

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



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

**Sustainable Ammonia Synthesis  
Funding Opportunity Number: DE-FOA-0001569  
Announcement Type: Initial  
CFDA Number: 81.049**

<b>Issue Date:</b>	<b>04/12/2016</b>
<b>Letter of Intent Due Date:</b>	<b>Not Applicable</b>
<b>Pre-Application Due Date:</b>	<b>05/02/2016 at 5:00 PM Eastern Time (A Pre-Application is required)</b>
<b>Encourage/Discourage Date:</b>	<b>05/09/2016 at 5:00 PM Eastern Time</b>
<b>Application Due Date:</b>	<b>05/31/2016 at 5:00 PM Eastern Time</b>

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## **UPDATES AND REMINDERS**

### REGULATIONS

This FOA and any awards made under it are controlled by 2 CFR 200, the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, as modified by 2 CFR 910, the Department of Energy Financial Assistance Rules, and 10 CFR 605, the Office of Science Financial Assistance Program.

### DATA MANAGEMENT PLAN

The Office of Science has published a new Statement on Digital Data Management, published at <http://science.energy.gov/funding-opportunities/digital-data-management/>, which governs applications submitted under this FOA, and is detailed in Part IV of this FOA.

### ACKNOWLEDGMENT OF FEDERAL SUPPORT

The Office of Science published guidance about how its support should be acknowledged at <http://science.energy.gov/funding-opportunities/acknowledgements/>.

### REPORTING

The Office of Science has implemented the federal-wide Research Performance Progress Report (RPPR) through the Portfolio Analysis and Management System (PAMS). The common RPPR format is described at <http://www.nsf.gov/bfa/dias/policy/rppr/>. Progress Reports are generally due 90 days before the end of each budget period. The Principal Investigator (PI) will receive an automated email from PAMS (<PAMS.Autoreply@science.doe.gov>) thirty days prior to the progress report due date. Some information will be prepopulated. Additional details and changes will be contained in the Reporting Requirements Checklist attached to the Assistance Agreement.

### RECOMMENDATION

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

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

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

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

Dr. Raul Miranda  
301-903-8014  
raul.miranda@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**

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, codified at 2 CFR 200  
U.S. Department of Energy Financial Assistance Rules, codified at 2 CFR 910  
U.S. Department of Energy, Office of Science Financial Assistance Program Rule, codified at 10 CFR 605

### **SUMMARY**

The Office of Basic Energy Sciences (BES), U.S. Department of Energy (DOE), announces its interest in receiving grant applications from U.S. universities/institutions of higher education for basic research to investigate some of the outstanding scientific questions in the synthesis of ammonia (NH<sub>3</sub>) from nitrogen (N<sub>2</sub>) using processes that do not generate greenhouse gases (such as CO<sub>2</sub>, NO<sub>x</sub>, etc.). Of interest is molecular level research that will provide the scientific basis for novel catalysts and mechanisms for nitrogen activation. Ideally, this research should produce fundamental knowledge that will lead to future catalytic processes for ammonia synthesis that are energy efficient, use renewable sources of energy, and do not produce greenhouse gases. This FOA will not consider proposals on process or reactor design, optimization or plant-level intensification. Research will not be supported whose primary goal(s) or challenge(s) are hydrogen evolution, oxygen evolution, CO<sub>2</sub> capture or conversion, or outside the specific focus on nitrogen activation. See the Summary Criteria section for more information on research areas excluded from this funding opportunity.

### **SUPPLEMENTARY INFORMATION**

#### **Background**

Ammonia is one of the crucial chemicals required for the development of modern civilization, primarily because of its use as plant fertilizer. While biological systems can produce ammonia

from nitrogen, the discovery of the Haber-Bosch process for the synthetic production of ammonia correlates directly with the large increase in human population that has occurred over the last century. In fact, global production of ammonia via the Haber-Bosch process now exceeds biological production by more than two-fold, estimated at more than 150 million metric tons annually worldwide. Most large-scale chemical plants produce ammonia from hydrocarbons and air. Hydrogen ( $H_2$ ) is obtained by steam reforming of the hydrocarbons and by water-gas shift of the resulting carbon monoxide, while nitrogen ( $N_2$ ) is obtained from air. The inexpensive heterogeneous catalysts used in most industrial ammonia synthesis loops are based on reduced iron oxide (with other oxides, including alumina, silica, calcium and potassium oxides). Kinetic and thermodynamic limitations require this process to operate at a minimum  $400^\circ C$  and around 20 MPa, with 15% conversion per pass, needing multiple recycles to augment the yield. Hence, although this process has been optimized over the years, it alone consumes 1-2% of the world's energy supply and about 3% of the natural gas production. It is also responsible for about 3% of all  $CO_2$  emissions.

Biological systems utilize a completely different approach to reduce  $N_2$ , taking advantage of nitrogenase enzymes. These enzymes have a metallocluster at the active site, which includes iron (Fe) and sulfur (S), sometimes in conjunction with either molybdenum (Mo) or vanadium (V). These clusters have reported turnover numbers (number of catalytic cycles before complete deactivation) in excess of  $10^6$ . Electrons to support biological nitrogen reduction come not from molecular  $H_2$  derived from hydrocarbons but are sequentially delivered by ancillary protein components and replenished via central metabolism. Like the Haber-Bosch process, there is also a large energy requirement associated with biological nitrogen reduction, with 16 ATPs consumed per mole of  $N_2$  reduced (corresponding to about 0.5 MJ/mole  $N_2$ ). However, as in the case of the electrons, this energy source is independent of hydrocarbons. The nitrogenase functions at room temperature and ambient pressure albeit at low turnover frequencies (about  $2 NH_3 s^{-1}$ ). Understanding how the nitrogenase and its ancillary components gate and control the flow of electrons to the catalytic site could open up intriguing possibilities for the delivery of electrons from alternate sources.

Homogeneous catalysts, some partly inspired by the metalloclusters of nitrogenases, have also proven feasibility for  $N_2$  reduction at room temperature and ambient pressure. Mo complexes are catalytically active either electrochemically or in mild organic acids. Fe complexes have been found to convert  $N_2$  at  $-78^\circ C$  in the presence of strong acids and strong reducing agents. These complexes, like nitrogenases, produce molecular hydrogen as a byproduct, which accelerates catalyst deactivation. Therefore, stability becomes a problem for sustained and large-scale industrial use.

Heterogeneous catalysts other than reduced Fe oxides have also been found, for instance Ru and Co-Mo alloys that are more active but not as economical as the Fe oxides. It may be possible to design catalysts that follow substantially lower energy pathways with consequently much higher activity, compensating for their cost, particularly if the hydrogen is derived from renewable sources and the process conditions are significantly milder than for Haber-Bosch.

Direct electrochemical reduction of nitrogen in water at low temperature has also been reported, albeit with low current efficiency. Much higher current efficiency has been obtained using

proton conductive membranes (both ceramic at high temperature and polymeric at low temperature), but they possess poor durability. Reproducibility and reliability of results have also been problematic.

Photocatalytic ammonia synthesis has been achieved with oxide-doped and noble metal-doped TiO<sub>2</sub>, some coated with photoactive polymer layers, under illumination with UV light. The current density attained is typically orders of magnitude below that of electrochemical methods, and the reproducibility and reliability have been problematic, with the mechanisms remaining undefined.

Thermochemical reduction of N<sub>2</sub> at very high temperature (2000°C) driven by solar heating has been demonstrated using a metal (e.g. Mn) or alloy intermediate in a redox cycle. The metal is subject to nitridation in one step, oxidation with water in a second step and reduction with carbon compounds in a third step. Some of the drawbacks to this approach include materials degradation and energy handling at very high temperature, as well the use of carbon-containing reducing agents.

Therefore, although various alternatives to the classical Haber-Bosch process have been proposed and studied to date, all of them have significant limitations in regards to their potential to enable long-term, sustainable and energy-efficient ammonia production.

### **Summary Criteria**

To be considered, an application must address the eligibility requirements in Section III and the review Criteria in Section V, in particular:

- Proposals must contain innovative hypotheses and/or concepts leading to future catalytic approaches for NH<sub>3</sub> synthesis that do not generate any secondary greenhouse gases.
- Proposals must clearly distinguish the innovative aspects and distinguish them from previous fundamental studies.
- This FOA targets molecular, atomistic, and quantum-level research specifically focused on nitrogen activation.
- The FOA will not consider proposals on process or reactor design, optimization or plant-level intensification.
- The FOA will not consider research whose primary goal(s) or challenge(s) are hydrogen evolution, oxygen evolution, CO<sub>2</sub> capture or conversion, or otherwise outside the specific focus on nitrogen activation. It also excludes the development or improvement of commercial catalysts.
- A Pre-Application is required (see Section IV, B, 2)
- The proposal must include a Data Management Plan.

### **Opportunities for Basic Research**

The overarching grand challenge is to discover novel catalysts that are active, selective, scalable, and stable while carrying out energy-efficient, carbon-neutral and low-pressure ammonia synthesis. No heterogeneous, homogeneous or enzyme catalyst currently exists that fulfills all of

these requirements. No thermal redox processes in solution, solid or melt, nor electrochemical or photochemical surface processes, have shown practical viability to date.

This fundamental challenge leads to opportunities for basic research, some of which are:

- a. Innovation in thermal catalytic processes for ammonia synthesis in high yield at low pressure (< 1 MPa) and low temperature (< 200°C). Given the future possibility of hydrogen produced electrochemically or photochemically, it is desirable to design ammonia catalysts with high activity under such mild conditions.
- b. Innovation in electrochemical or photoelectrochemical pathways for N<sub>2</sub> reduction. Since non-thermal processes are likely to rely on electrons generated by solar, wind, or other renewable means, it is desirable to understand the molecular-level mechanism and energetics of proton and electron transfer to nitrogen from those various sources.
- c. Understanding the gating and control of the electron flow to the active site of nitrogenase. Many questions remain related to alternative and efficient approaches for delivery of electrons to N<sub>2</sub>. The key structural elements of the interface between the iron protein and the nitrogenase need to be identified and characterized.
- d. Characterization of atomistic, molecular, electronic and spin structures of reaction intermediates and catalyst moieties achieved under NH<sub>3</sub> synthesis conditions. New tools could extend the level of detail in reaction mechanisms as well as better understanding of various reaction media, from gases to solutions, ionic liquids, electrolytes, etc.
- e. Combination of theoretical, synthetic and kinetics methods leading to comprehensive activity descriptors of NH<sub>3</sub> synthesis catalysts. Given the limited success so far to predict catalyst structures that would achieve the theoretically optimal activity, more complete approaches involving theory and measurements are necessary.
- f. Integration of knowledge derived from enzymatic, molecular, and heterogeneous catalysis to combine the advantages from each of them and conceive novel catalysts. Ultimately, it is desirable to understand how to build low-energy pathways for multiple bond activation by means of redox processes, as exemplified by N<sub>2</sub> activation: this methodology could become a test bed for catalyst discovery in general.

### **Roundtable Panel Report and Other Sources of Information**

A panel of international experts met recently to discuss the state of the art, grand challenges and potential opportunities for basic research in NH<sub>3</sub> synthesis. Applicants are strongly encouraged to consult the roundtable report titled “Sustainable Ammonia Synthesis” found at [http://science.energy.gov/~media/bes/csgb/pdf/docs/2016/NH3\\_Report](http://science.energy.gov/~media/bes/csgb/pdf/docs/2016/NH3_Report).

The latest BES Advisory Committee (BESAC) report titled “Challenges at the Frontiers of Matter and Energy: Transformative Opportunities for Discovery Science” ([http://science.energy.gov/~media/bes/besac/pdf/Reports/CFME\\_rpt\\_print.pdf](http://science.energy.gov/~media/bes/besac/pdf/Reports/CFME_rpt_print.pdf)) describes the grand challenges for science supported by BES.

All entities submitting applications to this funding opportunity announcement must recognize the moral and legal obligations to comply with export controls and policies that relate to the transfer of knowledge that has relevance to the production of special nuclear materials (SNM) and technologies with potential dual use. Please see 10 CFR 810 for further information.

This funding opportunity announcement is to support scientific endeavors that could be described in scholarly publications. Do not submit applications containing restricted data or unclassified nuclear information as defined in the Atomic Energy Act of 1954, as amended, 42 USC 2011 et seq., 10 CFR 1017, 10 CFR 1045.

## **Section II – AWARD INFORMATION**

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

DOE anticipates awarding grants under this FOA.

### **B. ESTIMATED FUNDING**

Research Grant Awards (typically single-investigator projects) will be given for a period of two or three years at a funding level appropriate for the proposed scope. Funding of \$1,800,000 for fiscal year 2016 is expected to be available to support this FOA subject to appropriation of funds by the Congress. Additional funding of \$1,200,000 for this topic area is expected to be available through a separate FOA (number DE-FOA-0001572) for EPSCoR-eligible applications. Total funding of \$3,000,000, through this FOA and the companion EPSCoR FOA, is expected to be available for support of research efforts in Sustainable Ammonia Synthesis in fiscal year 2016. 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**

#### **Ceiling**

\$600,000 for three years.

#### **Floor**

None.

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

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

### **E. ANTICIPATED AWARD SIZE**

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

### **F. PERIOD OF PERFORMANCE**

Research Grant Awards will provide funding for a total period of two or three years as befitting the project. For a Research Grant Award, funding for the second and subsequent budget periods is contingent on: (1) progress towards meeting the objectives of the approved application; (2) submission of required reports; and (3) compliance with the terms and conditions of the award.

## **G. TYPE OF APPLICATION**

DOE will accept only new grant applications under this FOA.

## **H. RESPONSIBILITY**

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

### **Section III – ELIGIBILITY INFORMATION**

#### **A. ELIGIBLE APPLICANTS**

In accordance with 2 CFR 910.126, competition and eligibility for award is restricted to domestic universities/institutions of higher education (IHE). For projects involving multiple investigators and institutions, a single application should be submitted by the lead university/IHE and would result in one award with subawards to the subcontracting universities/IHE. This is in contrast to collaborative proposals where separate identical applications are submitted and result in multiple awards to the collaborating institutions; such collaborative proposals will not be accepted for this FOA. Subcontracts to domestic universities/IHE are accepted when the applicant does not possess all of the skills or resources to successfully accomplish the objectives of this FOA.

DOE National Laboratories, other Federal agencies, and non-domestic universities/IHE are not eligible to receive financial assistance awards under this FOA either as applicants or subcontractors.

#### **B. COST SHARING**

Cost sharing is not required.

#### **C. ELIGIBLE INDIVIDUALS**

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

An individual can serve as the lead PI on only one pre-application. There is no limitation on participation as a co-investigator on other pre-applications.

## D. OTHER ELIGIBILITY REQUIREMENTS

### Pre-Applications

**To be considered eligible for an award under this FOA, potential prime applicants (lead organizations) are *required* to submit a pre-application in accordance with the instructions provided in Section IV.B.2 of this FOA below. Applications received from an applicant who has not submitted the required pre-application will be deemed non-responsive and will be rejected without further review.**

The lead organization on an application must be the same as on the required pre-application. **If an application is received for which the lead organization has changed since submission of the pre-application, then the application will be deemed non-responsive and will be rejected without further review.** The Lead Principal Investigator (PI) or Project Director should not be changed unless unavoidable and only minor edits should be made, if necessary, to the title. If necessary, the applicant may make changes to other senior/key personnel and other participating institutions, although DOE discourages extensive changes.

## **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-0001569) shown on the cover of this FOA and then follow the prompts to download the application package.

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

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

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

Not applicable.

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

**Pre-application Due Date:** 5/02/2016 at 5:00 PM Eastern Time

**Encourage/Discourage Date:** 5/09/2016 at 5:00 PM Eastern Time

A pre-application is **required** and **must** be submitted by the due date above. You are encouraged to submit your pre-application well before the deadline. Pre-applications received after the deadline **will not be reviewed or considered**.

As noted in Section III C, an individual can serve as the lead PI on only one pre-application. There is no limitation on participation as a co-investigator on other pre-applications.

Pre-applications will be reviewed for responsiveness of the proposed work to the research topics identified in this FOA. DOE will send a response by email to each applicant encouraging or discouraging the submission of a full application by the date cited above. Applicants who have not received a response regarding the status of their preapplication by this date are responsible for contacting the program to confirm this status.

**Only those applicants that receive notification from DOE encouraging a full application may submit full applications.** No other full applications will be considered.

The pre-application attachment should include:

- 1) A cover sheet providing the following information:
  - a. Planned title of the research application
  - b. Name and mailing address of the lead institution
  - c. Name, email address, and telephone number of the Lead Principal Investigator
  - d. Name and institution of co-Principal Investigator(s)

- e. Funding opportunity announcement number: DE-FOA-0001569
  - f. DOE Office Sponsoring this FOA: DOE BES
  - g. DOE Scientific/Technical Program Contact: Raul Miranda
- 2) A narrative of up to three pages.
- a. A description of the proposed research objectives and methods of accomplishment.
  - b. A statement of its proposed project's importance and relevance to the Department's mission and agency's programmatic needs.
  - c. An explanation of proposed project's methodology and equipment needs.
  - d. Anticipated project results.
  - e. A project schedule with estimated completion date.
  - f. An estimate of the project cost .
- 3) A tabular listing of collaborators for the PI and any co-PIs, including any National Laboratory collaborator using the format described in Section IV C, APPENDIX 8.

The text of the preapplication shall have a minimum text font size of 11 point and margins no smaller than **1** in on all sides. Figures and key web-accessible literature references must fit within the three-page limit.

Those pre-applications that are encouraged will be used to help the Office of Science begin planning for the full application peer review process. The intent of the Office of Science in discouraging submission of certain full applications is to save the time and effort of applicants in preparing and submitting full applications not responsive to this funding opportunity announcement.

The Principal Investigator will be automatically notified when the pre-application is encouraged or discouraged. The DOE Office of Science Portfolio Analysis and Management System (PAMS) will send an email to the Principal Investigator from [PAMS.Autoreply@science.doe.gov](mailto:PAMS.Autoreply@science.doe.gov), and the status of the pre-application will be updated at the PAMS website <https://pamspublic.science.energy.gov/>. Notifications are sent as soon as the decisions to encourage or discourage are finalized. Again, applicants who have not received a response regarding the status of their pre-application by the encourage/discourage date above are responsible for contacting the program manager to confirm this status.

It is important that the pre-application be a single file with extension .pdf, .docx, or .doc. The filename should not exceed 50 characters. The pre-application must be submitted electronically through the DOE Office of Science Portfolio Analysis and Management System (PAMS) website <https://pamspublic.science.energy.gov/>. **Pre-applications submitted outside PAMS will not be considered. Pre-applications may not be submitted through grants.gov or [www.FedConnect.net](http://www.FedConnect.net).**

The Principal Investigator and anyone submitting on behalf of the Principal Investigator must register for an account in PAMS before it will be possible to submit a pre-application. All PIs and those submitting pre-applications on behalf of PIs are encouraged to establish PAMS accounts as soon as possible to avoid submission delays.

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

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

### **Create PAMS Account:**

- To register, click the “Create New PAMS Account” link on the website <https://pamspublic.science.energy.gov/>. Click the “No, I have never had an account” link and then the “Create Account” button.
- You will be prompted to enter your name and email address, create a username and password, and select a security question and answer. Once you have done this, click the “Save and Continue” button.
- On the next page, enter the required information (at least one phone number and your mailing address) and any optional information you wish to provide (e.g., FAX number, website, mailstop code, additional email addresses or phone numbers, Division/Department). Click the “Create Account” button.
- Read the user agreement and click the “Accept” button to indicate that you understand your responsibilities and agree to comply with the rules of behavior for PAMS.

PAMS will take you to the “Having Trouble Logging In?” page. (If you have been an 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 Pre-Application:**

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

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

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can

be reached Monday through Friday, 9 AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submission and inquiries about this Funding Opportunity Announcement should reference **DE-FOA-0001569**.

Preapplications submitted outside PAMS will not be considered. Preapplications may not be submitted through [grants.gov](http://grants.gov) or [www.FedConnect.net](http://www.FedConnect.net).

## C. CONTENT AND APPLICATION FORMS

### APPLICATION PREPARATION

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

You are required to use the compatible version of Adobe Reader software to complete a [Grants.gov](#) Adobe application package. To ensure you have the [Grants.gov](#) compatible version of Adobe Reader, visit the download software page at [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp).

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 use PDF portfolios or binders.

Please note: you may only use the following UTF-8 characters when naming your application attachments: A-Z, a-z, 0-9, underscore (\_), hyphen (-), space, period. You must limit the file name to 50 or fewer characters. Attachments that do not follow this rule may cause the entire application to be rejected or cause issues during processing.

### LETTERS

Please include any letters of support commitment from collaborators with [Appendix 7](#).

#### 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.

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

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

- Enter each number as a nine-digit number.
- Do not use hyphens or dashes.
- The Office of Science does not use the twelve-digit EIN format required by some other agencies.

## TYPE OF APPLICATION (FIELD 8)

A **new** application is one in which DOE support for the proposed research is being requested for the first time. This FOA accepts only new applications.

Please answer “yes” to the question “Is this application being submitted to other agencies?” if substantially similar, identical, or closely related research objectives are being submitted to another Federal agency. Indicate the agency or agencies to which the similar objectives have been submitted.

## 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.,
Buy American Act	41 USC 10 et seq.
Cargo Preference Act	46 USC 55305, 46 CFR 381.7
Civil Rights Protections	10 CFR 1040
Debarment and Suspension	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
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.
Human Research Subjects Protections	10 CFR 745
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:
- Lead PI name, telephone number, email:
- Administrative Point of Contact name, telephone number, email:
- Funding Opportunity FOA Number: DE-FOA-0001569
- DOE/Office of Science Program Office: Basic Energy Sciences
- DOE/Office of Science Program Office Technical Contact: Raul Miranda
- PAMS Preproposal tracking number:

## PROJECT NARRATIVE (FIELD 8 ON THE FORM)

The project narrative **must not exceed 15 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) that provide supplementary or additional information that constitutes a part of the application. Merit reviewers are not required to access Internet sites; however, Internet publications in a list of references will be treated identically to print publications. See 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. This may include the integration of experiments with theoretical and computational research efforts and any benchmarking against state of the art methods.

**Timetable of Activities:** Timeline for all major activities.

**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. A major part of the narrative should be devoted to a description and justification of the proposed project, particularly the elements that differentiate this research from previous ones in the specific topic. It should also include details of the methods to be used, a timeline for the major activities, and the responsibilities of each funded investigator without ambiguities.

## 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.

List all sponsored activities or awards requiring a measurable commitment of effort, whether paid or unpaid.

For every activity, list the following items:

- The sponsor of the activity or the source of funding
- The award or other identifying number
- The title of the award or activity
- A statement describing any overlap in goals or objectives with respect to the present proposal.
- The total cost or value of the award or activity, including direct and indirect costs. For pending proposals, provide the total amount of requested funding.
- The person-months of effort per year being dedicated to the award or activity

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: DATA MANAGEMENT PLAN

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

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

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

- This appendix should not exceed **2** pages 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)
- Do not attach a separate file.
- This appendix will not count in the project narrative page limitation.

**APPENDIX 7: LETTERS OF COMMITMENT FROM COLLABORATORS**

Letters of commitment from the collaborators must be endorsed by the collaborator.

**APPENDIX 8: LIST OF COLLABORATORS AND POSSIBLE CONFLICTS OF INTEREST**

In tabular form following the example below\*\*, provide a list of collaborators for the PI and all co-PIs, 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.

<b>Collaborator</b>			<b>Institution</b>
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” in the pre-application as well as in the application as Appendix 8 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 9: OTHER ATTACHMENT

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

- Do not attach a separate file.
- This appendix will not count in the project narrative page limitation. 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.
- Do not attach any files to fields 9, 10, 11, or 12.

### 3. Research And Related Budget

Complete the Research and Related Budget form in accordance with the instructions on the form (Activate Help Mode to see instructions) and the following instructions. You must complete a separate budget for each year of support requested. The form will generate a cumulative budget for the total project period. You must complete all the mandatory information on the form before the NEXT PERIOD button is activated. You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this FOA (See 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 <b>each</b> item of equipment separately and justify each in the budget justification section. Do not aggregate items of equipment. Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose office equipment is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research.
Section D Travel	For purposes of this section only, travel to Canada or to Mexico is considered domestic travel. In the budget justification, list each trip's destination, dates, estimated costs including transportation and subsistence, number of staff traveling, the purpose of the travel, and how it relates to the project. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). To qualify for support, attendance at meetings or conferences must enhance the investigator's capability to perform the research, plan extensions of it, or disseminate its results. Domestic travel is to be justified separately from foreign travel.
Section E Participant/Trainee Support Costs	If applicable, submit training support costs. Educational projects that intend to support trainees (precollege, college, graduate and post graduate) must list each trainee cost that includes stipend levels and amounts, cost of tuition for each trainee, cost of any travel (provide the same information as needed under the regular travel category), and costs for any related training expenses. Participant costs are those costs associated with conferences, workshops, symposia or institutes and breakout items should indicate the number of participants, cost for each participant, purpose of the conference, dates and places of meetings and any related administrative expenses. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).
Section F Other Direct Costs	<ul style="list-style-type: none"> <li>• <b>Materials and Supplies:</b> Enter total funds requested for materials and supplies in the appropriate fields. In the budget justification, indicate general categories such as glassware, and chemicals, including an amount for each category (items not identified under "Equipment"). Categories less than \$1,000 are not required to be itemized. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</li> <li>• <b>Publication Costs:</b> Enter the total publication funds requested. The proposal budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work 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).</li> </ul>

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

## BUDGET JUSTIFICATION (FIELD 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:** You must provide a separate R&R budget for each subawardee. Download the R&R Budget Attachment from the R&R SUBAWARD BUDGET ATTACHMENT(S) FORM and 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). Filenames should not exceed 50 characters.

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

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

### E. SUBMISSION DATES AND TIMES

#### 1. Letter of Intent Due Date

Not Applicable.

#### 2. Pre-application Due Date

**May 2, 2016, 5:00 PM Eastern Time.**

You are encouraged to submit your pre-application well before the deadline. Pre-applications received after the deadline will not be reviewed or considered.

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

**May 31, 2016, 5:00 PM Eastern Time.**

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

### **4. Late Submissions**

Delays in submitting applications may be unavoidable. DOE has accepted late submissions in case of death of immediate family member of the main PI, and verifiable life-threatening circumstances (e.g., heart attack) or major natural disasters. However, other circumstances will not be accepted to justify late submissions. Unacceptable justifications include the following:

- Failure to begin submission process early enough.
- Failure to provide sufficient time to complete the process including the proposal submission.
- Failure to understand the submission process.
- Failure to understand the deadlines for submissions.
- Failure to satisfy prerequisite registrations.
- Unavailability of administrative personnel.
- Non-life threatening health changes.
- Local weather.
- Technological disruptions not caused by DOE. (E.g., communication downtime or overload.)

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

Applicants must contact the Program Office/Manager listed in this Funding Opportunity Announcement before the deadline if a late submission is unavoidable.

DOE notes that requests for late submission may not be approved.

As an alternative, you may be able to submit your application in response to the currently available Office of Science Annual Solicitation. Please contact the Program Office/Manager listed in this Funding Opportunity Announcement to discuss this option.

### **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 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulation).

**Pre-award Costs:** Recipients may charge to an award resulting from this FOA pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulation). Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period.

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

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

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

There are several one-time actions you must complete in order to submit an application in response to this FOA. 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](https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations_v1.7.pdf).

Applicants must provide a Taxpayer Identification Number (TIN) to complete their registration in SAM.gov. An applicant's TIN is an Employer Identification Number (EIN) assigned by the Internal Revenue Service (IRS). In limited circumstances, a Social Security Number (SSN) assigned by the Social Security Administration (SSA) may be used as a TIN. You may obtain an EIN from the IRS at [http://www.irs.gov/Businesses/Small-Businesses-%26-Self-Employed/Apply-for-an-Employer-Identification-Number-\(EIN\)-Online](http://www.irs.gov/Businesses/Small-Businesses-%26-Self-Employed/Apply-for-an-Employer-Identification-Number-(EIN)-Online).

DOE discourages the use of a SSN as a TIN. You are encouraged to obtain a TIN from the Internal Revenue Service (IRS) using the website listed above.
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Applicants must register with FedConnect at [www.fedconnect.net](http://www.fedconnect.net). The full, binding version of assistance agreements will be posted to FedConnect.

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

## 2. Registering in Grants.gov

Applicants must register with grants.gov.

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](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](mailto:support@grants.gov).

### FIRST-TIME REGISTRATION PROCESS IN GRANTS.GOV

You must complete the one-time registration process (all steps) before you can submit your first application through [www.grants.gov](http://www.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

**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).

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

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

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.)

Submit electronic applications through the “Apply for Grants” function at [www.grants.gov](http://www.grants.gov). If you have problems completing the registration process or submitting your application, call grants.gov at 1-800-518-4726 or send an email to [support@grants.gov](mailto:support@grants.gov).

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

### **4. DOE 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 can be done in PAMS, which is available at <https://pamspublic.science.energy.gov>.

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

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

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

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

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

## 1. CREATE PAMS ACCOUNT:

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

- Click the “No, I have never had an account” link and then the “Create Account” button.
- You will be prompted to enter your name and email address, create a username and password, and select a security question and answer. Once you have done this, click the “Save and Continue” button.
- On the next page, enter the required information (at least one phone number and your mailing address) and any optional information you wish to provide (e.g., FAX number, website, mailstop code, additional email addresses or phone numbers, Division/Department). Click the “Create Account” button.
- Read the user agreement and click the “Accept” button to indicate that you understand your responsibilities and agree to comply with the rules of behavior for PAMS.
- PAMS will take you to the “Having Trouble Logging In?” page. (If you have been an 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](mailto:sc.pams-helpdesk@science.doe.gov). All submission and inquiries about this Funding Opportunity Announcement should reference DE-FOA-0001569.

## 5. 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 application): Enter your email address as it appears on the SF424(R&R) Cover Page.
  - Choose Role: Select the radio button in front of the role corresponding to the SF-424 (R&R) cover page. If your name appears in block 19 of the SF-424 (R&R) cover page as the authorizing representative, select “SRO/BO/AO (Sponsored Research Officer/Business Officer/Administrative Officer).” If your name appears in block 14 of

- the SF424 R&R cover page as the PI, select “Principal Investigator (PI).” If your name appears in block 5 of the SF424 R&R as the point of contact, select “Other (POC).”
4. Click the “Save and Continue” button. You will be taken to your “My Proposals” page. The grants.gov proposal will now appear in your list of proposals. Click the “Actions/Views” link in the options column next to this proposal to obtain a dropdown list. Select “Proposal” from the dropdown to see the proposal. Note that the steps above will work only for proposals submitted to the DOE 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](mailto:sc.pams-helpdesk@science.doe.gov). All submission and inquiries about this Funding Opportunity Announcement should reference **DE-FOA-0001569**.

## **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.

Be advised that:

- Proposals must contain innovative hypotheses and/or concepts leading to future catalytic approaches for NH<sub>3</sub> synthesis that do not generate any secondary greenhouse gases.
- Proposals must clearly distinguish the innovative aspects and distinguish them from previous fundamental studies.
- This FOA targets molecular, atomistic, and quantum-level research specifically focused on nitrogen activation.
- The FOA will not consider proposals on process or reactor design, optimization or plant-level intensification.
- The FOA will not consider research whose primary goal(s) or challenge(s) are hydrogen evolution, oxygen evolution, CO<sub>2</sub> capture or conversion, or otherwise outside the specific focus on nitrogen activation. It also excludes the development or improvement of commercial catalysts.
- The proposal must include a Data Management Plan.

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

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

- Scientific and/or Technical Merit of the Project;
- Innovativeness of the Proposed Research;
- 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.

The evaluation process will include program policy factors as listed under [Section V B under item 2. Selection](#). Note that external peer reviewers are selected with regard to both their scientific expertise and the absence of conflict-of-interest issues. Both Federal and non-Federal reviewers may be used, and submission of an application constitutes agreement that this is acceptable to the investigator(s) and the submitting institution.

The questions after each review criterion are intended to guide the reviewers; reviewers will not be required to provide written responses to each of these questions.

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

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

#### INNOVATIVENESS OF THE PROPOSED RESEARCH

- What is the scientific innovation in the proposed effort?
- How does the proposed work compare with other efforts in its field in terms of scientific and/or technical originality?
- Are the proposed ammonia synthesis catalysts and/or mechanisms novel and demonstrate innovation beyond those established in the literature?
- Will the proposed work likely contribute to viable approaches to ammonia synthesis without greenhouse gases?

#### APPROPRIATENESS OF THE PROPOSED METHOD OR APPROACH

- How logical and feasible are the research approaches?
- Does the proposed research employ innovative concepts or methods?
- 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

- What is the past performance and potential of the Principal Investigator (PI)?
- How well qualified is the research team to carry out the proposed research?
- Are the research environment and facilities adequate for performing the research?
- Does the proposed work take advantage of unique facilities and capabilities?

## REASONABLENESS AND APPROPRIATENESS OF THE PROPOSED BUDGET

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

## **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 Official will consider the following items, listed in no order of significance:

- Scientific and technical merit as determined by merit review
- Availability of funds
- Relevance of the proposed activity to Office of Science priorities
- Ensuring an appropriate balance of activities within Office of Science and Department of Energy programs
- Delineation of the scope of the proposed research from other research activities in which the principal investigators are involved, particularly those supported by DOE and by other federal agencies
- Relationship of the proposed project to other research and development programs in DOE, including but not limited to the Energy Frontier Research Centers, Energy Innovation Hubs, and the core research activities within the BES Materials Sciences and Engineering or Chemical Sciences, Geosciences, and Biosciences Divisions
- Previous performance of the investigators

### **3. Review of Risk**

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

- Technical merit of the application,
- Reports and findings from audits performed under 2 CFR 200 or OMB Circular A-133, and
- Systems maintained under 2 CFR 180, including the SAM “Exclusions” and “Do Not Pay” systems.

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

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

#### **4. Discussions and Award**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to the following: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulation); and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

#### **C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES**

It is anticipated that the award selection will be completed by **September 30, 2016**. It is expected that awards will be made in **Fiscal Year 2016**.

DOE is interested in seeing projects supported under this FOA begin work by **September 30, 2016**.

## **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) 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulation); (5) National Policy Assurances To Be Incorporated As Award Terms; (6) Budget Summary; and (7) Federal Assistance Reporting Checklist, which identifies the reporting requirements.

For grants made to universities/IHE, non-profits and other entities subject to Title 2 CFR, awards made under this funding opportunity should include the government-wide Research Terms and Conditions. A new version of the Terms and Conditions based on the changes to 2 CFR 200 is not yet available. Once the Terms and Conditions become available, they will be located at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>. If an award is made under this funding opportunity before the Terms and Conditions are posted, alternative Terms and Conditions may be included in the award.

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

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

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

For grants made to universities/IHE, non-profits and other entities subject to Title 2 CFR, awards made under this funding opportunity should include the government-wide Research Terms and Conditions. A new version of the Terms and Conditions based on the changes to 2 CFR 200 is not yet available. Once the Terms and Conditions become available, they will be located at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>. If an award is made under this funding opportunity before the Terms and Conditions are posted, alternative Terms and Conditions may be included in the award.

## NONDISCLOSURE AND CONFIDENTIALITY AGREEMENTS REPRESENTATIONS (JUNE 2015)

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

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

(2) It **does not and will not** use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:

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

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

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

## REGISTRATION REQUIREMENTS

Additional administrative requirements for DOE grants 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 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 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://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Terms.

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

Not applicable.

### **5. Additional Conditions**

#### CONFERENCE SPENDING (FEBRUARY 2015)

The recipient shall not expend any funds on a conference not directly and programmatically related to the purpose for which the grant was awarded that would defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the United States Government would otherwise exceed \$20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or

senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

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

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

- It is **not** a corporation that has been convicted of a felony criminal violation under any Federal law within the preceding 24 months,
- It is **not** a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations the following definitions apply:

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

#### PUBLICATIONS

The recipient is expected to publish or otherwise make publicly available the results of the work conducted under any award resulting from this Funding Opportunity Announcement.

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

### C. REPORTING

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. The checklist is available at

<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](mailto:support@grants.gov). DOE cannot answer these questions.

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

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submission and inquiries about this Funding Opportunity Announcement should reference **DE-FOA-0001569**.

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

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

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

### **B. AGENCY CONTACTS**

Grants.gov Customer Support	800-518-4726 (toll-free) <a href="mailto:support@grants.gov">support@grants.gov</a>
PAMS Customer Support	855-818-1846 (toll-free) 301-903-9610 <a href="mailto:sc.pams-helpdesk@science.doe.gov">sc.pams-helpdesk@science.doe.gov</a>
Program Manager Scientific Contact	Raul Miranda, 301-903-8014, <a href="mailto:raul.miranda@science.doe.gov">raul.miranda@science.doe.gov</a>

## **Section VIII - OTHER INFORMATION**

### **A. MODIFICATIONS**

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

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

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

### **D. PROPRIETARY APPLICATION INFORMATION**

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

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

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

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

## **E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL**

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

## **F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM**

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

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

## **G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER**

Applicants may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this FOA, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784. For more information, see <http://energy.gov/gc/services/technology-transfer-and-procurement/office-assistant-general-counsel-technology-transf-1>

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

## **H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES**

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

## **I. AVAILABILITY OF FUNDS**

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