

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy**

**Office of Science  
Office of Nuclear Physics (NP)**

*Research, Development and Training in Isotope Production*

**Funding Opportunity Number: DE-FOA-0000743**

**Announcement Type: Initial**

**CFDA Number: 81.049**

**ISSUE DATE: August 3, 2012**

**Application Due Date: September 28, 2012, 11:59 PM Eastern Time**

## NOTE: REQUIREMENTS FOR GRANTS.GOV

**Where to Submit:** Applications must be submitted through Grants.gov to be considered for award. You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately. Remember you have to update your System for Award Management (SAM) registration annually. If you have any questions about your registration, you should contact the Grants.gov Helpdesk at 1-800-518-4726 to verify that you are still registered in Grants.gov.

**Registration Requirements:** There are several one-time actions you must complete in order to submit an application through Grants.gov (i.e., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the SAM, register with the credential provider, and register with Grants.gov). To register with Grants.gov go to “Get Registered” at [http://grants.gov/applicants/get\\_registered.jsp](http://grants.gov/applicants/get_registered.jsp). Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/assets/OrganizationRegCheck.pdf> to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. The Central Contract Registry (CCR) has migrated from CCR.gov to SAM.gov: registering early ahead of a submission will give applicants enough time to address any challenges posed by the transition ([https://www.sam.gov/sam/transcript/SAM\\_Quick\\_Guide\\_Grants\\_Registrations-v1.6.pdf](https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf)). Applicants, who are not registered with SAM and Grants.gov, should allow at least 44 days to complete these requirements. It is suggested that the process be started as soon as possible.

**IMPORTANT NOTICE TO POTENTIAL APPLICANTS:** When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).

**Questions:** Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). Part VII of this Funding Opportunity Announcement (FOA) explains how to submit other questions to the Department of Energy (DOE).

### Application Receipt Notices

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of four e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. The titles of the four e-mails are:

- Number 1 - Grants.gov Submission Receipt Number
- Number 2 - Grants.gov Submission Validation Receipt for Application Number
- Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number
- Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number

## **TABLE OF CONTENTS**

### **PART I – FUNDING OPPORTUNITY DESCRIPTION**

### **PART II – AWARD INFORMATION**

- A. Type of Award Instrument**
- B. Estimated Funding**
- C. Maximum and Minimum Award Size**
- D. Expected Number of Awards**
- E. Anticipated Award Size**
- F. Period of Performance**
- G. Type of Application**

### **PART III – ELIGIBILITY INFORMATION**

- A. Eligible Applicants**
- B. Cost Sharing or Matching**
- C. Other Eligibility Requirements**

### **PART IV – APPLICATION AND SUBMISSION INFORMATION**

- A. Address to Request Application Package**
- B. Letter of Intent and Pre-Application**
- C. Content and Form of Application**
- D. Submissions from Successful Applicants**
- E. Submission Dates and Times**
- F. Intergovernmental Review**
- G. Funding Restrictions**
- H. Other Submission and Registration Requirements**

### **PART V – APPLICATION REVIEW INFORMATION**

- A. Criteria**
- B. Review and Selection Process**
- C. Anticipated Notice of Selection and Award Dates**

### **PART VI – AWARD ADMINISTRATION INFORMATION**

- A. Award Notices**
- B. Administrative and National Policy Requirements**
- C. Reporting**

### **PART VII – QUESTIONS/AGENCY CONTACTS**

- A. Questions**
- B. Agency Contacts**

**PART VIII – OTHER INFORMATION**

- A. Modifications**
- B. Government Right to Reject or Negotiate**
- C. Commitment of Public Funds**
- D. Proprietary Application Information**
- E. Evaluation and Administration by Non-Federal Personnel**
- F. Intellectual Property Developed under this Program**
- G. Notice of Right to Request Patent Waiver**
- H. Notice Regarding Eligible/Ineligible Activities**
- I. Availability of Funds**

## PART I – FUNDING OPPORTUNITY DESCRIPTION

### GENERAL INQUIRIES ABOUT THIS FOA SHOULD BE DIRECTED TO:

Technical/Scientific Program Contacts:

**Dr. Dennis Phillips**, Office of Nuclear Physics, SC-26.2

PHONE: (301) 903-7866

FAX: (301) 903-3833

E-MAIL: [Dennis.Phillips@science.doe.gov](mailto:Dennis.Phillips@science.doe.gov)

### STATUTORY AUTHORITY

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

Public Law 109-58, Energy Policy Act of 2005

### APPLICABLE REGULATIONS

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

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

### SUMMARY:

The Office of Nuclear Physics (NP), Office of Science (SC), U.S. Department of Energy (DOE), hereby announces its interest in receiving applications for Research and Development (R&D) on alternative methods to produce enriched stable and radioactive isotopes needed for a wide variety of research and applications. The proposed research and development should generate data or lead to new and innovative technologies, or improvements to existing technologies, to foster enhanced production of isotopes that will benefit research and applications in medicine, homeland security, the physical sciences, biological and geological sciences, energy, and industry. Applications proposing novel and effective ways to train and develop personnel with knowledge and skills related to the production, processing, purification, and distribution of enriched stable and radioactive isotopes are encouraged.

Proposals submitted by DOE Laboratories to the companion announcement will be evaluated competitively with applications submitted to this FOA. If an applicant proposes to collaborate with one or more DOE Laboratories, a separate proposal must be submitted by each collaborating Laboratory. The narrative in the Laboratory proposal must clearly describe the scope, schedule and budget for the Laboratory work. Both the applicant and the collaborating Laboratory must clearly indicate the linkage between the two proposals in the narrative of their respective applications.

**NOTE 1:** The significant needs for methods of Mo-99 production are recognized. However, development of new production modalities for this isotope is currently being pursued under programs sponsored by the National Nuclear Security Administration

(NNSA). Thus, applications exclusively involving proposed modes of Mo-99 production are excluded from this call. Technologies associated with the production and recovery of other isotopes resulting from the fission of uranium, are NOT excluded from this call.

**NOTE 2:** The importance of He-3 to many areas of research and application is clearly recognized. The Department of Energy's supply of He-3 is also under the purview of NNSA, so applications exclusively involving proposed modes of He-3 production are excluded from this call.

Projects under this FOA will be funded under the auspices of the Isotope Development and Production for Research and Applications Program operating in the Office of Nuclear Physics in the United States Department of Energy's Office of Science. Contingent upon the availability of FY 2013 appropriated funds, it is anticipated that a total amount of about \$2,800,000 will be available under this opportunity. It is anticipated that at least two projects will be selected for funding for FY2013. Furthermore, if a sufficient number of quality applications are received additional applications may be selected for funding to begin in FY2014. In that case, at least two additional awards may be made contingent upon the availability of FY2014 appropriated funds of about \$2,800,000. Awardees will be selected guided by a peer review conducted in accordance with 10 CFR Part 605.10. The specific evaluation criteria are presented later in this FOA.

The general goal of this funding opportunity is to support efforts that will improve or develop new production and processing techniques of stable and radioactive isotopes in short supply, and to train the next generation workforce involved in the production, processing and distribution of isotopes. In establishing priorities for the program, the Office of Nuclear Physics considers guidance from the Nuclear Science Advisory Committee on Isotopes (NSACI) as documented in the following two reports:

*Compelling Research Opportunities using Isotopes*, NSAC Isotopes Subcommittee, April 23, 2009 ([http://science.energy.gov/~media/np/pdf/NSACI\\_Final\\_Report\\_Charge1.pdf](http://science.energy.gov/~media/np/pdf/NSACI_Final_Report_Charge1.pdf))

*Isotopes for the Nation's Future A Long Range Plan*, NSAC Isotopes Subcommittee, August 27, 2009 ([http://science.energy.gov/~media/np/nsac/pdf/docs/nsaci\\_ii\\_report.pdf](http://science.energy.gov/~media/np/nsac/pdf/docs/nsaci_ii_report.pdf))

Other background information pertinent to the purposes of this FOA may be found in:

*The Frontiers of Nuclear Science—a Long Range Plan*, DOE/NSF Nuclear Science Advisory Committee, December, 2007  
([http://science.energy.gov/~media/np/nsac/pdf/docs/nuclear\\_science\\_low\\_res.pdf](http://science.energy.gov/~media/np/nsac/pdf/docs/nuclear_science_low_res.pdf))

*Workshop on the Nation's Needs for Isotopes: Present and Future*, August, 2008  
([http://science.energy.gov/~media/np/pdf/program/docs/workshop\\_report\\_final.pdf](http://science.energy.gov/~media/np/pdf/program/docs/workshop_report_final.pdf))

*Advancing Nuclear Medicine Through Innovation*, National Academy of Sciences (2007), National Academies Press (<http://dels.nas.edu/Report/Advancing-Nuclear-Medicine-Through-Innovation-2007/11985>)

A companion Program Announcement to DOE National Laboratories (LAB 12-743) will be posted on the SC Grants and Contracts web site at: <http://www.science.doe.gov/grants>

## **SUPPLEMENTARY INFORMATION:**

### **Program Objective:**

The mission of the Office of Nuclear Physics Isotope Development and Production for Research and Applications (IDPRA) Program is to develop, produce and distribute enriched stable and radioactive isotope products that are in short supply. Many isotopes are high-priority commodities of strategic importance for the Nation and are essential for energy, medical and national security applications, and basic research. A goal of the program is to make critical isotopes more readily available to meet domestic U.S. needs. Community-sponsored studies and workshops have identified a number of enriched stable and radioactive isotopes in short supply that are needed by the research and applied sciences communities. The reliable availability of isotopes for research is crucial for many U.S. scientists to stay engaged at the forefront of scientific advances and discoveries.

The IDPRA Program is steward of the Isotope Production Facility (IPF) at Los Alamos National Laboratory (LANL), the Brookhaven Linear Isotope Producer (BLIP) facility at BNL, and hot cell facilities for processing isotopes at Oak Ridge National Laboratory (ORNL), BNL and LANL. The Program also coordinates and supports isotope production at a suite of university, national laboratory, and federal accelerator and reactor facilities throughout the Nation to promote a reliable supply of domestic isotopes.

Scientists at universities, national laboratories or private companies are encouraged to submit applications that focus on the development of advanced, cost-effective and efficient technologies for producing, processing, recycling, and distributing isotopes in short supply. Successful research programs should lead to creation of data and/or technology that facilitate an increased supply of isotopes important to end-users of the materials and that complement the existing portfolio of isotopes produced and distributed by the IDPRA Program.

All aspects of research into the science of isotope production are of interest in this regard including:

- Novel or improved capabilities for inducing the transmutation in targets to create radioisotopes;
- Optimum selection of the materials and effective design of targets for the production of radioisotopes;
- Innovative approaches to model and predict behavior and yields of targets undergoing irradiation in order to minimize target failures during routine isotope production;

- Chemical and physical processes to recover and purify radioisotopes from activated targets, legacy materials, or facility components;
- Automation of production and processing techniques to enhance efficiency and safety of the production of radioisotopes; and
- New and innovative production methods for enriching stable isotopes, including electromagnetic and non-electromagnetic physical or chemical separation methods.

Also, applications that contribute to the training of the next generation of nuclear scientists and engineers in technical areas related to isotope production and processing are strongly encouraged.

**NOTE 3: All entities submitting applications to this FOA must recognize the moral and legal obligation to comply with export controls and policies that relate to the transfer of knowledge that has relevance to the production of special nuclear materials (SNM). Please see 10 C.F.R. PART 810—ASSISTANCE TO FOREIGN ATOMIC ENERGY ACTIVITIES for further information.**

Applications requesting support for research and development in one or more specific objectives should include a separate task for each objective. For each task the application should address the specific activities required to reach the goal; the method or approach to be taken; a cost-breakdown of the effort; the personnel required to carry out the effort; and the deliverable result of the task. Consideration should be given to the performance, cost, schedule, impact and benefit for producing the isotope product(s) that would result from the task. Each task should describe a realistic schedule, which includes a minimum of one clearly defined technical milestone per quarter. Milestones will be used to track progress of supported work. Equipment, supplies and materials required to accomplish the proposed tasks must be identified and detailed costs and procurement schedule shall be provided. Funds needed for travel associated with the project must be disclosed and justified. Applicants should note that they will be required to report formally on a regular basis regarding R&D expenditures and progress towards achieving the milestones and deliverables of the proposed effort. Material or financial institutional contributions to the effort, if any, should be clearly indicated.

### **Collaboration**

Applicants are welcome to collaborate with researchers in other institutions, such as universities, industry, non-profit organizations, federal laboratories and Federally Funded Research and Development Centers (FFRDCs), which include the DOE National Laboratories. In the case of collaborative applications submitted from different institutions that are directed at a single research activity, each application must have a different scope of work and a qualified principal investigator who is responsible for the research effort being performed at his or her institution.

There must be a single technical description of the proposed work, and separate face pages and budget pages for each institution. The scope of work at each institution must be clearly specified. While collaboration with researchers at FFRDCs (Fermi National Accelerator Lab and other DOE national labs are examples of FFRDCs), is encouraged, funding of FFRDCs occurs by a

different mechanism than for other institutions. Thus the collaborative work by FFRDC facilities cannot be funded under a sub-award. The FFRDC facility must submit a separate application delineating the scope, schedule and cost of work to be done. That application must specifically indicate that it is a collaborative activity with a clearly indentified entity which has submitted a separate application to this FOA.

Each collaborating institution submitting an application must use the same title in Block 11 of the SF 424 (R&R) form as the lead institution.

**NOTE 4: THE DETAILED PROCEDURE FOR SUBMITTING A COLLABORATIVE APPLICATION CAN BE ACCESSED VIA THE WEB AT:**

<http://www.sc.doe.gov/grants/colab.asp>.

## **PART II – AWARD INFORMATION**

### **A. TYPE OF AWARD INSTRUMENT.**

DOE anticipates awarding Cooperative Agreements under this Funding Opportunity Announcement (FOA).

### **B. ESTIMATED FUNDING.**

It is anticipated that up to \$2,800,000 will be available under this FOA in FY 2013, and maintained in outyears, contingent on the availability of appropriated funds. It is anticipated that at least two projects will be selected for funding for FY2013. Furthermore, if a sufficient number of quality applications are received additional proposals may be selected for funding to begin in FY2014. In that case, at least two additional awards may be made contingent upon the availability of FY2014 appropriated funds of about \$2,800,000. The number and size of the awards will depend on the number of applications received and selected for award and the availability of appropriated funds.

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

### **C. MAXIMUM AND MINIMUM AWARD SIZE.**

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

### **D. EXPECTED NUMBER OF AWARDS.**

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

### **E. ANTICIPATED AWARD SIZE.**

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

### **F. PERIOD OF PERFORMANCE.**

A maximum of three years will be considered. Out-year funding will depend upon suitable progress and the availability of appropriated funds. Funding for the final year is contingent upon satisfactory completion of a progress review during the third year of each project.

### **G. TYPE OF APPLICATION.**

DOE will accept new applications under this FOA.

### **PART III - ELIGIBILITY INFORMATION**

#### **A. ELIGIBLE APPLICANTS.**

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

#### **B. COST SHARING.**

Cost sharing is not required.

#### **C. OTHER ELIGIBILITY REQUIREMENTS.**

N/A

## PART IV – APPLICATION AND SUBMISSION INFORMATION

### A. ADDRESS TO REQUEST APPLICATION PACKAGE.

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

### B. LETTER OF INTENT AND PRE-APPLICATION

#### 1. Letter of Intent.

Letters of Intent are not required.

#### 2. Pre-Application.

Pre-applications are not required.

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

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

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

Complete this form first to populate data in other forms. The list of certifications and assurances referenced in Field 17 can be found on the DOE Financial Assistance Forms Page at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>, under Certifications and Assurances.

By submitting an application in response to this FOA the Applicant certifies that:

- It is **not** a corporation that has been convicted (or had an officer or agent of such corporation acting on behalf of the corporation 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,
- If the Applicant's financial assistance application is chosen for award and the award is in excess of \$1,000,000, the applicant will, by the end of the fiscal year, upgrade the efficiency of their facilities by replacing any lighting that does not

meet or exceed the energy efficiency standard for incandescent light bulbs set forth in Section 325 of the Energy Policy and Conservation Act (42 U.S.C. 6295).

## **2. RESEARCH AND RELATED Other Project Information.**

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

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

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

### **Project Narrative (Field 8 on the Form).**

The project narrative **must not exceed 25 pages** of technical information, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right). **EVALUATORS WILL ONLY REVIEW THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE.** The font must not be smaller than 11 point. Letters of endorsement from unfunded collaborators should also be included, if applicable. Please do not submit general letters of support as these are not used in making funding decisions and can interfere with the selection of peer reviewers.

Do not include any Internet addresses (URLs) that provide information necessary to review the application, because the information contained in these sites will not be reviewed. See Part VIII.D for instructions on how to mark proprietary application information. To attach a Project Narrative, click "Add Attachment."

The application narrative should begin with a cover page that includes: the project title, the Lead PI's name and complete contact information.

**The cover page must also include the following information (this page will not count in the project narrative page limitation):**

**Applicant/Institution:**

**Street Address/City/State/Zip:**

**Principal Investigator:**

**Postal Address:**

**Telephone Number:**

**Email:**

**Funding Opportunity Announcement Number: DE-FOA-0000743**  
**DOE/Office of Science Program Office: Office of Nuclear Physics**  
**DOE/Office of Science Program Office Technical Contact: Dr. Dennis Phillips**

**Is this a Collaboration?** If yes, please list ALL Collaborating Institutions/PIs and indicate which ones will also be submitting applications. Also indicate the Lead PI who will be the point of contact and coordinator for the combined research activity.

Partnership	Year 1	Year 2	Year 3	Year 4	Year 5	Total
(Start by Lead Institution) Name of the Institution and the Principal Investigator	\$(NP)	\$(NP)	\$(NP)	\$(NP)	\$(NP)	\$(NP)
Name of the Institution and the Principal Investigator	\$(NP)	\$(NP)	\$(NP)	\$(NP)	\$(NP)	\$(NP)
Name of the Institution and the Principal Investigator	\$(NP)	\$(NP)	\$(NP)	\$(NP)	\$(NP)	\$(NP)
<b>Total</b>	\$(NP)	\$(NP)	\$(NP)	\$(NP)	\$(NP)	\$(NP)

Example budget table (\$ in thousands)

**Project Objectives:**

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

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

**Appendix 1: Biographical Sketch.**

Provide a biographical sketch for the project director/principal investigator (PD/PI) and each senior/key person listed in Section A on the R&R Budget form. **Provide the biographical sketch information as an Appendix to your project narrative. Do not attach a separate file. This Appendix will not count in the project narrative page limitation.** The biographical information (curriculum vitae) for each person must not exceed 2 pages when printed on 8.5” by

11" paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point and must include:

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

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

*Publications.* Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically. Patents, copyrights and software systems developed may be provided in addition to or substituted for publications.

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

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

*Collaborators and Co-editors:* List in alphabetical order all persons, including their current organizational affiliation, who are, or who have been, collaborators or co-authors with you on a research project, book or book article, report, abstract, or paper during the 48 months preceding the submission of this application. For publications or collaborations with more than 10 authors or participants, only list those individuals in the core group with whom the Principal Investigator interacted on a regular basis while the research was being done. Also, list any individuals who are currently, or have been, co-editors with you on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application. If there are no collaborators or co-editors to report, state "None."

*Graduate and Postdoctoral Advisors and Advisees:* List the names and current organizational affiliations of your graduate advisor(s) and principal postdoctoral sponsor(s) during the last 5 years. Also, list the names and current organizational affiliations of your graduate students and postdoctoral associates during the past 5 years.

## **Appendix 2: Current and Pending Support.**

Provide a list of all current and pending support (both Federal and non-Federal) for the Project Director/Principal Investigator(s) (PD/PI) and senior/key persons, including subawardees, for ongoing projects and pending applications. For each organization providing support, show the total award amount for the entire award period (including indirect costs) and the number of person-months per year to be devoted to the project by the senior/key person. **Provide the current and pending support as an Appendix to your project narrative. Do not attach a separate file. This Appendix will not count in the project**

**narrative page limitation.** Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.

**Appendix 3: Bibliography & References Cited.**

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

**Appendix 4: Facilities & Other Resources.**

This information is used to assess the capability of the organizational resources, including subawardee resources, available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. **Provide the facility and other resource information as an Appendix to your project narrative. Do not attach a separate file. This Appendix will not count in the project narrative page limitation.**

**Appendix 5: Equipment.**

List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. **Provide the equipment information as an Appendix to your project narrative. Do not attach a separate file. This Appendix will not count in the project narrative page limitation.**

**Appendix 6: Other Attachment.**

If you need to elaborate on your responses to questions 1-6 on the “Other Project Information” document. **Provide the other attachment information as an Appendix to your project narrative. Do not attach a separate file. This Appendix will not count in the project narrative page limitation.**

**Do not attach any of the requested Appendices described above as files for fields 9, 10, 11, and 12. Instead follow the above instructions to include the information as Appendices to the project narrative file (these Appendices will not count in the project narrative page limitation).**

**3. RESEARCH AND RELATED BUDGET.**

Complete the Research and Related Budget form in accordance with the instructions on the form and the following instructions. You must complete a separate budget for each year of support requested. The form will generate a cumulative budget for the total project period. You must complete all the mandatory information on the form before the NEXT PERIOD

button is activated. You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this FOA (See PART IV, G).

**Budget Justification (Field K on the form).**

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

**4. R&R SUBAWARD BUDGET ATTACHMENT(S) FORM.**

**Budgets for Subawardees, other than DOE FFRDC Contractors.** You must provide a separate cumulative R&R budget for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (whichever is less). If you are selected for award, you must submit a multi-year budget for each of these subawardees. Download the R&R Budget Attachment from the R&R SUBAWARD BUDGET ATTACHMENT(S) FORM and e-mail it to each subawardee that is required to submit a separate budget. After the Subawardee has e-mailed its completed budget back to you, attach it to one of the blocks provided on the form. Use up to 10 letters of the subawardee's name (plus .xfd) as the file name (e.g., ucla.xfd or energyres.xfd).

**5. PROJECT/PERFORMANCE SITE LOCATION(s)**

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

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

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

**6. SF-LLL Disclosure of Lobbying Activities**

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

**Summary of Required Forms/Files**

Your application must include the following documents:

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

**D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.**

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

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

**E. SUBMISSION DATES AND TIMES.**

**1. Letter of Intent.**

Letters of Intent are not required.

**2. Pre-Application.**

Pre-applications are not required.

**3. Formal Applications.**

**APPLICATION DUE DATE:** September 28, 2012 11:59 PM Eastern Time

Formal applications submitted in response to this FOA must be received by September 28, 2012 11:59 PM Eastern Time, to permit timely consideration of awards in Fiscal Year 2013. **You are encouraged to submit your application well before the deadline. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

**F. INTERGOVERNMENTAL REVIEW.**

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

## **G. FUNDING RESTRICTIONS.**

Cost Principles. Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600. The cost principles for commercial organization are in FAR Part 31.

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

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

## **H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS.**

### **1. Where to Submit.**

#### **APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD.**

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).

### **2. Registration Process.**

You must COMPLETE the one-time registration process (all steps) before you can submit your first application through Grants.gov (See [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted)). We recommend that you start this process at least **six weeks** before the application due date. It may take **44 days** or more to complete the entire process. To register with Grants.gov go to "Get Registered" at [http://grants.gov/applicants/get\\_registered.jsp](http://grants.gov/applicants/get_registered.jsp). Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/assets/OrganizationRegCheck.pdf> to guide you through the process. IMPORTANT: During the SAM registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called "Marketing Partner Identification Number" (MPIN). When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e., Grants.gov registration).

You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately. Remember you have to update your SAM registration annually. The CCR system has migrated from CCR.gov to SAM.gov: registering early will give applicants enough time to address any challenges posed by the transition ([https://www.sam.gov/sam/transcript/SAM\\_Quick\\_Guide\\_Grants\\_Registrations-v1.6.pdf](https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf)).

### **3. Application Receipt Notices**

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of four e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. The titles of the four e-mails are:

Number 1 - Grants.gov Submission Receipt Number

Number 2 - Grants.gov Submission Validation Receipt for Application Number

Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number

Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number

## **PART V - APPLICATION REVIEW INFORMATION**

### **A. CRITERIA**

#### **1. Initial Review Criteria.**

Prior to a comprehensive merit evaluation, DOE will perform an initial review in accordance with 10 CFR 605.10(b) to determine that (1) the applicant is eligible for the award; (2) the information required by the FOA has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the Funding Opportunity Announcement. Applications that fail to pass the initial review will not be forwarded for merit review and will be eliminated from further consideration.

#### **2. Merit Review Criteria**

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

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

The evaluation process will include program policy factors such as the relevance of the proposed research to the terms of the FOA and the agency's programmatic needs. Note that external peer reviewers are selected with regard to both their scientific expertise and the absence of conflict-of-interest issues. Both Federal and non-Federal reviewers may be used, and submission of an application constitutes agreement that this is acceptable to the investigator(s) and the submitting institution.

### **B. REVIEW AND SELECTION PROCESS.**

#### **1. Merit Review.**

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Office of Science Merit Review System for Financial Assistance." This Merit Review System is available at <http://www.science.doe.gov/grants/process.asp>.

#### **2. Selection.**

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

### **3. Discussion and Award.**

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

### **C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES.**

It is anticipated that selections will be completed by Spring of Fiscal Year 2013. University and Private Industry awards will be made in Fiscal Year 2013 and 2014.

## PART VI - AWARD ADMINISTRATION INFORMATION

### A. AWARD NOTICES.

#### 1. Notice of Selection.

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

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

For grants and cooperative agreements made to universities, non-profits and other entities subject to Title 2 CFR the Award also includes the Research Terms and Conditions located at <http://www.nsf.gov/bfa/dias/policy rtc/index.jsp>

### B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.

#### 1. Administrative Requirements.

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR 600 and 10 CFR Part 605 (See: <http://ecfr.gpoaccess.gov> ). Grants and cooperative agreements made to universities, non-profits and other entities subject to Title 2 CFR are subject to the Research Terms and Conditions located on the National Science Foundation web site at <http://www.nsf.gov/bfa/dias/policy rtc/index.jsp>.

#### DUNS and SAM Requirements

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR, Part 25 (See: <http://ecfr.gpoaccess.gov>). Prime awardees must keep their data at SAM current. Subawardees at all tiers must obtain DUNS numbers and provide the DUNS to the prime awardee before the subaward can be issued.

#### 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, Part 170. (See: <http://ecfr.gpoaccess.gov>). Prime awardees must register with the new FSRS database and report the required data on their first tier subawardees. Prime awardees must report the executive compensation for their own executives as part of their registration profile in the CCR.

## **2. Special Terms and Conditions and National Policy Requirements.**

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at: <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>.

The National Policy Assurances to Be Incorporated As Award Terms are located at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf>.

### **Intellectual Property Provisions.**

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at <http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>.

### **Statement of Substantial Involvement**

Either a grant or cooperative agreement may be awarded under this FOA. If the award is a cooperative agreement, the DOE Contract Specialist and DOE Project Officer will negotiate a Statement of Substantial Involvement prior to award.

## **C. REPORTING.**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F4600.2, attached to the award agreement. For a sample Checklist, see <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Forms.

## PART VII - QUESTIONS/AGENCY CONTACTS

### A. QUESTIONS

Questions regarding the content of the FOA must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to view responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at:

[https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf).

DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

**Applications submitted through FedConnect will not be accepted.**

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

### B. AGENCY CONTACTS:

#### **Technical/Scientific Program Contact:**

**Dr. Dennis Phillips**, Office of Nuclear Physics, SC-26.2

PHONE: (301) 903-7866

FAX: (301) 903-3833

E-MAIL: [Dennis.Phillips@science.doe.gov](mailto:Dennis.Phillips@science.doe.gov)

## **PART VIII - OTHER INFORMATION**

### **A. MODIFICATIONS.**

Notices of any modifications to this FOA will be posted on Grants.gov and the FedConnect portal. You can receive an email when a modification or an FOA message is posted by registering with FedConnect as an interested party for this FOA. It is recommended that you register as soon after release of the FOA as possible to ensure you receive timely notice of any modifications or other FOAs. More information is available at <http://www.fedconnect.net>.

### **B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE.**

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

### **C. COMMITMENT OF PUBLIC FUNDS.**

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

### **D. PROPRIETARY APPLICATION INFORMATION.**

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

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

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

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

## **E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL.**

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

## **F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM.**

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

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

## **G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER.**

Applicants may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this FOA, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784, [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title10/10cfr784\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title10/10cfr784_main_02.tpl).

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

## **H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES.**

N/A

## **I. AVAILABILITY OF FUNDS.**

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