



U.S. DEPARTMENT  
of **ENERGY**

Office of  
Science

Basic Energy Sciences (BES)

## Energy Frontier Research Centers (EFRCs)

Notice of Funding Opportunity (NOFO) Number:

DE-FOA-0003614

NOFO Type: Amendment 000001

Assistance Listings: 81.049

*Amendment 000001 is issued to correct a corrupted file.*

NOFO Issue Date:	February 18, 2026
Submission Deadline for Pre-Applications:	April 1, 2026 at 5:00 PM ET A Pre-Application is required. Pre-Applications must be submitted by an authorized institutional representative.
Pre-Application Response Date:	May 6, 2026 at 11:59 PM ET
Submission Deadline for Applications:	July 1, 2026 11:59 PM ET

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## I. Basic Information

U.S. Department of Energy (DOE)  
Office of Science (SC)

### Executive Summary

The DOE SC program in Basic Energy Sciences (BES) announces a re-competition of the Energy Frontier Research Center (EFRC) program and encourages both new and renewal applications. Applications from multi-disciplinary teams will be required to propose discovery science and use-inspired basic research that address scientific challenges in one or more of the topic areas listed below. The focus of the EFRC program is on fundamental scientific research, therefore applications to this NOFO must not propose applied research and technology development activities.

BES is soliciting applications in two general categories: BES Report Topics and Special Topics. Applications may respond to topics in both categories. Topic areas are open to both new and renewal applications, unless noted below in [Section III](#). Program Description.

In the BES Reports Topics, applicants must address priority research directions (PRD) and opportunities (PRO) identified in one or more of the following reports (see full description for PRO/PRD restrictions):

- [Foundational Science to Accelerate Nuclear Energy Innovation](#)
- [Controlling Subsurface Fractures and Fluid Flow: A Basic Research Agenda](#)
- [Basic Research Needs for Next Generation Electrical Energy Storage](#)
- [Basic Research Needs for Transformative Manufacturing](#)
- [Basic Research Needs for Microelectronics](#)
- [BES Roundtable on Opportunities for Quantum Computing in Chemical and Materials Sciences](#)
- [BES Roundtable on Opportunities for Basic Research for Next-Generation Quantum Systems](#)

In the Special Topics, applicants must address one or more of the following topics (see full description for details):

- [Controlling Quantum Phenomena to Enable Unconventional Computing Paradigms](#)
- [Development and Workflow Integration of AI/ML Models for Materials and Chemistry Discovery Science](#)
- [Emergent Phenomena of Complex Chemical Systems](#)
- [Fundamental Science for Critical Minerals and Materials \(CMM\)](#)

## Funding Details

Expected total available funding	<p>DOE anticipates that, subject to the availability of future year appropriations, a total of \$352 million in current and future fiscal year funds will be used to support awards under this NOFO, of which \$88 million will be available annually.</p> <p>DOE is under no obligation to pay for any costs associated with preparation or submission of applications. DOE reserves the right to fund, in whole or in part, any, all, or none of the applications submitted in response to this NOFO.</p>
Expected number of awards	The exact number of awards will depend on the number of meritorious applications and the availability of appropriated funds.
Expected dollar amount of individual awards	\$3,000,000 to \$4,500,000 per award per year (\$12,000,000 to \$18,000,000 per award for a 4-year period). Average award size is expected to be \$4,000,000 per award per year after the first year of operations.
Expected award project period	Four years
Other Considerations	<p>For renewal applications, notwithstanding the lower limit identified above, DOE may consider limited-term renewal awards to allow for the completion of research projects and orderly closeout of EFRCs that do not merit long-term continued support. Annual funding for such awards could fall below the \$3,000,000 floor.</p> <p>For new applications, recognizing that new centers take some time to ramp up full operations, DOE will likely award less funding in Year 1 of the four-year project period than in subsequent years.</p>

## Key Facts

NOFO Title	Energy Frontier Research Centers (EFRC)
NOFO Number	DE-FOA-0003614
Announcement Type	Amendment 000001
Assistance Listing	81.049
Statutory Authority	The programmatic authorizing statute is: Section 646 of Public Law 95-91, U.S. Department of Energy Organization Act Section 901, et seq. of Public Law 109-58, Energy Policy Act of

	<p>2005 Section 401 of Public Law 115-368, National Quantum Initiative Act Section 303 of Public Law 115-246, Department of Energy Research and Innovation Act Section 10102 of Public Law 117-167, CHIPS and Science Act of 2022</p>
Governing Regulations	<p>Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, codified at 2 CFR 200 U.S. Department of Energy Financial Assistance Rules, codified at 2 CFR 910 U.S. Department of Energy, Office of Science Financial Assistance Program Rule, codified at 10 CFR 605</p>

Key Dates

Key dates are printed on the cover of this NOFO.

Agency Contact Information

Grants.gov Customer Support	<p>800-518-4726 (toll-free) <a href="mailto:support@Grants.gov">support@Grants.gov</a></p>
PAMS Customer Support	<p>855-818-1846 (toll-free) 301-903-9610 <a href="mailto:sc.pams-helpdesk@science.doe.gov">sc.pams-helpdesk@science.doe.gov</a></p>
Program Contact	<p><a href="mailto:EFRC@science.doe.gov">EFRC@science.doe.gov</a> for all inquiries. Applicants are strongly encouraged to inform <a href="mailto:EFRC@science.doe.gov">EFRC@science.doe.gov</a> if teaming arrangements, proposed personnel, or the anticipated title change between submitting the preapplication and when an application is submitted, to ensure that their application is properly linked to their pre-application and that reviewers are properly assigned to the application.</p>

Informational Webinar / Office Hours

SC plans to hold an informational webinar about this NOFO on March 3, 2026 at 2:00-3:00 pm ET. Registration instructions and other details will be posted at [https://science-doe.zoomgov.com/webinar/register/WN\\_hgfnnSixREiqlCc3m7Exvw](https://science-doe.zoomgov.com/webinar/register/WN_hgfnnSixREiqlCc3m7Exvw).

## Recommendation

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

## II. Eligibility

### A. Eligible Applicants

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

Federally affiliated<sup>1</sup> entities must adhere to the eligibility standards below:

#### 1. DOE/NNSA National Laboratories

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

#### 2. Non-DOE/NNSA FFRDCs

Non-DOE/NNSA FFRDCs are not eligible to submit applications under this NOFO but may be proposed as subrecipients under another organization's application. If recommended for funding as a proposed subrecipient, the value of the proposed subaward may be removed from the prime applicant's award and may be provided through an interagency agreement to the FFRDC's sponsoring Federal Agency. Additional instructions for securing authorization from the cognizant Contracting Officer are found in [Section IX](#) of this NOFO.

#### 3. Other Federal Agencies

Other Federal Agencies are not eligible to submit applications under this NOFO but may be proposed as subrecipients under another organization's application. If recommended for funding as a proposed subrecipient, the value of the proposed subaward may be removed from the prime applicant's award and may be provided through an interagency agreement. Additional instructions for providing statutory authorization are found in [Section IX](#) of this

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<sup>1</sup> Institutions that are not DOE/NNSA National Laboratories, a non-DOE/NNSA FFRDC, or another Federal agency are not Federally affiliated, even if they receive Federal funds or perform work under a Federal award or contract.

NOFO.

Notes for applicants of all types:

This NOFO does not support an applicant's commercial activity. This NOFO seeks to support basic research to advance understanding rather than to address commercial opportunities. Applications that propose research related to current commercial activity or current customer needs may be declined without merit review. All for-profit applicants must include a description, not to exceed 200 words of how their proposed work will advance scientific understanding of a basic and fundamental nature as an appendix to the Project Narrative.

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

Applicants may propose non-domestic entities as subrecipients in their applications. Applicants are advised that successful applications that propose non-domestic entities as subrecipients include a detailed demonstration of how the proposed non-domestic subrecipients possess skills, resources, and abilities that do not exist among potential domestic subrecipients.

#### B. Cost Sharing

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

Cost sharing is not required of DOE/NNSA National Laboratories, other Federal agencies, another Federal agency's FFRDC, or their subcontractors at any tier. DOE/NNSA National Laboratories, other Federal agencies, and another Federal agency's FFRDC may impose cost-sharing requirements on their contractors subject to their policies and procedures.

Cost sharing will not be considered as a factor during merit review or award selection.

#### C. Eligible Individuals

Individuals with the skills, knowledge, and resources necessary to carry out the proposed research as a Principal Investigator (PI) are invited to work with their organizations to develop an application.

SC does not require that individuals be U.S. citizens or permanent residents to be proposed as a PI or in any other role under an award, but all personnel working or proposed to work under an award must have the legal right to perform such work in the jurisdiction where the work will be performed. Individuals at any stage of their career may be proposed as a PI if

they have the skills, knowledge, and resources necessary to carry out the proposed research.

#### D. Limitations on Submissions

Applicant institutions are limited to no more than three pre-applications or applications as the lead institution.

An individual may not be named as the PI (EFRC Director) on more than one pre-application or application. Directors of existing EFRC awards that do not have project end dates in 2026 cannot be named as the EFRC Director on any pre-application or application in response to this NOFO.

There is no limitation to the number of applications on which an institution appears as a subrecipient.

Should DOE receive submissions in excess of the applicable limits, DOE reserves the right, in its sole discretion, to request additional or clarifying information to ascertain the institution's intended submissions. Otherwise, DOE will consider the latest received submissions to be the institution's intended submissions.

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

#### LIMITATIONS ON PI (EFRC DIRECTOR)

The PI (EFRC Director) on a pre-application or application may also be listed as a senior or key personnel on an unlimited number of separate submissions.

EFRC Directors must be in a permanent or indefinitely extensible position at the applicant institution, whether tenured or a staff appointment. Individuals in term-limited appointments, whether as adjunct, visiting faculty, fellows, or similar appointments, are not eligible to be proposed as an EFRC Director. EFRC Directors on university led applications must be in a tenured position. Individuals in part-time permanent positions are eligible to be proposed as an EFRC Director.

Individuals in a joint appointment are eligible to be proposed as an EFRC Director if work will be performed at the applicant institution and if the EFRC Director is a paid employee of the applicant institution. Individuals paid by another institution may not be named as the EFRC Director but may be named in other senior/key roles. A paid employee is one that is on the applicant institution's payroll, receiving wages and benefits in accordance with the applicant institution's normal wage and benefit practices, and whose position is not

governed by any arrangement, agreement, or contract between the applicant institution and another institution.

Individuals receiving more than half of their salary and benefits from a DOE/NNSA National Laboratory may not be named as the EFRC Director in an application submitted by an applicant other than a DOE/NNSA National Laboratory, regardless of any arrangement between the employing Laboratory and the applicant institution.

Awards made under this NOFO are intended to support activities at eligible applicant institutions. If the EFRC Director of an award made under this NOFO were to accept a position at a different institution, SC does not intend to deobligate funds from the resulting award to support a new award to the new institution. SC would be interested in the recipient institution proposing a new EFRC Director.

#### E. Other Eligibility Requirements

The lead institution identified in an application must be the same lead institution identified in the required pre-application. If an application is received for which the lead organization has changed since submission of the pre-application, then the application may be declined without further review. The lead PI (EFRC Director) should not be changed unless unavoidable and only minor edits should be made, if necessary, to the title of the project. If necessary, the applicant may make changes to other senior/key personnel and other participating institutions, although DOE discourages extensive changes.

Additional Eligibility Requirements may be identified in the listing of topics in [Section III](#) of this NOFO.

### III. Program Description

#### A. Purpose

The DOE SC program in Basic Energy Sciences (BES) announces a re-competition of the Energy Frontier Research Center (EFRC) program. The purpose of this program is to bring together world-class teams of scientists from universities, DOE national laboratories, and other institutions to perform energy-relevant basic research with a scope and complexity beyond what is possible in single-investigator or small-group awards. These multi-investigator, multi-disciplinary centers accelerate transformative scientific advances for the most challenging topics in materials sciences, chemical sciences, geosciences, and biosciences. EFRCs integrate experiments, theory, computation, and AI/ML; develop innovative experimental and theoretical tools that illuminate fundamental processes in unprecedented detail; and create an enthusiastic, interdisciplinary, workforce of energy-focused scientists.

#### SUPPLEMENTARY INFORMATION

##### Background

BES's mission is to support fundamental research to understand, predict, and ultimately control matter and energy at the electronic, atomic, and molecular levels in order to provide the foundations for new energy technologies and to support DOE missions in energy, environment, and national security. The portfolio supports work in the natural sciences by emphasizing fundamental research in materials sciences, chemistry, geosciences, and biosciences. BES-supported scientific facilities provide specialized instrumentation and expertise that enable scientists to carry out experiments not possible at individual laboratories.

EFRCs conduct fundamental research to address grand challenges identified in the report [Directing Matter and Energy: Five Challenges for Science and the Imagination](#) (December 2007) and transformative opportunities identified in the report [Challenges at the Frontiers of Matter and Energy: Transformative Opportunities for Discovery Science](#) (November 2015). In addition, EFRCs perform use-inspired basic research to address emerging scientific challenges relevant to the DOE missions and fill scientific knowledge gaps identified by BES and the scientific community in major strategic planning efforts (see BES Reports below).

Further information about BES and the EFRC program can be found here:

- BES: <https://science.osti.gov/bes/>
- EFRC: <https://science.osti.gov/bes/efrc/>

##### Science Topics

BES is soliciting applications in two general categories: BES Report Topics and Special Topics. Applications may respond to topics in both categories. Topic areas are open to both new and renewal applications, unless noted below.

#### BES REPORTS TOPICS

In the BES Reports Topics, applicants must address priority research directions and opportunities identified in one or more of the following reports:

- [Foundational Science to Accelerate Nuclear Energy Innovation](#) – New and renewal applications may respond to all priority research opportunities.
- [Controlling Subsurface Fractures and Fluid Flow: A Basic Research Agenda](#) – New and renewal applications may respond to all priority research directions. Subsurface topics related to critical minerals and materials, hydrocarbons, and/or enhanced geothermal are emphasized.
- [Basic Research Needs for Next Generation Electrical Energy Storage](#) – Renewal applications may respond to all priority research directions. New applications may respond only to PRD 2: *Link complex electronic, electrochemical, and physical phenomena across time and space* and/or PRD 3: *Control and exploit the complex interphase region formed at dynamic interfaces*.
- [Basic Research Needs for Transformative Manufacturing](#) – New and renewal applications may respond only to PRD 1: *Achieve precise, scalable synthesis and processing of atomic-scale building blocks for components and systems*, and/or PRD 5: *Co-design materials, processes, and products to revolutionize manufacturing*.
- [Basic Research Needs for Microelectronics](#) – New and renewal applications may respond to all priority research directions.
- [BES Roundtable on Opportunities for Quantum Computing in Chemical and Materials Sciences](#) – New and renewal applications may respond to all priority research opportunities. Applications that do not provide a clear path to overcome scaling and noise limitations of quantum hardware are unresponsive.
- [BES Roundtable on Opportunities for Basic Research for Next-Generation Quantum Systems](#) – New and renewal applications may respond only to PRO 2: *Enhance creation and control of coherence in quantum systems* and/or PRO 3: *Discover novel approaches for quantum-to-quantum transduction*. Proposals whose primary aim is the discovery, synthesis, or characterization of new quantum materials, without a direct and measurable transformative impact for quantum information science, are unresponsive.

#### SPECIAL TOPICS

In the Special Topics, applicants must address one or more of the following topics:

- a) [Controlling Quantum Phenomena to Enable Unconventional Computing Paradigms](#)
- b) [Development and Workflow Integration of AI/ML Models for Materials and Chemistry Discovery Science](#)
- c) [Emergent Phenomena of Complex Chemical Systems](#)
- d) [Fundamental Science for Critical Minerals and Materials \(CMM\)](#)

### (a) Controlling Quantum Phenomena to Enable Unconventional Computing Paradigms

The rise of quantum computing drives experimental and theoretical sophistication to harness and control quantum phenomena. At the same time the rise of Artificial Intelligence (AI) accelerates the demand for high performance computing platforms. The continued use of the von Neumann computing paradigm creates a bottleneck that limits performance and efficiency of data intensive computing that requires large amount of data movement. Utilizing quantum phenomena offers unique opportunities to overcome these limits while also enabling insights into new principles of efficient, interpretable computation and shed light on how information is structured and communicated within the physical system. This topic encourages fundamental research that leverages controllable quantum phenomena to overcome computational limits to advance new principles of computation and learning.

Applications for this topic must demonstrate and establish novel quantum phenomenon-based computing paradigms suitable for data intensive computing while also advancing a fundamental understanding of computation and learning as a physical process. To achieve this outcome, an interdisciplinary co-design approach is needed to integrate emerging quantum functionalities for information processing, storage, and transmission into unconventional compute frameworks that leverage novel switching mechanisms, interconnects, photonics, optoelectronics, and other fundamental non-linear phenomena to revolutionize high performance data-intensive computing. Supporting research in the areas of quantum learning, dynamical learning, and systems learning to reveal how quantum resources, nonequilibrium reservoirs, and/or complex chemical and materials systems enable computing and learning is also encouraged.

The demonstration of scalability of the proposed approaches needs to be supported by full circuit analyses, system level insights, model devices, and/or computational methods. The targeted scalable computing paradigm should enable new generations of energy-efficient computing systems, outlining a pathway to meet future needs of data intensive computing. Possible paradigms include but are not limited to analog, probabilistic, nonlinear, reservoir, and quantum neural network computing. Applications that utilize controllable quantum phenomena to address one or more of the following areas are especially encouraged: in-memory computing, neuromorphic computing, reservoir computing, Boltzmann computing, optical computing, or continuous-variable quantum computing.

Exclusions: Applications focused on discrete variable quantum computing or phenomena in conventional and/or bulk materials are not responsive to this topic.

#### References:

- [Basic Research Needs for Microelectronics](#) – Topic is related to “PRD 4: Redefine computing by leveraging unexploited physical phenomena” but limits the scope to

controllable quantum phenomena.

- [Basic Research Needs for Quantum Materials](#) – Topic is related to “PRD 3: Drive and manipulate quantum effects (coherence, entanglement) in nanostructures for transformative technologies” but limited to technologies for unconventional computing paradigms with the additional requirements as described above.

#### (b) Development and Workflow Integration of AI/ML Models for Materials and Chemistry Discovery Science

Artificial intelligence and machine learning (AI/ML) are opening the door to a new stage of scientific discovery in materials research, one that goes beyond hypothesis-driven approaches and enables data-driven insights into complex physical and chemical systems. Traditional methods struggle when confronted with the inherent complexity and high dimensionality of strongly correlated, quantum, or multiscale materials. AI/ML can reveal hidden variables, patterns, and mechanisms that are otherwise inaccessible, redefining the relationship between theory, computation, and experiment. However, unlike domains with vast digital resources, materials science faces the challenge of scarcity of data. Experimental data are often costly to acquire, limited in volume, and heterogeneous in form. To achieve transformative progress, AI/ML approaches must be explicitly informed by physics and chemistry. Purely black-box or simulation-only approaches risk overlooking what truly governs material behavior. The most promising approaches are those that embed scientific knowledge into model architecture and close the loop with real experiments, ensuring that predictions are grounded in measurable reality.

This topic invites the development of physics- and chemistry-informed AI/ML methods designed to address a well-defined, BES-relevant scientific challenge using structured, multimodal data (analogous to advances such as AlphaFold). Science cases to be addressed involve the inference of microscopic mechanisms and the prediction of new materials and/or functionalities related to quantum materials and catalytic systems. Applications should address one or more of the Priority Research Directions contained in the following reports: [Basic Research Needs for Quantum Materials](#) or [Basic Research Needs for Catalysis Science](#). Proposed models must be applied and validated on real experimental data, not only simulated inputs, to demonstrate their capacity to accelerate genuine discovery. While the central focus is on scientifically informed models, elements of agentic AI, such as large language model-based problem solvers for connecting data streams, running instruments, or generating analysis code, may be incorporated to strengthen workflows. The emphasis of this topic is on developing new AI/ML approaches that combine theoretical and computational methods with experimental validation, to drastically reduce the time-to-model from experimental data.

Exclusions: AI/ML models focused on instrument operations through hardware controls; AI-assisted/automated experiments; digital twins; AI models that reproduce known laws from existing datasets; AI models focusing on combining existing AI/ML tools; projects focusing only on demonstrating AI-ready datasets (e.g., data processing, compression, and

curation).

#### References:

- Review of ML concepts with examples of applications of ML in chemical and material physics: “[Machine learning and the physical sciences.](#)” G. Carleo, et al., *Rev. Mod. Phys.*, 91, 045002 (2019). DOI: 10.1103/RevModPhys.91.045002
- Examples of deep learning approaches for extracting Hamiltonian parameters in quantum materials from neutron, x-ray, and microscopy data.
  - “[Deep learning Hamiltonians from disordered image data in quantum materials.](#)” S. Basak, et al., *Phys. Rev. B*, 107, 205121 (2023). DOI: 10.1103/PhysRevB.107.205121
  - “[Capturing dynamical correlations using implicit neural representations.](#)” S. R. Chitturi, et al., *Nat. Commun.*, 14, 5852 (2023). DOI: 10.1038/s41467-023-41378-4

#### (c) Emergent Phenomena of Complex Chemical Systems

Emergent phenomena are properties or functions that arise from the collective interactions of simpler components within a system but cannot be fully understood by examining those elements in isolation. This topic invites cross-disciplinary research to create, control, and exploit emergent phenomena and non-equilibrium processes at the molecular level to achieve transformative advances in the performance of energy-relevant chemical systems. The goal is to extend conventional concepts in chemical, biochemical, and geochemical processes — such as well-defined, static structures or minimizing energy conformations — to the complexity of heterogeneity, metastable states, and evolving architectures. This topic seeks to advance molecular level understanding of mechanisms and processes that can translate to knowledge and control of energy relevant processes and chemical phenomena at the system scale.

Three areas of emphasis involve:

- *Elucidating the Role of Dynamics at the Component and Systems Levels.* Specific focus is on understanding how dynamic processes involving energy transduction or chemical processes across space and time impact systems and their components. These processes include: stimuli-responsiveness and allosteric effects across biotic and abiotic systems, external and internal field or gradient formation that provide access to non-equilibrium transient states, and probing the role of energy dissipation and kinetic asymmetry in influencing system function and behavior.
- *Mastering the Science of Component Integration.* How components interact and integrate under far from equilibrium conditions ultimately dictate behavior at the systems level to facilitate chemical processes. Topics of interest in this space include: ensemble effects- involving confinement, strain, and others- and their impacts on systems, how structure and energy transfer at component interfaces affects behavior, and leveraging co-design of individual elements to enhance properties at a systems level.

- *Transforming Chemical Manufacturing with Energy-efficient Systems*. Exploiting systems that operate under mild conditions offer the potential to leverage distributed energy and feedstock resources, generate chemical products near the point of their consumption, and enable modular strategies that can operate intermittently. This topic encourages approaches exploiting electrochemical, light-driven, plasma-mediated, or other non-thermal approaches that could enable the synthesis of chemicals vital to domestic manufacturing. Combining multiple energy inputs (e.g. electrochemical and light-driven) in closely coupled cascade reaction schemes is also within scope.

#### Exclusions:

- Research based on whole biological cells; however, please note that reaction pathways that incorporate biochemical or molecular biohybrid components are within the scope of this topic.
- Projects that predominantly focus on the production of molecular hydrogen.
- Applied research activities with primary focus on device development and optimization, reactor design, process optimization, or scale-up.

#### References:

- 1) The references outline the concepts of system chemistry and emergent phenomena: a) "[Understanding Systems Science: A Visual and Integrative Approach](#)." A. Hieronymi. *Syst. Res.*, 30, 580 (2013). DOI: 10.1002/sres.2215; b) "[Systems Chemistry](#)" G. Ashkenasy, T. M. Hermans, S. Otto, and A. F. Taylor, *Chem. Soc. Rev.*, 46, 2543 (2017). DOI: 10.1039/C7CS00117G.
- 2) Reviews of biohybrid and bioinspired approaches for the design and synthesis of functional complex systems: a) "[Biohybrid Systems for Improved Bioinspired, Energy-Relevant Catalysis](#)." G. Fan, P. Wasuwanich, and A. L. Furst, *ChemBioChem.*, 22, 2353 (2021). DOI: 10.1002/cbic.202100037. b) "[ACS Central Science Virtual Issue on Bioinspired Catalysis](#)." T. R. Ward; *ACS Cent. Sci.*, 5, 1732 (2019). DOI: 10.1021/acscentsci.9b01045.
- 3) The manuscript summarizes the international workshop conclusions focused on stimulated dynamic catalytic processes to shift kinetic boundaries and equilibrium conditions: "[Grand Challenges and Opportunities in Stimulated Dynamic and Resonant Catalysis](#)." M. Monai et al., *ChemRxiv*, (2025) (Accessed September 12, 2025). DOI: 10.26434/chemrxiv-2025-6czq6.
- 4) The report discusses impacts of fundamental chemical research on manufacturing: "[The Importance of Chemical Research to the U.S. Economy](#)." NAS Consensus Report, (2022). DOI: 10.17226/26568.

#### (d) Fundamental Science for Critical Minerals and Materials (CMM)

Despite wide-scale efforts to increase domestic availability of critical minerals and materials (CMMs), the United States remains largely dependent on non-domestic resources for CMM

extraction and processing of these non-fuel elements, materials, minerals, or substances.<sup>1</sup> A contributing factor to this dependence is that fundamental knowledge gaps exist in understanding related to the chemical and physical mechanisms that underpin selective CMM isolation, recovery, and chemical conversion for processing compatibility.<sup>2,3</sup> This topic seeks to identify multidisciplinary research opportunities where innovative molecular mechanisms promote CMM supply chain availability. These advances must consider relevant source variability and/or mechanisms that result in chemical compounds that are compatible with supply chain processing needs (i.e., converts a chemically and/or structurally variable, post-extraction product into a form compatible with processing).

A robust CMM supply chain is characterized by a series of sequential chemical and physical transformations. Each of these stages poses inherent technical and logistical challenges, and distinct potential pathways for CMM loss throughout the supply chain. Proposals are requested in the following areas of emphasis to address these fundamental CMM supply challenges:

- *Controlling the Impacts of Source Heterogeneity in the Initial Isolation of CMM.* The isolation of a CMM involves converting a primary, secondary, or waste feedstock into a concentrate. This transformation is achieved through a combination of chemical and physical operations that can isolate the valuable CMM from unwanted material, increasing CMM concentration. The goal of this emphasis area goes beyond conventional selectivity and separations processes and aims to uncover unexplored reactions, structures, and mechanisms (e.g. catalytic conversions, controlled chemical reactivity, microenvironments) that could more efficiently and universally convert heterogeneous primary, secondary, or waste feedstock source into concentrated CMM.
- *Exploiting the Dynamics of Non-Linear Emergent System Properties for the Selective Capture and Release of CMM.* The CMM concentrate proceeds to the extraction stage whereby the CMM is isolated and further concentrated. Ligands and materials are often used to maximize selectivity during this supply chain step but can also lead to CMM loss because of poor release. The goal of this emphasis area is to understand how emergent, non-linear, and dynamic system behaviors can be leveraged to promote both selectivity and release during the extraction step. For example, proximity effects can create collective behavior at an interface or within a material that could be positively leveraged for CMM extraction and/or release. Unconventional mechanisms of interest include those leveraging non-linear, system perturbations arising from chemical reactivity as well as dynamic molecular properties and structure (chirality, asymmetry, vibrational/rotational degrees of freedom, etc.).
- *Advancing Efficient Chemical Conversions for CMM Supply Chain Processing Compatibility.* Finally, the isolated CMM undergoes refinement in processing plants, whereby additional chemical conversions and separation steps are performed so that

a purified and usable form of the CMM is achieved. Because domestic processing capabilities are limited in handling only certain chemical compositions and/or structures of isolated CMMs, the goal of this emphasis area is to develop biological, chemical, or physical conversion steps to isolate CMM with specific chemical compositions and structures<sup>3</sup> that are appropriate for industry processes. In doing so, existing United States processing plants could be utilized for CMM isolates with the stringent quality specifications that are needed for intended applications.

#### Exclusions:

- Projects that predominately focus on reprocessing or selectivity optimization of chemical ligands, membranes, or sorbents.
- Projects that focus on developing CMM alternatives.
- Applied research activities with a primary focus on device development, engineering challenges, process optimization, reactor design, scale up, or technoeconomic analyses.

#### References:

<sup>1</sup>This report provides DOE's current definition of CMM as well as describes supply chain issues: *DOE Critical Minerals and Materials Program*, "[Report to Congress](#)", January 2025.

<sup>2</sup>This reference outlines challenges related to CMM extraction, recovery, and processing in the US including complexities related to feedstock heterogeneity and post separation recovery needs: "[Meeting Future U.S. Mineral Resource Needs: The Role of the U.S. Geological Survey Mineral Resources Program](#)", Washington, DC: *National Academies of Sciences, Engineering, and Medicine* (2025). DOI: 10.17226/29068.

<sup>3</sup>This resource outlines current mineral by mineral details about events, trends, and issues for each mineral commodity as well current domestic industry structure: "[Mineral Commodity Summaries 2025](#)", *US Department of Interior* (2025). DOI: 10.3133/mcs2025.

Applications submitted in response to this NOFO must propose fundamental scientific research within the BES mission-space that addresses one or more of the Special Topics and/or BES Reports with associated PRDs/PROs listed above.

The focus of the EFRC program is on fundamental scientific research, therefore applications to this NOFO must not propose applied research and technology development activities. In addition, the purpose of the EFRC program does not include construction (including new buildings or additions to existing buildings), and costs for such activities will not be funded by awards resulting from this NOFO.

Management, Impact, and Output

The Principal Investigator (PI) on the application will serve as the EFRC Director. Each EFRC application must identify a single Director; no co-directorship is allowed. The EFRC Director will serve as the primary contact responsible for communications with the DOE Program Manager on behalf of all personnel in the EFRC. Successful EFRCs will fully exploit a “team science” model, working closely together in an integrated, centrally managed, synergistic center to address a well-defined set of scientific challenges with a clear focus and well-defined 4-year scientific research goals. EFRCs must include a scientific advisory committee.

The primary purpose of the EFRCs is to support integrated, multi-disciplinary teams of researchers performing fundamental science; therefore, dissemination of results through peer-reviewed publications is expected.

A variety of methods are used to regularly assess the ongoing progress of the EFRC program. It is anticipated that new EFRCs will undergo a management and operations review during their first year and that all EFRCs will undergo a progress review approximately half-way through the funding cycle. These reviews, most likely virtual, may include external peer reviewers.

## Meetings

The selected awardees will be expected to attend principal investigators meetings anticipated in 2027 and 2029. Applicants should anticipate a need for travel to effectively communicate with other researchers and request appropriate funding in their budgets.

## Multi-Institutional Teams

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

### COLLABORATIVE APPLICATIONS

Collaborative applications (in which each team member submits its own application with a common Project Narrative) will not be accepted under this NOFO.

### SUBAWARDS<sup>2</sup>

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

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

DOE/National Nuclear Security Administration (NNSA) National Laboratories<sup>3</sup>, other Federal agencies, and another Federal agency's FFRDCs<sup>4</sup>, if participating in a team led by another institution, may be proposed as subrecipients. Note that the value of any such proposed subaward may be removed from any such prime award. DOE may make separate awards to Federally affiliated institutions.

#### FUNDING REQUIREMENTS

Applications for multi-institutional teams must ensure that that the lead institution requests more funding from DOE than any other team member for each 12-month budget period. The lead PI of a multi-institutional team must be an employee of the lead institution during the award period.

#### Open Science

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

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

All entities submitting applications to this NOFO must recognize the moral and legal obligations to comply with export controls and policies that limit the transfer of technologies with potential dual use. Applicants are reminded that international activities must comply with nonproliferation, sanction, and other protocols described at <https://www.trade.gov/export-solutions>.

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

All work proposed under this NOFO must be for basic and fundamental research whose results may be published in scholarly literature. Do not submit applications

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<sup>3</sup> The phrase "National Laboratories" is used broadly to encompass DOE/NNSA laboratories and sites capable of performing the work described in this NOFO and capable of receiving funds through the DOE Field Work System.

<sup>4</sup> An authoritative list of all Federally Funded Research and Development Centers (FFRDCs) may be found at <https://www.nsf.gov/statistics/ffrdclist/>

containing restricted data or unclassified controlled nuclear information as defined in the Atomic Energy Act of 1954, as amended, 42 USC 2011, et seq., 10 CFR 1017, 10 CFR 1045.

## B. Program Goals, Objectives, and Priorities

The Office of Science's (SC) mission is to deliver scientific discoveries and major scientific tools to transform our understanding of nature and advance the energy, economic, and national security of the United States (U.S.). SC is the Nation's largest Federal sponsor of basic research in the physical sciences and the lead Federal agency supporting fundamental scientific research for our Nation's energy future.

SC accomplishes its mission and advances national goals by supporting:

- The frontiers of science—exploring nature's mysteries from the study of fundamental subatomic particles, atoms, and molecules that are the building blocks of the materials of our universe and everything in it to the DNA, proteins, and cells that are the building blocks of life. Each of the programs in SC supports research probing the most fundamental disciplinary questions.
- The 21st Century tools of science—providing the nation's researchers with 28 state-of-the-art national scientific user facilities, the most advanced tools of modern science, propelling the U.S. to the forefront of science, technology development, and deployment through innovation.
- Science for energy and the environment—paving the knowledge foundation to spur discoveries and innovations for advancing the Department's mission in energy and environment. SC supports a wide range of funding modalities from single principal investigators to large team-based activities to engage in fundamental research on energy production, conversion, storage, transmission, and use, and on our understanding of the earth systems.

SC is an established leader of the U.S. scientific discovery and innovation enterprise. Over the decades, SC investments and accomplishments in basic research and enabling research capabilities have provided the foundations for new technologies, businesses, and industries, making significant contributions to our nation's economy, national security, and quality of life.

## C. Award Contribution to Goals and Objectives

Awards resulting from this NOFO are intended to increase our understanding of scientific phenomena and address scientific challenges requiring an interdisciplinary team approach.

## D. Performance Goals

You will be expected to demonstrate progress toward increasing knowledge in periodic

progress reports, principal investigators' meetings, a midterm review, and through other mechanisms.

#### E. Substantial Involvement

Not applicable.

#### F. Program Unallowable Costs

You must apply the cost principles of 2 CFR 200, as modified by 2 CFR 910 and 10 CFR 605, to your application and any resulting award.

#### G. Citations to Statute and Regulations

The programmatic authorizing statutes and governing regulations are:  
Section 646 of Public Law 95-91, U.S. Department of Energy Organization Act  
Section 901, et seq. of Public Law 109-58, Energy Policy Act of 2005  
Section 401 of Public Law 115-368, National Quantum Initiative Act  
Section 303 of Public Law 115-246, Department of Energy Research and Innovation Act  
Section 10102 of Public Law 117-167, CHIPS and Science Act of 2022

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for  
Federal Awards, codified at 2 CFR 200

U.S. Department of Energy Financial Assistance Rules, codified at 2 CFR 910

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

#### H. Program History

You can learn about SC's history at <https://science.osti.gov/About/History>. You can read about our achievements at <https://science.osti.gov/Science-Features/Science-Highlights>. You can find information about all of our awards at <https://pamspublic.science.energy.gov/WebPAMSEExternal/interface/awards/AwardSearchExternal.aspx>.

You can learn about the EFRC program history at <https://science.osti.gov/bes/efrc/>.

#### I. Other Information

##### ANTICIPATED AWARD SIZE

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

of appropriated funds.

#### PERIOD OF PERFORMANCE

DOE anticipates making awards with a project period of approximately four years.

Continuation funding (funding for the second and subsequent budget periods) is contingent on: (1) availability of funds appropriated by Congress and future year budget authority; (2) progress towards meeting the objectives of the approved application; (3) submission of required reports; and (4) compliance with the terms and conditions of the award. In addition, BES will use a midterm progress review to assess the productivity and impact of each EFRC and progress toward meeting the stated four-year scientific research goals. Funding for the final year of the four-year project period may be contingent upon satisfactory completion of the review.

#### AWARD BUDGET PERIODS

Awards made under this NOFO should use 12-month budget periods. When preparing the budget request, assume a start date of August 1, 2026.

## IV. Application Contents and Format

### A. Preliminary Submissions

#### 1. Letter of Intent (LOI)

Not applicable.

#### 2. Pre-application

##### PRE-APPLICATION DUE DATE

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

##### ENCOURAGE/DISCOURAGE DATE

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

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

Program Manager to select when submitting a pre-application: Robin Hayes.  
All questions about the NOFO must be submitted to [EFRC@science.doe.gov](mailto:EFRC@science.doe.gov).

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

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

The pre-application must begin with a title page that will not count toward the pre-application page limitation. Include, at the top of the first page, the following information:

Title of Pre-application (EFRC Name)

Principal Investigator Name (EFRC Director), Job Title

Lead Institution

PI Phone Number, PI Email Address

NOFO Number: Include the NOFO Number indicated on the cover of this NOFO

New/Renewal Preapplication<sup>5</sup>

Include a list of all senior/key personnel at the applicant and partner institutions.

List of partner institutions [if applicable]

The science topics(s) specified in [Section III](#), primarily addressed by the proposed work using the table listed below.

Special Topic and/or BES Reports with PRD/PROs Addressed*	
Special Topic, BRN, or Roundtable Report	If a BES Report, PRD/PRO Addressed

\* Include all special topics and/or BES reports with PRD/PROs addressed by the pre-application, listed in priority order, with the primary special topic or BES report with PRD/PRO listed first followed by any secondary ones that are addressed. The applicable special topics, and BES reports with PRD/PROs are listed in Section III of this NOFO; no other should be included here. Each PRD/PRO should be included as a separate line in the Table, therefore if the pre-application addresses multiple PRD/PROs from a given report, that report should be listed multiple times.

Applicants should follow the exact format of the sample table because the tabular information will be compiled across all pre-applications. For purposes of uniformity, an Excel template is provided through Grants.gov (“Related Documents” tab on the NOFO page) and should be used in preparing this table, before converting to PDF for inclusion in the pre-application, as described above. In addition, your science topic Excel spreadsheet should also be included as an “Additional Attachment” to your pre-application in PAMS.

The material listed here defines the required content of a title page. Additional material is not allowed.

This information must be followed by a clear and concise description of the mission, scientific goals, research approaches, and potential scientific impact of the proposed EFRC. This description must include at least the following elements:

- A statement of the scientific mission of the proposed EFRC;
- An explicit set of four-year research goals designed to support that mission;
- At least one scientific hypothesis or question motivating the proposed work;
- A description of the research methods and approaches that will be used to achieve

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<sup>5</sup> All DOE/NNSA National Laboratories and universities with a different lead institution must formally submit their preapplications as “New” in PAMS. However, preapplications from DOE/NNSA National Laboratories or universities that request additional funding and time for an existing EFRC activity should be marked as “Renewal” on this Title Page.

- the goals of the EFRC, and how they promote [open science](#);
- An explanation of how the proposed team, capabilities, and/or approach distinguishes the proposed EFRC from the rest of the community;
  - An assessment of the potential scientific impact of the proposed research and the need for an integrated, multi-disciplinary research team; and
  - A discussion of how the proposed research is responsive to the objectives of this NOFO. Specifically, to be responsive the research must address (1) a priority research opportunity (PRO) or priority research direction (PRD) in one of the listed BES Reports; and/or (2) a special topic listed in [Section III](#) of this NOFO.

The pre-application may not exceed five pages, when printed using standard letter-size (8.5-inch x 11-inch) paper with 1-inch margins (top, bottom, left, and right). The body text font must not be smaller than 11-point. Figures and references, if included, must fit within the five-page limit.

In addition, the pre-application must include a listing of senior/key personnel and a listing of individuals who should not serve as merit reviewers of a subsequent application. Detailed instructions for how to craft the required listings are provided in [Section IX](#) of this NOFO. Note that the listing of individuals who should not serve as merit reviewers is rarely empty because the instructions contain mandatory inclusions requirements. This listing will not count toward the pre-application's page limit. The list of individuals should be included as an "Additional Attachment" to your pre-application in PAMS, not in the appendices of the proposal narrative.

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

#### PRE-APPLICATION REVIEW

SC may evaluate all or some portion of pre-applications to determine their competitiveness within a scientific topic.

Any review will be based on the following criteria:

1. Responsiveness to the objectives of the NOFO as stated in [Section III](#).
2. Scientific and technical merit.
3. Appropriateness of the proposed research approaches.
4. Likelihood of scientific impact.

The decision to encourage or discourage the submission of an application may also be influenced by the following factors:

- Relevance of the proposed activity to SC priorities
- Ensuring an appropriate balance of activities within SC programs
- Performance under current awards

- Ensuring a distribution of supported researchers at various career stages and institutions

Any such review will be conducted by no fewer than three subject matter experts under the direction of Federal program managers chosen for their topical knowledge and breadth of perspective.

Reviews within a topical field will be a comparative review with priority given to scientifically innovative and forward-looking basic research with the highest likelihood of success as an application. The results of the review will be documented.

Applicants with the highest rated pre-applications will be encouraged to submit applications; others will be discouraged from submitting applications.

Feedback about pre-applications will be provided upon request after award selections have been announced.

Topics with comparatively few pre-applications may not make use of such pre-application reviews. The ratio of encourage/discourage results will differ between topical subjects.

SC is committed to ensuring that a sufficient number of applicants will be encouraged to submit applications to foster a competitive merit review of the applications. SC's intent in discouraging submission of certain applications is to save the time and effort of applicants in preparing and submitting applications with a low likelihood of success.

The PI will be automatically notified when the pre-application is encouraged or discouraged. The DOE SC Portfolio Analysis and Management System (PAMS) will send an email to the PI from [PAMS.Autoreply@science.doe.gov](mailto:PAMS.Autoreply@science.doe.gov), and the status of the pre-application will be updated at the PAMS website <https://pamspublic.science.energy.gov/>. Notifications are sent as soon as the decisions to encourage or discourage are finalized.

#### PRE-APPLICATION SUBMISSION

Pre-applications are created in the software system of your choice and must be submitted electronically through the DOE SC Portfolio Analysis and Management System (PAMS) website <https://pamspublic.science.energy.gov/>. You cannot draft or edit a pre-application in PAMS. Do not submit a pre-application through [FedConnect](#) or [Grants.gov](#).

Pre-applications may only be submitted by a user at the PI's institution with the "Submit to DOE" privilege in PAMS. A PI may draft a pre-application but will only be able to submit the pre-application for institutional countersignature.

Applicants are strongly encouraged to inform [EFRC@science.doe.gov](mailto:EFRC@science.doe.gov) if teaming arrangements, proposed personnel, topics, or the anticipated title change between

submitting the pre-application and when an application is submitted, to ensure that their application is properly linked to their pre-application and that reviewers are properly assigned to the application.

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

## B. Application

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

## C. Component Pieces of the Application

### LETTERS OF COLLABORATION OR ACCESS

Letters from collaborators or from institutions providing access to data, models, software, equipment and/or facilities may be appended to your Project Narrative and are not considered part of the Project Narrative's page limit. Please ensure that letters from collaborators or from institutions providing access to data, models, software, equipment and/or facilities only describe the nature of the collaboration or the access to data, models, software, equipment and/or facilities. Letters of recommendation are not allowed in applications under this NOFO.

All letters may be addressed "To Whom It May Concern:".

Letters of collaboration or access should be placed in Appendix 7 (Other Attachments). Letters of collaboration or access must not be written as recommendation or endorsement letters, which are not allowed. Each letter of collaboration or access may contain two and only two sentences and must use the following format:

Dear <Principal Investigator Name>:

If your application entitled, "<Application Name>," is selected for funding under the NOFO Name, it is my intent to collaborate in this research by <Complete Sentence With a Very Short Description of What the Collaborator Offers to Do or Provide>.

Thank you for the opportunity to participate.

Sincerely,

<Collaborator's Name and Signature Block>

### SCIENTIFIC USER FACILITIES

Documentation from any SC scientific user facility (<https://science.osti.gov/User-Facilities>) may be provided with other letters of collaboration or access in Appendix 7.

If the proposed research includes activities at the DIII-D National Fusion Facility, a U.S. DOE Office of Science user facility, then a Record of Discussion from the facility must be included in the submission. The Record of Discussion documents potential resources required by the facility to support the proposed research scope. Information on the Record of Discussion process at DIII-D is available at <https://d3dfusion.org/become-a-user/> under the “Records of Discussion” header. A Record of Discussion form is available for download from that site.

#### 1. SF-424 (R&R)

Complete this form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. The list of certifications and assurances referenced in Field 17 is available on the DOE Financial Assistance Forms Page at <https://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Certifications and Assurances<sup>6</sup>. Applicants are bound by their representations and certifications in SAM.gov.

#### TYPE OF SUBMISSION (FIELD 1)

Select the checkbox for “Application” for an initial submission. Select the checkbox for “Changed/Corrected Application” if submitting an updated version of an application. Do not submit pre-applications via Grants.gov: Do not select the checkbox for “Pre-application.”

#### IDENTIFYING NUMBERS (FIELD 4)

For renewals and supplemental funding, enter the DOE award number in Field 4a. Do not enter any other number in Field 4a. Do not enter anything in Field 4b. If submitting an updated version of an application, you may enter the previous Grants.gov Tracking ID in Field 4c, though this is not required.

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

The Uniform Entity Identifier (UEI) and Employer Identification Number (EIN) fields on the SF-424 (R&R) form are used in PAMS to confirm the identity of the individual or organization submitting an application.

- Enter the UEI as a 12-digit alpha-numerical sequence.
- Enter the EIN as a nine-digit number.

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<sup>6</sup> No separate form or submission is required for the Certifications and Assurances.

- Do not use hyphens or dashes.
- SC does not use the 12-digit EIN format required by some other agencies.
- Applications will not be rejected if an applicant’s system-to-system service uses a 12-digit EIN format or inserts hyphens or dashes in an EIN.

TYPE OF APPLICATION (FIELD 8)

A new application is one in which DOE support for the proposed research is being requested for the first time. A renewal application requests additional funding for a period of time following a current award. If the application requests a significant change in the scope of work, please consult with the Program contact identified in this NOFO to determine if the application should be considered new or a renewal.

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

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

Do not attach pre-applications to Field 20 of the SF-424(R&R) form.

Note that DOE/NNSA National Laboratories or university led EFRCs with a new lead institution may only submit new applications under this NOFO. National Laboratories or university led with a new lead institution requesting additional support and time for an existing activity must include a list of all publications resulting from the existing activity as an Appendix to the Project Narrative.

## 2. Research and Related Other Project Information

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

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

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

For actions that could have adverse impacts to the environment or have any

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

Lastly, based on requirements and guidance in 10 CFR 1021.102 and DOE’s NEPA Implementing Procedures, to find that a proposal is covered by a categorical exclusion (CX), DOE will determine: (1) the proposal fits within one or more classes of actions for which CXs are permissible, (2) there are no extraordinary circumstances related to the proposal that may affect the significance of the environmental effects of the proposal (DOE or an applicant may modify the proposal to avoid reasonably foreseeable adverse significant effects such that the CX would apply), and (3) the proposal has not been segmented to meet the definition of a CX.

The bulk of your application will consist of files attached to the Research and Related Other Project Information form. The files must comply with the following instructions:

PROJECT SUMMARY/ABSTRACT (FIELD 7 ON THE FORM)

The project summary/abstract is a summary of the proposed activity suitable for distribution to the public and sufficient to permit potential reviewers to identify conflicts of interest. It must be a self-contained document. The project summary/abstract must be comprised of:

- The project title (EFRC Name), the PI name (EFRC Director), the PI’s institutional affiliation (lead institution), and any senior/key personnel and their institutional affiliations (may be grouped by institution).
- This information must be followed by a statement of the center’s mission, four-year research goals, methods to be employed, and the potential impact of the center (i.e., benefits, outcomes).
- The description of the proposed research may not exceed one page (excluding Project Title and list of investigators with their institutional affiliation) when printed using standard letter-size (8.5-inch x 11-inch) paper with 1-inch margins (top, bottom, left, and right). The body text font must not be smaller than 11 point. Figures and references, if included, must fit within the one-page limit.

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

- Do not include any proprietary or sensitive business information.

- DOE may use the abstract to prepare public reports about supported research.

DOE TITLE PAGE

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

The application narrative must begin with a title page that will not count toward the Project Narrative page limitation. The title page must include the following items:

- The project title (EFRC Name):
- Lead applicant/Institution [must match the pre-application]:
- Street Address/City/State/ZIP:
- Postal Address:
- Lead PI name (EFRC Director), telephone number, email:
- Administrative Point of Contact name, telephone number, email:
- NOFO Number: Include the NOFO number printed on the cover of this NOFO.
- DOE/SC Program Office: Basic Energy Sciences
- New/Renewal Application<sup>7</sup>:
- DOE Award Number (if Renewal Application):
- PAMS Pre-application tracking number:
- Research topics as identified in [Section III](#) of this NOFO:

Senior/Key Personnel for Lead Institution and All Partner Institutions	
Institution Name	Senior/Key Personnel including the Director
Institution 1 (Lead)	PI A; PI B; PI C; ...
Institution 2	
Institution #	

Summary budget information for lead institution and all partner institutions					
Institution Name	Year 1 Budget (\$)	Year 2 Budget (\$)	Year 3 Budget (\$)	Year 4 Budget (\$)	Total Budget (\$)
Institution 1 (Lead organization)					\$0
Institution 2					\$0
Institution #					\$0
Total Budget	\$0	\$0	\$0	\$0	\$0

\* Include all partner institutions, including the lead institution, whether or not the institution is proposed to receive DOE funds under the award. Include in whole dollars (\$)

<sup>7</sup> All DOE/NNSA National Laboratories and universities with a different lead institution must formally submit their preapplications as “New” in Grants.gov. However, preapplications from DOE/NNSA National Laboratories or universities that request additional funding and time for an existing EFRC activity should be marked as “Renewal” on this Title Page.

the budget request in each year for each institution and totals for all rows and columns.

Applicants should follow the exact format of the summary budget table above because the tabular information will be compiled across all applications. For purposes of uniformity, an Excel template is provided through Grants.gov (“Related Documents” tab on the NOFO page) and should be used in preparing the table, before converting to PDF for inclusion in the application, as described above. This template mirrors the content and formatting of the sample budget table provided above. Attach this excel file to Field 12 of the Research and Related Other Project Information Form.

The material listed here defines the required content of the title page(s). Additional material is not allowed.

Important Instructions to the Sponsored Research Office of Submitting Institutions: SC requires that you create one single machine-readable PDF file that contains the DOE Title Page, Project Narrative, all required appendices, and other attachments. This single PDF file may not be scanned from a printed document and must be attached in Field 8 on the Grants.gov form. This must be a plain PDF file consisting of text, numbers, and images without editable fields, signatures, passwords, redactions, or other advanced features available in some PDF-compatible software. Do not use PDF portfolios or binders. The Project Narrative will be read by SC staff using the full version of Adobe Acrobat: Please ensure that the narrative is readable in Acrobat. If combining multiple files into one Project Narrative, ensure that a PDF portfolio or binder is not created. If creating PDF files using any software other than Adobe Acrobat, please use a “Print to PDF” or equivalent process to ensure that all content is visible in the Project Narrative. Once a Project Narrative has been assembled, please submit the combined Project Narrative file through a “Print to PDF” or equivalent process to ensure that all content is visible in one PDF file that can be viewed in Adobe Acrobat. Do not attach any of the appendices listed in this paragraph separately in any other field in Grants.gov. If you do, these additional attachments will not become part of the application in PAMS.

#### PROJECT NARRATIVE (FIELD 8 ON THE FORM)

The Project Narrative must not exceed a page limit of 35 pages of technical information, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard letter-size (8.5-inch x 11-inch) paper with 1-inch margins (top, bottom, left, and right). The body text font of all main text must not be smaller than 11-point. Merit reviewers will only consider the number of pages specified in the first sentence of this paragraph. This page limit does not apply to the Title Page, Budget Page(s), Budget Justification, biographical material, publications and references, appendices, and an optional table of content, each of which may have its own page limit defined later in this NOFO.

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

The Project Narrative comprises the research plan for the project. It should contain enough background material in the Introduction, including a brief review of the relevant literature and any prior research in this area, to demonstrate sufficient knowledge of the state of the science. A major part of the narrative should be devoted to a description and justification of the proposed project, 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. There should be no ambiguity about which personnel will perform particular parts of the project, and the time at which these activities will take place.

The following organization of the Project Narrative is suggested:

**Project Objectives:** This section should provide a clear, concise statement of the scientific mission of the proposed EFRC and identify a set of integrated four-year research goals designed to support that mission.

**Background/Introduction:** This section should place the proposed EFRC in the context of the scientific field in which it would operate by including the following (as well as any other information deemed important by the applicant):

- Briefly overview the background leading to the application, including any preliminary studies that are relevant, critically evaluate existing knowledge, and identify the scientific knowledge gaps that the proposed research is intended to fill.
- Explain the importance of the proposed research described in the application and its potential scientific impact.
- *For renewal applications*, include a summary of the research progress made by the EFRC since the start of the last project period in 2022 that is relevant to the proposed research (No more than 5 pages). Include an estimate of any remaining funds from the current project period at its anticipated end. For new applications, applicants may provide a comparable description of research performed by the senior/key personnel that is relevant to the proposed research.
- NOTE: DOE strongly encourages renewal applicants to propose innovative research that builds upon and extends the work that has been done under the current EFRC award. DOE will not give preference to renewal applications over new applications in the award selection process.

**Proposed Research and Methods:** This section should provide detailed information about the proposed scientific research for the EFRC and the methods to be employed. It should present a tightly integrated research program aimed at achieving the four-year scientific goals. Applicants may determine the detailed content and organization of this section, but are encouraged to include at least the following information:

- Describe a balanced, comprehensive and unique program of basic research that, as needed, supports experimental, theoretical, computational, and AI/ML efforts. Include a description of the science questions and hypotheses to be addressed, a detailed research plan, any development of new capabilities, an assessment of the potential scientific impact of the research, and an explanation of how the research plan is designed to meet the four-year scientific goals of the EFRC.
- Explain how success of the proposed research requires an integrated, collaborative EFRC approach.
- Describe how the research proposed for the EFRC addresses the (1) special topics; OR (2) the priority research directions or opportunities identified in one or more of the reports listed in Section III of this NOFO.
- Describe the role and intellectual contribution of the EFRC Director and all other senior/key personnel on the application.
- Briefly outline the key resources available to the proposed EFRC with a focus on plans to develop and/or utilize distinctive facilities, capabilities, data, or approaches to address the scientific goals.

**EFRC Management Plan:** This section should provide a clear, substantive overview of the management and organization of the proposed EFRC. Applicants may determine the detailed content and organization of this section, but are encouraged to include at least the following information:

- Describe a strategy and plan for developing and operating the EFRC, establishing and maintaining an integrated research team, guiding the scientific directions, and ensuring that the stated scientific research goals are met.
- Define an organizational structure that clearly delineates the roles and responsibilities of senior/key personnel and describes the means of providing internal and external oversight and guidance for scientific direction of the research program, including but not limited to a scientific advisory committee (required), executive committees, or their equivalent.
- Discuss the relevant experience of the lead organization, the EFRC Director, and other senior/key personnel in the management of scientific teams for projects of comparable complexity and magnitude.
- Define mechanisms by which EFRC leadership will periodically evaluate the center's progress;
- Define mechanisms by which research thrusts (or their equivalent) within the EFRC will be reconfigured in response to key scientific challenges, promising developments, or lack of progress. This includes starting or ending activities;
- Describe processes for oversight of EFRC-generated publications and intellectual

property.

- Describe plans to ensure substantive engagement and training of early career scientists in the EFRC.
- Present a plan to meaningfully engage partner institutions.
- Describe mechanisms for information and data sharing within the EFRC.
- Include a brief (less than one page) overview of coordination of pertinent environmental and safety considerations at each participating institution.
- More information about management of EFRCs can be found in this document: <https://science.osti.gov/-/media/bes/efrc/pdf/history/other/EFRC-Ref---Good-Practices-2017-12-v2.pdf>

#### Buy America Preference for Infrastructure Projects

Awards funded through this NOFO that are for, or contain, construction, alteration, maintenance, or repair of public infrastructure in the United States undertaken by applicable recipient types, require that:

- All iron, steel, and manufactured products used in the infrastructure project are produced in the United States; and
- All construction materials used in the infrastructure project are manufactured in the United States.

Applicants should consult 2 CFR 184 and [Section IX](#) of this NOFO to determine whether the Buy America Preference applies and if they should consider the application of the Buy America Preference in the proposed project’s budget and/or schedule.

Within the first two (2) pages of the Project Narrative, include a short statement on whether the project will involve the construction, alteration, maintenance and/or repair of public infrastructure in the United States. See [Section IX](#) of this NOFO for applicable definitions and other information regarding Infrastructure Projects and the Buy America Preference.

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

SC will apply a “fair-use” concept regarding the use of generative artificial intelligence to support investigators’ efforts in presenting their intellectual work in an application. Guided by the principles expressed by others

(<https://www.acm.org/publications/policies/frequently-asked-questions> and <https://journals.ieeeauthorcenter.ieee.org/become-an-ieee-journal-author/publishing->

[ethics/guidelines-and-policies/submission-and-peer-review-policies/#ai-generated-text](#)), applicants must disclose the use of any artificial intelligence tools in applications, unless the tools were used solely for editing an original draft.

Do not attach any of the requested appendices described below as files for Fields 9, 10, 11, and 12 on the SF-424 Research and Related Other Project Information form in Grants.gov. Follow the below instructions to include the information as appendices in the single Project Narrative file.

Biographical sketches and current and pending support may no longer be provided as attachments to a Project Narrative. These documents must be attached to the Research and Related Senior/Key Person Profile (Expanded) form in an application.

#### APPENDIX 1: BIBLIOGRAPHY & REFERENCES CITED

Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. For research areas where there are routinely more than 10 coauthors of archival publications, you may use an abbreviated style such as the *Physical Review Letters* (PRL) convention for citations (listing only the first author). For example, your paper may be listed as, “A Really Important New Result,” A. Aardvark et. al. (MONGO Collaboration), PRL 999. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. Provide the Bibliography and References Cited information as an appendix to your Project Narrative.

- This appendix will not count in the Project Narrative page limitation.
- Do not attach a bibliography to Field 9 of the Research and Related Other Project Information form.

#### APPENDIX 2: FACILITIES & OTHER RESOURCES

This information is used to assess the capability of the organizational resources, including subrecipient resources, available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other necessary resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. For proposed investigations requiring access to experimental user facilities maintained by institutions other than the applicant, please provide a document from the facility manager confirming that the researchers will have access to the facility. Such documents, provided that they do not become letters of support or recommendation, may be printed on any letterhead and do

not count towards the page limits listed above. Please provide the Facility and Other Resource information as an appendix to your Project Narrative.

- This appendix should be no more than one page per institution when printed using standard letter-size (8.5-inch x 11-inch) paper with 1-inch margins (top, bottom, left, and right). If an institution has six or more senior/key personnel responses should be no more than two pages for that institution. In many cases, responses will be much shorter.
- This appendix will not count in the Project Narrative page limitation.
- Do not attach a facilities and other resources statement to Field 10 of the Research and Related Other Project Information form.

#### APPENDIX 3: EQUIPMENT

List major items of existing equipment planned for use in this project and, if appropriate identify location and pertinent capabilities. Provide the Equipment information as an appendix to your Project Narrative.

- This appendix should be no more than one page per senior/key personnel when printed using standard letter-size (8.5-inch x 11-inch) paper with 1-inch margins (top, bottom, left, and right). In many cases, responses will be much shorter.
- This appendix will not count in the Project Narrative page limitation.
- Do not attach an equipment statement to Field 11 of the Research and Related Other Project Information form.

#### APPENDIX 4: DATA MANAGEMENT AND SHARING PLAN

Provide a Data Management and Sharing Plan (DMSP) as an appendix to the Project Narrative. Subject to the applicable cost principles, applications may request costs necessary for implementing the DMSP.

- This appendix should not exceed a page limit of four pages including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard letter-size (8.5-inch x 11-inch) paper with 1-inch margins (top, bottom, left, and right)
- Do not attach a separate file to Field 12 of the Research and Related Other Project Information form.
- This appendix will not count in the Project Narrative page limitation.

The standard requirements for a DMSP may be found in [Section IX](#) of this NOFO.

In addition, the DMSP must specifically address:

- How FAIR (Findable, Accessible, Interoperable, and Reusable)<sup>8</sup> principles will apply to

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<sup>8</sup> Wilkinson, M. D. et al. The FAIR Guiding Principles for Scientific Data Management and Stewardship. Sci.

the anticipated data sets, software<sup>9</sup>, and models<sup>10</sup> to be developed.

- What developed software, data sets, and models will be made available using an “opensource” licensing arrangement, noting the Software Package Data Exchange (SPDX) identifier(s) (<https://spdx.org/licenses/>) when possible, and where deviation in this arrangement is expected from The Open Source Initiative’s “Open Source Definition” (<https://opensource.org/osd>), a specific justification must be provided.
- How best practices in scientific software development will be applied to any development activities. For more information on best practices, see Better Scientific Software (<https://bssw.io/>).

#### APPENDIX 5: SYNERGISTIC ACTIVITIES (OPTIONAL)

In addition to biographical sketches in the Common Format, each senior/key person may provide a one-page list of no more than five distinct examples of synergistic activities that demonstrate the individual’s professional and scholarly activities that focus on the integration, transfer, and creation of knowledge as related to the application.

- Do not attach a separate file to Field 12 of the Research and Related Other Project Information form.
- This appendix may not exceed a limit of the same number of pages as senior/key personnel when printed using standard letter-size (8.5-inch x 11-inch) paper with 1-inch margins (top, bottom, left, and right). This appendix will not count in the Project Narrative page limitation.

#### APPENDIX 6: TRANSPARENCY OF FOREIGN CONNECTIONS

As an appendix to your Project Narrative, applicants must provide the following information as it relates to the proposed recipient and subrecipient(s). Include a separate disclosure for the applicant and each proposed subrecipient.

Disclosure exceptions by entity type:

- U.S. National Laboratories and domestic government entities are not required to respond to the Transparency of Foreign Connections disclosure.
- Institutions of higher education and non-profit research organizations are only required to respond to items with an asterisk symbol (\*).

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Data

3:160018, 2016. <https://doi.org/10.1038/sdata.2016.18>

<sup>9</sup> Chue Hong, N. P., Katz, D. S., Barker, M., Lamprecht, A-L, Martinez, C., Psomopoulos, F. E., Harrow, J., Castro, L. J., Gruenpeter, M., Martinez, P. A., Honeyman, T., et al. (2022). FAIR Principles for Research Software version 1.0. (FAIR4RS Principles v1.0). Research Data Alliance. DOI: <https://doi.org/10.15497/RDA00068>

<sup>10</sup> Ravi, N., Chaturvedi, P., Huerta, E.A. et al. FAIR principles for AI models with a practical application for accelerated high energy diffraction microscopy. *Sci Data* 9, 657 (2022). <https://doi.org/10.1038/s41597-022-01712-9>

Applicants, regardless of entity type, must provide complete responses for all proposed subrecipients that are not U.S. National Laboratories, domestic government entities, or institutions of higher education.

Disclosure Format: For the convenience of the entity providing the disclosure and certification a template is available at [Transparency of Foreign Connections | Department of Energy](#), however, the entity is not required to use this specific format. If another format is used, the signatory must include the same substantive information, a signature, date, and the certification statement provided at [Transparency of Foreign Connections | Department of Energy](#).

Questions: Contact [rtesinfo@hq.doe.gov](mailto:rtesinfo@hq.doe.gov)

DOE reserves the right to request additional or clarifying information based on the information submitted.

#### APPENDIX 7: OTHER ATTACHMENT

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

- Do not attach a separate file to Field 12 of the Research and Related Other Project Information form. This appendix will not count in the Project Narrative page limitation.

#### APPENDIX 8: “RENEWALS” OF DOE/NNSA NATIONAL LABORATORIES OR EFRCs WITH A NEW LEAD INSTITUTION

If a DOE/NNSA National Laboratory or EFRC with a new lead institution submits an application that seeks to extend the performance of current work, provide a detailed listing of all publications and other products derived from the current work. These applications must be submitted as a new application in PAMS/Grants.gov. Therefore, the publications and other products will not be automatically collected and attached to the application by PAMS. The listing may be provided in any scholarly bibliographic format.

- Do not attach a separate file to Field 12 of the Research and Related Other Project Information form.
- This appendix will not count in the Project Narrative page limitation.

#### REMINDERS REGARDING ALL APPENDICES

- Follow the above instructions to include the information as appendices to the Project

Narrative file.

- These appendices will not count toward the Project Narrative's page limitation.
- Do not attach any appendices to Fields 9, 10, 11, or 12.

### 3. Research and Related Senior/Key Person Profile (Expanded)

Complete the Research and Related Senior/Key Person Profile (Expanded) form in accordance with the instructions on the form and the following instructions. Complete this form before the Budget form to populate data on the Budget form.

You must submit this information for the PI and all senior/key personnel who will be identified by name in Section A of the application's budget. List all other personnel who contribute in a substantive, meaningful way to the scientific development or execution of the project, whether or not salaries are requested. Consultants should be included in this "Senior/Key Person Profile (Expanded)" Form if they meet this definition. List individuals that meet the definition of senior/key regardless of what organization they work for. Senior/key personnel must be aware that they are included in the application and must agree to perform the work if awarded. The form will pre-populate with the PI identified on the SF-424(R&R) form. For each senior/key person:

- Complete the required sections in their profile.
- In the "credential" field, enter the person's PAMS username, if known.
- Attach the person's biographical sketch, following the instructions in [Section IX](#) of this NOFO for crafting a biographical sketch.
- Attach the person's current and pending support, following the instructions in [Section IX](#) of this NOFO for crafting current and pending support.

The Senior/Key Person Profile (Expanded) form will support the PI and up to 99 additional senior/key personnel. On the addition of the 99<sup>th</sup> senior/key person, you will be presented with an option to upload an additional file with the required information for all other senior/key personnel.

#### 4. 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. All fields with a red border are required, but you may enter a zero “0” in any field in which funds are not being requested. 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 NOFO.

Additional information is found in [Section IX](#) of this NOFO.

##### BUDGET JUSTIFICATION (FIELD L ON THE FORM)

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

- Organize the justification by listing items in the same order as presented on the budget.
- Ensure that the narrative does not contradict the budget in dollar amounts and language.
- Explain the line items. If costs are estimated, provide a basis for the estimate. Explain if costs are based on prior experience of similar activities. If a cost is based on the product of two numbers (such as a number of items at a per-item price), ensure that your math is correct.
- If including an inflationary factor for future budget periods, explain the basis for the inflationary factor.

Provide any other information you wish to submit to justify your budget request. Including items in the budget justification is not considered a form of cost-sharing: Provide the details of all personnel (key or other) who will be working on the award, regardless of their source(s) of compensation. Explain their source(s) of compensation if it is not from this award. Include the indirect cost rate agreement as a part of the budget justification.

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

Additional information is found in [Section IX](#) of this NOFO.

#### 5. R&R Subaward Budget Attachment(s) Form

Budgets for Subawards: You must provide a separate R&R budget and budget justification for each subrecipient. Download the R&R Budget Attachment from the R&R SUBAWARD

BUDGET ATTACHMENT(S) FORM and either email it to each subrecipient that is required to submit a separate budget or use the collaborative features of Workspace. After the subrecipient has either emailed its completed budget back to you or completed it within Workspace, attach it to one of the blocks provided on the form. All fields with a red border are required, but you may enter a zero “0” in any field in which funds are not being requested. Use up to 10 letters of the subrecipient’s name (plus.pdf) as the file name (e.g., ucla.pdf or energyres.pdf). Filenames must not exceed 50 characters.

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

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

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

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

The standard subaward budget form allows for a maximum of 10 subawards. If an application contains more than 10 subawards, please present the budgets for the eleventh and subsequent subawards in a tabular format, followed by the appropriate budget justification, as a part of the lead applicant’s budget justification.

## 6. 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.

## 7. Disclosure of Lobbying Activities (SF-LLL)

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying." Applicants that have never paid 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 do not need to submit this form.

## 8. Identification of Merit Reviewer Conflicts

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

## 9. Summary of Required Forms/Files

Your application must include the following items:

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

Name of Document	Format	Attach to
Activities, if applicable		

**D. Information that Must be Submitted After Application but Before Award**

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

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

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

## V. Submission Requirements and Deadlines

### A. Address to Request Application Package

Application forms and instructions are available at Grants.gov. To access these materials, go to <https://www.Grants.gov>, select “Search Grants”, and then enter the Assistance Listings<sup>11</sup> number (81.049) and/or the NOFO number shown on the cover of this NOFO. Select the “Apply” button to access the application package.

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

Detailed instructions for registering in and using Grants.gov are in [Section IX](#) of this NOFO.

### B. Unique Entity Identifier (UEI) and System for Award Management (SAM.gov)

Applicants must complete a series of registrations and enrollments to submit applications in response to this NOFO. Applicants not currently registered with SAM and Grants.gov should allow at least four weeks to complete these requirements. Applicants refers to the legal entity submitting an application: This is usually a corporate entity, not an individual investigator.

You should start the process as soon as possible.

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

Applicants must register with SAM at <https://www.sam.gov/> and obtain a Unique Entity Identifier (UEI). Assistance is available at <https://sam.gov/content/help>.

Applicants must provide a Taxpayer Identification Number (TIN) to complete their registration in [www.SAM.gov](http://www.SAM.gov). An applicant’s TIN is an EIN assigned by the Internal Revenue Service (IRS). You may obtain an EIN from the IRS at <https://www.irs.gov/businesses/small-businesses-self-employed/apply-for-an-employer-identification-number-ein-online>.

If entities have technical difficulties with the UEI validation or SAM registration process, they should utilize the HELP feature on SAM.gov. SAM.gov will work entity service tickets in the order in which they are received and asks that entities not create multiple service tickets for the same request or technical issue.

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<sup>11</sup> The Assistance Listings were formerly known as the Catalog of Federal Domestic Assistance (CFDA).

Do not use a SSN as a TIN.  
Obtain a TIN from the IRS using the website listed above.

## 1. Requirement for System for Award Management

Unless exempt from this requirement under 2 CFR 25.110, the recipient must maintain a current and active registration in SAM.gov. The recipient's registration must always be current and active until the recipient submits all final reports required under this Federal award or receives the final payment, whichever is later. The recipient must review and update its information in SAM.gov at least annually from the date of its initial registration or any subsequent updates to ensure it is current, accurate, and complete. If applicable, this includes identifying the recipient's immediate and highest-level owner and subsidiaries and providing information about the recipient's predecessors that have received a Federal award or contract within the last three years.

## 2. Requirement for Unique Entity Identifier (UEI)

If the recipient is authorized to make subawards under this Federal award, the recipient:

- Must notify potential subrecipients that no entity may receive a subaward until the entity has provided its UEI to the recipient.
- Must not make a subaward to an entity unless the entity has provided its UEI to the recipient. Subrecipients are not required to complete full registration in SAM.gov to obtain a UEI.

## C. Submission Instructions

Pre-applications must be submitted in PAMS at <https://pamspublic.science.energy.gov>. Detailed instructions for pre-applications are in [Section IX](#) of this NOFO.

Applications must be submitted in Grants.gov at <https://www.grants.gov>. Detailed instructions are in [Section IX](#) of this NOFO.

## D. Submission Dates and Times

### 1. Letter of Intent Due Date

Not applicable.

### 2. Pre-application Due Date

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

You are encouraged to submit your pre-application well before the deadline. Pre-

applications may be submitted at any time between the publication of this NOFO and the stated deadline.

### 3. Application Due Date

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

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

### 4. Late Submissions

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

- Failure to begin submission process early enough.
- Failure to provide sufficient time to complete the process.
- Failure to understand the submission process.
- Failure to understand the deadlines for submissions.
- Failure to satisfy prerequisite registrations.
- Unavailability of administrative personnel.

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

Applicants must contact the [EFRC@science.doe.gov](mailto:EFRC@science.doe.gov) to discuss the option of a late submission. Contacting [EFRC@science.doe.gov](mailto:EFRC@science.doe.gov) after the deadline may reduce the likelihood that a request will be granted.

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

If a clerical error by administrative staff results in an incomplete submission of a pre-application or application, an authorized institutional official may appeal to correct its error by emailing [EFRC@science.doe.gov](mailto:EFRC@science.doe.gov) within 48 business hours of the deadline. This grant of leniency is at DOE's sole discretion.

## VI. Application Review Information

### A. Responsiveness Review

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

### B. Review Criteria

Applications will be subjected to scientific merit review (peer review) and will be evaluated against the following six criteria, the first four of which are of equal importance and will be weighted more heavily than the final two:

- Scientific and/or Technical Merit of the Project;
- Appropriateness of the Proposed Method or Approach;
- Competency of Applicant's Personnel and Adequacy of Proposed Resources;
- Strength of the EFRC Management Plan;
- Appropriateness of the Data Management and Sharing Plan; and
- Reasonableness and Appropriateness of the Proposed Budget

Note that external peer reviewers are selected regarding both their scientific expertise and the absence of conflict-of-interest issues. Both Federal and non-Federal reviewers may be used, and submission of an application constitutes agreement that this is acceptable to the investigator(s) and the submitting institution.

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

#### 1. Scientific and/or Technical Merit of the Project

- What is the scientific innovation of the proposed research?
- What is the likelihood of achieving valuable results?
- How might the results of the proposed work impact the direction, progress, and thinking in relevant scientific fields of research?
- How balanced and comprehensive is the basic research plan presented in the application and to what extent does it support experimental, theoretical, computational, and AI/ML efforts?
- How does the proposed work compare with other efforts in its field, both in terms of scientific and/or technical merit and originality?

- For renewal applications only: To what extent has the scientific progress made by the EFRC since the beginning of the last project period in 2022 been commensurate with the level of support? Consider, for example, if and how the scientific results achieved by the center have significantly impacted the field in which the center is operating. How does the proposed work build upon the body of research performed in the prior award period to move the project in potentially impactful research directions?

## 2. Appropriateness of the Proposed Method or Approach

- How logical and feasible are the research approaches?
- How does the proposed research employ innovative concepts or methods?
- How well justified and adequately developed are the conceptual framework, methods, and analyses, and how likely are they to lead to scientifically valid conclusions?
- How well does the applicant recognize significant potential problems and how appropriate are the alternative strategies to address these potential problems?
- What new facilities, capabilities, or approaches have the applicants proposed to develop in order to achieve the stated scientific goals? Comment on the distinctiveness of these advances and the impact that they are likely to have on the EFRC and its field of research.
- How well does the application justify the need for a well-integrated, collaborative EFRC? Consider, for example, whether the stated goals could be achieved by similar researchers working independently, or whether the research challenges to be addressed are those that are likely to be overcome most efficiently by a centrally-managed, well-integrated team.

## 3. Competency of Applicant's Personnel and Adequacy of Proposed Resources

- For renewal applications, what is the past performance and potential of the research team?
- How well qualified is the research team to carry out the proposed research?
- Are the research environment and facilities adequate for performing the research?
- How effectively does the proposed work take advantage of unique facilities and capabilities?

## 4. Strength of the EFRC Management Plan

- How effectively has the applicant presented a comprehensive management plan that includes a strong lead organization, a leadership structure with clear roles and responsibilities, and an empowered EFRC Director?
- How well does the organizational structure align with the proposed research efforts?
- How effective is the plan for information and data sharing within the EFRC?
- How effective is the plan for engagement of early career scientists including but not limited to recruiting, retaining, and mentoring?
- How well does the management plan address the evolution of the EFRC over time in

such areas as research evaluation, adding or modifying research partners and projects, succession planning, sunsetting unproductive or completed research, and the handling of research misconduct.

## 5. Appropriateness of the Data Management and Sharing Plan

- To what extent does the Data Management and Sharing Plan (DMSP) enable data generated during the research project to be publicly shared and preserved in a timely and fair manner that enables validation and replication of results?
- How well do the selected digital repositories enable appropriate sharing of scientific data?
- Does the DMSP adequately justify any limitations of data sharing?
- Are there any weaknesses in the DMSP that should be addressed prior to the start of the project?

## 6. Reasonableness and Appropriateness of the Proposed Budget

- Are the proposed budget and staffing levels adequate to carry out the proposed research?
- Is the budget reasonable and appropriate for the scope?
- Does the budget (or allocation of time) provide for adequate commitment by senior contributors?
- To what extent, if any, do components of the project rely upon efforts by unpaid contributors, and what implications does this reliance have for project sustainability or risk?

## C. Review and Selection Process

### 1. Merit Review

Applications that pass the initial review will be subjected to a formal merit review and will be evaluated based on the criteria codified at 10 CFR 605.10(d) in accordance with the guidance provided in the “Office of Science Merit Review System for Financial Assistance,” which is available at: <https://science.osti.gov/grants/policy-and-guidance/merit-review-system/>.

### 2. Program Policy Factors

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

- Availability of funds
- Relevance of the proposed activity to SC priorities
- Ensuring an appropriate balance of activities within SC programs

- Performance under current awards
- Ensuring a distribution of supported researchers at various career stages and institutions
- Training the next generation of researchers
- Strengthening partnerships between DOE user facilities and the external research community
- Commitment to sharing the results of research

### 3. Selection

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

### 4. Discussions and Award

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

### 5. Risk Review

Pursuant to 2 CFR 200.206, DOE will conduct a review of any potential risks posed by the applicant. Such review of risk will include:

- Quality of the application,
- Reports and findings from audits performed under 2 CFR 200 and/or 2 CFR 910, and
- Systems maintained under 2 CFR 180.

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

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

### 6. Due Diligence for Research, Technology, and Economic Security

All applications submitted to DOE are subject to a due diligence review.

As DOE invests in critical infrastructure and funds critical and emerging technology areas,<sup>12</sup> DOE considers possible threats to United States research, technology, and economic security from undue foreign government influence when evaluating risk. If high risks are identified and cannot be sufficiently mitigated, DOE may elect to not fund the applicant. As part of the research, technology, and economic security risk review, DOE may contact the applicant and/or proposed project team members for additional information to inform the review. This risk review is conducted separately from the technical merit review.

The due diligence review of covered individuals includes but is not limited to the review of resumes and disclosures, as required in the NOFO. DOE reserves the right to ask for disclosures on project participants not defined as covered individuals. The Applicant need not submit any additional information on non-covered individuals, unless requested by DOE. The volume and type of information collected may depend on various factors associated with the award.

Note this review is separate and distinct from DOE Order 142.3B “Unclassified Foreign National Access Program.”

In the event an RTES risk is identified, DOE may require risk mitigation measures, including but not limited to, requiring that an individual or entity not participate in the award. If significant risks are identified and cannot be sufficiently mitigated, DOE may elect to not fund the applicant.

Consistent with section 4(e) of the Presidential Memorandum on United States Government-Supported Research and Development National Security Policy-33 (NSPM-33), DOE may share information regarding the risks identified as part of the RTES due diligence review process or monitoring with other Federal agencies.

DOE’s decision regarding a due diligence review is not appealable.

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<sup>12</sup> See [Critical and Emerging Technologies List Update \(whitehouse.gov\)](https://www.whitehouse.gov).

## VII. Award Notices

### A. Type of Award Instrument

DOE anticipates awarding grants, National Laboratory authorizations, and interagency agreements under this NOFO.

Multi-institutional teams must apply using a prime and subaward model with one application submitted by the lead institution.

### B. Anticipated Timeline for Notice of Selection for Award Negotiation

It is anticipated that the award selection will be completed by the 4<sup>th</sup> quarter of Fiscal Year 2026. It is expected that awards will be made in Fiscal Year 2026.

#### 1. Notice of Selection for Award Negotiation

**Applicants Selected for Award Negotiation Notification:** DOE will notify applicants selected for award negotiation. This notice of selection for award negotiation is not an authorization for the applicant/recipient to begin performance.

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

#### 2. Notice of Award

An Assistance Agreement issued by the DOE Contracting Officer is the authorizing award document. It normally includes, either as an attachment or by reference, the following items: (1) Special Terms and Conditions, (2) Intellectual Property Provisions, (3) Federal Assistance Reporting Checklist and Instructions, (4) Budget Pages, (5) The Research Terms and Conditions, available at [https://www.nsf.gov/pubs/policydocs/rtc/rtcoverlay\\_march17.pdf](https://www.nsf.gov/pubs/policydocs/rtc/rtcoverlay_march17.pdf), and DOE Agency Specific Requirements, available at <https://www.nsf.gov/awards/managing/rtc.jsp>, (6) Applicable program regulations, 10 CFR 605 at <https://www.ecfr.gov/>, (7) DOE Assistance Regulations, 2 CFR 200 as amended by 2 CFR 910 at <https://www.ecfr.gov/>, (8) Application/proposal as approved by DOE, (9) National Policy Assurances to Be Incorporated as Award Terms in effect on date of award at <https://www.nsf.gov/awards/managing/rtc.jsp>.

#### TERMS AND CONDITIONS

Sample DOE Special Terms and Conditions for Use in Most Grants and Cooperative

Agreements are located at <https://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Terms.

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

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

#### NATIONAL POLICY ASSURANCES

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

## VIII. Post-Award Requirements and Administration

### A. Administrative and National Policy Requirements

Additional policy provisions applicable to this NOFO are included in the list below. Awards made under this NOFO are subject to the respective Administrative and National Policy Requirements. The full text of each provision is in [Section IX](#) of this NOFO and may be accessed by navigating to the hyperlinks below:

- [1. Administrative Requirements](#)
- [2. Availability of Funds](#)
- [3. Buy America Preference for Infrastructure Projects](#)
- [4. Conference Spending \(February 2015\)](#)
- [5. Commitment of Public Funds](#)
- [6. Corporate Felony Conviction and Federal Tax Liability Representations \(March 2014\)](#)
- [7. Covered Individual Definition, Designation, and Responsibility](#)
- [8. Digital Persistent Identifier \(PID\)](#)
- [9. Environmental, Safety and Health \(ES&H\) Performance of Work at DOE Facilities](#)
- [10. Evaluation and Administration by Non-Federal Personnel](#)
- [11. Federal, State, and Local Requirements](#)
- [12 Foreign Travel](#)
- [13. Framework for Nucleic Acid Synthesis Screening Requirement](#)
- [14. Funding Restrictions](#)
- [15. Government Right to Reject or Negotiate](#)
- [16. Implementation of Presidential Memorandum Simplifying the Funding of Energy Infrastructure and Critical Mineral and Material Projects](#)
- [17. Intergovernmental Review](#)
- [18. Logos and Wordmarks](#)
- [19. Modifications](#)
- [20. National Environmental Policy Act \(NEPA\) Compliance](#)
- [21. Nondisclosure and Confidentiality Agreements Representations \(June 2015\)](#)
- [22. Notice Regarding Eligible/Ineligible Activities](#)
- [23. Portable Document Format \(PDF\) Generation](#)
- [24. Prohibition on the Use of Funds for Activities Related to FASC-Prohibited Unmanned Aircraft Systems](#)
- [25. Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment](#)
- [26. Prohibition on Discrimination and Harassment](#)
- [27. Prohibition on Entities of Concern](#)
- [28. Prohibition on Lobbying Activity](#)
- [29. Prohibition Related to Malign Foreign Talent Recruitment Programs](#)
- [30. Proprietary Application Information](#)
- [31. Publications](#)
- [32. Registration Requirements](#)
- [33. Research Misconduct](#)

- [34. Research Security Training Requirement](#)
- [35. Rights in Technical Data](#)
- [36. Statement of Federal Stewardship](#)
- [37. Subaward and Executive Reporting](#)
- [38. Title to Subject Inventions](#)
- [39. Trafficking in Persons](#)
- [40. U.S. Competitiveness](#)
- [41. Updating Your Portfolio Analysis and Management System \(PAMS\) Profile](#)

## B. Reporting

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

## C. Reporting of Matters Related to Recipient Integrity and Performance (December 2015)

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

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

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

## D. Interim Conflict of Interest Policy for Financial Assistance

### 1. Policy

The DOE interim Conflict of Interest Policy for Financial Assistance (COI Policy) can be found at <https://www.energy.gov/management/department-energy-interim-conflict-interest-policy-requirements-financial-assistance>. This policy is applicable to all non-Federal

entities applying for, or that receive, DOE funding by means of a financial assistance award (e.g., a grant, cooperative agreement, or technology investment agreement) and, through the implementation of this policy by the entity, to each Investigator who is planning to participate in, or is participating in, the project funded wholly or in part under the DOE financial assistance award. DOE's interim COI Policy establishes standards that provide a reasonable expectation that the design, conduct, and reporting of projects funded wholly or in part under DOE financial assistance awards will be free from bias resulting from financial conflicts of interest or organizational conflicts of interest. The applicant is subject to the requirements of the interim COI Policy and within each application for financial assistance, the applicant must certify that it is, or will be by the time of receiving any financial assistance award, compliant with all requirements in the interim COI Policy. The applicant must flow down the requirements of the interim COI Policy to any subrecipient non-Federal entities.

## 2. SC Implementation

SC requires only the following COI types be included in the financial conflict of interest (FCOI) report: 1) unmanaged or unmanageable financial conflicts of interest; 2) actual, apparent, or potential COI involving any foreign governments, their instrumentalities, or any other entities owned, funded, or otherwise controlled by a foreign government.

## IX. Other Information

### A. Checklist for Avoiding Common Errors

Note that not all items in this checklist will apply to every submission under every NOFO.

Item	Issue
Applications	Submitted in Grants.gov. Do not submit applications in PAMS or FedConnect.
Grants.gov Submission	<p>Ensure that applications are submitted under the correct Opportunity Number.</p> <p>Standard Form (SF)-424 Research and Related (R&amp;R):</p> <ul style="list-style-type: none"> <li>- Attach nothing to Field 20</li> <li>- Attach nothing to Field 21</li> </ul> <p>SF-424 Research and Related Other Project Information form:</p> <ul style="list-style-type: none"> <li>- Attach the abstract to Field 7</li> <li>- Attach the Project Narrative, with all appendices, to Field 8</li> <li>- Attach nothing to Field 9</li> <li>- Attach nothing to Field 10</li> <li>- Attach nothing to Field 11</li> <li>- Attach the list of individuals who should not serve as merit reviewers (Collaborator Template) and EFRC NOFO Budget Template to Field 12</li> <li>- Do not attach other files to Field 12</li> <li>- NOTE: Files attached to Field 12 will not be shared with merit reviewers.</li> </ul>
Letters of Intent (LOIs)	<ul style="list-style-type: none"> <li>- Submit your LOI in PAMS.</li> <li>- Do not submit your LOI in Grants.gov.</li> <li>- Do not attach your LOI to the SF-424 Research and Related (R&amp;R) form.</li> <li>- Follow the instructions in <a href="#">Section IV</a> for the preparation of an LOI.</li> </ul>
Pre-Applications	<ul style="list-style-type: none"> <li>- Submit your pre-application in PAMS.</li> <li>- Do not submit your pre-application in Grants.gov.</li> <li>- Do not attach your pre-application to the</li> </ul>

	SF-424 Research and Related (R&R) form. - Follow the instructions in <a href="#">Section IV</a> for the preparation of a pre-application.
Page Limits	Strictly followed throughout application, including particular attention to: <ul style="list-style-type: none"> <li>- Project Narrative and appendices</li> <li>- Biographical sketches</li> <li>- Data Management and Sharing Plans (DMSPs)</li> <li>- Letter(s) of Collaboration or Access, if any</li> </ul>
Personally Identifiable Information	None present in the application
Project Narrative	Composed of one PDF file including all appendices (bibliography, facilities, equipment, DMSP)
Project Summary / Abstract	Name of PI, PI's institutional affiliation(s), Co-Investigator(s), Co-Investigator's institutional affiliation(s)
DOE Title Page	Follow instructions closely
Budget	Use current negotiated indirect cost and fringe benefit rates
Budget Justification (attached to budget)	Justify all requested costs
Biographical Sketches	Follow page limits strictly and do not include list of collaborators. Attach the biographical sketch to the Senior/Key Person Profile (Expanded) Form.
Current and Pending Support	Ensure complete listing of all activities, regardless of source of funding. Attach the current and pending support to the Senior/Key Person Profile (Expanded) Form.
List of Individuals who Should not Serve as Merit Reviews	Attach to Field 12 of the SF-424 Research and Related Other Project Information form.
Data Management and Sharing Plans (DMSP)	<ul style="list-style-type: none"> <li>- If referring to an experiment's DMSP, describe the relationship to the proposed research.</li> <li>- Include a DMSP even if no experimental data is expected.</li> </ul>
Institutions capable of being funded through the DOE Field Work System	If National Laboratories and/or DOE sites are permitted to submit under this NOFO: <ul style="list-style-type: none"> <li>- Do not create new institutions in the</li> </ul>

	<p>PAMS website.</p> <ul style="list-style-type: none"> <li>- Submit applications in Grants.gov using the name of the laboratory or site in Field 5 of the SF-424(R&amp;R) application form, not the contractor operating the laboratory or site.</li> </ul> <p>Submissions under this NOFO will be evaluated for technical merit, but any resulting funding, work, or awards will be made under the laboratory or site’s contract with DOE. No separate financial assistance awards will be made. No administrative provisions of this NOFO will apply to the laboratory or any laboratory subcontractor.</p>
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## B. How-To Guides

The how-to guides provided in this section are intended as general guidance about SC. Not all parts will be applicable to every NOFO, every application, or every institution.

### 1. How to Distinguish Between a New and Renewal Application

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

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

**Renewal Application:** A renewal application is appropriate when funds are requested for an award from the same recipient/applicant institution that has no significant changes in the following items:

- The award’s senior leadership, and
- The fundamental nature of the award.

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

Renewal applications compete for funds with all other peer-reviewed applications and must be developed as fully as though the applicant were applying for the first time. Renewal

applications must be submitted by the same sponsoring institution as that holding the current award for which renewal funding is requested, and the proposed research topic must be logical scientific extensions of the research that has been performed in the current award.

## 2. How Federally Affiliated Organizations May Participate and Be Funded

### VALUE/FUNDING FOR DOE/NNSA NATIONAL LABORATORIES AND NON-DOE/NNSA FFRDCS

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

### RESPONSIBILITY

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

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

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

## 3. How Federally Affiliated Organizations May Apply

### DOE/NNSA NATIONAL LABORATORIES

DOE/NNSA National Laboratories, if eligible either as a prime applicant or a proposed team member on another entity's application, should consult with their relevant site office to determine the appropriate timing of submitting written authorization from their cognizant DOE Contracting Officer. This authorization may not need to be submitted with the

application as part of the Budget Justification for DOE SC National Laboratory Contractor File. However, this authorization must be provided prior to any award being made. [This is not required for the National Energy Technology Laboratory because it is a Government Owned/Government Operated (GOGO) Laboratory.] If a DOE SC National Laboratory Contractor is selected for award, or proposed as a team member, the proposed work will be authorized under the DOE field work authorization system or other appropriate process and performed under the laboratory Contractor's M&O contract, as applicable. The authorization may be addressed "To Whom It May Concern:". The following wording is acceptable for the authorization:

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

(End of acceptable authorization)

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

#### NON-DOE/NNSA FFRDCs

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

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

"Authorization is granted for the \_\_\_\_\_ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory and will not adversely impact execution of the (insert agency) assigned programs at the laboratory. This laboratory is authorized to perform the work proposed in the application submitted under DOE Funding Opportunity Announcement <<Include the NOFO number on the cover

page>> by the following statutory authority (insert statute name, citation, and section).

(End of acceptable authorization)

#### OTHER FEDERAL AGENCIES

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

#### 4. How Consortia May be Used

##### INCORPORATED CONSORTIA

Incorporated consortia are eligible to apply for funding as a prime recipient (lead organization) or subrecipient (team member).

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

##### UNINCORPORATED CONSORTIA

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

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

- Management structure;
- Method of making payments to consortium members;
- Means of ensuring and overseeing members' efforts on the project;
- Provisions for members' cost sharing contributions (though neither required nor considered); and
- Provisions for ownership and rights in intellectual property developed previously or under the agreement.

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

## 5. How to Submit Letters of Intent

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

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

Submit Your Letter of Intent:

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

- To upload the LOI file into PAMS, click the “Attach File” button at the far-right side of the screen. Click the “Browse” (or “Choose File” depending on your browser) button to search for your file. You may enter an optional description of the file you are attaching. Click the “Upload” button to upload the file.
- At the bottom of the screen, click the “Submit to DOE” button to save and submit the LOI to DOE.
- Upon submission, the PI will receive an email from the PAMS system <[PAMS.Autoreply@science.doe.gov](mailto:PAMS.Autoreply@science.doe.gov)> acknowledging receipt of the LOI.
- If this NOFO requires that LOIs be submitted only by an authorized institutional official, the PI (or the PI’s delegate) will only be able to send the LOI to a user at the PI’s institution with the institutional “submit to DOE” privilege. That user will then apply an institutional countersignature to the LOI when it is sent to DOE.

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

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

Do not attach pre-applications to Field 20 of the SF-424(R&R) form or letters of intent to Field 21 of the SF-424(R&R) form. Doing so will render your application unreadable.

## 6. How to Submit a Pre-Application

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

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

### Submit Your Pre-Application:

- Create your pre-application (called a preproposal in PAMS) outside the system and save it as a file with extension .docx, .doc, or .pdf. Make a note of the location of the file on your computer so you can browse for it later from within PAMS.
- Log into PAMS and click the Proposals tab. Click the “View / Respond to Funding Opportunity Announcements” link and find the current announcement in the list. Click the “Actions/Views” link in the Options column next to this announcement to obtain a dropdown menu. Select “Submit Preproposal” from the dropdown.

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

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

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

Do not attach pre-applications to Field 20 of the SF-424(R&R) form or letters of intent to

Field 21 of the SF-424(R&R) form. Doing so will render your application unreadable.

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

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

### ELECTRONIC DELIVERY

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

### HOW TO REGISTER TO APPLY THROUGH GRANTS.GOV

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

Organizations must have an active System for Award Management (SAM) registration which provides a Unique Entity Identifier (UEI), and Grants.gov account to apply for grants. If individual applicants (those submitting on their own behalf) are eligible to apply for this funding opportunity, they need only refer to steps 2 and 3 below.

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

- 1) *Register with SAM:* All organizations applying online through Grants.gov must register with SAM at <https://www.sam.gov>. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. For more detailed instructions for registering with SAM, refer to: <https://www.grants.gov/applicants/applicant-registration/>
- 2) *Create a Grants.gov Account:* The next step is to register an account with Grants.gov. Follow the on-screen instructions provided on the registration page.
- 3) *Add a Profile to a Grants.gov Account:* A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an

individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the UEI (Unique Entity Identifier) for the organization in the UEI field. If you are an individual applicant submitting on your own behalf, you do not need a UEI to add the profile. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/applicants/applicant-registration/add-profile>

4) *EBiz POC Authorized Profile Roles*: After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the Electronic Business Point of Contact (EBiz POC)<sup>13</sup>. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the Authorized Organization Representative (AOR) role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/applicants/applicant-registration/ebiz-poc-authorizes-profile-roles>

5) *Track Role Status*: To track your role request, refer to: <https://www.grants.gov/applicants/applicant-registration/track-profile-role-status>

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

#### HOW TO APPLY TO SC VIA GRANTS.GOV

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each NOFO, you can create individual instances of a workspace.

For an overview of applying on Grants.gov using Workspaces, refer to: <https://www.grants.gov/applicants/workspace-overview/>

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<sup>13</sup> Individuals with the EBiz POC role are commonly found in an Office of Sponsored Research or similar institutional business office. Other than small businesses, a PI would usually not have the EBiz POC role.

- 1) Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
- 2) Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
  - a. Adobe Reader: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace so that they will appear similar to other Standard forms. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.

NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at: <https://www.grants.gov/applicants/adobe-software-compatibility>
  - b. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
  - c. Complete SF-424 Fields First: These forms are designed to fill in common required fields across other forms, such as the applicant's name, address, and SAM UEI. Once it is completed, the information will transfer to the other forms.
- 3) Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package *at least 24-48 hours prior to the close date* to provide you with time to correct any potential technical issues that may disrupt the application submission.
- 4) Track a Workspace: After successfully submitting a workspace package, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the package. The number will be listed on the Confirmation page that is generated after submission.

For additional training resources, including video tutorials, refer to:  
<https://www.grants.gov/applicants/applicant-training>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-

800-518-4726 and email at [support@Grants.gov](mailto:support@Grants.gov). For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for funding.

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

#### TIMELY RECEIPT REQUIREMENTS AND PROOF OF TIMELY SUBMISSION

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

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

Applicants using unreliable internet connections should be aware that the process of completing the Workspace can take some time. Therefore, applicants should allow enough time to prepare and submit the application before the package closing date.

Grants.gov will provide either an error or a successfully received submission message in the form of an email sent to the applicant with the AOR role attempting to submit the application.

If you do not promptly receive an email from Grants.gov with an agency tracking number, indicating receipt of the application by SC, please contact the Grants.gov Helpdesk at 800-518-4726 (toll-free) or [support@Grants.gov](mailto:support@Grants.gov) immediately. SC will have no records of your attempted submission without the second email from Grants.gov.

## 8. How to Prepare an Application

#### APPLICATION PREPARATION

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

[above.](#))

You are required to use the compatible version of Adobe Reader software to complete a [Grants.gov](#) Adobe application package. To ensure you have the [Grants.gov](#) compatible version of Adobe Reader, visit the software compatibility page at <https://www.Grants.gov/web/grants/applicants/adobe-software-compatibility.html>.

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

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

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

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

#### RENEWAL APPLICATIONS

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

#### RESUBMISSION OF APPLICATIONS

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

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

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

#### IMPROPER CONTENTS OF APPLICATIONS

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

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

#### CHANGE OF RECIPIENT INSTITUTION

If a recipient chooses to relinquish an award made under this NOFO to permit the transfer of the award to a new institution, the new institution must apply under the then-available SC "annual" or "open" NOFO.

#### 9. How to Prepare a Biographical Sketch

As part of the application, each covered individual at the applicant and subrecipient level must submit a biographical sketch (“*Biosketch*”). Use [SciENCv \(Science Experts Network Curriculum Vitae\)](#) to produce a DOE/NNSA compliant PDF version of the *Biosketch*. Note that there is no page limitation for the *Biosketch*, though some fields in SciENCv have character limitations for consistency.

Consistent with the instructions in [NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending \(Other\) Support](#)<sup>14</sup> and the DOE/NNSA NOFO-Specific Biosketch Instructions below, the *Biosketch* and *CPS Common Form* must together include a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual’s research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All connections with [malign foreign talent recruitment programs](#) must be identified.

Please note the following:

- With the exception of “covered individual”, which is defined in [Section IX](#), all other definitions of terms used in the *Biosketch* are available at: [NSPM-33 Definitions](#).
- If there is any conflict between [NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending \(Other\) Support](#) and the DOE/NNSA NOFO-Specific Biosketch Instructions below, follow the DOE/NNSA NOFO-Specific Biosketch Instructions.

DOE/NNSA NOFO-Specific Biosketch Instructions	
Persistent Identifier (PID) of the Covered Individual	The PID field is required for all applications sent to SC.
Appointments and Positions Reporting Timeframe	Identify all domestic and foreign professional appointments and positions outside of the primary organization for a period up to three years from the date the applicant submits the application.
Products: Limitation on number provided	List up to 10 products 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

<sup>14</sup> This table supersedes in its entirety, Table 2a and Paragraph 7 of the Disclosure Requirements and Standardization Section of the NSPM-33 Implementation Guidance.

DOE/NNSA NOFO-Specific Biosketch Instructions	
	software systems developed may be provided in addition to or substituted for publications. An abbreviated style such as the Physical Review Letters (PRL) convention for citations (list only the first author) may be used for publications with more than 10 authors.

Biographical sketches must be attached to the Research and Related Senior/Key Person Profile (Expanded) form in an application.

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

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

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

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

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

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

For all identified individuals, provide the following information:

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

- editor, co-investigator, collaborator)
- The year when the individual last was a close associate, co-author, co-editor, co-investigator, or collaborator

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

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

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

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

- Do not add tabs to the spreadsheet
- Do not merge the existing tabs
- Do not remove headers
- Fill out the requested headers on both tabs with the same information
- Ensure that given and family names are presented in the correct columns

## 11. How to Prepare Current and Pending Support

Current and pending (other) support (“*CPS Common Form*”) is used to identify potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support.

As part of the application, each covered individual at the prime applicant and subrecipient level must submit a *CPS Common Form*. Use [SciENCv \(Science Experts Network Curriculum Vitae\)](#) to produce a DOE/NNSA compliant PDF version of the *CPS Common Form*. Note that there is no page limitation for the *CPS Common Form*, though some fields in SciENCv have character limitations for consistency.

Consistent with the instructions in [NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending \(Other\) Support](#)<sup>15</sup> and the DOE/NNSA NOFO-Specific CPS Instructions below, the *CPS Common Form* and *Biosketch Common Form* must together include a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual’s research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All connections with [malign foreign talent recruitment programs](#) must be identified in current and pending support.

Please note the following:

- With the exception of “covered individual”, which is defined in [Section IX](#), all other definitions of terms used in the *CPS Common Form* are available at: [NSPM-33 Definitions](#).
- If there is any conflict between [NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending \(Other\) Support](#) and the DOE/NNSA NOFO-Specific CPS Instructions below, follow the DOE/NNSA NOFO-Specific CPS Instructions.

DOE/NNSA NOFO-Specific CPS Instructions	
Persistent Identifier (PID) of the Covered Individual	The PID field is required.
Reporting Timeframe for Proposals, Projects, and In-Kind Contributions	Disclose only current and pending support, as defined in the “Status of Support” field of the SciENCv Common Form.
Types of Proposals and Active Projects to Disclose	In addition to the guidance listed above, consulting activities must be disclosed under the proposals and active projects section of the form when any of the following scenarios apply: <ul style="list-style-type: none"> <li>• The consulting activity will require the covered individual to perform research as part of the consulting activity;</li> <li>• The consulting activity does not involve performing research, but is related to the covered individual’s research</li> </ul>

<sup>15</sup> This table supersedes in its entirety, Table 2a and Paragraph 7 of the Disclosure Requirements and Standardization Section of the NSPM-33 Implementation Guidance.

DOE/NNSA NOFO-Specific CPS Instructions	
	<p>portfolio and may have the ability to impact funding, alter time or effort commitments, or otherwise impact scientific integrity; or</p> <ul style="list-style-type: none"> <li>The consulting entity has provided a contract that requires the covered individual to conceal or withhold confidential financial or other ties between the covered individual and the entity, irrespective of the duration of the engagement.</li> </ul>
Disclosure Instructions for In-Kind Travel	Follow the disclosure instructions for travel in <u><a href="#">NSPM-33 Implementation Guidance Pre- and Post-award Disclosures Relating to the Biographical Sketch and Current and Pending (Other) Support</a></u> .
Current and Pending (Other) Support Addendum	The Current and Pending (Other) Support Addendum is not required for this NOFO.

Throughout the life of the award, the recipient has an ongoing responsibility to submit: 1) current and pending support disclosure statements and resumes/biosketches for any new covered individuals, and 2) updated disclosures if there are changes to the current and pending support or resume/bisoketch previously submitted to DOE.

Submission of current and pending support constitutes the individual’s certification that they have complied with the [Research Security Training](#) requirement.

## 12. How to Prepare a Data Management and Sharing Plan

Data Management and Sharing Plans (DMSPs) must be provided for the proposed research following DOE and DOE sponsoring office guidelines. If needed, updates to the DMSP, through the course of the R&D, must be provided to DOE for review and approval. In general, a DMSP should address the following requirements:

### 1. Validation and replication of results

The DMSP should describe how scientific data generated in the course of the research project will be publicly shared and preserved in a timely and fair manner that enables validation and replication of results. If data will not be publicly shared and preserved (see "Data sharing limitations"), the DMSP should describe how results could be validated and replicated.

### 2. Timely and fair access

The DMSP should provide a plan for making all scientific data displayed in peer-

reviewed scholarly publications resulting from the proposed research open, machine-readable, and digitally accessible to the public at the time of publication. This includes data that are displayed in charts, figures, images, etc. In addition, the underlying digital scientific data used to generate peer-reviewed scholarly publications should be made freely available and publicly accessible at the time of publication, in accordance with the principles stated above. The published article should indicate how these data can be accessed. The DMSP should also provide a timeline for sharing digital scientific data produced under the DOE funded R&D effort not associated with peer-reviewed scholarly publications.

### 3. Data repository selection

The DMSP should specify the use of digital repositories that align, to the extent practicable, with the National Science and Technology Council document entitled "Desirable Characteristics of Data Repositories for Federally Funded Research," by the Subcommittee on Open Science of the National Science and Technology Council, May 2022.<sup>16</sup> In general, DOE does not endorse or require sharing in any specific repository and encourages researchers to select the repository that is most appropriate for their data type and discipline, though individual sponsoring research offices may provide specific guidance or designate a specific repository.

### 4. Data management and sharing resources

The DMSP should describe the data management and sharing resources that may be available and used in the course of the proposed research. In particular, a DMSP that explicitly or implicitly commit data management and sharing resources at a facility beyond what is conventionally made available to approved users should be accompanied by written approval from that facility. In determining the resources available for data management and sharing at DOE scientific user facilities, researchers should consult the published description of data management resources and practices at that facility and reference it in the DMSP.

### 5. Data sharing limitations

The DMSP must address any limitations of scientific data sharing to facilitate the protection of confidentiality, privacy, business confidential information, and/or security; avoid negative impact on intellectual property rights, innovation, program and operational improvements, and U.S. competitiveness; consider maximizing appropriate sharing through risk-mitigated limited access; preserve the balance between the relative value of long-term preservation and access and the associated cost and administrative burden; and otherwise be consistent with all applicable laws, regulations, and DOE orders and policies. Depending on the DOE funding agreement, a contractor or financial award recipient may have the right to assert

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<sup>16</sup> NSTC Subcommittee on Open Science. Desirable Characteristics of Data Repositories for Federally Funded Research. (2022) DOI: <https://doi.org/10.5479/10088/113528>

copyright to or protect from public release for certain scientific data products. When contractors or award recipients assert copyright of scientific data, the DMSP should address licensing requirements and any limitations for sharing the copyrighted data. When contractors or award recipients assert data protection, the scientific data will not be shared with the public during the data protection period.

To improve the discoverability of and attribution for datasets created and used in the course of research, DOE encourages the citation of publicly available datasets within the reference section of publications, including using the persistent identifiers associated with the dataset, such as a Digital Object Identifier (DOI).

In addition, scientific data made publicly available through the implementation of a DMSP are required to be reported under any applicable reporting requirements to DOE's Office of Scientific and Technical Information (OSTI). A DOI is a type of persistent identifier that may be assigned to a dataset prior to reporting to OSTI, e.g., by the repository hosting the data or by a publisher. When there is a DOI assigned to a dataset, it must be provided within the metadata record submitted to OSTI. In cases where a data record does not already have an associated DOI, OSTI will assign a DOI for the data record.

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

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

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

- Funds requested for personnel (senior, key, and other) must be justified as the product of their effort on the project and their institutional base salary.
- Funds requested for fringe benefits must be calculated as the product of the requested salary and, if present, the negotiated fringe benefit rate contained in an institution's negotiated indirect cost rate agreement.
- Funds requested for indirect costs must be calculated using the correct indirect cost base and the negotiated indirect cost rate.
- If a field is required (indicated with either an asterisk or a differently-colored background) and no funds are being requested, enter a zero "0."
- You are encouraged to include the rate agreement used in preparing a budget as a part of the budget justification.
- Do not prepare a budget justification using the expired DOE form F4260.1.

If you are proposing indirect costs and do not already have an Indirect Cost Rate Agreement with your Cognizant Federal Agency or documentation of rates accepted for estimating purposes by DOE or another Federal agency, it is recommended that you begin preparing an

Indirect Cost Rate Proposal to be submitted, upon request, to the DOE contract specialist/grants management specialist who will evaluate your application if you are selected for award.

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

Institutions of higher education must either include their negotiated Indirect Cost Rate Agreement or a Uniform Resource Locator (URL, commonly referred to as a web link) where their agreement can be found in their budget justifications.

#### BUDGET FIELDS

Section A Senior/Key Person	For each Senior/Key Person, enter the requested information. List personnel, base salary, the number of months that person will be allocated to the project, requested salary, fringe benefits, and the total funds requested for each person. The requested salary must be the product of the base salary and the effort. Include a written narrative in the budget justification that justifies the need for requested personnel. Within the justification, explain the fringe benefit rate used if it is not the standard faculty rate.
Section B Other Personnel	List personnel, the number of months that person will be allocated to the project, requested salary fringe benefits, and the total funds requested for each person. Include a written narrative in the budget justification that fully justifies the need for requested personnel. Within the justification, provide the number of positions being filled in each category of other personnel.
Section C Equipment	For the purpose of this budget, equipment is designated as an item of property that has an acquisition cost of \$10,000 or more and an expected service life of more than one year, unless a different threshold is specified in a negotiated Facilities and Administrative Cost Rate. (Note that this designation applies for proposal budgeting only and differs from the DOE definition of capital equipment.) List each item of equipment separately and justify each in the budget justification section. Do not aggregate items of equipment. Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose office equipment is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research.
Section D	For purposes of this section only, travel to Canada or to Mexico is

Travel	<p>considered domestic travel. In the budget justification, list each trip’s destination, dates, estimated costs including transportation and subsistence, number of staff traveling, the purpose of the travel, and how it relates to the project. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis). To qualify for support, attendance at meetings or conferences must enhance the investigator’s capability to perform the research, plan extensions of it, or disseminate its results. Domestic travel is to be justified separately from foreign travel. Within the budget justification, detail the number of personnel planning to travel and the estimated per-traveler cost for each trip.</p>
Section E Participant/Trainee Support Costs	<p>If applicable, submit training support costs. Educational projects that intend to support trainees (precollege, college, graduate and postgraduate) must list each trainee cost that includes stipend levels and amounts, cost of tuition for each trainee, cost of any travel (provide the same information as needed under the regular travel category), and costs for any related training expenses. Participant costs are those costs associated with conferences, workshops, symposia or institutes and breakout items should indicate the number of participants, cost for each participant, purpose of the conference, dates and places of meetings and any related administrative expenses. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</p>
Section F Other Direct Costs	<ul style="list-style-type: none"> <li>• <b>Materials and Supplies:</b> Enter total funds requested for materials and supplies in the appropriate fields. In the budget justification, indicate general categories such as glassware, and chemicals, including an amount for each category (items not identified under “Equipment”). Categories less than \$1,000 are not required to be itemized. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</li> <li>• <b>Publication Costs:</b> Enter the total publication funds requested. The proposal budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the award. In the budget justification, include supporting information. Indicate the basis for the cost estimate (quotes from vendors or suppliers, past experience of similar items, or some other basis).</li> <li>• <b>Consultant Services:</b> Enter total funds requested for all consultant services. In the budget justification, identify each</li> </ul>

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

## GUIDANCE FOR APPLICATION BUDGETS AND COSTS

All costs requested in a budget must adhere to standard requirements for all Federal awards:

- Costs must be reasonable, using a prudent-person standard. (2 CFR 200.404),
- Costs must be allocable, related to the particular Federal award. (2 CFR 200.405),
- Costs must be allowable under the relevant Federal cost principles. (See 2 CFR 200.420 and following),
- Costs must be consistently treated, whether they are paid for with Federal funds or institutional funds. (2 CFR 200.403(c))

Allowable costs may include, but are not limited to, the following, subject to the applicable cost principles:

- “Buying out” faculty time dedicated to teaching or administrative responsibilities,
- Support for administrative personnel dedicated to the proposed activity,
- Support for professional development, training, mentoring of students and junior researchers,
- Travel to meet with collaborators at other institutions and relevant DOE/NNSA national laboratories, including costs for internships at the national laboratories; or to attend one or more science team, user facility, scientific conference, workshop, or professional society meetings relevant to the proposed research; or for the conduct of off-site research,
- Fringe benefits, which must be paid in accordance with an institution’s negotiated rates agreement, institutional policies, and the individual’s appointment,
- Temporary dependent-care costs incurred during travel,
- Membership costs in relevant professional societies, including both scientific societies and those dedicated to research administration,
- Instrumentation required to conduct proposed research,
- Equipment (items with a useful life of more than 12 months and a per-item acquisition cost of more than \$10,000) required to conduct proposed research,
- Purchase of equipment, modification of equipment, or provision of services necessary to enable work to be carried out by project personnel with a disability,
- Stipends and benefits for students and post-doctoral researchers, recognizing their dual nature as both trainees and employees,
- Participation in standards development relevant to the proposed research, including travel and membership costs,
- Salary support to cover time to participate in outreach for recruitment, internships, and training events, science team meetings, partnership development, or information gathering, and
- Other direct costs, e.g., materials and supplies such as office supplies, desktop or laptop computer, and/or software licenses that are directly necessary to enable the proposed activities.

## 14. How to Register in PAMS

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

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

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

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

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

### CREATE PAMS ACCOUNT:

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

- Click the “No, I have never had an account” link and then the “Create Account” button.
- You will be prompted to enter your name and email address, create a username and password, and select a security question and answer. Once you have done this, click the “Save and Continue” button.
- On the next page, enter the required information (at least one phone number and your mailing address) and any optional information you wish to provide (e.g., FAX number, website, mailstop code, additional email addresses or phone numbers, Division/Department). Click the “Create Account” button.
- Read the user agreement and click the “Accept” button to indicate that you understand your responsibilities and agree to comply with the rules of behavior for PAMS.
- PAMS will take you to the “Having Trouble Logging In?” page. (If you have been an SC merit reviewer or if you have previously submitted an application, you may already be linked to an institution in PAMS. If this happens, you will be taken to the PAMS home page.)

### REGISTER TO YOUR INSTITUTION:

- Click the link labeled “Option 2: I know my institution and I am here to register to the institution.” (Note: If you previously created a PAMS account but did not register to an institution at that time, you must click the Institutions tab and click the “Register to

Institution” link.)

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

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

## 15. How to View Applications in PAMS

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

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

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

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

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

1. Log in to PAMS at <https://pamspublic.science.energy.gov/>.
2. Click the "Proposals" tab and click "Access Previously Submitted Grants.gov Proposal."
3. Enter the following information:
  - Proposal ID: Enter the ten-digit PAMS proposal ID, including the leading zeros (e.g., 00002xxxxx). Do not use the Grants.gov proposal number. Use the PAMS number previously sent to you in the email with subject line, "Receipt of Proposal ...".
  - Email (as entered in Grants.gov application): Enter your email address as it appears on the SF424(R&R) Cover Page.
  - Choose Role: Select the radio button in front of the role corresponding to the SF-424 (R&R) cover page. If your name appears in block 19 of the SF-424 (R&R) cover page as the authorizing representative, select "SRO/BO/AO (Sponsored Research Officer/Business Officer/Administrative Officer)." If your name appears in block 14 of the SF424 R&R cover page as the PI, select "Principal Investigator (PI)." If your name appears in block 5 of the SF424 R&R as the point of contact, select "Other (POC)."
4. Click the "Save and Continue" button. You will be taken to your "My Proposals" page. The Grants.gov proposal will now appear in your list of proposals. Click the "Actions/Views" link in the options column next to this proposal to obtain a dropdown list. Select "Proposal" from the dropdown to see the proposal. Note that the steps above will work only for proposals submitted to the DOE SC since May 2012.

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

1. To register, click the "Create New PAMS Account" link on the website <https://pamspublic.science.energy.gov/>.
2. Click the "No, I have never had an account" link and then the "Create Account" button.
3. You will be prompted to enter your name and email address, create a username and

password, and select a security question and answer. Once you have done this, click the “Save and Continue” button.

4. On the next page, enter the required information (at least one phone number and your mailing address) and any optional information you wish to provide (e.g., FAX number, website, mailstop code, additional email addresses or phone numbers, Division/Department). Click the “Create Account” button.
5. Read the user agreement and click the “Accept” button to indicate that you understand your responsibilities and agree to comply with the rules of behavior for PAMS.
6. You will be taken to the Register to Institution page. Select the link labeled, “Option 1: My institution has submitted a proposal in Grants.gov. I am here to register as an SRO, PI, or POC (Sponsored Research Officer, Principal Investigator, or Point of Contact).”
7. Enter the following information:
  - Proposal ID: Enter the ten-digit PAMS proposal ID, including the leading zeros (e.g., 00002xxxxx). Do not use the Grants.gov proposal number. Use the PAMS number previously sent to you in the email with subject line, “Receipt of Proposal ...”.
  - Email (as entered in Grants.gov proposal): Enter your email address as it appears on the SF424(R&R) Cover Page.
  - Choose Role: Select the radio button in front of the role corresponding to the SF-424 (R&R) cover page. If your name appears in block 19 of the SF-424 (R&R) cover page as the authorizing representative, select “SRO/BO/AO (Sponsored Research Officer/Business Officer/Administrative Officer).” If your name appears in block 14 of the SF424 R&R cover page as the PI, select “Principal Investigator (PI).” If your name appears in block 5 of the SF424 R&R as the point of contact, select “Other (POC).”
8. Click the “Save and Continue” button. You will be taken to your “My Proposals” page. The Grants.gov proposal will now appear in your list of proposals. Click the “Actions/Views” link in the options column next to this proposal to obtain a dropdown list. Select “Proposal” from the dropdown to see the proposal.

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

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

### SYSTEMS TO REGISTER IN

Applicants must register with FedConnect at [www.FedConnect.net](http://www.FedConnect.net). The full, binding

version of assistance agreements will be posted to FedConnect. To create an organization account, your organization's SAM MPIN is required. For more information about the SAM MPIN or other registration requirements, review the FedConnect Ready, Set, Go! Guide at [https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf)

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

#### REGISTERING IN GRANTS.GOV

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

#### WHERE TO SUBMIT AN APPLICATION

You must submit the application through Grants.gov at [www.Grants.gov](http://www.Grants.gov), using either the online webforms or downloaded forms, or a system-to-system service

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

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

#### DOE SC PORTFOLIO ANALYSIS AND MANAGEMENT SYSTEM (PAMS)

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

### C. Administrative and National Policy Requirements

#### 1. Administrative Requirements

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

#### 2. Availability of Funds

Funds are not presently available for this award. The Government's obligation under this

award is contingent upon the availability of appropriated funds from which payment for award purposes can be made. No legal liability on the part of the Government for any payment may arise until funds are made available to the DOE Contracting Officer for this award and until the recipient receives notice of such availability, to be confirmed in writing by the DOE Contracting Officer.

### 3. Buy America Preference for Infrastructure Projects

#### 1. OVERVIEW

Made law via the passage of the Infrastructure Investment and Jobs Act (P.L. 117-58), the Build America, Buy America Act (“BABA”) mandates that all iron, steel, manufactured products, and construction materials used in Federally-funded projects meets certain domestic assembly and domestic content requirements. Applicants are strongly encouraged to read this section carefully, as this requirement may impact project budget and/or timeline; it is crucial that applicants properly understand the requirements of BABA as they scope out their projects.

As is detailed more thoroughly below, BABA applies to any project that is receiving Federal financial assistance where the prime recipient is a State, local, or tribal government, nonprofit organization, or institution of higher education. It does not apply to projects that have a for-profit organization serving as the prime recipient.

#### 2. DEFINITIONS

There are several terms of art that are given specific definitions with respect to the application and execution of BABA. [Full definitions of these terms can be found by following this hyperlink to the relevant section \(2 CFR 184.3\) of the Code of Federal Regulations.](#) Any additional context not present in the Code of Federal Regulations definition for a given term is provided below.

a. *Buy America Preference* (Sometimes also referred to as the Buy America Requirement or Domestic Content Procurement Preference). Note that, despite the use of the word “Preference,” this is very much a mandatory compliance requirement. The statute, implementing regulations, and OMB guidance characterize this requirement as the “Buy America Preference,” and so that terminology is reflected here to ensure consistency with the statute and existing guidance.

b. *Component*

c. *Construction Materials*

d. *Infrastructure Project*

e. *Iron or steel products*

f. *Manufactured Products*

g. *Manufacturer*

- h. *Predominantly of iron or steel or a combination of both*
- i. *Produced in the United States* (Sometimes also referred to as the “Domestic Production requirement”)
- j. [Section 70917\(c\) Materials](#) (i.e., certain materials used in construction that are specifically excluded from being categorized as “construction materials”; as such, the Buy America Preference is not applied to these materials.

Additionally, the following terms are not defined in 2 CFR 184.3, but are important for a proper understanding of BABA and its application:

- k. *Project* – means the construction, alteration, maintenance, or repair of public infrastructure in the United States.
- l. *Infrastructure* – Infrastructure includes, at a minimum: the structures, facilities, and equipment for roads, highways, and bridges; public transportation; dams, ports, harbors, and other maritime facilities; intercity passenger and freight railroads; freight and intermodal facilities; airports; water systems, including drinking water and wastewater systems; electrical transmission facilities and systems; utilities; broadband infrastructure; buildings and real property; and structures, facilities, and equipment that generate, transport, and distribute energy, including electric vehicle (EV) charging.
- m. *Public infrastructure* – The Buy America Preference does not apply to non-public (private) infrastructure. For purposes of compliance with BABA, infrastructure should be considered “public” if it is:
  - (1) publicly owned (owned, operated, funded and managed, in whole or in part, by any unit or authority of a Federal, State, or Local government-including U.S. Territories and Indian Tribes); or
  - (2) privately owned but utilized primarily for a public purpose. Infrastructure should be considered to be “utilized primarily for a public purpose”, and therefore “public”, if it is privately owned but operated on behalf of the public or is a place of public accommodation.

### 3. BUY AMERICA PREFERENCE

#### A. The Buy America Preference

Absent an approved waiver, none of the funds provided under a federal award (i.e., whether paid for with federal share or recipient cost-share) may be used for a project for infrastructure unless all iron, steel, manufactured products, and/or construction materials are “produced in the United States.”

In general, applicants should ask the following questions to determine BABA applicability to their award:

1. Is the recipient a State, local, or tribal government; nonprofit organization, or institution of higher education? (If the prime is a for-profit organization, BABA does

not apply. Otherwise, move on to question 2);

2. Does the project include the construction, alteration, maintenance, and/or repair of infrastructure in the United States? (“Infrastructure” is defined in the BABA statute and regulations, and is quite broad; although the definition provides several specific items that are considered infrastructure, it also includes broad categories such as “buildings and real property,” which casts a wide net. If the project does not include work on infrastructure, then BABA does not apply. Otherwise, move to question 3);

3. Is the infrastructure in question publicly owned or privately owned but utilized primarily for a public purpose? (Anything owned by a public entity is publicly owned, by definition. “privately owned but utilized primarily for a public purpose” generally means privately owned infrastructure that is operated on behalf of the public, or that serves as a place of public accommodation. DOE has the final say on this determination, so applicants who do not think their infrastructure is “privately-owned but utilized primarily for a public purpose” should have justifications prepared supporting their determination).

If the answer to the above questions is “yes,” then BABA applies to your project.

If a determination is made that BABA will apply to a project, recipients must then ensure that all iron, steel, manufactured products, and construction materials used in the project are “produced in the United States.” Standards to satisfy this requirement differ based on the category a given material falls under:

- a. All iron and steel used in the project is produced in the United States—this means all manufacturing processes, from the initial melting stage through the application of coatings, occurred in the United States;
- b. All manufactured products used in the project are produced in the United States—this means the manufactured product was manufactured in the United States; and the cost of the components of the manufactured product that are mined, produced, or manufactured in the United States is greater than 55 percent of the total cost of all components of the manufactured product, unless another standard for determining the minimum amount of domestic content of the manufactured product has been established under applicable law or regulation. (Note: 2 CFR 184.5 provides specific guidance for determining the cost of components for manufactured products); and
- c. All construction materials are manufactured in the United States—this means that all manufacturing processes for the construction material occurred in the United States. (Note: 2 CFR 184.6 provides additional standards that must be satisfied for some specified construction materials in order for those materials to be considered “produced in the United States”).

Recipients are responsible for administering their award in accordance with the terms and conditions, including the Buy America Preference. The recipient must ensure that the Buy

America Preference flows down to all subawards and that the subawardees and subrecipients comply with the Buy America Preference. The Buy America Preference term and condition must be included all sub-awards, contracts, subcontracts, and purchase orders for work performed under the infrastructure project.

## B. Specific Application of the Preference

The Domestic Production requirement only applies to the iron or steel products, manufactured products, and construction materials used for the construction, alteration, maintenance, or repair of public infrastructure in the United States. Only items that are consumed in, incorporated into, or permanently affixed to the infrastructure in the project are required to meet the “produced in the United States” requirements. As such, this requirement does not apply to tools, equipment, and supplies - such as temporary scaffolding - brought into the construction site and removed at or before the completion of the infrastructure project. This is likewise applicable to equipment and furnishings, such as movable chairs, desks, and portable computer equipment, that are used at or within the finished infrastructure project but are not an integral part of the structure or permanently affixed to the infrastructure project.

## C. Section 70917(c) Materials

The BABA Statute at Section 70917(c) provides a list of materials which are specifically excluded from categorization as “construction materials,” and therefore may be used without meeting the relevant “produced in the United States” standard.

Generally referred to as “Section 70917(c) Materials,” these are:

- cement and cementitious materials;
- aggregates such as stone, sand, or gravel; or
- aggregate binding agents or additives as provided in Section 70917(c) of BABA.

Asphalt concrete pavement mixes are typically composed of asphalt cement (a binding agent) and aggregates such as stone, sand, and gravel. Accordingly, asphalt is also excluded from the definition of Construction materials.

[Section 70917\(c\)](#) materials, on their own, are not manufactured products. Further, [Section 70917\(c\)](#) materials should not be considered manufactured products when they are used at or combined proximate to the work site—such as is the case with wet concrete or hot mix asphalt brought to the work site for incorporation. However, certain [Section 70917\(c\)](#) materials (such as stone, sand, and gravel) may be used to produce a manufactured product, such as is precast concrete. Precast concrete is made of components, is processed into a specific shape or form, and is in such state when brought to the work site. Furthermore, wet concrete should not be considered a manufactured product if not dried or set prior to reaching the work site.

Further clarification is provided in 2 CFR 184 on the circumstances under which a determination is made that [Section 70917\(c\)](#) materials should be treated as components of a manufactured product. That determination is based on consideration of: (i) the revised definition of the “manufactured products” at [2 CFR 184.3](#); (ii) a new definition of “[Section 70917\(c\)](#) materials” at [2 CFR 184.3](#); (iii) new instructions at [2 CFR 184.4\(e\)](#) on how and when to categorize articles, materials, and supplies; and (iv) new instructions at [2 CFR 184.4\(f\)](#) on how to apply the Buy America preference by category.

#### 4. CERTIFICATION OF COMPLIANCE

Recipients must request a certification from a product manufacturer that the iron, steel, manufactured product or construction material they are acquiring from the manufacturer were “produced in the United States” (i.e., that they meet the requisite standards outlined at the beginning of Section 3, above). DOE will not provide any sort of “certification template” for this purpose; recipients are responsible for ensuring that a certification contains enough information that it properly validates the BABA compliance of the item(s) listed within the certification.

Although DOE does not require a specific format for the certification, the following elements must be present:

- A listing of all products covered by the certification, including their category (e.g., iron, steel, manufactured product, or construction material);
- A recitation of the relevant “produced in the United States” standard for any categories (iron, steel, manufactured product, or construction material) provided in the above list, to ensure the manufacturer properly understands the standards to be met;
- A clear statement that the products listed meet the relevant “produced in the United States” standard(s);
- A signature from an authorized representative of the manufacturer certifying the contents of the compliance statement; and
- Any other information the recipient deems necessary for the certification to demonstrate compliance with the BABA requirements.

Recipients must also maintain certifications or equivalent documentation for proof of compliance that those articles, materials, and supplies that are consumed in, incorporated into, affixed to, or otherwise used in the infrastructure project, not covered by a waiver or exemption, are produced in the United States. The certification or proof of compliance must be provided by the suppliers or manufacturers of the iron, steel, manufactured products and construction materials and flow up from all subawardees, contractors and vendors to the recipient. Recipients must keep these certifications with the award/project files and be able to produce them upon request from DOE, auditors or Office of Inspector General.

#### 5. WAIVERS

When necessary, recipients may apply for, and DOE may grant, a waiver from the Buy America Preference. In general, DOE will not review or consider waiver requests from applicants. Waiver requests are subject to review by DOE and the Office of Management and Budget, as well as a public comment period of no less than 15 calendar days.

Waivers must be based on one of the following justifications:

- a. Public Interest- Applying the Buy America Preference would be inconsistent with the public interest;
- b. Non-Availability- The types of iron, steel, manufactured products, or construction materials are not produced in the United States in sufficient and reasonably available quantities or of a satisfactory quality; or
- c. Unreasonable Cost- The inclusion of iron, steel, manufactured products, or construction materials produced in the United States will increase the cost of the overall project by more than 25 percent.

Additional information on the submission and processing of a waiver request will be provided to applicants whose applications are selected for award negotiations. Alternatively, applicants can find more information about the process on [DOE's Build America, Buy America home page](#).

#### 4. Conference Spending (February 2015)

The recipient shall not expend any funds on a conference not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded that would defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the United States Government would otherwise exceed \$20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

#### 5. Commitment of Public Funds

- (a) A DOE financial assistance award is valid only if it is in writing and is signed, either in writing or electronically, by a DOE Contracting Officer.
- (b) Recipients are free to accept or reject the award. A request to draw down DOE funds constitutes the Recipient's acceptance of the terms and conditions of this Award.

## 6. Corporate Felony Conviction and Federal Tax Liability Representations (March 2014)

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

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

For purposes of these representations the following definitions apply:

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

## 7. Covered Individual Definition, Designation, and Responsibility

For the purposes of this NOFO, a Covered Individual means an individual who (a) contributes in a substantive, meaningful way to the development or execution of the scope of work of a project proposed for funding by DOE, and (b) is designated as a covered individual by DOE.

DOE designates as covered individuals any principal investigator (PI); project director (PD); co-principal investigator (Co-PI); co-project director (Co-PD); project manager; and any individual regardless of title that is functionally performing as a PI, PD, Co-PI, Co-PD, or project manager. Status as a consultant, graduate (master's or PhD) student, or postdoctoral associate does not automatically disqualify a person from being designated as a "covered individual" if they meet the definition in (a) above.

The prime applicant is responsible for assessing the applicability of (a) against each person listed on the application. Further, the prime applicant is responsible for identifying any such individual to DOE for designation as a covered individual, if not already designated by DOE as described above.

Individuals committing no measurable effort or "as-needed" effort are not automatically exempt from being designated as a covered individual. The prime applicant's listing of an individual in the "Senior/Key Person" section of an SF-424(R&R) budget serves as an acknowledgement that DOE designates that person as a covered individual.

DOE may further designate covered individuals during award negotiations or the award period of performance.

## 8. Digital Persistent Identifier (PID)

Individuals that are required to submit Biographical Sketch and/or Current and Pending (Other) Support disclosures must provide a digital persistent identifier (PID) in such disclosures as part of the application. Included PIDs must meet the common/core standards specified in an [ORCID iD](#).

Include this information for each covered individual with the [Current and Pending \(Other\) Support](#) submission as described above and in [Section IX](#).

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

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

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

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

## 10. Evaluation and Administration by Non-Federal Personnel

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

## 11. Federal, State, and Local Requirements

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

## 12 Foreign Travel

If international travel is proposed for your project, please note that your organization must

comply with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. § 40118), commonly referred to as the “Fly America Act,” and implementing regulations at 41 CFR 301-10.131 through 301-10.143. The law and regulations require air transport of people or property to, from, between, or within a country other than the United States, the cost of which is supported under this award, to be performed by or under a cost-sharing arrangement with a United States flag carrier, if service is available.

### 13. Framework for Nucleic Acid Synthesis Screening Requirement

Entities conducting life sciences R&D activities, or technical assistance to support life sciences R&D activities awards issued after October 2024 with synthetic nucleic acids – including but not limited to Deoxyribonucleic acid (DNA) and ribonucleic acid (RNA), whether single- or double- stranded, as well as whole organism genomes (e.g., viruses, bacteria), or the use of any benchtop equipment capable of synthesizing nucleic acids are required to obtain synthetic nucleic acids or devices capable of synthesizing them – from Providers or Manufacturers that attest to implementing 2024 OSTP Framework for Nucleic Acid Synthesis Screening.

The attestation may be provided through: (1) a publicly posted statement (e.g., public website) or (2) directly to the Grants Officer and the prime recipient/subrecipient for subawards by the Provider or Manufacturer. The Provider or Manufacturer must ensure that the attestation is signed by an individual with authority to respond on behalf of the organization.

*Flowdown of requirements to subrecipients.* The prime recipient shall incorporate the substance of this term in its terms and conditions, including this paragraph, in all subawards in support of the award that may involve the procurement of synthetic nucleic acids and benchtop nucleic acid synthesis equipment.

### 14. Funding Restrictions

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

**Cost Principles:** Costs must be allowable, allocable and reasonable in accordance with the applicable Federal cost principles referenced in 2 CFR 200 as modified by 2 CFR 910 (DOE Financial Assistance Regulation).

**Pre-award Costs:** Recipients may charge to an award resulting from this NOFO pre-award costs that were incurred within the 90-day calendar period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 2 CFR 200 as modified by 2 CFR 910 (DOE Financial

Assistance Regulation). Recipients must obtain the prior approval of the DOE Contracting Officer for any pre-award costs that are for periods greater than this 90-day calendar period.

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

#### 15. Government Right to Reject or Negotiate

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

#### 16. Implementation of Presidential Memorandum Simplifying the Funding of Energy Infrastructure and Critical Mineral and Material Projects

Pursuant to this Presidential Memorandum, DOE may share and use within the Government any application information provided by or on behalf of the applicant. Accordingly, in accordance with applicable law and notwithstanding any other provisions herein, by submitting an application or agreeing to a financial assistance arrangement with DOE under this NOFO, the applicant is providing consent for any properly marked trade secret, confidential, proprietary, privileged or otherwise sensitive application information provided by or on behalf of the applicant to be disclosed to the Executive Office of the President and relevant Agencies offering loans, grants, equity, guarantees or other federal funding, for the purposes of the Presidential Memorandum on Simplifying the Funding of Energy Infrastructure and Critical Mineral and Material Project.

#### 17. Intergovernmental Review

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

#### 18. Logos and Wordmarks

DOE created a logo that recipients may use. The logos and best practices may be found at <https://www.energy.gov/management/pf-2023-19-department-energy-awardee-usage-branding-and-logo-guide>. Information about the DOE logo, seal, and wordmark may be found at <https://www.energy.gov/design>. Information about the SC logo may be found at <https://science.osti.gov/About/Resources/Logos>.

#### 19. Modifications

Notices of any modifications to this NOFO will be posted on Grants.gov and the FedConnect

portal. You can receive an email when a modification or a NOFO message is posted by registering with FedConnect as an interested party for this NOFO. It is recommended that you register as soon after release of the NOFO as possible to ensure you receive timely notice of any modifications or other NOFOs. More information is available at [www.FedConnect.net](http://www.FedConnect.net).

## 20. National Environmental Policy Act (NEPA) Compliance

DOE would determine if NEPA applies to the proposal in accordance with Section 2.1 of the DOE NEPA Implementing Procedures [[DOE NEPA Implementing Procedures \(June 2025\)](#)] [Department of Energy](#)], by evaluating the information provided in question 4.a. on the “Research and Related Other Project Information” form. If NEPA applies, DOE would then determine the required level of NEPA review following the procedures described in Section 2.2 of the DOE NEPA Implementing Procedures. If DOE could not apply a categorical exclusion (CX) to the proposed action, DOE would evaluate the significance of the proposed action’s reasonably foreseeable effects consistent with section 3.2 of the DOE NEPA Implementing Procedures:

1. If the proposed action is evaluated in a prior NEPA document by DOE or any other agency, DOE will consider relying on the existing document, or any pertinent part thereof, and supplementing that document as needed;
2. If the proposed action is not likely to have a reasonably foreseeable significant effect on the quality of the human environment, or if the significance of the effects of the proposed action is unknown, DOE will prepare an environmental assessment (EA), as described in chapter 6 of the DOE NEPA Implementing Procedures; or
3. If the proposed action is likely to have a reasonably foreseeable significant effect on the quality of the human environment, DOE will prepare an environmental impact statement (EIS), as described in Chapter 7 of the DOE NEPA Implementing Procedures.

This NEPA process would need to be completed prior to the applicant taking any action on the proposed project that could have adverse environmental effects or that could limit the choice of reasonable alternatives. The process would begin with a request from DOE for an environmental disclosure. If DOE is able to make a CX determination based on that disclosure, that would end the NEPA process. If DOE determines that an EA or EIS is necessary, it would need to be funded by the applicant. DOE has the expectation that the recipient will disclose the potential environmental effects, which would serve to initiate dialogue with DOE as necessary. The inability to satisfy the NEPA requirements after an award would result in cancellation of the award.

## 21. Nondisclosure and Confidentiality Agreements Representations (June 2015)

By submitting an application in response to this NOFO, the Applicant represents that:

- (1) It does not and will not require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.
- (2) It does not and will not use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:
  - a. *“These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.”*
  - b. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.
  - c. Notwithstanding provision listed in paragraph (a), a nondisclosure or confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosures to Congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

## 22. 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.

## 23. Portable Document Format (PDF) Generation

The Project Narrative in an application must be one single PDF file that contains the DOE Title Page, Project Narrative, all required appendices, and other attachments. This single

PDF file may not be scanned from a printed document and must be attached in Field 8 on the Grants.gov form. This must be a plain PDF file consisting of text, numbers, and images. The Project Narrative will be read by SC staff using the full version of Adobe Acrobat: Please ensure that the narrative is readable in Acrobat.

Do not submit files with editable fields, password-protection, encryption, redactions, comments, or any other advanced features in some PDF-compatible software. If a file cannot be opened and searched, an application may be declined.

If combining multiple files into one Project Narrative, ensure that a PDF portfolio or binder is not created.

If creating PDF files using any software other than Adobe Acrobat, please use a “Print to PDF” or equivalent process to ensure that all content is visible in the Project Narrative.

Once a Project Narrative has been assembled, please submit the combined Project Narrative file through a “Print to PDF” or equivalent process to ensure that all content is visible in one PDF file that can be viewed in Adobe Acrobat.

Review your submission to ensure that blank pages are not present.

#### 24. Prohibition on the Use of Funds for Activities Related to FASC-Prohibited Unmanned Aircraft Systems

Pursuant to the prohibition in section 1825 of the American Security Drone Act of 2023 ([Public Law 118-31](#)), on or after December 22, 2025, the following prohibition applies to the use of funds provided through this award:

- 1) Definition - The terms "FASC-prohibited unmanned aircraft system" and "unmanned aircraft system" have the definitions provided in [48 CFR 40.201](#), or successor regulation.
- 2) Prohibition – No Federal funds awarded through this award may be used by a recipient or subrecipient:
  - a) To procure a FASC-prohibited unmanned aircraft system; or
  - b) In connection with the operation of a FASC-prohibited unmanned aircraft system.

#### 25. Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment

As set forth in 2 CFR 200.216, recipients and subrecipients are prohibited from obligating or expending project funds (federal funds and recipient cost share) to procure or obtain; extend or renew a contract to procure or obtain; or enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that use covered

telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Section 889 of Public Law 115-232, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

See Public Law 115-232, Section 889, 2 CFR 200.216, and 2 CFR 200.471 for additional information.

## 26. Prohibition on Discrimination and Harassment

All people conducting, supporting, or participating in scientific research under this award must be able to do so on the basis of their abilities and without any unnecessary barriers. Recipients of awards resulting from this NOFO are prohibited from engaging in discrimination on any basis prohibited by law, including harassment (sexual or non-sexual) as contained in 10 CFR 1040, 1041, and 1042.

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

## 27. Prohibition on Entities of Concern

### PROHIBITION

No Entity of Concern as defined in [Section 10114 of Public Law 117-167 \(42 USC 18912\)](#), may receive any grant, contract, cooperative agreement, or loan of \$10 million or more in Department of Energy funds, including funds made available by the Consolidated Appropriations Act, 2024 ([Public Law 118-42](#)).

In addition, for all awards involving Departmental activities authorized under [Public Law 117-167](#), no Entity of Concern (including an individual that owns or controls, is owned or controlled by, or is under common ownership or control with an Entity of Concern) may receive DOE funds or perform work under any award, subject to certain penalties. See [Section 10114 of Public Law 117-167 \(42 USC 18912\)](#) and [Division D, Title III, Section 310 of Division D of the Consolidated Appropriations Act of 2024 \(Pub. L. No. 118-42\)](#) for additional information.

By submitting an application to this NOFO, the applicant is certifying that neither the applicant nor any of the project participants qualify as Entities of Concern.

#### DEFINITIONS

Entity of Concern is defined in section 10114 of Public Law 117-167 (42 USC 18912), also known as the CHIPS and Science Act, as any entity, including a national, that is—

- (A) identified under section 1237(b) of the Strom Thurmond National Defense Authorization Act for Fiscal Year 1999 (50 U.S.C. 1701 note; Public Law 105-261);
- (B) identified under [section 1260H](#) of the William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021 (10 U.S.C. 113 note; Public Law 116- 283);
- (C) on the [Entity List maintained by the Bureau of Industry and Security of the Department of Commerce](#) and set forth in Supplement No. 4 to part 744 of title 15, Code of Federal Regulations;
- (D) included in the list required by section 9(b)(3) of the Uyghur Human Rights Policy Act of 2020 (Public Law 116-145; 134 Stat. 656); or
- (E) identified by the Secretary, in coordination with the Director of the Office of Intelligence and Counterintelligence and the applicable office that would provide, or is providing, covered support, as posing an unmanageable threat—
  - (i) to the national security of the United States; or
  - (ii) of theft or loss of United States intellectual property.

#### 28. Prohibition on Lobbying Activity

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

#### 29. Prohibition Related to Malign Foreign Talent Recruitment Programs

#### PROHIBITION

Individuals participating in a [Malign Foreign Talent Recruitment Program](#) are prohibited from participating in this award.

Should an award result from this NOFO, the recipient must exercise ongoing due diligence to reasonably ensure that no such individuals participating on the DOE-funded project are participating in a *Malign Foreign Talent Recruitment Program*. Consequences for violations of this prohibition will be determined according to applicable law, regulations, and policy.

Further, the recipient must notify DOE within five (5) business days upon learning that an individual on the project team is or is believed to be participating in a malign foreign talent recruitment program. DOE may modify and add requirements related to this prohibition to the extent required by law.

#### REQUIRED CERTIFICATIONS

- a. Each covered individual must certify that they are not party to a [Malign Foreign Talent Recruitment Program](#).
- b. The applicant and the subrecipients must certify that the covered individuals in their respective employment have been made aware of the Malign Foreign Talent Recruitment Program prohibition and have complied with their certification responsibilities identified in a.

#### NON-DISCRIMINATION

DOE will ensure that the Malign Foreign Talent Recruitment Program Prohibition is carried out in a manner that does not target, stigmatize, or discriminate against individuals on the basis of race, ethnicity, or national origin, consistent with title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.).

#### DEFINITIONS

Malign Foreign Talent Recruitment Program. as defined in P.L. 117-167, Section 10638(4):

- A. any program, position, or activity that includes compensation in the form of cash, in-kind compensation, including research funding, promised future compensation, complimentary foreign travel, things of non de minimis value, honorific titles, career advancement opportunities, or other types of remuneration or consideration directly provided by a foreign country at any level (national, provincial, or local) or their designee, or an entity based in, funded by, or affiliated with a foreign country, whether or not directly sponsored by the foreign country, to the targeted individual,

whether directly or indirectly stated in the arrangement, contract, or other documentation at issue, in exchange for the individual—

- i. engaging in the unauthorized transfer of intellectual property, materials, data products, or other nonpublic information owned by a United States entity or developed with a federal research and development award to the government of a foreign country or an entity based in, funded by, or affiliated with a foreign country regardless of whether that government or entity provided support for the development of the intellectual property, materials, or data products;
- ii. being required to recruit trainees or researchers to enroll in such program, position, or activity;
- iii. establishing a laboratory or company, accepting a faculty position, or undertaking any other employment or appointment in a foreign country or with an entity based in, funded by, or affiliated with a foreign country if such activities are in violation of the standard terms and conditions of a federal research and development award;
- iv. being unable to terminate the foreign talent recruitment program contract or agreement except in extraordinary circumstances;
- v. through funding or effort related to the foreign talent recruitment program, being limited in the capacity to carry out a research and development award or required to engage in work that would result in substantial overlap or duplication with a federal research and development award;
- vi. being required to apply for and successfully receive funding from the sponsoring foreign government's funding agencies with the sponsoring foreign organization as the recipient;
- vii. being required to omit acknowledgment of the recipient institution with which the individual is affiliated, or the federal research agency sponsoring the research and development award, contrary to the institutional policies or standard terms and conditions of the federal research and development award;
- viii. being required to not disclose to the federal research agency or employing institution the participation of such individual in such program, position, or activity; or
- ix. having a conflict of interest or conflict of commitment contrary to the standard terms and conditions of the federal research and development award; and

B. a program that is sponsored by—

- i. a foreign country of concern or an entity based in a foreign country of concern, whether or not directly sponsored by the foreign country of concern;
- ii. an academic institution on the list developed under section 1286(c)(8) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note;<sup>1</sup>Public Law 115–232); or
- iii. a foreign talent recruitment program on the list developed under section 1286(c)(9) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note;<sup>1</sup>Public Law 115–232).

Consistent with applicable law (42 U.S.C. 19232), this provision does not prohibit, unless

such activities are funded, organized, or managed by an academic institution or a foreign talent recruitment program on the lists developed under paragraphs (8) and (9) of section 1286(c) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 4001 note; Public Law 115–232)—

- A. making scholarly presentations and publishing written materials regarding scientific information not otherwise controlled under current law;
- B. participation in international conferences or other international exchanges, research projects or programs that involve open and reciprocal exchange of scientific information, and which are aimed at advancing international scientific understanding and not otherwise controlled under current law;
- C. advising a foreign student enrolled at an institution of higher education or writing a recommendation for such a student, at such student's request; and
- D. other international activities determined appropriate by the federal research agency head or designee.

### 30. Proprietary Application Information

*Department of Energy (DOE) takes very seriously the confidentiality of all applicants and will treat information submitted in applications, as well as the identity of applicants, as confidential to the fullest extent permissible under Federal law. In order for DOE to protect confidential information, the applicant must also treat the information as confidential and properly mark it as described below. DOE will not be able to protect information that the applicant has released publicly or is in the public domain. For additional information on DOE's Freedom of Information Act (FOIA) regulations, see 10 CFR 1004.*

Applicants should not include business sensitive information (e.g., commercial or financial information that is privileged or confidential), trade secrets, proprietary, or otherwise confidential information in their application unless such information is necessary to convey an understanding of the proposed project or to comply with a requirement in the NOFO. Applicants are advised to not include any critically sensitive proprietary detail.

If an application includes trade secrets or information that is commercial or financial, or information that is confidential or privileged, it is furnished to the Government in confidence with the understanding that the information shall be used or disclosed only for evaluation of the application. Such information will be withheld from public disclosure to the extent permitted by law, including the FOIA. Without assuming any liability for inadvertent disclosure, DOE will seek to limit disclosure of such information to its employees and to outside reviewers when necessary for merit review of the application or as otherwise authorized by law. This restriction does not limit the Government's right to use

the information if it is obtained from another source.

Applications and other submissions containing confidential, proprietary, or privileged information must be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the FOIA or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose.

The cover sheet of the Application and other submission must be marked as follows and identify the specific pages containing trade secrets, confidential, proprietary, or privileged information:

Notice of Restriction on Disclosure and Use of Data:

Pages [list applicable pages] of this document may contain trade secrets, confidential, proprietary, or privileged information that is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source. [End of Notice]

The header and footer of every page that contains confidential, proprietary, or privileged information must be marked as follows: “Contains Trade Secrets, Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure.” In addition, each line or paragraph containing proprietary, privileged, or trade secret information must be clearly marked with double brackets or highlighting.

#### IMPORTANT GUIDANCE FOR COMPANY SUBMITTERS:

As per DOE’s FOIA regulations and Department of Justice FOIA guidance, if DOE receives a FOIA request the following general steps will be taken:

1. DOE will review the request to determine whether your company’s information is subject to the request. Only federal records are subject to FOIA requests. Depending on the circumstances, information submitted by an outside entity may be considered “federal records” for purposes of FOIA.
2. If your company information is determined to be a federal record and responsive to a FOIA request, DOE will review what was submitted in order to determine if DOE can make a determination whether the information is legally exempt.
  - a. If DOE determines your information is fully exempt under an exemption and that it will not be released, DOE may not contact you.
  - b. If DOE is unable to determine whether the information is exempt under an exemption or is planning on releasing some or all of your information, DOE will first contact you in order for you to have an opportunity to respond and provide additional justification as to why it may be exempt. DOE will do all

that it can to work with company submitters to be in compliance with the law and maintain positive relations with company submitters.

- c. It is critical if DOE or DOE's contractors who are processing your FOIA contact you that you respond in a timely manner. DOE is under strict deadlines when processing a FOIA request.

### 31. Publications

The recipient is expected to publish scientific results in peer-reviewed journals or otherwise make publicly available the results of the work conducted under any award resulting from this NOFO. Publications and other methods of public communication describing any work based on or developed under an award resulting from this NOFO must contain an acknowledgment of SC support. The format for such acknowledgments is provided at <https://science.osti.gov/funding-opportunities/acknowledgements/>. The author's copy of any peer-reviewed manuscript accepted for publication must be announced to DOE's Office of Scientific and Technical Information (OSTI) and made publicly available in accordance with the instructions contained in the Reporting Requirements Checklist incorporated in all Assistance Agreements. Awards made under this NOFO are subject to DOE's [Public Access Plan](#). Full-text versions of scientific publications must be made publicly accessible at no charge to readers.

### 32. Registration Requirements

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

### 33. Research Misconduct

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

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

<https://science.osti.gov/grants/Policy-and-Guidance/Research-Misconduct>.

#### 34. Research Security Training Requirement

Covered individuals listed on applications are required to certify that they have taken research security training consistent with Section 10634 of the CHIPS and Science Act of 2022. In addition, an applicant who receives an award must maintain sufficient records (records must be retained for the time period noted in [2 CFR 200.334](#) and made available to DOE upon request) of its compliance with this requirement for covered individuals at the applicant/recipient organization and it must extend this requirement to any and all subrecipients.

Include this information for each covered individual with the [Current and Pending Support](#) submission as described above.

#### 35. Rights in Technical Data

Normally, the government has unlimited rights in technical data created under a DOE agreement, including the right to distribute to the public. Delivery or third-party licensing of proprietary software or data developed solely at private expense (“Limited Rights Data”) will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE’s own needs or to ensure the commercialization of technology developed under a DOE agreement.

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

#### 36. Statement of Federal Stewardship

DOE will exercise normal federal stewardship in overseeing the project activities performed under DOE awards. Stewardship activities include but are not limited to conducting site visits; reviewing performance and financial reports; providing assistance and/or temporary intervention in unusual circumstances to correct deficiencies that develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the project objectives have been accomplished.

#### 37. Subaward and Executive Reporting

Additional administrative requirements necessary for DOE grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR 170. (See: [www.eCFR.gov](http://www.eCFR.gov) ). Prime recipients must register with the new Federal Funding and Transparency Act Subaward Reporting System (FSRS) at <https://www.fsrs.gov> and report the required data on their first tier subrecipients. Prime recipients may be required to report the total compensation for their five most highly compensated executives as part of their registration profile in [SAM.gov](http://SAM.gov) and for first-tier subrecipients' five most highly compensated executives as in [FSRS.gov](http://FSRS.gov).

### 38. Title to Subject Inventions

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

- Nonprofit organizations or small business firms: Under the Bayh-Dole Act (35 U.S.C. § 200 et seq.), nonprofit organizations or small business firms as defined by 35 U.S.C. 201 may elect to retain title to their subject inventions.
- All other parties: The federal Non-Nuclear Energy Act of 1974, 42. U.S.C. 5908, provides that the government obtains title to new inventions unless a waiver is granted (see below).
- Patent Waiver: DOE has issued Class Patent Waiver W(C) 2022-03 which allows domestic large businesses providing at least 20% cost share to elect to retain title to their subject inventions. Class Patent Waiver W(C) 2022-03 includes a U.S. Competitiveness provision requiring any products embodying or produced through the use of a subject invention first created or reduced to practice in the performance of work under this NOFO to be substantially manufactured in the United States. A domestic large business is any for-profit entity that does not qualify as a “small business” and is incorporated (or otherwise formed) under the laws of a particular state or territory of the United States and is not owned, controlled, or influenced by a foreign government, agency, firm, corporation, or person. 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 NOFO, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784. For more information, see <https://www.energy.gov/gc/office-assistant-general-counsel-technology-transfer-and-intellectual-property> Nonprofit organizations and small business firms do not need a patent waiver in order to retain title to their subject inventions (see above).
- Determination of Exceptional Circumstances (DEC): On June 07, 2021, DOE approved a DETERMINATION OF EXCEPTIONAL CIRCUMSTANCES (DEC) UNDER THE BAYH-DOLE ACT TO FURTHER PROMOTE DOMESTIC MANUFACTURE OF DOE SCIENCE AND ENERGY TECHNOLOGIES. In accordance with this DEC, all

awards, including sub-awards, under this NOFO shall include the U.S. Competitiveness Provision in accordance with [Section IX](#) of this NOFO. A copy of the DEC can be found at <https://www.energy.gov/gc/determination-exceptional-circumstances-decs>.

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

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

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

### 39. Trafficking in Persons

Awards resulting from this NOFO are subject to the requirements of 2 CFR 175 (<https://www.ecfr.gov>) which prohibit recipients, their employees, subrecipients, and their employees from severe forms of trafficking in persons; the procurement of a commercial sex act during the period of time that this award or any subaward is in effect; the use of forced labor in the performance of this award or any subaward; or acts that directly support or advance trafficking in persons.

#### 40. U.S. Competitiveness

A primary objective of DOE's multi-billion-dollar research, development and demonstration investments is to cultivate new research and development ecosystems, manufacturing capabilities, and supply chains for and by U.S. industry and labor. Therefore, in exchange for receiving taxpayer dollars to support an applicant's project, the applicant must agree to a U.S. Competitiveness provision requiring that any products embodying any subject invention or produced using any subject invention will be manufactured substantially in the United States unless the Recipient can show to the satisfaction of DOE that it is not commercially feasible. Award terms, including the U.S. Competitiveness Provision, are available at <https://www.energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>.

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

As noted in the U.S. Competitiveness Provision, if an entity cannot meet the requirements of the U.S. Competitiveness Provision, the entity may request a modification or waiver of the U.S. Competitiveness Provision. For example, the entity may propose modifying the language of the U.S. Competitiveness Provision in order to change the scope of the requirements or to provide more specifics on the application of the requirements for a particular technology. As another example, the entity may request that the U.S. Competitiveness Provision be waived in lieu of a net benefits statement or U.S. manufacturing plan. The statement or plan would contain specific and enforceable commitments that would be beneficial to the U.S. economy and competitiveness. Examples of such commitments could include manufacturing specific products in the U.S., making a specific investment in a new or existing U.S. manufacturing facility, keeping certain activities based in the U.S. or supporting a certain number of jobs in the U.S. related to the technology. DOE may, in its sole discretion, determine that the proposed modification or waiver promotes commercialization and provides sufficient U.S. economic benefits, and grant the request. If granted, DOE will modify the award terms and conditions for the requesting entity accordingly. More information and guidance on the waiver and modification request process can be found in the DOE Financial Assistance Letter on this

topic, available here at <https://www.energy.gov/management/pf-2022-09-fal-2022-01-implementation-doe-determination-exceptional-circumstances-under>. Additional information on DOE’s Commitment to Domestic Manufacturing for DOE-funded R&D is available at <https://www.energy.gov/gc/us-manufacturing>.

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

#### 41. Updating Your Portfolio Analysis and Management System (PAMS) Profile

All applicants are encouraged to update their profiles in the PAMS website at <https://pamspublic.science.energy.gov> regularly to ensure SC has your most up to date information. The PAMS profile allows individuals to provide responses to various fields, including selecting a “Do not wish to provide” option. Your individual information will not be shared with peer reviewers and the information in your PAMS profile is protected by the requirements established in the Federal Privacy Act of 1974.

## D. Reference Material

### Glossary of Useful Grants and Cooperative Agreement terms

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

Approved budget	The <i>approved budget</i> for the Federal award summarizes the financial aspects of the project or program as approved during the Federal award process. It may include either the Federal and non-Federal share or only the Federal share, depending upon Federal awarding agency requirements. It must be related to performance for program evaluation purposes whenever appropriate. See 2 CFR 200.308(a).
Assurance	<i>Assurance</i> means a certification by an applicant, normally included with the application or State plan, indicating that the entity complies with, or that it will comply with, a particular requirement if awarded a Federal grant.
Authorized organizational representative	<i>Authorized organizational representative</i> means the individual, named by the applicant organization, who is authorized to act for the applicant and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or grant awards.
Award	<i>Award</i> means the provision of funds by DOE, based on an approved application and budget or progress report, to an organizational entity or an individual to carry out a project or activity.
Award documents	<i>Award documents</i> means the entirety of the documents describing the legal relationship between DOE and an awardee or recipient. The award documents include an Assistance Agreement and other documents which may be incorporated by reference or as attachments to the Assistance Agreement. The award documents are the official, legally binding document, signed (or the electronic equivalent of signature) by a Contracting Officer that: notifies the recipient of the award of an award; contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and, provides the documentary basis for recording the obligation of Federal funds in the DOE accounting system.
Bayh-Dole Act	<i>Bayh-Dole Act</i> means a law which encourages universities and researchers to develop their inventions into marketable products; formal citation is Section 6 of the Patent and Trademark Amendment of 1980, Pub. L 96-517 as amended.
Budget	<i>Budget</i> means the financial plan for the project or program that the Federal awarding agency or pass-through entity approves during the Federal award process or in subsequent amendments to the Federal award. It may include the Federal and non-Federal share or only the Federal share, as determined by the Federal awarding agency or pass-through entity.
Budget period	<i>Budget period</i> means the intervals of time (usually 12 months each) into which a project period is divided for budgetary and funding purposes.
Business officer	<i>Business officer</i> means the financial official of the recipient who has primary fiscal responsibility for the grant. Also known as authorized organizational representative.
Capital assets	<i>Capital assets</i> means tangible or intangible assets used in operations having a useful life of more than one year which are capitalized in accordance with GAAP. Capital assets include: (a) Land, buildings (facilities), equipment, and intellectual property (including software) whether acquired by purchase, construction, manufacture, lease-purchase, exchange, or through capital leases; and (b) Additions, improvements, modifications, replacements,

	rearrangements, reinstallations, renovations or alterations to capital assets that materially increase their value or useful life (not ordinary repairs and maintenance).
Carryover	<i>Carryover</i> means unobligated Federal funds remaining at the end of any budget period that may be carried forward to another budget period to cover allowable costs of that budget period (whether as an offset or additional authorization). Obligated, but unliquidated, funds are not considered carryover.
Change in scope	<i>Change in scope</i> means an activity whereby the objectives or specific aims identified in the approved grant application are significantly changed by the recipient after award. Contracting Officer prior approval is required for a change in scope to be allowable under an award.
Closeout	<i>Closeout</i> means the process by which a Federal awarding agency determines that all applicable administrative actions and all required work under an award have been completed by the recipient and the Federal awarding agency.
Competitive segment	<i>Competitive segment</i> means the initial project period recommended for support or each extension of a project period resulting from a renewal award.
Conference (domestic or international)	<i>Conference (domestic or international)</i> means a symposium, seminar, workshop, or any other organized and formal meeting, whether conducted face-to-face or via the Internet, where individuals assemble (or meet virtually) to exchange information and views or explore or clarify a defined subject, problem, or area of knowledge, a published report results from such meeting.
Consortium or sub-award agreement	<i>Consortium or sub-award agreement</i> means a formalized agreement whereby a research project is carried out by the recipient and one or more other organizations that are separate legal entities. Under the agreement, the recipient must perform a substantive role in the conduct of the planned research and not merely serve as a conduit of funds to another party or parties. These agreements typically involve a specific level of effort from the consortium organization's PD/PI and a categorical breakdown of costs, such as personnel, supplies, and other allowable expenses, including F&A costs. The relationship between the recipient and the collaborating organizations is considered a sub-award relationship.
Consultant	<i>Consultant</i> means an individual who provides professional advice or services for a fee, but not as an employee of the engaging party. To prevent apparent or actual conflicts of interest, recipients and consultants must establish written guidelines indicating the conditions of payment of consulting fees. Consultants also include firms that provide professional advice or services. See 2 CFR 200.459.
Continuation application/award	<i>Continuation application/award</i> means a financial assistance request (in the form of an application or progress report) or resulting award for a subsequent budget period within a previously approved project period for which a recipient does not have to compete with other applicants.
Contract	<i>Contract</i> means a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used in this part does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or sub-award (see 2 CFR 200.1 Subaward).

Contractor	<i>Contractor</i> means an entity that receives a contract as defined in 2 CFR 200.1 Contract.
Contracting (or Grants) Officer	<i>Contracting (or Grants) Officer</i> means a DOE official responsible for the business management aspects of grants and cooperative agreements, including review, negotiation, award, and administration, and for the interpretation of grants administration policies and provisions. COs and GOs are delegated the authority to obligate DOE to the expenditure of funds and permit changes to approved projects on behalf of DOE.
Contracting (or Grants Management) specialist	<i>Contracting (or Grants Management) specialist</i> means a DOE staff member who works with a Contracting or Grants Officer and is assigned the day-to-day management of a portfolio of grants and/or cooperative agreements. These activities include, but are not limited to, evaluating grant applications for administrative content and compliance with statutes, regulations, and guidelines; negotiating grants; providing consultation and technical assistance to recipients; and administering grants after award.
Cooperative agreement	<i>Cooperative agreement</i> means a type of financial assistance used when there will be substantial Federal scientific or programmatic involvement. Substantial involvement means that, after award, scientific or program staff will assist, guide, coordinate, or participate in project activities.
Cost principles	<i>Cost principles</i> means the government-wide principles, 2 CFR 200 Subpart E (or, in the case of commercial organizations, the Federal Acquisition Regulation [48 CFR 31], or, in the case of hospitals, see Appendix IX to Part 200—Hospital Cost Principles, Appendix E, “Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals”), on allowability and unallowability of costs under federally sponsored agreements.
Cost sharing or matching	<i>Cost sharing or matching</i> means the portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statute). See also 2 CFR 200.306 Cost sharing or matching.
Deadline	<i>Deadline</i> means the published date and/or time that a grant application is to be submitted to the funding agency.
Debarment and suspension	<i>Debarment and suspension</i> mean the actions taken by a debarring official in accordance with OMB guidance at 2 CFR 180, “Non-procurement Debarment and Suspension,” to exclude a person or organization from participating in grants and other non-procurement awards government-wide. If debarred or suspended, the person or organization may not receive financial assistance (under a grant, cooperative agreement, or sub-award, or contract under a grant) for a specified period of time. Debarments and suspensions carried out pursuant to 2 CFR 376 are distinct from post-award suspension action by an awarding agency. See 2 CFR 901 for DOE implementation.
Direct costs	<i>Direct costs</i> mean costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. See 2 CFR 200.413.
Disallowed costs	<i>Disallowed costs</i> mean those charges to a Federal award that the Federal awarding agency or pass-through entity determines to be unallowable, in accordance with the applicable Federal statutes, regulations, or the terms and conditions of the Federal award.
Domestic organization	<i>Domestic organization</i> means a public (including a State or other governmental agency) or private non-profit or for-profit organization that

	is located in the United States or its territories, is subject to U.S. laws, and assumes legal and financial accountability for awarded funds and for the performance of the grant-supported activities.
Effort	<i>Effort</i> means the amount of time, usually expressed as a percentage of the total, which a faculty member or other employee spends on a sponsored project. No one is allowed to spend more than 100% total commitment on all academic activities, including grant-sponsored research, university-sponsored research, teaching, administration, advising and other contracted duties. Effort is indicated on the budget in units of person-months.
Equipment	<i>Equipment</i> means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$10,000. See also 2 CFR 200.1 Capital assets, Computing devices, General purpose equipment, Information technology systems, Special purpose equipment, and Supplies.
Expanded authorities	<i>Expanded authorities</i> means authorization to recipients under certain research grant mechanisms which waives the requirement for prior agency approval for specified actions related to awards. Example: 90-day pre-award spending authority, no cost extensions for up to one additional year, and automatic carryover of unobligated funds from one budget period to the next. The expanded authorities are now contained in Uniform Guidance of 2 CFR 200 as being applicable to all research awards.
Expiration date	<i>Expiration date</i> means generally, the date signifying the end of the current project period, after which the recipient is not authorized to obligate grant funds.
Facilities and administrative costs	<i>Facilities and administrative costs</i> mean costs that are incurred by a recipient for common or joint objectives and that, therefore, cannot be identified specifically with a particular project or program. These costs also are known as indirect costs.
Federal financial report	<i>Federal financial report</i> means submitted on Standard Form (SF) 425, to indicate the status of awarded funds for the period covered. Frequency of reporting is specified in the Reporting Checklist provided as part of the award documents.
Financial assistance	<i>Financial assistance</i> means transfer by DOE of money or property to an eligible entity to support or stimulate a public purpose authorized by statute.
Financial status report	<i>Financial status report</i> means see Federal Financial Report.
Foreign travel	<i>Foreign travel</i> is meant to include travel outside of North America (Canada, Mexico, and the United States) and U.S. territories and possessions (Guam, American Samoa, Puerto Rico, the U.S. Virgin Islands). A trip is considered foreign travel for all legs of the itinerary if the traveler does not return to his or her post prior to departure for a foreign destination. Costs for foreign travel may be restricted by the language of a Funding Opportunity Announcement.

Grant agreement	<p><i>Grant agreement</i> means a legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity that, consistent with 31 USC 6302, 6304:</p> <p>(a) Is used to enter into a relationship the principal purpose of which is to transfer anything of value from the Federal awarding agency or pass-through entity to the non-Federal entity to carry out a public purpose authorized by a law of the United States (see 31 USC 6101(3)); and not to acquire property or services for the Federal awarding agency or pass-through entity's direct benefit or use;</p> <p>(b) Is distinguished from a cooperative agreement in that it does not provide for substantial involvement between the Federal awarding agency or pass-through entity and the non-Federal entity in carrying out the activity contemplated by the Federal award.</p> <p>(c) Does not include an agreement that provides only:</p> <p>(1) Direct United States Government cash assistance to an individual;</p> <p>(2) A subsidy;</p> <p>(3) A loan;</p> <p>(4) A loan guarantee; or</p> <p>(5) Insurance.</p>
Grant-supported project or activity	<p><i>Grant-supported project or activity</i> means those activities specified or described in a grant application or in a subsequent submission that are approved by DOE for funding, regardless of whether Federal funding constitutes all or only a portion of the financial support necessary to carry them out.</p>
Grants.gov	<p><i>Grants.gov</i> (<a href="https://www.Grants.gov/">https://www.Grants.gov/</a>) has been designated by the Office of Management and Budget as the single access point for all grant programs offered by 26 Federal grant-making agencies. It provides a single interface for agencies to announce their grant opportunities and for all applicants to find and apply for those opportunities.</p>
Indirect costs (facilities & administrative)	<p><i>Indirect (F&amp;A) costs</i> mean those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. To facilitate equitable distribution of indirect expenses to the cost objectives served, it may be necessary to establish several pools of indirect (F&amp;A) costs. Indirect (F&amp;A) cost pools must be distributed to benefitted cost objectives on bases that will produce an equitable result in consideration of relative benefits derived.</p>
Institutional base salary	<p><i>Institutional base salary</i> means the annual compensation paid by an organization for an employee's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of duties for the applicant/recipient organization. Base salary may not be increased as a result of replacing organizational salary funds with grant funds.</p>
Matching or cost sharing	<p><i>Matching or cost sharing</i> means the value of third-party in-kind contributions and the portion of the costs of a federally assisted project or program not borne by the Federal government. Matching or cost sharing may be required by statute or program regulation. Costs used to satisfy matching or cost-sharing requirements are subject to the same policies governing allowability as other costs under the approved budget.</p>

Merit (or peer) review	<i>Merit (or peer) review</i> means the process that involves the consistent application of standards and procedures that produce fair, impartial, and objective examinations of applications based on an evaluation of scientific or technical merit or other relevant aspects of the application. The review is performed by experts (reviewers) in the field of endeavor for which support is requested. Merit review is intended to provide guidance to the DOE individuals responsible for making award decisions.
Monitoring	<i>Monitoring</i> means a process whereby the programmatic and business management performance aspects of a grant are assessed by reviewing information gathered from various required reports, audits, site visits, and other sources.
NEPA	<i>NEPA</i> means the National Environmental Policy Act (NEPA), Public Law 91-190, as amended. NEPA requires Federal agencies to assess the environmental effects of proposed major Federal actions prior to making decisions.
No-cost extension	<i>No-cost extension</i> means an extension of time to a project period and/or budget period to complete the work of the grant under that period, without additional Federal funds or competition.
Non-Federal share	<i>Non-Federal share</i> means when cost sharing or matching is required as a condition of an award, the portion of allowable project/program costs not borne by the Federal government.
Notice of Funding Opportunity (NOFO)	<i>Notice of Funding Opportunity (NOFO)</i> means a publicly available document by which a Federal Agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. NOFOs may be known as program announcements, requests for applications, notices of funding availability, solicitations, or other names depending on the Agency and type of program. NOFOs can be found at <a href="http://www.Grants.gov">www.Grants.gov</a> . A NOFO may also be known as a solicitation. NOFOs were previously known as Funding Opportunity Announcements (FOAs).
Obligations	<i>Obligations</i> , when used in connection with a non-Federal entity's utilization of funds under a Federal award, mean orders placed for property and services, contracts and sub-awards made, and similar transactions during a given period that require payment by the non-Federal entity during the same or a future period.
OMB circulars	<i>OMB circulars</i> are government-wide guidance issued to Heads of Federal agencies by the Director of the Office of Management and Budget.
Other significant contributors	<i>Other significant contributors</i> mean individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project. These individuals are typically presented at "effort of zero person months" or "as needed." Individuals with measurable effort may not be listed as Other Significant Contributors (OSCs). Consultants should be included if they meet this definition.
Program participant	<i>Program participants</i> are the recipients of service or training provided at a workshop, conference, seminar, symposium or other short-term instructional or information-sharing activity funded by an external grant or award, or the training beneficiaries of the project or program funded by an external grant or award. A participant is not involved in providing any deliverable to the recipient or a third party or would not be terminated or replaced for failure to perform.

Participant support costs	<i>Participant support costs</i> mean direct costs for items such as stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences, or training projects.
Person months	<i>Person months</i> is the metric for expressing the effort (amount of time) PD/PI(s), faculty and other senior/key personnel devote to a specific project. The effort is based on the type of appointment of the individual with the organization, e.g., calendar year, academic year, and/or summer term; and the organization's definition of such. For instance, some institutions define the academic year as a nine (9)-month appointment while others define it as a 10-month appointment.
Pre-application or pre-proposal	<i>Pre-application or pre-proposal</i> means a brief outline or narrative of proposed work and sometimes budget, for informal review by a sponsor to determine whether an application should be submitted. Three predominant reasons for requiring submission of a preliminary pre-application are: Reduce the applicant's unnecessary effort in proposal preparation when the chance of success is very small. This is particularly true of exploratory initiatives where the community senses that a major new direction is being identified, or competitions that will result in a small number of actual awards. Increase the overall quality of the submission. Distill the number of applications that will be submitted to the agency and the number of anticipated reviewers needed to review.
Pre-award costs	<i>Pre-award costs</i> mean any cost incurred prior to the beginning date of the project period or the initial budget period of a competitive segment (under a multi-year award), in anticipation of the award and at the applicant's own risk, for otherwise allowable costs.
Prior approval	<i>Prior approval</i> means written approval from the designated Contracting Officer.
Program Director/ Principal Investigator	<i>Program Director/ Principal Investigator</i> means the individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. The applicant organization may designate multiple individuals as program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple PD/PIs are named, each is responsible and accountable to the applicant organization, or as appropriate, to a collaborating organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.

Program income	<p><i>Program income</i> means gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance except as provided in 2 CFR 200.307 paragraph (f). (See 2 CFR 200.1 Period of performance.)</p> <p>Program income includes but is not limited to income from fees for services performed, the use or rental of real or personal property acquired under Federal awards, the sale of commodities or items fabricated under a Federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal statutes, regulations, or the terms and conditions of the Federal award, program income does not include rebates, credits, discounts, and interest earned on any of them. See also 2 CFR 200.407 Prior written approval (prior approval). See also 35 USC 200-212 “Disposition of Rights in Educational Awards” for inventions made under Federal awards.</p>
Program Manager	<p><i>Program Manager</i> means the DOE official responsible for the programmatic, scientific, and/or technical aspects of a grant. The same role is filled by Program Directors, Program Officers, or Project Directors at other Federal agencies.</p>
Progress report	<p><i>Progress report</i> means periodic, frequently annual, report submitted by the recipient and used by DOE to assess progress and to determine whether to provide funding for the budget period that covered by the report.</p>
Project/performance site	<p><i>Project/ performance site</i> means location(s) of where the work described in the research plan will be conducted.</p>
Project period	<p><i>Project period</i> means the total time for which Federal support of a project has been programmatically approved as shown in the award documents; however, it does not constitute a commitment by the Federal government to fund the entire period. The total award period comprises the initial competitive segment, any subsequent competitive segments resulting from a renewal award(s), and extensions.</p>
Proposal	<p>See application.</p>
Re-budgeting	<p><i>Re-budgeting</i> means reallocation of funds available for spending between approved budget categories to allow best use of funds to accomplish the project goals.</p>
Real Property	<p><i>Real property</i> means land, including land improvements, structures and appurtenances thereto, but excludes moveable machinery and equipment.</p>
Recipient	<p><i>Recipient</i> means the organization or individual awarded a grant or cooperative agreement by DOE that is responsible and accountable for the use of the funds provided and for the performance of the grant-supported project or activity. The recipient is the entire legal entity even if a particular component is designated in award documents. The recipient is legally responsible and accountable to DOE for the performance and financial aspects of the grant-supported project or activity. Also known as awardee or grantee.</p>
Renewal application	<p><i>Renewal application</i> means an application requesting additional funding for a period subsequent to that provided by a current award. Renewal applications compete for funds with all other peer reviewed applications and must be developed as fully as though the applicant is applying for the first time.</p>

Research	<i>Research</i> is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. See 2 CFR 200.1 Research and Development (R&D).
Research misconduct	<i>Research misconduct</i> means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results, but does not include honest error or differences of opinion. See 10 CFR 733.
SAM.gov	<i>SAM.gov</i> is the System for Award Management (SAM) a consolidated service that includes Entity Registration, Assistance Listings, and other services for making, managing, and receiving Federal awards.
Scope of work	<i>Scope of work</i> means the aims, objectives, and purposes of a grant; as well as the methodology, approach, analyses or other activities; and the tools, technologies, and timeframes needed to meet the grant’s objectives. This includes the research or training plan included with the original grant application, along with any approved modifications.
Senior/Key Personnel	<i>Senior/Key personnel</i> means the PD/PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically, these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a postdoctoral role also may be considered senior/key personnel if they meet this definition. “Zero percent” effort or “as needed” is not an acceptable level of involvement for Senior/Key Personnel.
Significant re-budgeting	<i>Significant re-budgeting</i> means a threshold that is reached when expenditures in a single direct cost budget category deviate (increase or decrease) from the categorical commitment level established for the budget period by more than 25 percent of the total costs awarded. Significant re-budgeting is one indicator of change in scope.
Small business concern	<i>Small business concern</i> means a business that meets the regulatory and size requirements established by the SBA at 13 CFR 121.
Solicitation	See Funding Opportunity Announcement.
Subaward	<i>Subaward</i> means a legal instrument by which a recipient provides funds (or property in lieu of funds) to an eligible subrecipient (or a lower-tier transaction) to perform a substantive portion of the grant-supported program or project. The term includes such financial assistance when provided by any legal agreement (even if the agreement is called a contract) but does not include any form of assistance which is excluded from the definition of a grant, including the recipient’s procurement of property or services needed to carry out the project or program. The term includes consortium agreements.
Subrecipient	<i>Subrecipient</i> means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A sub-recipient may also be a recipient of other Federal awards directly from a Federal awarding agency.
Supplement	<i>Supplement</i> means a request for an increase in support during a current budget period for expansion of the project’s scope or to meet increased costs unforeseen at the time of the new or renewal application. A supplement may increase support for future years in addition to the

	current year. Supplements require applications and are subject to administrative and merit review.
Terms and conditions of award	<i>Terms and conditions of award</i> means all legal requirements imposed on a grant by DOE, whether based on statute, regulation, policy, or other document referenced in the grant award, or specified by the grant award document itself. The award documents may include both standard and special conditions that are considered necessary to attain the grant’s objectives, facilitate post-award administration of the grant, conserve grant funds, or otherwise protect the Federal government’s interests.
UEI	<i>UEI</i> is the Unique Entity Identifier, a twelve-digit alphanumeric sequence established and assigned by the System for Award Management at <a href="https://www.SAM.gov">https://www.SAM.gov</a> to uniquely identify an entity.
Unallowable costs	<i>Unallowable costs</i> mean costs that cannot be charged, directly or indirectly, to Federal awards because the costs are prohibited by law, regulation (including applicable cost principles), or the terms and conditions of award. Costs that are not allowable, allocable, or reasonable are unallowable.
Unliquidated obligation	<i>Unliquidated obligations</i> mean, for financial reports prepared on a cash basis, obligations incurred by the non-Federal entity that have not been paid (liquidated). For reports prepared on an accrual expenditure basis, these are obligations incurred by the non-Federal entity for which an expenditure has not been recorded.
Unobligated balance	<i>Unobligated balance</i> means the amount of funds under a Federal award that the non-Federal entity has not obligated. The amount is computed by subtracting the cumulative amount of the non-Federal entity’s unliquidated obligations and expenditures of funds under the Federal award from the cumulative amount of the funds that the Federal awarding agency or pass-through entity authorized the non-Federal entity to obligate.
Validate	In the context of the data management plan requirements, <i>validate</i> means to support, corroborate, verify, or otherwise determine the legitimacy of the research findings. Validation of research findings could be accomplished by reproducing the original experiment or analyses, comparing and contrasting the results against those of a new experiment or analyses, or by some other means.