APPLICATION INSTRUCTIONS for 2017-NIST-NCNR-01

Applicants are strongly urged to use Grants.gov's Download Submitted Applications option for checking that their application's required attachments (see pages 2 through 6 of this document, and Section IV.2.a. of the Full Announcement/NOFO document) were contained in their submission.

After submitting the application, follow the directions found in the Grants.gov Online Users Guide (http://go.usa.gov/cjaEh). Click first on Applicants; then click on Applicant Actions; go then to the "Check My Application Status" option, and choose Download Submitted Applications.

If any, or all, of the required attachments are absent from the submission, follow the attachment directions found on pages 8 and 9 of this document and in Section IV.2.b. of the Full Announcement/NOFO document, resubmit the application, and check again for the presence of the required attachments.

This document consists of seven important sections:

1. Overview;
2. Required Application Forms and Documents;
3. Application Format;
4. Application Submission Process;
5. Attachment of Required Documents;
6. Verifying the Submission and Tracking the Application; and
7. Submission Date and Time.

1) Overview

We strongly recommend that applicants do not wait until the last minute to submit an application. Allowances will not make for any late submissions. To avoid any potential processing backlogs due to last minute Grants.gov registrations, applicants are highly encouraged to begin their Grants.gov registration process early.

When developing your submission timeline, please keep in mind that (1) all applicants are required to have a current registration in the System for Award Management (SAM.gov); (2) the free annual registration process in the electronic System for Award Management (SAM.gov) may take between three and five business days or as long as more than two weeks; and (3) electronic applicants are required to have a current registration in Grants.gov; and (4) applicants using Grants.gov will receive a series of e-

mail messages over a period of up to two business days before learning whether a Federal agency's electronic system has received its application.

Please note that a federal assistance award cannot be issued if the designated recipient's registration in the System for Award Management (SAM.gov) is not current at the time of the award.

Applicants will find instructions on registering with SAM.gov as part of the Grants.gov process at:
http://www.grants.gov/web/grants/applicants/organization-registration.html .

All applicants should be aware that adequate time must be factored into an applicant's schedule for delivery of the application.

Submitters are advised that volume on Grants.gov may be extremely heavy leading up to the deadline date.

2) Required Application Forms and Documents

The Application must contain the following:

(1) **SF-424, Application for Federal Assistance.** The SF-424 must be signed by an authorized representative of the applicant organization.

SF-424, Item 12, should list the NOFO number as 2017-NIST-NCNR-01.

SF-424, Item 18, should list the total budget information for the full duration of the project.

The list of certifications and assurances referenced in Item 21 of the SF-424 is contained in the SF-424B.

(2) **SF-424A, Budget Information - Non-Construction Programs.** The budget should reflect anticipated expenses for the project, considering all potential cost increases, including cost of living adjustments.

The Grant Program Function or Activity on Line 1 under Column (a) should be entered as "Measurement and Engineering Research and Standards". The Catalog of Federal Domestic Assistance Number in on Line 1 under Column (b) should be entered as "11.609".

These sections of the SF-424A should reflect funds for the first year of the award: Section A; Section B; Section C; and Section D. The budget estimate for the second year through fifth year of the award should be entered in Section E, field 16, column (b) through column (e), respectively. Further details about this form can be can be found at:

http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html.

(3) SF-424B, Assurances - Non-Construction Programs.

(4) CD-511, Certification Regarding Lobbying. For the Award Number, enter "2017-NIST-NCNR-01". In the Project Name field, use the "Descriptive Title of Applicant's Project" from field 15 of the SF-424, or an abbreviation thereof.

(5) SF-LLL, Disclosure of Lobbying Activities. (if applicable)

(6) Technical Proposal. T he Technical Proposal is a word-processed document of no more than fifty (50) pages responsive to the Program Description (*see* Section I. of the NOFO/Full Announcement) and the evaluation criteria (*see* Section V.1. of the NOFO/Full Announcement). The Technical Proposal should include an in-depth description of the applicant and the applicant's staff, the applicant's research and development plan, including the scope of the proposed project, its goals, the methods and equipment to be used, and its schedule, and the applicant's institutional capabilities, plan to provide research assistance, and plan to integrate the applicant's staff, as described below:

(a) **Qualifications and Experience of the Principal Investigator.** A description of the qualifications and experience of the Principal Investigator in neutron scattering research, as demonstrated by extensive publications and invited lectures in condensed matter physics, chemistry, material science, macromolecular science or related fields.

This section will be reviewed as described in Section V.1.a. of the NOFO/Full Announcement.

(b) **Qualifications and Experience of the Proposed Staff.** Provide resumes of staff proposed for participation in this program that clearly demonstrate their qualifications and experience in neutron scattering research or in related scientific or engineering areas. Resumes do not count towards the Technical Proposal page limit but are limited to two (2) pages each.

This section will be reviewed as described in Section V.1.b. of the NOFO/Full Announcement.

(c) **Research and Development Plan.** A description of the research and development plan, including the project scope, its goals, the methods to be used, the project schedule, and its potential impact on neutron scattering science, particularly in the areas of macromolecular science, condensed matter physics, and chemistry.

This section will be reviewed as described in Section V.1.c. of the NOFO/Full Announcement.

(d) **Institutional Capabilities and Plan to Provide Research Assistance**. A description of the applicant's institutional capabilities and plan to provide research assistance to U.S. neutron researchers using the NCNR facilities, including related training, education, and outreach. This section should include a description and demonstration of the appropriate use of funds and cost effectiveness of the proposal, including overall support to accomplish project goals and the applicant's capabilities and intent to provide research assistance. Institutional capabilities and plans to provide research assistance should also be demonstrated through a complete budget narrative as described Section IV.2.a.(7) the NOFO/Full Announcement.

This section will be reviewed as described in Sections V.1.d. and V.1.e. of the NOFO/Full Announcement.

(e) **Plan to Integrate the Applicant's Staff.** A description of the how the applicant will integrate staff effectively into the activities of the NCNR facility, including establishing robust communications between the applicant and the NCNR.

This section will be reviewed as described in Section V.1.f. of the NOFO/Full Announcement.

(7) **Budget Narrative.** (This does not count toward the page limit). There is no set format for the Budget Narrative; however, it should provide a detailed breakdown of each of the object class categories as reflected on the SF-424A and include a detailed description of how the funds will be used in accordance with the Institutional Capabilities and Plan to Provide Research Assistance and the Match of Budget to Proposed Work Evaluation Criteria (*see* Sections V.1.d. and V.1.e. of the NOFO/Full Announcement).

(8) **Indirect Cost Rate Agreement.** If indirect costs are included in the proposed budget, provide a copy of the approved negotiated agreement if this rate was negotiated with a cognizant Federal audit agency. If the rate was not established by a cognizant Federal audit agency, provide a statement to this effect. If the successful applicant includes indirect costs in the budget and has not established an indirect cost rate with a cognizant Federal audit agency, the applicant will be required to obtain such a rate in accordance with the Department of Commerce Financial Assistance Standard Terms and Conditions available at: http://go.usa.gov/hKbj.

Alternatively, in accordance with 2 C.F.R. § 200.414(f), applicants that have never received a negotiated indirect cost rate may elect to charge indirect costs to an MEP award pursuant to a de minimis rate of 10 percent of modified total direct costs (MTDC), in which case a negotiated indirect cost rate agreement is not required. Applicants proposing a 10 percent de minimis rate pursuant to 2 C.F.R. § 200.414(f) should note this election as part of the budget portion of the application.

(9) **Data Management Plan.** In accordance with NIST Policy 5700.00[1], *Managing Public Access to Results of Federally Funded Research,* and NIST Order 5701.00[2], *Managing Public Access to Results of Federally Funded Research*", applicants should include a Data Management Plan (DMP).

The DMP is a supplementary document of not more than two pages that must include, at a minimum, a summary of proposed activities that are expected to generate data, a summary of the types of data expected to be generated by the identified activities, a plan for storage and maintenance of the data expected to be generated by the identified activities, and a plan describing whether and how data generated by the identified activities will be reviewed and made available to the public. As long as the DMP meets these NIST requirements, it may take the form specified by the applicant's institution or some other entity (e.g., the National Science Foundation[3] or the National Institutes of Health[4]).

All applications for activities that will generate scientific data using NIST funding are required to adhere to a DMP or explain why data sharing and preservation are not within the scope of the project.

[1] https://www.nist.gov/sites/default/files/documents/data/Final-P-5700.pdf
[2] https://www.nist.gov/sites/default/files/documents/data/Final-O-5701_0.pdf
[3] http://www.nsf.gov/bfa/dias/policy/dmp.jsp
[4] http://grants.nih.gov/grants/policy/data_sharing/data_sharing_guidance.htm

For the purposes of the DMP, NIST adopted the definition of "research data" at 2 C.F.R. § 200.315(e)(3) (available at http://go.usa.gov/3sZvQ).

Reasonable costs for data preservation and access may be included in the application.

The sufficiency of the DMP will be considered as part of the administrative review (*see* Section V.3.a. of the NOFO/Full Announcement); however, the DMP will not be evaluated against any evaluation criteria.

Please pay close attention to the guidance in Section 5) of this document, "Attachment of Required Documents".

3) Application Format

(2) Application language. English.

(3) Paper, E-mail and Facsimile (fax) Submissions will not be accepted.

(4) Figures, Graphs, Images, and Pictures. Should be of a size that is easily readable or viewable and may be landscape orientation.

(5) Font. Easy to read font (12-point minimum). Smaller type may be used in figures and tables but must be clearly legible.

(6) Line Spacing. Applicants can use single spacing or double spacing.

(7) Margins. One (1) inch top, bottom, left, and right.

(8) Page numbering. Number pages sequentially.

(9) Page layout. Portrait orientation only except for figures, graphs, images, and pictures.

(10) Page Limit. The Technical Proposal for Applications (*see* Section IV.2.a.(6) of the NOFO/Full Announcement) is limited to fifty (50) pages.

Page limit includes: Table of Contents (if included), Technical Proposal with all required sections, including figures, graphs, tables, images, and pictures.

Page limit excludes: SF-424, Application for Federal Assistance; SF-424A, Budget Information – Non-Construction Programs; SF-424B, Assurances – Non-Construction Programs; CD-511, Certification Regarding Lobbying; SF-LLL, Disclosure of Lobbying Activities; Resumes (if included, noting resumes

are limited to two pages each); Budget Narrative; Indirect Cost Rate Agreement; and Data Management Plan.

(11) **Page size.** 21.6 centimeters by 27.9 centimeters (8 ½ inches by 11 inches).

(12) **Typed document.** All applications, including forms, must be typed.

4) Application Submission Process

(1) Electronic applications must be submitted via Grants.gov at www.grants.gov, under announcement 2017-NIST-NCNR-01.

a) Submitters of electronic applications should carefully follow specific Grants.gov instructions to ensure the attachments will be accepted by the Grants.gov system. A receipt from Grants.gov indicating an application is received does not provide information about whether attachments have been received. For further information or questions regarding applying electronically for the 2017-NIST-NCNR-01 announcement, contact Christopher Hunton by phone at 301-975-5718 or by e-mail at grants@nist.gov.

b) Applicants are strongly encouraged to start early and not wait until the approaching due date before logging on and reviewing the instructions for submitting an application through Grants.gov. The Grants.gov registration process must be completed before a new registrant can apply electronically. If all goes well, the registration process takes three (3) to five (5) business days. If problems are encountered, the registration process can take up to two (2) weeks or more. Applicants must have a valid unique entity identifier number and must maintain a current registration in the Federal government's primary registrant database, the System for Award Management (https://www.sam.gov/), as explained on the Grants.gov Web site. *See also* Section IV.3. of the Full Announcement/NOFO document. After registering, it may take several days or longer from the initial log-on before a new Grants.gov system user can submit an application. Only individuals authorized as organization representatives will be able to submit the application, and the system may need time to process a submitted application. Applicants should save and print the proof of submission they receive from Grants.gov. If problems occur while using Grants.gov, the applicant is advised to (a) call Grants.gov directly for immediate assistance, and (b) print any error message received. If calling from within the United States or from a U.S. territory, please call 800-518-4726. If calling from a place other than the United States or a U.S. territory, please call 606-545-5035. Assistance from the Grants.gov Help Desk will be available around the clock every day,

with the exception of Federal holidays. Help Desk service will resume at 7:00 a.m. Eastern Time the day after Federal holidays. For assistance using Grants.gov, you may also contact support@grants.gov.

c) To find instructions on submitting an application on Grants.gov, Applicants should refer to the "Applicants" tab in the banner just below the top of the www.grants.gov home page. Clicking on the "Applicants" tab produces two exceptionally useful sources of information, Applicant Actions and Applicant Resources, which applicants are advised to review.

Applicants will receive a series of e-mail messages over a period of up to two business days before learning whether a Federal agency's electronic system has received its application. Closely following the detailed information in these subcategories will increase the likelihood of acceptance of the application by the Federal agency's electronic system.

Applicants should pay close attention to the guidance under "Applicant FAQs," as it contains information important to successful submission on Grants.gov, including essential details on the naming conventions for attachments to Grants.gov applications.

All applicants should be aware that adequate time must be factored into applicants' schedules for delivery of their application. Applicants are advised that volume on Grants.gov may be extremely heavy on the deadline date.

The application must be both received and validated by Grants.gov. The application is "received" when Grants.gov provides the applicant a confirmation of receipt and an application tracking number. If an applicant does not see this confirmation and tracking number, the application has not been received. After the application has been received, it must still be validated. During this process, it may be "validated" or "rejected with errors." To know whether the application was rejected with errors and the reasons why, the applicant must log in to Grants.gov, select "Applicants" from the top navigation, and select "Track my application" from the drop-down list. If the status is "rejected with errors," the applicant may still seek to correct the errors and resubmit your application before the deadline. If the applicant does not correct the errors, the application will not be forwarded to NIST by Grants.gov.

Refer to important information in Section IV.4. Submission Dates and Times, of the Full Announcement/NOFO document to help ensure your application is received on time.

5) Attachment of Required Documents

Items (1) through (5) in section 2) of this document, Required Application Forms and Documents, are part of the standard application package in Grants.gov and can be completed through the download application process.

Items (6) through (9) in section 2) of this document, Required Application Forms and Documents, must be completed and attached by clicking on "Add Attachments" found in item 15 of the SF-424, Application for Federal Assistance. This will create a zip file that allows for transmittal of the documents electronically via Grants.gov.

Applicants should carefully follow specific Grants.gov instructions at www.grants.gov to ensure the attachments will be accepted by the Grants.gov system. ***A receipt from Grants.gov indicates only that an application was transferred to a system. It does not provide details concerning whether all attachments (or how many attachments) transferred successfully.*** Applicants using Grants.gov will receive a series of e-mail messages over a period of up to two business days before learning whether a Federal agency's electronic system has received its application.

6) Verifying the Submission and Tracking the Application

The Grants.gov Online Users Guide available at the Grants.gov site (http://go.usa.gov/cjaEh) provides vital information on application process. See especially the "Check My Application Status" option, found by clicking first on Applicants, and then by clicking on Applicant Actions. Use this feature to verify that all required attachments were present in the submission.

After submitting the application, follow the directions found in the Grants.gov Online Users Guide (http://go.usa.gov/cjaEh). Click first on Applicants; then click on Applicant Actions; go then to the "Check My Application Status" option, and choose Download Submitted Applications. Follow the directions found there. Remember, in order for this to work, don't just visit Grants.gov. Log in. And remember to click on the record found on the Check My Application Status screen in order to see the List of Forms and Files Received screen.

If any, or all, of the required attachments are absent from the submission, follow the attachment directions found in the Full Announcement/NOFO document, resubmit the application, and check again for the presence of the required attachments.

Applicants can track their submission in the Grants.gov system by following the procedures at the Grants.gov site (http://go.usa.gov/cjamz). It can take up to two

business days for an application to fully move through the Grants.gov system to NIST.

NIST uses the Tracking Numbers assigned by Grants.gov, and does not issue its own Agency Tracking Numbers.

7) Submission Date and Time

Applications must be received at Grants.gov no later than 11:59 p.m. Eastern Time, Monday, May 8, 2017. Applications received after this deadline will not be reviewed or considered. NIST expects to complete its review, selection of successful applicants, and award processing by June 2017. NIST expects the earliest start date for awards under this NOFO to be August 31, 2017.

Applicants should be aware, and factor into their application submission planning, that the Grants.gov system is expected to be closed for routine maintenance at these times from 12:01 Eastern Time, Saturday, March 18, 2017 until Monday, March 20, 2017 at 6:00 a.m. Eastern Time, and also from 12:01 Eastern Time, Saturday, April 15, 2017 until Monday, April 17, 2017 at 6:00 a.m. Eastern Time. Applications cannot be submitted when Grants.gov is closed.