

PART IV – APPLICATION AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST APPLICATION PACKAGE.

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

B. LETTER OF INTENT AND 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

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

1. SF 424 (R&R)

Complete this form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (Icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 18 can be found on the DOE Financial Assistance Forms page at http://management.energy.gov/business_doe/business_forms.htm, under Certifications and Assurances.

2. RESEARCH AND RELATED Other Project Information.

Complete questions 1 through 5 and attach files. The files must comply with the following instructions:

Project Summary/Abstract (Field 6 on the Form)

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to publication. It should be a single page that identifies the name of the applicant, the project director/principal investigator(s), 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 one 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 7 on the form)

There is no page limit to the project narrative. When printed using standard 8.5” by 11” paper the margin should be 1 inch (top, bottom, left, and right). The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application, because the information contained in these sites will not be reviewed. **All applications should be in a single PDF file.** To attach a Project Narrative, click “Add Attachment.”

The Research & Related Other Project Information form of the Grants.gov template should be completed in the following manner. **Project Narrative is Field 7 on the form.**

The first page of your narrative must include the following information:

Applicant/Institution:

Street Address/City/State/Zip:

Principal Investigator:

Address:

Telephone Number:

Email:

DOE/Office of Science Program Office:

DOE/Office of Science Program Manager Contact:

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

* Note that collaborating applications must be submitted separately.

Biographical Sketches

Current and Pending Support for each senior investigator

Letters of Intent from collaborators (if applicable)

Facilities and Resources description

Literature Cited

The project narrative must include: **(and any other items as listed in the Funding Opportunity Description above)**

Project Objectives

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

Appendix 1: Biographical Sketch Appendix.

Provide a biographical sketch for the project director/principal investigator (PD/PI) and each senior/key person listed in Section A on the R&R Budget form. **Provide the biographical sketch information as an appendix to your project narrative. Do not attach a separate file.** The biographical information 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. 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. 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. **In order to reduce the number of files attached to your application, please provide the Bibliography and References Cited information as an appendix to your project narrative.**

Appendix 4. Facilities & Other Resources.

This information is used to assess the capability of the organizational resources, including subawardee resources, available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. **In order to reduce the number of files attached to your application, please provide the Facility and Other Resource information as an appendix to your project narrative.**

Appendix 5: Equipment.

List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. **In order to reduce the number of files attached to your application, please provide the Equipment information as an appendix to your project narrative.**

Appendix 6: Other Attachments.

If you need to elaborate on your responses to questions 1-5 on the “Other Project Information” document, **provide the information as an appendix to your project narrative.**

Do not attach any of the requested appendices described above as files for fields 8, 9, 10, and 11, instead follow the above instructions to include the information as appendices to the project narrative file.

3. RESEARCH AND RELATED BUDGET.

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

Budget Justification (Field K on the form).

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

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 subawardee (See Section IV.D for submission of Subawardees' multi-year budgets). 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.

4. PROJECT/PERFORMANCE SITE LOCATION(S)

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

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

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

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

Summary of Required Forms/Files

Your application must include the following documents:

Name of Document	Format	Attach to
SF 424 (R&R)	Form	N/A
RESEARCH AND RELATED Other Project Information	Form	N/A
Project Summary/Abstract	PDF	Field 6
Project Narrative, including required appendices	PDF	Field 7
RESEARCH & RELATED BUDGET	Form	N/A
Budget Justification	PDF	Field K
PROJECT/PERFORMANCE SITE LOCATION(S)	Form	N/A
SF-LLL Disclosure of Lobbying Activities, if applicable	Form	N/A