by <Complete Sentence with a very short description of what the collaborator offers to do or provide>.

Thank you for the opportunity to participate.
Sincerely,
<Collaborator’s Name and Signature Block>

IV.C.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. The project summary/abstract must be comprised of

- A cover sheet containing the name of the applicant, the project title, the PI and the PI’s institutional affiliation, and any coinvestigators and their institutional affiliations.
- This information must be followed by a statement of the project’s objectives, a description of the project, including methods to be employed, and the potential impact of the project (i.e., benefits, outcomes).
- The description of the proposed research may not exceed one page when printed using standard letter-size (8.5-inch x 11 -inch) paper with 1-inch margins (top, bottom, left, and right). The body text font must not be smaller than 11-point. Figures and references, if included, must fit within the one-page limit.

A sample is provided below:

| |
|---|
| <p>Project Title</p> <p>A. Smith, Lead Institution (Principal Investigator) A. Brown, Institution 2 (Co-Investigator) A. Jones, Institution 3 (Co-Investigator)</p> <p>-----page break-----</p> <p>Text of abstract</p> |
|---|

The narrative portion of the project summary must not exceed one page when printed using

standard letter-size (8.5-inch x 11-inch) paper with 1-inch margins (top, bottom, left and right) with body text font not smaller than 11-point. To attach a Project Summary/Abstract, click “Add Attachment.”

If a proposal is recommended for an 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 to prepare public reports about supported research.

IV.C.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.

While subawards are listed in PAMS as “optional,” that is because the presence of a subaward is optional. If a subaward exists, budgetary information is required. The standard subaward budget form allows for a maximum of 10 subawards. If a proposal contains more than 10 subawards, please present the budgets for the eleventh and subsequent subawards in a tabular format, followed by the appropriate budget justification, as a part of the lead applicant’s budget justification.

IV.C.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:
- PAMS Pre-proposal tracking number (if applicable):
- Research area or areas as identified in [Section I](#) of this Announcement
- Proposals Track as identified in [Section I](#) of this Announcement
- Is the Research cross-cutting [Y/N], if yes list the areas

Senior/Key Personnel

- Senior/Key Personnel Name, Institution
- Senior/Key Personnel Name, Institution
- Senior/Key Personnel Name, Institution
- ...

| Institution | Year 1 Budget | Year 2 Budget | Year 3 Budget | Total Budget |
|--------------------|----------------------|----------------------|----------------------|---------------------|
| | | | | |
| | | | | |
| | | | | |

PROJECT NARRATIVE

The project narrative **must not exceed the page limits in the table below.**

| | Page Length |
|--|--------------------|
| Exploratory Proposal – Single topic | 10 |
| Full Proposal – Single topic | 12 |
| Full Proposal – Multiple topics | 15 |

of technical information, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard letter-size (8.5-inch x 11-inch) paper with 1-inch margins (top, bottom, left, and right). The body text font of all main text 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.

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 project. It should contain enough background material in the Introduction, including a brief review of the relevant literature and

any prior research in this area, to demonstrate sufficient knowledge of the state of science. A major part of the narrative should be devoted to a description and justification of the proposed project, including details of the methods 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 parts of the project, and the time at which these activities will take place.

The following organization of the Project Narrative is suggested:

- **Background/Introduction:** Explanation of the importance and relevance of the proposed work as well as a review of the 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 (if any) and details of the methods to be used including the integration of experiments with theoretical and computational research efforts. Project narrative should clearly demonstrate how the research is informed by many complex cross-dependencies between individual subsystems and cultivate self-consistent research.
- **Timetable of Activities:** Timeline for all major activities including milestones and deliverables. The timetable must include a schedule for annual reporting, one mid-term review, and estimated workshop/conference attendance.
- **Future Pathways:** Describe ways the research could inform next stages of R&D
- **Fusion Science and Technology community engagement:** Identify how will the research inform future FES activities (e.g., FESAC activities), other parts of the FES program, fusion industry, international collaborations, and/or public.

The Project Narrative is considered the intellectual work of the proposed researchers. Concurrent submission of substantially similar narratives attributed to different researchers may constitute academic dishonesty or research misconduct. Submission of a research narrative that is not the work of the proposed researchers, including machine-generated research narratives, may constitute academic dishonesty or research misconduct.

APPENDIX 1: BIOGRAPHICAL SKETCH

Provide a biographical sketch for the PI 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 3 pages when printed on letter-size (8.5-inch 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 PI and senior/key personnel, including subawardees. Provide the Current and Pending Support as an appendix to your project narrative. Concurrent submission of a proposal 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 proposal. 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.

The DMP must include the following for both experiments and computational research:

- What is the framework for data collection, and does it adhere to community standards for the data collected? This goes beyond just “what data do we need to get?”
- A careful characterization of the experiment itself (e.g. impurity levels in the fluid, volume of fluid, crucible material...)
- What were the experimental/computational procedures, and do they adhere to community standards?
- Was all meta-data and raw data uploaded to a database or stored locally in preparation for a future data repository?
- This appendix should not exceed a page limit of 4 pages including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard letter-size (8.5-inch 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.

In addition, the DMP must specifically address:

- How FAIR (Findable, Accessible, Interoperable, and Reusable)² principles will apply to the

² Wilkinson, M. D. et al. The FAIR Guiding Principles for Scientific Data Management and Stewardship. *Sci. Data* 3:160018, 2016. <https://doi.org/10.1038/sdata.2016.18>

- anticipated data sets, software³, and models⁴ to be developed.
- What developed software, data sets, and models will be made available using an “opensource” licensing arrangement, noting the Software Package Data Exchange (SPDX) identifier(s) (<https://spdx.org/licenses/>) when possible, and where deviation in this arrangement is expected from The Open Source Initiative’s “Open Source Definition” (<https://opensource.org/osd>), a specific justification must be provided.
 - How best practices in scientific software development will be applied to any development activities. For more information on best practices, see Better Scientific Software (<https://bssw.io/>).

APPENDIX 7: PROMOTING INCLUSIVE AND EQUITABLE RESEARCH (PIER) PLAN

All new and renewal proposals that are not for conference support must provide a Promoting Inclusive and Equitable Research (PIER) Plan as an appendix to the research narrative. The PIER plan should describe the activities and strategies of the applicant to promote equity and inclusion as an intrinsic element to advancing scientific excellence in the research project within the context of the proposing institution and any associated research group(s). Plans may include, but are not limited to: strategies of your institution (and collaborating institutions, if applicable) for enhanced recruitment of undergraduate students, graduate students, and early-stage investigators (postdoctoral researchers, and others), including individuals from diverse backgrounds and groups historically underrepresented in the research community; strategies for creating and sustaining a positive, inclusive, safe, and professional research and training environment that fosters a sense of belonging among all research personnel; and/or training, mentoring, and professional development opportunities.⁵ Plans may incorporate or build upon existing diversity, equity, accessibility, and inclusion efforts of the project key personnel or applicant institution(s), but should not be a re-statement of standard institutional policies or broad principles. The complexity and detail of a PIER is expected to increase with the size of the research team and the number of personnel to be supported.

- Do not attach a separate file.
- This appendix should not exceed a page limit of 3 pages when printed using standard letter-size (8.5 -inch x 11-inch) paper with 1-inch margins (top, bottom, left, and right) This appendix will not count in the project narrative page limitation.

APPENDIX 8: 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

³ Chue Hong, N. P., Katz, D. S., Barker, M., Lamprecht, A-L, Martinez, C., Psomopoulos, F. E., Harrow, J., Castro, L. J., Gruenpeter, M., Martinez, P. A., Honeyman, T., et al. (2022). FAIR Principles for Research Software version 1.0. (FAIR4RS Principles v1.0). Research Data Alliance. DOI: <https://doi.org/10.15497/RDA00068>

⁴ Ravi, N., Chaturvedi, P., Huerta, E.A. et al. FAIR principles for AI models with a practical application for accelerated high energy diffraction microscopy. *Sci Data* 9, 657 (2022). <https://doi.org/10.1038/s41597-022-01712-9>

⁵ Please see additional information at <https://science.osti.gov/SW-DEI/DOE-Diversity-Equity-and-Inclusion-Policies/Q-and-As#definitions>.

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.

IV.C.5. Collaborator Information

Provide a listing of senior/key personnel at the applicant institution and any proposed subawards and a listing of individuals who should not serve as merit reviewers. You may also indicate suggested merit reviewers. Detailed instructions for these listings may be found in [Section VIII](#) of this Announcement.

IV.D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS

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

IV.E. SUBMISSION DATES AND TIMES

IV.E.1. Letter of Intent Due Date

Not Applicable

IV.E.2. Pre-proposal Due Date

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

You are encouraged to submit your pre-proposal well before the deadline. Pre-proposals may be submitted at any time between the publication of this Announcement and the stated deadline.

IV.E.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.

IV.E.4. Late Submissions

Proposals received after the deadline will not be reviewed or considered for award.

Section V - PROPOSAL REVIEW INFORMATION

V.A. CRITERIA

V.A.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.

V.A.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; and
- Reasonableness and Appropriateness of the Proposed Budget.
- Quality and Efficacy of the Promoting Inclusive and Equitable Research (PIER) Plan.

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 a 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 the proposed research?
- What is the scientific innovation of the proposed research?
- What is the likelihood of achieving valuable results within the allotted performance period?
- How might the results of the proposed work impact the direction, progress, and thinking in relevant fusion science and technology?
- How does the proposed work compare with other efforts in its field, both in terms of scientific and/or technical merit? How does the proposed work integrate into the FESAC Long-Range Plan or the fusion science and technology community?
- Is the Data Management Plan suitable for the proposed research? To what extent does it meet

fusion community meta data requirements or standards? Is the data ready for a database or repository? What additional information would the PI need to make the results available to a fusion related database?

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?
- Is the proposed research aligned with the published priorities identified or incorporated by reference in Section I of this Announcement?
- Does the proposed plan to recruit and retain researchers and early-stage investigators provide sufficient mentorship?

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 PI or Co-PIs overcommitted based on hours listed in the budget compared to the hours listed in Current and Pending Support?
- Is the budget reasonable and appropriate for the scope?

QUALITY AND EFFICACY OF THE PROMOTING INCLUSIVE AND EQUITABLE RESEARCH PLAN

- Is the proposed Promoting Inclusive and Equitable Research (PIER) Plan suitable for the size and complexity of the proposed project and an integral component of the proposed project?
- To what extent is the PIER plan likely to lead to participation of individuals from diverse backgrounds, including individuals historically underrepresented in the research community?
- What aspects of the PIER plan are likely to contribute to the goal of creating and maintaining an equitable, inclusive, encouraging, and professional training and research environment and supporting a sense of belonging among project personnel?
- How does the proposed plan include intentional mentorship and are the associated mentoring resources reasonable and appropriate?

V.B. REVIEW AND SELECTION PROCESS

V.B.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.

V.B.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
- Performance under current awards
- Institutional history of training and mentoring early-career researchers
- Ensuring a distribution of supported researchers at various career stages
- Training the next generation of researchers
- Providing career pathways for the next generation of researchers
- Participation with multi-institutional teams
- Commitment to sharing the results of research
- Relevance of the proposed activity to FES priorities
- Ensuring an appropriate balance of activities within FES programs
- Promoting the diversity of supported investigators
- Promoting the diversity of institutions receiving awards
- Increasing participation of institutions historically underrepresented in the SC research portfolio
- Promoting principal investigators with a commitment to improving diversity, equity, and inclusion in the STEM community

V.B.3. Selection

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

V.B.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.

V.C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES

It is anticipated that the award selection will be completed by the fourth quarter of Fiscal Year 2024.

Section VI - AWARD ADMINISTRATION INFORMATION

VI.A. AWARD NOTICES

VI.A.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.

VI.A.2. Notice of Award

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

VI.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](#)

VI.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

VII.A. QUESTIONS

For help with PAMS, click the “PAMS Help” 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.

VII.B. AGENCY CONTACTS

| | |
|---------------------------------------|--|
| PAMS Customer Support | 855-818-1846 (toll-free) 301-903-9610 sc.pams-helpdesk@science.doe.gov |
| Program Manager Scientific Contact | Dr. Guinevere Shaw guinevere.shaw@science.doe.gov |

VII.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

VIII.A. HOW-TO GUIDES

VIII.A.1. How Consortia May be Used

INCORPORATED CONSORTIA

Incorporated consortia are eligible to apply for funding as a prime recipient (lead organization) or subrecipient (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) 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 proposal and results in one award with subawards to consortia members. Multi-institutional teams may, if permitted under this Announcement, submit collaborative proposals with each institution submitting its own proposal with an identical research narrative, resulting in multiple awards to the collaborating institutions.

VIII.A.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.**

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.

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 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.

VIII.A.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-proposal. 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.

Submit Your Pre-proposals:

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

You are encouraged to register for an account in PAMS at least a week in advance of the pre-proposal 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-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.

VIII.A.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 PAMS Help materials, accessible by clicking the “PAMS Help” 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 proposal:

- 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 proposal 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 proposals. Such resubmissions will only count as one submission if this Announcement restricts the number of proposals 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.

VIII.A.5. How to Prepare a Biographical Sketch

A biographical sketch 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 requires the use of the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vitae (SciENcv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>. The fillable PDFs provided by the National Science Foundation at <https://nsf.gov/bfa/dias/policy/nsfapprovedformats/> are no longer available. If an interagency common format for a biographical sketch has been promulgated, that format must be used in an application. 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.

Requested information may be appended to a biographical sketch, whether produced from a

fillable PDF or in SciENcv.

SC strongly recommends the use of SciENcv to reduce administrative burden by allowing the use of digital persistent identifiers, including the Open Researcher and Contributor ID (ORCID).

Do not attach a listing of individuals who should not be used as merit reviewers: This information is no longer collected as part of a biographical sketch.

VIII.A.6. How to Prepare a List of Individuals Who Should Not Serve as Reviewers

To assist in identifying individuals who should not serve as merit reviews, provide the following information for each and every senior/key person who is planned to be or is identified in Section A of the proposal budget for the applicant and any proposed subrecipients:

- Advisees (graduate students or postdocs) of the senior/key person
- Advisors of the senior/key person while a graduate student or a postdoc
- Close associates of the senior/key person over the past 48 months
- Co-authors of the senior/key person over the past 48 months
- Co-editors of the senior/key person over the past 48 months
- Co-investigators of the senior/key person over the past 48 months
- Collaborators of the senior/key person over the past 48 months

Do not identify any personnel at the applicant institution or any proposed subrecipient or team institution: Those personnel are prohibited from serving as merit reviewers.

Large collaborations of 10 or more researchers do not require that all collaborators be identified: rather, only list the researchers with whom the senior/key person actually collaborated.

For all identified individuals, provide the following information:

- The senior/key person to whom the individual was an advisee, advisor, close associate, co-author, co-editor, co-investigator, or collaborator, identified by first name and last name
- The individual's first (given) name
- The individual's last (family) name
- The individual's Open Researcher and Contributor ID (ORCID), if known
- The individual's institutional affiliation spelling out acronyms (For joint appointments, separate each institution with a slash ("/"). Do not list departmental affiliations.)
- The reason for listing the individual (advisee, advisor, close associate, co-author, co-editor, co-investigator, collaborator)
- The year when the individual last was a close associate, co-author, co-editor, co-investigator, or collaborator

You may also provide a list of all senior/key personnel who are planned to be or are identified in Section A of the proposal budget for the applicant and any proposed subrecipients.

The lists do not need to be sorted in any method.

The lists must be submitted in tabular format, preferably as Microsoft Excel (.xls or .xlsx) files.

For your convenience, a template is available at <https://science.osti.gov/grants/Policy-and-Guidance/Agreement-Forms>. If using the template:

- Do not add tabs to the spreadsheet
- Do not merge the existing tabs
- Do not remove headers
- Fill out the requested headers on both tabs with the same information
- Ensure that given and family names are presented in the correct columns

VIII.A.7. 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. Include the current application and any application submitted to any source of funding in a list of current and pending support. All sources of support must be disclosed, but for work that is subject to government classification or enforceable non-disclosure agreements, the general area of the research should be described without disclosing sensitive details and the sponsor should be listed as "Government Agency" or "private sponsor." 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 Vitae (SciENCv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>. The fillable PDFs provided by the National Science Foundation at <https://nsf.gov/bfa/dias/policy/nsfapprovedformats/> are no longer available. If an interagency common format for current and pending support has been promulgated, that format must be used in an application. 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. If the title of the award or activity is not descriptive, add a brief description of the research being performed that would identify any overlaps or synergies with the proposed research.
- 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.

If required to identify overlap, duplication of effort, or synergistic efforts, append a description of the other award or activity to the current and pending support.

Requested information may be appended to current and pending support, whether produced from a fillable PDF or in SciENCv.

SC strongly recommends the use of SciENCv to reduce administrative burden by allowing the use of digital persistent identifiers, including the Open Researcher and Contributor ID (ORCID).

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.

VIII.A.8. 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>

VIII.A.9. 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

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| 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. Within the justification, explain the fringe benefit rate used if it is not the standard faculty rate. |
| 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. Within the justification, provide the number of positions being filled in each category of other 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, 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 |

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| | <p>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> |
| <p>Section D Travel</p> | <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> |
| <p>Section E Participant/Trainee Support Costs</p> | <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 any related administrative expenses.</p> <p>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 |

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| | <p>items, or some other basis).</p> <ul style="list-style-type: none"> • 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, including repairs, painting, removal or installation of partitions, shielding, or air conditioning. Where applicable, provide the square footage and costs. • 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. |

VIII.A.10. How to Register in PAMS

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

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 a proposal, 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:

5. 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.)
6. PAMS will take you to the “Register to Institution” page.
7. 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.)

8. 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.
9. 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.
10. 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 “PAMS Help” 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.

VIII.A.11. 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.”

VIII.B. POLICY PROVISIONS

VIII.B.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.

VIII.B.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.

VIII.B.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.

VIII.B.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.

VIII.B.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.

VIII.B.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.

VIII.B.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.

VIII.B.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/>).

VIII.B.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.”

VIII.B.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.