

FY2011 DOE EPSCoR IMPLEMENTATION AWARD

Request for Proposals

DEADLINE DATES:

Notices of Intent due: **April 18, 2011**

Last day for questions and answers about this RFP: **April 22, 2011**

Proposals due: **May 2, 2011**



**THE BOARD OF REGENTS and the U. S. DEPARTMENT OF ENERGY
EXPERIMENTAL PROGRAM TO STIMULATE COMPETITIVE RESEARCH
(EPSCoR)**

Issue Date: **March 24, 2011**

1201 North Third Street, Suite 6-200

Baton Rouge, Louisiana 70802

(225) 342-4253

www.laregents.org

I. INTRODUCTION

This Request for Proposals (RFP) is being issued in anticipation of the release of the FY2011 U. S. Department of Energy (DOE) Experimental Program to Stimulate Competitive Research (EPSCoR) Financial Funding Opportunity Announcement (FOA) for EPSCoR Implementation Awards. The FY2011 FOA is expected to be similar to the FOA issued for FY10 number DE-PS02-09ER09-12, which is included with this RFP in Appendix A for reference purposes only. This RFP is based upon the criteria contained in the FY2010 FOA.

This RFP is to announce an open competition to university faculty at Louisiana institutions of higher education in order to select a **single, statewide proposal** to DOE EPSCoR. Proposers should be aware that DOE's issuance of the FY2011 FOA is not guaranteed. Thus, the Board of Regents (BoR) reserves the right to make adjustments to the timeline and other changes to the requirements contained in this RFP as needed to accommodate the conditions or provisions contained in the FY2011 FOA. If the FY2011 FOA requires specific changes to this RFP, a notification will be posted on the BoR website at <http://laregents.org> and disseminated to the campuses through the EPSCoR Committee members and Vice Presidents/Vice Chancellors for Research.

DOE EPSCoR is a federal-state partnership program designed to enhance the capabilities of designated states and territories to conduct sustainable and nationally competitive energy-related research. DOE EPSCoR supports the DOE's overarching mission by supporting scientific research across a wide range of program offices and topical areas in the Department, including but not restricted to: Advanced Scientific Computing Research, Basic Energy Sciences, Biological and Environmental Research, Fusion Energy Sciences, High Energy Physics, and Nuclear Physics, in the Office of Science; and may support research from other DOE Program Offices, including but not limited to: the Office of Civilian Radioactive Waste Management; the Office of Electricity Delivery and Energy Reliability; the Office of Energy Efficiency & Renewable Energy; the Office of Environmental Management; the Office of Fossil Energy; the Office of Legacy Management; and the Office of Nuclear Energy.

Proposals submitted in response to this RFP will be reviewed by an independent panel of out-of-state experts. The objective of this RFP is to identify a comprehensive research project that will be submitted by LA EPSCoR to the DOE in response to the FY2011 DOE Implementation Award announcement. Funding is contingent upon Louisiana receiving a DOE EPSCoR Implementation Award. The program will be administered through the Board of Regents' (BoR) Office of Sponsored Programs and will operate under the auspices of the State EPSCoR Committee, led by the LA EPSCoR Project Director.

II. PROGRAM DESCRIPTION

II.A. TARGET AREAS

The FY2010 FOA states that DOE EPSCoR supports

“scientific research across a wide range of program offices and topical areas in the Department, including but not restricted to: Advanced Scientific Computing Research, Basic Energy Sciences, Biological and Environmental Research, Fusion Energy Sciences, High Energy Physics, and Nuclear Physics, in the Office of Science; and may support research from other DOE Program Offices, including but not limited to the Office of Civilian Radioactive Waste Management; the Office of Electricity Delivery and Energy Reliability; the Office of Energy Efficiency & Renewable Energy; the Office of

Environmental Management; the Office of Fossil Energy; the Office of Legacy Management; and the Office of Nuclear Energy.”

Further information on the attributes of successful proposals can be found on page 6 of the FY2010 FOA under the section entitled “Supplementary Information.” In particular, proposers should note that:

“(the)Topical research area should be identified in the application with respect to the relevant DOE Program Office or Offices (websites listed below)¹ and the Office's specific program goals. The relevant program office(s) (and associated program manager(s) must be identified in the application narrative in order for it to be considered for EPSCoR support. As a measure of relevance to DOE missions, the Program Office or Offices will be requested to contribute (e.g.10%) to the support for the proposed effort.”

It is therefore **essential** that proposers interact with the relevant DOE program officers before submitting a proposal. Documentation to this effect will be required as part of the proposal.

The FY2010 FOA also notes that:

Though not required for the application, it is recommended that Implementation Awards work toward: building beneficial relationships between the research team and the 10 world-class laboratories managed by the Office of Science, leveraging DOE national user facilities, or exploring opportunities for scientific collaboration across the DOE system. Applications proposing research similar to that funded under previous Implementation Awards will not be considered. (Emphasis retained from FOA.)

The proposed project must be scientifically meritorious and demonstrate meaningful interdisciplinary collaboration involving multiple Louisiana research institutions. Applicants must be able to demonstrate a pre-existing critical mass as evidenced by a successful record of external research awards and peer-reviewed publications. To ensure maximum impact of EPSCoR funds, proposals must present a detailed strategy to generate subsequent, sustained non-EPSCoR funding from federal, State, or private sector sources.

II.B. FINANCIAL CONSIDERATIONS

The DOE EPSCoR website notes that implementation grants are for a maximum period of six years with an initial grant period of three years. This RFP requests proposals for the initial three year project. Continuation funding beyond the initial three years is contingent upon the availability of appropriated funds, progress of the research, and continuing program need. The DOE EPSCoR website at <http://www.er.doe.gov/bes/EPSCoR/apply.html> states that “Maximum funding for *Implementation Grants* will increase to \$2,500,000 per year with the next Funding Opportunity Announcement (FOA).” At this time, this is the only indication available of funding levels.

In addition to the available DOE funds, the BoR will provide \$500,000 per year in cost sharing from the Board of Regents Support Fund for the initial three years.

Louisiana’s DOE EPSCoR proposal, if successful, will result in an award to the BoR, as the award recipient, which will act as the fiscal agent in disbursing project funds and will issue a subcontract to the lead institution of the successful proposal. Funding is contingent upon Louisiana receiving an EPSCoR award. The LA EPSCoR Project Director (PD) will be the administrative PI of this award.

¹ See pages 6 and 7 of FY2010 DOE FOA

The participating institutions' commitment is considered vital to the long-range success of the project. As evidence of this commitment, a letter of support from the institution's Vice President/Chancellor for Research or President is required to delineate the institution's support to the proposed research project now and in the future. Institutional matching funds are not required.

Indirect costs may be charged only at the allowable BoR rate of 25% of salaries, wages, and fringe benefits.

II.C. ELIGIBILITY CONSIDERATIONS

All public institutions of higher education, as well as accredited independent institutions of higher education that are members of the Louisiana Association of Independent Colleges and Universities, are eligible to submit proposals under this RFP. Individuals listed as principal investigator (PI) on a proposal must hold a tenured or tenure-track faculty position at the submitting institution. Individuals who are not employed by an eligible institution may serve as consultants on proposals; however, they may not be listed as principal investigator or co-principal investigators.

According to information posted on the DOE EPSCoR website, principal Investigators (PIs) on current multi-investigator DOE grants or cooperative agreements are not eligible to apply. Co-Investigators on current DOE grant or cooperative agreements may serve as PIs or co-investigators on Implementation Grant proposals. PIs or co-investigators on current or former DOE EPSCoR State - National Laboratory partnership grants are also welcome to apply as PIs on Implementation Grant proposals.

An Implementation Grant award may include investigators from more than one EPSCoR state or territory; however, matching funds from the Board of Regents Support Fund can be expended only in Louisiana.

II.D. PROJECT ORGANIZATION

The State EPSCoR Project Director (PD), who is also the BoR's Associate Commissioner for Sponsored Programs Research and Development, will direct and manage the statewide DOE EPSCoR award. As a component of the statewide EPSCoR program, the recommended project will be under the purview of the BoR. The successful proposer will be expected to work closely with the PD and the LA EPSCoR office to incorporate the proposal into the State's EPSCoR submission to DOE.

II.E. TIMETABLE (*Dates may change, subject to requirements of FY2011 DOE FOA*)

March 24, 2011	Issuance of RFP
April 18, 2011	Notices of Intent due at BoR. (NOI must include written communication expressing support/interest in the proposed research; NOI is <u>required</u> for proposal submission.)
April 22, 2011	Last day to answer questions concerning this RFP
May 2, 2011	Proposals due at BoR
early May.....	Proposal review
mid-May	Further refinement of selected proposal
not currently known	Louisiana proposal due at DOE

III. PROPOSAL SUBMISSION AND FORMAT REQUIREMENTS

III.A. GENERAL REQUIREMENTS

The applicant is responsible for any misunderstandings that occur because of incorrect proposal assembly and electronic submission to the BoR.

III.B. NOTICE OF INTENT REQUIRED

A notice of intent (NOI), using the form provided with this RFP, **must** be emailed to the BoR by the lead institution's authorized representative to jim.gershey@la.gov in portable document format (pdf) no later than 4:30 p.m., Monday, April 18, 2011. An email acknowledging receipt of each NOI will be sent to the authorized institutional representative of the lead institution. **Proposals will not be accepted unless an NOI has been submitted by the due date. NOIs submitted directly by individual PIs will not be accepted.**

Please note that the NOI contains a section that describes how the project conforms to the FIRST Louisiana Science and Technology Plan, which can be found at: <http://web.laregents.org>.

III.C. DEADLINES

The deadline for the receipt of the Notice of Intent is **4:30 p.m., Monday, April 18, 2011**. If a confirmation email is not received by the authorized institutional representative by noon on Friday, April 1, 2011, the NOI has not been received.

The deadline for receipt of proposals on the BoR server is **4:30 p.m. Monday, May 2, 2011**. Failure to meet this deadline will invalidate the submission.

III.D. ELECTRONIC SUBMISSION

The proposal must be submitted to the Board of Regents by the submitting institution's authorized representative (e.g., office of sponsored programs or equivalent). **Proposals directly submitted to the Board of Regents by individual PIs will not be accepted.** All online submissions must be uploaded as a single PDF document through the LOGAN system.

Instructions for PIs:

1. Go to URL: <https://laregents.org/cgi-bin/logan/home>.
2. Login using your LOGAN credentials.
 - a. If you are new user and do not have a LOGAN login, please click on "New user registration" to register.
 - b. If you have logged into LOGAN before and have forgotten your credentials please send an email to karthik@la.gov.
3. After logging in, click on "DOE Implementation Proposals" and use the online form provided to select and upload the PDF document.
4. If upload is successful, send the proposal to your sponsored programs office by clicking the "Send Proposal to OSP/OSR". A proposal number will be assigned after the proposal is successfully sent to the PI's Office of Sponsored Programs/Research.
5. An email confirmation will be sent to the PI with the proposal number.
6. The OSP/OSR will review the proposal, and, if approved, forward the proposal to the Board of Regents.

Instructions for the OSP/OSR:

1. Go to URL: <https://laregents.org/cgi-bin/logan/home>.

2. Login using your Institutional credentials.
3. Select "DOE Implementation Proposals".
4. Follow simple onscreen instructions to submit the proposal to the Board of Regents, EPSCoR office.
5. An email will be sent to both the PI and the OSP/OSR to confirm successful submission of the proposal.

If **both** the PI and the OSP/OSR do not receive confirmation emails within 12 hours, the proposal was not received. Please contact Karthik Poobalashubramanian by phone at (225) 342-4253 or by email at karthik@la.gov.

III.E. TYPE SIZE AND FORMATTING

The Project Description must be formatted to a standard 8-1/2" x 11" page and have 1-inch top, bottom and side margins. Type height should be no smaller than 12 point; type density should be no more than 12 characters per inch; line spacing should be no more than five lines within a vertical space of one inch.

III.F. PROPOSAL ELEMENTS

The proposal must contain the following elements, in the order presented here:

1. **Cover Sheet** – Use cover sheet provided with this RFP. Do not attach institutional routing sheets or similar items.
2. **Project Summary** – Use BoR Form 1001S. The summary, written in terms that are understandable to a scientifically or technically literate lay reader, may not exceed one page. It should be a self-contained document that identifies the name of the principal investigator (PI) and co-principal investigators (Co-PIs), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information.
3. **Project Narrative** – The Project Narrative, not to exceed twenty (20) pages, consecutively numbered, including text as well as visual materials (charts, graphs, maps, photographs, etc.), must include the following sections:
 - (a) **Project Objectives**

This section should provide a clear, concise statement of the specific objectives/aims of the proposed project. It should contain enough background material, including review of the relevant literature, to demonstrate sufficient knowledge of the state of the science. The major part of the narrative should be devoted to a description and justification of the proposed project, including details of the method to be used. It should also include a timeline for the major activities of the proposed project, and should indicate which project personnel will be responsible for which activities.
 - (b) **Project Timetable**

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

4. **Biographical Sketches** – Include a biographical sketch for the PI, Co-PIs, and other senior/key persons. Follow the specifications in the DOE FY2010 FOA on page 13. Limit: 3 pages.
5. **Current and Pending Support** – List Current and Pending Support for each faculty level investigator. Use BoR Form 1001CP or equivalent.
6. **Bibliography and References Cited** – Pages should be titled “References” at the top. References must include titles of the publication and, where possible, a link to the reference. The references section is not included in the page count of the Project Description.
7. **Facilities, Equipment, and Other Resources** – Use BoR Form 1001F or equivalent.
8. **Budget and Budget Narrative** – Use BoR Budget Form 1001B. Prepare a separate budget page for each year plus a cumulative budget page. A budget justification must be included. Funding to be subcontracted to participating institutions must be listed under G.5, “subcontracts” and a detailed justification of these costs included in the budget justification. All matching funds for which the PI has received a commitment from an external source, as cited in the text of the proposal, must be listed on the budget page and explained in the budget justification. Travel must be reimbursed according to Louisiana travel regulations as stated in PPM 49. Indirect Cost request is limited to 25% of salaries, wages, and fringe. Unrecovered indirect costs may be used as institutional cost sharing.
9. **Letters of Commitment** – Include only official letters of commitment with specific commitments of resources from participating organizations.

IV. QUESTIONS ABOUT THIS RFP

Specific questions concerning this RFP and the requirements set forth herein should be directed **in writing** to Mr. Jim Gershey, Executive Director of Special Programs, by email to jim.gershey@la.gov. Questions will be accepted and answered through **Friday, April 22, 2011**. A running compilation of all questions asked about this RFP and all answers provided in response to those questions will be periodically posted on the BoR website at <http://laregents.org>.

NOTICE OF INTENT: FY2011 DOE EPSCoR: DUE APRIL 18, 2011

Please note: Before a full proposal will be accepted, proposers must complete this Notice of Intent (NOI). The information contained in the NOI will be used to help determine reviewers to evaluate the full proposals.

NAME OF PRINCIPAL INVESTIGATOR (PI):	NAME OF LEAD ORGANIZATION:	
PI DEPARTMENT:	PI PHONE NUMBER	EMAIL ADDRESS
TITLE OF PROPOSED PROJECT:		
LIST PARTICIPATING INSTITUTIONS/CAMPUSES:		
THE PROPOSED WORK WILL SUPPORT DOE'S OVERARCHING MISSION THROUGH THE FOLLOWING DOE PROGRAM OFFICE OR TOPICAL AREA:		
NOTE: Proposer must include as an attachment to this NOI written communication from a DOE Program Manager(s) expressing support/interest in the proposed research. An email is acceptable.		
NAMES of OTHER INVESTIGATORS	INSTITUTION/DEPARTMENT	HIGHEST DEGREE
CO-PI		
CO-PI		
CO-PI		
CO-PI		
CO-PI		
PROJECT SYNOPSIS (maximum 500 words):		
How the project conforms to the FIRST Louisiana Science and Technology Plan – See RFP for more information. (maximum 500 words):		

Provide names, titles, mailing addresses, telephone numbers, and e-mail addresses for at least three out-of-state scholars who are qualified to evaluate your proposed research and/or who can recommend other individuals who are qualified to evaluate your proposed research. Care should be taken to identify prospective reviewers who do not have conflicts of interest with the principal or co-principal investigators (hereafter referred to as 'applicants'), as might occur with former research collaborators, students, or major professors.

Reviewers cannot 1) have been a Louisiana faculty member during the previous five years; 2) have collaborated on a publication, funded project, or as a paid consultant with the applicants during the past five years; or 3) have supervised the master's thesis, doctoral candidacy, or post-doctoral work of the applicants.

In addition, although the Board cannot guarantee that certain reviewers will not be used, if the applicants believe certain individuals should not be asked to evaluate the proposal, their names, affiliations, and a brief explanation of the potential conflict must be provided. Attach additional pages as necessary to ensure that all required information is in legible form.

<u>Name/Title (typed)</u>	<u>Mailing Address and Email Address</u>	<u>Telephone #</u>

COVER SHEET FOR PROPOSAL TO THE BOARD OF REGENTS

FOR CONSIDERATION BY BoR ORGANIZATION UNITS(S) Sponsored Programs – EPSCoR			(FOR BoR USE ONLY) <hr/> BoR PROPOSAL NUMBER
PROGRAM ANNOUNCEMENT/SOLICITATION NO./CLOSING DATE DOE EPSCoR IMPLEMENTATION			
NAME OF LEAD ORGANIZATION:		ADDRESS OF LEAD ORGANIZATION, INCLUDING ZIP CODE:	
PI DEPARTMENT		PI POSTAL ADDRESS	
TITLE OF PROPOSED PROJECT:			
REQUESTED DOE AMOUNT, YR 1: \$	REQUESTED DOE AMOUNT, YR 2: \$	REQUESTED DOE AMOUNT, YR 3:	TOTAL DOE AMT. REQUESTED: \$
REQUESTED BoR AMOUNT, YR 1: \$	REQUESTED BoR AMOUNT, YR 2: \$	REQUESTED BoR AMOUNT, YR 3:	TOTAL BoR AMT. REQUESTED: \$
LIST PARTICIPATING INSTITUTIONS/CAMPUSES:			
LIST PROJECT DISCIPLINES:			
NAMES (TYPED)	Highest Degree/ year attained	Telephone Number	Email Address
PRINCIPAL INVESTIGATOR			
CO-PI			
CO-PI			
CO-PI			
CO-PI			

PROJECT SUMMARY (Form 1001S)

See RFP for instructions. **DO NOT EXCEED ONE PAGE.**

BIOGRAPHICAL SKETCH

See FYF2010 DOE FOA for instructions.
DO NOT EXCEED 3 PAGES PER PERSON.

BUDGET (Form 1001B)

LEAD PRINCIPAL INVESTIGATOR (PI):		ORGANIZATION:				Project Year: _____	
A. SENIOR PERSONNEL: PI/PD, Co-PI's, Faculty, & Senior Associates (List each separately with title, A.& show number in brackets(s))		DOE Funded person - months		DOE Funds Requested	BoR Fund Requested	Institutional Match (if any)	Total Project Costs
		CAL	ACAD	SUMR			
1.					0	0	0
2.					0	0	0
3.					0	0	0
4.					0	0	0
5.					0	0	0
6.() OTHERS (LIST INDIVIDUALLY ON BUDGET EXPLANATION PG)					0	0	0
7.() TOTAL SENIOR PERSONNEL (1-6)					0	0	0
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)							
1.() POST DOCTORAL ASSOCIATES					0	0	0
2.() OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)					0	0	0
3.() GRADUATE STUDENTS					0	0	0
4.() UNDERGRADUATE STUDENTS					0	0	0
5.() SECRETARIAL-CLERICAL					0	0	0
6.() OTHER					0	0	0
TOTAL SALARIES AND WAGES (A+B)					0	0	0
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)							
TOTAL SALARIES, WAGES, AND FRINGE BENEFITS (A+B+C)					0	0	0
D. PERMANENT EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM)							
TOTAL PERMANENT EQUIPMENT					0	0	0
E. TRAVEL		1. DOMESTIC (Incl. Canada & U.S. Possesions)			0	0	0
		2. FOREIGN			0	0	0
TOTAL TRAVEL					0	0	0
F. PARTICIPANT SUPPORT COSTS							
1. STIPENDS (Itemize levels, types + totals on budget justification page)					0	0	0
2. TRAVEL					0	0	0
3. SUBSISTENCE					0	0	0
4. OTHER (fully explain on justification page)					0	0	0
TOTAL PARTICIPANTS (1) TOTAL COST					0	0	0
G. OTHER DIRECT COSTS							
1. MATERIALS AND SUPPLIES					0	0	0
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION					0	0	0
3. CONSULTANT SERVICES					0	0	0
4. COMPUTER (ADP) SERVICE					0	0	0
5. SUBCONTRACTS					0	0	0
6. OTHER					0	0	0
TOTAL OTHER DIRECT COSTS					0	0	0
H. TOTAL DIRECT COSTS (A THROUGH G)					0	0	0
I. INDIRECT COSTS					0	0	0
J. TOTAL DIRECT AND INDIRECT COSTS (H+I)					0	0	0

CURRENT AND PENDING SUPPORT (Form 1001CP)

(From ALL sources, including Support Fund)

The following information MUST be provided for each faculty level participant. Use additional sheets as necessary.

NAME OF INVESTIGATOR:

Status of Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future
Project/Proposal Title:
Source of Support:
Award Amount (or Annual Rate): \$ _____ Period Covered: _____
Location of Activity:
Person-Months or % of Effort Committed to the Project: <input type="checkbox"/> Cal Yr <input type="checkbox"/> Acad <input type="checkbox"/> Summ
Status of Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future
Project/Proposal Title:
Source of Support:
Award Amount (or Annual Rate): \$ _____ Period Covered: _____
Location of Activity:
Person-Months or % of Effort Committed to the Project: <input type="checkbox"/> Cal Yr <input type="checkbox"/> Acad <input type="checkbox"/> Summ
Status of Support: <input type="checkbox"/> Current <input type="checkbox"/> Pending <input type="checkbox"/> Submission Planned in Near Future
Project/Proposal Title:
Source of Support:
Award Amount (or Annual Rate): \$ _____ Period Covered: _____
Location of Activity:
Person-Months or % of Effort Committed to the Project: <input type="checkbox"/> Cal Yr <input type="checkbox"/> Acad <input type="checkbox"/> Summ

FACILITIES, EQUIPMENT & OTHER RESOURCES (Form 1001F)

FACILITIES: Identify the facilities to be used at each performance site listed and, as appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Use "Other" to describe the facilities at any other performance sites listed and at sites for field studies. USE additional pages if necessary.

Laboratory:

Clinical:

Animal:

Computer:

Office:

Other: _____

MAJOR EQUIPMENT: List the most important items available for this project and, as appropriate identifying the location and pertinent capabilities of each.

OTHER RESOURCES: Provide any information describing the other resources available for the project. Identify support services such as consultant, secretarial, machine shop, and electronics shop, and the extent to which they will be available for the project. Include an explanation of any consortium/contractual arrangements with other organizations.

\

Appendix A

Funding Opportunity Announcement issued for FY10
number DE-PS02-09ER09-12

(For Reference Purposes Only)

**FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy
Office of Science
Office of Basic Energy Sciences**

**Experimental Program to Stimulate Competitive Research (DOE
EPSCoR) Implementation Awards**

Funding Opportunity Number: DE-PS02-09ER09-12

Announcement Type: Initial

CFDA Number: 81.049

ISSUE DATE: 05/ /2009

Application Due Date: 10/13/2009, 8:00 PM Eastern Time

**EFFECTIVE MARCH 12, 2009 DO NOT USE GRANTS.GOV TO SUBMIT
APPLICATIONS. USE DOE'S e-Center (IIPS) (<https://e-center.doe.gov/>).
Instructions on the Use of IIPS are located at
<http://www.sc.doe.gov/grants/IIPS-Instructions.html> .**

Applicants are required to use the compatible version of Adobe Reader software to complete a Grants.gov Adobe application package. To ensure you have the Grants.gov compatible version of Adobe Reader, visit the download software page at http://www.grants.gov/help/download_software.jsp "

Where to Submit:

ATTENTION - CHANGE IN SUBMISSION REQUIREMENT EFFECTIVE March 12, 2009

The Office of Science is now requiring all financial assistance applications be submitted through the Department of Energy e-Center (IIPS) <http://doe-iips.pr.doe.gov/>. Applicants will still need to visit the Grants.gov website <http://www.grants.gov/> to download the required Application Package (forms), by clicking on "Apply for Grants" and searching for the Funding Opportunity Announcement.

For Instructions on the Use of IIPS visit this web page, IIPS Instructions. <http://www.sc.doe.gov/grants/iips-Instructions.html>

All applications should be in a single PDF file.

Registration Requirements:

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

TABLE OF CONTENTS

PART I – FUNDING OPPORTUNITY DESCRIPTION

PART II – AWARD INFORMATION

- A. Type of Award Instrument**
- B. Estimated Funding**
- C. Maximum and Minimum Award Size**
- D. Expected Number of Awards**
- E. Anticipated Award Size**
- F. Period of Performance**
- G. Type of Application**

PART III – ELIGIBILITY INFORMATION

- A. Eligible Applicants**
- B. Cost Sharing or Matching**
- C. Other Eligibility Requirements**

PART IV – APPLICATION AND SUBMISSION INFORMATION

- A. Address to Request Application Package**
- B. Letter of Intent and Pre-Application**
- C. Content and Form of Application**
- D. Submissions from Successful Applicants**
- E. Submission Dates and Times**
- F. Intergovernmental Review**
- G. Funding Restrictions**
- H. Other Submission and Registration Requirements**

PART V – APPLICATION REVIEW INFORMATION

- A. Criteria**
- B. Review and Selection Process**
- C. Anticipated Notice of Selection and Award Dates**

PART VI – AWARD ADMINISTRATION INFORMATION

- A. Award Notices**
- B. Administrative and National Policy Requirements**
- C. Reporting**

PART VII – QUESTIONS/AGENCY CONTACTS

- A. Questions**
- B. Agency Contacts**

PART VIII – OTHER INFORMATION

- A. Modifications**
- B. Government Right to Reject or Negotiate**
- C. Commitment of Public Funds**
- D. Proprietary Application Information**
- E. Evaluation and Administration by Non-Federal Personnel**

- F. Intellectual Property Developed under this Program**
- G. Notice of Right to Request Patent Waiver**
- H. Notice Regarding Eligible/Ineligible Activities**
- I. Availability of Funds**

PART I – FUNDING OPPORTUNITY DESCRIPTION

GENERAL INQUIRIES ABOUT THIS FOA SHOULD BE DIRECTED TO:

Technical/Scientific Program Contact:

Dr. Tim Fitzsimmons

Phone: (301) 903-9830

Email: tim.fitzsimmons@science.doe.gov

STATUTORY AUTHORITY

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

Public Law 109-58, Energy Policy Act of 2005

APPLICABLE REGULATIONS

U.S. Department of Energy Financial Assistance Rules, codified at 10 CFR Part 600

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

SUMMARY:

The Office of Basic Energy Sciences (BES) in the Office of Science (SC), U.S. Department of Energy (DOE), hereby announces its interest in receiving grant applications for Implementation Awards under its Experimental Program to Stimulate Competitive Research (EPSCoR). Specifically, applications are sought for improvement of the academic research infrastructure in key science and technology energy-related areas identified by the EPSCoR jurisdiction's governing committee. Awards under this program are meant to support a group of scientists and researchers working on a common scientific theme across an EPSCoR jurisdiction or jurisdictions, and are not appropriate mechanisms to provide support for individual faculty science and technology research projects. Implementation Award applications will be accepted from EPSCoR jurisdictions that will not have an active Implementation Award which receives DOE funding in fiscal year 2010. Current expectations are that the following jurisdictions will be eligible for this Funding Opportunity Announcement (FOA): Alabama, Alaska, Arkansas, Hawaii, Idaho, Kansas, Mississippi, Nebraska, Nevada, Oklahoma, Rhode Island, South Carolina, South Dakota, Vermont, Wyoming, and U.S. Virgin Islands. Since DOE is currently following NSF eligibility practice, Iowa and Utah will be eligible to apply to this notice if their respective EPSCoR Committees have submitted to NSF an EPSCoR Planning Grant application prior to the closing date of this FOA.

SUPPLEMENTARY INFORMATION:

The U.S. Department of Energy's Experimental Program to Stimulate Competitive Research (DOE EPSCoR) is a federal-state partnership program designed to enhance the capabilities of designated states and territories to conduct sustainable and nationally competitive energy-related research. DOE EPSCoR supports the DOE's overarching mission by supporting scientific

research across a wide range of program offices and topical areas in the Department, including but not restricted to: Advanced Scientific Computing Research, Basic Energy Sciences, Biological and Environmental Research, Fusion Energy Sciences, High Energy Physics, and Nuclear Physics, in the Office of Science; and may support research from other DOE Program Offices including but not limited to the Office of Civilian Radioactive Waste Management; the Office of Electricity Delivery and Energy Reliability; the Office of Energy Efficiency & Renewable Energy; the Office of Environmental Management; the Office of Fossil Energy; the Office of Legacy Management; and, the Office of Nuclear Energy.

In preparation for submitting an application, the jurisdiction's EPSCoR Committee is expected to have undertaken a comprehensive analysis of the strengths, weaknesses, and opportunities for development of its research institutions in support of the jurisdiction's overall research and development objectives. Applications for this FOA should include the jurisdiction's strategy to develop and utilize the scientific and technological resources that reside in its research universities and industrial or economic resources. Successful awards are likely to be those that are focused on one energy-related research area bringing together multiple researchers. The successful applications will candidly represent the opportunities for enhanced academic research and for improving competitiveness of that jurisdiction in the acquisition of sustained non-EPSCoR support. The jurisdiction's infrastructure improvement strategy must have a high probability of realizing stated goals and objectives as judged by merit reviewers and DOE program managers. It is critical for the success of an application that adequate attention be given to the coordination of effort between the investigators both in the application and subsequent management of an award. Previous experience indicates that strong external advisory boards are a useful tool for the Principal Investigator and for the jurisdiction's DOE EPSCoR director in managing Implementation Awards and DOE EPSCoR encourages their formation and regular use. In all instances, performance milestones and a timetable for achieving project goals and deliverables are prerequisites for DOE EPSCoR support. Topical research area should be identified in the application with respect to the relevant DOE Program Office or Offices (websites listed below) and the Office's specific program goals. The relevant program office(s) (and associated program manager(s)) must be identified in the application narrative in order for it to be considered for EPSCoR support. As a measure of relevance to DOE missions, the Program Office or Offices will be requested to contribute (e.g.10%) to the support for the proposed effort. If the Program Office(s) or DOE program manager(s) are unknown, please contact the DOE EPSCoR office well before the application due date. Applications are open for scientific research across the entire range of energy related disciplines supported by DOE. Additional information on the DOE Research Programs is available at the following website addresses:

Department of Energy (General Information):

<http://www.energy.gov/>

Office of Science:

<http://www.science.doe.gov/>

Basic Energy Sciences:

<http://www.sc.doe.gov/bes/bes.html>

Biological and Environmental Research:

http://www.sc.doe.gov/ober/ober_top.html

Advanced Scientific Computing Research:

<http://www.sc.doe.gov/ascr/index.html>

Fusion Energy Sciences:

<http://www.science.doe.gov/ofes/>

High Energy Physics:

<http://www.science.doe.gov/hep/index.shtml>

Nuclear Physics:

<http://www.sc.doe.gov/np/>

Office of Scientific and Technical Information

<http://www.osti.gov/>

Energy Information Administration

<http://www.eia.doe.gov/>

National Nuclear Security Administration:

<http://www.nnsa.doe.gov/>

Office of Electricity Delivery and Energy Reliability

<http://www.oe.energy.gov/>

Office of Energy Efficiency and Renewable Energy:

<http://www.eere.doe.gov>

Office of Fossil Energy:

<http://www.fe.doe.gov>

Office of Environmental Management:

<http://www.em.doe.gov>

Office of Civilian Radioactive Waste Management:

<http://www.rw.doe.gov>

Office of Nuclear Energy:

<http://www.ne.doe.gov>

The objectives of the DOE Implementation Awards are to:

- Improve the capability of the designated EPSCoR jurisdiction to conduct sustainable and nationally competitive energy-related research.
- Support a group of scientists working on a common scientific theme across an EPSCoR jurisdiction or jurisdictions. (These awards are not meant to support individual faculty working on individual science and technology themes).

- Jumpstart infrastructure development in an EPSCoR jurisdiction or jurisdictions through increased human and technical resources.
- Promote partnering where appropriate, with other universities, industry and with national laboratories with strong participation by students, postdoctoral fellows, and junior faculty from EPSCoR jurisdictions.

Though not required for the application, it is recommended that Implementation Awards work toward: building beneficial relationships between the research team and the 10 world-class laboratories managed by the Office of Science, leveraging DOE national user facilities, or exploring opportunities for scientific collaboration across the DOE system. Applications proposing research similar to that funded under previous Implementation Awards will not be considered.

Subcontracts:

The lead organization may submit only one application; other organizations may be included as subcontractors. If an application is approved for funding, DOE will provide the total DOE project funds to the lead organization which will provide funding to the other participant(s) via a subcontract arrangement. The application should clearly describe the role to be played by each organization, specify the managerial arrangements and explain the advantages of the multi-organizational effort. The Principal investigator (PI) has to be a person designated by the jurisdiction's EPSCoR committee, and in consultation with the jurisdiction's DOE EPSCoR director. It is recommended that the PI be the lead technical director for the application (from the lead institution or organization) with a specified lead Project Administrator, preferably the jurisdiction's DOE EPSCoR director, to work with the PI to manage the award.

PART II – AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT.

DOE anticipates awarding grants under this program announcement.

B. ESTIMATED FUNDING.

Subject to Congressional authorization and approval of funds in Fiscal Year 2010, DOE anticipates an estimated \$1,700,000 will be available for awards to fund collaborative research and human resource development in energy-related science and engineering disciplines. Approximately two awards are anticipated in Fiscal Year 2010, at a maximum award level of \$1,000,000 per year, the maximum period of funding is six years with an initial grant period of three years. **DOE EPSCoR funding will not be provided to the National Laboratories.** Continuation funding for the awards will be contingent upon the availability of appropriated funds, progress of the research, and continuing program need. Renewal applications for implementation awards beyond the initial three-year period will be considered for an additional three years, subject to continuing meritorious performance and progress in the previous budget periods, as well as the value added of the proposed effort and the availability of funds. Request to supplement Implementation Awards funded under this FOA in subsequent years will be entertained as budget circumstances permit. DOE is under no obligation to pay for any costs associated with the preparation or submission of an application. DOE reserves the right to fund, in whole or in part, any, all, or none of the applications submitted in response to this Announcement.

C. MAXIMUM AND MINIMUM AWARD SIZE.

Refer to PART II – AWARD INFORMATION Section B. Estimated Funding above.

D. EXPECTED NUMBER OF AWARDS.

Refer to PART II – AWARD INFORMATION Section B. Estimated Funding above.

E. ANTICIPATED AWARD SIZE.

Refer to PART II – AWARD INFORMATION Section B. Estimated Funding above.

F. PERIOD OF PERFORMANCE.

Refer to PART II – AWARD INFORMATION Section B. Estimated Funding above.

G. TYPE OF APPLICATION.

DOE will accept new applications under this Announcement.

PART III - ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS.

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

B. COST SHARING.

Cost sharing is not required.

C. OTHER ELIGIBILITY REQUIREMENTS.

DOE EPSCoR currently follows National Science Foundation (NSF) EPSCoR eligibility criteria (refer to: <http://www.nsf.gov/od/oia/programs/epscor/eligible.jsp>) but further restricts eligibility to submit Implementation Award applications such that:

1. There is only one active Implementation Award that is receiving funding per EPSCoR jurisdiction at a time. Thus if an EPSCoR Implementation Award receives its last funding from DOE EPSCoR in fiscal year 2009, that jurisdiction is eligible to submit an Implementation Award application in fiscal year 2010. Current expectations are that the following jurisdictions will be eligible for this FOA: Alabama, Alaska, Arkansas, Hawaii, Idaho, Kansas, Mississippi, Nebraska, Nevada, Oklahoma, Rhode Island, South Carolina, South Dakota, Vermont, Wyoming, and U.S. Virgin Islands. Since DOE is currently following NSF eligibility practice, Iowa and Utah will be eligible to apply to this notice if their respective EPSCoR committees have submitted to NSF an EPSCoR Planning Grant application prior to the closing date of this FOA.
2. EPSCoR jurisdictions meeting the eligibility criteria above may submit one application. The jurisdiction’s EPSCoR Committee or their designee will have authority and responsibility to select the applicant on behalf of their jurisdiction.

PART IV – APPLICATION AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST APPLICATION PACKAGE.

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

B. LETTER OF INTENT AND PREAPPLICATION.

1. Letter of Intent.

A Letter of Intent is not required.

2. Preapplication.

Preapplications are not required.

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

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

1. SF 424 (R&R).

Complete this form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (Icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 17 can be found on the DOE Financial Assistance Forms Page at http://management.energy.gov/business_doe/business_forms.htm, under Certifications and Assurances.

2. RESEARCH AND RELATED Other Project Information.

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

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

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project administrator (PA), the principal investigator (PI), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major

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

Project Narrative (Field 8 on the Form).

The project narrative **must not exceed 20 pages** of technical information, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right).

EVALUATORS WILL ONLY REVIEW THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application, because the information contained in these sites will not be reviewed.

Confidential or proprietary information is discouraged, but any such information must be clearly marked as described in Part VIII. OTHER INFORMATION, section D Proprietary Application Information. To attach a Project Narrative, click “Add Attachment.”

The first page of your narrative must include the following information (this page will not count in the project narrative page limitation):

Applicant/Institution:

Street Address/City/State/Zip:

Project Administrator:

Address:

Telephone Number:

Email:

Principal Investigator:

Address:

Telephone Number:

Email:

DOE/Office of Science Program Office: DOE EPSCoR

DOE/Office of Science Program Office Technical Contact: Tim Fitzsimmons

DOE/Partner Program Office(s):

DOE/Partner Program Office Technical Contact(s):

Is this a Collaboration? If yes, please list ALL Collaborating Institutions/PIs*

The narrative comprises the research plan for the project. Letters of intent from all non-funded collaborators and short curriculum vitae (3 pages or less) of all senior personnel must be included in the application. Applications not meeting these requirements will be deemed ineligible during the initial screening process. The 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.

The project narrative must include:

Project Objectives:

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

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

Project Timetable:

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

Appendix 1: Biographical Sketch.

Provide a biographical sketch for the project director/principal investigator (PD/PI) and each senior/key person listed in Section A on the R&R Budget form. **Provide the biographical sketch information as an appendix to your project narrative. Do not attach a separate file.** The biographical sketch appendix will not count in the project narrative page limitation. The biographical information (curriculum vitae) for each person must not exceed 3 pages when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point and must include:

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

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

Publications. Provide a list most closely related to the proposed project. This may be part of a more extensive publications listing if desired. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically.

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

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

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

Collaborators and Co-editors: List in alphabetical order all persons, including their current organizational affiliation, who are, or who have been, collaborators or co-authors with you on a research project, book or book article, report, abstract, or paper during the 60 months preceding the submission of this application. Also, list any individuals who are currently, or have been, co-editors with you on a special issue of a journal, compendium, or conference proceedings during the 36 months preceding the submission of this application. If there are no collaborators or co-editors to report, state “None.”

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

Appendix 2: Current and Pending Support.

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

Appendix 3: Bibliography & References Cited.

Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. In order to reduce the number of files attached to your application, **please provide the Bibliography and References Cited information as an appendix to your project narrative. This appendix will not count in the project narrative page limitation.**

Appendix 4: Facilities & Other Resources.

This information is used to assess the capability of the organizational resources, including subawardee resources, available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. In order to reduce the number of files attached to your application, **please provide the Facility**

and Other Resource information as an appendix to your project narrative. 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. In order to reduce the number of files attached to your application, **please provide the Equipment information as an appendix to your project narrative. This appendix will not count in the project narrative page limitation.**

Appendix 6: Other Attachment.

If you need to elaborate on your responses to questions 1-6 on the “Other Project Information” document, **please provide this information as an appendix to your project narrative. This appendix will not count in the project narrative page limitation.**

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

3. RESEARCH AND RELATED BUDGET.

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

Budget Justification (Field K on the form).

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

4. PROJECT/PERFORMANCE SITE LOCATION(s)

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

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

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

5. SF-LLL Disclosure of Lobbying Activities.

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

Summary of Required Forms/Files

Your application must include the following documents:

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

D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.

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

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

E. SUBMISSION DATES AND TIMES.

1. Letter of Intent Due Date.

A Letter of Intent (LOI) is not required.

2. Preapplication Due Date.

Preapplications are not required.

3. Formal Applications.

Formal applications submitted in response to this Founding Opportunity Announcement must be received by October 13, 2009, 8:00 p.m. Eastern time, to permit timely consideration of awards in Fiscal Year 2010. **You are encouraged to transmit your application well before the deadline. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

F. INTERGOVERNMENTAL REVIEW.

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

G. FUNDING RESTRICTIONS.

Cost Principles. Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600 and 2 CFR 215.

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

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

H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS.

1. Where to Submit.

ATTENTION - CHANGE IN SUBMISSION REQUIREMENT EFFECTIVE March 12, 2009

The Office of Science is now requiring all financial assistance applications be submitted through the Department of Energy e-Center (IIPS) <http://doe-iips.pr.doe.gov/>. Applicants will still need to visit the Grants.gov website <http://www.grants.gov/> to download the required Application Package (forms), by clicking on "Apply for Grants" and searching for the Funding Opportunity Announcement.

For Instructions on the Use of IIPS visit this web page, IIPS Instructions.
<http://www.sc.doe.gov/grants/iips-Instructions.html>

All applications should be in a single PDF file.

2. Registration Process.

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

Part V - APPLICATION REVIEW INFORMATION

A. CRITERIA.

1. Initial Review Criteria.

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

2. Merit Review Criteria.

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

1. Scientific and/or Technical Merit of the Project;
2. Appropriateness of the Proposed Methods and/or Approach;
3. Competency of the Applicant's Personnel and Adequacy of Proposed Resources; and
4. Reasonableness and Appropriateness of the Proposed Budget (Justification of the Proposed Budget).
5. The likelihood of success of the Implementation Award application including:
 - a) *Does the proposer have a plan to or has the awardee made competitive faculty hires and retained outstanding faculty within the scope of the implementation award?*
 - b) *Does the proposer have a plan to attract or has the awardee hired outstanding graduate students and post docs?*
 - c) *Does the proposer have plans to develop or have they developed as part of the implementation award unique infrastructure capabilities that are critical to the advancement of science or technology? Alternatively, are they planning to or making unique contributions to DOE oriented capabilities (e.g., building or developing unique capabilities for a DOE experiment or facility)?*
 - d) *Does the proposer have plans to be or are the grantees on track to a sustained leadership position in their discipline(s)?*
 - e) *Does the proposer have plans to or are the grantees effectively leveraging DOE funding and capabilities with local and regional resources? How has the jurisdiction's EPSCoR Committee planned to and what actions have they taken to maximize the long-term impact of the award?*

DOE reserves the right to include performance under previous implementation awards and management value added provided by the jurisdiction's EPSCoR Committee and their designees as a factor in award decisions. Site visits or inverse site visits may be used as part of the evaluation process and in the review of performance up to and including at the completion of an award.

The evaluation process will also include program policy factors such as the relevance of the proposed research to the terms of the announcement and programmatic needs. Note that external peer reviewers are selected with regard to both their scientific expertise and the absence of conflict-of-interest issues. Both Federal and non-Federal reviewers may be used, and submission of an application constitutes agreement that this and previous conditions are acceptable to the investigator(s) and the submitting institution. Again, DOE Program Offices will be requested to contribute (e.g., 10%) towards prospective awards as a measure of programmatic relevance.

B. REVIEW AND SELECTION PROCESS.

1. Merit Review.

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

2. Selection.

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

3. Discussions and Award.

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

C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES.

DOE is striving to make awards within 6 months. The time interval begins on the date applications are due or the date the application is received, if there is no specified due date/deadline. Awards will be made in Fiscal Year 2010.

Part VI - AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES.

1. Notice of Selection.

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

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

2. Notice of Award.

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

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.

1. Administrative Requirements.

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR Part 600 and 10 CFR Part 605 (See: <http://ecfr.gpoaccess.gov>), except for grants made to Federal Demonstration Partnership (FDP) institutions. The FDP terms and conditions and DOE FDP agency specific terms and conditions are located on the National Science Foundation web site at http://www.nsf.gov/awards/managing/fed_dem_part.jsp.

2. Special Terms and Conditions and National Policy Requirements.

Special Terms and Conditions and National Policy Requirements.

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at http://management.energy.gov/business_doe/business_forms.htm. The National Policy Assurances to Be Incorporated As Award Terms are located at http://management.energy.gov/business_doe/business_forms.htm.

Intellectual Property Provisions.

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at http://www.gc.energy.gov/financial_assistance_awards.htm.

C. REPORTING.

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F4600.2, attached to the award agreement.

PART VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS.

Questions regarding the content of the announcement must be submitted through the “Submit Question” feature of the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Locate the program announcement on IIPS and then click on the “Submit Question” button. Enter required information. You will receive an electronic notification that your question has been answered. DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

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

B. AGENCY CONTACT:

GENERAL INQUIRIES ABOUT THIS FOA SHOULD BE DIRECTED TO:

Technical/Scientific Program Contact:

Contact: Dr. Tim Fitzsimmons
Telephone: (301) 903-9830
E-mail: tim.fitzsimmons@science.doe.gov

PART VIII - OTHER INFORMATION

A. MODIFICATIONS.

Notices of any modifications to this announcement will be posted on Grants.gov and the DOE Industry Interactive Procurement System (IIPS). You can receive an email when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS. When you download the application at Grants.gov, you can also register to receive notifications of changes through Grants.gov.

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE.

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

C. COMMITMENT OF PUBLIC FUNDS.

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

D. PROPRIETARY APPLICATION INFORMATION.

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

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

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

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

E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL.

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

F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM.

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

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

G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER.

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

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

H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES.

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

I. AVAILABILITY OF FUNDS

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