

**DEPARTMENT OF ENERGY  
OFFICE OF SCIENCE  
HIGH ENERGY PHYSICS**



**US-JAPAN SCIENCE AND TECHNOLOGY COOPERATION  
PROGRAM IN HIGH ENERGY PHYSICS**

**DOE NATIONAL LABORATORY PROGRAM ANNOUNCEMENT NUMBER:  
LAB 20-2150**

**ANNOUNCEMENT TYPE: INITIAL**

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| <b>Announcement Issue Date:</b>           | <b>10/15/2019</b>                      |
| <b>Submission Deadline for Proposals:</b> | <b>12/16/2019 at 5 PM Eastern Time</b> |

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## REGISTRATIONS

### **A. DOE Office of Science Portfolio Analysis and Management System (PAMS)**

The Department of Energy (DOE) Office of Science (SC) performs many functions for DOE national laboratory proposals in the Portfolio Analysis and Management System (PAMS), which is available at <https://pamspublic.science.energy.gov>.

You must register in PAMS to submit a pre-proposal, letter of intent, or DOE national laboratory proposal.

To access PAMS, you may use the Internet Explorer, Firefox, Google Chrome, or Safari browsers.

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

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

#### 1. CREATE PAMS ACCOUNT:

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

- Click the “No, I have never had an account” link and then the “Create Account” button.
- You will be prompted to enter your name and email address, create a username and password, and select a security question and answer. Once you have done this, click the “Save and Continue” button.
- On the next page, enter the required information (at least one phone number and your mailing address) and any optional information you wish to provide (e.g., FAX number, website, mailstop code, additional email addresses or phone numbers, Division/Department). Click the “Create Account” button.
- Read the user agreement and click the “Accept” button to indicate that you understand your responsibilities and agree to comply with the rules of behavior for PAMS.
- PAMS will take you the “Having Trouble Logging In?” page. (Note: If you reviewed for or were listed as PI on a prior submission to SC but have not previously created an account, you may already be linked to an institution in PAMS. If this is the case, PAMS will take you to the PAMS home page.)

#### 2. REGISTER TO YOUR INSTITUTION:

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

- PAMS will take you to the “Register to Institution” page.
- Type a word or phrase from your institution name in the field labeled, “Institution Name like,” choose the radio button next to the item that best describes your role in the system, and click the “Search” button. A “like” search in PAMS returns results that contain the word or phrase you enter; you need not enter the exact name of the institution, but you should enter a word or phrase contained within the institution name. (Hint: If your institution has an acronym, such as ANL for Argonne National Laboratory or UCLA for the Regents of the University of California, Los Angeles, you may search for the acronym under “Institution Name like.” Many institutions with acronyms are listed in PAMS with their acronyms in parentheses after their names.)
- Find your institution in the list that is returned by the search and click the “Actions” link in the Options column next to the institution name to obtain a dropdown list. Select “Add me to this institution” from the dropdown. PAMS will take you to the “Institutions – List” page.
- If you do not see your institution in the initial search results, you can search again by clicking the “Cancel” button, clicking the Option 2 link, and repeating the search.
- All DOE National Laboratories have established profiles in PAMS, so please keep searching until you find your laboratory.

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submissions and inquiries about this DOE National Laboratory Announcement should reference **LAB 20-2150**.

## **UPDATES AND REMINDERS**

### RECOMMENDATION

The Department of Energy (DOE) Office of Science (SC) encourages you to register in all systems as soon as possible. You are encouraged to submit proposals well before the deadline.

### DATA MANAGEMENT PLAN

The Office of Science Statement on Digital Data Management, published at <http://science.osti.gov/funding-opportunities/digital-data-management/>, governs applications submitted under this Announcement. Compliance is detailed in Section IV of this Announcement.

### ACKNOWLEDGMENT OF FEDERAL SUPPORT

SC published guidance about how its support should be acknowledged at <http://science.osti.gov/funding-opportunities/acknowledgements/>.

### AVOIDING ERRORS

The following advice is compiled from actual experiences of applicants for SC awards.

- Please ensure that the research narrative is comprised of one and only one Portable Document Format (PDF) file, including all appendices, when it is uploaded.
- When using the PAMS website at <https://pamspublic.science.energy.gov>, please avoid using the back-arrow button in your web browser to navigate.
- Please ensure that the proposal contains no personally identifiable information (PII).
- Please ensure that the budget is calculated using the applicable negotiated indirect cost and fringe benefit rates.

## **Section I – DOE NATIONAL LABORATORY OPPORTUNITY DESCRIPTION**

**GENERAL INQUIRIES ABOUT THIS ANNOUNCEMENT SHOULD BE DIRECTED TO:**

### **Technical/Scientific Program Contacts:**

For accelerator science and technology inquires:

Dr. L.K. Len

301-903-3233

[LK.Len@science.doe.gov](mailto:LK.Len@science.doe.gov)

For all other inquires:

Dr. Michael Cooke

301-903-4140

[Michael.Cooke@science.doe.gov](mailto:Michael.Cooke@science.doe.gov)

## **SUMMARY**

### **Program Objective**

This National Laboratory Announcement is to support U.S. investigators in bilateral cooperative research activities as part of the US-Japan Science and Technology Cooperation Program in High Energy Physics (“Program”). This Announcement solicits proposals with scopes of work in high energy physics (HEP) that involve substantial collaboration with Japanese investigators.

The period of performance for awards is one year, commencing in FY 2020. Continuing support for multi-year plans may be obtained through renewal proposals. See Section IV.2, “Project Narrative,” for additional information.

### **Supported Activities**

Proposals submitted to this US-Japan Laboratory Announcement should support current HEP experiments or technology development of mutual interest to US-Japan collaborations. Seed funding requests for new ideas to incubate and develop new accelerator and detector systems for application in this time scale will also be considered.

“HEP experiments” includes experiments within the Energy, Intensity and Cosmic Frontiers. See <https://science.osti.gov/hep/research/> for a description of these HEP program thrusts.

The research areas supported by this program include:

- Research and development (R&D) to enhance the physics yield of existing or future HEP experiments
- Development of accelerator technology
- Development of detectors for high energy physics experiments.

- Workshops, conferences and/or travel support to incubate and develop new accelerator, detector and experiment concepts.

Please note that the following research areas are not supported by this program:

- R&D devoted to eventual cost reduction of a potential International Linear Collider (ILC). Support for ILC cost-reduction R&D will be provided through mechanisms outside this Announcement.

Limitations of support:

- Proposals that do not involve significant collaboration between U.S. and Japanese investigators will not be supported.
- Support will be provided for cooperative R&D activities only.
- No scientific staff is to be supported with award funds. Proposed budgets must include only costs for technical or engineering staff support, apparatus for R&D, materials and supplies, and travel related to the cooperative activity.
- Theoretical research will not be supported, other than for travel and materials and supplies for participation in workshops, conferences or collaboration meetings devoted to incubating and developing new accelerator, detector and experiment concepts.

## **ADDITIONAL REQUIREMENTS:**

### **Open Science**

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

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

### **Multi-Institutional Teaming**

In conformance with the Program Objective, each international collaboration will consist of at least one U.S. and one Japanese institution. U.S. institutions will receive their support from DOE while Japanese institutions will receive their support from the Japanese High Energy Accelerator Research Organization (KEK). See “Coordination between DOE and KEK” below.

Within this Program the U.S. component of an international collaboration must be proposed with a prime applicant and proposed subawards. The prime applicant must provide the overall scientific leadership and direction of the U.S. participation in the international collaborative effort.



Only DOE national laboratories may be designated as the lead institution for a given effort, and therefore only DOE laboratories may apply to this Announcement. Other institutions, whether institutions of higher education, non-DOE laboratories, or non-lead DOE laboratories must join a DOE laboratory-led effort in order to receive support from this Program.

The U.S. Principal Investigator (U.S. “PI”) will be a member of the lead DOE laboratory. Other U.S. research institutions and/or DOE laboratories will each have a Co-Investigator identified (U.S. “Co-I”) who will be responsible to the U.S. PI for the proposed scope of work performed by that institution.

As an example, if DOE Laboratory A were the lead institution of a given U.S. consortium, with other collaborating institutions being DOE Laboratory B and Universities C and D, only DOE Laboratory A would submit a proposal for funding of the entire consortium’s proposed scope of work. The proposal budget would itemize subawards to DOE Laboratory B and to Universities C and D in the “Other Direct Costs” category in the budget page, along with providing complete budgets for each proposed subaward. Laboratory A would be the home institution of the PI, and Laboratory B and Universities C and D would each have a designated Co-I.

### **Coordination between DOE and KEK**

On the same date that DOE issues this Announcement, KEK plans to issue its own solicitation for proposals to support Japanese investigators for engagement in cooperative research activities under the same US-Japan Science and Technology Cooperation Program in High Energy Physics. The agencies’ intent is that a given US-Japan collaboration will have its U.S. (Japanese) Principal Investigators apply to DOE (KEK) for support in the collaborative activity.

All proposals to DOE will be reviewed in accordance with the DOE Office of Science review process; similarly, all proposals to KEK will be reviewed by KEK. Selection of a proposal for award will be made by the agency to which it was submitted. Strategic coordination between the agencies will impact the final selections; it is expected that a majority of proposals selected by DOE will have their Japanese counterpart proposals selected by KEK, and vice versa.

**To facilitate DOE-KEK coordination in the final selection process, a US-Japan collaboration’s proposals to DOE and to KEK are to have identical texts in the following sections:**

- Project Summary/Abstract
- Cover Page Supplement for Consortia
- Project Narrative

This requirement is called out in this announcement as well as in the KEK counterpart solicitation. Both agencies intend to conduct separate reviews of the same project and want their separate evaluations to be based on a common narrative.

Therefore, U.S. PIs are strongly encouraged to work with their Japanese colleagues in the preparation of their proposals so that the texts and tables for this Announcement’s Project Summary/Abstract, Cover Page Supplement for Consortia and Project Narrative are the same as the corresponding sections specified in the KEK solicitation.

## **Frequently Asked Questions (FAQs)**

An FAQ page will be posted at URL <http://science.osti.gov/hep/funding-opportunities/> under the heading of this announcement.

## **Section II – AWARD INFORMATION**

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

DOE anticipates awarding laboratory work authorizations under this DOE National Laboratory Program Announcement.

Any awards made under this Announcement will be subject to the provisions of the contract between DOE and the awardee National Laboratory.

### **B. ESTIMATED FUNDING**

It is anticipated that approximately \$2,000,000 will be available under this DOE National Laboratory Announcement, contingent on satisfactory peer review and the availability of appropriated funds.

DOE is under no obligation to pay for any costs associated with the preparation or submission of a proposal. DOE reserves the right to fund, in whole or in part, any, all, or none of the proposals submitted in response to this DOE National Laboratory Announcement.

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

The award size will depend on the availability of appropriated funds.

#### **Ceiling**

\$2,000,000

#### **Floor**

\$5,000

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

Approximately 20 awards are expected.

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

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

It is anticipated that award sizes may range from \$20,000 per year to \$500,000. The DOE award amounts for this Program's FY 2019 selections had a mean of \$80,000 and a median of \$52,500.

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

## **F. PERIOD OF PERFORMANCE**

Research Awards will be for a period of one year and will start in FY 2020. Proposals for renewal awards for the same or similar scopes of work are expected to be solicited in future Announcements.

## **G. TYPE OF PROPOSAL**

DOE will accept new DOE National Laboratory Proposals under this DOE National Laboratory Announcement. Please only submit a PAMS lab technical proposal in response to this Announcement; do not submit a DOE Field Work Proposal (FWP) at this time. SC will request FWPs later from those selected for funding consideration under this Announcement.

### **Section III – ELIGIBILITY INFORMATION**

#### **A. ELIGIBLE APPLICANTS AND TOPICS**

This is a DOE National Laboratory-only Announcement. FFRDCs from other Federal agencies are not eligible to submit in response to this Program Announcement.

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

Cost sharing is not required.

#### **C. ELIGIBLE INDIVIDUALS**

Eligible individuals with the skills, knowledge, and resources necessary to carry out the proposed research as a Principal Investigator (PI) are invited to work with their organizations to develop a proposal. Individuals from underrepresented groups as well as individuals with disabilities are always encouraged to apply.

## **Section IV – PROPOSAL AND SUBMISSION INFORMATION**

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

Proposal submission instructions are available in this Announcement on the DOE SC Portfolio Analysis and Management System (PAMS). Screenshots showing the steps in DOE National Laboratory proposal submission are available in the PAMS External User Guide, accessible by navigating to <https://pamspublic.science.energy.gov> and clicking on the “PAMS External User Guide” link.

Proposals submitted outside of PAMS will not be accepted.

### **B. LETTER OF INTENT AND PRE-PROPOSAL**

Neither letters of intent nor pre-proposals are required: they cannot be submitted and will not be accepted.

### **C. CONTENT AND PROPOSAL FORMS**

PROPOSAL DUE DATE

**December 16, 2019, at 5 PM Eastern Time**

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

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|--|
| <p><b>WARNING:</b> The PAMS website at <a href="https://pamspublic.science.energy.gov">https://pamspublic.science.energy.gov</a> will permit you to edit a previously submitted proposal in the time between your submission and the deadline. If you choose to edit, doing so will remove your previously submitted version from consideration. If you are still editing at the time of the deadline, you will not have a valid submission. Please pay attention to the deadline.</p> |
|--|

RESUBMISSION OF PROPOSALS

Proposals submitted under this Announcement may be withdrawn from consideration by using SC’s PAMS website at <https://pamspublic.science.energy.gov>. Proposals may be withdrawn at any time between when the Laboratory submits the application and when DOE makes the application available to merit reviewers. Such withdrawals take effect immediately and cannot be reversed.

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

SC will usually consider the last submission, according to its timestamp, to be the intended version. Please consult with your program manager to resolve any confusion about which version of a proposal should be considered.

#### IMPROPER CONTENTS OF PROPOSALS

Proposals submitted under this Announcement will be stored in controlled-access systems, but they may be made publicly available if an award is made, and they will be made available to merit reviewers. As such, it is critical that Laboratories follow these guidelines:

- Do not include information subject to any legal restriction on its open distribution, whether classified, export control, or unclassified controlled nuclear information.
- Do not include sensitive and protected personally identifiable information, including social security numbers, birthdates, citizenship, marital status, or home addresses. Pay particular attention to the content of biographical sketches and curriculum vitae.
- Do not include letters of support from Federal officials.
- Do not include letters of support on Federal letterhead. Letters that are not letters of support (such as letters confirming access to sites, facilities, equipment, or data; or letters from cognizant contracting officers) may be on Federal letterhead.
- Clearly mark all proprietary or trade-secret information.

#### LETTERS

Neither letters of support nor letters of recommendation will be accepted and are not to be submitted.

### **1. Summary of Proposal Contents and Information about PAMS**

Each DOE National Laboratory proposal will contain the following sections:

- Budget, entered into PAMS as structured data using the PAMS budget form
- Abstract (one page), entered into PAMS as a separate pdf
- Budget justification, entered into PAMS as a separate pdf
- Proposal, combined into a single pdf containing the following information:
  - Proposal Cover Page
  - Table of Contents
  - Project Narrative (main technical portion of the proposal, including background/introduction, proposed research and methods, timetable of activities, and responsibilities of key project personnel)
  - Appendix 1: Biographical Sketch(es)
  - Appendix 2: Current and Pending Support
  - Appendix 3: Bibliography and References Cited
  - Appendix 4: Facilities and Other Resources
  - Appendix 5: Equipment
  - Appendix 6: Data Management Plan
  - Appendix 7: Other Attachments (optional)

## SUBMISSION INSTRUCTIONS

Completed proposals must be submitted into the DOE SC Portfolio Analysis and Management System (PAMS). For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9:00 AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free number) or (301) 903-9610, Email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submissions and inquiries about this Program Announcement should reference **LAB 20-2150**. Full proposals submitted in response to this Program Announcement must be submitted to PAMS no later than **December 16, 2019, at 5:00 PM Eastern Time**.

All PIs and those submitting on behalf of PIs are encouraged to establish PAMS accounts as soon as possible to ensure timely submissions. To register, click “Create New PAMS Account” on the website <https://pamspublic.science.energy.gov/> and follow the instructions for creating an account.

The following information is provided to help with proposal submission. Detailed instructions and screen shots can be found in the user guide. To find the user guide, click the “External User Guide” link on the PAMS home page. Onscreen instructions are available within PAMS.

- Log into PAMS. From the proposals tab, click the “View DOE National Laboratory Announcements” link and find the current announcement in the list. Click the “Actions/Views” link in the Options column next to this Announcement to obtain a dropdown menu. Select “Submit Proposal” from the dropdown.
- Note that you must select one and only one Principal Investigator (PI) per proposal; to do so, click the “Select PI” button on the far right side of the screen. Find the appropriate PI from the list of all registered users from your institution returned by PAMS. (Hint: You may have to sort, filter, or search through the list if it has multiple pages.) Click the “Actions” link in the Options column next to the appropriate PI to obtain a dropdown menu. From the dropdown, choose “Select PI.”
- If the PI for whom you are submitting does not appear on the list, it means he or she has not yet registered in PAMS. For your convenience, you may have PAMS send an email invitation to the PI to register in PAMS. To do so, click the “Invite PI” link at the top left of the “Select PI” screen. You can enter an optional personal message to the PI in the “Comments” box, and it will be included in the email sent by PAMS to the PI. You must wait until the PI registers before you can submit the proposal. Save the proposal for later work by selecting “Save” from the dropdown at the bottom of the screen and then clicking the “Go” button. It will be stored in “My Proposals” for later editing. As a minimum, you must complete all the required fields on the PAMS cover page before you can save the proposal for the first time.
- The cover page, budget, and attachments sections of the lab proposal are required by PAMS before it can be submitted to DOE.
- Complete the sections in PAMS one at a time, starting with the cover page and following the instructions for each section.



- Click the “+View More” link at the top of each section to expand the onscreen instructions. On the budget section, click the “Budget Tab Instructions” link to obtain detailed guidance on completing the budget form.
- Save each section by selecting either “Save” (to stay in the same section) or “Save... and Continue to the Next Section” (to move to the next section) from the dropdown menu at the bottom of the screen, followed by clicking the “Go” button.
- If you save the proposal and navigate away from it, you may return later to edit the proposal by clicking the “View My Existing Proposals” or “My Proposals” links within PAMS.
- You must enter a budget for each annual budget period.
- You must also enter a budget for each proposed sub-award. The sub-award section can be completed using the same steps used for the budget section.
- In the attachments section of the lab proposal, the abstract, the budget justification, and the proposal narrative are required and must be submitted as separate files.
- You must bundle everything other than the budget, abstract, and budget justification into one single PDF file to be attached under “Proposal Attachment.”
- Do not attach anything under “Other Attachments.”
- To upload a file into PAMS, click the “Attach File” button at the far right side of the screen. Click the “Browse” (or “Choose File” depending on your browser) button to search for your file. You may enter an optional description of the file you are attaching. Click the “Upload” button to upload the file.
- Once you have saved all of the sections, the “Submit to DOE” option will appear in the dropdown menu at the bottom of the screen.
- To submit the proposal, select “Submit to DOE” from the dropdown menu and then click the “Go” button.
- Upon submission, the PI will receive an email from the PAMS system <[PAMS.Autoreply@science.doe.gov](mailto:PAMS.Autoreply@science.doe.gov)> acknowledging receipt of the proposal.
- The proposal will also appear under My Proposals with a Proposal Status of “Submitted to DOE.”

Please only submit a PAMS lab technical proposal in response to this Announcement; do not submit a DOE Field Work Proposal (FWP) at this time. SC will request FWPs later from those selected for funding consideration under this Announcement.

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9:00 AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free number) or (301) 903-9610, Email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submissions and inquiries about this Program Announcement should reference **LAB 20-2150**.

## 2. Detailed Contents of the Proposal

### BUDGET AND BUDGET EXPLANATION

The budget must be submitted into PAMS using the PAMS budget form. Research proposed under this Announcement may only have one annual budget period.

PAMS will calculate the cumulative budget totals for you.

A written justification of each budget item is to follow the budget pages. The budget justification must be placed in a separate, single pdf document and attached on the appropriate screen in PAMS. Further instructions regarding the budget and justification are given below and in the PAMS software.

**PROJECT SUMMARY/ABSTRACT (NO MORE THAN ONE PAGE)**

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

In the tabular format given below, provide the proposal title, and the name, title and institution of the U.S. and Japanese Principal Investigators and the U.S. Co-Investigators. The Abstract should state the objectives of the proposed activities, a description of the proposed activities including methods to be employed, and the potential impact (i.e., benefits, outcomes). This document must not include any proprietary or sensitive business information as the Department may make it available to the public.

|   |  |
|---|--|
| Title of Proposal                                 | <i>Proposal Title</i>  |
| Principal Investigators and U.S. Co-Investigators | <i>Yuki Nakamura, Professor and Japanese PI, U. of X<br/>Brian Smith, Senior Scientist and U.S. PI, DOE Lab A<br/>Claire Johnson, Professor and Co-I, U. of C<br/>Helen Jones, Associate Professor and Co-I, U. of D</i> |
| Project Summary/Abstract                          | <i>The objectives of the proposed work, a description of the proposed work, the methods to be employed to achieve the objectives, and potential impact.</i>  |

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. The one-page project summary/abstract must be placed in a separate, single pdf document and attached on the appropriate screen in PAMS.

The abstract may be used to prepare publicly accessible reports about DOE-supported research.

**DOE COVER PAGE  
(PART OF PROJECT NARRATIVE)**

The following proposal cover page information may be placed on a plain page. No form is required. This cover page will not count in the project narrative page limitation.

- The project title:

- Applicant/Institution:
- Street Address/City/State/Zip:
- Postal Address:
- Administrative Point of Contact name, telephone number, email:
- Lead PI name, telephone number, email:
- DOE National Laboratory Announcement Number: **LAB 20-2150**
- DOE/SC Program Office: **High Energy Physics**
- DOE/SC Program Office Technical Contacts: **Dr. L.K. Len, Dr. Michael Cooke**
- PAMS Letter of Intent Tracking Number:
- Research area (site) identified in Section I of this Announcement

COVER PAGE SUPPLEMENT  
(PART OF PROJECT NARRATIVE)

Provide the following information on a separate page or pages as a Supplement to the Cover Page.

- In the Member List Table, whose format is shown below, list the names, positions and institutional affiliations of all PIs, Co-Is and senior scientists who will be involved in executing the scopes of work, both U.S. and Japanese, within the international collaboration. The U.S. PI and Japanese PI will be the joint points of contact and coordinators for the combined research activity within each nation. This Table should have its own page(s).
- The Budget Requests Table below collects into a single table all individual institutions' budgets. Continuing the example given in Section I, "Mutl-Institutional Teams," assume the total project cost listed in DOE Lab A's budget is \$300,000, of which \$50,000, \$40,000 and \$90,000 are to be provided as subawards by DOE Lab A to DOE Lab B, and Universities C and D, respectively. The Budget Requests Table should then list the amounts \$120,000, \$50,000, \$40,000 and \$90,000 for DOE Lab A, DOE Lab B, University C and University D, respectively. The budget total would be listed as \$300,000.
- In addition to these numbers, please provide the collaboration's total multi-institutional request to KEK, broken down into Equipment and Supplies Costs and Travel Costs. These tabulated data are planned to be used by DOE and KEK for coordination purposes.

In the same budget summary table, please provide information, if available and pertinent, on amounts anticipated to be requested in subsequent renewal requests in FY 2021, FY 2022 and FY 2023. These out-year amounts are entirely optional, are not binding and will not be prejudicial. This will assist only in future program planning. Please see "Project Narrative" below for a discussion of multi-year plans.

**Member List Table** (*example*)

| <b>U.S. Collaboration Members</b> |              |                    |                         |
|-----------------------------------|--------------|--------------------|-------------------------|
| <b>No.</b>                        | <b>Name</b>  | <b>Affiliation</b> | <b>Position</b>         |
| 1                                 | Brian Smith  | DOE Lab A          | Senior Scientist (PI)   |
| 2                                 | Robert Doe   | DOE Lab B          | Senior Scientist (Co-I) |
| 3                                 | Louise Foret | DOE Lab B          | Senior Scientist        |

|                                       |                 |                    |                            |
|---------------------------------------|-----------------|--------------------|----------------------------|
| 4                                     | Claire Johnson  | University of C    | Professor (Co-I)           |
| 5                                     | Helen Jones     | University of D    | Associate Professor (Co-I) |
|                                       |                 |                    |                            |
|                                       |                 |                    |                            |
| <b>Japanese Collaboration Members</b> |                 |                    |                            |
| <b>No.</b>                            | <b>Name</b>     | <b>Institution</b> | <b>Position</b>            |
| 1                                     | Yuki Nakamura   | University of X    | Professor (PI)             |
| 2                                     | Haru Saito      | University of W    | Professor (Co-I)           |
| 3                                     | Takumi Takahasi | University of W    | Research Physicist         |
| 4                                     | Haruto Shimizu  | University of W    | Senior Physicist           |
| 5                                     | Yuna Tanaka     | University of V    | Assistant Professor (Co-I) |
|                                       |                 |                    |                            |
|                                       |                 |                    |                            |

**Budget Table (example)**

| <b>Budget Request to DOE (in USD)</b>  |                    |                        |                            |                           |                           |
|--|--------------------|------------------------|----------------------------|---------------------------|---------------------------|
| <b>Name</b>                            | <b>Institution</b> | <b>FY 2020 Request</b> | <b>FY 2021 Anticipated</b> | <b>FY2022 Anticipated</b> | <b>FY2023 Anticipated</b> |
| Smith, B.                              | DOE Lab A          | \$120,000              | \$140,000                  | \$                        | \$                        |
| Doe, R.                                | DOE Lab B          | \$50,000               | \$50,000                   | \$                        | \$                        |
| Johnson, C.                            | U. of C            | \$40,000               | \$60,000                   | \$                        | \$                        |
| Jones, H.                              | U. of D            | \$90,000               | \$30,000                   | \$                        | \$                        |
| <b>TOTAL</b>                           |                    | <b>\$300,000</b>       | <b>\$280,000</b>           | <b>\$</b>                 | <b>\$</b>                 |
|  |                    |                        |                            |                           |                           |
| <b>Budget Request to KEK (in kJPY)</b> |                    |                        |                            |                           |                           |
| Equipment and Supplies Costs           |                    | ¥                      | ¥                          | ¥                         | ¥                         |
| Travel Costs                           |                    | ¥                      | ¥                          | ¥                         | ¥                         |

**PROJECT NARRATIVE (NO MORE THAN 5 PAGES LONG)**

The project narrative **must not exceed 5 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). The font must not be smaller than 11 point. Merit reviewers will only consider the number of pages specified in the first sentence of this paragraph. This page limit does not apply to the Cover Page, Budget Page(s), Budget Justification, biographical material, publications and references, and appendices, each of which may have its own page limit.

Proposals whose Project Narratives exceed the 5-page limit may be declined without review at DOE's sole discretion.

Do not include any Internet addresses (URLs) that provide supplementary or additional information that constitutes a part of the proposal. Merit reviewers are not required to access Internet sites; however, Internet publications in a list of references will be treated identically to print publications. See Part VIII.D for instructions on how to mark proprietary proposal information. To attach a Project Narrative, click "Add Attachment."

The Project Narrative includes the research plan for the entire collaboration's proposed full scope of work. The research plan description may not only cover the scope of work for the one year of supported effort that begins in FY 2020, but also may provide a briefer discussion of continued research that, upon selection of subsequent renewal proposals, could extend to out-years up to FY 2022. The intent of this latter discussion would be to place the proposed one year of effort into a larger context of R&D activities and goals. For proposals that describe multi-year plans, selection will be based principally on the proposed scope of work and merits of the anticipated accomplishments for the one year of activity that commences in FY 2020. The larger multi-year context, may, to a lesser degree, have an impact on the selection process, either positively or negatively. Again, a proposal to this NLA is for one year of support only. A selection in FY 2020 provides no prejudice, positive or negative, for renewal awards in future years from the Program.

The Project Narrative 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 full set of proposed activities for the one year of proposed work commencing in FY 2020, including details of the method to be used.

The Project Narrative text should include:

- **Introduction:** An overview with background information that describes the importance and relevance of the proposed work and discusses relevant literature. "Proposed work" refers to the entire collaboration's full scope of work, not just that of the lead laboratory.
- **Objectives:** Provide a clear, concise statement of the specific objectives/aims of the proposed work.
- **Proposed Research and Methods:** A full description of the proposed work and the methods to be used to achieve its objectives.

Under a separate heading of "Separate Institutional Responsibilities," the Project Narrative is also to briefly describe each institution's assigned responsibilities within the US-Japan collaboration and the unique scopes of work within the full set of proposed activities. Text in this section does not count toward the 5-page limit on the Project Narrative. Ensure that each scope of work is described in sufficient detail so that it is clear that no two institutions are performing the same scope of work.

APPENDIX 1: BIOGRAPHICAL SKETCH

Provide biographical sketches for the DOE Laboratory PI, the U.S. consortium institutions' Co-Is and key personnel as an appendix to your technical narrative.

As part of the sketch, provide information that can be used by reviewers to evaluate the individual's potential for leadership within the scientific community. Examples of information of interest are invited and/or public lectures, awards received, scientific program committees, conference or workshop organization, professional society activities, special international or industrial partnerships, reviewing or editorship activities, or other scientific leadership experiences.

- Provide the biographical sketch information as an appendix to your project narrative.
- Do not attach a separate file.
- The biographical sketch appendix will not count in the project narrative page limitation.
- The biographical information (curriculum vitae) for each person must not exceed 3 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:

SC does not require a particular format for a biosketch. Applicants may use a format developed for other agencies or generated by any software package, including SciENCv, a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>. The biographical information (curriculum vitae) must include the following items within its page limit:

- **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. An abbreviated style such as the Physical Review Letters (PRL) convention for citations (list only the first author) may be used for publications with more than 10 authors.
- **Synergistic Activities:** List no more than 5 professional and scholarly activities related to the effort proposed.

In addition, the biographical sketch must include information to permit DOE to identify individuals who are conflicted with or potentially biased (favorably or unfavorably) against the investigator. Include a section entitled "**Identification of Potential Conflicts of Interest or Bias in Selection of Reviewers**" that will not count in a page limit: 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). Also, list the names and current organizational affiliations of your graduate students and postdoctoral associates.

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

This appendix will not count in the project narrative page limitation.

#### APPENDIX 2: CURRENT AND PENDING SUPPORT

Provide a list of all current and pending support (both Federal and non-Federal) for the PI and senior/key persons, including subawardees, for ongoing projects and pending applications. List all sponsored activities or awards requiring a measurable commitment of effort, whether paid or unpaid.

For every activity, list the following items:

- The sponsor of the activity or the source of funding
- The award or other identifying number
- The title of the award or activity
- The total cost or value of the award or activity, including direct and indirect costs. For pending proposals, provide the total amount of requested funding.
- The award period (start date – end date).
- The person-months of effort per year being dedicated to the award or activity
- Briefly describe the research being performed and explicitly identify any overlaps or synergies with the proposed research.

Provide the Current and Pending Support as an appendix to your project narrative. Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.

- Do not attach a separate file.
- This appendix will not count in the project narrative page limitation.

#### 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. For research areas where there are routinely more than ten coauthors of archival publications, you may use an abbreviated style such as the Physical Review Letters (PRL) convention for citations (listing only the first author). For example, your paper may be listed as, “A Really

Important New Result,” A. Aardvark et. al. (MONGO Collaboration), PRL 999. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the proposal. 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. For proposed investigations requiring access to experimental user facilities maintained by institutions other than the applicant, please provide a document from the facility manager confirming that the researchers will have access to the facility. Please 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: DATA MANAGEMENT PLAN

Provide a Data Management Plan (DMP) that addresses the following requirements:

1. DMPs should describe whether and how data generated in the course of the proposed research will be shared and preserved. If the plan is not to share and/or preserve certain data, then the plan must explain the basis of the decision (for example, cost/benefit considerations, other parameters of feasibility, scientific appropriateness, or limitations discussed in #4). At a minimum, DMPs must describe how data sharing and preservation will enable validation of results, or how results could be validated if data are not shared or preserved.
2. DMPs should provide a plan for making all research data displayed in publications resulting from the proposed research digitally accessible to the public at the time of publication. This includes data that are displayed in charts, figures, images, etc. In addition, the underlying digital research data used to generate the displayed data should be made as accessible as possible to the public in accordance with the principles stated in the Office of Science



Statement on Digital Data Management (<http://science.osti.gov/funding-opportunities/digital-data-management/>). This requirement could be met by including the data as supplementary information to the published article, or through other means. The published article should indicate how these data can be accessed.

3. DMPs should consult and reference available information about data management resources to be used in the course of the proposed research. In particular, DMPs that explicitly or implicitly commit data management resources at a facility beyond what is conventionally made available to approved users should be accompanied by written approval from that facility. In determining the resources available for data management at SC User Facilities, researchers should consult the published description of data management resources and practices at that facility and reference it in the DMP. Information about other SC facilities can be found in the additional guidance from the sponsoring program.
4. DMPs must protect confidentiality, personal privacy, Personally Identifiable Information, and U.S. national, homeland, and economic security; recognize proprietary interests, business confidential information, and intellectual property rights; avoid significant negative impact on innovation, and U.S. competitiveness; and otherwise be consistent with all applicable laws, regulations, and DOE orders and policies. There is no requirement to share proprietary data.

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

- This appendix should not exceed 5 pages 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)
- Do not attach a separate file.
- This appendix will not count in the project narrative page limitation.



#### APPENDIX 7: OTHER ATTACHMENT

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

- Do not attach a separate file.
- This appendix will not count in the project narrative page limitation.

### **3. Detailed Instructions for the Budget**

Budgets are required for the entire project period. A budget form must be completed for each budget period of the award, and a cumulative budget form for the entire project period will be populated by PAMS. A detailed budget justification narrative must be included after the budget pages. The justification must cover labor, domestic travel, equipment, materials and supplies, and anything else that will be covered with project funds.

To edit a section on the budget, click the edit icon (  ) for each section on the page. Remember to save all budget periods before moving on to the next section. You can save the budget periods by selecting “Save All Budget Periods” from the dropdown on the lower right corner of the PAMS budget entry screen and then clicking the “Go” button. You can also save any data entry page in PAMS using the blue diskette icon (  ) in the floating toolbar on the bottom of the screen.

### **Section A. Senior/Key Person (Required)**

For each Senior/Key Person, enter the appropriate information. List personnel, salary funds, and the number of months that person will be allocated to the project. Please list lead and/or all co-PIs, even if no support is being requested for their effort. Also include a written narrative in the budget justification that fully justifies the need for requested personnel.

### **Section B. Other Personnel**

List personnel, salary funds, and the number of months that person will be allocated to the project. Also include a written narrative in the budget justification that fully justifies the need for requested personnel.

### **Section C. Equipment Description**

For the purpose of this budget, equipment is designated as an item of property that has an acquisition cost of \$5,000 or more and an expected service life of more than one year. (Note that this designation applies for proposal budgeting only and differs from the DOE definition of capital equipment.) List each item of equipment separately and justify each in the budget justification section. Allowable items ordinarily will be limited to research equipment and apparatus not already available for the conduct of the work. General-purpose office equipment, such as a personal computer, is not eligible for support unless primarily or exclusively used in the actual conduct of scientific research.

### **Section D. Travel**

In the budget justification, list each trip’s destination, dates, estimated costs including transportation and subsistence, number of staff traveling, the purpose of the travel, and how it relates to the project. Indicate whether travel cost estimates are based upon quotes from travel agencies; upon past experience of similar number of trips to similar travel destinations; or something else (describe). To qualify for support, attendance at meetings or conferences must enhance the investigator's capability to perform the research, plan extensions of it, or disseminate its results.

### **Section E. Participant/Trainee Support Costs:**

If applicable, submit training support costs. Educational projects that intend to support trainees (precollege, college, graduate and post graduate) must list each trainee cost that includes stipend levels and amounts, cost of tuition for each trainee, cost of any travel (provide the same information as needed under the regular travel category), and costs for any related training expenses. Participant costs are those costs associated with conferences, workshops, symposia or institutes and breakout items should indicate the number of participants, cost for each participant, purpose of the conference, dates and places of meetings and any related administrative expenses.

In the budget justification, indicate whether trainee cost estimates are based upon past experience of support of similar number of trainees on similar projects; past experience of support of similar number of participants attending similar conferences/workshops/symposia; or something else (describe).

Only training that is directly related to the “Supported Activities” described earlier in this Announcement will be supported.

### **Section F. Other Direct Costs:**

Enter Other Direct Costs information for each item listed.

- **Materials and Supplies:** Enter total funds requested for materials and supplies in the appropriate fields. In the budget justification, indicate general categories such as glassware, and chemicals, including an amount for each category (items not identified under “Equipment”). Categories less than \$1,000 are not required to be itemized. In the budget justification, indicate whether cost estimates are based upon past experience of purchase of similar or like items; quotes/catalog prices of similar or like items; or something else (describe).
- **Publication Costs:** Enter the total publication funds requested. The proposal budget may request funds for the costs of documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the award. In the budget justification, include supporting information. In the budget justification, indicate whether cost estimates are based upon past experience of purchase of similar or like items; vendor quotes of similar publication services; or something else (describe).
- **Consultant Services:** Enter total funds requested for all consultant services. In the budget justification, identify each consultant, the services he/she will perform, total number of days, travel costs, and total estimated costs. In the budget justification, indicate whether consultant cost estimate is based upon previous experience/quotes for similar or like services; or something else (describe).
- **ADP/Computer Services:** Enter total funds requested for ADP/Computer Services. The cost of computer services, including computer-based retrieval of scientific, technical and education information may be requested. In the budget justification, include the established computer service rates at the proposing organization if applicable. In the budget justification, indicate whether cost estimates are based upon quotes/past experience of purchase of similar computer services; established computer service rates at the proposing institution; or something else (describe).
- **Subawards/Consortium/Contractual Costs:** Enter total costs for all subawards/consortium organizations and other contractual costs proposed for the project. In the budget justification, justify the details.
- **Equipment or Facility Rental/User Fees:** Enter total funds requested for Equipment or Facility Rental/User Fees. In the budget justification, identify each rental/user fee and justify. In the budget justification, indicate whether cost estimates are based upon past experience with similar or like items; vendor quotes of similar items; or something else (describe).
- **Alterations and Renovations:** Enter total funds requested for Alterations and Renovations.
- **In the budget justification,** itemize by category and justify the costs of alterations and renovations, including repairs, painting, removal or installation of partitions, shielding, or air

conditioning. Where applicable, provide the square footage and costs.

- **Other:** Add text to describe any other Direct Costs not requested above. Enter costs associated with “Other” item(s). Use the budget justification to further itemize and justify.

### **Section G. Direct Costs**

This represents Total Direct Costs (Sections A thru F) and will be calculated by PAMS.

### **Section H. Other Indirect Costs**

Enter the Indirect Cost information for each field. Only four general categories of indirect costs are allowed/requested on this form, so please consolidate if needed.

### **Section I. Total Direct and Indirect Costs**

This amount will be calculated by PAMS (Sections G + H)

## **D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS**

If selected for award, DOE reserves the right to request additional or clarifying information.

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

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

Not applicable.

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

Not applicable.

### **3. Proposal Due Date**

December 16, 2019, at 5 PM Eastern Time.

You are encouraged to transmit your proposal well before the deadline.

### **4. Late Submissions**

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

- Failure to begin submission process early enough.
- Failure to provide sufficient time to complete the process.
- Failure to understand the submission process.

- Failure to understand the deadlines for submissions.
- Failure to satisfy prerequisite registrations.
- Unavailability of administrative personnel.
- An upper respiratory infection (a “cold”) the week of the deadline.

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

Applicants must contact the Program Office/Manager listed in this Announcement to discuss the option of a late submission. Contacting the Program Office/Manager after the deadline may reduce the likelihood that a request will be granted.

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

## **F. FUNDING RESTRICTIONS**

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

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

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

Proposals must be submitted through PAMS to be considered for award.

Please only submit a PAMS lab technical proposal in response to this Announcement; do not submit a DOE Field Work Proposal (FWP) at this time. SC will request FWPs via the Searchable FWP system later from those selected for funding consideration under this Announcement.

### **2. Registration Process**

#### **ONE-TIME REGISTRATION PROCESS**

You must complete the one-time registration process (all steps) before you can submit your first proposal through PAMS. Registration instructions appear in the front matter of this Announcement.

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submission and inquiries about this DOE National Laboratory Program Announcement should reference **LAB 20-2150**.

### **3. Proposal Receipt Notices**

Upon submission, the PI will receive an email from the PAMS system <[PAMS.Autoreply@science.doe.gov](mailto:PAMS.Autoreply@science.doe.gov)> acknowledging receipt of the proposal.

#### **4. Viewing Submitted Proposals**

Upon submission, the proposal will appear under My Proposals for the PI and the Submitter with a Proposal Status of “Submitted to DOE.”

## **Section V - PROPOSAL REVIEW INFORMATION**

### **A. CRITERIA**

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

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for the award; (2) the information required by the Program Announcement has been submitted; (3) all mandatory requirements are satisfied; (4) the proposed project is responsive to the objectives of the Program Announcement, and (5) the proposed project is not duplicative of programmatic work. Proposals 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**

Proposals will be subjected to scientific merit review (peer review) and will be evaluated against the following criteria, listed in descending order of importance.

- Scientific and/or Technical Merit of the Project;
- Appropriateness of the Proposed Method or Approach;
- Competency of Applicant's Personnel and Adequacy of Proposed Resources; and
- Reasonableness and Appropriateness of the Proposed Budget.
- Balance of responsibilities between the U.S. and Japanese components of the bilateral collaboration.

The evaluation process will also include program policy factors such as the relevance of the proposed research to the terms of the DOE National Laboratory Announcement and the agency's programmatic needs, the balance of activities within the program, and the utility of the proposed activities to the broader scientific community. 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 proposal constitutes agreement that this is acceptable to the investigator(s) and the submitting institution.

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

#### **SCIENTIFIC AND/OR TECHNICAL MERIT OF THE PROPOSED RESEARCH**

- What is the scientific innovation of proposed effort?
- How does the proposed work compare with other efforts in its field, both in terms of scientific and/or technical merit and originality?
- How might the results of the proposed work impact the direction, progress, and thinking in relevant scientific fields of research?
- What is the likelihood of achieving influential results?
- Is the Data Management Plan suitable for the proposed research and to what extent does it support the validation of research results?

#### APPROPRIATENESS OF THE PROPOSED METHOD OR APPROACH

- Does the proposed effort employ innovative concepts or methods?
- How logical and feasible are the approaches?
- Are the conceptual framework, methods, and analyses well justified, adequately developed, and likely to lead to scientifically valid conclusions?
- Does the applicant recognize significant potential problems and consider alternative strategies?

#### COMPETENCY OF APPLICANT'S PERSONNEL AND ADEQUACY OF PROPOSED RESOURCES

- Does the proposed work take advantage of unique facilities and capabilities?
- What is the past performance of the team?
- How well qualified is the team to carry out the proposed work?
- Are the environment and facilities adequate for performing the proposed effort?

#### REASONABLENESS AND APPROPRIATENESS OF THE PROPOSED BUDGET

- Are the proposed budget and staffing levels adequate to carry out the proposed work?
- Is the budget reasonable and appropriate for the scope?

#### BALANCE OF RESPONSIBILITIES BETWEEN THE U.S. AND JAPANESE COLLABORATORS

- Are the responsibilities assigned to the U.S. and Japanese sides of the collaboration well balanced, i.e., are the scopes of work of comparable magnitude, with significant tasks undertaken by both sides?
- Are the contributions by each side of the collaboration synergistic? Are any unique capabilities of either or both sides being utilized to make the proposed scope of work more compelling?

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

### **1. Merit Review**

Proposals that pass the initial review will be subjected to a formal merit review and will be evaluated based on the criteria above.

### **2. Selection**

The Selection Official will consider the following items in making the selection, listed in no order of significance:

- Scientific and technical merit of the proposed activity as determined by merit review
- Availability of funds
- Relevance of the proposed activity to SC priorities



- Ensuring an appropriate balance of activities within SC programs
- Previous performance of U.S. Principal Investigators and Co-Investigators, as commented on by reviewers and attested in their biosketches
- The balance of responsibilities within the bilateral collaboration

### **3. Discussions and Award**

The Government may enter into discussions with a selected applicant for any reason deemed necessary. 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 the award selection will be completed by April 2020. It is expected that awards will be made in Fiscal Year 2020.

DOE is interested in seeing projects supported under this Announcement begin work by August 1, 2020.

## **Section 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.

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

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

A work authorization/contract modification issued by the contracting officer is the authorizing award document.

### **B. REPORTING**

Annual progress reports from the award investigator will be required and will be due 90 days before the end of each budget year.

### **C. OTHER CONDITIONS**

#### **1. Publications**

Researchers are expected to publish or otherwise make publicly available the results of the work conducted under any authorization resulting from this Announcement. Publications and other methods of public communication describing any work based on or developed under an authorization resulting from this Announcement must contain an acknowledgment of SC support. The format for such acknowledgments is provided at <https://science.osti.gov/funding-opportunities/acknowledgements/>. The author's copy of any peer-reviewed manuscript accepted for funding must be announced to DOE's Office of Scientific and Technical Information (OSTI) and made publicly available in accordance with the instructions contained in the Reporting Requirements Checklist incorporated in all Assistance Agreements.

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

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

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

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

### **3. Federal, State, and Local Requirements**

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

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

### **A. QUESTIONS**

For help with PAMS, click the “External User Guide” link on the PAMS website, <https://pamspublic.science.energy.gov/>. You may also contact the PAMS Help Desk, which can be reached Monday through Friday, 9AM – 5:30 PM Eastern Time. Telephone: (855) 818-1846 (toll free) or (301) 903-9610, Email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov). All submission and inquiries about this DOE National Laboratory Program Announcement should reference **LAB 20-2150**.

Please contact the PAMS help desk for technological issues with the PAMS system.

Questions regarding the specific program areas and technical requirements may be directed to the technical contacts listed for each program within the DOE National Laboratory Program Announcement or below.

Please contact the program staff with all questions not directly related to the PAMS system.

### **B. AGENCY CONTACTS**

|                                       |  |
|---------------------------------------|--|
| PAMS<br>Customer Support              | 855-818-1846 (toll-free)<br>301-903-9610<br><a href="mailto:sc.pams-helpdesk@science.doe.gov">sc.pams-helpdesk@science.doe.gov</a>   |
| Program Manager<br>Scientific Contact | For accelerator science and technology inquires:<br>DOE Office of Science, High Energy Physics<br>Dr. L.K. Len<br>301-903-3233<br><a href="mailto:LK.Len@science.doe.gov">LK.Len@science.doe.gov</a><br><br>For all other inquires:<br>DOE Office of Science, High Energy Physics<br>Dr. Michael Cooke<br>301-903-4140<br><a href="mailto:Michael.Cooke@science.doe.gov">Michael.Cooke@science.doe.gov</a> |

### **C. DEPARTMENT OF ENERGY, OFFICE OF INSPECTOR GENERAL HOTLINE:**

The Office of Inspector General (OIG) maintains a Hotline to facilitate the reporting of allegations of fraud, waste, abuse, or mismanagement in DOE programs or operations. If you wish to report such allegations, you may call, send a letter, or email the OIG Hotline [ighotline@hq.doe.gov](mailto:ighotline@hq.doe.gov). Allegations may be reported by DOE employees, DOE contractors, or the general public. OIG contact information is available at <http://energy.gov/ig/services>.

## **Section VIII - OTHER INFORMATION**

### **A. MODIFICATIONS**

Notices of any modifications to this DOE National Laboratory Announcement will be posted on the Grants and Contracts website (<http://science.osti.gov/grants/>).

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

DOE reserves the right, without qualification, to reject any or all proposals received in response to this DOE National Laboratory Announcement and to select any proposal, 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 PROPOSAL INFORMATION**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in a proposal 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 proposal which are to be restricted:

“The data contained in pages \_\_\_\_\_ of this proposal have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes.”

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 proposal, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing a proposal. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

## **F. 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.