

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY  
ANNOUNCEMENT**



**U. S. Department of Energy  
Idaho Operations Office  
Fiscal Year 2015**

**Scientific Infrastructure Support for Consolidated  
Innovative Nuclear Research**

**Funding Opportunity Announcement:  
DE-FOA-0001130**

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AMENDMENT 000001 (11/4/2014)  
AMENDMENT 000002 (12/8/2014)**

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**Informational Webinar was held on August 12-14, 2014** (video links and presentations will be made available at [www.neup.gov](http://www.neup.gov))

**Issue Date: August 18, 2014**

**Application Due Date: February 2, 2015 at 8:00 PM ET**

AMENDMENT 000001 – The purpose of this modification is to update “Table I: Parts II and III Summary” with an anticipated award size of \$250,000 for university-led general scientific infrastructure.

AMENDMENT 000002 – The purpose of this modification is to update the DOE contact in Part VII. B. “Agency Contact” from Aaron Gravelle to Shawn Tinsley.

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## List of Acronyms

ARC - Advanced Reactor Concepts  
ATR - Advanced Test Reactor  
CCR- Central Contractor Registration  
CFDA - Catalog of Federal Domestic Assistance  
CFA - Call for Full Application  
CFR - Code of Federal Regulations  
CINR – Consolidated Innovative Nuclear Research  
COI - Conflict of Interest  
CTD – Crosscutting Technology Development  
DE – Department of Energy  
DOE - Department of Energy  
DUNS – Data Universal Numbering System  
EPAAct - Energy Policy Act of 2005  
FC R&D - Fuel Cycle Research and Development  
FDO - Federal Demonstration Partnership  
FFATA - Federal Funding and Transparency Act of 2006  
FFRDC- Federally Funded Research and Development Center  
FOA - Funding Opportunity Announcement  
FSRS - FFATA Subaward Reporting System  
GOGO - Government Owned/Government Operated  
GSI - General Scientific Infrastructure  
ICHMI - Instrumentation, Control, Human, Machine Interface  
ID - Identification  
IRP - Integrated Research Projects  
LWRS - Light Water Reactor Sustainability  
M&O - Management and Operating  
MOOSE - Multiphysics Object Oriented Simulation Environment  
MS - Mission Supporting  
MSI - Minority Serving Institution  
NE - Office of Nuclear Energy  
NEAMS - Nuclear Energy Advanced Modeling and Simulation  
NEET - Nuclear Energy Enabling Technologies  
NEUP - Nuclear Energy University Programs  
NS&E – Nuclear Science & Engineering  
NGNP - Next Generation Nuclear Plant Demonstration Project  
NSUF - National Scientific User Facility  
NNSA - National Nuclear Security Administration  
NPPs - Nuclear Power Plants  
PD - Program Directed  
PDF - Adobe Portable Document Format  
PIE - Post-irradiation Examination  
PI - Principal Investigator  
POC - Point of Contact  
QA - Quality Assurance  
R&D - Research and Development  
RC RD&D - Reactor Concepts Research, Development and Demonstration

RPA - Request for Pre-application  
RPS - Radioisotope Power Systems  
RPV - Reactor Pressure Vessel  
SAM - System for Award Management  
SBIR - Small Business Innovation Research  
SF - Standard Form  
SMR - Small Modular Reactors  
STTR - Small Business Technology Transfer  
TAC - Total Allowable Costs  
TIO - Technical Integration Office  
TMI-2 - Three Mile Island Unit 2

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

### **A. STATEMENT OF OBJECTIVES**

This Funding Opportunity Announcement (FOA) is for Scientific Infrastructure Support for Consolidated Innovative Nuclear Research and university research reactor upgrades for the U.S. nuclear research community. It is referred to in this document as the “Infrastructure FOA”.

#### **1. Background and Objectives**

The Department of Energy’s (DOE) Office of Nuclear Energy (NE) conducts crosscutting nuclear energy research and development (R&D) and associated infrastructure support activities to develop innovative technologies that offer the promise of dramatically improved performance for advanced reactors and fuel cycle concepts while maximizing the impact of DOE resources.

The development of nuclear energy-related infrastructure and basic capabilities in the research community is necessary to promote R&D that supports nuclear science and engineering (NS&E), DOE-NE’s mission, and the Nation’s nuclear energy challenges. Accordingly, DOE intends to enable the education and training of nuclear scientists, engineers, and policy-makers in graduate and undergraduate study and two-year programs, as well as R&D that is relevant to the Department and the nuclear energy industry in general.

The Nuclear Energy University Program (NEUP) utilizes up to 20 percent of funds appropriated to NE’s R&D program for university-based infrastructure support and R&D in key NE program-related areas:

- Fuel Cycle Research and Development (FCR&D)
- Reactor Concepts Research
- Development and Demonstration (RCRD&D)
- Nuclear Energy Advanced Modeling and Simulation (NEAMS).

Nuclear Energy Enabling Technologies Crosscutting Technology Development (NEET CTD) supports national laboratory, university and industry led crosscutting research and national laboratory infrastructure support.

The infrastructure requested should be individual, discrete, and definable items or capabilities that will support, maintain, or enhance the institutions’ capacities to attract and teach high quality students interested in nuclear energy-related studies; build the institutions’ research or education capabilities; or enhance the institutions’ capabilities to perform R&D that is relevant to DOE-NE’s mission.

NE reserves the right to respond to potential shifts in priorities during FY 2015 that may be driven by events, policy developments, or Congressional/budget direction. NE will factor



such considerations into decisions related to the timing and scale of award announcements associated with this FOA.

## **2. Major NE-Funded Research Programs**

*Fuel Cycle Research and Development (FC R&D) Program.* The mission of the FC R&D program is to develop used nuclear fuel management strategies and technologies to support meeting the federal government's responsibility to manage and dispose of the Nation's commercial used nuclear fuel and high-level waste and to develop sustainable fuel cycle technologies and options that improve resource utilization and energy generation, reduce waste generation, enhance safety, and limit proliferation risk.

The program vision is that by mid-century, strategies and technologies for the safe long-term management and eventual disposal of U.S. commercial used nuclear fuel and any associated nuclear wastes have been fully implemented. Additionally, it is desired that advanced nuclear fuel and fuel cycle technologies that enhance the accident tolerance of light-water reactors and enable sustainable fuel cycles are demonstrated and deployed. Together, these technologies and solutions support the enhanced availability, affordability, safety, and security of nuclear-generated electricity in the U.S.

Current challenges include the development of high burnup fuel and cladding materials to withstand irradiation for longer periods of time with improved accident tolerance; development of simplified materials recovery technologies, waste management (including storage, transportation, and disposal), and proliferation risk reduction methods; and development of processes and tools to evaluate sustainable fuel cycle system options and to effectively communicate the results of the evaluation to stakeholders.

*Reactor Concepts Research, Development and Demonstration (RC RD&D) Program.* The mission of the RC RD&D program is to develop new and advanced reactor designs and technologies that broaden the applicability, improve the competitiveness, and ensure the lasting contribution toward meeting our Nation's energy and environmental challenges. Research activities are designed to address the technical, cost, safety, and security issues associated with various reactor concepts. The four technical areas are Light Water Reactor Sustainability (LWRS), Small Modular Reactors (SMR), Advanced (Non-Light Water) Reactor Concepts (ARC), and Advanced Small Modular Reactors (Adv SMRs). In addition, R&D for the manufacturing of radioisotope power systems for national security and space exploration missions is supported through the Space and Defense Infrastructure Program.

*Nuclear Energy Advanced Modeling and Simulation (NEAMS) Program.* The mission of the NEAMS program is to create modern computer simulation codes and methods that give the user state-of-the-art physics models that can take advantage of powerful multi-processing computers in order to better understand the behavior of nuclear reactor and fuel systems during normal operations and/or transient events. In particular, NEAMS is aimed at creating an advanced mechanistic toolkit that is applicable to a wide range of reactor designs for use by industry, academia, and the national laboratories. The NEAMS Toolkit will help engineers and scientists form new insights into the safety and economics of

current and next generation reactor and fuel systems. It will provide much higher fidelity than current methods and incorporate well-defined and validated prediction capabilities.

This will be achieved by employing advanced software environments and modern high-performance computers to create a set of engineering-level codes in which fuels and materials continuum properties are informed by first-principles modeling of materials at the atomistic and meso scale. A set of simulation tools will be developed that promote interoperability of codes with respect to spatial meshing, materials and fuels models, and achieve a common "look and feel" for setting up problems and displaying results. The tool set to be developed aims to achieve scalability in terms of computing power and the types and couplings of the physics that dominates the system behavior.

*Nuclear Energy Enabling Technologies Crosscutting Technology Development (NEET CTD).* The NEET CTD program conducts R&D in crosscutting technologies that directly support and enable the development of new and advanced reactor designs and fuel cycle technologies. These technologies will advance the state of nuclear technology, improving its competitiveness and promoting continued contribution to meeting our Nation's energy and environmental challenges. The activities undertaken in this program complement those within the RC RD&D and FC R&D programs. The knowledge generated through these activities will allow NE to address key challenges affecting future nuclear energy deployments.

## **B. RELATED COLLABORATIVE OPPORTUNITIES**

Utilization of equipment acquired as a result of this Infrastructure FOA may enhance or benefit currently funded or proposed NE R&D. Therefore, opportunities exist to leverage R&D applications as outlined below.

1. *Consolidated Innovative Nuclear Research (CINR).* DOE-NE funds Program Supporting, Mission Supporting, and Program Directed R&D projects as part of a separate FOA (DE-FOA-0001129), which seeks applications from U.S. Universities, DOE National Laboratories, and U.S. Industry to support NE mission focused R&D. NE is facilitating the ability of researchers to coordinate and enhance their proposed equipment acquisitions in response to this Infrastructure FOA with R&D applications made in response to the CINR FOA, as appropriate and as described below.

Institutions may submit applications in response to this Infrastructure FOA to support the execution of a proposed R&D project proposed under the CINR FOA (i.e., the requested equipment must be required to execute the R&D project). This linkage is enabled during the submission process of the R&D application.

Applications submitted through this joint mechanism will be reviewed and ranked according to the criteria and processes described in both FOAs. DOE anticipates that applications with a direct tie to DOE-NE funded research will receive higher relevancy scores. As funding permits, applications selected for funding by both review processes will be funded. Both applications must be successful for either to be considered.

2. *Advanced Test Reactor (ATR) National Scientific User Facility (NSUF).* DOE-NE provides nuclear energy researchers access to world-class capabilities to facilitate the

advancement of nuclear science and technology. This mission is supported by providing cost-free access to state-of-the-art experimental irradiation testing and post-irradiation examination facilities as well as technical assistance in design and analysis of reactor experiments. NSUF and its partner facilities represent a prototype laboratory for the future. This unique model is best described as a distributed partnership with each facility bringing exceptional capabilities to the relationship including reactors, beamlines, state-of-the-art instruments, hot cells, and most importantly, expert mentors. Together these capabilities and people create a nation-wide infrastructure that allows the best ideas to be proven using the most advanced capabilities. Through NSUF, University researchers and their collaborators are building on current knowledge to better understand the complex behavior of materials and fuels in the radiation environment of a nuclear reactor. Access to the NSUF and its Partner facilities is granted through a separate competitive proposal process.

To apply to any of the areas in this FOA, the applicant is required to be a current partner or demonstrate the capability and willingness to join the NSUF as a partner facility through the NSUF Partnership Program. (See <https://atrnsof.inl.gov/default.aspx?enc=rizwdIwQV3FzXsB7JGmdi7FJWSc5GpqDGG7xna/bNxwflPWC0Ksfly4spW/DhCSJ> for more information on becoming a NSUF Member.) If NSUF determines the new equipment/capability adds significant value to DOE, the equipment/capability may be added as a DOE user facility so that the equipment is available to other researchers.

### C. FUNDING OPPORTUNITIES

DOE is seeking applications under the Infrastructure FOA in the following areas:

1. University Research Reactor Upgrades Infrastructure Support
2. General Scientific Infrastructure Support for Universities and DOE National Laboratories.

NOTE: An application to either of these FOA areas is restricted to equipment or activities supporting research, teaching, and education, such as the purchase, set-up, and vendor installation costs for equipment and instrumentation, as well as building modifications that immediately support the installation and operation of the equipment. The application cannot include hiring or other human capital costs or the routine operation and maintenance of equipment on the applicant's research reactor. It also cannot include non-standard installation costs for equipment and instrumentation that are beyond the vendor's standard installation cost. *Personnel or indirect costs are not allowed, except as specified in this FOA.* Institution-specific costs, not specific to the equipment or instrumentation, are the responsibility of the applicant. For example, if a vendor needs to meet safety and health requirements to access the campus or a facility, then these costs are the responsibility of the applicant. Funds are restricted to equipment or activities supporting research, teaching, and education. Upgrades to increase operational profit are not allowed.

**Additionally, the Department has determined that it will defer any additional investments that would establish or enhance research capabilities similar to those currently represented by the Intermediate Voltage Electron Microscope (IVEM) at the Argonne**

**National Laboratory (ANL) until the Department’s overall investment strategy in this important research capability area is confirmed via a planned competitive process in the FY2016 timeframe. Consequently, the Department will not fund any IVEM-related proposals (e.g., ion accelerator beamlines, transmission electron microscopes, and associated linkages) submitted in response to this FOA.**

**1. University Research Reactor Upgrades Infrastructure Support**

Statement of Objectives

This section describes the objectives for University Research Reactor Upgrades Infrastructure Support. This area of the FOA supports the NE program missions as previously described.

Only operators of the following research reactors are eligible to submit applications under this section of the FOA:

Idaho State University  
Kansas State University  
Massachusetts Institute of Technology  
North Carolina State University  
Ohio State University  
Oregon State University  
Pennsylvania State University  
Purdue University  
Reed College  
Rensselaer Polytechnic Institute  
Rhode Island Nuclear Science Center  
Texas A&M University  
University of California at Davis  
University of California at Irvine  
University of Florida  
University of Maryland  
University of Massachusetts at Lowell  
University of Missouri – Columbia  
University of Missouri Science & Technology  
University of New Mexico  
University of Texas at Austin  
University of Utah  
University of Wisconsin  
Washington State University

Each operator is permitted to submit a **single, separate** application, for each research reactor they operate.

The purpose of the program is to upgrade and improve the U.S. University nuclear research and training reactors and to contribute to strengthen the academic community's nuclear engineering infrastructure.

Applications should be directed to the upgrade of the research reactor, or purchase / maintenance of equipment and instrumentation or activities:

1. Related to the safety, performance, control or operational capability of the research reactor and/or associated facility;
2. For radiation detection and measurement in laboratories directly related to the research reactor facility;
3. For security/safety enhancements or licensing renewal support at the research reactor facility required by the Nuclear Regulatory Commission (NRC), the state, or other appropriate agency for that particular item;
4. For equipment and instrumentation that significantly improve or expand the research, instruction, training capabilities, or operating capabilities (e.g. utilization or handling of radiological or radioactive materials) of the research reactor facility; or,
4. Other safety related equipment.

Under this FOA area, applications can be submitted for all equipment and instrumentation and associated facility upgrade requests that support nuclear energy-related R&D or education at university research reactors. Infrastructure requests that support the sharing and use of equipment and instrumentation by multiple campuses of a university or multiple universities are encouraged. Equipment and associated upgrades specifically for general scientific laboratories are called for in Part I, Section C.2 (see below) of this FOA.

## **2. General Scientific Infrastructure Support for Universities and DOE National Laboratories**

### Statement of Objectives

This section describes the objectives for the General Scientific Infrastructure Support for the NE program missions as previously described.

Universities and National Laboratories are permitted to submit multiple applications to this FOA area. However, all applications submitted *except one* must be tied to a currently proposed project submitted in response to the FY 2015 CINR R&D FOA (DE-FOA-0001129). See Part I, Section B – “Related Collaborative Opportunities”. If only one application is to be submitted, it is not required to be tied to a proposed project submitted in response to the FY 2015 CINR R&D FOA (DE-FOA-0001129).

Requested DOE National Laboratory equipment should support multiple NE R&D programs (consistent with NEET CTD objectives) and complement and expand upon current capabilities and the associated expertise to provide a needed capability to the nuclear energy research community.

Under this FOA, applications can be submitted for equipment, software, instrumentation and associated facility upgrade requests that support nuclear energy-related R&D or education. Funding requests can include, but are not limited to, equipment and instrumentation for specialized facilities, classrooms and teaching laboratories (for universities only), and non-reactor NS&E research. Infrastructure requests that support the sharing and use of equipment and instrumentation by multiple campuses of a university, multiple universities or national laboratories are encouraged. Equipment and associated upgrades specifically for university research reactors are the subjects of the University Research Reactor Upgrades Infrastructure Support opportunity discussed in Part I, Section C.1 above.

## **PART II - AWARD INFORMATION**

*NOTE: The following requirements apply to all FOA areas unless specific requirements are identified.*

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

DOE anticipates awarding Grants to Universities, and utilizing work authorizations under DOE O 412.1A, Work Authorization System for awards to National Laboratories.

### **B. ESTIMATED FUNDING**

The estimated amounts identified for each of the FOA areas is contingent upon Congressional appropriations and is subject to significant change.

#### **1. University Research Reactor Upgrades Infrastructure Support**

DOE currently estimates that it will fund approximately **\$3 million** in awards in response to this FOA area.

#### **2a. University General Scientific Infrastructure Support for CINR**

DOE currently estimates that it will fund approximately **\$2 million** in awards for this FOA area.

#### **2b. DOE National Laboratory General Scientific Infrastructure Support for NEET CTD**

DOE currently estimates that it will fund approximately **\$1.5 million** in awards in response to this FOA area.

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

Maximum and minimum award sizes are identified for the FOA areas below:

## **1. University Research Reactor Upgrades Infrastructure Support**

Ceiling (i.e., the maximum amount for an individual award made under this area):

Up to \$3 million

Floor (i.e., the minimum amount for an individual award made under this area):

None.

## **2a. University General Scientific Infrastructure Support for CINR**

Ceiling (i.e., the maximum amount for an individual award made under this area):

Up to \$2 million

Floor (i.e., the minimum amount for an individual award made under this area):

None.

## **2b. DOE National Laboratory General Scientific Infrastructure Support for NEET CTD**

Ceiling (i.e., the maximum amount for an individual award made under this area):

Up to \$1.5 million

Floor (i.e., the minimum amount for an individual award made under this area):

None.

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

The estimated amounts identified for each of the FOA areas is contingent upon Congressional appropriations and is subject to change. However, at this time, DOE anticipates making numerous awards under each FOA area, depending on the quality of the submissions and availability of funds. DOE reserves the right to make fewer or no awards under this announcement.

## **E. ANTICIPATED AWARD SIZE**

The anticipated award size for each of the FOA areas are identified below; the anticipated award size ranges are estimated and actual awards may vary:

## **1. University Research Reactor Upgrades Infrastructure Support**

DOE anticipates awards up to \$3 million depending on the quality of the submissions and availability of funds. However, DOE anticipates making several smaller awards.

### **2a. University General Scientific Infrastructure Support for CINR**

DOE anticipates awards will average \$250,000 for the total project period.

### **2b. DOE National Laboratory General Scientific Infrastructure Support for NEET CTD**

DOE anticipates awards will average \$500,000 for the total project period.

## **F. PERIOD OF PERFORMANCE**

DOE anticipates making awards with an estimated project period of one (1) year. Additional time, if needed, may be requested and justified in the application.

## **G. TYPE OF APPLICATION**

DOE will accept only new applications under this announcement.

## **PART III - ELIGIBILITY INFORMATION**

*NOTE: The following requirements apply to all FOA areas unless specific requirements are identified.*

### **A. ELIGIBLE APPLICANTS**

#### Restricted Eligibility

#### 1) Universities and Colleges

In accordance with 10 CFR 600.6(b), eligibility for award is restricted to U.S. universities and colleges. Underrepresented Groups and Minority-Serving Institutions (e.g., Historically Black Colleges and Universities, Hispanic Serving Institutions, Tribal Serving Institutions) are encouraged to apply. The following link provides the list of minority serving institutions: <http://www.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>.

#### 2) DOE/NNSA Federally Funded Research and Development Centers (FFRDCs)

DOE/NNSA Federally Funded Research and Development Centers (FFRDCs) and DOE Government-Operated Government-Owned laboratories (GOGOs) are eligible to apply for funding under the General Scientific Infrastructure Support for Consolidated Innovative Nuclear Research and for the NEET CTD as a prime recipient.



## B. COST SHARING

For university recipients, cost sharing is not required but encouraged for awards under \$250,000. For FFRDCs cost sharing is not required,

## C. COST MATCHING

To maximize the use of available NE funding, cost matching is required for universities on a 1:1 dollar match for requests above \$250,000 for applications under the General Scientific Infrastructure Support for Consolidated Innovative Nuclear Research. For example, if a \$300,000 project is proposed, cost matching requirements apply to \$50,000 of this amount, meaning the recipient would be required to match \$25,000. This requirement may not be waived.

## D. OTHER ELIGIBILITY REQUIREMENTS

### NSUF Partner Facilities

To apply to any of the areas in this FOA, the applicant is required to demonstrate the capability and willingness to join the NSUF as a partner facility through the NSUF Partnership Program or be a current partner. (See <https://atrnsof.inl.gov/default.aspx?enc=rizwdIwQV3FzXsB7JGmdi7FJWSc5GpqDGG7xna/bNxxwFLPWC0Ksfly4spW/DhCSJ> for more information on becoming a NSUF Member.)

**Table 1. Parts II and III Summary**

	Estimated Available Budget	Eligibility	Maximum Award Size	Anticipated Award Range	Cost Match	Multiple Applications
<b>Research Reactor Upgrades</b>	\$3,000,000	University	\$3,000,000	Up to \$1,500,000	N/A	No
<b>GSI</b>	\$2,000,000	University	\$2,000,000	\$250,000	1:1 >\$250,000	Yes, if tied to a CINR R&D application.
	\$1,500,000	National Laboratory	\$1,500,000	\$500,000	N/A	

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

***NOTE: The following requirements apply to all FOA areas unless specific requirements are identified.***

## **A. ADDRESS TO REQUEST APPLICATION PACKAGE**

Apply at <http://www.neup.gov>

Application forms and instructions are available at the NEUP website. To access these materials, go to <http://www.NEUP.gov>, select “Login” from the top right hand corner of the screen, enter your user credentials, select “Applications” from the menu, and then click on “Create New Application” for the type of application you are creating.

## **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**

Applicants 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 attached to the forms must be in Adobe Portable Document Format (PDF) and merged into a single PDF file unless otherwise specified in this announcement.

### **1. SF 424 - Application for Federal Assistance**

Complete this form first to populate data in other forms. Complete all required fields in accordance with the pop-up instructions on the form. The list of certifications and assurances referenced in Field 21 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.

### **2. 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.

### 3. Other Attachments Form

Submit the following files with your application and attach them according to the instructions in the online application form.

#### *a. Project Narrative File - Mandatory Other Attachment*

The project narrative must not exceed eight (8) pages, including cover page, table of contents, 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) [single spaced] with font no smaller than 11 point for general text; fonts no smaller than 8 may be used for figures, charts, graphs, maps, photographs, and other pictorial presentation. EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. Do not include any Internet addresses (URLs) that provide information necessary to review the application. See Section VIII.D for instructions on how to mark proprietary application information. Save the information in a single file named "ProjectNarrative.pdf,".

#### **The project narrative must include:**

- 1) Narrative Cover Page which must indicate:
  - a) The name and type of organization;
  - b) The announcement number;
  - c) The FOA Opportunity Title (e.g. University Research Reactor Upgrades Infrastructure Support, General Scientific Infrastructure Support);
  - d) The technical and business points of contract for the applicant, denoting the names, titles, addresses, telephone and facsimile numbers, and electronic mail addresses;
  - e) Principle Investigator's name, telephone number, facsimile number, e-mail address, and organization name/unit; and
  - f) Names of team members or partnerships.
- 2) *Project Objectives*. This section should provide a clear, concise statement of the specific objectives/aims of the proposed project. For universities, briefly describe the NS&E program(s) at your school; if you do not have a current program, describe your plans to establish such a program. Provide a narrative that describes how your application will further NS&E R&D and education. Discuss the proposed objectives and goals for use of the equipment. Discuss how the request enables the university's learning mission or the national laboratory's nuclear energy mission; and how the request fills current infrastructure gaps and complements existing infrastructure and personnel capabilities. Discuss ties to the DOE-NE mission and/or NSUF.
- 3) *Merit Review Criterion Discussion*. The section should be formatted to address each of the merit review criterion and sub-criterion listed in greater detail in Section V.A.2, as well as Other Selection Factors. Applicants shall provide sufficient information so that reviewers will be able to evaluate the application in accordance with the merit review criteria and other selection factors.

- 4) *Project Timetable*: This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period. Successful applicants must use this project timetable to report progress.
- 5) *Relevance and Outcomes/Impacts*: This section should explain the relevance of the effort to the objectives in the program announcement and the expected outcomes and/or impacts. The justification for the proposed project should include a clear statement of the importance of the project in terms of the utility of the outcomes and the target community of beneficiaries.
- 6) *Roles of Participants*: Describe the capabilities and qualifications of the Principal Investigator and application team to accomplish the proposed work.
- 7) *Facilities And Other Resources*: Identify the facilities (e.g., office, laboratory, computer, etc.) and expertise to be used at each performance site listed and, 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. Provide any information describing the other resources available to the project such as machine and electronics shops.
- 8) *Equipment*: List important items of equipment already available for this project and, if appropriate, note the location and pertinent capabilities of each. If you are proposing to acquire equipment, describe comparable equipment, if any, already at your organization or within the DOE complex and explain why it cannot be used.
- 9) *Utilization*: Provide a narrative that describes how your application will allow for researcher usage, both within the institution and by other entities. Provide a measure of the amount of use expected for the requested equipment and instrumentation by both the proposing institution and others within the research community. If there is a preexisting capability, provide a description of how readily accessible and/or currently utilized the resource is by other entities.

***b. Project Summary/Abstract File***

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), 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 if an award is made. The project summary must not exceed one (1) page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) [select single or double spaced] with font no smaller than 11 point. Save this information in a file named "Summary.pdf".

*c. SF 424 A Excel, Budget Information - Non-Construction Programs File (University Applicants)*

Applicants must provide a separate budget for each year of support requested and a cumulative budget for the total project period. Use the SF 424 A Excel, "Budget Information - Non Construction Programs" form on the DOE Financial Assistance Forms Page at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>.

Applicants may request funds under any of the Object Class Categories 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). Save this information in a single file named "Budget(SF424A).xls,".

*d. Budget for DOE/NNSA Federally Funded Research and Development Center (FFRDC) Applicants only*

If a DOE/NNSA FFRDC contractor is applying, they must provide a DOE Field Work Proposal in accordance with the requirements in DOE Order 412.1 Work Authorization System. This Order and the DOE Field Work Proposal form are available at <http://energy.gov/management/office-management/operationalmanagement/financial-assistance/financial-assistance-forms>.

FFRDCs are permitted to propose costs in accordance with their established DOE contracts (e.g. overheard, fees, etc.).

Save this information using up to 10 letters of the FFRDC name (plus .pdf) as the file name (e.g., lanl.pdf or anl.pdf).

*e. Budget Justification File*

Applicants must justify the costs proposed in each Object Class Category/Cost Classification category (e.g.; provide a list of equipment and cost of each item; and provide any other information you wish to support your budget). **Submit vendor quotes or referenced costs (catalog pricing) or other basis for estimate for any single item over \$25,000.**

If cost sharing is proposed, applicants must have a letter from each third party contributing cost sharing (i.e., a party other than the organization submitting the application) stating that the third party is committed to providing a specific minimum dollar amount of cost sharing.

The budget justification file should also identify the following information for each third party contributing cost sharing: (1) the name of the organization; (2) the proposed dollar

amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed cost sharing - cash, services, or property.

By submitting your application, you are providing assurance that you have signed letters of commitment. Successful applicants will be required to submit these signed letters of commitments. Save the budget justification information in a single file named "BudgetJustification.pdf".

***f. Principal Investigator Vita***

Applicants shall provide a CV from the PI. CVs are limited to a 2-page maximum. Vitae must include:

- Contact Information
- Education and Training: Undergraduate, graduate and postdoctoral training. Identify 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.

Up to 4 additional staff can provide a CV for review following the instructions provided above.

Save each CV as a separate file titled ““Last name of individual” CV.pdf”.

***g. Past, Current and Pending Support***

Identify funding that is pending or has been awarded, for similar activities related to nuclear infrastructure/ curriculum within the last three years. Please identify by source and amount requested/awarded. Save this information in a file named “Support.pdf”..

***h. Authorization for DOE/NNSA FFRDC Applicants only***

The cognizant contracting officer for the FFRDC must authorize in writing the use of a DOE/NNSA FFRDC contractor on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization.

"Authorization is granted for the **Fill-in 1: [Name]** Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complimentary to the missions of the laboratory, will not adversely impact execution of the DOE/NNSA assigned programs at the laboratory."

***i. Conflict of Interest Statement (Required for National Laboratories, DOE and non-DOE FFRDC applicants)***

Conflicts of interest may exist due to previous efforts performed by the Labs or assistance provided in program direction and other mission related activities. Accordingly, for each subapplicant that is a National Laboratory or DOE and/or non-DOE FFRDC, identify any potential conflicts of interest, fully explain the conflict, whether you feel it is significant or not, along with your rationale, and, if significant, how you will avoid, neutralize, or mitigate the potential conflict. Save this sheet in a single file named "COI.pdf,".

***j. Applicant Lighting Efficiency Additional Budget Justification***

If the resulting award is a grant exceeding \$1,000,000, the applicant shall be required to identify the facility (the rooms or areas where a majority of the proposed project work will occur). In the applicants budget justification, they must identify and justify the costs associated with upgrading the light bulbs to meet or exceed the energy efficiency standard for incandescent light bulbs set forth in or pursuant to section 325 of the Energy Policy and Conservation Act (42 U.S.C. 6295) prior to the end of the Federal fiscal year.

***k. Environmental Checklist***

Applicants must complete the environmental checklist and attach it to the application. The environmental checklist is available at [www.NEUP.gov](http://www.NEUP.gov).

***l. Financial Assistance RTS Data Input Sheet***

Applicants must complete this point of contact sheet that includes contact information for the business office, financial status report contact, and the PI.

**4. 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."

## 5. Certifications and Assurances (University Applicants Only)

Applicants must complete/attach form Certifications and Assurances form found on the DOE Financial Assistance Forms Page at:

<http://energy.gov/management/downloads/certifications-and-assurances-use-sf-424>.

This sheet should be saved in a single file named, “Cert & Assurances.pdf”.

### Summary of Required Forms/Files

Applications must include the following documents which can all be found at [www.neup.gov](http://www.neup.gov).

Name of Document	Format	File Name
Application for Federal Assistance – SF424	Form	N/A
Project/Performance Site Location(s)	Form	N/A
Other Attachments Form: Attach the following files to this form:	Form	N/A
Project Narrative File	PDF	ProjectNarrative.pdf
Project Summary/Abstract File	PDF	Summary.pdf
SF 424A File - Budget Information for Non-Construction Programs	Excel	Budget (SF424A).xls
Budget Justification File	PDF	BudgetJustification.pdf
Principal Investigator Vita	PDF	CV “Insert PI Name”.pdf
Budget for DOE/NNSA Federally Funded Research and Development Center (FFRDC) Applicants	PDF	FFRDC name.pdf
Current and Pending Support	PDF	Support.pdf
Authorization for DOE/NNSA FFRDC Applicants	PDF	FFRDC Authorization.pdf
Conflict of Interest Statement	PDF	COI.pdf
SF-LLL Disclosure of Lobbying Activities, if applicable.	Form	N/A
Certifications and Assurances	Form	Cert & Assurances.pdf

## D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS

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

- Indirect cost information



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

## **E. SUBMISSION DATES AND TIMES**

### **1. Letter of Intent Due Date**

Letters of Intent are not required.

### **2. Pre-application Due Date**

Pre-applications are not required.

### **3. Application Due Date**

Applications must be received by February 2, 2015, no later than 8:00 PM Eastern Time. Applicants are encouraged to transmit applications 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**

Funding for all awards are contingent upon the availability of funds appropriated by Congress for the purpose of this program.

*Cost Principles.* Costs must be allowable, allocable and reasonable in accordance with the applicable Federal cost principles referenced in 10 CFR 600. The cost principles for commercial organizations are in FAR Part 31.

*Pre-award Costs.* Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR 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 NEUP.GOV TO BE CONSIDERED FOR AWARD.**

Submit electronic applications through the “Applications” function at [www.NEUP.gov](http://www.NEUP.gov). If you have problems completing the registration process or submitting your application, call 208-526-1602 or send an email to [NEUP@inl.gov](mailto:NEUP@inl.gov).

### **2. Application Validity Timeframe**

By submitting an application in response to this FOA, applicants agree that their applications are valid for at least 1 year from the date set forth for receipt of applications to this FOA. DOE reserves the right (with the concurrence of the applicant) to use the submitted application(s) to make additional awards for up to this 1 year valid time frame, even after DOE’s initial selection announcement has occurred.

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

*NOTE: The following requirements apply to all FOA areas unless specific requirements are identified.*

## **A. CRITERIA**

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

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the proposed work is relevant to the DOE-NE mission; (2) the applicant is eligible for an award; (3) the information required by the funding opportunity announcement has been submitted; and (4) no more than one application not tied directly to CINR FOA has been submitted. 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**

The following evaluation criteria and weights will be used to evaluate applications submitted in response to this FOA. Rating criteria include showing increasing or enhancing research or teaching capabilities. The below criteria applied are dependent on the program area and the type of applicant (for example, Criterion 3 will be applied only to FFDRD applicants submitting GSI for NEET CTD, etc.)

**a) University Research Reactor Upgrades Infrastructure**

- i. (40%) Potential of the requested equipment, instrumentation or modification to:
  - o Enhance the safety, performance, control or operational capability of research reactor systems, or
  - o Increase the quality, safety/security, or efficiency of the operation of the research reactor facility, or
  - o Improve or expand the research, teaching and training capabilities of the research reactor facility.
- ii. (30%) As a result of the proposed equipment, the amount of student and faculty usage of the research reactor facility, and the amount and variety of research and/or services actually provided by the facility.
- iii. (30%) Project Implementation – Capability to implement the full scope of the project including timely project completion, personnel qualifications, budget, and feasibility.

**b) University General Scientific Infrastructure Support for CINR**

- i. (40%) Potential of the requested equipment, instrumentation or modification to facilitate, improve or expand ongoing Office of Nuclear Energy research (or research proposed in FY 2015 in response to the CINR FOA DE-FOA-0001129) and training capabilities;
- ii. (30%) As a result of the proposed equipment, the amount of student, faculty, or researcher usage of the capabilities, and the amount and variety of research and/or services actually provided by the facility;
- ii. (30%) Project Implementation - Capability to implement the full scope of the project including timely project completion, personnel qualifications, budget, and feasibility.

**c) DOE National Laboratory General Scientific Infrastructure Support for NEET CTD**

- i. (40%) Potential of the requested equipment, instrumentation or modification to facilitate, improve or expand crosscutting Office of Nuclear Energy research;
- ii. (30%) As a result of the proposed equipment, the amount and variety of research and personnel usage, and/or services actually provided by the new facility/capability;
- iii. (30%) Project Implementation - Capability to implement the full scope of the project including timely project completion, personnel qualifications, budget, and feasibility.

### **3. Other Selection Factors**

Program Policy Factors. The selection official may also consider the following program policy factors in the selection process under all FOA areas as appropriate (not listed in order of importance):

- Degree to which proposed project optimizes/maximizes use of available DOE-NE funding to achieve DOE program goals and objectives. This includes how those infrastructure projects support DOE-NE research; it may also include how the infrastructure project support other complementary efforts or projects, which when taken together, will best achieve program research goals and objectives.
- Application selection may optimize appropriate mix of projects to achieve DOE-NE research goals and objectives.
- Other Cost/Budget considerations, including how well the proposed budget for the equipment or instrumentation will achieve the proposed objectives, and availability of funding.
- The demonstrated ability of the applicant to complete projects in the specified timeframe. This includes the extent that applicant has awards in progress, or not completed, from DOE, from a previous year's FOA, or has existing no cost extensions.
- Existing NS&E Program, or realistic plan to establish NS&E program.
- Underrepresented Groups and Minority-Serving Institutions that submit a competitive application.
- Cost share or cost match, if any, proposed.
- Extent or degree to which projects provide a balanced programmatic effort and a variety of research capabilities among various sizes and kinds of organizations and their geographic distribution.

The above program policy factors may be used by the Selection Official to assist in determining which application shall receive DOE funding support. These factors, while not indicators of the application's technical excellence, applicant's ability, etc., are essential to the process of selecting the application that, individually or collectively, will best achieve the program objectives and maximize public benefits. These factors may also be influenced by issues beyond the control of the Applicant. Each Applicant should recognize that some very good applications might not receive an award because they do not fit within a mix of projects that maximizes the probability of achieving the DOE's overall objectives.

## **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 "Department of Energy Merit Review Guide for Financial Assistance." This guide is available under Financial Assistance, Regulations and Guidance at <http://energy.gov/management/office-management/operational-management/financial-assistance>.

## **2. Selection**

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

## **3. Discussions and Award**

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

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

DOE anticipates notifying applicants selected for award and making awards by December 31, 2015. DOE reserves the right to make additional award selections using applications submitted in response to this FOA. Award(s) for this project are subject to the availability of Federal funding.

## **PART VI - AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

#### **1. Notice of Selection**

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

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

#### **2. Notice of Award**

An Assistance Agreement 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 of the CFR (Grants and Agreement), 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 (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://www.eCFR.gov>). Prime awardees must keep their data at the System for Award Management (SAM) current at <http://www.sam.gov>. SAM is the government-wide system that replaced the Central Contractor Registration (CCR). If you had an active registration in the CCR, you have an active registration in SAM. 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://www.eCFR.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 System for Award Management (SAM).

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

Special Terms and Conditions and National Policy Requirements. The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at <http://energy.gov/management/downloads/special-terms-and-conditions-use-most-grants-and-cooperative-agreements>

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>

*Notice: Awards made under this FOA after December 26th , 2014, will follow 2 CFR 200 for the general terms and conditions.*

## **C. NO COST TIME EXTENSIONS**

Unilateral no cost time extensions will NOT be permitted to awards made under this FOA. All no cost time extensions must receive approval from the Contracting Officer.

## **D. REPORTING**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. For a sample Checklist, see <http://energy.gov/management/downloads/federal-assistance-reporting-checklist-and-instructions-projects>

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

### **A. QUESTIONS**

Questions regarding the content of the announcement must be submitted to [NEUP@inl.gov](mailto:NEUP@inl.gov).

Questions and comments concerning this FOA shall be submitted not later than five (5) calendar days prior to the application due date. Questions submitted after that date may not allow the Government sufficient time to respond.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to [NEUP@inl.gov](mailto:NEUP@inl.gov).

### **B. AGENCY CONTACT**

Name: Shawn Tinsley  
E-mail: [tinslesm@id.doe.gov](mailto:tinslesm@id.doe.gov)

### **C. INFORMATIONAL WEBINAR**

DOE, Office of Nuclear Energy, holds a webinar each year to discuss changes to its FOAs and workscope areas for upcoming opportunities. Applicants can watch the live webinars and submit questions to be answered in real time. All webinar presentations are recorded and posted on [www.NEUP.gov](http://www.NEUP.gov) for review by applicants. Webinar presentations from past years can also be found in the “Archive” section of the [neup.gov](http://neup.gov) website.

## **PART VIII - OTHER INFORMATION**

### **A. MODIFICATIONS**

Notices of any modifications to this announcement will be posted on [www.NEUP.gov](http://www.NEUP.gov). It is recommended that you check the NEUP.gov site frequently to ensure you receive timely notice of any modifications or other announcements.

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

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

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

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

## **D. PROPRIETARY APPLICATION INFORMATION**

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

"The data contained in pages [FOA Insert 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 independent reviews, as well as routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.



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

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

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

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

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

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

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

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

## **I. CONFERENCE SPENDING**

The recipient shall not expend funds for the purpose of defraying the cost to the United States Government of a conference [described in subsection (c) of the Consolidated and Further Continuing Appropriations Act, 2013] that was more than \$20,000, or 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 that is not directly and programmatically related to the purpose of the grant or cooperative agreement.