

# ***Attachment***

## ***Announcement Template***

### ***Announcement Cover Page***

**Federal Agency Name(s).** *Required* {Select all that apply}

- U.S. Department of Energy  
{Enter DOE Office, Division, etc.}
- National Nuclear Security Administration  
{Enter NNSA Office, Division, etc.}
- If appropriate, list other agencies:  
{Enter name of other agency. Can have more than one}

**Funding Opportunity Title.** *Required*

{Enter title of the funding opportunity announcement}

**Announcement Type.** *Required* {Select one}

- Initial Announcement
- Modification

**Funding Opportunity Number.** *Required* Complete in accordance with the DOE Order 540.1 on Business Instruments Numbering:

\_\_\_\_-\_\_\_\_-\_\_\_\_

**Catalog of Federal Domestic Assistance (CFDA) Number(s).** *Required* Complete:  
{May list more than one number}

\_\_\_\_

**CFDA Title(s).** *Optional*

{Will be completed based on previous entry}

**Due Date(s).** *Required, if applicable.*

Letter of Intent: {Insert date or N/A if not applicable}

Pre-application: {Insert date or N/A if not applicable}

Application: {Select one}

- {Insert date} {or}
  - {Complete text block, if no specified deadline}
-

# Full Announcement

9/17/03

## I. **Funding Opportunity Description.** *Required*

{Complete text block} Describe the funding opportunity, including, as applicable:

1. background/program history; 2. statutory authorization; 3. applicable regulations; 4. purpose/objectives; 5. construction requirements, if any; 6. priorities or the technical and focus areas in which you intend to provide assistance; 7. indicators of successful projects (e.g., collaborative efforts are encouraged); 8. examples of projects that have been funded previously; and 9. R&D investment criteria that the applicant must satisfy.

Examples of introductory sentences:

1. The Department of Energy, Office of Fossil Energy is seeking applications under a Broad Agency Announcement (BAA) for {funding opportunity title}. The purpose of this BAA is to . . . . . This program is authorized under section \_\_\_\_\_ of the Energy Policy Act of 1992.

2. The Department of Energy, Office of Science is announcing its annual notice of continuation of availability of funding for grants and cooperative agreements. The Office of Science is seeking applications for support of work in the following program areas: Basic Sciences, High Energy Physics, Nuclear Physics, Advance Scientific Computing, Fusion energy Sciences, Biological and Environmental Research, and Energy Research Analyses. The regulations governing and the solicitation for this program are contained in 10 CFR part 605. This notice is published annually and remains in effect until it is superseded by another issuance, usually published after the beginning of the fiscal year.}

II. **Award Information** {Must complete 1 - 3. Complete items 4-6, if applicable - provide sufficient information so that an applicant can make an informed decision about whether to submit an application.}

### 1. **Type of Award Instrument.** *Required*

{Select: DOE or NNSA} anticipates awarding {Insert all of the bullets that apply} under this Program Announcement. (If cooperative agreement is selected, insert the following: A special award condition describing the Government's substantial involvement in the cooperative agreement is located in Section VI.2."

- grants
- cooperative agreements
- procurement contracts {select for research announcements that allow for the award of either assistance or procurement instrument (e.g., BAA)}

### 2. **Estimated Funding.** *Required* {Select one and complete}

- Approximately \$ \_\_\_\_\_ is expected to be available for new awards under this announcement. {or}
- The Administration has requested approximately \$ \_\_\_\_\_ in FY 20\_\_ for this program. The actual level of funding, if any, depends on the appropriations for this

program. However, we are inviting applications to allow enough time to complete the award process, in the event that Congress appropriates funds for this program. {or}

- {Complete text block}

**3. Maximum and Minimum Award Size. Required** {Complete information for both bullets}

- Ceiling (i.e., the maximum amount for an individual award made under this announcement): {insert: \$ \_\_\_\_\_ or select "none"}
- Floor (i.e., the minimum amount for an individual award made under this announcement): {insert \$ \_\_\_\_\_ or select "none"}.

**4. Expected Number of Awards. Optional** {Select one and complete}

- { DOE or NNSA} anticipates making approximately \_\_\_\_\_ awards under this announcement. {or}
- { DOE or NNSA} anticipates making {insert range} awards under this announcement depending on the size of the awards. {or}
- Under this announcement, {DOE or NNSA} expects to make the following number of awards for each task/focus area:

<u>Task/Focus Area</u>	<u>Number of Awards</u>
------------------------	-------------------------

{Complete list} {or}

- {Complete text block}

**5. Anticipated Award Size. Optional** {Select one and complete}

- While the maximum award size (i.e., the ceiling) is \$\_\_\_\_\_, {DOE or NNSA} anticipates that awards will be in the \$\_\_\_\_\_ range for the total project period. {or}
- {DOE or NNSA} anticipates that awards will be in the \$\_\_\_\_\_ range for the total project period. {or}
- {DOE or NNSA} expects to fund up to \$ \_\_\_\_\_ per year for up to \_\_\_\_\_ years. If requested levels are higher, applicants must justify need for more funds consistent with the ceiling on individual awards described in paragraph 3 above. {or}
- The average award size for this program in FY 20\_\_ was \$------. {DOE or NNSA} expects the average award size to be similar under this announcement. {or}
- {Complete text block}

**6. Period of Performance. Optional** {Select one and complete}

- {DOE or NNSA} anticipates making awards that will run for up to \_\_\_\_\_ years. {or}
- {DOE or NNSA} will support projects at award levels up to \$ \_\_\_\_\_ per year for up to \_\_\_\_\_ years. {or}

- {Complete text block}

**7. Type of Application.** *Required if you plan to accept both new and renewal applications.*

{DOE or NNSA} will accept new and renewal applications under this announcement. Renewal applications are requests for additional funding for a period subsequent to that provided by a current award. Renewal applications compete with all other applications and must be submitted by any established due date/deadline or at least six months before additional funding is required if there is no specified due date/deadline. In preparing a renewal application, applicants should assume that reviewers will not have access to previous applications. The application should be developed as fully as though the applicant were applying for the first time. The application must include all the information required for a new project, plus the results from prior work.

### **III. Eligibility Information**

**1. Eligible Applicants.** *Required {If practicable, specify types of entities that are eligible, not just the types that are ineligible. If the applicant must submit documentation to establish "eligibility", cross-reference Section IV.2.D "Application".}*

{Select one. Select either 1 or 2 for unrestricted eligibility}

- All types of applicants are eligible to apply, except other Federal agencies, Federally Funded Research and Development Centers (FFRDCs), and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engage in lobbying activities (See Section VIII.5). Section III.3 may include other eligibility restrictions. {or}
- All types of domestic applicants are eligible to apply, except other Federal agencies, Federally Funded Research and Development Centers (FFRDCs), and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engage in lobbying activities (See Section VIII.5). Section III.3 may include other eligibility restrictions. {or}
- See 10 CFR 605.6 Eligibility. {or}
- {Complete text block}

**2. Cost Sharing or Matching.** *Required {Consistent with applicable statutory and regulatory requirements, select one.} Bullet 3 applies to projects carved out under EPACT covered programs. If there are any funding limitations in Section IV.5 that could affect "Eligibility", cross-reference them in this section.*

- Cost sharing/matching is not required. {or}
- The cost share or match must be at least \_\_\_\_\_% of the total allowable costs of the project (i.e., the sum of the recipient's allowable costs and the Federal Government share equals the total allowable costs of the projects) and must come

from non-Federal sources. (See Section IV.2.D.iv - Commitment Letters from Third Parties Contributing to Cost Sharing and 10 CFR part 600 for the applicable cost sharing requirements.) {or}

- The cost share must be at least 20% of the total allowable costs for research and development projects and 50% of the total allowable costs for demonstration and commercial application projects (i.e., the sum of the recipient's allowable costs and the Federal share equals the total allowable cost of the project) and must come from non-Federal sources. (See Section IV.2.D.iv - Commitment Letters from Third Parties Contributing to Cost Sharing and 10 CFR part 600 for the applicable cost sharing requirements.) {or}
- {Complete text block}

**3. Other. Required if applicable.**

Select all that apply:

- Energy Policy Act Eligibility Requirements. *Required for programs covered under Title XX and XXIII of EPACT.*  
Section 2306 of the Energy Policy Act of 1992 (EPACT) [42 U.S.C. 13525] imposes certain eligibility requirements on awards made under this program. In order to make an award to an applicant that is a business entity, other than a non-profit organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954, DOE must determine that the applicant's participation will be in the economic interest of the United States and that the applicant is either a U.S. owned company or is incorporated or organized under the laws of any State and that its parent company is incorporated or organized under the laws of a country that affords: (1) to U.S. owned companies opportunities comparable to those afforded to any other company to participate in government-supported joint ventures in energy research and development and in local investment opportunities; and (2) adequate and effective protection for intellectual property rights of the U. S. owned companies. Eligible applicants must be able to meet these two tests. (See Section IV.3.C, Submissions from Successful Applicants, EPACT Representation.)
- Federally Funded Research and Development Centers (FFRDC).  
FFRDC applicants are not eligible for an award. A list of the FFRDC is available at [www.nsf.gov](http://www.nsf.gov). However, an application that includes performance of a portion of the work by a FFRDC will be evaluated and may be considered for award. (See Section VIII).
- {Complete text block} *State any other factors affecting the eligibility of the principal investigator/project director or any criteria that make particular projects ineligible. e.g., go/no-go decision criteria such as a limit on the number of applications an entity can submit. To the extent that any funding restriction in Section IV.5 could affect the eligibility of an applicant, you must restate that restriction here or provide a cross-reference to its description in Section IV.5}*

#### **IV. Application and Submission Information.**

##### **1. Address to Request Application Package. *Required*** {Select one}

- This announcement includes all the information needed to complete an application. {or}
- The Office of Science's Grant Application Guide and forms are located at <http://www.sc.doe.gov/production/grants/grants.html>. {or}
- Complete text block}

##### **2. Content and Form of Application Submission.**

###### **A. DUNS Number. *Required***

All applicants, except individuals who would personally receive an award under this announcement apart from any business or non-profit organization they may operate, must include a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number in their application. For the purpose of this requirement, the applicant is the entity that meets the eligibility criteria and has the legal authority to apply for an award. For example, a consortium formed to apply for an award must obtain a DUNS number for that consortium. For assistance in obtaining a DUNS number at no cost to you, call the DUNS Number request line at 1 866-705-5711. Be prepared to provide the following information: 1) Organization name; 2) Address; 3) Local telephone number; 4) Name of the CEO/business owner; 5) Legal structure of the business (corporation, partnership, etc); 6) Year the organization started; 7) Primary line of business; 8) Total number of employees (full and part time). If you do not already have a DUNS number, you should obtain one as soon as you decide to submit an application.

###### **B. Letter of Intent. *Required if letters of intent are requested. {Select one}***

- Applicants are requested to submit a letter of intent by \_\_\_\_\_, 20 . This letter should include the name of the applicant, the title of the project, the name of the Principal Investigator(s)/project director, the amount of funds requested, and a one-page abstract. Letters of intent will be used to organize and expedite the merit review process. Failure to submit such letters will not negatively effect a responsive application submitted in a timely fashion. The letter of intent should be sent by E-mail to \_\_\_\_\_. {or}
- {Complete test block}

###### **C. Pre-application. *Required***

{Select bullet one if pre-applications are not required. If pre-applications are required select either bullet two or three and complete.}

- Pre-applications are not required. {or}

- Pre-applications are required. They must be submitted electronically through the DOE Interactive Procurement System (IIPS) web site at <http://e-center.doe.gov> and received by \_\_\_\_\_, 20\_\_, not later than 8:00 PM Eastern Time.

*{Complete text block – Describe what the applicant must submit, the content of the pre-application, page limitation, and how the pre-application will be evaluated and used. For example: Applicants must complete the cover information specified and provide a description of the project as an attachment file. The attachment must be labeled "Pre-application". The description of the project (attachment) must not exceed 3 pages when printed using standard 8.5" x 11" paper with 1 inch margins (top, bottom, left, and right ) with font not smaller than 11 point. The description must include . . . . . Pre-applications will be subjected to a merit review. Organizations submitting favorably reviewed applications will be invited to submit full applications. Only invited organizations may submit a full proposal. DOE expects to provide the results of the pre-application review by \_\_\_\_\_.}* {or}

- {Complete text block}

#### **D. Application. Required**

[Select one.]

- See the Office of Science's Application Guide and forms at <http://www.sc.doe.gov/production/grants/grants.html>. {or}
- Applicants must include the following files in their E-Application (See Section IV 6 "Other Submission Requirements" for instructions on how to submit your E-Application):

{Select all that apply and complete}

##### **i. Application File. Required**

Applicants must complete a (Select SF 424 or DOE F 4650.2) application form. Save this form as a \_\_\_\_\_ file, named "Application." Click here for application form.

##### **ii. Budget Files. Required**

{Select all that apply}

- Budget File. Applicants must complete a (Select one: SF 424A, or SF 424C, or DOE F 4600.4 or DOE F 4620.1) for each year of support requested and a cumulative budget for the total project period. Click here for budget form. You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work and are not precluded by the cost principles or program funding restrictions (See Section IV, 5). Save these budget forms in a single \_\_\_\_\_ file, named "Budget."

- Budget File for FFRDC participant, if any. {Select for R&D programs if the information will be evaluated as part of the selection process. *Complete Section IV.3.C, if FFRDC budget is to be submitted after selection*}

If a non-DOE FFRDC contractor is to perform a portion of the work, provide a separate budget for the FFRDC contractor's work effort

If a DOE FFRDC contractor is to perform a portion of the work, provide a DOE Field Work Proposal in accordance with the requirements in DOE Order 412.1 Work Authorization System (Attachment 3 is a Sample Format for the Field Work Proposal). DOE O 412.1 is available at <http://www.directives.doe.gov/serieslist.htm> (Click on Series 400 Work Process).

All FFRDC budgets must be saved as a \_\_\_\_\_ file, named "FFRDC Attachment".

- Budget Justification File. Justify proposed direct labor, travel, consultants, large subawards, large or unique "other direct costs", equipment, etc. For subawards, identify organization name, description of the scope of work, name of the project leader, and estimated total costs. The contracting officer may request a more detailed budget for a particular subaward, if your application is selected. Provide an explanation of the source, nature, amount, and availability of any proposed cost sharing. Save this information in a \_\_\_\_\_ file, named "Budget Justification"
- {Complete text block}

### iii. **Project Narrative File. Required.**

The project narrative file must be formatted to separately address each of the sections listed below. Each section must not exceed the specified page limitation, if any, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right). The type must be legible and not smaller than 11 point. Evaluators will review only the number of pages specified

Unnecessarily elaborate applications are not desired. Elaborate art work, graphics and pictures will increase the document file size. If the project narrative file size is over 5MB, we request that you use a "Zip" file compression software such as WinZip software, to reduce the time needed to download the file. Save all the project component information in a single \_\_\_\_\_ file, named "Project Narrative".

{Select all that apply}

- Project Summary. Required for R&D projects, optional for other project. The project summary must contain a summary of the proposed activity suitable for publication. It should be a self-contained document that



identifies the name of the applicant, the principal investigator/project director, the project title, the objectives of the project, methods to be employed, the potential impact of the project (i.e., benefits, out comes), and participants (for collaborative projects). It should be informative to other persons working in the same or related fields and, insofar as possible, understandable to a scientifically or technically literate lay reader. This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary must not exceed 1 page.

- **Project Narrative.** This section should provide a clear description of the work to be undertaken and how you plan to accomplish it. It must be formatted to address each of the merit review criterion and sub-criterion listed in Section V. B. Provide sufficient information so that the reviewers will be able to evaluate the application in accordance with these merit review criteria. DOE/NNSA WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION AND SUB-CRITERION.

The project narrative section must not exceed \_\_\_\_ {Insert number} pages. Graphics and visual material, including charts, graphs, maps, photographs, and other pictorial presentations, will be counted in the page limitation for this section.

{Include the following paragraph in the project narrative section, if appropriate} *Optional.*

- *Special instructions for applications that contain graphics and visual material.* All graphics and visual material should be referenced in the project narrative text, converted to pdf files (such as Adobe Acrobat Portable Document Files), and included as a separate attachment, named "Graphics Attachment." (See Section IV.2. D.iv).
- **Relevance and Justification.** This section should explain the relevance of the effort to the objectives in the funding opportunity announcement. The justification for the proposed project should include a clear statement of the importance of the project in terms of the utility of the outcomes and the target community of beneficiaries. [Select, if applicable: This section must not exceed \_\_\_\_ {Insert number} pages.]
- **Roles of Participants:** For multi-organizational or multi-investigator projects, describe the roles and the work to be performed by each participant/investigator, business agreements between the applicant and participants, and how the various efforts will be integrated and managed. [Select, if applicable: This section must not exceed \_\_\_\_ {Insert number} pages.]
- **Project Activities and Schedule:** {Generally, you would select this component

*for standard awards. You would select Project Management Plan (See paragraph iv. "Attachments") when the complexity, risk, cost, or government interest is such that understanding the plan and status is important}.*

This section should identify the activities/tasks to be performed and provide a time for the accomplishment of the activities/tasks and the expected dates for the release of outcomes. This section should identify any decision points and go/no-go decision criteria. Successful applicants must use this project schedule to report progress. [Select if applicable: This section must not exceed \_\_\_\_\_ {Insert number} pages.]

- **Evaluation Phase:** This section must include a plan and metrics to be used to assess the success of the project. [Select if applicable: This section must not exceed \_\_\_\_\_ {Insert number} pages.]
- **Facilities and Other Resources.** Identify the facilities (e.g., office, laboratory animal, computer, etc.) to be used at each performance site listed and, 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. Provide any information describing the other resources available to the project. Identify support services such as consultant, secretarial, machine shop, and electronics shop and the extent to which they will be available for the project. Include an explanation of any consortium/contractual arrangements with other organizations. [Select if applicable: This section must not exceed {Insert number} pages.]
- **Equipment.** List important items of equipment already available for this project and, if appropriate, note the location and pertinent capabilities of each. If you are proposing to acquire equipment, describe comparable equipment, if any, already at your organization and explain why it cannot be used.
- **Bibliography and References, if applicable.** Provide a bibliography for any references cited in the Project Narrative section. This section must include only bibliographic citations.
- {Complete text block}
- {Complete text block}
- {Complete text block}

#### **iv. Attachment Files.**

Applicants must submit the following additional files with their application {Select all that apply}

- Certifications/Assurances. *Required*

Applicants must complete the DOE certification/assurance information. Click here for form. Save this information in a single \_\_\_\_\_ file named "Certification/Assurance".

- Biographical Sketch. *Optional*

Provide a biographical sketch for the project director/principal investigator, co-project directors/principal investigators, and {Insert position titles, if additional biosketches are required}. Save this information in a single \_\_\_\_\_ file, named "Bio Attachment". The biographical information must not exceed \_\_\_\_\_ pages for each person when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point and must include:

- Education. Undergraduate, graduate and postdoctoral training, provide institution, major/area, degree and year.
- Positions: Beginning with the current position list, in chronological order, professional/academic positions with a brief description.
- Publications. A list of up to [Insert number, e.g., 10] publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically.
- Patents, copyrights and software systems developed may be provided in addition to or substituted for publications.
- Synergistic Activities. List no more than 5 professional and scholarly activities related to the effort proposed.
- {Complete text block}

- Project Management Plan. *Optional* {Generally, you would include this requirement only when the complexity, risk, cost, or government interest is such that understanding the plan and status is important.}

This plan should identify the activities/tasks to be performed, a time schedule for the accomplishment of the activities/tasks, the spending plan associated with the activities/tasks, and the expected dates for the release of outcomes. Applicants may use their own project management system to provide this information. This plan should identify any decision points and go/no-go decision criteria. Successful applicants must use this plan to report schedule

and budget variances. Save this plan in a single \_\_\_\_\_ file named "PMP Attachment". [Select if applicable: This section must not exceed \_\_\_\_\_ {Insert number} pages.]

- **Commitment Letters from Third Parties Contributing to Cost Sharing.** *Optional* {Select one if cost sharing is required}

- If a third party, (i.e., a party other than the organization submitting the application) proposes to provide all or part of the required cost sharing the applicant must include a letter from the third party stating that it is committed to providing a specific minimum dollar amount of cost sharing. The letter should also identify the proposed cost sharing (e.g., cash services, and/or property) to be contributed. Letters must be signed by the person authorized to commit the expenditure of funds by the entity and be provided in a PDF format. Save this information in a file named "CLTP Attachment".
- The applicant must have firm funding commitment letters from third parties expected to contribute to cost sharing. At the time the application is submitted, the applicant must identify for each participant providing cost sharing: 1) the name of the organization; 2) the proposed dollar amount to be provided; 3) the amount as a percentage of the total project cost, and 4) the proposed cost sharing – cash, services, or property. For projects with multiple cost sharing partners, summarize the information in a table format. Provide the information in a word file named "CLTP Attachment".

By submission of the application, the applicant is providing assurance that it has signed letters of commitment. Successful applicants must submit the signed letters of commitments within 15 calendar days of notification of selection (See Section IV.3.C Submissions from Successful Applicants).

- **Graphics and Visual Material.** *Optional*

Applicants must submit project graphics and visual material in a separate attachment, named "Graphics Attachment". See Project Narrative, paragraph 3, "*Special instructions for applications that contain graphics and visual material.*"

- {Complete text block to add other requirements}
- {Complete text block to add other requirements}
- {Complete text block to add other requirements}

### **3. Submission Dates and Times.** *Required*

#### **A. Pre-application.** *Required* {Select one}

- Pre-applications are not required. {or}
- See Section IV.2.C for Pre-application due date and time.

**B. Application Due Date. Required** {Select one}

- Applications and amendments of applications must be received by \_\_\_\_\_, 20\_\_, not later than 8:00 PM Eastern Time. You are encouraged to transmit your application well before the deadline. APPLICATIONS, INCLUDING ALL APPLICATION FILES, RECEIVED AFTER THE DEADLINE, AS DEMONSTRATED BY THE IIPS DATE/TIME STAMP, WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD. {or}
- Applications may be submitted at any time prior to the expiration of this notice. {Select, if applicable} This notice expires upon the issuance of a new notice that supercedes this notice. {or}
- {Complete text block}

**C. Submissions from Successful Applicants. Required** {Select one}

- None {or}
- Successful applicants must submit the information listed below not later than \_\_\_\_ {Insert number of days, e.g., 15} calendars days after notification of selection. Applicants who fail to provide the information within the required time period may be eliminated from further consideration.

{Identify any information that successful applicants must submit prior to award}

What to submit	Required Form or Format
{Select if program is an EPACT covered program}  <u>EPACT Representation</u> "A successful applicant that is a business entity, other than a non-profit organization of the type described in section 501(c)(3) of the Internal Revenue Code, must complete and provide the appropriate EPACT Representation form.	Complete the appropriate EPACT Representation form. Click here for forms
{Select for R&D programs, if applicable, and if the FFRDC budget was not submitted with the application (See Section IV.D.ii Budget for FFRDC Participants).}	For DOE FFRDCs, complete a DOE Field Work Proposal. Click here for

<p><u>Budget for FFRDC participant, if any.</u></p> <p>If a non-DOE FFRDC contractor is to perform a portion of the work, provide a separate budget for the FFRDC contractor's work effort.</p> <p>If a DOE FFRDC contractor is to perform a portion of the work, provide a DOE Field Work Proposal in accordance with the requirements in DOE Order 412.1 Work Authorization System (Attachment 3 is a Sample Format for the Field Work Proposal). DOE O 412.1 is available at <a href="http://www.directives.doe.gov/serieslist.htm">http://www.directives.doe.gov/serieslist.htm</a> (Click on Series 400 Work Process).</p>	<p>form</p> <p>For non-DOE FFRDCs, no special form. The budget must include the same detail and cost elements, if applicable, as the recipient's budget.</p>
<p>{Select if cost sharing is required and you did not request commitment letters with the application}</p> <p><u>Commitment Letters from Third Parties Contributing to Cost Sharing</u></p> <p>If a third party is to provide all or part of the required cost sharing, provide a signed letter of commitment.</p>	<p>No special format</p> <p>See Section IV 2.D. iv. Commitment Letters from Third Parties Contributing to Cost Sharing</p>
<p>{Complete for additional requirements}</p>	
<p>{Complete for additional requirements}</p>	

{or}

- {Complete text block}

### 3. Intergovernmental Review. *Required*

{Select one}:

- This program is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs. {or}
- This program is subject to Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations at 10 CFR Part 1005

One of the objectives of the Executive order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

Applicants should contact the appropriate State Single Point of Contact (SPOC) for

find out about, and to comply with, the State's process under Executive Order 12372. The names and addresses of the SPOCs are listed on the Web site of the Office of Management and Budget at <http://www.whitehouse.gov/omb/grants/spoc.html>.

The deadline for Intergovernmental Review is {complete}.

#### 5. **Funding Restrictions.** *Required*

{Bullets one and two must be included. Select any others that apply:}

- **Cost Principles.** Cost must be allowable in accordance with the applicable cost principles referenced in 10 CFR part 600.
- **Pre-award Costs.** Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are necessary for the conduct of the project activities and are otherwise allowable in accordance with the applicable cost principles and the terms and conditions of the award. Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period.

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

- **Foreign Travel.** Cost of foreign travel is not allowable under an award made as a result of this announcement.
- {Complete text block – *Identify any other limitations on costs*}

#### 6. **Other Submission Requirements.** *Required*

- **Electronic Submission.** Applications must be submitted through the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Instructions on how to submit an application or an application amendment and how to register, submit questions, and view questions and answers are located on the web site at <http://e-center.doe.gov>, click on the Help button. Click here for Frequently Asked Questions.

Prepare all the required files in accordance with the instructions in this announcement prior to starting the transmission process. Submit the entire application package in one IIPS session (i.e., do not logoff before all the files are submitted).

When you are ready to submit your application, go to <http://e-center.doe.gov> and complete the IIPS cover page. Enter the project title and the principal investigator/project director, if any, in the "Subject" block. Then attach each file in the corresponding block in accordance with the IIPS guidance. Follow the instructions for submitting the application.

If you have any problems accessing information or submitting your application, contact the Help Desk at 1 800-683-0751 and select option 1, or send an email to [HelpDesk@pr.doe.gov](mailto:HelpDesk@pr.doe.gov). ONLY APPLICATIONS SUBMITTED THROUGH IIPS WILL BE CONSIDERED FOR AWARD.

- **Electronic Signature.** Applications submitted through IIPS constitute submission of electronically signed applications. The name of the authorized organizational representative (i.e., the administrative official, who, on behalf of the proposing organization, is authorized to make certifications and assurances or to commit the applicant to the conduct of a project) must be typed in the signature block on the form to be accepted as an electronic signature. Do not submit a scanned copy of the signed document.
- **IIPS Registration.** In order to submit an application, you must be authorized by the applicant (i.e., institution or business entity) to submit an application on its behalf and you must register in IIPS. You are encouraged to register as soon as possible. You only have to register once to apply for any DOE award. To register go to <http://e-center.gov> and follow the registration instructions.
- {Complete text block}

## V. Application Review Information.

### 1. Criteria

#### A. Initial Review Criteria. *Required* Select one:

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

#### B. Merit Review Criteria. *Required* {Select one and complete required information}

- {Complete text block. *List merit review criteria, including sub-criteria. Also, list importance, associated weight, or point value.*}

*{If cost sharing is a merit review criteria (as opposed to being an eligibility criterion or program policy factor), address how cost sharing will be considered (e.g., assigned a certain number of points, break ties among applications with equivalent scores after evaluation against other merit review factors).}*

*{If there are other factors the merit reviewers will consider but not point score,*



*explain how such factors will be considered. Example: Merit reviewers will be asked to comment on other aspects of the application, such as the reasonableness of the proposed budget, environmental, human subject, and animal welfare concerns. Such comments may provide useful information that must be addressed prior to any award, but they will not be considered in the rating of technical/scientific merit}. {or}*

- Applications will be reviewed in accordance with the criteria contained in 10 CFR 605.10(d). {or}
- Applications will be reviewed in accordance with the criteria contained in 10 CFR 602.9(d).

**C. Other Selection Factors.** *Required if there are other selection factors. {Select one and complete. If this section includes preferences, identify the preferences and explain the effect, e.g., whether they result in additional points being assigned}.*

- The selection official will consider the following program policy factors in the selection process: {list factors} {or}
- {Complete text block}

## **2. Review and Selection Process.**

**A. Merit Review.** *Required*

Applications that pass the initial review will be subjected to a merit review in accordance with the {Select one}

- guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance and Unsolicited Proposals". This guide is available at <http://professionals.pr.doe.gov/ma5/ma-5web.nsf/?Open> under Financial Assistance, Regulations and Guidance. {or}
- (Insert Office Name) merit review procedures {Complete. Example: the Office of Energy Efficiency and Renewable Energy merit review procedures which were published in the Federal Register on December 20, 2001 (Vol. 66, No. 245)}. {or}
- {Complete text block}

**B. Selection.** *Required {Select one}*

- The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available. {or}
- {Complete text block}

**C. Discussions and Award.** *Required {Select one}*

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

**3. Anticipated Announcement and Award Dates. Required {Select one}**

- {Select: DOE or NNSA} anticipates notifying applicants selected for award by {Complete. Example: the end of June} and making awards by {Complete: Example: the end of August 20XX} {or}
- {Select: DOE or NNSA} is striving to make awards within eight months. The time interval begins on the date applications are due or the date the application is received, if there is no specified due date/deadline. {or}
- {Complete text block}.

**VI. Award Administration Information.**

**1. Award Notices.**

**A. Notice of Selection. Required {Select all that apply and complete}**

- {Select: DOE or NNSA} will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Section IV.5 with respect to the allowability of pre-award costs.)
- Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.
- {Complete text block}

**B. Notice of Award. Required {Select one}**

- A Notice of Financial Assistance Award issued by the contracting officer is the authorizing award document. It includes, either as an attachment or by reference: 1. a budget that indicates the amounts, by categories of expenses, on which the agency has based its support; 2. the application; 3. applicable program regulations, if any; 4. special terms and conditions; 5. DOE assistance regulations at 10 CFR part 600, or, for Federal Demonstration Partnership (FDP)

institutions, the FDP terms and conditions; and 6. a reporting checklist, which identifies the reporting requirements. {or}

- {Complete text block}

## **2. Administrative and National Policy Requirements.**

### **A. Administrative and National Policy Requirements. *Required***

The administrative requirements and national policy requirements (e.g., “generally applicable requirements”) for DOE grants and cooperative agreements are contained in 10 CFR Part 600, except for grants made to Federal Demonstration Partnership (FDP) institutions. The FDP terms and conditions and DOE FDP agency specific terms and conditions are located on the National Science Foundation web site at [www.nsf.gov](http://www.nsf.gov). “Generally applicable requirements” are defined in 10 CFR 600.12.

### **B. Special Terms and Conditions. *Required terms and conditions must be included and the other terms and conditions should be included if applicable. Add additional terms and conditions as needed.***

#### **Lobbying** {Select a and/or b, if applicable}

#### **a. Lobbying Restrictions** *Required if funds made available under the Interior Acts will be obligated to an award made under this announcement.*

The recipient agrees that none of the funds obligated on this award shall be made available for any activity or the publication or distribution of literature that in any way tends to promote public support or opposition to any legislative proposal on which Congressional action is not complete. This restriction is in addition to those prescribed elsewhere in statute and regulation.

#### **b. Lobbying Restrictions** *Required if funds made available under Energy and Water Acts will be obligated to an award made under this announcement.*

The recipient agrees that none of the funds obligated on this 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 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

#### **Buy American Act.** *Required*

#### **NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS**

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

**Compliance with Buy America Act.** *Required if funds made available under the Interior and Related Agencies Act will be obligated to an award made under this announcement.*

In accepting this award, the recipient agrees to comply with sections 2 through 4 of the Act of March 3, 1933 (41 U.S.C. 10a - 10c, popularly known as the "Buy American Act"). The recipient should review the provisions of the Act to ensure that expenditures made under this award are in accordance with it.

**Reporting.** *Required*

Failure to comply with the reporting requirements contained in this award will be considered a material noncompliance with the terms of the award. Noncompliance may result in withholding of future payments, suspension or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or of unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.

**Environmental, Safety, and Health.** *Required*

The recipient must comply with applicable federal, state, and local environmental, safety, and health laws and regulations for work performed under this award.

**Notice Regarding Unallowable Costs and Lobbying Activities.** *Required if the purpose of the program is to promote specific energy technologies, sources or concepts.*

The recipient should carefully review the allowable cost and other provisions applicable to expenditures under this award. If funds are spent for purposes or in amounts inconsistent with the allowable cost or any other provisions governing expenditures, DOE may pursue a number of remedies, including in appropriate circumstances, recovery of such funds, termination of the award, suspension or debarment, and criminal prosecution for false statements.

Particular care should be taken to comply with all statutes and regulations prohibiting the expenditure for funds for lobbying and related activities. Financial assistance awards may be used to describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not to encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

**Statement of Substantial Involvement.** *Required if "cooperative agreement" is selected in Section II.1.*

{Complete text block – describe the Government's substantial involvement in the project. See Financial Assistance Letter (FAL) 2001-3. This FAL provides guidance that may be useful in developing the Government's Statement of Substantial Involvement in the project}

{Complete text block to add other requirements}

{Complete text block to add other requirements}

{Complete text block to add other requirements}

{Complete text block to add other requirements}

### 3. **Reporting. Required**

{Select all that apply.}

- **Reporting Requirements.** Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. See (Insert URL) for the proposed Checklist for this program.

- **Submission of Scientific/Technical Reports – Grants.** {Select this entire provision if grant includes a requirement for a scientific/technical report}

Electronic Submission: Scientific/technical reports must be submitted electronically via the DOE Energy Link System (E-Link) with the appropriate DOE Form 241 (See Federal Assistance Reporting Checklist, DOE F 4600.2). E-Link will allow you to complete the DOE F 241 online and then upload your report. It can be accessed at <http://www.osti.gov/mlink-2413>.

DOE Form 241.3, "U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI)": This form and instructions are available on E-Link. If there is any patentable material, protected data, or SBIR/STTR data in the report, the recipient must, consistent with the data protection provisions of the grant, clearly identify patentable or protected data on each page of the report, identify such material on the cover of the report, and mark the appropriate blocks in Section K of the DOE F 241.3. Other than patentable material, protected data, or SBIR/STTR data, reports must not contain any proprietary data (limited rights data), classified information, information subject to export control classification, or other information not subject to release. Protected data is specific technical data, first produced in the performance of the award, that is protected from public release for a period of time by the terms of the award agreement. A scientific/technical report produced under this award will be disseminated on the Internet via the DOE Information Bridge ([www.osti.gov/bridge](http://www.osti.gov/bridge)), except for a report or a part of a report that contains patentable material, protected data or SBIR/STTR data. Citations for journal articles produced under this award will appear on the DOE Energy Citations Database ([www.osti.gov/ecd](http://www.osti.gov/ecd)).

Electronic Format: Reports must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts. E-Link can provide more details about converting a file to PDF. Materials, such as prints, videos, and books, that are essential to the report but cannot be submitted electronically, should be sent to the Contracting Officer at the address listed in Block 12 of the Notice of Financial Assistance Award.

- **Special Reporting Requirements for Cooperative Agreements.** *Required if Cooperative Agreements are anticipated. (See FAL 2001-04)*

The special reporting requirements for cooperative agreements will be incorporated in cooperative agreements awarded under this announcement. Click here for reporting requirements.

- {Complete text block}

**VII. Agency Contact(s).** *Required*  
{Select all that apply.}

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

Responses to questions may be viewed through the "View Questions" feature, button at the top of the page. If no questions have been answered, a statement to that effect will appear at the top of the page. You should periodically check "View Questions" for new questions and answers.

Questions regarding how to submit questions or view responses can be e-mailed to the IIPS HELP Desk at [helpdesk@pr.doe.gov](mailto:helpdesk@pr.doe.gov) or by calling 1 (800) 683-0751.

- Questions regarding this announcement should be directed to:  
{Select and complete all that apply:}
  - {Contract Specialist name, phone, e-mail}
  - {Program contact name, phone, e-mail}
  - {Focus Area, Program Contact name, phone, and e-mail} May list more than one:
    - Focus area:
    - Contact Name:
    - Telephone number:
    - e-mail address:
  - {Complete text block}
  - {Complete text block}

**VIII. Other Information** *Required provisions must be included and the others provisions should be included if applicable. Add additional provisions if needed.*

**1. Modifications. *Required***

Notices of any modifications to this announcement will be posted on the DOE Industry Interactive Procurement System (IIPS).

If you register in IIPS, you may join this solicitation mailing list to receive an email when a modification or an announcement message is posted. To view modifications and announcement messages, locate the announcement on IIPS and click on the yellow folder next to the announcement number or follow the directions for "Locate Solicitation."

**2. Government Right to Reject or Negotiate. *Required***

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

**3. Commitment of Public Funds. *Required***

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

**4. Proprietary Application Information. *Required***

An application may include data, including trade secrets and/or privileged or confidential commercial or financial information which the applicant does not want disclosed to the public or used for any purpose other than evaluation of the application (See 10 CFR 600.15). The use and disclosure of such data may be restricted, provided the applicant marks the cover sheet of the application with the following legend and specifies the pages of the application which are to be restricted:

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

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

"Use or disclosure of the data set forth above is subject to the restriction on the cover page of this application."

**5. Notice Regarding Eligibility of Organizations Described in Section 501(c)(4) of the Internal Revenue Code. *Required if nonprofit organization (excluding institutions of higher education) are eligible to apply.***

Applicant organizations that are described in section 501(c)(4) of the Internal Revenue Code of 1986 and that have engaged in any lobbying activities after December 31, 1995 are not eligible for an award. As set forth in section 3 of the Lobbying Disclosure Act of 1995, as amended, (2 U.S.C. 1602), lobbying activities are defined broadly to include, among other things, contacts on behalf of an organization with specified employees of the Executive Branch and Congress with regard to Federal legislative, regulatory, and program administrative matters.

**6. Evaluation by Non-Federal Reviewers.** *Required if non-Federal reviewers will be used in the merit review process.*

In conducting the merit review evaluation, the Government plans to use qualified non-Federal personnel (e.g., DOE management and operating contractors, universities personnel, or other scientific/technical experts) as reviewers or advisors. The applicant, by submitting its application, consents to the use of non-Federal reviewers. Non-Federal reviewers will be required to sign a Conflict-of-Interest/Non-Disclosure Certificate prior to reviewing any application.

**7. Intellectual Property Developed under this Program.** *Required if the program is for RD&D.*

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See "Notice of Right to Request Patent Waiver" in paragraph G below) The patent rights applicable to the various types of DOE financial assistance recipients are contained in 10 CFR 600.

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE's own needs or to insure the commercialization of technology developed under a DOE agreement. The rights in data applicable to the various types of DOE financial assistance recipients are contained in 10 CFR 600.

Select and complete, if the program is covered under special protected data statutes, such as EAct}

- Special Protected Data Statutes. This program is covered by a special protected data statute. The provisions of the statute provide for the protection from public disclosure, for a period of up to \_\_\_\_ years {EAct – 5, SBIR – 4} from the development of the information, data that would be trade secret, or commercial or financial information that is privileged or confidential, if the information had been obtained from a non-Federal party. Generally, the provision entitled, Rights in Data – Programs Covered Under Special Protected Data Statutes, (10 CFR 600 Appendix



A to Subpart D), would apply to an award made under this announcement. This provision will identify data or categories of data first produced in the performance of the award that will be made available to the public, notwithstanding the statutory authority to withhold data from public dissemination, and will also identify data that will be recognized by the parties as protected data.

Web Site: Applicants can access the DOE financial assistance patent and data rights provisions applicable to research, development, and demonstration (RD&D) awards at [www.gc.doe.gov/gcmain.html](http://www.gc.doe.gov/gcmain.html). Click here for provisions.

**8. NOTICE OF RIGHT TO REQUEST PATENT WAIVER.** *Required if the program is for R&DD and large for-profit and foreign organizations are eligible to apply.*

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

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

**9. Notice Regarding Eligible/Ineligible Activities.** *Required if the purpose of the program is to promote specific energy technologies, sources or concepts.*

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.

**10. Participation by Federally Funded Research and Development Center Contractors.** *Required if FFRDCs may participate as team members.*

Federally Funded Research and Development Center (FFRDC) contractors are not eligible for an award under this announcement, but they may be proposed as a team member subject to the following guidelines:

Authorization for non-DOE FFRDCs. The Federal agency sponsoring the FFRDC must authorize in writing the use of the FFRDC contractor on the proposed project and this authorization must be submitted with the application. The use of a FFRDC contractor must be consistent with the contractor's authority under its award and must not place the FFRDC in direct competition with the private sector.

**Authorization for DOE FFRDCs.** The cognizant contracting officer must authorize in writing the use of a DOE FFRDC contractor on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization.

"Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complimentary to the missions of the laboratory, will not adversely impact execution of the DOE assigned programs at the laboratory, and will not place the laboratory in direct competition with the domestic private sector."

**Value/Funding.** The value of and funding for the FFRDC portion of the work will not normally be included in the award to a successful applicant. Usually, DOE will fund a DOE FFRDC contractor through the DOE field work proposal system and other FFRDC entities through an interagency agreement with the sponsoring agency.

**Cost Share.** The applicant's cost share requirement will be based on the total cost of the project, including the applicant's and the FFRDC contractor's portions of the effort.

**FFRDC Contractor Effort:** {Select one and complete}

- The scope of work to be performed by the FFRDC may not be more significant than the scope of work to be performed by the applicant.
- The FFRDC effort, in aggregate, shall not exceed \_\_\_\_\_% of the total estimated cost of the project, including the applicant's and the FFRDC contractor's portions of the effort.
- {Complete text block}

**Responsibility.** The applicant, if successful, 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 the FFRDC contractor.

- {Complete text block to add other requirements}
- {Complete text block to add other requirements}
- {Complete text block to add other requirements}