

**DEPARTMENT OF ENERGY
OFFICE OF SCIENCE
BIOLOGICAL AND ENVIRONMENTAL RESEARCH**



URBAN INTEGRATED FIELD LABORATORIES (IFL)

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER:
DE-FOA-0002581**

**FOA TYPE: INITIAL
CFDA NUMBER: 81.049**

FOA Issue Date:	03/23/2022
Submission Deadline for Letters of Intent:	N/A
Submission Deadline for Pre-Applications:	04/19/2022 at 5:00 PM ET A Pre-Application is required
Pre-Application Response Date:	04/26/2022 at 11:59 PM ET
Submission Deadline for Applications:	06/16/2022 at 11:59 PM ET

Table of Contents

SECTION I – FUNDING OPPORTUNITY DESCRIPTION.....	1
SECTION II – AWARD INFORMATION.....	14
A. TYPE OF AWARD INSTRUMENT.....	14
B. ESTIMATED FUNDING	14
C. MAXIMUM AND MINIMUM AWARD SIZE.....	14
D. EXPECTED NUMBER OF AWARDS.....	15
E. ANTICIPATED AWARD SIZE	15
F. PERIOD OF PERFORMANCE	15
G. TYPE OF APPLICATION	15
SECTION III – ELIGIBILITY INFORMATION	16
A. ELIGIBLE APPLICANTS	16
B. COST SHARING.....	17
C. ELIGIBLE INDIVIDUALS.....	17
D. LIMITATIONS ON SUBMISSIONS.....	17
SECTION IV – APPLICATION AND SUBMISSION INFORMATION	18
A. ADDRESS TO REQUEST APPLICATION PACKAGE.....	18
B. LETTER OF INTENT (LOI) AND PRE-APPLICATION	18
C. GRANTS.GOV APPLICATION SUBMISSION AND RECEIPT PROCEDURES.....	20
D. CONTENT AND APPLICATION FORMS	20
E. SUBMISSIONS FROM SUCCESSFUL APPLICANTS	32
F. SUBMISSION DATES AND TIMES	33
SECTION V - APPLICATION REVIEW INFORMATION.....	35
A. CRITERIA	35
B. REVIEW AND SELECTION PROCESS	38
C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES	39
SECTION VI – AWARD ADMINISTRATION INFORMATION.....	40
A. AWARD NOTICES.....	40
B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.....	40
C. REPORTING	41
D. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE (DECEMBER 2015)	41
SECTION VII - QUESTIONS/AGENCY CONTACTS.....	43

A. QUESTIONS	43
B. AGENCY CONTACTS	43
SECTION VIII – SUPPLEMENTARY MATERIAL	44
A. HOW-TO GUIDES.....	44
B. POLICY PROVISIONS.....	67
C. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.....	67
D. REFERENCE MATERIAL	76

UPDATES AND REMINDERS

RECOMMENDATION

The Department of Energy (DOE) Office of Science (SC) encourages you to register in all systems as soon as possible. You are also encouraged to submit letters of intent (LOIs), pre-applications, and applications well before the deadline.

CURRENT AND PENDING SUPPORT AND BIOGRAPHICAL SKETCHES

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

REPORTING AND ADMINISTRATIVE REQUIREMENTS

DOE is implementing enhanced reporting requirements for applications and awards. Reporting and administrative requirements, including but not limited to those pertaining to other sources of support and potential conflicts of interest or commitment, are subject to change before the Federal award date. The terms and conditions of award will specify changed requirements: Applicants have the right to reject any proposed awards. Terms and conditions may be modified at the time of an award modification: Recipients have the right to reject such modifications and allow an award to expire.

UNIQUE ENTITY IDENTIFIER (UEI)

The Federal Government is transitioning from the Data Universal Numbering System (DUNS), assigned by Dun and Bradstreet at <https://fedgov.dnb.com/> to the UEI, assigned by the System for Award Management at <https://www.sam.gov>. Information systems including SAM.gov, Grants.gov and PAMS (<https://pamspublic.science.energy.gov>) are being updated: Please follow the on-screen instructions or contact each system's Help Desk for additional information. Detailed information about the transition is available at <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-information-kit/unique-entity-identifier-update>.

ACKNOWLEDGMENT OF FEDERAL SUPPORT

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

PUBLIC ACCESS

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

SC STATEMENT OF COMMITMENT

The DOE SC is fully and unconditionally committed to fostering safe, diverse, equitable, and inclusive work, research, and funding environments that value mutual respect and personal integrity. Discrimination and harassment undermine SC's ability to achieve its mission by reducing productivity, discouraging, or inhibiting talent retention and career advancement, and weakening the integrity of the SC enterprise overall. SC does not tolerate discrimination or harassment of any kind, including sexual or non-sexual harassment, bullying, intimidation, violence, threats of violence, retaliation, or other disruptive behavior in the federal workplace, including DOE field site offices, or at national laboratories, scientific user facilities, academic institutions, other institutions receiving SC funding, or other locations where activities funded by SC are carried out. All applicants and collaborators should familiarize themselves with the SC Statement of Commitment available at <https://science.osti.gov/sc-2/Research-and-Conduct-Policies/Diversity-Equity-and-Inclusion/SC-Statement-of-Commitment>.

UPDATING YOUR PAMS PROFILE

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

PDF GENERATION

The research narrative in an application must be one single machine-readable PDF file that contains the DOE Title Page, project narrative, biographical sketch, current and pending support, bibliography and references cited, facilities and other resources, equipment, data management plan, and other attachments. This single PDF file may not be scanned from a printed document and must be attached in Field 8 on the Grants.gov form. You are strongly encouraged to submit the combined research narrative file through a "Print to PDF" or equivalent process to ensure that all content is visible in one PDF file.

Checklist for Avoiding Common Errors:

Item	Issue
Page Limits	Strictly followed throughout application, including particular attention to: <ul style="list-style-type: none"> - Research Narrative - Biographical sketches - Data Management Plan(s) (DMPs) - Software Productivity and Sustainability Improvement Plan (S-PSIP)
Personally Identifiable Information	None present in the application
Research Narrative	Composed of one PDF file including all appendices
Project Summary / Abstract	Name(s) of applicant, PI(s), PI's institutional affiliation(s), Co-Investigator(s), Co-Investigator's institutional affiliation(s)
DOE Title Page	Follow instructions closely
Budget	Use current negotiated indirect cost and fringe benefit rates
Budget Justification (attached to budget)	Justify all requested costs and ensure that amounts in the budget justification exactly match amounts in the budget pages
Biographical Sketches	Follow page limits strictly
Current and Pending Support	Ensure complete listing of all activities, regardless of source of funding
Data Management Plans (DMP)	<ul style="list-style-type: none"> - If referring to an experiment's DMP, describe the relationship to the proposed research - Include a DMP even if no experimental data is expected
Software Productivity and Sustainability Improvement Plan (S-PSIP)	<ul style="list-style-type: none"> - Include S-PSIP if any activities involve development or enhancement of software
Institutions capable of being funded through the DOE Field Work System	<p>If National Laboratories and/or DOE sites are permitted to submit under this FOA:</p> <ul style="list-style-type: none"> - Do not create new institutions in the PAMS website - Submit applications in Grants.gov using the name of the laboratory or site in Field 5 of the SF-424(R&R) application form, not the contractor operating the laboratory or site <p>Submissions under this FOA will be evaluated for technical merit, but any resulting funding, work, or awards will be made under the laboratory or site's contract</p>

	with DOE. No separate financial assistance awards will be made. No administrative provisions of this FOA will apply to the laboratory or any laboratory subcontractor.
--	--

Section I – FUNDING OPPORTUNITY DESCRIPTION

GENERAL INQUIRIES ABOUT THIS FOA SHOULD BE DIRECTED TO:

Technical/Scientific Program Contacts:

Dr. Jennifer Arrigo
jennifer.arrigo@science.doe.gov

Dr. Sally McFarlane
sally.mcfarlane@science.doe.gov

Mr. Robert Vallario
bob.vallario@science.doe.gov

STATUTORY AUTHORITY

Section 646 of Public Law 95-91, U.S. Department of Energy Organization Act
Section 901, et seq., of 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 DOE SC Program in Biological and Environmental Research (BER), Earth and Environmental System Sciences Division (EESSD) hereby announces its interest in applications from the scientific community for Urban Integrated Field Laboratories (Urban IFLs) that will improve the science underpinning our understanding of climate and environmental predictability across complex and variable urban regions. EESSD supports fundamental systems level research aimed at identifying the foundational principles of dynamic physical, biogeochemical, and human processes and interactions and advancing fundamental understanding of the predictability of the climate and broader Earth system. EESSD develops the science, technology, and knowledge base that is necessary to inform actions to enable the resilience of natural-human systems that are exposed to climate trends, variabilities, and extremes.

For the purposes of this FOA, urban regions are densely populated areas, encompassing interdependent environmental, ecological, infrastructure, and human components. Urban regions of interest for this FOA are in climate-sensitive locations, and are highly heterogeneous, i.e. having uneven distribution of physical landforms and vegetation, environmental processes, the built environment and infrastructure, population density, and socioeconomic clustering in the

urban landscape, particularly when that heterogeneity relates to impacts on disadvantaged communities. The Urban IFLs will necessarily involve diverse scientific disciplines to develop comprehensive projects including field observations, data assimilation, modeling, and model-data fusion, to inform equitable solutions based on state-of-the-art uncertainty quantification and data analytics. Applications must be multi-institutional and focus on the development of a single IFL. While multiple IFLs may be selected in response to this FOA, considered together, each of the selected IFLs will represent different aspects of understanding urban systems, potentially including diverse demographic characteristics; differing climate-induced pressures on people and infrastructures; and unique geographic settings, e.g., coastal; arid lands; mountains; plains; or Great Lakes.

SUPPLEMENTARY INFORMATION

Program Objective

The objective of the Urban IFL program is to advance the science underpinning our understanding of the predictability of urban systems and their two-way interactions with the climate system, in order to provide the knowledge and information necessary to inform equitable climate and energy solutions that can strengthen community scale resilience across urban landscapes. The Urban IFLs will pursue the fundamental scientific understanding necessary to inform the design, development, financing, and deployment pathways of technical solutions that promote social equity and enhance urban resilience in response to the climate crisis.

Background

Multiple societal benefits underlie the U.S. DOE research efforts to advance earth and environmental system science as a means to identify, demonstrate, and deploy equitable climate and energy solutions across the Nation. These benefits include ensuring future energy security, lowering greenhouse gases to mitigate climate impacts, identifying adaptation options that minimize climate risk, and accelerating the adoption of climate solutions to the communities that will be affected the most.

As recommended by the BER Advisory Committee (BERAC) in its 2017 Grand Challenge Report to the Office of Science (<http://science.energy.gov/~media/ber/berac/pdf/Reports/BERAC-2017-Grand-Challenges-Report.pdf>) the proposed Integrated Field Laboratory (IFL) concept was envisioned as new research investments that "... integrated and expanded vertically (from the bedrock to the atmosphere) and geographically (across key geographic regions)." The IFLs were to be built on existing BER observational and modeling investments addressing the driving forces of change. Thus, the IFLs were to serve "...as validation points for deepening scientific understanding of the major drivers and consequences of environmental change arising from both natural variability and human activities." BERAC identified several candidate types of IFLs, with urban systems being a major and high priority focus. Associated with BERAC's grand challenge study, a dedicated workshop was held in 2015 (https://science.osti.gov/~media/ber/berac/pdf/20150226/Draft_BERAC_Feb_IFL_workshop_report.pdf?la=en&hash=7908AF4FFA9B2B26B69AB4E6A0DBD7259A238E72) that focused on new science involving coupled natural-human urban systems where rapid land-use changes were intensifying water,

carbon, and nutrient cycles. The workshop also identified the need for science-driven, model-based simulations that could evaluate benefits of developing and deploying novel technologies that could help reduce greenhouse gas emissions in urban systems, as a means to stabilize the climate. In 2019, and building from the BERAC Grand Challenge study, Argonne National Laboratory hosted an international workshop on ‘Urban Scale Processes’ that emphasized the urgent need for prediction capabilities able to resolve variations across the highly heterogeneous communities of urban regions (<https://www.osti.gov/servlets/purl/1721696>) . The National Academies of Sciences, Engineering and Medicine (NASEM) 2016 consensus report on Pathways to Urban Sustainability: Challenges and Opportunities for the United States (<https://doi.org/10.17226/23551>) and a NASEM workshop held in 2019 reports on Enhancing Urban Sustainability with Data, Modeling, and Simulation (<https://doi.org/10.17226/25480>) have also articulated critical and urgent needs for interdisciplinary urban sustainability research.

Together, these workshops and their reports highlight the remarkable scientific journey that has extended from studies that emphasized natural climate change just one decade ago, to a new era where our understanding of climate change is based on the interdependence of natural and human processes. The transition to this new era was led by DOE, within its climate modeling program. Because it had become increasingly clear that the human and natural components are interrelated, DOE emphasized the climate-human connection in its strategic plan (in 2018) for the Climate and Environmental Sciences Division (which has since become the Earth and Environmental System Sciences Division). Maintaining the momentum to strengthen the human component of climate science, DOE will now embark on climate prediction as it affects people, with greater emphasis on research in urban regions. We envision that the Urban IFL concept will reinforce the paradigm shift in climate science, where experts across the scientific enterprise – including physicists, chemists, biologists, ecologists, economists, demographers, geographers, urban planners, and ethicists – work in a symbiotic unified manner to address the climate crisis.

To accomplish this vision—to build predictive capabilities for highly heterogeneous urban regions that inform equitable solutions—requires a change in our fundamental approach to observing, modeling, and simulating the components of climate, environmental, ecological, socioeconomic, and technological change. The BERAC Grand Challenge report and subsequent workshops and reports identified opportunities and approaches that should be incorporated in holistic urban science studies, e.g., including goals to link the natural and socioeconomic sciences, using advanced technologies as a means to improve the accuracy of predictions, and simulating future predictions based on the insertion of emerging technologies into spatially-resolved models. By simultaneously addressing these goals, the scientific gains of climate research will more readily be adopted by America’s diverse communities and demographic groups.

Defining Attributes of Urban IFLs

An Urban IFL must be focused on an urban region within the United States or one of its territories and must have all the following characteristics:

- The Urban IFL emphasizes the basic sciences of climate, environmental, ecological, and urban change affecting heterogeneous urban regions, yet with a view towards informing

sustainable, resilient, and equitable solutions. The program will give special consideration to science that addresses the climate change impacts affecting under-represented and/or disadvantaged communities.

- The proposed urban region is unique yet exhibits some climatic, demographic, or other similarities to other US urban regions, i.e., such that other similar urban regions will be able to learn from science success stories from the urban region that contains an IFL.
- The Urban IFL research combines new observations with high resolution and highly detailed urban modeling, where data generated by observations and models are used for scientific analysis.
 - While the new observations will be expected to improve understanding of atmospheric, ecological and/or environmental processes unique to urban region(s), the applicants will also be encouraged to leverage federal, state, and other existing observations and observing networks, including crowd-sourced information.
 - The modeling component must be at a high enough resolution and detail to adequately represent distinguishing features and changing dimensions of heterogeneous communities (e.g. the people, built and natural environment, infrastructure, resources, and socioeconomic components) across the urban region. The modeling component must furthermore be capable of being nested within and/or forced by a regional to global climate system model, in order to adequately represent future climate variability and change across urban regions.
- The IFL provides opportunities to inspire, train, and support leading scientists from a variety of institutions, including minority-serving institutions, who have an appreciation for the global climate and energy challenges of the 21st century.
- The Urban IFL science plan includes significant research efforts addressing all three required Research Focus Areas (defined below) and integrates knowledge and effort across them.

Research Focus Areas

An Urban IFL must have significant research efforts addressing multiple science themes and is expected to be structured around the three specific Research Focus Areas (RFA) defined below. All three RFAs must be explicitly addressed in an Urban IFL, though it not expected that the proportion of effort in each RFA be equal. Rather, an Urban IFL application may include different levels of emphasis for each RFA, aligned with the needs of the urban region proposed for study and the expertise of the Urban IFL team, as long as all three RFAs are present in the science plan and the research efforts in the RFAs are integrated in a way such that knowledge from one focus area directly informs the research in the other areas.

Each RFA is listed with representative supporting questions that would be responsive to the FOA. These questions are intended to be examples only. The intent of the program is to allow for maximum flexibility for Urban IFLs to identify, define, and address questions relevant to the three required RFA. We are particularly interested in tapping the imagination and creativity of the scientific community to address the fundamental questions of how urban systems work under the pressures of a dynamically changing climate, and how to harness this new knowledge for some of our most critical real-world challenges.

Research Focus Area 1: Spatial variabilities across the greater urban regions and how the variabilities exert influences on local micro-climates and micro-environments affecting urban communities.

Representative questions:

1. How does the variability of built infrastructures, communities, and ecosystems across urban regions affect and interact with the patterns of urban climates, including anomalous extreme weather?
2. How do the variabilities of the urban-influenced atmosphere affect the emission, transport, properties, and spread of atmospheric chemicals and particles and their potential implications and impacts on people and communities?
3. What are the mechanisms that govern how materials such as pollutants move through diverse urban ecological landscapes, including the bi-directional interactions between the components within the heterogeneous urban environment (from subsurface to atmosphere, and from urban to suburban to ex-urban), including brownfield transformations and impacts on people and communities?
4. What is the role and function of urban stream systems and green space in mediating the impacts of extreme events, such as storms and floods?
5. How does regional hydrology, which is driven by the heterogeneity of all drivers, influence water supply, use, and water stress for urban landscapes and how might this change under different climate change scenarios?

Research Focus Area 2: Observing and modeling biogeochemical cycling and atmospheric composition in urban systems.

Representative questions:

1. How do the physical and ecological processes (e.g., climate, vegetation dynamics) and human drivers (e.g., urban clustering of infrastructure, communities, and socioeconomic patterns) lead to the spatial distribution of climate forcers, such as greenhouse gases and aerosols?
2. How do the variabilities of built infrastructures, land use, and the diversity of types of ecosystems affect how carbon (including methane), nutrients, and other biogeochemical cycles may be described, both locally and regionally across the urban landscape?
3. How do we improve representation of local atmospheric circulations, e.g., urban breezes and sea breezes, to better represent the impacts that cities have on the surrounding environment and how a city's surroundings affect atmospheric circulation and greenhouse gas emissions?

Research Focus Area 3: Towards quantifying the benefits of equitable solutions that are applied to heterogeneous urban regions in addressing the climate crisis.

Representative questions:

1. What are the key characteristics of interventions that will have the greatest potential to reduce the impacts of climate change including, e.g., extreme weather, heat islands, hydrologic stressors, and air quality on urban communities, with special attention to disadvantaged communities that often bear the greatest impacts? Which types of interventions have the most efficient potential to alleviate the impacts?
2. How can the understanding gained through urban observation and process research be incorporated toward an advanced class of high-resolution urban models, where the benefits of new technology can be quantified and data generated by models can be readily used by community, finance, and other interested stakeholders?

Teaming Arrangements

Urban IFLs will bring together the skills and talents of investigators from multiple research institutions and disciplines to enable new science on the drivers and impacts of climate and urban change across heterogeneous urban regions to inform equitable solutions. The scope and complexity of the IFLs would not be possible with the standard individual investigator or small group award; they will require multi-disciplinary teams. An Urban IFL will be required to be a multi-institutional team.

The research program of the Urban IFLs should be led by scientists with appropriate and documented expertise. Because of the intent for EESSD’s Urban IFL activity to inform environmental justice and associated science underpinning equitable solutions, locally based and minority serving institutions (MSI) are expected to have significant roles in each Urban IFL management team, either as a lead organization or as a key team member. An Urban IFL research team should be comprised of diverse institutions, which could include DOE/National Nuclear Security Administration (NNSA) National Laboratories¹, academic and non-profit research institutions, other federal agencies, and/or the private sector. However, the lead organization must be an academic institution or a National Laboratory.

In assembling their research teams, Urban IFL applicants should strive to achieve the synergies that arise when individuals with forefront expertise in different methodologies, technologies, disciplines, and areas of content knowledge tackle a problem together, overcoming impassables by attacking the issue from fresh angles and discovering novel solutions. Urban IFLs are expected to engage a diverse workforce, engaging in practices to include the many communities, identities, races, ethnicities, backgrounds, abilities, cultures, and beliefs of the American people, including underserved communities. Urban IFLs should involve significant contributions and team members from the local populations of the proposed Urban IFL location.

¹ The phrase “National Laboratories” is used broadly to encompass DOE/NNSA laboratories and sites capable of performing the work described in this FOA and capable of receiving funds through the DOE Field Work System.

Infrastructure and Operation.

Urban IFLs are expected to bring together observations with detailed high resolution urban modeling. While urban IFLs are expected to develop new observational and modeling capabilities tailored to meet their specific research goals, they are encouraged to use and potentially contribute to the improvement of the hierarchy of models available to and developed by BER across its relevant programs, to exploit data from existing BER observational capabilities such as the AmeriFlux network or Atmospheric Radiation Management (ARM) user facility; and to capitalize on extensive data management holdings and advanced analysis capabilities, as appropriate. Applicants are also expected to outline computational needs and describe their provisioning strategy along with any dependencies/uncertainties and associated contingency options. Urban IFLs will need to address the significant logistical and scientific challenges of high quality observing in an urban environment, and applications should include plans to obtain permits, letters of support, and/or other documentation that demonstrate an ability to execute proposed field observations.

Technical Capabilities and Instrumentation

Urban IFLs will need to include all technical capabilities the applicant considers necessary to implement their proposed research such as instrumentation for observing environmental information, data assimilation from crowd-sourced information in local communities, etc.

Management Team

DOE SC recognizes that effective management of scientific facilities, programs, and projects is critical to the success of the research and to their overall contribution to the DOE mission.

Urban IFLs are expected to have a diverse management team with the following characteristics:

- At least one member of the management team must have in depth local knowledge of the diverse urban communities of interest and their needs for climate solutions.
- The management team is structured to accurately reflect and represent the diversity of institutions participating in the Urban IFL.
- The management team is diverse, with a focus on including the many communities, identities, races, ethnicities, backgrounds, abilities, cultures, and beliefs of the American people, including underserved communities, and has significant and appropriate roles for researchers from the local populations of the proposed Urban IFL location. .
- The management team is able to communicate effectively with scientists and stakeholders of all relevant disciplines and backgrounds and is able to encourage engagement of under-represented communities and minority serving institutions in the new frontiers of urban climate science.
- The management team selects a set of diverse set of researchers with respect to the many communities, identities, races, ethnicities, backgrounds, abilities, cultures, and beliefs of the American people, including underserved communities. Together the Urban IFL research team provides a set of diverse multidisciplinary backgrounds and perspectives to adequately address the goals of the project.

Management Plan

Urban IFLs must have well-designed management plans for the establishment of the Urban IFL, as well as for IFL operations and research. The plan must address the highly complex, multidisciplinary nature of the topic and inherent challenges in managing a multi-institutional research team, including the need for research evaluation, adding or modifying research partners and projects, succession planning, and sunsetting unproductive or completed research. The management plan must address how research findings in one area will inform research directions in other areas. The plan must address management structure, leadership, and communications responsibilities and authority and should also consider such topics as contingency planning for technical risk, scientific mentoring, training and retention of staff, turnover and succession planning, diversity inclusion, harassment prevention, and scientific misconduct. The plan must demonstrate how early- and mid-career researchers will be incorporated into the management structure and be given opportunities to take on more responsibility and gain management experience within a multidisciplinary, multi-institutional research center. Plans should include provisions for coordination with other Urban IFLs and with other BER-funded research projects. The management plan must also describe change control processes as they may be needed.

In common with other major SC supported programs, the Urban IFLs will be subject to regular and rigorous peer review of their scientific program and their management structure, policies, and practices.

Data Management

Applicants must describe strategies that the Urban IFL will use for management of data including data generation, data quality, data standards, data storage and data sharing, in compliance with the SC statement on Digital Data Management, published at <http://science.osti.gov/funding-opportunities/digital-data-management>, which governs applications submitted under this FOA, and is detailed in Part IV of this FOA. The applicant must develop a detailed data management plan that includes provisions for managing any observed, model-generated, or crowd-sourced information in ways that conform to standard DOE policy. Applicants must include costs associated with data management in their proposed budget and are strongly encouraged to archive data in existing EESSD data archives such as ESS-DIVE (<https://ess-dive.lbl.gov/>), MSD-LIVE (https://multisectordynamics.org/wp-content/uploads/2019/11/MSD-Community-Webinar_slidedeck.pdf), ESGF (<https://esgf.llnl.gov/>), or the ARM Data Center (<https://www.arm.gov/data/>). If a non-DOE supported archive is identified, applicants should justify this choice.

In concert with a data management plan, applicants must also include a Software Productivity and Sustainability Improvement Plan (S-PSIP) which describes the team's strategy for use of "best practices" that support software development, productivity and sustainability for the modeling components. To assist in preparing a S-PSIP, the applicant is encouraged to visit the Better Scientific Software site (<https://bssw.io/>). Additional guidance on software development is available through a series of archived IDEAS-ECP webinars (<https://ideas-productivity.org/events/hpc-best-practices-webinars>) and on GitHub: (<http://github.com/betterscientificsoftware/PSIP-Tools>).

Deliverables / Benchmarks

The IFLs are expected to have deliverables or benchmarks that help focus the objectives of the research to the proposed short and long-term goals of the project. Examples of deliverables include peer reviewed research articles, stakeholder engagement and outreach, published and accessible data sets, software releases, analytical and visualization tools, and patent applications. Each IFL is expected to design and report appropriate benchmarks for workforce development, mentoring, and/or training deliverables. Each IFL is expected to maintain an up-to-date, accurate and informative website that includes both scientific project information and relevant information for urban stakeholders.

Research Integration and Coordination

Applicants should address how research will be coordinated across the IFL, specifically addressing how research findings in one research focus area/theme will inform research directions in other RFAs/Science themes. Applicants should describe plans for integrating the results of their fundamental research and technology development with other Urban IFLs and across EESSD research programs in general. IFLs may require research and technology capabilities that are beyond the scope of their IFL's skills and resources, and they should develop plans for obtaining these additional capabilities, including collaboration with outside scientists. These may include scientists funded by the EESSD, scientists funded by other parts of DOE or other agencies, and the use of resources both at their home institutions as well as at other institutions. Change control procedures, as they may be needed, also should be described.

Annual Meetings

If a project is funded, beginning in the first year of funding, key project participants will be required to attend an annual DOE Urban IFL meeting, generally held in the Washington, DC, area. Additionally, to encourage broader engagement with other EESSD research activities, Urban IFLs should plan to have a representative of the project participate in at least one other EESSD Principal Investigator (PI) meeting, which are generally held annually by each EESSD research activity (<https://science.osti.gov/ber/Research/eessd>). Reasonable travel expenses will be allowable as part of the project budget.

References

BERAC. 2015. "Workshop on Input for Development of an Integrated Field Laboratory With a Focus Incorporating Urban Systems as Part of Human – Earth System Interactions."
https://science.osti.gov/-/media/ber/berac/pdf/20150226/Draft_BERAC_Feb_IFL_workshop_report.pdf?la=en&hash=7908AF4FFA9B2B26B69AB4E6A0DBD7259A238E72

BERAC. 2017. Grand Challenges for Biological and Environmental Research: Progress and Future Vision; A Report from the Biological and Environmental Research Advisory Committee, DOE/SC-0190, BERAC Subcommittee on Grand Research Challenges for Biological and

Environmental Research; <https://science.osti.gov/-/media/ber/berac/pdf/Reports/BERAC-2017-Grand-Challenges-Report.pdf>

Sharma, A., Wuebbles, DJ., Kotamarthi, R, Calvin, K, Drewniak, B, Catlett, CE., and R. Jacob, 2020. “Urban-Scale Processes in High-Spatial-Resolution Earth System Models”.
<https://doi.org/10.1175/bams-d-20-0114.1>. <https://www.osti.gov/servlets/purl/1721696>.

Other Informational Resources

DOE BER Information:

Biological and Environmental Research: <https://science.osti.gov/ber>

Earth and Environmental Systems Science Division (EESSD):
<https://science.osti.gov/ber/Research/eessd>

DOE BER User Facilities:

Atmospheric Radiation Measurement (ARM): <https://www.arm.gov/>
Environmental Molecular Science Laboratory (EMSL): <https://www.emsl.pnnl.gov/>

DOE Supported Projects and Resources:

Environmental System Science Data and Cyberinfrastructure Resource Page:
<https://ess.science.energy.gov/data/>

AmeriFlux Network: <https://ameriflux.lbl.gov/>

Multisector Dynamics Community-of-Practice Working Groups (including Urban Systems):
[Working Groups – MultiSector Dynamics](#)

Open Science

SC is dedicated to promoting the values of openness in Federally supported scientific research, including, but not limited to, ensuring that research may be reproduced and that the results of Federally supported research are made available to other researchers. These objectives may be met through any number of mechanisms including, but not limited to, data access plans, data sharing agreements, the use of archives and repositories, and the use of various licensing schemes.

The use of the phrase “open-source” does not refer to any particular licensing arrangement but is to be understood as encompassing any arrangement that furthers the objective of openness.

Multi-Institutional Teams

Multi-institutional teams are required. Applications for multi-institutional teams must ensure that the lead institution performs an equal or greater portion of the scientific and technical work than any other team member. It is also expected that the lead institution receives no more than 50% of the total funding, to ensure that each team member has a substantive role and requests resources commensurate with that role. Additionally, the total combined project funding for DOE/NNSA National Laboratories must not exceed 60% of the total funding. Requests to change the institution performing the greatest portion of the scientific and technical work after an application is submitted will result in the application being declined unless the request is the result of the lead PI's death, incapacitation, or relocation.

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

COLLABORATIVE APPLICATIONS

Teams of multiple institutions may submit collaborative applications. Each submitted application in such a team must indicate that it is part of a collaborative project/group. Every partner institution must submit an application through its own sponsored research office. Each multi-institutional team can have only one lead institution. Each application within the multi-institutional team, including the narrative, starting with the title page, and all required appendices and attachments, must be identical with the following exceptions:

- Each application must contain a correct SF-424 (R&R)² cover page for the submitting institution only.
- Each application must contain a unique budget corresponding to the expenditures for that application's submitting institution only.
- Each application must contain a unique budget justification corresponding to the expenditures for that application's submitting institution only.

Our intent is to create from the various applications associated with a multi-institutional team one document for merit review that consists of the common, identical materials combined with a set of detailed budgets from the partner institutions. Thus, it is very important that every research narrative in the multi-institutional team be identical, while each team member must submit its own system-generated cover page, budget, and budget justification. Each team member's application must contain the same project title.

SUBAWARDS³

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

2 The Standard Form 424 (SF-424) family of forms is used to apply for Federal financial assistance through <https://www.Grants.gov>. The Research and Related (R&R) set of forms is used by the Office of Science.

3 Subawards are made to subrecipients. Both terms are defined in 2 CFR 200.1 (<https://www.ecfr.gov>)

DOE/National Nuclear Security Administration (NNSA) National Laboratories⁴, other Federal agencies, and another Federal agency's FFRDCs⁵, if participating in a team led by another institution, may not be proposed as subrecipient.

These organizations are usually funded directly by DOE and therefore must submit their own applications as collaborative applications.

- DOE/NNSA National Laboratories must submit in response to this FOA in Grants.gov.
- Another Federal agency must submit its own application as part of a collaborative application in response to this FOA in Grants.gov.
- Another Federal agency's FFRDC must submit its own application as part of a collaborative application in response to this FOA in Grants.gov.

DISTINGUISHING BETWEEN COLLABORATIVE APPLICATIONS AND SUBAWARDS

The following points of advice to applicants may be helpful:

1. Both collaborative applications and proposed subawards are methods by which multiple institutions can work together to reach the scientific objectives described in this FOA. Choose the appropriate structure based on the nature of the scientific work being proposed. If multiple institutions will be functioning as a network of peer-level researchers, a collaborative structure would be more appropriate. If multiple institutions will be functioning with leadership and direction coming from one institution, a subaward arrangement would be more appropriate.
 - a. Collaborative applications are assembled from multiple identical applications submitted by the proposing institution. Such applications may be submitted under this FOA in Grants.gov. The multiple applications will be assembled into one joint collaborative application, which will be merit-reviewed as one document, with recommendations to fund or decline the application made at the level of each independent application.
 - b. Subawards exist when multiple institutions work together to submit one application with a designated prime awardee and multiple potential subrecipients.
 - c. DOE/NNSA National Laboratories, other Federal agencies, and another Federal agency's FFRDCs may be proposed as subrecipients, but the value of any such proposed subaward may be removed from any such prime award: DOE will often make separate awards to Federally affiliated institutions.
2. A well-thought-out research plan and its associated budget(s) should leave no confusion about which institution will do which parts of the research.

All entities submitting applications to this FOA must recognize the moral and legal obligations to comply with export controls and policies that limit the transfer of technologies with potential dual use. Applicants are reminded that international

⁴ The phrase "National Laboratories" is used broadly to encompass DOE/NNSA laboratories and sites capable of performing the work described in this FOA and capable of receiving funds through the DOE Field Work System.

⁵ An authoritative list of all Federally Funded Research and Development Centers (FFRDCs) may be found at <https://www.nsf.gov/statistics/ffrdelist/>

activities must comply with nonproliferation, sanction, and other protocols described at <https://www.export.gov>.

International activities related to special nuclear materials (SNM) are subject to additional requirements. Please see 10 CFR 810 for further information.

This FOA 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, cooperative agreements, interagency agreements, and/or National Laboratory authorizations under this FOA.

DOE will consider funding multi-institution teams submitted as collaborative applications, in which each institution must submit its own application with an identical common research narrative, under this FOA. Multi-institutional teams may also apply using a prime and subaward model with one application submitted by the lead institution.

Statement of Substantial Involvement

Either a grant or cooperative agreement may be awarded under this FOA. If the award is a cooperative agreement, the DOE contract specialist/grants management specialist and DOE project officer will negotiate a Statement of Substantial Involvement prior to award.

B. ESTIMATED FUNDING

DOE anticipates that, subject to the availability of future year appropriations, a total of up to of \$85 million in current and future fiscal year funds will be used to support awards under this FOA.

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

C. MAXIMUM AND MINIMUM AWARD SIZE

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

A multi-institutional team, whether applied for as a prime applicant with subawards or as collaborative applications, is limited to a request of no more than \$5,000,000 per year.

Ceiling

\$5,000,000 per year

Applications requesting more than this amount of support may be declined without further review.

Floor

\$2,000,000 per year

D. EXPECTED NUMBER OF AWARDS

Approximately 3 to 5 awards are expected.

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

E. ANTICIPATED AWARD SIZE

It is anticipated that award sizes may range from \$2,000,000 per year to \$5,000,000 per year. The amount requested for each year of the five-year project may vary within these limits. The award size will depend on the number of meritorious applications and the availability of appropriated funds.

F. PERIOD OF PERFORMANCE

DOE anticipates making awards with a project period of five years.

Continuation funding (funding for the second and subsequent budget periods) is contingent on: (1) availability of funds appropriated by Congress and future year budget authority; (2) progress towards meeting the objectives of the approved application; (3) submission of required reports; and (4) compliance with the terms and conditions of the award.

G. TYPE OF APPLICATION

DOE will accept only new applications under this FOA.

Section III – ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

All types of domestic applicants are eligible to apply, except nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995.

Federally affiliated⁶ entities must adhere to the eligibility standards below:

1. DOE/NNSA National Laboratories

DOE/NNSA National Laboratories are eligible to submit applications under this FOA and may be proposed as subrecipients under another organization's application. If recommended for funding as a lead applicant, funding will be provided through the DOE Field-Work Proposal System and work will be conducted under the laboratory's contract with DOE. No administrative provisions of this FOA will apply to the laboratory or any laboratory subcontractor. If recommended for funding as a proposed subrecipient, the value of the proposed subaward will be removed from the prime applicant's award and will be provided to the laboratory through the DOE Field-Work Proposal System and work will be conducted under the laboratory's contract with DOE. Additional instructions for securing authorization from the cognizant Contracting Officer are found in [Section VIII](#) of this FOA.

2. Non-DOE/NNSA FFRDCs

Non-DOE/NNSA FFRDCs are eligible to submit applications under this FOA but are not eligible to be proposed as lead in a collaborative application or as subrecipients under another organization's application. Instead, they must submit their own application as a team member in a multi-institutional team led by another institution. If recommended for funding in a multi-institutional team, funding may be provided through an interagency agreement to the FFRDC's sponsoring Federal Agency. Additional instructions for securing authorization from the cognizant Contracting Officer are found in [Section VIII](#) of this FOA.

3. Other Federal Agencies

Other Federal Agencies are eligible to submit applications under this FOA but are not eligible to be proposed as lead in a collaborative application or as subrecipients under another organization's application. Instead, they must submit their own application as a team member in a multi-institutional team led by another institution. If recommended for funding, either as the sole applicant or in a multi-institutional team, funding will be provided through an interagency agreement. Additional instructions for providing statutory authorization are found in [Section VIII](#) of this FOA.

⁶ Institutions that are not DOE/NNSA National Laboratories, a non-DOE/NNSA FFRDC, or another Federal agency are not Federally affiliated, even if they receive Federal funds or perform work under a Federal award or contract.

This FOA seeks to support basic research to advance understanding rather than to address commercial opportunities. Applications that propose research related to current commercial activity or current customer needs may be declined without merit review.

Applications that are submitted by applicants that have not submitted a required pre-application may be declined without further review.

B. COST SHARING

Cost sharing for basic and fundamental research is not required pursuant to an exclusion from the requirements of Section 988 of the Energy Policy Act of 2005.

C. ELIGIBLE INDIVIDUALS

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

D. LIMITATIONS ON SUBMISSIONS

Applicant institutions are limited to no more than one letter of intent, pre-application, or application as lead institution. DOE will consider the latest received submissions to be the institution's intended submissions.

- Pre-applications in excess of the limited number of submissions may be discouraged.
- Applications in excess of the limited number of submissions may be declined without review.

Institutions, as team members and not leads, may be included on multiple applications. The PI on a pre-application or application may also be listed as a senior or key personnel on separate submissions without limitation.

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 <https://www.Grants.gov>, select “Search Grants”, and then enter the Catalog of Federal Domestic Assistance (CFDA) number (81.049) and/or the FOA number shown on the cover of this FOA. Select the “Apply” button to access the application package.

Applications submitted through www.FedConnect.net will not be accepted. Applications may not be submitted through PAMS at <https://pamspublic.science.energy.gov>.

B. LETTER OF INTENT (LOI) AND PRE-APPLICATION

1. Letter of Intent (LOI)

Not applicable.

2. Pre-application

PRE-APPLICATION DUE DATE

The pre-application due date is printed on the cover of the FOA.

ENCOURAGE/DISCOURAGE DATE

The pre-application response date is printed on the cover of the FOA.

A pre-application is required and must be submitted by the date indicated on the cover of the FOA.

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 an application by the date indicated on the cover of the FOA. Applicants who have not received a response regarding the status of their pre-application by this date are responsible for contacting the program to confirm this status.

If a multi-institutional team is submitting collaborative applications, only the lead institution should submit a pre-application.

Applications that have not been encouraged by DOE may be declined without merit review.

The pre-application attachment must include, at the top of the first page, the following information:

Title of Pre-application
Principal Investigator Name, Job Title

Institution
PI Phone Number, PI Email Address
FOA Number: Include the FOA Number indicated on the cover of this FOA

This information must be followed by a clear and concise description of the proposed research that makes it clear how the proposed project meets all the defining attributes of the Urban IFL as stated in Section I. The description must include a description of the proposed region of the Urban IFL, a high-level description of the objectives and technical approach of the proposed research in each of the research focus areas, and an approach to integrate among them, and a strategy for outreach, engagement, and training. The pre-application must include the proposed teaming arrangements – including identifying each participating institution, the lead for each institution, and a high-level description of each institution’s role on the proposed project. A (non-binding) budget summary table should be provided that gives an estimate of total funding to be requested and the division among team members. The pre-application may not exceed four pages, when printed using standard letter-size (8.5 inch x 11 inch) paper with 1-inch margins (top, bottom, left, and right). The font must not be smaller than 11 point. Figures and references, if included, must fit within the four-page limit.

In addition, the pre-application must include a listing of individuals who should not serve as merit reviewers of a subsequent application. Detailed instructions for how to craft such a listing are provided in [Section VIII](#) of this FOA. This listing will not count toward the pre-application’s page limit. The list of individuals must be converted to a PDF file and appended to your pre-application for submission through the PAMS website at <https://pamspublic.science.energy.gov>.

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

PRE-APPLICATION REVIEW

Those pre-applications that are encouraged will be used to help SC begin planning for the application peer review process. SC’s intent in discouraging submission of certain applications is to save the time and effort of applicants in preparing and submitting applications not responsive to this FOA.

The PI will be automatically notified when the pre-application is encouraged or discouraged. The DOE SC Portfolio Analysis and Management System (PAMS) will send an email to the PI from PAMS.Autoreply@science.doe.gov, and the status of the pre-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.

PRE-APPLICATION SUBMISSION

The pre-application must be submitted electronically through the DOE SC Portfolio Analysis and Management System (PAMS) website <https://pamspublic.science.energy.gov/>.

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

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

C. GRANTS.GOV APPLICATION SUBMISSION AND RECEIPT PROCEDURES

Applications in response to this FOA must be submitted through Grants.gov. Detailed instructions for registering in and using Grants.gov are in [Section VIII](#) of this FOA.

D. CONTENT AND APPLICATION FORMS

LETTERS

Letters from collaborators or from institutions providing access to equipment and/or facilities may be appended to your research narrative and are not considered part of the research narrative's page limit. Please ensure that letters from collaborators or from institutions providing access to equipment and/or facilities only describe the nature of the collaboration or the access to equipment and/or facilities: Letters of support or recommendation are not allowed in applications under this FOA.

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 <https://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Certifications and Assurances. Applicants are bound by their representations and certifications in SAM.gov.

DUNS/UEI AND EIN NUMBERS (FIELDS 5 AND 6)

The DUNS/UEI and Employer Identification Number (EIN) 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.
- SC does not use the 12-digit EIN format required by some other agencies.
- SC does not use the DUNS+4 format.

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.

SC does not make use of the Resubmission or Continuation options.

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.

2. Research and Related Other Project Information

Complete questions in fields 1 through 6 of the SF-424 Research and Related Other Project Information form.

Note regarding question 4.a. and 4.b.:

If any environmental impact, positive or negative, is anticipated, indicate “yes” in response to question 4.a., “potential impact – positive or negative - on the environment.” Disclosure of the impact should be provided in response to question 4.b. First indicate whether the impact is positive or negative and then identify the area of concern (e.g., air, water, exposure to radiation, etc.). Should the applicant have any uncertainty, they should check “yes.”

DOE understands the phrase in field 4.a., “potential impact ... negative” to apply if the work described in the application could potentially have any of the impacts listed in (1) through (5) of 10 CFR 1021, Appendix B, Conditions that Are Integral Elements of the Classes of Action in Appendix B. (<https://www.ecfr.gov>)

Additionally, for actions which could have any other adverse impacts to the environment or have any possibility for adverse impacts to human health (e.g., use of human subjects, Biosafety Level 3-4 laboratory construction/operation, manufacture or use of certain nanoscale materials which are known to impact human health, or any activities involving transuranic or high level radioactive waste, or use of or exposure to any radioactive materials beyond de minimis levels), applicants should indicate a “negative” impact on the environment.

Lastly, 1) if there would be extraordinary circumstances (i.e., scientific or public controversy) related to the significance of environmental effects (10 CFR 1021.410 (b)(2)), 2) if the work is connected to other actions with potentially significant impacts (10 CFR 1021.410 (b)(3)), or 3) if the work is related to other nearby actions with the potential for cumulatively significant impacts (10 CFR 1021.410 (b)(3)), applicants should indicate a “negative” impact on the environment.

The bulk of your application will consist of files attached to the Research and Related Other Project Information form. 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 PI and the PI's institutional affiliation, any coinvestigators (including any unfunded collaborators) 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>Project Title</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 one page when printed using standard letter-size (8.5 inch x 11 inch) paper with 1-inch margins (top, bottom, left and right) with font not smaller than 11 point. To attach a Project Summary/Abstract, click "Add Attachment."

If an application is recommended for award, the project summary will be used in preparing a public abstract about the award. Award abstracts and titles form a Government document that describes the project and justifies the expenditure of Federal funds in light of the DOE and SC mission statements at <https://energy.gov/mission> and <https://science.osti.gov/about/>.

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

DOE TITLE PAGE

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

The application narrative must begin with a title page that will not count toward the project narrative page limitation. The title 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:
- FOA Number: Include the FOA number printed on the cover of this FOA.
- DOE/SC Program Office:
- DOE/SC Program Office Technical Contact:
- PAMS LOI or Preproposal tracking number (if applicable):

Important Instructions to the Sponsored Research Office of Submitting Institutions: SC requires that you create one single machine readable PDF file that contains the DOE Title Page, project narrative, biographical sketch, current and pending support, bibliography and references cited, facilities and other resources, equipment, data management plan, and other attachments. This single PDF file may not be scanned from a printed document and must be attached in Field 8 on the Grants.gov form. You are strongly encouraged to submit the combined research narrative file through a “Print to PDF” or equivalent process to ensure that all content is visible in the one PDF file. Do not attach any of the items listed in this paragraph separately in any other field in Grants.gov. If you do, these additional attachments will not become part of the application in PAMS.

TITLE PAGE SUPPLEMENT FOR COLLABORATIVE APPLICATIONS
(PART OF PROJECT NARRATIVE ATTACHED TO FIELD 8 ON THE FORM)

If a multi-institutional team is submitting collaborative applications, provide the following information on a separate page as a supplement to the title page. This page will not count toward the project narrative page limitation.

- List all institutions by name with each institution’s PI on the same line.
- Indicate the lead PI who will be the point of contact and coordinator for the combined research activity.
- Provide a statement explaining the leadership structure of the team.
- Include a description of each institution’s facilities, equipment, and resources that will be made available to the team.
- If applicable, explain how students and early-stage researchers will be trained and mentored by senior researchers.
- Include a table modeled on the following chart providing summary budget information from all institutions. Provide the total costs of the budget request in each year for each institution and totals for all rows and columns.

Collaborative Application Information								
	Names	Institution	Year 1 Budget	Year 2 Budget	Year 3 Budget	Year 4 Budget	Year 5 Budget	Total Budget
Lead PI								
Co-PI								
Co-PI								
Co-PI								

Example budget table (\$ in thousands)

* Note that collaborating applications must be submitted separately.

PROJECT NARRATIVE (FIELD 8 ON THE FORM)

The project narrative **must not exceed a page limit of 40 pages** of technical information, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard letter-size (8.5 inch x 11 inch) paper with 1-inch margins (top, bottom, left, and right). The font must not be smaller than 11 point. Merit reviewers will only consider the number of pages specified in the first sentence of this paragraph. This page limit does not apply to the Title Page, any Table of Contents (optional, but if included, should be limited to one page), Budget Page(s), Budget Justification, biographical material, publications and references, and appendices, each of which may have its own page limit defined later in this FOA.

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

The Project Narrative comprises the research plan for the project. It should contain enough background material, including review of the relevant literature, to demonstrate sufficient knowledge of the state of the science, and all the defining attributes of the Urban IFL as described in Section I. There should be no ambiguity about which personnel will perform particular parts of the project, and the time at which these activities will take place.

The project narrative should contain the following sections:

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

Proposed Urban IFL Region: Identify the proposed study region, including discussion of unique characteristics and climate-related impacts and challenges, particularly those affecting under-represented and/or disadvantaged communities within the region. This section should also describe the climatic, demographic, or other similarities to other US urban regions that demonstrate potential for extensibility of knowledge gained under the proposed project.

Project Objectives: This section should provide a clear, concise statement of the specific objectives/aims of the proposed project, including short- and long-term goals of the Urban IFL and how the research program will address needs/gaps in urban research.

Proposed Research and Methods: Identify the research questions to be addressed in each of the three research focus areas, details of the methods to be used to address each research question, and the plan to integrate knowledge and effort across the three focus areas. The research plan should also specifically note and discuss how the proposed research and methods will adequately address the following topics:

- The strategy to strongly couple new observations with high resolution and highly detailed urban modeling, where data generated by observations and models are used for scientific analysis.

- Opportunities to inspire, train, and support leading scientists from a variety of institutions, including minority-serving institutions, who have an appreciation for the global climate and energy challenges of the 21st century.
- The approach to extensibility to translate knowledge, tools, and approaches to other similar urban regions.
- Discussion of all technical capabilities the applicant considers necessary to implement their proposed research such as instrumentation for observing environmental information, data assimilation from crowd-sourced information in local communities, etc.
- How the proposed research will contribute to reaching the goals of DOE EESSD and whether and in what ways it builds on EESSD capabilities and tools;
- Plans for external collaborations and partnerships including DOE user facility collaborations, if applicable.

Proposed deliverables and benchmarks: including an explanation as to how the deliverables and benchmarks will ensure that research remains focused on the proposed short- and long-term goals and the approach to measuring performance against the stated benchmarks.

Timetable of Activities: Timeline for all major activities including milestones and deliverables. The timetable should outline as a function of time, year by year, all the major activities or phases of the proposed IFL. The successful applicant must use this project timetable to report progress.

Team Management Plan: addressing the highly complex, multidisciplinary nature of the topic and inherent challenges in managing a multi-institutional research team, including the need for research evaluation, adding or modifying research partners and projects, succession planning, and sunsetting unproductive or completed research. The team management plan specifically includes:

- Overview of the scientific and technical expertise in the relevant research disciplines required for the IFL;
- Relevant scientific and technical expertise and experience of key personnel in the research disciplines needed for project success;
- Relevant scientific and technical expertise and experience of the proposed IFL staff in the research disciplines needed for project success including any plans for collaboration with outside scientists;
- Organizational structure: roles and responsibilities of key personnel and means of providing external oversight and guidance for scientific and technical direction and approval of the research program;
- Relevant experience of key personnel in project, program, and personnel management for projects of comparable magnitude and of diverse teams of science and technical professionals;
- Anticipated time commitment allocations for all proposed staff (i.e., percent FTE) as well as their specific roles and allocations by major task.

The team management plan should include enough information to demonstrate or address:

- How research findings in one area will inform research directions in other areas.
- Management structure, leadership responsibilities and authority, and handling of research or other misconduct.
- How early- and mid-career researchers will be incorporated into the management structure and be given opportunities to take on more responsibility and gain management experience within a multidisciplinary, multi-institutional research center.
- Provisions for coordination with other IFLs and with other BER-funded research projects.

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

For Collaborative Applications Only: Each institution in a multi-institutional team submitting collaborative applications must submit an identical common narrative, including all appendices. The common narrative must identify which tasks and activities will be performed by which of the institutions in every budget period of the proposed project. The budget and the budget justification—which are unique to each institution—may refer to parts of the common narrative to further identify each institution’s activities in the joint project. There should be no ambiguity about each institution’s role and participation in the team.

SC will use the multiple applications associated with a multi-institutional team to create one consolidated document for merit review that consists of the common, identical application materials combined with a set of detailed budgets from the partner institutions. It is very important that every application in the team be identical (including the title) with the exception of the budget and budget justification pages.

Do not attach any of the requested appendices described below as files for fields 9, 10, 11, and 12 in Grants.gov. Follow the below instructions to include the information as appendices in the single, bundled project narrative file.

APPENDIX 1: BIOGRAPHICAL SKETCH

Provide a biographical sketch for the 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 two pages when printed on letter-size (8.5 inch x 11 inch) paper with 1-inch margins (top,

bottom, left, and right) with font not smaller than 11 point.

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

The PI and each senior/key person at the prime applicant and any proposed subaward must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual's research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All foreign government-sponsored talent recruitment programs must be identified in current and pending support.

APPENDIX 2: CURRENT AND PENDING SUPPORT

Provide a list of all current and pending support for the PI and senior/key personnel, including subrecipients, regardless of funding source. 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 10 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 subrecipient 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. Such documents, provided that they do not become letters of support or recommendation, may be printed on any letterhead. Please provide the Facility and Other Resource information as an appendix to your project narrative.

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

APPENDIX 5: EQUIPMENT

List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. Provide the Equipment information as an appendix to your project narrative.

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

APPENDIX 6: DATA MANAGEMENT PLAN

Provide a Data Management Plan (DMP) as an appendix to the research narrative.

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

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

DMPs will be reviewed as part of the overall SC research proposal merit review process. Applicants are encouraged to consult the SC website for further information and suggestions for how to structure a DMP (<https://science.osti.gov/funding-opportunities/digital-data-management>) as well as BER's additional requirements and guidance for digital data management (<https://science.osti.gov/ber/Funding-Opportunities/Digital-Data-Management>).

APPENDIX 7: SOFTWARE PRODUCTIVITY AND SUSTAINABILITY PLANS

All Applications that make use of software/code are required to include a Software Productivity and Sustainability Improvement Plan (S-PSIP). This appendix is limited to 4 pages and will not count towards the page limitation.

The S-PSIP should address the following:

1. Describe the process for making the software available to the broader community:
 - a. Will the software be made available open source and what sort of license will be sought (how will collaborators and users access software products)?
 - b. What is the general timetable for availability and open release of the software?
 - c. Through what mechanisms will the software be made available?
2. Describe the overall software development/enhancement process to be used by the project, emphasizing elements that are most important for productivity and sustainability. Details should include descriptions of:
 - a. How software requirements are determined and transformed into implemented code, tested, and deployed (the software lifecycle),
 - b. How integration of new and revised capabilities into the existing software will preserve existing capabilities (regression testing), and
 - c. How users will learn about using the code in their scientific efforts (documentation and training).
3. Describe the associated software tools and processes:
 - a. Source management tools and processes (how source code will be developed and managed),
 - b. Issue tracking tools and processes (how feature requests and software faults or “bugs” will be recorded and managed), and
 - c. Regression testing tools and processes (how regression tests will be invoked).
4. Describe training:
 - a. How new software developers will be trained, and
 - b. How the value of the work of departing developers will be retained.
5. Describe improvement strategies:
 - a. How software productivity and sustainability will be improved over the life of the proposed research projects, and
 - b. How improvement efforts will be rewarded.

In addition, the S-PSIP should describe plans and approaches to verify and validate the model results/outputs from this proposed effort.

Software-PSIPs will be reviewed as part of the overall SC research proposal merit review process.

APPENDIX 8: RECRUITMENT AND RETENTION OF STUDENTS AND EARLY-STAGE INVESTIGATORS

Because of its commitment to environmental justice and the science underpinning equitable solutions, the Urban IFL is expected to provide opportunities to inspire, train, and support student and early-stage scientists from a variety of institutions, including minority-serving institutions, who have an appreciation for the global climate and energy challenges of the 21st century.

Describe your plans for recruiting and retaining graduate students and early-stage investigators (untenured faculty, postdoctoral researchers, and others). Explain how such personnel will be

trained in the conduct of research and mentored. Describe anticipated progression of such personnel, either toward degrees or in their careers. Provide this information as an appendix to the research narrative.

- 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.

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.

Additional information is found in [Section VIII](#) of this FOA.

BUDGET JUSTIFICATION (FIELD L ON THE FORM)

Provide a justification that explains all costs proposed in the budget. The following items of advice are offered to assist you in developing a justification.

- Organize the justification by listing items in the same order as presented on the budget.
- Ensure that the narrative matches the budget in dollar amounts and language.
- Explain the line items. If costs are estimated, provide a basis for the estimate. Explain if costs are based on prior experience of similar activities. If a cost is based on the product of two numbers (such as a number of items at a per-item price), ensure that your math is correct.
- If including an inflationary factor for future budget periods, explain the basis for the inflationary factor.

Provide any other information you wish to submit to justify your budget request. Including items in the budget justification is not considered a form of cost-sharing: Provide the details of all personnel (key or other) who will be working on the award, regardless of their source(s) of

compensation. Explain their source(s) of compensation if it is not from this award. Include the indirect cost rate agreement as a part of the budget justification.

Attach a single budget justification file for the entire project period in field L. The file automatically carries over to each budget year.

Additional information is found in [Section VIII](#) of this FOA.

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

Budgets for Subawards: You must provide a separate R&R budget and budget justification for each subrecipient. Download the R&R Budget Attachment from the R&R SUBAWARD BUDGET ATTACHMENT(S) FORM and either email it to each subrecipient that is required to submit a separate budget or use the collaborative features of Workspace. After the subrecipient has either emailed its completed budget back to you or completed it within Workspace, attach it to one of the blocks provided on the form. Use up to 10 letters of the subrecipient's name (plus.pdf) as the file name (e.g., ucla.pdf or energyres.pdf). Filenames must not exceed 50 characters.

If the project involves more subrecipients 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 L.

Applicants should consult their local information technology ("IT") support resources for any necessary assistance in converting the forms downloaded from Grants.gov into plain PDF files that can be combined into one non-Portfolio PDF file (the Budget Justification).

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

Note: If an application proposes subawards to a DOE/NNSA National Laboratory, a Federal agency, or another Federal agency's FFRDC, the value of such proposed subawards may be deducted from any resulting award: Those classes of organizations may be paid directly by SC. However, the details of such proposed budgets are an essential for understanding and analyzing the proposed research.

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. Disclosure of Lobbying Activities (SF-LLL)

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

7. Identification of Merit Reviewer Conflicts and Suggestions

Provide a list of individuals who should or should not serve as merit reviewers of this application, following the instructions in [Section VIII](#) of this FOA. Attach this information to Field 12 of the Research and Related Other Project Information Form.

8. Summary of Required Forms/Files

Your application must include the following items:

Name of Document	Format	Attach to
SF 424 (R&R)	Form	N/A
RESEARCH AND RELATED Other Project Information	Form	N/A
Project Summary/Abstract	PDF	Field 7
Project Narrative, including required appendices	PDF	Field 8
Identification of Merit Review Conflicts	Excel template	Field 12
RESEARCH & RELATED BUDGET	Form	N/A
Budget Justification	PDF	Field L
R&R SUBAWARD BUDGET ATTACHMENT(S) FORM (if applicable)	Form	N/A
Subaward Budget Justification (if applicable)	PDF	Field L of the subaward budget
PROJECT/PERFORMANCE SITE LOCATION(S)	Form	N/A
SF-LLL Disclosure of Lobbying Activities, if applicable	Form	N/A

E. SUBMISSIONS FROM SUCCESSFUL APPLICANTS

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

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

Applicants that are not institutions of higher education, that request indirect costs, and that do not already have an Indirect Cost Rate Agreement with their Cognizant Federal Agency or documentation of rates accepted for estimating purposes by DOE or another Federal agency, are advised to begin preparing an Indirect Cost Rate Proposal for submission, upon request, to the DOE contract specialist/grants management specialist who will evaluate your application if you are selected for award.

F. SUBMISSION DATES AND TIMES

1. Letter of Intent Due Date

N/A

2. Pre-application Due Date

The pre-application due date is printed on the cover of this FOA.

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

3. Application Due Date

The application due date is printed on the cover of this FOA.

You are encouraged to transmit your application well before the deadline. Applications may be submitted at any time between the publication of this FOA and the stated deadline.

4. Late Submissions

Delays in submitting letters of intent, pre-applications, and applications may be unavoidable. DOE has accepted late submissions when applicants have been unable to make timely submissions because of widespread technological disruptions or significant natural disasters. DOE has made accommodations for incapacitating or life-threatening illnesses and for deaths of immediate family members. Other circumstances may or may not justify late submissions. Unacceptable justifications include the following:

- Failure to begin submission process early enough.
- Failure to provide sufficient time to complete the process.

- Failure to understand the submission process.
- Failure to understand the deadlines for submissions.
- Failure to satisfy prerequisite registrations.
- Unavailability of administrative personnel.

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

Applicants must contact the Program Office/Manager listed in this FOA to discuss the option of a late submission. Contacting the Program Office/Manager after the deadline may reduce the likelihood that a request will be granted.

DOE notes that not all requests for late submission will be approved.

You may be able to submit your application in response to the currently available SC Annual Solicitation. Please contact the Program Office/Manager listed in this FOA to discuss this option.

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, including LOIs or pre-applications, has been submitted; (3) all mandatory requirements are satisfied; (4) the proposed project is responsive to the objectives of the FOA, and (5) the proposed project is not duplicative of programmatic work. Applications that fail to pass the initial review will not be forwarded for merit review and will be eliminated from further consideration.

2. Merit Review Criteria

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

- Scientific and/or Technical Merit of the Project;
- Appropriateness of the Proposed Method or Approach;
- Competency of Applicant's Personnel and Adequacy of Proposed Resources; and
- Reasonableness and Appropriateness of the Proposed Budget.

Merit reviewers will be asked to evaluate one additional criterion of equal significance to the criteria established by regulation.

- Team Management, Engagement, and Collaboration

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

SCIENTIFIC AND/OR TECHNICAL MERIT OF THE PROJECT

- Does the proposed science plan identify critical knowledge gaps within urban systems research in each of the three research focus areas that the proposed research will address?
- Will filling these knowledge gaps make a significant scientific contribution to the field of urban research?
- What is the scientific innovation of the proposed research? Are the overarching science questions identified in each research focus area well posed to address the critical scientific

knowledge gap?

- 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 urban research? Are there implications for the research outside the immediate research topic area?
- How does the proposed work compare with other efforts in its field, both in terms of scientific and/or technical merit and originality?
- Is the Data Management Plan suitable for the proposed research? To what extent does it support the validation of research results? To what extent will research products, including data, be made available and reusable to advance the field of research and/or to stakeholder communities in an appropriate manner?
- Does the Software Productivity Plan address the specific requirements in the topic description?

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?
- Does the proposed research have a sufficient strategy to couple new observations with high resolution and highly detailed urban modeling, where data generated by observations and models are used for scientific analysis?
- Is the proposed approach to integrate knowledge and effort across the three research focus areas sufficient?
- Is the proposed research responsive to the requirements as specified Section I of this FOA?

COMPETENCY OF APPLICANT'S PERSONNEL AND ADEQUACY OF PROPOSED RESOURCES

- What is the past performance and potential of the research team?
- How well qualified is the research team to carry out the proposed research?
- Do the IFL's key personnel have a proven record of scientific research (and research management) in the disciplines needed for success in this program?
- Does the science plan include appropriate external collaborations with academic, National Laboratory, federal, or private industry researchers?
- Do the IFL institutions have the required facilities needed to successfully carry out the research identified in the Science plan?
- If applicable, is there a plan for recruiting additional scientific and technical personnel?
- Is there a plan for scientific and managerial succession? Are there mechanisms for turnover of staff both to ensure infusion of new talent in the program, but also to alter staffing as research directions evolve over time?

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?
- Are the budgets for each institution commensurate with their responsibilities and scope of work?
- Are there components of the IFL research program where the budget could be modified (increase or decrease) based on a modification in the scope of research?

MANAGEMENT, ENGAGEMENT, AND COLLABORATION

- Is the team structured appropriately for the research proposed? Does each team member have an appropriate, substantive, and well-defined role?
- Is the management team structured to accurately reflect the diversity of the institutions and appropriately represent their roles in participating in the Urban IFL?
- Does the management team have demonstrated local knowledge of the diverse urban communities of interest and their needs for climate solutions?
- Is the management plan appropriate for the highly complex, multidisciplinary nature of the topic and inherent challenges in managing a multi-institutional research team?
- Does the team management plan address research evaluation, adding or modifying research partners and projects, succession planning, sunsetting unproductive or completed research, and the handling of research misconduct?
- Is there a sound management strategy for coordinating the research focus areas within the IFL, and how research findings in one area will inform research directions in other areas?
- Is there a clear organizational structure outlining leadership responsibilities and authority? How well does it align with the proposed research efforts?
- Are there appropriate performance indicators that enable management to communicate the scientific and budgetary (FTEs, personnel, additional funds, new hires, publications, etc.) status of the project?
- Are the deliverables or benchmarks appropriately focused on the objectives of the research and the proposed short and long-term goals of the project?
- Is there a well-defined process and structure to allocate resources and personnel within the IFL, to make structural changes, and/or to evolve the IFL over time? Is it clear who has the authority and responsibility to make these decisions?
- Are there appropriate opportunities to inspire, train, and support leading scientists from a variety of institutions, including minority-serving institutions, who have an appreciation for the global climate and energy challenges of the 21st century? Are there appropriate benchmarks and deliverables defined for workforce development, mentoring, and/or training activities?
- Does the proposed plan to recruit and retain students and early-stage investigators provide sufficient mentorship?
- Does management team have demonstrated ability to communicate effectively with scientists and stakeholders of all relevant disciplines and backgrounds and is the team able to encourage engagement of under-represented communities and minority serving institutions in the new frontiers of urban climate science?

- Are there appropriate provisions for coordination with other IFLs and with other BER-funded research projects?

B. REVIEW AND SELECTION PROCESS

DOE/SC/BER anticipate holding a merit review panel of experts to evaluate applications submitted to this FOA. The panel is expected to meet in July 2022.

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: <https://science.osti.gov/grants/policy-and-guidance/merit-review-system/>.

2. Program Policy Factors

The Selection Official may consider any of the following program policy factors in making the selection, listed in no order of significance:

- Availability of funds
- Relevance of the proposed activity to SC priorities
- Ensuring an appropriate balance of activities within SC programs
- Performance under current awards
- Institutional history of training and mentoring early-career researchers
- Training graduate students in conduct of basic research
- Training the next generation of researchers
- Ensuring opportunities to investigators not currently supported by DOE
- Participation with multi-institutional teams
- Commitment to sharing the results of research
- Promoting the diversity of supported investigators
- Promoting the diversity of institutions receiving awards
- Institutional history of hiring, promoting, and placing scientists from underrepresented communities in the scientific workforce

3. Selection

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

4. Review of Risk

Pursuant to 2 CFR 200.206, DOE will conduct an additional review of the risk posed by applications submitted under this FOA. Such review of risk will include:

- Quality 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.

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.

5. 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 August 2022. It is expected that awards will be made in Fiscal Year 2022.

DOE is interested in seeing projects supported under this FOA begin work by September 30, 2022.

Section VI – AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

1. Notice of Selection

Selected Applicants Notification: DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance.

Non-selected Notification: Organizations whose 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 DOE 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) Intellectual Property Provisions, (3) Federal Assistance Reporting Checklist and Instructions, (4) Budget Pages, (5) The Research Terms and Conditions, available at https://www.nsf.gov/pubs/policydocs/rtc/rtcoverlay_march17.pdf, and DOE Agency Specific Requirements, available at <https://www.nsf.gov/awards/managing/rtc.jsp>, (6) Applicable program regulations, 10 CFR 605 at <https://www.ecfr.gov/>, (7) DOE Assistance Regulations, 2 CFR 200 as amended by 2 CFR 910 at <https://www.ecfr.gov/>, (8) Application/proposal as approved by DOE, (9) National Policy Assurances to Be Incorporated as Award Terms in effect on date of award at <https://www.nsf.gov/awards/managing/rtc.jsp>.

TERMS AND CONDITIONS

Sample DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at <https://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:
<https://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>

NATIONAL POLICY ASSURANCES

The National Policy Assurances To Be Incorporated As Award Terms are located at <https://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Terms.

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

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

- [1. Evaluation and Administration by Non-Federal Personnel](#)
- [2. Government Right to Reject or Negotiate](#)
- [3. Intergovernmental Review](#)
- [4. Modifications](#)

Awards made under this FOA are subject to the following Administrative and National Policy Requirements. The full text of each provision is in [Section VIII](#) of this FOA and may be accessed by navigating to the hyperlinks below:

- [1. Administrative Requirements](#)
- [2. Availability of Funds](#)
- [3. Conference Spending \(February 2015\)](#)
- [4. Commitment of Public Funds](#)
- [5. Corporate Felony Conviction and Federal Tax Liability Representations \(March 2014\)](#)
- [6. Environmental, Safety and Health \(ES&H\) Performance of Work at DOE Facilities](#)
- [7. Federal, State, and Local Requirements](#)
- [8. Funding Restrictions](#)
- [9. National Environmental Policy Act \(NEPA\) Compliance](#)
- [10. Nondisclosure and Confidentiality Agreements Representations \(June 2015\)](#)
- [11. Notice Regarding Eligible/Ineligible Activities](#)
- [12. Prohibition on Discrimination and Harassment](#)
- [13. Prohibition on Lobbying Activity](#)
- [14. Proprietary Application Information](#)
- [15. Publications](#)
- [16. Registration Requirements](#)
- [17. Research Misconduct](#)
- [18. Rights in Technical Data](#)
- [19. Subaward and Executive Reporting](#)
- [20. Title to Subject Inventions](#)

C. REPORTING

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

D. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE (DECEMBER 2015)

DOE, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 USC 2313).

The applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

DOE will consider any written comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.206 Federal awarding agency review of risk posed by applicants.

Section VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS

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

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9:00 AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: sc.pams-helpdesk@science.doe.gov. All submission and inquiries about this FOA should reference the FOA number on the cover of this Announcement. Please contact the PAMS help desk for technological issues with the PAMS system.

Questions regarding the specific program areas and technical requirements may be directed to the technical contacts listed for each program within the FOA or below. Please contact the program staff with all questions not directly related to the Grants.gov or PAMS systems.

B. AGENCY CONTACTS

Grants.gov Customer Support	800-518-4726 (toll-free) support@Grants.gov
PAMS Customer Support	855-818-1846 (toll-free) 301-903-9610 sc.pams-helpdesk@science.doe.gov
Program Manager Scientific Contact	BER Jennifer Arrigo 301-903-3120 jennifer.arrigo@science.doe.gov

Section VIII – SUPPLEMENTARY MATERIAL

A. HOW-TO GUIDES

1. How to Distinguish Between a New and Renewal Application

New Application: An application must be submitted as “new” in the following circumstances:

- When applying for funding to create a new research award that has not previously received DOE funding, including any funding for the current year.
- When applying for funding to support continued research from the same applicant institution as the current grant but with a significant change in fundamental nature of the research.
- When applying for funding to support continued research supported by an existing DOE award but at a new applicant institution.

Renewal Application: A renewal application is appropriate when funds are requested for an award that has no changes in the following items:

- The recipient/applicant institution
- The award’s senior leadership
- The fundamental nature of the award

A change in an award’s PI does not necessarily require submission as a new application: The change in personnel must be considered in light of other changes.

Renewal applications compete for funds with all other peer-reviewed applications and must be developed as fully as though the applicant were applying for the first time. Renewal applications must be submitted by the same sponsoring institution as that holding the current award for which renewal funding is requested, and the proposed research topic must be logical scientific extensions of the research that has been performed in the current award.

2. How Federally Affiliated Organizations May Participate and Be Funded

VALUE/FUNDING FOR DOE/NNSA NATIONAL LABORATORIES AND NON-DOE/NNSA FFRDCs

For grant awards, the value of, and funding for, a DOE/NNSA National Laboratory contractor, a non-DOE/NNSA Federally Funded Research and Development Center (FFRDC) contractor, or another Federal agency’s portion of the work will not be included in the award to the successful applicant. DOE will fund a DOE/NNSA National Laboratory contractor through the DOE field work authorization system or other appropriate process and may fund non-DOE/NNSA FFRDC contractors and other Federal agencies through an interagency agreement in accordance with the Economy Act, 31 USC 1535, or other statutory authority.

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 subrecipient.

If an award is made to a DOE/NNSA National Laboratory, all Disputes and Claims will be resolved in accordance with the terms and conditions of the DOE/NNSA National Laboratory's management and operating (M&O) contract, as applicable, in consultation between DOE and the prime awardee.

If an award is made to another Federal agency or its FFRDC contractor, all Disputes and Claims will be resolved in accordance with the terms and conditions of the interagency agreement in consultation between DOE and the prime awardee.

3. How Federally Affiliated Organizations May Apply

DOE/NNSA NATIONAL LABORATORIES

DOE/NNSA National Laboratories, if eligible either as a prime applicant or a proposed team member on another entity's application, should ensure that their cognizant DOE/NNSA Contracting Officer provides written authorization. This authorization should be submitted with the application as part of the Budget Justification for DOE/NNSA National Laboratory Contractor File. [This is not required for the National Energy Technology Laboratory because it is a Government Owned/Government Operated (GOGO).] **Please note that failure to provide this authorization may result in rejection of an application prior to merit review.** If a DOE/NNSA National Laboratory Contractor is selected for award, or proposed as a team member, the proposed work will be authorized under the DOE field work authorization system or other appropriate process and performed under the laboratory Contractor's M&O contract, as applicable. The following wording is acceptable for the authorization:

“Authorization is granted for the _____ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory and will not adversely impact execution of the DOE/NNSA assigned programs at the laboratory.”

(end of acceptable authorization)

If required by the language in [Section III](#), in addition to the cognizant DOE Contracting Officer, SC Laboratories⁷ are required to provide written authorization from the Director of Laboratory Policy (SC-42) with the application in order to be eligible to apply for funding under this FOA.

The following wording is acceptable for the authorization:

“Authorization is granted for the _____ Laboratory to participate in the

⁷ SC Laboratories are Ames Laboratory, Argonne National Laboratory, Brookhaven National Laboratory, Fermi National Accelerator Laboratory, Lawrence Berkeley National Laboratory, Oak Ridge National Laboratory, Pacific Northwest National Laboratory, Princeton Plasma Physics Laboratory, SCAC National Accelerator Laboratory, and Thomas Jefferson National Accelerator Facility.

proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory and will not adversely impact execution of the DOE assigned programs at the laboratory.”

(end of acceptable authorization)

If a DOE/NNSA FFRDC is selected for award negotiation, the proposed work will be authorized under the DOE work authorization process and performed under the laboratory’s Management and Operating (M&O) contract.

NON-DOE/NNSA FFRDCs

Non-DOE/NNSA FFRDCs, if eligible either as a prime applicant or a proposed team member on another entity’s application, should follow the following guidelines:

The prime applicant must obtain written authorization for non-DOE/NNSA FFRDC participation. The cognizant Contracting Officer for the Federal agency sponsoring the FFRDC contractor must authorize in writing the participation of the FFRDC contractor on the proposed project and this authorization should be submitted with the application. The written authorization must also contain a determination that the use of a FFRDC contractor is consistent with the contractor’s authority under its award and does not place the FFRDC contractor in direct competition with the private sector, in accordance with FAR Part 17.5. **Please note that failure to provide this authorization may result in rejection of an application prior to merit review.** The following wording is acceptable for the authorization:

“Authorization is granted for the _____ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory and will not adversely impact execution of the (insert agency) assigned programs at the laboratory. This laboratory is authorized to perform the work proposed in the application submitted under DOE Funding Opportunity Announcement <<Include the FOA number on the cover page>> by the following statutory authority (insert statute name, citation, and section).”

OTHER FEDERAL AGENCIES

Other Federal Agencies, if eligible either as a prime applicant or a proposed team member on another entity’s application, must include in their budget justifications any specific statutory authorization (other than the Economy Act) that permits their receipt of an interagency agreement or that authorizes the payment of certain costs.

4. How Consortia May be Used

INCORPORATED CONSORTIA

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

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

UNINCORPORATED CONSORTIA

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

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

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

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

5. How to Submit Letters of Intent

Do not submit an LOI unless an FOA requires or allows their submission.

It is important that the LOI be a single file with extension .pdf, .docx, or .doc. The filename must not exceed 50 characters. The PI and anyone submitting on behalf of the PI must register for an account in PAMS before it will be possible to submit a LOI. **All PIs and those submitting LOIs on behalf of PIs are encouraged to establish PAMS accounts as soon as possible to avoid submission delays.**

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

Submit Your Letter of Intent:

- Create your LOI outside the system and save it as a file with extension .docx, .doc, or .pdf. Make a note of the location of the file on your computer so you can browse for it later from within PAMS.

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

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

WARNING: The PAMS website at <https://pamspublic.science.energy.gov/> will permit you to edit a previously submitted LOI in the time between your submission and the deadline. If you choose to edit, doing so will remove your previously submitted version from consideration. If you are still editing at the time of the deadline, you will not have a valid submission. Please pay attention to the deadline.

6. How to Submit a Pre-Application

Do not submit a pre-application unless an FOA requires or permits their submission.

It is important that the pre-application be a single file with extension .pdf, .docx, or .doc. The filename must not exceed 50 characters. The PI and anyone submitting on behalf of the PI must register for an account in PAMS before it will be possible to submit a pre-application. All PIs and those submitting pre-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.

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 PI per preproposal; to do so, click the “Select PI” button on the far-right side of the screen. Find the appropriate PI from the list of all registered users from your institution returned by PAMS. (Hint: You may have to sort, filter, or search through the list if it has multiple pages.) Click the “Actions” link in the Options column next to the appropriate PI to obtain a dropdown menu. From the dropdown, choose “Select PI.”
- If the PI for whom you are submitting does not appear on the list, it means he or she has not yet registered in PAMS. For your convenience, you may have PAMS send an email invitation to the PI to register in PAMS. To do so, click the “Invite PI” link at the top left of the “Select PI” screen. You can enter an optional personal message to the PI in the “Comments” box, and it will be included in the email sent by PAMS to the PI. You must wait until the PI registers before you can submit the preproposal. Save the preproposal for later work by clicking the “Save” button at the bottom of the screen. It will be stored in “My Preproposals” for later editing.
- Enter a title for your preproposal.
- Select the appropriate technical contact from the Program Manager dropdown.
- To upload the preproposal file into PAMS, click the “Attach File” button at the far-right side of the screen. Click the “Browse” (or “Choose File” depending on your browser) button to search for your file. You may enter an optional description of the file you are attaching. Click the “Upload” button to upload the file.
- At the bottom of the screen, click the “Submit to DOE” button to save and submit the preproposal to DOE.
- Upon submission, the PI will receive an email from the PAMS system <PAMS.Autoreply@science.doe.gov> acknowledging receipt of the preproposal.

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

WARNING: The PAMS website at <https://pamspublic.science.energy.gov> will permit you to edit a previously submitted pre-application in the time between your submission and the deadline. If you choose to edit, doing so will remove your previously submitted version from consideration. If you are still editing at the time of the deadline, you will not have a valid submission. Please pay attention to the deadline.

7. How to Register and Submit an Application in Grants.gov

This section provides the application submission and receipt instructions for applications to SC. Please read the following instructions carefully and completely.

ELECTRONIC DELIVERY

SC is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. SC requires applicants to submit their applications online through Grants.gov.

HOW TO REGISTER TO APPLY THROUGH GRANTS.GOV

a. Instructions: Read the instructions below about registering to apply for SC funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

Organizations must have a Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this FOA, then you may begin with step 3, Create a Grants.gov Account, listed below.

Creating a Grants.gov account can be completed online in minutes, but DUNS and SAM registrations may take several weeks. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the entity's ability to meet required application submission deadlines.

Complete organization registration instructions can be found on Grants.gov here: <https://www.Grants.gov/web/grants/applicants/organization-registration.html>

1) *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a DUNS Number from Dun & Bradstreet (D&B). Applicants must enter the DUNS Number in the data entry field labeled "Organizational DUNS" on the SF-424 form. For more detailed instructions for obtaining a DUNS Number, refer to: <https://www.Grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

2) *Register with SAM*: All organizations applying online through Grants.gov must register with SAM at <https://www.sam.gov>. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. For more detailed instructions for registering with SAM, refer to: <https://www.Grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

3) *Create a Grants.gov Account*: The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.Grants.gov/web/grants/applicants/registration.html>

4) *Add a Profile to a Grants.gov Account*: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the DUNS field while adding a profile. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.Grants.gov/web/grants/applicants/registration/add-profile.html>

5) *EBiz POC Authorized Profile Roles*: After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the Electronic Business Point of Contact (EBiz POC). The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the Authorized Organization Representative (AOR) role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.Grants.gov/web/grants/applicants/registration/authorize-roles.html>

6) *Track Role Status*: To track your role request, refer to: <https://www.Grants.gov/web/grants/applicants/registration/track-role-status.html>

b. *Electronic Signature*: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; **this step is often missed and it is crucial for valid and timely submissions.**

HOW TO SUBMIT AN APPLICATION TO SC VIA GRANTS.GOV

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different

webforms within an application. For each FOA, you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.Grants.gov/web/grants/applicants/apply-for-grants.html>

1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

2) Complete a Workspace: Add participants to the workspace, complete all the required forms, and check for errors before submission.

a. Adobe Reader: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace so that they will appear similar to other Standard forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:

<https://www.Grants.gov/web/grants/applicants/adobe-software-compatibility.html>

b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.

c. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS number. To trigger this feature, an applicant must complete the SF-424 information first. Once it is completed, the information will transfer to the other forms.

3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package *at least 24-48 hours prior to the close date* to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) Track a Workspace: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission.

For additional training resources, including video tutorials, refer to:

<https://www.Grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@Grants.gov. For questions related to the specific grant

opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist SC with tracking your issue and understanding background information on the issue.

TIMELY RECEIPT REQUIREMENTS AND PROOF OF TIMELY SUBMISSION

Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant AOR will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. Applicant AORs will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When SC successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and may not be considered for funding by SC.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

8. How to Prepare an Application

APPLICATION PREPARATION

You must submit the application through Grants.gov at <https://www.Grants.gov/>, using either the online webforms or downloaded forms. (Additional instructions are provided in [7., above.](#))

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 software compatibility page at <https://www.Grants.gov/web/grants/applicants/adobe-software-compatibility.html>.

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 PDF files unless otherwise specified in this FOA. Attached PDF files must be plain files consisting of text, numbers, and images without editable fields, signatures, passwords, redactions, or other advanced features available in some PDF-compatible software. Do not use PDF portfolios or binders.

Please note the following restrictions that apply to the names of all files attached to your application:

- Please limit file names to 50 or fewer characters
- Do not attach any documents with the same name. All attachments must have a unique name.
- Please use only the following characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, period, parenthesis, curly braces, square brackets, ampersand, tilde, exclamation point, comma, semi colon, apostrophe, at sign, number sign, dollar sign, percent sign, plus sign, and equal sign. Attachments that do not follow this rule may cause the entire application to be rejected or cause issues during processing.

RENEWAL APPLICATIONS

For renewal applications only, the PI is required to submit a Renewal Proposal Products section through the PAMS website at <https://pamspublic.science.energy.gov>. The PI must enter into PAMS each product created during the course of the previous project period. Types of products include publications, intellectual property, technologies or techniques, and other products such as databases or software. As soon as the renewal application is assigned to a DOE Program Manager, the PI will receive an automated email from PAMS (<PAMS.Autoreply@science.doe.gov>) instructing him or her to navigate to the PAMS Task tab to complete and submit the Renewal Proposal Products. The submitted product list will be sent for merit review as part of the application. The application will not be considered complete and cannot be sent for review until the product list has been submitted.

RESUBMISSION OF APPLICATIONS

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

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

Note that there may be a delay between the application's submission in Grants.gov and when it is available to be withdrawn in PAMS. SC will usually consider the last submission, according to its Grants.gov timestamp, to be the intended version. Please consult with your program manager to resolve any confusion about which version of an application should be considered.

IMPROPER CONTENTS OF APPLICATIONS

Applications submitted under this FOA will be stored in controlled-access systems, but they may be made publicly available if an award is made. As such, it is critical that applicants follow these guidelines:

- Do not include information subject to any legal restriction on its open distribution, whether classified, export control, or unclassified controlled nuclear information.
- Do not include sensitive and protected personally identifiable information, including social security numbers, birthdates, citizenship, marital status, or home addresses. Pay particular attention to the content of biographical sketches and curriculum vitae.
- Do not include letters of support from Federal officials.
- Do not include letters of support on Federal letterhead. Letters that are not letters of support (such as letters confirming access to sites, facilities, equipment, or data; or letters from cognizant Contracting Officers) may be on Federal letterhead.
- Clearly mark all proprietary or trade-secret information.

CHANGE OF AWARDEE INSTITUTION

If an awardee chooses to relinquish an award made under this FOA to permit the transfer of the award to a new institution, the new institution must submit an application under the then-available SC “annual” or “open” FOA.

9. How to Prepare a Biographical Sketch

A biographical sketch is to provide information that can be used by reviewers to evaluate the PI’s potential for leadership within the scientific community. Examples of information of interest are invited and/or public lectures, awards received, scientific program committees, conference or workshop organization, professional society activities, special international or industrial partnerships, reviewing or editorship activities, or other scientific leadership experiences.

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

The biographical information (curriculum vitae) must include the following items within its page limit:

- **Education and Training:** Undergraduate, graduate and postdoctoral training, provide institution, major/area, degree and year.
- **Research and Professional Experience:** Beginning with the current position, list professional/academic positions in chronological order with a brief description. List all current academic, professional or institutional appointments, foreign or domestic, at the

applicant institution or elsewhere, whether or not remuneration is received, and, whether full-time, part-time, or voluntary.

- **Publications:** Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically. Patents, copyrights and software systems developed may be provided in addition to or substituted for publications. An abbreviated style such as the Physical Review Letters (PRL) convention for citations (list only the first author) may be used for publications with more than 10 authors.
- **Synergistic Activities:** List no more than 5 professional and scholarly activities related to the effort proposed.

Requested information may be appended to a biographical sketch, whether produced from a fillable PDF or in SciENcv.

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

Personally Identifiable Information: Do not include sensitive and protected personally identifiable information including social security numbers, birthdates, citizenship, marital status, or home addresses. Do not include information that a merit reviewer should not make use of.

10. How to Prepare a List of Individuals Who Should Not Serve as Reviewers

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

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

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

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

For all identified individuals, provide the following information:

- The senior/key person to whom the individual was an advisee, advisor, close associate, co-author, co-editor, co-investigator, or collaborator, identified by first name and last name
- The individual's first (given) name

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

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

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

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

For your convenience, a template is available at <https://science.osti.gov/grants/Policy-and-Guidance/Agreement-Forms>. The template may also be posted with this FOA in Grants.gov.

11. How to Prepare Current and Pending Support

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

Current and Pending support is intended to allow the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support. The PI and each senior/key person at the prime applicant and any proposed subaward must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual's research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All foreign government-sponsored talent recruitment programs must be identified in current and pending support.

SC requires the use of the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vita (SciENCv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at <https://www.nsf.gov/bfa/dias/policy/nsfapprovedformats/cps.pdf>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.

For every activity, list the following items:

- The sponsor of the activity or the source of funding

- The award or other identifying number
- The title of the award or activity. If the title of the award or activity is not descriptive, add a brief description of the research being performed that would identify any overlaps or synergies with the proposed research.
- The total cost or value of the award or activity, including direct and indirect costs. For pending proposals, provide the total amount of requested funding.
- The award period (start date – end date).
- The person-months of effort per year being dedicated to the award or activity

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

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

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

12. How to Prepare a Data Management Plan

In general, a DMP should address the following requirements:

1. DMPs should describe whether and how data generated in the course of the proposed research will be shared and preserved. If the plan is not to share and/or preserve certain data, then the plan must explain the basis of the decision (for example, cost/benefit considerations, other parameters of feasibility, scientific appropriateness, or limitations discussed in #4). At a minimum, DMPs must describe how data sharing and preservation will enable validation of results, or how results could be validated if data are not shared or preserved.
2. DMPs should provide a plan for making all research data displayed in publications resulting from the proposed research open, machine readable, and digitally accessible to the public at the time of publication. This includes data that are displayed in charts, figures, images, etc. In addition, the underlying digital research data used to generate the displayed data should be made as accessible as possible to the public in accordance with the principles stated in the Office of Science Statement on Digital Data Management (<https://science.osti.gov/funding-opportunities/digital-data-management>). This requirement could be met by including the data as supplementary information to the published article, or through other means. The published article should indicate how these data can be accessed.
3. DMPs should consult and reference available information about data management resources to be used in the course of the proposed research. In particular, DMPs that explicitly or implicitly commit data management resources at a facility beyond what is conventionally made available to approved users should be accompanied by written approval from that facility. In determining the resources available for data management at Office of Science User Facilities, researchers should consult the published description of data management resources and practices at that facility and reference it in the DMP. Information about other Office of Science facilities can be found at <https://science.osti.gov/user-facilities/>.

4. DMPs must protect confidentiality, personal privacy, Personally Identifiable Information, and U.S. national, homeland, and economic security; recognize proprietary interests, business confidential information, and intellectual property rights; avoid significant negative impact on innovation, and U.S. competitiveness; and otherwise be consistent with all applicable laws, and regulations. There is no requirement to share proprietary data.

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

13. How to Prepare a Research and Related Budget and Justification

The following advice will improve the accuracy of your budget request:

- Funds requested for personnel (senior, key, and other) must be justified as the product of their effort on the project and their institutional base salary.
- Funds requested for fringe benefits must be calculated as the product of the requested salary and, if present, the negotiated fringe benefit rate contained in an institution’s negotiated indirect cost rate agreement.
- Funds requested for indirect costs must be calculated using the correct indirect cost base and the negotiated indirect cost rate.
- You are encouraged to include the rate agreement used in preparing a budget as a part of the budget justification.
- Do not prepare a budget justification using the expired DOE form F4260.1.

If you are proposing indirect costs and do not already have an Indirect Cost Rate Agreement with your Cognizant Federal Agency or documentation of rates accepted for estimating purposes by DOE or another Federal agency, it is recommended that you begin preparing an Indirect Cost Rate Proposal to be submitted, upon request, to the DOE contract specialist/grants management specialist who will evaluate your application if you are selected for award.

For your convenience in preparing an Indirect Cost Rate proposal, a link to applicant resources, including indirect rate model templates, has been provided below: <https://science.osti.gov/sbir/applicant-resources/grant-application/>.

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. Within the justification, explain the fringe benefit rate used if it is not the standard faculty rate.
Section B Other Personnel	List personnel, the number of months that person will be allocated to the project, requested salary fringe benefits, and the total funds

	<p>requested for each person.</p> <p>Include a written narrative in the budget justification that fully justifies the need for requested personnel. Within the justification, provide the number of positions being filled in each category of other personnel.</p>
Section C Equipment	<p>For the purpose of this budget, equipment is designated as an item of property that has an acquisition cost of \$5,000 or more and an expected service life of more than one year, unless a different threshold is specified in a negotiated Facilities and Administrative Cost Rate. (Note that this designation applies for proposal budgeting only and differs from the DOE definition of capital equipment.) List each item of equipment separately and justify each in the budget justification section. Do not aggregate items of equipment. Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose office equipment is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research.</p>
Section D Travel	<p>For purposes of this section only, travel to Canada or to Mexico is considered domestic travel. In the budget justification, list each trip's destination, dates, estimated costs including transportation and subsistence, number of staff traveling, the purpose of the travel, and how it relates to the project. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). To qualify for support, attendance at meetings or conferences must enhance the investigator's capability to perform the research, plan extensions of it, or disseminate its results. Domestic travel is to be justified separately from foreign travel. Within the budget justification, detail the number of personnel planning to travel and the estimated per-traveler cost for each trip.</p>
Section E Participant/Trainee Support Costs	<p>If applicable, submit training support costs. Educational projects that intend to support trainees (precollege, college, graduate and post graduate) must list each trainee cost that includes stipend levels and amounts, cost of tuition for each trainee, cost of any travel (provide the same information as needed under the regular travel category), and costs for any related training expenses. Participant costs are those costs associated with conferences, workshops, symposia or institutes and breakout items should indicate the number of participants, cost for each participant, purpose of the conference, dates and places of meetings and any related administrative expenses.</p> <p>Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</p>
Section F Other Direct Costs	<ul style="list-style-type: none"> • Materials and Supplies: Enter total funds requested for materials and supplies in the appropriate fields. In the budget justification, indicate general categories such as glassware, and chemicals, including an amount for each category (items not identified under "Equipment"). Categories less than \$1,000 are not required to be itemized. Indicate the basis for the cost

	<p>estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</p> <ul style="list-style-type: none"> • Publication Costs: Enter the total publication funds requested. The proposal budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the award. In the budget justification, include supporting information. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). • Consultant Services: Enter total funds requested for all consultant services. In the budget justification, identify each consultant, the services he/she will perform, total number of days, travel costs, and total estimated costs. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). • ADP/Computer Services: Enter total funds requested for ADP/Computer Services. Cloud computing costs must be included under this item. The cost of computer services, including computer-based retrieval of scientific, technical and education information may be requested. In the budget justification, include the established computer service rates at the proposing organization if applicable. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). • Subawards/Consortium/Contractual Costs: Enter total costs for all subawards/consortium organizations and other contractual costs proposed for the project. In the budget justification, justify the details. • Equipment or Facility Rental/User Fees: Enter total funds requested for Equipment or Facility Rental/User Fees. In the budget justification, identify each rental/user fee and justify. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). • Alterations and Renovations: Enter total funds requested for Alterations and Renovations. In the budget justification, itemize by category and justify the costs of alterations and renovations, including repairs, painting, removal or installation of partitions, shielding, or air conditioning. Where applicable, provide the square footage and costs. • Other: Add text to describe any other Direct Costs not requested above. Enter costs associated with “Other” item(s). Use the budget justification to further itemize and justify.
Section G Direct Costs	This represents Total Direct Costs (Sections A through F)

Section H Other Indirect Costs	Enter the Indirect Cost information, including the rates and bases being used, for each field. Only four general categories of indirect costs are allowed/requested on this form, so please consolidate if needed. Include the cognizant Federal agency and contact information if using a negotiated rate agreement. Within the budget justification, explain the use of multiple rates, if multiple rates are used.
Section I Total Direct and Indirect Costs	This is the total of Sections G and H

14. How to Register in 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 SC. Many functions for grants and cooperative agreements can be done in PAMS, which is available at <https://pamspublic.science.energy.gov>.

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

You must register in PAMS to submit a pre-application or a LOI.

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

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

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

CREATE PAMS ACCOUNT:

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

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

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

REGISTER TO YOUR INSTITUTION:

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

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

15. How to View Applications in PAMS

Each Grants.gov application submitted to the DOE 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 PI (Block 14), Authorized Representative (Block 19), and Point of Contact (Block 5). In PAMS notation, applications are known as proposals, the PI 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 SC 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 SC 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.

16. How to Register in Other Systems Before Submitting an Application

SYSTEMS TO REGISTER IN

Applicants must complete a series of registrations and enrollments to submit applications in response to this FOA. Applicants not currently registered with SAM and Grants.gov should allow **at least four weeks** to complete these requirements.

You should start the process as soon as possible.

You may not be able to use your preferred Internet browser: Each system has its own requirements.

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

Applicants must register with SAM at <https://www.sam.gov/>. More information about SAM registration for applicants is found at https://www.sam.gov/SAM/transcript/Quick_Guide_for_Grants_Registrations.pdf. SAM maintains a complete user guide at https://www.sam.gov/SAM/transcript/SAM_Non_Federal_User_Guide.pdf.

Applicants must provide a Taxpayer Identification Number (TIN) to complete their registration in www.SAM.gov. An applicant's TIN is an 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 <https://www.irs.gov/businesses/small-businesses-self-employed/apply-for-an-employer-identification-number-ein-online>.

Do not use a SSN as a TIN.

Obtain a TIN from the IRS using the website listed above.

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

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

REGISTERING IN GRANTS.GOV

Applicants must register with Grants.gov, following the instructions at <https://www.Grants.gov/web/grants/applicants/registration.html> and described above.

WHERE TO SUBMIT AN APPLICATION

You must submit the application through Grants.gov at www.Grants.gov, using either the online webforms or downloaded forms, or a system-to-system service

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

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

DOE SC PORTFOLIO ANALYSIS AND MANAGEMENT SYSTEM (PAMS)

Applicants must register in the Portfolio Analysis and Management System (PAMS) to submit letters of intent and pre-applications, to view merit reviewer comments, or to take a number of post-award actions.

B. POLICY PROVISIONS

1. 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 a conflict of interest agreement and a certificate of confidentiality prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

2. 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.

3. Intergovernmental Review

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

4. 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 www.FedConnect.net.

C. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Requirements

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

2. 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 DOE Contracting Officer for this award and until the awardee receives notice of such availability, to be confirmed in writing by the DOE Contracting Officer.

3. 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 or cooperative agreement 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.

4. 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.

5. 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.

6. Environmental, Safety and Health (ES&H) Performance of Work at DOE Facilities

With respect to the performance of any portion of the work under this award which is performed at a DOE-owned or controlled site, the recipient agrees to comply with all state and Federal ES&H regulations, and with all other ES&H requirements of the operator of such site.

Prior to the performance on any work at a DOE-Owned or controlled site, the recipient shall contact the site facility manager for information on DOE and site specific ES&H requirements.

The recipient shall apply this provision to all subrecipients at any tier.

7. Federal, State, and Local Requirements

With respect to the performance of any portion of the work under this award, the recipient agrees to comply with all applicable local, state, and Federal ES&H regulations. The recipient shall apply this provision to all sub awardees at any tier.

8. 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 DOE 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.

9. National Environmental Policy Act (NEPA) Compliance

If question 4.a. on the "Research and Related Other Project Information" document indicates "potential impact on the environment", or if DOE's own review indicates it, DOE may ask the applicant to provide additional information on those impacts in order to prepare an environmental critique/synopsis per 10 CFR 1021.216. Note that this pre-award environmental critique/synopsis process would be separate from the preparation of a NEPA document such as an environmental impact statement (EIS) or an environmental assessment (EA). If DOE determines the latter documentation is necessary, this process would need to be completed, funded by and with the participation of the awardee, prior to them taking any action on the proposed project that could have adverse environmental effects or that could limit the choice of reasonable alternatives. Note that in most cases, even when "Potential Impact to the Environment" is checked "Yes," preparation of such NEPA documents is rarely necessary, but DOE has the expectation that the Applicant will disclose the potential, which would serve to initiate dialog with DOE if necessary. The inability to satisfy the NEPA requirements after an award would result in cancellation of the award.

10. 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.

11. 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.

12. Prohibition on Discrimination and Harassment

All people conducting, supporting, or participating in scientific research under this award must be able to do so on the basis of their abilities and without any unnecessary barriers. Recipients of awards resulting from this FOA are prohibited from engaging in discrimination on any basis

prohibited by law, including harassment (sexual or non-sexual) as contained in 10 CFR 1040, 1041, and 1042.

Recipients may contact the DOE's Office of Civil Rights for technical assistance in meeting their institutional requirements under these regulations, including assistance in addressing complaints of discrimination or harassment (<https://www.energy.gov/diversity/title-ix>). The United States Equal Employment Opportunity Commission also makes a number of resources available at <https://www.eeoc.gov/eeoc/publications/index.cfm> to ensure that employees may perform their work without hindrance. Graduate students and post-doctoral researchers are understood to have a dual role as both trainees and employees, in accordance with 2 CFR 200.400 (f).

13. 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.

14. 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 any document included in the application that contains such proprietary information and specifies the pages of the document which are to be restricted:

“The data contained in pages _____ of this document have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this 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.”

15. Publications

The recipient is expected to publish or otherwise make publicly available the results of the work conducted under any award resulting from this FOA. Publications and other methods of public

communication describing any work based on or developed under an award resulting from this FOA must contain an acknowledgment of SC support. The format for such acknowledgments is provided at <https://science.osti.gov/funding-opportunities/acknowledgements/>. The author's copy of any peer-reviewed manuscript accepted for publication must be announced to DOE's Office of Scientific and Technical Information (OSTI) and made publicly available in accordance with the instructions contained in the Reporting Requirements Checklist incorporated in all Assistance Agreements.

16. Registration Requirements

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR 25 (See: www.eCFR.gov). Prime awardees must keep their data in SAM current at www.SAM.gov. Subrecipients at all tiers must obtain DUNS numbers and provide the DUNS to the prime awardee before the subaward can be issued.

17. Research Misconduct

Scientific discoveries can only take place when scientific research is conducted in a fair, transparent, and honestly reported manner. Any form of dishonesty—whether plagiarism, falsifying results, or misrepresenting conditions—makes it impossible to advance our understanding of the physical universe.

Recipients are “responsible for maintaining the integrity of research of any kind under an award from DOE including the prevention, detection, and remediation of research misconduct, and the conduct of inquiries, investigations, and adjudication of allegations of research misconduct,” and conducting appropriate administrative processes in response to allegations of research misconduct in accordance with 2 CFR 910.132. Allegations of any misconduct under an award resulting from this FOA must be reported to the appropriate institutional officials in accordance with institutional policies against misconduct. Additional information on DOE research misconduct policies can be found at: <https://science.osti.gov/grants/Policy-and-Guidance/Research-Misconduct>.

18. Rights in Technical Data

Normally, the government has unlimited rights in technical data created under a DOE agreement, including the right to distribute to the public. Delivery or third party licensing of proprietary software or data developed solely at private expense (“Limited Rights Data”) 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.

If software is specified for delivery to DOE, or if other special circumstances exist, e.g., DOE specifying “open-source” treatment of software, then the DOE Contracting Officer, after negotiation with the recipient, may include in the award special provisions requiring the recipient to obtain written approval of the DOE Contracting Officer prior to asserting copyright in the software, modifying the retained Government license, and/or otherwise altering the copyright provisions.

19. Subaward and Executive Reporting

Additional administrative requirements necessary for DOE grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR 170. (See: www.eCFR.gov). Prime awardees must register with the new FSRS database at <https://www.fsrs.gov> and report the required data on their first tier subrecipients. Prime awardees must report the executive compensation for their own executives as part of their registration profile in SAM.

20. Title to Subject Inventions

A primary objective of DOE's multi-billion dollar research, development and demonstration investments is to cultivate new research and development ecosystems, manufacturing capabilities, and supply chains for and by U.S. industry and labor. Therefore, in exchange for receiving taxpayer dollars to support an applicant's project, the applicant must agree to the following U.S. Competitiveness Provision as part of an award under this FOA.

U.S. Competitiveness

The Recipient agrees that any products embodying any subject invention or produced through the use of any subject invention will be manufactured substantially in the United States unless the Recipient can show to the satisfaction of DOE that it is not commercially feasible. In the event DOE agrees to foreign manufacture, there will be a requirement that the Government's support of the technology be recognized in some appropriate manner, e.g., alternative binding commitments to provide an overall net benefit to the U.S. economy. The Recipient agrees that it will not license, assign or otherwise transfer any subject invention to any entity, at any tier, unless that entity agrees to these same requirements. Should the Recipient or other such entity receiving rights in the invention(s): (1) undergo a change in ownership amounting to a controlling interest, or (2) sell, assign, or otherwise transfer title or exclusive rights in the invention(s), then the assignment, license, or other transfer of rights in the subject invention(s) is/are suspended until approved in writing by DOE. The Recipient and any successor assignee will convey to DOE, upon written request from DOE, title to any subject invention, upon a breach of this paragraph. The Recipient will include this paragraph in all subawards/contracts, regardless of tier, for experimental, developmental or research work.

Please note that a subject invention is any invention conceived or first actually reduced in performance of work under an award. An invention is any invention or discovery which is or may be patentable. The contractor includes any awardee, recipient, sub-awardee, or sub-recipient.

As noted in the U.S. Competitiveness Provision, at any time in which an entity cannot meet the requirements of the U.S. Competitiveness Provision, the entity may request a modification or waiver of the U.S. Competitiveness Provision. For example, the entity may propose modifying

the language of the U.S. Competitiveness Provision in order to change the scope of the requirements or to provide more specifics on the application of the requirements for a particular technology. As another example, the entity may request that the U.S. Competitiveness Provision be waived in lieu of a net benefits statement or U.S. manufacturing plan. The statement or plan would contain specific and enforceable commitments that would be beneficial to the U.S. economy and competitiveness. Examples of such commitments could include manufacturing specific products in the U.S., making a specific investment in a new or existing U.S. manufacturing facility, keeping certain activities based in the U.S. or supporting a certain number of jobs in the U.S. related to the technology. DOE may, in its sole discretion, determine that the proposed modification or waiver promotes commercialization and provides sufficient U.S. economic benefits, and grant the request. If granted, DOE will modify the award terms and conditions for the requesting entity accordingly.

The U.S. Competitiveness Provision is implemented by DOE pursuant to a Determination of Exceptional Circumstances (DEC) under the Bayh-Dole Act and DOE Patent Waivers.

- **Determination of Exceptional Circumstances (DEC):** DOE has issued the DEC entitled, “DETERMINATION OF EXCEPTIONAL CIRCUMSTANCES (DEC) UNDER THE BAYH-DOLE ACT TO FURTHER PROMOTE DOMESTIC MANUFACTURE OF DOE SCIENCE AND ENERGY TECHNOLOGIES”, dated June 7, 2021, pursuant to 37 CFR 401.3(a)(2), which applies to agreements issued under this FOA requiring each applicant to agree to a U.S. Competitiveness Provision. DOE has determined that exceptional circumstances exist that warrant the modification of the standard patent rights clause for small businesses and non-profit awardees under the Bayh-Dole Act, 35 U.S.C. 200 et seq., to the extent necessary to ensure that DOE “obtains sufficient rights in the federally supported inventions to meet the needs of [DOE]” and “to promote the commercialization and public availability of inventions made in the United States by United States industry and labor” and/or further promote other purposes of the Bayh-Dole Act. 35 U.S.C. § 200. In accordance with this DEC, all awards, including sub-awards, under this FOA shall include the U.S. Competitiveness Provision above. A copy of the DEC can be found at <https://www.energy.gov/gc/determination-exceptional-circumstances-decs>.
- Pursuant to 37 CFR § 401.4, any nonprofit organization or small business firm as defined by 35 U.S.C. 201 affected by any DEC has the right to appeal it by providing written notice to DOE within 30 working days from the time it receives a copy of the determination.
- DOE may require additional submissions or requirements as authorized by any applicable DEC.
- **DEC:** DOE has issued the DEC entitled, “DETERMINATION OF EXCEPTIONAL CIRCUMSTANCES UNDER THE BAYH-DOLE ACT FOR QUANTUM INFORMATION SCIENCE TECHNOLOGIES”, dated August 28, 2020, pursuant to 37 CFR 401.3(a)(2), which applies to agreements issued under this FOA requiring each applicant to agree to a U.S. Competitiveness Provision. DOE has determined that exceptional circumstances exist that warrant the modification of the standard patent rights clause for small businesses and non-profit awardees under the Bayh-Dole Act, 35 U.S.C. 200 et seq., to the extent necessary to ensure that DOE “obtains sufficient rights in the federally supported inventions to meet the needs of [DOE]” and “to promote the commercialization and public availability of inventions made in the United States by United States industry and labor” and/or further promote other

purposes of the Bayh-Dole Act. 35 U.S.C. § 200. In accordance with this DEC, all awards, including sub-awards, under this FOA shall include the U.S. Competitiveness Provision above. A copy of the DEC can be found at <https://www.energy.gov/gc/determination-exceptional-circumstances-decs>.

Ownership of subject inventions is governed pursuant to the authorities listed below:

- **Nonprofit organizations or small business firms:** Under the Bayh-Dole Act (35 U.S.C. § 200 et seq.), nonprofit organizations or small business firms as defined by 35 U.S.C. 201 may elect to retain title to their subject inventions subject to the above identified U.S. Competitiveness Provision.
- **All other parties:** The federal Non-Nuclear Energy Act of 1974, 42. U.S.C. 5908, provides that the government obtains title to new inventions unless a waiver is granted (see below).
- **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 <https://energy.gov/gc/services/technology-transfer-and-procurement/office-assistant-general-counsel-technology-transf-1>. Nonprofit organizations and small business firms do not need a patent waiver in order to retain title to their subject inventions (see above).

Class Patent Waiver: DOE has issued Class Patent Waiver No. W(C) 2020-001 that applies to this FOA for any domestic large business that is a recipient, or subrecipient at any tier to this FOA and is providing at least 20% cost share. Under this Class Patent Waiver, domestic large businesses may elect title to their subject inventions similar to the right provided to the domestic small businesses, educational institutions, and nonprofits by law. In order to avail itself of the class patent waiver, a domestic large business must agree that any products embodying or produced through the use of a subject invention first created or reduced to practice under this program will be substantially manufactured in the United States. Entities not eligible under the Class Patent Waiver are still able to petition DOE for rights under an Advanced or Identified Patent Waiver as described above.

Nonprofit organizations and small business firms do not need a patent waiver in order to retain title to their subject inventions (see above).

D. REFERENCE MATERIAL

Glossary of Useful Grants and Cooperative Agreement terms

Acquisition cost	<i>Acquisition cost</i> means the cost of the asset including the cost to ready the asset for its intended use. Acquisition cost for equipment, for example, means the net invoice price of the equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Acquisition costs for software includes those development costs capitalized in accordance with generally accepted accounting principles (GAAP). Ancillary charges, such as taxes, duty, protective in transit insurance, freight, and installation may be included in or excluded from the acquisition cost in accordance with the non-Federal entity's regular accounting practices.
Administrative requirements	<i>Administrative requirements</i> means the general business management practices that are common to the administration of all grants, such as financial accountability, reporting, equipment management, and retention of records.
Advance payment	<i>Advance payment</i> means a payment that a Federal awarding agency or pass-through entity makes by any appropriate payment mechanism, including a predetermined payment schedule, before the non-Federal entity disburses the funds for program purposes.
Allocation	<i>Allocation</i> means the process of assigning a cost, or a group of costs, to one or more cost objective(s), in reasonable proportion to the benefit provided or other equitable relationship. The process may entail assigning a cost(s) directly to a final cost objective or through one or more intermediate cost objectives.
Allocability	<i>Allocability</i> means the principle which requires that an expense or service charged must directly benefit and be necessary for the performance of the project; when multiple projects are benefited reasonable proportions must be able to be assigned. See 2 CFR 200.405.
Allowable cost	<i>Allowable cost</i> means a cost incurred by a recipient that is: (1) reasonable for the performance of the award; (2) allocable; (3) in conformance with any limitations or exclusions set forth in the Federal cost principles applicable to the organization incurring the cost or in the award documents as to the type or amount of cost; (4) consistent with regulations, policies, and procedures of the recipient that are applied uniformly to both federally supported and other activities of the organization; (5) accorded consistent treatment as a direct or indirect cost; (6) determined in accordance with generally accepted accounting principles; and (7) not included as a cost in any other federally supported award (unless specifically authorized by statute). See 2 CFR 200.403.
Application	<i>Application</i> means a request for financial support of a project or activity submitted to DOE on specified forms and in accordance with DOE instructions. Also known as a proposal.
Appropriation Act	<i>Appropriation act</i> means the statute that provides the authority for Federal agencies to incur obligations to and make payments out of the U.S. treasury for specified purposes.
Approved budget	The approved budget for the Federal award summarizes the financial aspects of the project or program as approved during the Federal award process. It may include either the Federal and non-Federal share or only the Federal share, depending upon Federal awarding agency requirements. It must be related to performance for program evaluation purposes whenever appropriate. See 2 CFR 200.308(a).
Assurance	<i>Assurance</i> means a certification by an applicant, normally included with the application or State plan, indicating that the entity is in compliance with, or that it will abide by, a particular requirement if awarded a Federal grant.

Authorized organizational representative	<i>Authorized organizational representative</i> means the individual, named by the applicant organization, who is authorized to act for the applicant and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or grant awards.
Award	<i>Award</i> means the provision of funds by DOE, based on an approved application and budget or progress report, to an organizational entity or an individual to carry out a project or activity.
Award documents	<i>Award documents</i> means the entirety of the documents describing the legal relationship between DOE and an awardee or recipient. The award documents include an Assistance Agreement and other documents which may be incorporated by reference or as attachments to the Assistance Agreement. The award documents are the official, legally binding document, signed (or the electronic equivalent of signature) by a Contracting Officer that: <ul style="list-style-type: none"> • notifies the recipient of the award of a grant; • contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and, • provides the documentary basis for recording the obligation of Federal funds in the DOE accounting system.
Bayh-Dole Act	<i>Bayh-Dole Act</i> means a law which encourages universities and researchers to develop their inventions into marketable products; formal citation is Section 6 of the Patent and Trademark Amendment of 1980, Pub. L 96-517 as amended.
Budget	<i>Budget</i> means the financial plan for the project or program that the Federal awarding agency or pass-through entity approves during the Federal award process or in subsequent amendments to the Federal award. It may include the Federal and non-Federal share or only the Federal share, as determined by the Federal awarding agency or pass-through entity.
Budget period	<i>Budget period</i> means the intervals of time (usually 12 months each) into which a project period is divided for budgetary and funding purposes.
Business officer	<i>Business officer</i> means the financial official of the grantee who has primary fiscal responsibility for the grant. Also known as authorized organizational representative.
Capital assets	<i>Capital assets</i> means tangible or intangible assets used in operations having a useful life of more than one year which are capitalized in accordance with GAAP. Capital assets include: <ol style="list-style-type: none"> (a) Land, buildings (facilities), equipment, and intellectual property (including software) whether acquired by purchase, construction, manufacture, lease-purchase, exchange, or through capital leases; and (b) Additions, improvements, modifications, replacements, rearrangements, reinstallations, renovations or alterations to capital assets that materially increase their value or useful life (not ordinary repairs and maintenance).
Carryover	<i>Carryover</i> means unobligated Federal funds remaining at the end of any budget period that may be carried forward to another budget period to cover allowable costs of that budget period (whether as an offset or additional authorization). Obligated, but unliquidated, funds are not considered carryover.
Change in scope	<i>Change in scope</i> means an activity whereby the objectives or specific aims identified in the approved grant application are significantly changed by the grantee after award. Contracting Officer prior approval is required for a change in scope to be allowable under an award.
Closeout	<i>Closeout</i> means the process by which a Federal awarding agency determines that all applicable administrative actions and all required work under an award have been completed by the grantee and the Federal awarding agency.
Competitive segment	<i>Competitive segment</i> means the initial project period recommended for support or each extension of a project period resulting from a renewal award.

Conference (domestic or international)	<i>Conference (domestic or international)</i> means a symposium, seminar, workshop, or any other organized and formal meeting, whether conducted face-to-face or via the Internet, where individuals assemble (or meet virtually) to exchange information and views or explore or clarify a defined subject, problem, or area of knowledge, whether or not a published report results from such meeting.
Consortium or sub-award agreement	<i>Consortium or sub-award agreement</i> means a formalized agreement whereby a research project is carried out by the grantee and one or more other organizations that are separate legal entities. Under the agreement, the grantee must perform a substantive role in the conduct of the planned research and not merely serve as a conduit of funds to another party or parties. These agreements typically involve a specific level of effort from the consortium organization's PD/PI and a categorical breakdown of costs, such as personnel, supplies, and other allowable expenses, including F&A costs. The relationship between the recipient and the collaborating organizations is considered a sub-award relationship.
Consultant	<i>Consultant</i> means an individual who provides professional advice or services for a fee, but not as an employee of the engaging party. To prevent apparent or actual conflicts of interest, grantees and consultants must establish written guidelines indicating the conditions of payment of consulting fees. Consultants also include firms that provide professional advice or services. See 2 CFR 200.459.
Continuation application/award	<i>Continuation application/award</i> means a financial assistance request (in the form of an application or progress report) or resulting award for a subsequent budget period within a previously approved project period for which a recipient does not have to compete with other applicants.
Contract	<i>Contract</i> means a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used in this part does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or sub-award (see 2 CFR 200.1 Subaward).
Contractor	<i>Contractor</i> means an entity that receives a contract as defined in 2 CFR 200.1 Contract.
Contracting (or Grants) Officer	<i>Contracting (or Grants) Officer</i> means a DOE official responsible for the business management aspects of grants and cooperative agreements, including review, negotiation, award, and administration, and for the interpretation of grants administration policies and provisions. COs and GOs are delegated the authority to obligate DOE to the expenditure of funds and permit changes to approved projects on behalf of DOE.
Contracting (or Grants Management) specialist	<i>Contracting (or Grants Management) specialist</i> means a DOE staff member who works with a Contracting or Grants Officer and is assigned the day-to-day management of a portfolio of grants and/or cooperative agreements. These activities include, but are not limited to, evaluating grant applications for administrative content and compliance with statutes, regulations, and guidelines; negotiating grants; providing consultation and technical assistance to grantees; and administering grants after award.
Cooperative agreement	<i>Cooperative agreement</i> means a type of financial assistance used when there will be substantial Federal scientific or programmatic involvement. Substantial involvement means that, after award, scientific or program staff will assist, guide, coordinate, or participate in project activities.
Cost principles	<i>Cost principles</i> means the government-wide principles, 2 CFR 200 Subpart E (or, in the case of commercial organizations, the Federal Acquisition Regulation [48 CFR 31], or, in the case of hospitals, see Appendix IX to Part 200—Hospital Cost Principles, Appendix E, “Principles For Determining

	Costs Applicable to Research and Development Under Grants and Contracts with Hospitals”), on allowability and unallowability of costs under federally sponsored agreements.
Cost sharing or matching	<i>Cost sharing or matching</i> means the portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statute). See also 2 CFR 200.306 Cost sharing or matching.
Deadline	<i>Deadline</i> means the published date and/or time that a grant application is to be submitted to the funding agency.
Debarment and suspension	<i>Debarment and suspension</i> means the actions taken by a debaring official in accordance with OMB guidance at 2 CFR 180, “Non-procurement Debarment and Suspension,” to exclude a person or organization from participating in grants and other non-procurement awards government-wide. If debarred or suspended, the person or organization may not receive financial assistance (under a grant, cooperative agreement, or sub-award, or contract under a grant) for a specified period of time. Debarments and suspensions carried out pursuant to 2 CFR 376 are distinct from post-award suspension action by an awarding agency. See 2 CFR 901 for DOE implementation.
Direct costs	<i>Direct costs</i> means costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. See 2 CFR 200.413.
Disallowed costs	<i>Disallowed costs</i> means those charges to a Federal award that the Federal awarding agency or pass-through entity determines to be unallowable, in accordance with the applicable Federal statutes, regulations, or the terms and conditions of the Federal award.
Domestic organization	<i>Domestic organization</i> means a public (including a State or other governmental agency) or private non-profit or for-profit organization that is located in the United States or its territories, is subject to U.S. laws, and assumes legal and financial accountability for awarded funds and for the performance of the grant-supported activities.
DUNS number	<i>DUNS number</i> means a nine-digit number established and assigned by Dun and Bradstreet to uniquely identify a business entity.
Effort	<i>Effort</i> means the amount of time, usually expressed as a percentage of the total, which a faculty member or other employee spends on a sponsored project. No one is allowed to spend more than 100% total commitment on all academic activities, including grant-sponsored research, university-sponsored research, teaching, administration, advising and other contracted duties. Effort is indicated on the budget in units of person-months.
Equipment	<i>Equipment</i> means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. See also 2 CFR 200.1 Capital assets, Computing devices, General purpose equipment, Information technology systems, Special purpose equipment, and Supplies.
Expanded authorities	<i>Expanded authorities</i> means authorization to grantees under certain research grant mechanisms which waives the requirement for prior agency approval for specified actions related to awards. Example: 90-day pre-award spending authority, no cost extensions for up to one additional year, and automatic carryover of unobligated funds from one budget period to the next. The expanded authorities are now contained in the standard terms and conditions for most research grants.
Expiration date	<i>Expiration date</i> means generally, the date signifying the end of the current project period, after which the grantee is not authorized to obligate grant funds.

Facilities and administrative costs	<i>Facilities and administrative costs</i> means costs that are incurred by a grantee for common or joint objectives and that, therefore, cannot be identified specifically with a particular project or program. These costs also are known as indirect costs.
Federal financial report	<i>Federal financial report</i> means submitted on Standard Form (SF) 425, to indicate the status of awarded funds for the period covered. Frequency of reporting is specified in the Reporting Checklist provided as part of the award documents.
Financial assistance	<i>Financial assistance</i> means transfer by DOE of money or property to an eligible entity to support or stimulate a public purpose authorized by statute.
Financial status report	<i>Financial status report</i> means see Federal Financial Report.
Foreign travel	<i>Foreign travel</i> is meant to include travel outside of North America (Canada, Mexico, and the United States) and U.S. territories and possessions (Guam, American Samoa, Puerto Rico, the U.S. Virgin Islands. A trip is considered foreign travel for all legs of the itinerary if the traveler does not return to his or her post prior to departure for a foreign destination. Costs for foreign travel may be restricted by the language of a Funding Opportunity Announcement.
Funding opportunity announcement (FOA)	<i>Funding opportunity announcement (FOA)</i> means A publicly available document by which a Federal Agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, requests for applications, notices of funding availability, solicitations, or other names depending on the Agency and type of program. Funding opportunity announcements can be found at www.Grants.gov . An FOA may also be known as a solicitation.
Grant agreement	<p><i>Grant agreement</i> means a legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity that, consistent with 31 USC 6302, 6304:</p> <p>(a) Is used to enter into a relationship the principal purpose of which is to transfer anything of value from the Federal awarding agency or pass-through entity to the non-Federal entity to carry out a public purpose authorized by a law of the United States (see 31 USC 6101(3)); and not to acquire property or services for the Federal awarding agency or pass-through entity’s direct benefit or use;</p> <p>(b) Is distinguished from a cooperative agreement in that it does not provide for substantial involvement between the Federal awarding agency or pass-through entity and the non-Federal entity in carrying out the activity contemplated by the Federal award.</p> <p>(c) Does not include an agreement that provides only:</p> <ol style="list-style-type: none"> (1) Direct United States Government cash assistance to an individual; (2) A subsidy; (3) A loan; (4) A loan guarantee; or (5) Insurance.
Grant-supported project or activity	<i>Grant-supported project or activity</i> means those activities specified or described in a grant application or in a subsequent submission that are approved by DOE for funding, regardless of whether Federal funding constitutes all or only a portion of the financial support necessary to carry them out.
Grantee	<i>Grantee</i> means the organization or individual awarded a grant or cooperative agreement by DOE that is responsible and accountable for the use of the funds provided and for the performance of the grant-supported project or activity. The grantee is the entire legal entity even if a particular component is designated in award documents. The grantee is legally responsible and accountable to DOE for the performance and financial aspects of the grant-

	supported project or activity. Also known as awardee or recipient.
Grants.gov	<i>Grants.gov</i> (https://www.Grants.gov/) has been designated by the Office of Management and Budget as the single access point for all grant programs offered by 26 Federal grant-making agencies. It provides a single interface for agencies to announce their grant opportunities and for all applicants to find and apply for those opportunities.
Indirect costs (facilities & administrative)	<i>Indirect (F&A) costs</i> means those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish a number of pools of indirect (F&A) costs. Indirect (F&A) cost pools must be distributed to benefitted cost objectives on bases that will produce an equitable result in consideration of relative benefits derived.
Institutional base salary	<i>Institutional base salary</i> means the annual compensation paid by an organization for an employee's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of duties for the applicant/grantee organization. Base salary may not be increased as a result of replacing organizational salary funds with grant funds.
Matching or cost sharing	<i>Matching or cost sharing</i> means the value of third-party in-kind contributions and the portion of the costs of a federally assisted project or program not borne by the Federal government. Matching or cost sharing may be required by statute or program regulation. Costs used to satisfy matching or cost-sharing requirements are subject to the same policies governing allowability as other costs under the approved budget.
Merit (or peer) review	<i>Merit (or peer) review</i> means the process that involves the consistent application of standards and procedures that produce fair, equitable, and objective examinations of applications based on an evaluation of scientific or technical merit or other relevant aspects of the application. The review is performed by experts (reviewers) in the field of endeavor for which support is requested. Merit review is intended to provide guidance and to the DOE individuals responsible for making award decisions.
Monitoring	<i>Monitoring</i> means a process whereby the programmatic and business management performance aspects of a grant are assessed by reviewing information gathered from various required reports, audits, site visits, and other sources.
NEPA	NEPA means the National Environmental Policy Act (NEPA), Public Law 91-190, as amended. NEPA requires Federal agencies to assess the environmental effects of proposed major Federal actions prior to making decisions.
No-cost extension	<i>No-cost extension</i> means an extension of time to a project period and/or budget period to complete the work of the grant under that period, without additional Federal funds or competition.
Non-Federal share	<i>Non-Federal share</i> means when cost sharing or matching is required as a condition of an award, the portion of allowable project/program costs not borne by the Federal government.
Obligations	<i>Obligations</i> when used in connection with a non-Federal entity's utilization of funds under a Federal award, <i>obligations</i> means orders placed for property and services, contracts and sub-awards made, and similar transactions during a given period that require payment by the non-Federal entity during the same or a future period.
OMB circulars	<i>OMB circulars</i> means government-wide guidance issued to Heads of Federal agencies by the Director of the Office of Management and Budget.
Other significant contributors	<i>Other significant contributors</i> means individuals who have committed to contribute to the scientific development or execution of the project, but are not

	committing any specified measurable effort (i.e., person months) to the project. These individuals are typically presented at “effort of zero person months” or “as needed.” Individuals with measurable effort may not be listed as Other Significant Contributors (OSCs). Consultants should be included if they meet this definition.
Program participant	<i>Program participants</i> are the recipients of service or training provided at a workshop, conference, seminar, symposium or other short-term instructional or information-sharing activity funded by an external grant or award, or the training beneficiaries of the project or program funded by an external grant or award. A participant is not involved in providing any deliverable to the grantee or a third party or would not be terminated or replaced for failure to perform.
Participant support costs	<i>Participant support costs</i> means direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences, or training projects.
Person months	<i>Person months</i> is the metric for expressing the effort (amount of time) PD/PI(s), faculty and other senior/key personnel devote to a specific project. The effort is based on the type of appointment of the individual with the organization; e.g., calendar year, academic year, and/or summer term; and the organization’s definition of such. For instance, some institutions define the academic year as a 9-month appointment while others define it as a 10-month appointment.
Pre-application or pre-proposal	<i>Pre-application or pre-proposal</i> means a brief outline or narrative of proposed work and sometimes budget, for informal review by a sponsor to determine whether an application should be submitted. Three predominant reasons for requiring submission of a preliminary pre-application are: <ul style="list-style-type: none"> • Reduce the applicant’s unnecessary effort in proposal preparation when the chance of success is very small. This is particularly true of exploratory initiatives where the community senses that a major new direction is being identified, or competitions that will result in a small number of actual awards. • Increase the overall quality of the submission. • Distill the number of applications that will be submitted to the agency and the number of anticipated reviewers needed to review.
Pre-award costs	<i>Pre-award costs</i> means any cost incurred prior to the beginning date of the project period or the initial budget period of a competitive segment (under a multi-year award), in anticipation of the award and at the applicant’s own risk, for otherwise allowable costs.
Prior approval	<i>Prior approval</i> means written approval from the designated Contracting Officer.
Program Director/ Principal Investigator	<i>Program Director/ Principal Investigator</i> means the individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. The applicant organization may designate multiple individuals as program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple PD/PIs are named, each is responsible and accountable to the applicant organization, or as appropriate, to a collaborating organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.
Program income	<i>Program income</i> means gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance except as provided in 2 CFR 200.307

	paragraph (f). (See 2 CFR 200.1 Period of performance.) Program income includes but is not limited to income from fees for services performed, the use or rental of real or personal property acquired under Federal awards, the sale of commodities or items fabricated under a Federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal statutes, regulations, or the terms and conditions of the Federal award, program income does not include rebates, credits, discounts, and interest earned on any of them. See also 2 CFR 200.407 Prior written approval (prior approval). See also 35 USC 200-212 “Disposition of Rights in Educational Awards” for inventions made under Federal awards.
Program Manager	<i>Program Manager</i> means the DOE official responsible for the programmatic, scientific, and/or technical aspects of a grant. The same role is filled by Program Directors, Program Officers, or Project Directors at other Federal agencies.
Progress report	<i>Progress report</i> means periodic, frequently annual, report submitted by the grantee and used by DOE to assess progress and to determine whether to provide funding for the budget period subsequent to that covered by the report.
Project/performance site	<i>Project/performance site</i> means location(s) of where the work described in the research plan will be conducted.
Project period	<i>Project period</i> means the total time for which Federal support of a project has been programmatically approved as shown in the award documents; however, it does not constitute a commitment by the Federal government to fund the entire period. The total award period comprises the initial competitive segment, any subsequent competitive segments resulting from a renewal award(s), and extensions.
Proposal	See application.
Re-budgeting	<i>Re-budgeting</i> means reallocation of funds available for spending between approved budget categories to allow best use of funds to accomplish the project goals.
Recipient	<i>Recipient</i> means the organizational entity or individual receiving a grant or cooperative agreement.
Renewal application	<i>Renewal application</i> means an application requesting additional funding for a period subsequent to that provided by a current award. Renewal applications compete for funds with all other peer reviewed applications and must be developed as fully as though the applicant is applying for the first time.
Research	<i>Research</i> is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. See 2 CFR 200.1 Research and Development (R&D).
Research misconduct	Research misconduct means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results, but does not include honest error or differences of opinion. See 10 CFR 733.
SAM.gov	<i>SAM.gov</i> is the System for Award Management (SAM) a consolidated service that includes Entity Registration, Assistance Listings, and other services for making, managing, and receiving Federal awards.
Scope of work	<i>Scope of work</i> means the aims, objectives, and purposes of a grant; as well as the methodology, approach, analyses or other activities; and the tools, technologies, and timeframes needed to meet the grant’s objectives. This includes the research or training plan included with the original grant application, along with any approved modifications.
Senior/Key Personnel	<i>Senior/Key personnel</i> means the PD/PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically, these individuals have doctoral or other professional

	degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a postdoctoral role also may be considered senior/key personnel if they meet this definition. “Zero percent” effort or “as needed” is not an acceptable level of involvement for Senior/Key Personnel.
Significant re-budgeting	<i>Significant re-budgeting</i> means a threshold that is reached when expenditures in a single direct cost budget category deviate (increase or decrease) from the categorical commitment level established for the budget period by more than 25 percent of the total costs awarded. Significant re-budgeting is one indicator of change in scope.
Small business concern	<i>Small business concern</i> means a business that meets the regulatory and size requirements established by the SBA at 13 CFR 121.
Solicitation	See Funding Opportunity Announcement.
Subaward	<i>Subaward</i> means a legal instrument by which a recipient provides funds (or property in lieu of funds) to an eligible subrecipient (or a lower-tier transaction) to perform a substantive portion of the grant-supported program or project. The term includes such financial assistance when provided by any legal agreement (even if the agreement is called a contract) but does not include any form of assistance which is excluded from the definition of a grant, including the recipient’s procurement of property or services needed to carry out the project or program. The term includes consortium agreements.
Subrecipient	<i>Subrecipient</i> means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A sub-recipient may also be a recipient of other Federal awards directly from a Federal awarding agency.
Supplement	<i>Supplement</i> means a request for an increase in support during a current budget period for expansion of the project’s scope or to meet increased costs unforeseen at the time of the new or renewal application. A supplement may increase support for future years in addition to the current year. Supplements require applications and are subject to administrative and merit review.
Terms and conditions of award	<i>Terms and conditions of award</i> means all legal requirements imposed on a grant by DOE, whether based on statute, regulation, policy, or other document referenced in the grant award, or specified by the grant award document itself. The award documents may include both standard and special conditions that are considered necessary to attain the grant’s objectives, facilitate post-award administration of the grant, conserve grant funds, or otherwise protect the Federal government’s interests.
Unallowable costs	<i>Unallowable costs</i> means costs that cannot be charged, directly or indirectly, to Federal awards because the costs are prohibited by law, regulation (including applicable cost principles), or the terms and conditions of award. Costs that are not allowable, allocable, or reasonable are unallowable.
Unliquidated obligation	<i>Unliquidated obligations</i> means, for financial reports prepared on a cash basis, obligations incurred by the non-Federal entity that have not been paid (liquidated). For reports prepared on an accrual expenditure basis, these are obligations incurred by the non-Federal entity for which an expenditure has not been recorded.
Unobligated balance	<i>Unobligated balance</i> means the amount of funds under a Federal award that the non-Federal entity has not obligated. The amount is computed by subtracting the cumulative amount of the non-Federal entity’s unliquidated obligations and expenditures of funds under the Federal award from the cumulative amount of the funds that the Federal awarding agency or pass-through entity authorized the non-Federal entity to obligate.

Validate	In the context of the data management plan requirements, <i>validate</i> means to support, corroborate, verify, or otherwise determine the legitimacy of the research findings. Validation of research findings could be accomplished by reproducing the original experiment or analyses, comparing and contrasting the results against those of a new experiment or analyses, or by some other means.
-----------------	--