

FY2014 DOE EPSCoR IMPLEMENTATION AWARD

Request for Proposals

DEADLINE DATES:

Notices of Intent due: **March 5, 2014**

Last day for questions and answers about this RFP: **March 6, 2011**

Proposals due: **March 11, 2014**



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

Issue Date: **February 17, 2014**

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Baton Rouge, Louisiana 70802

(225) 342-4253

www.laregents.org

I. INTRODUCTION

This Request for Proposals (RFP) is being issued in response to the release of the FY2014 U. S. Department of Energy (DOE) Experimental Program to Stimulate Competitive Research (EPSCoR) Financial Funding Opportunity Announcement (FOA) for EPSCoR Implementation Awards number **DE-FOA0001087**, which is included with this RFP in Appendix A.

The purpose of 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. 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 basic and applied research and development across a wide range of non-defense topical across 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 Electricity Delivery and Energy Reliability; the Office of Energy Efficiency & Renewable Energy; the Energy Information Administration; the Office of Environmental Management; the Office of Fossil Energy; the Office of Legacy Management; non-defense needs of the National Nuclear Security Administration; 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, using the merit criteria listed in the FOA. 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 FY2014 DOE FOA. 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

Information regarding the topical research areas can be found on page 3 of the FOA under the section entitled "Supplementary Information." In particular, proposers should note that the FOA states that:

*"Applications **must** identify the topical research area or areas with respect to the relevant DOE Program Office or Offices (listed below) and the Office's specific program goals. The relevant program Office(s) and the associate scientific/technical point(s) of contact on the DOE (and not National Laboratory) staff **must** be identified on the first page of the application narrative."*

and

"As a measure of relevance to DOE missions, DOE EPSCoR will ask the Program Office or Offices to make a meaningful commitment to applications selected for award such as a financial contribution of up to 10% of 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 an element of the Notice of Intent and as part of the proposal.

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 FOA notes that implementation grants are for a maximum period of up to six years with an initial grant period of up to 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 FOA states that the minimum annual request is \$1,000,000, with a maximum annual request of \$2,500,000. A nominal amount of the requested funding (to be determined during the final stages of proposal preparation) will be devoted to BoR administrative costs.

In addition to the available DOE funds, the BoR will provide a maximum of \$500,000 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.

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.

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. DOE recommends that the Principal Investigator (PI) be the lead technical director for the application and have affiliation with the lead institution or organization. S/he should work with the PD, who will assist in the management and coordination of the award in meeting the jurisdiction's goals. 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 (Note: the BoR must provide DOE detailed information about Louisiana's proposal to be submitted to the competition no later than March 22, 2014; this has necessitated a very abbreviated in-state proposal timetable, as noted below:)

February 17, 2014.....	Issuance of RFP
March 5, 2014	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.)
March 6, 2014	Last day to answer questions concerning this RFP
March 11, 2014	Proposals due at BoR
March 12-19, 2014	Proposal review
March 20, 2014	Successful proposal identified
March 21, 2014	BoR provides Letter of Intent to DOE
Late March, early April	Further refinement of selected proposal
April 15, 2014	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. The proposal submission system is programmed to close at the deadline cited. Note that submission deadlines are absolute and that all campus work on the application, including final approval and submission to the Board of Regents by the designated campus office, must be completed on or before the deadline date and time.

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., Wednesday, March 5, 2014. 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: <https://web.laregents.org/program-evaluations/state-st-plan/>.

III.C. DEADLINES

The deadline for the receipt of the Notice of Intent is **4:30 p.m., Wednesday, March 5, 2014**. If a confirmation email is not received by the authorized institutional representative by noon on Thursday, March 6, 2014, the NOI has not been received.

The deadline for receipt of proposals on the BoR server is **4:30 p.m. Tuesday, March 11, 2014**. 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 support@laregents.org.
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 support@laregents.org.

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 font should be no smaller than 11 point.

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 Narrative** – The Project Narrative, not to exceed twenty-five (25) pages, consecutively numbered, including text as well as visual materials (charts, graphs, maps, photographs, etc.), must include the following sections:
 - **Background/Introduction:** Explanation of the importance and relevance of the proposed work as well as a review of the relevant literature.
 - **Proposed Research and Methods:** Identify the hypotheses to be tested (if any) and details the methods to be used including the integration of experiments with theoretical and computational research efforts.
 - **Timetable of Activities:** Timeline for all major activities including milestones and deliverables.
 - **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. There should be no ambiguity about which personnel will perform particular parts of the project, and the time at which these activities will take place.
3. **Biographical Sketches** – Include a biographical sketch for the PI, Co-PIs, and other senior/key persons. Follow the specifications in the DOE FOA on page 15. Limit: 2 pages.
4. **Current and Pending Support** – Follow the specifications in the DOE FOA on page 16. A typical format for current and pending support is provided as an appendix to this RFP.
5. **Bibliography and References Cited** – Follow the specifications in the DOE FOA on page 17.
6. **Facilities and Other Resources** – Follow the specifications in the DOE FOA on page 17.
7. **Equipment** - Follow the specifications in the DOE FOA on page 17.
8. **Budget and Budget Narrative** – Use BoR Budget form provided in the appendix. 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. Total BoR funds requested do not need to be divided equally between the project years, but cannot exceed \$500,000 over the entire three-year budget period.

8. **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 **Thursday, March 6, 2014**. 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: FY2014 DOE EPSCoR: DUE March 5, 2014

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 750 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 FY2014			
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: \$
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			

BUDGET

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

(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

Appendix A

U.S. Department of Energy Funding Opportunity Announcement
number DE-FOA-0001087

**FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT**



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

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

**Funding Opportunity Number: DE-FOA-0001087
Announcement Type: Initial
CFDA Number: 81.049**

Issue Date:	02/14/2014
Letter of Intent Due Date:	03/22/2014 at 5 PM Eastern Time A Letter of Intent is required
Pre-Application Due Date:	Not Applicable
Application Due Date:	04/15/2014 at 11:59 PM Eastern Time

Table of Contents

REGISTRATIONS I

SECTION I – FUNDING OPPORTUNITY DESCRIPTION..... 1

SECTION II – AWARD INFORMATION6

 A. TYPE OF AWARD INSTRUMENT.....6

 B. ESTIMATED FUNDING6

 C. MAXIMUM AND MINIMUM AWARD SIZE.....6

 D. EXPECTED NUMBER OF AWARDS.....6

 E. ANTICIPATED AWARD SIZE6

 F. PERIOD OF PERFORMANCE.....6

 G. TYPE OF APPLICATION6

SECTION III – ELIGIBILITY INFORMATION7

 A. ELIGIBLE APPLICANTS7

SECTION IV – APPLICATION AND SUBMISSION INFORMATION8

 A. ADDRESS TO REQUEST APPLICATION PACKAGE.....8

 B. LETTER OF INTENT AND PRE-APPLICATION.....8

 C. CONTENT AND APPLICATION FORMS.....11

 D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.....23

 E. SUBMISSION DATES AND TIMES23

 F. INTERGOVERNMENTAL REVIEW.....23

 G. FUNDING RESTRICTIONS23

 H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS24

SECTION V - APPLICATION REVIEW INFORMATION.....28

 A. CRITERIA28

 B. REVIEW AND SELECTION PROCESS30

 C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES31

SECTION VI - AWARD ADMINISTRATION INFORMATION32

 A. AWARD NOTICES.....32

 B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.....32

 C. REPORTING34

SECTION VII - QUESTIONS/AGENCY CONTACTS.....35

 A. QUESTIONS35

 B. AGENCY CONTACTS.....35

SECTION VIII - OTHER INFORMATION36

- A. MODIFICATIONS36
- B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE.....36
- C. COMMITMENT OF PUBLIC FUNDS.....36
- D. PROPRIETARY APPLICATION INFORMATION36
- E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL.....37
- F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM.....37
- G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER.....37
- H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES37
- I. AVAILABILITY OF FUNDS38

SECTION IX - APPENDICES/REFERENCE MATERIAL39

REGISTRATIONS

A. Systems to Register In

There are several one-time actions you must complete in order to submit an application in response to this Announcement. Applicants not currently registered with SAM and Grants.gov should allow **at least 44 days** to complete these requirements. You should start the process as soon as possible.

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

Applicants must register with the System for Award Management (SAM) at <http://www.sam.gov/>. If you had an active registration in the Central Contractor Registry (CCR), you should have an active registration in SAM. More information about SAM registration for applicants is found at https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations_v1.7.pdf.

Applicants must register with FedConnect at www.fedconnect.net. The full, binding version of assistance agreements will be posted to FedConnect.

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

B. Registering in Grants.gov

Applicants must register with Grants.gov.

For organizations, please follow the procedures detailed below, making use of the checklist provided below:

<http://www.grants.gov/web/grants/applicants/organization-registration.html>
<http://www.grants.gov/documents/19/18243/OrganizationRegChecklist.pdf>

For individuals, please follow the procedures detailed below:

<http://www.grants.gov/web/grants/applicants/individual-registration.html>

Organizations and individuals must have an E-Business (E-Biz) Point of Contact (POC). You may find the checklist at http://www.grants.gov/documents/19/18243/E-Biz_POC_Checklist.pdf useful.

Grants.gov maintains a User Guide at <http://www.grants.gov/documents/19/18243/GrantsGovApplicantUserGuide.pdf> and a list of Frequently Asked Questions at <http://www.grants.gov/web/grants/applicants/applicant-faqs.html>. Questions relating to the registration process, **system requirements, or how an application form works** must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov.

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

Applicants must download the application package, application forms and instructions, from Grants.gov at <http://www.grants.gov/> (Additional instructions are provided in Section IV A of this FOA.)

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

C. DOE Office of Science Portfolio Analysis and Management System (PAMS)

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

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

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

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

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

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

1. CREATE PAMS ACCOUNT:

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

- Click the “No, I have never had an account” link and then the “Create Account” button.
- You will be prompted to enter your name and email address, create a username and password, and select a security question and answer. Once you have done this, click the “Save and Continue” button.
- On the next page, enter the required information (at least one phone number and your mailing address) and any optional information you wish to provide (e.g., FAX number, website,

mailstop code, additional email addresses or phone numbers, Division/Department). Click the “Create Account” button.

- Read the user agreement and click the “Accept” button to indicate that you understand your responsibilities and agree to comply with the rules of behavior for PAMS.
- PAMS will take you the “Having Trouble Logging In?” page. (If you have been an Office of Science merit reviewer or if you have previously submitted an application, you may already be linked to an institution in PAMS. If this happens, you will be taken to the PAMS home page.)

2. REGISTER TO YOUR INSTITUTION:

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

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: sc.pams-helpdesk@science.doe.gov. All submission and inquiries about this Funding Opportunity Announcement should reference **DE-FOA-0001087**.

RECOMMENDATION

The Office of Science encourages you to register in all systems as soon as possible. You are also encouraged to submit letters of intent and applications before the deadline.

Section I – FUNDING OPPORTUNITY DESCRIPTION

GENERAL INQUIRIES ABOUT THIS FOA SHOULD BE DIRECTED TO:

Technical/Scientific Program Contact:

Dr. Tim Fitzsimmons
301-903-9830
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 600
U.S. Department of Energy, Office of Science Financial Assistance Program Rule, codified at 10 CFR 605

SUMMARY

The U. S. Department of Energy's Experimental Program to Stimulate Competitive Research (DOE EPSCoR) is a federal-state partnership program designed to help the Department lead the world in meeting today's and tomorrow's energy needs by increasing the geographic diversity of competitive capability to conduct energy-related research and development. Positioned within the Department's Office of Science (SC) in the Office of Basic Energy Sciences, and supporting basic and applied research and development across a wide range of DOE Programs, DOE EPSCoR hereby announces its interest in receiving applications for Implementation Grants from the academic, non-profit or industrial research community in states and territories (hereafter referred to as jurisdictions) eligible for the program.

Specifically, applications are sought for improvement of research competitiveness in key science and technology areas related to DOE Mission(s) identified by the jurisdiction's EPSCoR governing committee or other appropriate organization on behalf of the jurisdiction. Grants awarded under this program are meant to improve research infrastructure and to support a group of scientists and engineers including graduate students and post-doctoral fellows working on a common scientific theme in one or more than one EPSCoR jurisdictions. These awards are not appropriate mechanisms to provide support for individual faculty science and technology research projects. Since DOE EPSCoR is currently following NSF EPSCoR eligibility determinations, the following jurisdictions will be eligible for this FOA: Alabama, Alaska, Arkansas, Delaware, Guam, Hawaii, Idaho, Kansas, Kentucky, Louisiana, Maine, Mississippi, Missouri, Montana, Nebraska, Nevada, New Hampshire, New Mexico, North Dakota, Oklahoma, Puerto Rico, Rhode Island, South Carolina, South Dakota, Vermont, Virgin Islands, West Virginia, and Wyoming.

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:

- Improve the science and technology infrastructure across the Nation through support of a broader geographical distribution of research and development capacity, increased human and technical resources, and training of scientists and engineers.
- Enhance the capabilities of designated jurisdictions to conduct sustainable and nationally competitive energy-related research.
- Support the DOE's overarching mission by supporting basic and applied research and development across a wide range of non-defense topical areas across the Department including 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. It may also support research relevant to other DOE programs including but not limited to: the Office of Electricity Delivery and Energy Reliability, the Office of Energy Efficiency & Renewable Energy, the Energy Information Administration, the Office of Environmental Management, the Office of Fossil Energy, the Office of Legacy Management, non-defense needs of the National Nuclear Security Administration, and the Office of Nuclear Energy.

The objectives of DOE Implementation Grants are, in partnership with the EPSCoR jurisdictions, to:

- Jumpstart infrastructure development in the jurisdiction(s) through increased human and technical resources.
- Support a group of scientists working on a common scientific theme, with mutually supporting goals and objectives.
- When topically relevant to the subject matter of the application promote collaborations with other institutions of higher education and industry with strong participation by students, postdoctoral fellows, and junior faculty from EPSCoR jurisdictions. These collaborations may include institutions from other EPSCoR jurisdictions. Collaborations involving more than one institution are not a requirement.

DOE EPSCoR also encourages but does not require Implementation Grants to work toward building beneficial relationships between institutions in EPSCoR jurisdictions and the 10 world-class Federally Funded Research and Development Centers (FFRDCs) managed by the Office of Science. These institutions offer opportunities to leverage capabilities of DOE national user facilities and develop intellectual collaborations that may not be available locally. Please refer to the section on funding limitations below for limitations on national laboratory participation.

To further the success of the federal-state partnership and of the implementation grants in general, there are the following expectations on the applications for DOE EPSCoR support:

1. The jurisdiction's EPSCoR Committee or its designee is expected to have undertaken or adopted a comprehensive analysis of the strengths, weaknesses, and opportunities for improvement of research and development institutions and its industrial and economic resources in support of the jurisdiction's overall research and development strategy.

Applications for this FOA **must** reference and provide the website for this analysis and **must** describe the relevance of their application within the context of this strategy.

2. Applications **must** present the opportunities for enhanced academic research and development competitiveness and if appropriate, industrial or economic competitiveness, for the jurisdiction, including plans for the acquisition of sustained non-EPSCoR support.
3. Applications **must** exhibit a coherent focus on one energy-related research area bringing together multiple researchers.
4. Applications **must** present a management plan for coordinating multiple investigators working on a common theme. This **must** include performance milestones and a timetable for achieving project goals and deliverables. Previous experience indicates that strong external advisory boards are a useful tool for the managing Implementation Grant awards. DOE EPSCoR strongly encourages their formation and regular use.
5. Applications **must** include letters of commitment/endorsement as noted below in the:
 - a) Principal Investigator, Project Director and Jurisdiction EPSCoR Committee Roles section;
 - b) LETTER subsection of section IV C, Content and Application Forms; and,
 - c) Appendix VI Institutional and EPSCoR Jurisdiction Commitment subsection of section IV C, Content and Application Forms.
6. Applications **must** identify the topical research area or areas with respect to the relevant DOE Program Office or Offices (listed below) and the Office's specific program goals. The relevant program Office(s) and the associated scientific/technical point(s) of contact on the DOE (and not National Laboratory) staff **must** be identified on the first page of the application narrative. If the Program Office or the associated scientific/technical point(s) of contact are unknown, please contact the DOE EPSCoR office well in advance of the Letter of Intent due date.

As a measure of relevance to DOE missions, DOE EPSCoR will ask the Program Office or Offices to make a meaningful commitment to applications selected for award such as a financial contribution of up to 10% of the support for the proposed effort. While program offices or program office staff may not recommend commitment of funds prior to merit review, prospective applicants should make themselves aware of potential programmatic areas of interest prior to drafting an application. 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://science.energy.gov/
Basic Energy Sciences:	http://science.energy.gov/bes/
Biological and Environmental Research:	http://science.energy.gov/ber/
Advanced Scientific Computing Research:	http://science.energy.gov/ascr/
Fusion Energy Sciences:	http://science.energy.gov/fes/
High Energy Physics:	http://science.energy.gov/hep/
Nuclear Physics:	http://science.energy.gov/np/
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
Office of Environmental Management
Office of Nuclear Energy

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

7. DOE EPSCoR reserves the right to give priority to applications that propose to develop new research areas rather than those that propose to enhance or continue research areas that have been previously funded under EPSCoR implementation grants. Other selection criteria are described in subsection 2 of Section V B, REVIEW AND SELECTION PROCESS.

Funding limitations, continuation of funding, possibility of renewals:

While DOE EPSCoR funding will not be provided to FFRDCs nor awarded to non-EPSCoR jurisdictions, the awardee may use consulting and other arrangements with FFRDCs for necessary expertise and capabilities on a limited basis.

Continuation funding for the awards will be contingent upon the availability of appropriated funds, progress of the research towards meeting the objectives of the approved application, submission of required reports and compliance with the terms and conditions of the award.

After an initial project period of up to three years, renewal applications will be considered for an additional period of up to three years, subject to peer review of a renewal application, continuing meritorious performance and progress in the previous award period, continuing program office need, program office commitment to the effort, and the availability of funds.

Subcontracts:

The lead organization may submit the one application on behalf of its jurisdiction. Other participating organization(s) may be included as lower-tier participant(s) or sub-awardee(s) who will be responsible for a smaller portion of the overall project. If an application is approved for funding, DOE will provide the total DOE project funds to the lead organization that will then 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.

Principal Investigator, Project Director and Jurisdiction EPSCoR Committee Roles:

It is recommended that the Principal Investigator (PI) be the lead technical director for the application and have affiliation with the lead institution or organization. S/he should work with a specified Project Director (PD), such as the DOE EPSCoR state director, who will assist in the management of the award and the coordination of the award to meeting the jurisdiction's goals. The PD and PI **must** provide letters of commitment from a responsible member of their institution's administration confirming that they each will be making a significant time commitment to administering the project should it be selected for an award.

The jurisdiction's EPSCoR Committee is responsible for selecting the one applicant submitting on behalf of the jurisdiction. A letter of endorsement from the jurisdiction's EPSCoR Committee or its designee **must** accompany both the letter of intent and application.

Section II – AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT

DOE anticipates awarding grants under this FOA.

B. ESTIMATED FUNDING

Research Grant Awards are expected to be made for a period of two or three years at a funding level appropriate for the proposed scope, with out-year support contingent on the availability of funds and satisfactory progress. Total funding of up to \$3,800,000 annually is expected to be available to support this FOA subject to appropriation of funds by the Congress. 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 FOA.

C. MAXIMUM AND MINIMUM AWARD SIZE

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

Ceiling

\$2,500,000 per year

Floor

\$1,000,000 per year

D. EXPECTED NUMBER OF AWARDS

Approximately 2 to 3 awards are expected.

E. ANTICIPATED AWARD SIZE

(refer to section II C. Maximum and Minimum Award Size)

F. PERIOD OF PERFORMANCE

(refer to Funding limitations, continuation of funding, possibility of renewals section above.)

G. TYPE OF APPLICATION

DOE will accept new applications under this FOA.

Section III – ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

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

B. OTHER ELIGIBILITY REQUIREMENTS.

Since DOE EPSCoR is currently following NSF EPSCoR eligibility determinations, the following jurisdictions will be eligible for this FOA: Alabama, Alaska, Arkansas, Delaware, Guam, Hawaii, Idaho, Kansas, Kentucky, Louisiana, Maine, Mississippi, Missouri, Montana, Nebraska, Nevada, New Hampshire, New Mexico, North Dakota, Oklahoma, Puerto Rico, Rhode Island, South Carolina, South Dakota, Vermont, Virgin Islands, West Virginia, and Wyoming.

Section IV – APPLICATION AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST APPLICATION PACKAGE

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants”, and then select “Download Application Package.” Enter the CFDA number (81.049) and/or the funding opportunity number (DE-FOA-0001087) shown on the cover of this FOA and then follow the prompts to download the application package.

Applications submitted through www.FedConnect.net will not be accepted.

B. LETTER OF INTENT AND PRE-APPLICATION

1. Letter of Intent

LETTER OF INTENT DUE DATE

A Letter of Intent is **required** and **must** be submitted by 5 PM Eastern Time, March 22, 2014. Any full application received for which there is not an associated LOI will be deemed non-responsive and will be rejected without further review.

The LOI is to help in planning the review and the selection of potential reviewers for the application. For this purpose, the LOI **must** include the following:

- 1) A cover sheet containing:
 - a. the name and mailing address of the sponsoring institution;
 - b. the planned title of the research application;
 - c. the name, e-mail address, and telephone number of the Project Director;
 - d. the name, e-mail address, and telephone number of the Principal Investigator;
 - e. the topical research area(s);
 - f. DOE Office Sponsoring this FOA: DOE EPSCoR;
 - g. DOE EPSCoR Scientific/Technical Contact: Tim Fitzsimmons;
 - h. DOE Program Office (this is in addition to the EPSCoR program); and,
 - i. DOE Program Office Scientific/Technical Contact (this is in addition to the DOE EPSCoR program manager and may not be a DOE National Laboratory research scientist)
- 2) A narrative of up to three pages. The narrative should present the scientific and technical objectives and the research plan. The narrative **must** reference the jurisdiction’s strategy to develop and utilize the scientific and technical resources (this is the jurisdiction’s science and technology plan referred to in NSF EPSCoR literature) and begin to place the research in context of that jurisdiction’s infrastructure improvement strategy.
- 3) A letter of endorsement from the jurisdiction’s EPSCoR Committee or its designee; and,
- 4) The following two Tables, which will not count toward the three-page limit for the LOI:

Table 1: Senior/key personnel on the application and institutional affiliations

Senior/Key Personnel			Institution
Last Name	First Name	Title	Institution Name

Table 2: Collaborators for senior/key personnel on the application*

Collaborator			Institution
Last Name	First Name	Title	Institution Name

* Table 2 **must** include co-authors over the past 48 months, graduate and postdoctoral advisors of the senior/key personnel, graduate students and postdoctoral associates that have been supervised by the senior/key personnel during the past 60 months, and any other current close associations of the senior/key personnel. Table 2 should exclude all personnel at any of the institutions listed in Table 1.

The LOI must be submitted electronically through the DOE Office of Science Portfolio Analysis and Management System (PAMS) website <https://pamspublic.science.energy.gov/>. It is important that the LOI be a single file with extension .pdf, .docx, or .doc. The Principal Investigator (PI) and anyone submitting on behalf of the PI must register for an account in PAMS before it will be possible to submit a letter of intent. **All PIs and those submitting LOIs on behalf of PIs are encouraged to establish PAMS accounts as soon as possible to avoid submission delays.**

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

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 the “Having Trouble Logging In?” page. (If you have been an Office of Science merit reviewer or if you have previously submitted an application, you may already be linked to an institution in PAMS. If this happens, you will be taken to the PAMS home page.

Register to Your Institution:

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

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 / Respond to Funding Opportunity Announcements” link and find the current announcement in the list. Click the “Actions/Views” link in the Options column next to this announcement to obtain a dropdown menu. Select “Submit 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 Principal Investigator (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.

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: sc.pams-helpdesk@science.doe.gov. All submission and inquiries about this Funding Opportunity Announcement should reference **DE-FOA-0001087**.

2. Pre-application

NOT APPLICABLE

C. CONTENT AND APPLICATION FORMS

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

Files that are attached to the forms must be in Adobe Portable Document Format (PDF) 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 submit PDF portfolios or binders.

LETTERS

Letters of support or commitment **must** be included for all collaborations and consultants described or listed in the application as contributing to the research effort.

1. SF-424 (R&R)

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

PUBLIC POLICY REQUIREMENTS

The applicant assures DOE of its compliance with applicable public policy requirements, including the following:

Animal Welfare Act	7 USC 2131 et seq., 10 CFR 600, 10 CFR 602
Buy American Act	41 USC 10 et seq.
Cargo Preference Act	46 USC 55305, 46 CFR 381.7
Civil Rights Protections	10 CFR 1040, 10 CFR 600
Debarment and Suspension	10 CFR 600, 2 CFR 180, 2 CFR 901
Drug-Free Workplace Act	41 USC 701, 10 CFR 607
Environmental Protections	42 USC 7401, 33 USC 1251, 42 USC 4321, 10 CFR 600
False Claims Act	31 USC 3729, 18 USC 287, 18 USC 1001, 10 CFR 1013
Federal Funding Accountability and Transparency Act	P.L. 109-282, 2 CFR 170
Fly America Act	49 USC 40118
Hatch Act	5 USC 1501 et seq., 10 CFR 600
Human Research Subjects Protections	10 CFR 745, 10 CFR 600
Lobbying Disclosure Act	2 USC 1601 et seq.
Lobbying Prohibitions	31 USC 1352, 10 CFR 601
Metric System use	EO 12770
Non-delinquency on Federal Debt	28 USC 3201
Prohibition on benefitting Members of Congress	41 USC 6306
Seat Belt Use	EO 13043
Terrorist Financing	EO 13224, 66 FR 49079
Text Messaging While Driving	EO 13513, 74 FR 51225
Trafficking in Persons	22 USC 7104, 2 CFR 175

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 is a summary of the proposed activity suitable for distribution to the public and sufficient to permit potential reviewers to identify conflicts of interest. It must be a self-contained document. Provide the name of the applicant, the project title, the project director/principal investigator(s) (PD/PI) and the PD/PI's institutional affiliation, any coinvestigators and their institutional affiliations, the objectives of the project, a description of the project, including methods to be employed, and the potential impact of the project (i.e., benefits, outcomes). A sample is provided below:

<p>A Really Great Idea</p> <p>A. Smith, Lead Institution (Principal Investigator) A. Brown, Institution 2 (Co-Investigator) A. Jones, Institution 3 (Co-Investigator)</p> <p>Text of abstract</p>

The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font not smaller than 11 point. To attach a Project Summary/Abstract, click "Add Attachment."

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

DOE COVER PAGE

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

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

- The project title
- Applicant/Institution:
- Street Address/City/State/Zip:
- Postal Address:
- PD name, telephone number, e-mail:
- Lead PI name, telephone number, email:
- Administrative Point of Contact name, telephone number, email:
- Funding Opportunity FOA Number: DE-FOA-0001087
- DOE/Office of Science Program Office: DOE EPSCoR
- DOE/Office of Science Technical Contact: Tim Fitzsimmons
- DOE/ Program Office:
- DOE/ Program Office Scientific/Technical Contact:
- PAMS Letter of Intent tracking number (if applicable):
- Research area or areas as identified in Section I of this FOA:

COVER PAGE SUPPLEMENT FOR COLLABORATIONS

(Part of Project Narrative attached to field 8 on the Form)

On separate pages, as a supplement to the cover page, include the following personnel and summary budget information for all senior/key personnel and all partner institutions:

Table 1: Senior/key personnel on the application and institutional affiliations

Senior/Key Personnel			Institution
Last Name	First Name	Title	Institution Name

** Applicants are strongly encouraged to follow the exact format of the sample table above since the tabular information will be compiled across all applications. This includes the following elements:

- Include grid lines around each cell.
- Do not merge name or institution cells, even if individuals share the same institution.
- Do not change the order of the columns.
- Do not include any additional information (e.g. “PI”, “Co-PI”, or footnote symbols) under “Last Name” and “First Name”.
- Do not include departmental affiliations under Institutions.
- If an individual has a joint appointment, separate the institutions with a “/” (i.e. “Univ of X / National Lab Y”).

Table 2: Summary budget information for all partner institutions

Institution Name	Year 1 Budget	Year 2 Budget	Year 3 Budget	Total Budget
Total Budget				

** Provide the total costs (\$ in thousands) of the budget request in each year for each institution and totals for all rows and columns.

PROJECT NARRATIVE (FIELD 8 ON THE FORM)

The project narrative **must not exceed 25 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). The font must not be smaller than 11 point. Merit reviewers will only consider the number of pages specified in the first sentence of this paragraph. This page limit does not apply to the Cover Page, Budget Page(s), Budget Justification, biographical material, publications and references, and appendices, each of which may have its own page limit.

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

Background/Introduction: Explanation of the importance and relevance of the proposed work as well as a review of the relevant literature.

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.

Timetable of Activities: Timeline for all major activities including milestones and deliverables.

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

APPENDIX 1: BIOGRAPHICAL SKETCH

Provide a biographical sketch for the project director/principal investigator (PD/PI) and each senior/key person listed in Section A on the R&R Budget form.

- Provide the biographical sketch information as an appendix to your project narrative.
- Do not attach a separate file.
- The biographical sketch appendix will not count in the project narrative page limitation.
- The biographical information (curriculum vitae) for each person must not exceed 2 pages

when printed on 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point and must include:

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

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

Publications: Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically. Patents, copyrights and software systems developed may be provided in addition to or substituted for publications.

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

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

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

Personally Identifiable Information: Do not include sensitive personally identifiable information such as a Social Security Number, date of birth, or city of birth. Do not include information that a merit reviewer should not make use of.

APPENDIX 2: CURRENT AND PENDING SUPPORT

Provide a list of all current and pending support (both Federal and non-Federal) for the 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. Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.

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

APPENDIX 3: BIBLIOGRAPHY & REFERENCES CITED

Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. For research areas where there are routinely more than ten coauthors of archival publications, you may use an abbreviated style such as the Physical Review Letters (PRL) convention for citations (listing only the first author). For example, your paper may be listed as, “A Really Important New Result,” A. Aardvark et. al. (MONGO Collaboration), PRL 999. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. Provide the Bibliography and References Cited information as an appendix to your project narrative.

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

APPENDIX 4: FACILITIES & OTHER RESOURCES

This information is used to assess the capability of the organizational resources, including subawardee resources, available to perform the effort proposed. Identify the facilities to be used (Laboratory, 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: INSTITUTIONAL AND EPSCoR JURISDICTION COMMITMENT

The National Academies study of EPSCoR and EPSCoR like programs and the most recent Committee of Visitors report on DOE EPSCoR recommended actions to promote engagement and commitment on the part of the EPSCoR jurisdictions and institutions as a necessary component of the EPSCoR partnership. Accordingly, the applicant **must** provide a letter or letters of commitment describing any jurisdictional, institutional or private sector commitments towards the research effort. Examples of previously successful contributions have included, but are not limited to: faculty hires, equipment purchases, facility renovations, faculty time, graduate student and post-doctoral fellow support, and travel support. Commitment by the institution or jurisdiction will be a factor included in the evaluation process.

APPENDIX 7: LIST OF COLLABORATORS AND POSSIBLE CONFLICTS OF INTEREST

In tabular form following the example below**, provide a list of collaborators for all senior/key personnel, including co-authors over the past 48 months, graduate and postdoctoral advisors of the senior/key personnel, graduate students and postdoctoral associates that have been supervised by the senior/key personnel during the past 60 months, and any other current close associations of the senior/key personnel. The table should exclude all personnel at any of the institutions participating in this application.

Collaborator			Institution
Last Name	First Name	Title	Institution Name

** Applicants are strongly encouraged to follow the exact format of the sample table since the tabular information will be compiled across all applications. This includes the following elements:

- Include grid lines around each cell.
- Do not merge name or institution cells, even if individuals share the same institution.
- Do not change the order of the columns.
- Do not include any additional information (e.g. “PI”, “Co-PI”, or footnote symbols) under “Last Name” and “First Name”.
- Do not include departmental affiliations under Institutions.
- If an individual has a joint appointment, separate the institutions with a “/” (i.e. “Univ of X / National Lab Y”).
- Provide “LIST OF COLLABORATORS AND POSSIBLE CONFLICTS OF INTEREST” as Appendix 7 to the project narrative within the same file. Do not attach a separate file.
- This appendix will not count in the Project Narrative page limitation.

APPENDIX 8: OTHER ATTACHMENT

If you need to elaborate on your responses to questions 1-6 on the “Other Project Information” document, please provide the Other Attachment information as an appendix to your project narrative. Information not easily accessible to a reviewer may be included in this appendix, but

do not use this appendix to circumvent the page limitations of the application. Reviewers are not required to consider information in this appendix.

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

3. Research and Related Budget

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

Budget Fields

Section A Senior/Key Person	For each Senior/Key Person, enter the requested information. List personnel, base salary, the number of months that person will be allocated to the project, requested salary fringe benefits, and the total funds requested for each person. The requested salary must be the product of the base salary and the effort. Include a written narrative in the budget justification that justifies the need for requested personnel.
Section B Other Personnel	List personnel, the number of months that person will be allocated to the project, requested salary fringe benefits, and the total funds requested for each person. Include a written narrative in the budget justification that fully justifies the need for requested personnel.
Section C Equipment	For the purpose of this budget, equipment is designated as an item of property that has an acquisition cost of \$5,000 or more and an expected service life of more than one year. (Note that this designation applies for proposal budgeting only and differs from the DOE definition of capital equipment.) List 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.
Section D	For purposes of this section only, travel to Canada or to Mexico is

Travel	<p>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.</p>
Section E Participant/Trainee Support Costs	<p>If applicable, submit training support costs. Educational projects that intend to support trainees (precollege, college, graduate and post graduate) must list each trainee cost that includes stipend levels and amounts, cost of tuition for each trainee, cost of any travel (provide the same information as needed under the regular travel category), and costs for any related training expenses. Participant costs are those costs associated with conferences, workshops, symposia or institutes and breakout items should indicate the number of participants, cost for each participant, purpose of the conference, dates and places of meetings and 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>
Section F Other Direct Costs	<ul style="list-style-type: none"> • Materials and Supplies: Enter total funds requested for materials and supplies in the appropriate fields. In the budget justification, indicate general categories such as glassware, and chemicals, including an amount for each category (items not identified under "Equipment"). Categories less than \$1,000 are not required to be itemized. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). • Publication Costs: Enter the total publication funds requested. The proposal budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the award. In the budget justification, include supporting information. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). • Consultant Services: Enter total funds requested for all consultant services. In the budget justification, identify each consultant, the services he/she will perform, total number of days, travel costs, and total estimated costs. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). • ADP/Computer Services: Enter total funds requested for ADP/Computer Services. The cost of computer services, including computer-based retrieval of scientific, technical and education information may be requested. In the budget justification, include

	<p>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).</p> <ul style="list-style-type: none"> • 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)
Section H Other Indirect Costs	Enter the Indirect Cost information for each field. Only four general categories of indirect costs are allowed/requested on this form, so please consolidate if needed. Include the cognizant Federal agency and contact information if using a negotiated rate agreement.
Section I Total Direct and Indirect Costs	This is the total of Sections G and H

BUDGET JUSTIFICATION (FIELD 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; materials and supplies; publication; consultant services; ADP/computer services; subaward/consortium/contractual; equipment or facility rental/user fees; alterations and renovations; and indirect cost type. Provide any other information you wish to submit to justify your budget request. **Attach a single budget justification file for the entire project period in field K.** The file automatically carries over to each budget year.

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

Budgets for Subawardees, other than DOE FFRDC Contractors: You must provide a separate cumulative R&R budget for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (whichever is less). If

you are selected for award, you must submit a multi-year budget for each of these subawardees (See Section IV.D for submission of Subawardees’ multi-year budgets). Download the R&R Budget Attachment from the R&R SUBAWARD BUDGET ATTACHMENT(S) FORM and e-mail it to each subawardee that is required to submit a separate budget. After the subawardee has e-mailed its completed budget back to you, attach it to one of the blocks provided on the form. Use up to 10 letters of the subawardee’s name (plus.pdf) as the file name (e.g., ucla.pdf or energyres.pdf).

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

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

5. Project/Performance Site Location(s)

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

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

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

6. Summary of Required Forms/Files

Your application must include the following items:

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
- Environmental Information

E. SUBMISSION DATES AND TIMES

1. Letter of Intent Due Date

03/22/2014 at 5 PM Eastern Time

You are encouraged to submit your Letter of Intent well before the deadline.

2. Pre-application Due Date

Not Applicable

3. Application Due Date

04/15/2014 at 11:59 PM Eastern Time

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

4. Late Submissions

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

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

Cost Principles: Costs must be allowable, allocable and reasonable in accordance with the applicable Federal cost principles referenced in 10 CFR 600. The cost principles for commercial

organization are in FAR Part 31 and DEAR Parts 931 and 970.31.

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 600 and 2 CFR 215. Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period.

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

H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

1. Where to Submit

Applications must be submitted through grants.gov to be considered for award.

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

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

2. Registration Process

ONE-TIME REGISTRATION PROCESS

You must complete the one-time registration process (all steps) before you can submit your first application through Grants.gov (See <http://www.grants.gov/web/grants/applicants/grant-application-process.html>). We recommend that you start this process at least six weeks before the application due date. It may take 44 days or more to complete the entire process. Use the Grants.gov Organizational Registration Checklists at <http://www.grants.gov/web/grants/applicants/organization-registration.html> to guide you through the process. IMPORTANT: During the SAM registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called "Marketing Partner Identification Number" (MPIN). When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e., Grants.gov registration).

3. Application Receipt Notices

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

- Number 1 - Grants.gov Submission Receipt Number
- Number 2 - Grants.gov Submission Validation Receipt for Application Number
- Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number
- Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number

3. Viewing Submitted Applications

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

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

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

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

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

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

1. Log in to PAMS at <https://pamspublic.science.energy.gov/>.
2. Click the “Proposals” tab and click “Access Previously Submitted Grants.gov Proposal.”
3. Enter the following information:
 - Proposal ID: Enter the ten-digit PAMS proposal ID, including the leading zeros (e.g., 00002xxxxx). Do not use the Grants.gov proposal number. Use the PAMS number previously sent to you in the email with subject line, “Receipt of Proposal ...”.
 - Email (as entered in Grants.gov proposal): Enter your email address as it appears on the SF424(R&R) Cover Page.
 - Choose Role: Select the radio button in front of the role corresponding to the SF-424 (R&R) cover page. If your name appears in block 19 of the SF-424 (R&R) cover page as the authorizing representative, select “SRO/BO/AO (Sponsored Research Officer/Business Officer/Administrative Officer).” If your name appears in block 14 of the SF424 R&R cover page as the PI, select “Principal Investigator (PI).” If your name

- appears in block 5 of the SF424 R&R as the point of contact, select “Other (POC).”
4. Click the “Save and Continue” button. You will be taken to your “My Proposals” page. The Grants.gov proposal will now appear in your list of proposals. Click the “Actions/Views” link in the options column next to this proposal to obtain a dropdown list. Select “Proposal” from the dropdown to see the proposal. Note that the steps above will work only for proposals submitted to the DOE Office of Science since May 2012.

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

1. To register, click the “Create New PAMS Account” link on the website <https://pamspublic.science.energy.gov/>.
2. Click the “No, I have never had an account” link and then the “Create Account” button.
3. You will be prompted to enter your name and email address, create a username and password, and select a security question and answer. Once you have done this, click the “Save and Continue” button.
4. On the next page, enter the required information (at least one phone number and your mailing address) and any optional information you wish to provide (e.g., FAX number, website, mailstop code, additional email addresses or phone numbers, Division/Department). Click the “Create Account” button.
5. Read the user agreement and click the “Accept” button to indicate that you understand your responsibilities and agree to comply with the rules of behavior for PAMS.
6. You will be taken to the Register to Institution page. Select the link labeled, “Option 1: My institution has submitted a proposal in Grants.gov. I am here to register as an SRO, PI, or POC (Sponsored Research Officer, Principal Investigator, or Point of Contact).”
7. Enter the following information:
 - Proposal ID: Enter the ten-digit PAMS proposal ID, including the leading zeros (e.g., 00002xxxxx). Do not use the Grants.gov proposal number. Use the PAMS number previously sent to you in the email with subject line, “Receipt of Proposal ...”.
 - Email (as entered in Grants.gov proposal): Enter your email address as it appears on the SF424(R&R) Cover Page.
 - Choose Role: Select the radio button in front of the role corresponding to the SF-424 (R&R) cover page. If your name appears in block 19 of the SF-424 (R&R) cover page as the authorizing representative, select “SRO/BO/AO (Sponsored Research Officer/Business Officer/Administrative Officer).” If your name appears in block 14 of the SF424 R&R cover page as the PI, select “Principal Investigator (PI).” If your name appears in block 5 of the SF424 R&R as the point of contact, select “Other (POC).”
8. Click the “Save and Continue” button. You will be taken to your “My Proposals” page. The Grants.gov proposal will now appear in your list of proposals. Click the “Actions/Views” link in the options column next to this proposal to obtain a dropdown list. Select “Proposal” from the dropdown to see the proposal.

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

The steps above will work only for proposals submitted to the DOE Office of Science since May

2012.

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9 AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: sc.pams-helpdesk@science.doe.gov. All submission and inquiries about this Funding Opportunity Announcement should reference **DE-FOA-0001087**.

Section V - APPLICATION REVIEW INFORMATION

A. CRITERIA

1. Initial Review Criteria

Prior to a comprehensive merit evaluation, DOE will perform an initial review in accordance with 10 CFR 605.10(b) to determine that (1) the applicant is eligible for the award; (2) the information required by the FOA has been submitted; (3) all mandatory requirements are satisfied; (4) the proposed project is responsive to the objectives of the funding opportunity announcement, and (5) the proposed project is not duplicative of programmatic work.

Applications that fail to pass the initial review will not be forwarded for merit review and will be eliminated from further consideration.

2. Merit Review Criteria

Applications will be subjected to scientific merit review (peer review) and will be evaluated against the four criteria found in 10 CFR 605.10 (d), the Office of Science Financial Assistance Program Rule and the two additional criteria listed below.

- 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
- Synergism among the PIs in a program and the programmatic focus of a multi-PI effort; and,
 - Does the application exhibit a coherent focus on one energy-related research area bringing together multiple researchers?
 - Does the application present an adequate management plan for coordinating multiple investigators working on a common theme including performance milestones and a timetable for achieving project goals and deliverables?
- The likelihood of success of the Implementation Grant including:
 - How well does the application couple with the jurisdiction's strategy to develop and utilize the scientific and technological resources that reside in its research universities and the jurisdiction's industrial or economic resources?
 - Does the application adequately present the opportunities for enhanced academic research and development competitiveness and if appropriate, industrial or economic competitiveness, for the jurisdiction, including plans for the acquisition of sustained non-EPSCoR support?
 - Does the applicant have a plan to (or has the awardee made) competitive faculty hires and retained outstanding faculty within the scope of the implementation award? Does the applicant have a plan to attract (or has the awardee hired) outstanding graduate students and post docs?
 - Does the applicant have plans to develop (or have they developed as part of the implementation grant 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)?
- Does the applicant have plans to (or are the grantees on track to) achieve a sustainable leadership position in their discipline(s)?
- Does the applicant have plans to (or are the grantees effectively) leveraging DOE funding and capabilities with local and regional resources? Are there commitments from the applicant's jurisdiction, institution or from private sources to assist in this leveraging?

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

Site visits or reverse site visits may be used as part of the evaluation process and in the review of performance from the inception of an award through its completion.

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

SCIENTIFIC AND/OR TECHNICAL MERIT OF THE PROPOSED RESEARCH

- What is the scientific innovation of proposed effort?
- How does the proposed work compare with other efforts in its field, both in terms of scientific and/or technical merit and originality?
- How might the results of the proposed work impact the direction, progress, and thinking in relevant scientific fields of research?
- What is the likelihood of achieving influential results?

APPROPRIATENESS OF THE PROPOSED METHOD OR APPROACH

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

COMPETENCY OF APPLICANT'S PERSONNEL AND ADEQUACY OF PROPOSED RESOURCES

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

REASONABLENESS AND APPROPRIATENESS OF THE PROPOSED BUDGET

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

SYNERGISM AMONG THE PIS IN A PROGRAM AND THE PROGRAMMATIC FOCUS OF A MULTI-PI EFFORT

- Does the application exhibit a coherent focus on one energy-related research area bringing together multiple researchers?
- Does the application present an adequate management plan for coordinating multiple investigators working on a common theme including performance milestones and a timetable for achieving project goals and deliverables?

THE LIKELIHOOD OF SUCCESS OF THE IMPLEMENTATION GRANT

- How well does the application couple with the jurisdiction's strategy to develop and utilize the scientific and technological resources that reside in its research universities and the jurisdiction's industrial or economic resources?
- Does the application adequately present the opportunities for enhanced academic research and development competitiveness and if appropriate, industrial or economic competitiveness, for the jurisdiction, including plans for the acquisition of sustained non-EPSCoR support?
- Does the applicant have a plan to (or has the awardee made) competitive faculty hires and retained outstanding faculty within the scope of the implementation award? Does the applicant have a plan to attract (or has the awardee hired) outstanding graduate students and post docs?
- Does the applicant have plans to develop (or have they developed as part of the implementation grant 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)?
- Does the applicant have plans to (or are the grantees on track to) achieve a sustainable leadership position in their discipline(s)?
- Does the applicant have plans to (or are the grantees effectively) leveraging DOE funding and capabilities with local and regional resources? Are there commitments from the applicant's jurisdiction, institution or from private sources to assist in this leveraging?

B. REVIEW AND SELECTION PROCESS

1. Merit Review

Applications that pass the initial review will be subjected to a formal merit review and will be evaluated based on the criteria codified at 10 CFR 605.10(d) in accordance with the guidance

provided in the “Office of Science Merit Review System for Financial Assistance,” which is available at: <http://science.energy.gov/grants/policy-and-guidance/merit-review-system/>.

2. Selection

The Selection Officials will consider the following items, listed in no order of significance:

- Scientific and technical merit of the proposed activity as determined by merit review
- Availability of funds
- Relevance of the proposed activity to Office of Science and Department of Energy priorities
- Ensuring an appropriate balance of activities within Office of Science and Department of Energy programs
- Previous performance of the investigators and the management value added provided by institution and the jurisdiction’s EPSCoR Committee in previous implementation grants
- Institutional, jurisdictional and other commitment
- DOE EPSCoR reserves the right and option to prioritize applications from and involving investigators in tenure-track or tenured positions
- DOE EPSCoR reserves the right to give priority to applications that propose to develop new research areas rather than those that propose to enhance or continue research areas that have been previously funded under EPSCoR implementation grants.

3. Discussions and Award

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to the following: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR 600 and 10 CFR 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

It is anticipated that the award selection will be completed by June 30, 2014. It is expected that awards will be made in Fiscal Year 2014. It is anticipated that awards supported under this Announcement begin work by September 1, 2014.

Section VI - AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

1. Notice of Selection

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

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

2. Notice of Award

An Assistance Agreement issued by the contracting officer is the authorizing award document. It normally includes, either as an attachment or by reference, the following items: (1) Special Terms and Conditions; (2) Applicable program regulations, if any; (3) Application as approved by DOE; (4) DOE assistance regulations at 10 CFR 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 600 and 10 CFR 605. Grants and cooperative agreements made to universities, non-profits and other entities subject to 2 CFR 215 are subject to the Research Terms and Conditions located on the National Science Foundation web site at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>.

REGISTRATION REQUIREMENTS

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR 25 (See: <http://www.ecfr.gov>). Prime awardees must keep their data at the System for Award Management (SAM) current at <http://www.sam.gov>. SAM is the government-wide system that replaced the Central Contractor Registry (CCR). If you had an active registration in the CCR, you have an active registration in SAM. Subawardees at all tiers must obtain DUNS numbers and provide the DUNS to the prime awardee before the subaward can be issued.

SUBAWARD AND EXECUTIVE REPORTING

Additional administrative requirements necessary for DOE grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2

CFR 170. (See: <http://www.ecfr.gov>). Prime awardees must register with the new FSRS database and report the required data on their first tier subawardees. Prime awardees must report the executive compensation for their own executives as part of their registration profile in the System for Award Management (SAM).

PROHIBITION ON LOBBYING ACTIVITY

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 USC 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

2. Terms and Conditions

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

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

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

3. National Policy Assurances

The National Policy Assurances To Be Incorporated As Award Terms are located at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf> and at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Terms.

4. Additional Conditions

CONFERENCE SPENDING (APRIL 2013)

The recipient shall not expend funds for the purpose of defraying the cost to the United States Government of a conference [described in subsection (c) of the Consolidated and Further Continuing Appropriations Act, 2013] that was more than \$20,000, or circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General or senior ethics official for any entity without an Inspector General, of the date, location, and number of employees attending such conference that is not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded.

CERTIFICATIONS AND REPRESENTATIONS

By submitting an application in response to this FOA the Applicant makes the following representations and certifications:

- It is **not** a corporation that has been convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under **any** Federal law within the preceding 24 months.
- **No** officer or agent of the corporation have been convicted of a felony criminal violation for an offense arising out of actions for or on behalf of the corporation under Federal law in the past 24 months.
- It is **not** a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

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

- If chosen for a grant award in excess of \$1,000,000, it will, by the end of the Federal Government's fiscal year, upgrade the efficiency of its facilities by replacing any incandescent lighting of the type for which section 325 of the Energy Policy and Conservation Act (42 USC 6295) establishes a standard that does not meet or exceed the energy efficiency standard for incandescent light bulbs set forth in that section with a lamp that meets or exceeds the standards for lamps established in or pursuant to that section.

C. REPORTING

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

Section VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS

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

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

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: sc.pams-helpdesk@science.doe.gov. All submission and inquiries about this Funding Opportunity Announcement should reference **DE-FOA-0001087**.

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

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

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

B. AGENCY CONTACTS

Grants.gov Customer Support	800-518-4726 (toll-free) support@grants.gov
PAMS Customer Support	855-818-1846 (toll-free) 301-903-9610 sc.pams-helpdesk@science.doe.gov
Program Manager Scientific Contact	Dr. Tim Fitzsimmons Office of Basic Energy Sciences 301-903-9830 tim.fitzsimmons@science.doe.gov

Section VIII - OTHER INFORMATION

A. MODIFICATIONS

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

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE

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

C. COMMITMENT OF PUBLIC FUNDS

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

D. PROPRIETARY APPLICATION INFORMATION

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

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

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

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

E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL

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

F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM

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

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

G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER

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

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.

Section IX - APPENDICES/REFERENCE MATERIAL

Glossary of Useful Grants and Cooperative Agreement terms

acquisition cost	The cost of an asset, including the cost to put it in place. When used with equipment (capital expenditure), the term means the net invoice price of property or supplies including cost of modifications, attachments, accessories, or auxiliary apparatus necessary to make the property usable for the purpose for which it was acquired. Other charges, such as the cost of installation, transportation, taxes, duty, or protective in-transit insurance, are included or excluded from the unit acquisition cost in accordance with the recipient's regular accounting practices. It does not include costs for rental of property or alteration and rental of real property.
administrative requirements	The general business management practices that are common to the administration of all grants, such as financial accountability, reporting, equipment management, and retention of records.
allocation	The process of assigning costs to one or more cost objectives, in reasonable and realistic proportion to the benefit provided or other equitable relationship.
allocability	The principle which requires that an expense or service charged must directly benefit and be necessary for the performance of the project; when multiple projects are benefited reasonable proportions must be able to be assigned.
allowable cost	A cost incurred by a recipient that is: (1) reasonable for the performance of the award; (2) allocable; (3) in conformance with any limitations or exclusions set forth in the Federal cost principles applicable to the organization incurring the cost or in the Notice of Financial Assistance Agreement Award as to the type or amount of cost; (4) consistent with regulations, policies, and procedures of the recipient that are applied uniformly to both federally supported and other activities of the organization; (5) accorded consistent treatment as a direct or indirect cost; (6) determined in accordance with generally accepted accounting principles; and (7) not included as a cost in any other federally supported award (unless specifically authorized by statute).
application	A request for financial support of a project or activity submitted to DOE on specified forms and in accordance with DOE instructions. Also known as a proposal
Appropriation Act	The statute that provides the authority for Federal agencies to incur obligations to and make payments out of the U.S. treasury for specified purposes.
approved budget	The financial expenditure plan for the grant-supported project or activity, including revisions approved by DOE and permissible revisions made by the grantee. The approved budget consists of Federal (grant) funds and, if required by the terms and conditions of the award, non-Federal participation in the form of matching or cost sharing. The approved budget specified in the Notice of Financial Assistance Agreement may be shown in detailed budget categories or as total costs without a categorical breakout. Expenditures charged to an approved budget that consists of both Federal and non-Federal shares are deemed to be borne by the grantee in the same proportion as the percentage of Federal/non-Federal participation in the overall budget.
assurance	A certification by an applicant, normally included with the application or State plan, indicating that the entity is in compliance with, or that it will abide by, a particular requirement if awarded a Federal grant.
authorized organizational representative award	The individual, named by the applicant organization, who is authorized to act for the applicant and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or grant awards. The provision of funds by DOE, based on an approved application and budget or progress report, to an organizational entity or an individual to carry out a project or activity.
Bayh-Dole Act	Law which encourages universities and researchers to develop their inventions into marketable products; formal citation is Section 6 of the Patent and Trademark Amendment of 1980, Pub. L 96-517

budget	An estimate of expenditures to be incurred in the performance of a proposed statement of work, or the financial plan or cost assessment for the grant proposal or contract. The budget represents costs associated with project implementation.
budget period	The intervals of time (usually 12 months each) into which a project period is divided for budgetary and funding purposes.
business officer	The financial official of the grantee who has primary fiscal responsibility for the grant. Also known as authorized organizational representative.
carryover	Unobligated Federal funds remaining at the end of any budget period that, with the approval of the Contracting Officer or under an automatic authority, may be carried forward to another budget period to cover allowable costs of that budget period (whether as an offset or additional authorization). Obligated, but unliquidated, funds are not considered carryover.
change in scope	An activity whereby the objectives or specific aims identified in the approved grant application are significantly changed by the grantee after award. Contracting Officer prior approval is required for a change in scope to be allowable under an award.
closeout	The process by which a Federal awarding agency determines that all applicable administrative actions and all required work under an award have been completed by the grantee and the Federal awarding agency.
competitive segment	The initial project period recommended for support (up to 5 years) or each extension of a project period resulting from a renewal award.
conference (domestic or international)	A symposium, seminar, workshop, or any other organized and formal meeting, whether conducted face-to-face or via the Internet, where individuals assemble (or meet virtually) to exchange information and views or explore or clarify a defined subject, problem, or area of knowledge, whether or not a published report results from such meeting.
consortium or subaward agreement	A formalized agreement whereby a research project is carried out by the grantee and one or more other organizations that are separate legal entities. Under the agreement, the grantee must perform a substantive role in the conduct of the planned research and not merely serve as a conduit of funds to another party or parties. These agreements typically involve a specific level of effort from the consortium organization's PD/PI and a categorical breakdown of costs, such as personnel, supplies, and other allowable expenses, including F&A costs. The relationship between the recipient and the collaborating organizations is considered a subaward relationship.
consultant	An individual who provides professional advice or services for a fee, but normally not as an employee of the engaging party. In unusual situations, an individual may be both a consultant and an employee of the same party, receiving compensation for some services as a consultant and for other work as a salaried employee. To prevent apparent or actual conflicts of interest, grantees and consultants must establish written guidelines indicating the conditions of payment of consulting fees. Consultants also include firms that provide professional advice or services.
continuation application/award	A financial assistance request (in the form of an application or progress report) or resulting award for a subsequent budget period within a previously approved project period for which a recipient does not have to compete with other applicants.
contract	An award instrument used to acquire from a non-federal party, by purchase, lease, or barter, property or services for the direct benefit or use of the Federal government. The same term may be used to describe a vendor relationship between a recipient and another party under a grant (to acquire routine goods and services); however, the recipient may use subaward to describe the contract under a grant relationship.
Contract (or Grants Management) Officer	A DOE official responsible for the business management aspects of grants and cooperative agreements, including review, negotiation, award, and administration, and for the interpretation of grants administration policies and provisions. COs and GMOs are delegated the authority to obligate DOE to the expenditure of funds and permit changes to approved projects on behalf of DOE.
Contract (or Grants Management) Specialist	A DOE staff member who works with a contract or grants management officer and is assigned the day-to-day management of a portfolio of grants and/or cooperative

	agreements. These activities include, but are not limited to, evaluating grant applications for administrative content and compliance with statutes, regulations, and guidelines; negotiating grants; providing consultation and technical assistance to grantees; and administering grants after award.
cooperative agreement	A type of financial assistance used when there will be substantial Federal scientific or programmatic involvement. Substantial involvement means that, after award, scientific or program staff will assist, guide, coordinate, or participate in project activities.
cost principles	The government-wide principles, issued by OMB (or, in the case of commercial organizations, the Federal Acquisition Regulation [48 CFR 21], or, in the case of hospitals, 45 CFR 74, Appendix E, “Principles For Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals”), on allowability and unallowability of costs under federally sponsored agreements.
cost sharing	The portion of the costs of a project or program not borne by the sponsor; these could be grantee contributions or third-party in-kind contributions; costs used to satisfy cost sharing requirements are subject to the same policies governing allowability as other costs of the project. Research grants are generally not subject to cost sharing requirements. Also known as matching.
deadline	The published date and/or time that a grant application is to be either postmarked/mailed or electronically submitted to the funding agency.
debarment and suspension	The actions taken by a debarment official in accordance with OMB guidance at 2 CFR 180, “Non-procurement Debarment and Suspension,” to exclude a person or organization from participating in grants and other non-procurement awards government-wide. If debarred or suspended, the person or organization may not receive financial assistance (under a grant, cooperative agreement, or subaward, or contract under a grant) for a specified period of time. Debarments and suspensions carried out pursuant to 2 CFR 376 are distinct from post-award suspension action by an awarding agency.
direct costs	Costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.
disallowance	A charge to a grant that the Federal awarding agency determines to be unallowable in accordance with the applicable Federal cost principles or other terms and conditions contained in the award.
domestic organization	A public (including a State or other governmental agency) or private non-profit or for-profit organization that is located in the United States or its territories, is subject to U.S. laws, and assumes legal and financial accountability for awarded funds and for the performance of the grant-supported activities.
DUNS number	A nine-digit number established and assigned by Dun and Bradstreet to uniquely identify a business entity.
effort	The amount of time, usually expressed as a percentage of the total, which a faculty member or other employee spends on a sponsored project. No one is allowed to spend more than 100% total commitment on all academic activities, including grant-sponsored research, university-sponsored research, teaching, administration, advising and other contracted duties. Effort is indicated on the budget in units of person-months.
equipment	An article of tangible nonexpendable personal property that has a useful life of more than 1 year and an acquisition cost per unit that equals or exceeds \$5,000 or the capitalization threshold established by the organization, whichever is less.
expanded authorities	Authorization to grantees under certain research grant mechanisms which waives the requirement for prior agency approval for specified actions related to awards. Example: 90-day preaward spending authority, no cost extensions for up to one additional year, and automatic carryover of unobligated funds from one budget period to the next. The expanded authorities are now contained in the standard terms and conditions for most research grants.
expiration date	Generally, the date signifying the end of the current project period, after which the grantee is not authorized to obligate grant funds.

facilities and administrative costs	Costs that are incurred by a grantee for common or joint objectives and that, therefore, cannot be identified specifically with a particular project or program. These costs also are known as indirect costs.
Federal Financial Report	Submitted on Standard Form (SF) 425, to indicate the status of awarded funds for the period covered. Frequency of reporting is specified in the Reporting Checklist provided as part of the Notice of Financial Assistance Agreement. Replaces the SF-269 Financial Status Report (FSR)
financial assistance	Transfer by DOE of money or property to an eligible entity to support or stimulate a public purpose authorized by statute.
Financial Status Report	See Federal Financial Report.
foreign travel	Foreign travel includes travel outside of the United States and its territories and possessions (Guam, American Samoa, Puerto Rico, the Virgin Islands, and the Canal Zone) and Canada. A trip is considered foreign travel for all legs of the itinerary if the traveler does not return to his or her post prior to departure for a foreign destination. Costs for foreign travel may be restricted by the language of a Funding Opportunity Announcement.
funding opportunity announcement	A publicly available document by which a Federal Agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, requests for applications, notices of funding availability, solicitations, or other names depending on the Agency and type of program. Funding opportunity announcements can be found at Grants.gov/FIND . An FOA may also be known as a solicitation.
grant	A financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity. A grant is used whenever DOE anticipates no substantial programmatic involvement with the recipient during performance of the financially assisted activities.
grant-supported project or activity	Those activities specified or described in a grant application or in a subsequent submission that are approved by DOE for funding, regardless of whether Federal funding constitutes all or only a portion of the financial support necessary to carry them out.
grantee	The organization or individual awarded a grant or cooperative agreement by DOE that is responsible and accountable for the use of the funds provided and for the performance of the grant-supported project or activity. The grantee is the entire legal entity even if a particular component is designated in Notice of Financial Assistance Agreement. The grantee is legally responsible and accountable to DOE for the performance and financial aspects of the grant-supported project or activity. Also known as awardee or recipient.
Grants.gov	http://www.grants.gov/ has been designated by the Office of Management and Budget as the single access point for all grant programs offered by 26 Federal grant-making agencies. It provides a single interface for agencies to announce their grant opportunities and for all applicants to find and apply for those opportunities.
indirect costs	See facilities and administrative costs definition.
institutional base salary	The annual compensation paid by an organization for an employee's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of duties for the applicant/grantee organization. Base salary may not be increased as a result of replacing organizational salary funds with grant funds.
matching or cost sharing	The value of third-party in-kind contributions and the portion of the costs of a federally assisted project or program not borne by the Federal government. Matching or cost sharing may be required by statute or program regulation. Costs used to satisfy matching or cost-sharing requirements are subject to the same policies governing allowability as other costs under the approved budget.
merit (or peer) review	The process that involves the consistent application of standards and procedures that produce fair, equitable, and objective examinations of applications based on an evaluation of scientific or technical merit or other relevant aspects of the application.

	The review is performed by experts (reviewers) in the field of endeavor for which support is requested. Merit review is intended to provide guidance and to the DOE individuals responsible for making award decisions.
monitoring	A process whereby the programmatic and business management performance aspects of a grant are assessed by reviewing information gathered from various required reports, audits, site visits, and other sources.
no-cost extension	An extension of time to a project period and/or budget period to complete the work of the grant under that period, without additional Federal funds or competition.
non-Federal share	When cost sharing or matching is required as a condition of an award, the portion of allowable project/program costs not borne by the Federal government.
Notice of Financial Assistance Award	The official, legally binding document, signed (or the electronic equivalent of signature) by a Contracting Officer that: notifies the recipient of the award of a grant; contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and, provides the documentary basis for recording the obligation of Federal funds in the DOE accounting system. Also commonly referred to as an Assistance Agreement.
obligations	The amounts for which the recipient has made binding commitments for orders placed for property and services, contracts and subawards, and similar transactions during a funding period that will require payment during the same or a future period.
OMB Circulars	Government-wide guidance issued to Heads of Federal agencies by the Director of OMB. OMB Circulars directly pertinent to grants include the following: <ul style="list-style-type: none"> • cost principles (OMB Circular A-21, OMB Circular A-87, and OMB Circular A-122); • uniform administrative requirements (OMB Circular A-102 and OMB Circular A-110); • audit requirements for non-profit organizations (OMB Circular A-133). Some (but not all) of these OMB Circulars have been reissued in Title 2 of the Code of Federal Regulations. DOE administrative regulations are located in Title 10 of the Code of Federal Regulations.
Other Significant Contributors	Individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project. These individuals are typically presented at “effort of zero person months” or “as needed.” Individuals with measurable effort may not be listed as Other Significant Contributors (OSCs). Consultants should be included if they meet this definition.
participant	Program participants are the recipients of service or training provided at a workshop, conference, seminar, symposium or other short-term instructional or information-sharing activity funded by an external grant or award, or the training beneficiaries of the project or program funded by an external grant or award. A participant is not involved in providing any deliverable to the grantee or a third party or would not be terminated or replaced for failure to perform.
participant costs	Costs used to pay program participants small stipends and reimbursement of travel costs or other out-of-pocket costs incurred to support attendance at a workshop, conference, seminar, symposium, or other short-term training or information-sharing activity.
person months	The metric for expressing the effort (amount of time) PD/PI(s), faculty and other senior/key personnel devote to a specific project. The effort is based on the type of appointment of the individual with the organization; e.g., calendar year, academic year, and/or summer term; and the organization’s definition of such. For instance, some institutions define the academic year as a 9-month appointment while others define it as a 10-month appointment.
pre-application or pre-proposal	A brief outline or narrative of proposed work and sometimes budget, for informal review by a sponsor to determine whether a full proposal should be submitted. Three

	<p>predominant reasons for requiring submission of a preliminary proposal are:</p> <ul style="list-style-type: none"> • Reduce the proposers' unnecessary effort in proposal preparation when the chance of success is very small. This is particularly true of exploratory initiatives where the community senses that a major new direction is being identified, or competitions that will result in a small number of actual awards. • Increase the overall quality of the full submission. • Distill the number of applications that will be submitted to the agency and the number of anticipated reviewers needed to review.
pre-award costs	Any cost incurred prior to the beginning date of the project period or the initial budget period of a competitive segment (under a multi-year award), in anticipation of the award and at the applicant's own risk, for otherwise allowable costs.
prior approval	Written approval from the designated Contracting Officer required for specified post-award changes in the approved project or budget. Such approval must be obtained before undertaking the proposed activity or spending DOE funds
Program Director/ Principal Investigator	The individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. The applicant organization may designate multiple individuals as program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple PD/PIs are named, each is responsible and accountable to the applicant organization, or as appropriate, to a collaborating organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.
program income	Program income is gross income earned by a research grant recipient from the activities, part or all of which are borne as a direct cost by the grant. Examples are fees for services performed under the grant, rental or usage fees charged for use of equipment purchased with grant funds, third party patient reimbursements for hospital or medical services paid from the grant, funds generated by the sale of commodities, such as cell lines or research animals developed from or paid for from the grant, and patent or copyright royalties.
Program Manager	The DOE official responsible for the programmatic, scientific, and/or technical aspects of a grant. The same role is filled by Program Directors, Program Officers, or Project Directors at other Federal agencies.
progress report	Periodic, frequently annual, report submitted by the grantee and used by DOE to assess progress and to determine whether to provide funding for the budget period subsequent to that covered by the report.
project/performance site	Location(s) of where the work described in the research plan will be conducted.
project period	The total time for which Federal support of a project has been programmatically approved as shown in the Notice of Financial Assistance Agreement; however, it does not constitute a commitment by the Federal government to fund the entire period. The total project period comprises the initial competitive segment, any subsequent competitive segments resulting from a renewal award(s), and extensions.
proposal re-budgeting	See application. Reallocation of funds available for spending between budget categories to allow best use of funds to accomplish the project goals.
recipient renewal application	The organizational entity or individual receiving a grant or cooperative agreement. An application requesting additional funding for a period subsequent to that provided by a current award. Renewal applications compete for funds with all other peer reviewed applications and must be developed as fully as though the applicant is applying for the first time.
research	A systematic, intensive study intended to increase knowledge or understanding of the subject studied, a systematic study specifically directed toward applying new knowledge to meet a recognized need, or a systematic application of knowledge to the

	production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements. Also termed “research and development.”
research misconduct	Fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community in proposing, performing, or reporting research, or in reporting research results; does not include honest error or honest differences in interpretations or judgments of data.
SAM.gov	The System for Award Management (SAM) is the Government-wide system that consolidated the Central Contractor Registration (CCR), the Excluded Parties List System (EPLS), the Online Representations and Certifications Application (ORCA), and the Federal Agency Registration (FedReg).
scope of work	The aims, objectives, and purposes of a grant; as well as the methodology, approach, analyses or other activities; and the tools, technologies, and timeframes needed to meet the grant’s objectives. This includes the research or training plan included with the original grant application, along with any approved modifications.
Senior/Key Personnel	The PD/PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a postdoctoral role also may be considered senior/key personnel if they meet this definition. “Zero percent” effort or “as needed” is not an acceptable level of involvement for Senior/Key Personnel.
significant rebudgeting	A threshold that is reached when expenditures in a single direct cost budget category deviate (increase or decrease) from the categorical commitment level established for the budget period by more than 25 percent of the total costs awarded. Significant rebudgeting is one indicator of change in scope.
small business concern	A business that is independently owned and operated and not dominant in its field of operation; has its principal place of business in the United States and is organized for profit; is at least 51 percent owned, or in the case of a publicly owned business, at least 51 percent of its voting stock is owned by U.S. citizens or lawfully admitted permanent resident aliens; has, including its affiliates, not more than 500 employees; and meets other regulatory requirements established by the SBA at 13 CFR 121.
solicitation subaward	See Funding Opportunity Announcement A legal instrument by which a recipient provides funds (or property in lieu of funds) to an eligible subrecipient (or a lower-tier transaction) to perform a substantive portion of the grant-supported program or project. The term includes such financial assistance when provided by any legal agreement (even if the agreement is called a contract) but does not include any form of assistance which is excluded from the definition of a grant, including the recipient’s procurement of property or services needed to carry out the project or program. The term includes consortium agreements.
subrecipient	A party that receives a subaward from a recipient or another subrecipient under a Federal financial assistance award and is accountable to the recipient or subrecipient for the use of the Federal funds provided by the subaward.
supplement	A request for an increase in support during a current budget period for expansion of the project’s scope or to meet increased costs unforeseen at the time of the new or renewal application. A supplement may increase support for future years in addition to the current year. Supplements require applications and are subject to administrative and merit review.
terms and conditions of award	All legal requirements imposed on a grant by DOE, whether based on statute, regulation, policy, or other document referenced in the grant award, or specified by the grant award document itself. The Notice of Financial Assistance Agreement may include both standard and special conditions that are considered necessary to attain the grant’s objectives, facilitate post-award administration of the grant, conserve grant funds, or otherwise protect the Federal government’s interests.

unallowable costs	Specific categories of costs that cannot be charged, directly or indirectly, to federally sponsored agreements in accordance with federal regulations.
unliquidated obligation	For reports prepared on a cash basis, the amount of obligations incurred by the recipient that has not been paid; or For reports prepared on an accrued expenditure basis, the amount of obligations incurred by the recipient for which an outlay has not been recorded.
unobligated balance	The portion of the funds authorized by the Federal agency for expenditure by the recipient that has not been obligated by the recipient.