

**FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT**



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

**Experimental Program to Stimulate Competitive Research
(EPSCoR); Building EPSCoR-State/National Laboratory
Partnerships**

Funding Opportunity Number: DE-PS02-09ER09-11

Announcement Type: Initial

CFDA Number: 81.049

ISSUE DATE: 04/23/2009

**Preapplication Due Date: 06/05/2009, 8:00 PM Eastern Time
REQUIRED**

Application Due Date: 11/09/2009, 8:00 PM Eastern Time

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

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

Where to Submit:

ATTENTION - CHANGE IN SUBMISSION REQUIREMENT EFFECTIVE March 12, 2009

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

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

All applications should be in a single PDF file.

Registration Requirements:

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

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PART I – FUNDING OPPORTUNITY DESCRIPTION

GENERAL INQUIRIES ABOUT THIS FOA SHOULD BE DIRECTED TO:

Technical/Scientific Program Contact:

Dr. Tim Fitzsimmons

Phone: (301) 903-9830

Email: tim.fitzsimmons@science.doe.gov

STATUTORY AUTHORITY

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

Public Law 109-58, Energy Policy Act of 2005

APPLICABLE REGULATIONS

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

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

SUMMARY:

The Office of Basic Energy Sciences (BES) of the Office of Science (SC), U.S. Department of Energy (DOE), hereby announces its interest in receiving grant applications for collaborative partnerships between academic or industrial researchers from jurisdictions eligible for the DOE Experimental Program to Stimulate Competitive Research (EPSCoR) program and researchers at DOE's National Laboratories, facilities, centers, information repository, or Energy Information Administration (hereafter referred to as the National Laboratories). The purpose of DOE/EPSCoR program is to enhance the capabilities of academic and industrial institutions in designated EPSCoR jurisdictions to conduct nationally competitive, energy-related research. The purpose of this funding opportunity announcement is to call for applications that advance fundamental energy oriented scientific and engineering research partnerships with the National Laboratories. Participation by students and/or postdoctoral fellows is required. Junior faculty from EPSCoR jurisdictions are encouraged to apply.

SUPPLEMENTARY INFORMATION:

To maximize the contribution of DOE's unique strengths to the EPSCoR mission, applicants to this funding opportunity announcement must propose scientific collaborations that partner academic or industrial researchers in EPSCoR jurisdictions and the researchers at the National Laboratories. The collaborative research must address scientific areas of current relevance to the missions of DOE.

For academic applicants undergraduate students, graduate students, and/or postdoctoral fellows must be active members of the research team and junior faculty are encouraged to apply. It is encouraged that members of the research team spend a summer or significant time during the

academic year at a National Laboratory. Industrial applicants from EPSCoR jurisdictions are welcome to apply but must include academic institutions from EPSCoR jurisdictions as part of their team. National Laboratory Scientists are also encouraged to visit their EPSCoR collaborator to facilitate the exchange of scientific ideas.

Topical research areas must be identified in the application with respect to the relevant DOE Program Office or Offices (listed below) and the Office's specific program goals. The relevant program offices(s) (and associated program manager(s)) must be identified in both the preapplication and also in the application narrative in order for it to be considered for EPSCoR support. As a measure of relevance to DOE missions, the Program Office or Offices will be requested to contribute (e.g. 10%) to the support for the proposed effort. If the relevant DOE Program Office is unknown, please contact the DOE EPSCoR office for assistance well in advance of the preapplication deadline. Applications may address any of the entire range of energy related disciplines supported by DOE. Additional information on the DOE Research Programs is available at the website addresses below:

DOE Research Programs General Information

The DOE/EPSCoR State/National Laboratory Partnership Awards are open to scientific research spanning the entire range of energy-related disciplines supported by DOE. Additional information on the DOE Research Programs is available at the following website addresses:

Department of Energy (General Information):

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

Office of Science:

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

Basic Energy Sciences:

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

Biological and Environmental Research:

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

Advanced Scientific Computing Research:

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

Fusion Energy Sciences:

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

High Energy Physics:

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

Nuclear Physics:

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

Office of Scientific and Technical Information

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

Energy Information Administration

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

National Nuclear Security Administration:

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

Office of Electricity Delivery and Energy Reliability

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

Office of Energy Efficiency and Renewable Energy:

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

Office of Fossil Energy:

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

Office of Environmental Management:

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

Office of Civilian Radioactive Waste Management:

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

Office of Nuclear Energy:

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

PART II – AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT.

DOE anticipates awarding grants under this program announcement.

B. ESTIMATED FUNDING.

It is anticipated that approximately \$1,700,000 will be available in Fiscal Year 2010, for research that encourages and facilitates scientific collaborations or partnerships between researchers from EPSCoR jurisdictions and researchers at the National Laboratories. Multiple-year funding of grant awards is expected subject to satisfactory progress of the research, timely and satisfactory progress reporting, availability of funds, and evidence of substantial interactions between the DOE EPSCoR researchers and the DOE National Laboratory partner. Awards are expected to range up to a maximum of \$200,000 annually with terms of up to three years. The number of awards and range of funding will depend on the number of applications received and selected for award. All DOE/EPSCoR award funds will be provided to the recipient organization within the EPSCoR jurisdictions for the purpose of advancing research competitiveness in the EPSCoR jurisdictions and may include support for travel and lodging, faculty or student stipends, materials, services, and equipment. DOE is under no obligation to pay for any costs associated with the preparation or submission of an application. DOE reserves the right to fund, in whole or in part, any, all, or none of the applications submitted in response to this Announcement.

C. MAXIMUM AND MINIMUM AWARD SIZE.

Refer to Part II B., Estimated Funding, above.

D. EXPECTED NUMBER OF AWARDS.

Refer to Part II B., Estimated Funding, above.

E. ANTICIPATED AWARD SIZE.

Refer to Part II B., Estimated Funding, above.

F. PERIOD OF PERFORMANCE.

Refer to Part II B., Estimated Funding, above.

G. TYPE OF APPLICATION.

DOE will accept only new applications under this Announcement.

PART III - ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS.

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

B. COST SHARING.

Cost sharing is not required.

C. OTHER ELIGIBILITY REQUIREMENTS.

As DOE EPSCoR currently follows National Science Foundation (NSF) eligibility criteria, applicants from the following jurisdictions are eligible to apply: Alabama, Alaska, Arkansas, Delaware, Hawaii, Idaho, Kansas, Kentucky, Louisiana, Maine, Mississippi, Montana, Nebraska, Nevada, New Hampshire, New Mexico, North Dakota, Oklahoma, Rhode Island, South Carolina, South Dakota, Tennessee, Vermont, West Virginia, Wyoming, the Commonwealth of Puerto Rico, and US Virgin Islands. NSF has indicated that applicants from Iowa and Utah will be eligible as soon as their state EPSCoR committees submit a planning grant application to the NSF EPSCoR program. Thus applicants from Iowa and Utah are welcome to submit preapplications in response to this call in anticipation of their states completing NSF EPSCoR eligibility requirements prior to July 30, 2009.

PART IV – APPLICATION AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST APPLICATION PACKAGE.

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

B. LETTER OF INTENT AND PREAPPLICATION.

1. Letter of Intent.

A Letter of Intent is not required.

2. Preapplication.

To minimize undue effort on the part of applicants and reviewers, interested parties are **required** to submit preapplications. Preapplications shall reference **Funding Opportunity Announcement DE-PS02-09ER09-11 and be submitted for receipt by DOE by 8:00 p.m., Eastern Time, June 5, 2009 (preapplications received after this date will not be considered).**

Note that: 1) Only one application per individual is permitted, and individuals receiving DOE EPSCoR or DOE funds as of November 9, 2009 are not eligible to apply; 2) Confidential or proprietary information is discouraged, but any such information must be clearly marked as described in Part VIII D., "Proprietary Application Information," of this Funding Opportunity Announcement; 3) Attachments or enclosures submitted with the preapplication will not be reviewed; 4) DOE is under no obligation to pay for any costs associated with the preparation or submission of applications if an award is not made; and, 5) Research involving human subjects or animals must adhere to the guidance detailed in the Office of Science Financial Assistance Program, Grant Application Guide section on "Human Subjects and Animal Welfare" which may be found at: <http://www.science.doe.gov/grants/Welfare.html> .

The preapplications will be evaluated as to the suitability of research and its scope to the missions of the Department of Energy. This evaluation may include; 1) a review by the DOE EPSCoR program manager; 2) a review by National Laboratory management to confirm their interest in collaborating in the proposed research; and 3) a review by the topically relevant DOE program manager or managers. DOE program managers will be asked to rank EPSCoR preapplications by program priority. Again, as a measure of relevance to DOE missions and to assist in the prioritization, the Program Office or Offices will be asked if they are willing to contribute (e.g. 10%) to the support for the proposed effort. Based on the assessment of any or all of the elements of this review, DOE EPSCoR will recommend submission of formal applications to the Department.

A response to the preapplications encouraging or discouraging formal applications will be communicated to the applicants by August 7, 2009. Applicants who have not received

a response regarding the status of their preapplication by this date are responsible for contacting the program to confirm this status.

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

Preapplications must be submitted electronically to **epscor@science.doe.gov (Attention DE-PS02-09ER09-11)**. No Fax or mail submission of preapplications will be considered. After receiving notification from DOE concerning successful preapplications, applicants may prepare formal applications.

The preapplication should include cover-page information and a brief (3-5 pages) project description. The preapplication must include:

a. Cover-page information:

- (1) A statement that the document is a preapplication.
- (2) Principal Investigator (PI) - Name and address of PI's organization, telephone number, fax number, and e-mail address.
- (3) Title of project.
- (4) Funding Opportunity Announcement number (e.g. 09-11), if applicable.
- (5) Name and address (telephone, email and fax) of DOE program office and its associated program manager (**please note this is not the same as the DOE EPSCoR program manager**). Refer to DOE program websites listed above.

b. Project description (3-5 pages) may include the following, as appropriate:

- (1) A description of the proposed research, proposed methods of accomplishment. This must include a clear description of the nature of the proposed State/Lab partnership.
- (2) A statement of its proposed project's importance and relevance to the Department's mission and agency's programmatic needs. This should include a clear explanation of the value of the work to both the state and the DOE National Laboratory partners. Relevance may not be the same for each partner, necessarily.
- (3) An explanation of proposed project's methodology and equipment needs.
- (4) Anticipated project results.
- (5) A project schedule with estimated completion date.
- (6) Total project cost information.

c. Letters

- (1) A letter from the appropriate state EPSCoR coordinator endorsing the preapplication.
- (2) A 'Letter of Commitment' from the DOE National Laboratory researcher confirming willingness to collaborate on the project.

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

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

1. SF 424 (R&R).

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

2. RESEARCH AND RELATED Other Project Information.

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

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

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/principal investigator(s) (PD/PI), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary must not exceed 1 page when printed using standard 8.5” by 11” paper with 1” margins (top, bottom, left and right) with font not smaller than 11 point. To attach a Project Summary/Abstract, click “Add Attachment.”

Project Narrative (Field 8 on the Form).

The project narrative **must not exceed 20 pages** of technical information, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right). EVALUATORS WILL ONLY REVIEW THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application, because the information contained in these sites will not be reviewed. Again, confidential or proprietary information is discouraged, but any such information must be clearly marked as described in Part VIII.D “Proprietary Application Information.” To attach a Project Narrative, click “Add Attachment.”

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

Applicant/Institution:
Street Address/City/State/Zip:
Principal Investigator:
Address:
Telephone Number:
Email:
DOE/Office of Science Program Office: DOE EPSCoR
DOE/Office of Science Program Office Technical Contact: Tim Fitzsimmons
DOE/Partner Program Office(s):
DOE/Partner Program Office Technical Contact(s):

Please list ALL Collaborating Institutions/Pis.

The narrative comprises the research plan for the project. Letters of intent from all non-funded collaborators and short curriculum vitae of all senior personnel must be included in the application. Applications not meeting these requirements will be deemed ineligible during the initial screening process. The major part of the narrative should be devoted to a description and justification of the proposed project, including details of the methods to be used. It should also include a timeline for the major activities of the proposed project, and should indicate which project personnel will be responsible for which activities.

The project narrative must include:

Project Objectives:

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

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

Project Timetable:

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

Appendix 1: Biographical Sketch.

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

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

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

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

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

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

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

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

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

Appendix 2: Current and Pending Support.

Provide a list of all current and pending support (both Federal and non-Federal) for the Project Director/Principal Investigator(s) (PD/PI) and senior/key persons, including subawardees, for ongoing projects and pending applications. For each organization

providing support, show the total award amount for the entire award period (including indirect costs) and the number of person-months per year to be devoted to the project by the senior/key person. **Provide the Current and Pending Support as an appendix to your project narrative. Do not attach a separate file.** The Current and Pending Support Appendix will not count in the project narrative page limitation. Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review. Save the information in a separate file and attach to the “Attach Current and Pending Support” field in each profile.

Appendix 3: Bibliography & References Cited.

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

Appendix 4: Facilities & Other Resources.

This information is used to assess the capability of the organizational resources, including subawardee resources, available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. In order to reduce the number of files attached to your application, **please provide the Facility and Other Resource information as an appendix to your project narrative. This appendix will not count in the project narrative page limitation.**

Appendix 5: Equipment.

List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. In order to reduce the number of files attached to your application, **please provide the Equipment information as an appendix to your project narrative. This appendix will not count in the project narrative page limitation.**

Appendix 6: Other Attachment.

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

Do not attach any of the requested appendices described above as files for fields 9, 10, 11, and 12, instead follow the above instructions to include the information as

appendices to the project narrative file (these appendices will not count in the project narrative page limitation).

3. RESEARCH AND RELATED BUDGET.

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

Budget Justification (Field K on the form).

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

4. PROJECT/PERFORMANCE SITE LOCATION(S)

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

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

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

5. SF-LLL Disclosure of Lobbying Activities.

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

Summary of Required Forms/Files

Your application must include the following documents:

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

D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.

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

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

E. SUBMISSION DATES AND TIMES.

1. Letter of Intent Due Date.

A Letter of Intent (LOI) is not required.

2. Preapplication Due Date.

Preapplications are **REQUIRED** and must be received by June 5, 2009, not later than 8:00 PM Eastern Time.

3. Formal Applications.

Formal applications submitted in response to this Funding Opportunity Announcement must be received by November 9, 2009, 8:00 p.m. Eastern time, to permit timely consideration of awards in Fiscal Year 2010. **You are encouraged to transmit your application well before the deadline. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

F. INTERGOVERNMENTAL REVIEW.

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

G. FUNDING RESTRICTIONS.

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

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

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

H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS.

1. Where to Submit.

ATTENTION - CHANGE IN SUBMISSION REQUIREMENT EFFECTIVE March 12, 2009

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

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

All applications should be in a single PDF file.

2. Registration Process.

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

Part V - APPLICATION REVIEW INFORMATION

A. CRITERIA.

1. Initial Review Criteria.

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

2. Merit Review Criteria.

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

1. Scientific and/or Technical Merit of the Project;
2. Appropriateness of the Proposed Methods and/or Approach;
3. Competency of the Research Team and Adequacy of Available Resources;
4. Reasonableness and Appropriateness of the Proposed Budget (Justification of the Proposed Budget); and
5. Likelihood of the success of the collaboration between the EPSCoR applicant and the national laboratory partner.

The evaluation will include program policy factors such as the relevance of the proposed research to the terms of the announcement and the agency's programmatic needs. It should be noted that external peer reviewers are selected on the basis of their scientific expertise and the absence of conflict-of-interest issues. Non-federal reviewers may be used, and submission of an application constitutes agreement that this review process is acceptable to the investigator(s) and the submitting institution.

B. REVIEW AND SELECTION PROCESS.

1. Merit Review.

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

2. Selection.

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

3. Discussions and Award.

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

C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES.

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

Part VI - AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES.

1. Notice of Selection.

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

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

2. Notice of Award.

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

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.

1. Administrative Requirements.

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

2. Special Terms and Conditions and National Policy Requirements.

Special Terms and Conditions and National Policy Requirements.

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

Intellectual Property Provisions.

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

C. REPORTING.

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

PART VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS.

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

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

B. AGENCY CONTACT:

GENERAL INQUIRIES ABOUT THIS FOA SHOULD BE DIRECTED TO:

Technical/Scientific Program Contact:

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

PART VIII - OTHER INFORMATION

A. MODIFICATIONS.

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

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE.

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

C. COMMITMENT OF PUBLIC FUNDS.

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

D. PROPRIETARY APPLICATION INFORMATION.

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

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

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

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

E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL.

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

F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM.

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

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

G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER.

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

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

H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES.

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

I. AVAILABILITY OF FUNDS

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