

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy**

**Office of Science  
Office of Biological and Environmental Research**

***Genomic Science: Biosystems Design to Enable  
Next-Generation Biofuels***

**Funding Opportunity Number: DE-FOA-0000640**

**Announcement Type: Initial**

**CFDA Number: 81.049**

<b>ISSUE DATE:</b>	<b>January 13, 2012</b>
<b>Pre-Application Due Date:</b> <b>(Pre-Applications are required)</b>	<b>February 13, 2012</b>
<b>Application Due Date:</b>	<b>April 2, 2012</b>

## NOTE: REQUIREMENTS FOR GRANTS.GOV

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

**Registration Requirements:** There are several one-time actions you must complete in order to submit an application through Grants.gov (i.e., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the CCR, register with the credential provider, and register with Grants.gov). To register with Grants.gov go to “Get Registered” at [http://grants.gov/applicants/get\\_registered.jsp](http://grants.gov/applicants/get_registered.jsp). Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/assets/OrganizationRegCheck.pdf> to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

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

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

### Application Receipt Notices

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

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

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## PART I – FUNDING OPPORTUNITY DESCRIPTION

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

#### Technical/Scientific Program Contact:

**Program Manager:** Dr. Pablo Rabinowicz  
Office of Biological and Environmental Research  
**Phone:** 301-903-0379  
**E-Mail:** [pablo.rabinowicz@science.doe.gov](mailto:pablo.rabinowicz@science.doe.gov)

### STATUTORY AUTHORITY

Public Law 95-91, US Department of Energy Organization Act  
Public Law 109-58, Energy Policy Act of 2005

### APPLICABLE REGULATIONS

U.S. Department of Energy Financial Assistance Rules, codified at 10 CFR Part 600  
U.S. Department of Energy, Office of Science Financial Assistance Program Rule, codified at 10 CFR Part 605

### SUMMARY:

The U.S. Department of Energy's Office of Science, Office of Biological and Environmental Research (BER) hereby announces interest in receiving applications for research that supports the Genomics Science Program and addresses DOE's missions in energy and the environment in the following research areas:

- a) **Microbial systems design for biofuels, from computer modeling to experimental validation:** To develop modeling algorithms and innovative biosystems design technologies to define, build, and apply functional biological modules for the generation of novel biological systems that advance toward the production of biofuels; and
- b) **Plant systems design for bioenergy:** To develop novel technologies to re-design bioenergy crops that can grow in marginal environments while producing high yield of biomass that can be easily converted to biofuels.

Applications should also address potential societal implications of engineered organisms.

## **SUPPLEMENTARY INFORMATION:**

The BER Genomic Science Program supports basic, multidisciplinary research aimed at achieving a systems-level understanding of plants, microbes, and microbial communities relevant to DOE missions in bioenergy, carbon management, and the environment. This research combines integrated large-scale biology (genomics, transcriptomics, proteomics, metabolomics, epigenomics, and other "omics" approaches) with computational biology and system-scale modeling of gene, metabolic, and regulatory network to comprehensively understand, predict, and modify biological systems. Knowledge of the design principles that govern biology from the molecular to the community level will allow us to predict the behavior of biological systems under changing conditions. Moreover, in order to be able to tailor their behavior for defined purposes it will be necessary to re-engineer those biological systems or design new ones. Novel biosystems design tools and technologies will in turn help us better understand natural systems and their response to natural or man-made environmental inputs.

Technologies developed in recent years have taken engineering of living systems, particularly bacteria, to a new level but there is still a long way to go toward achieving a comprehensive predictive understanding of biological systems to enable re-design of novel organisms. Technological breakthroughs are still needed to allow the facile production of those newly designed molecular and cellular systems, and biological design approaches for higher organisms and microbial consortia pose additional challenges, such as higher genetic and structural complexity, multicellularity, and cell-cell communication.

In order to advance toward providing the scientific foundation for a bio-economy in which new biological systems can be designed to address DOE missions, it is necessary to identify and articulate fundamental biological principles that govern biology. Such knowledge and the development of new molecular toolkits and testbeds for the design and construction of improved biological components or new biohybrid systems and processes can be used for the functional characterization of biological systems and synthetic biology re-design. It is also necessary to develop computer-aided design of biological systems leveraging other activities in the computational biosciences to predict, design, construct, and test multi-scale natural and hybrid biological systems that will lead to new clean energy solutions. The toolkits will include the newly developed genetic transformation approaches for natural and re-engineered plant and microbial systems, as well as technologies to facilitate design engineering of multi-component biological functional modules and to manipulate genetic regulatory systems. The testbeds will allow for prototyping and functional validation of natural and engineered biological modules. Integrated interdisciplinary applications are solicited for highly innovative, fundamental genomics and systems biology research and technology development for biosystems design that addresses DOE missions. Applications should respond to all objectives in either one of the following research areas:

**a) Microbial systems design for biofuels, from computer modeling to experimental validation**

In recent years, important progress has been made toward engineering a number of phototrophic and fermentative microorganisms for the production of biofuels, as well as toward computational modeling of microbial metabolism and gene regulation networks. BER is seeking interdisciplinary applications to design new microbial systems from the development of a computer model to the generation of an experimentally validated re-designed living organism through iterative network and functional measurements and model testing. Proposed work must address, but is not limited to, the following objectives:

- Application of integrated "omics" approaches for measuring networks and functions and computational modeling aimed at designing flexible and tunable phototrophic or fermentative microbial systems for the production of advanced biofuels from light, biomass, or other energy sources.
- Development of novel genome-scale engineering or other technologies (e.g. directed evolution, orthogonal genomics, etc.) to create new biological functions relevant to bioenergy production.
- Applying the above models and technologies to build innovative, exchangeable biological modules and/or organisms for engineering and experimentally testing and validating re-designed microbial systems.

**b) Plant systems design for bioenergy**

The sustainable production of biofuels from plant biomass is a high priority for BER. A possible path to achieve that goal is to re-design plants for efficient extraction of cellulosic sugars and their subsequent conversion to advanced biofuels. Such energy crops should be engineered in a way that allows them to grow in marginal lands and changing climate conditions. The inherent complexity of plants poses major scientific and technological barriers that must be overcome in order to advance toward attaining comprehensive understanding of their genetic and metabolic networks. BER is seeking interdisciplinary applications to develop new technologies to facilitate the design and manipulation of plant systems in order to harness the potential of re-designed plants to produce next-generation biofuels. Activities in this area should include but are not limited to the following objectives:

- Applying integrative, systems-scale biology approaches to identify regulatory and metabolic modules that can be used to advance toward re-designing plants for increased photosynthesis capacity and biomass accumulation, as well as improved and sustainable nutrient and water utilization.
- Developing of new technologies for large-scale genome engineering of potential biomass feedstock plants as well as innovative techniques for the introduction of biological modules in plants to confer new or improved functions to bioenergy crops.

**Applications that propose incremental advances in existing technologies or knowledge will not be invited to submit a full application.**

Applications should address biocontainment challenges, unexpected outcomes, and potential societal implications of engineered organisms, and can include a component that would develop methodologies for assessing and mitigating risks. This ethical, legal, and societal implications (ELSI) activity can be up to 5% of the budget (direct costs).

Proposed research is intended to fill critical knowledge gaps, including the exploration of some high-risk approaches. BER also encourages the submission of innovative "high-risk" applications with potential for future high impact on genomic science research. The probability of success and the risk-reward balance will be considered when making funding decisions.

Please note that the following areas are **NOT** within the scope of this FOA: municipal solid waste, microbial fuel cells, waste water treatment, biomimetic hydrogen production, phytoremediation, microbial bioremediation, and mechanistically oriented studies of enzymology, or applications in which the primary focus is whole genome or metagenome sequencing.

Further information on BER's vision for biosystems design research can be found in the BER Biosystems Design Workshop Report (<http://genomicscience.energy.gov/biosystemsdesign/>). Access to all bioinformatics tools developed as part of these projects must be coordinated with BER's Systems Biology Knowledgebase (<http://kbase.science.energy.gov/>).

#### **ADDITIONAL REQUIREMENTS:**

##### **Annual Meeting**

If a project is funded, beginning in the first year of funding, one or more project participants will be required to attend an annual investigator meeting, generally held in the Washington DC area. Reasonable travel expenses may be included as part of the project budget.

##### **Project Management Plan**

The proposers must identify a management structure that enables an effective collaboration between the scientists involved in the proposed work. The management structure must be sufficiently flexible to adapt quickly to changing technical challenges and scientific needs.

**Proposers responding to this FOA will provide a one page management plan to identify the roles and responsibilities of the key leadership personnel involved in the research. See PART IV – APPLICATION AND SUBMISSION INFORMATION, Appendix 6: Other Attachment** for instructions on attaching this information.

##### **Collaborative Project Budget Summary**

In simple tabular form, provide a high-level summary of the proposed annual budget for the project for each collaborating institution, including the lead institution. Budget information should be presented as both annual funding and the cumulative funding over the total award period. **See PART IV – APPLICATION AND SUBMISSION INFORMATION, Appendix 6: Other Attachment** for instructions on attaching this information.



## **PART II – AWARD INFORMATION**

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

DOE anticipates awarding Grants under this FOA.

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

It is anticipated that up to \$20 million total will be available for multiple awards to be made in **FY 2012**, contingent on the availability of appropriated funds. The number of awards will be contingent on satisfactory peer review, the availability of appropriated funds, and the size of the awards. Multiple year funding is expected. Applications may request project support for up to five years, with out-year support contingent on the availability of funds, progress of the research, and programmatic needs. Annual budgets are expected to range from \$1,000,000 to \$5,000,000 in total costs.

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

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

See B. Estimated Funding section above.

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

See B. Estimated Funding section above.

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

See B. Estimated Funding section above.

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

See B. Estimated Funding section above.

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

DOE will accept new applications under this FOA.

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

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

All types of entities are eligible to apply, except other Federal agencies, Federally Funded Research and Development Center (FFRDC) Contractors, and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995. Synergistic collaborations with researchers in Federal Laboratories and Federally Funded Research and Development Centers (FFRDCs), including the DOE National Laboratories are permitted. Collaborations should be limited to filling critical voids in expertise and can represent no more than 50 percent of the total budget.

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

Cost sharing is not required.

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

N/A

## PART IV – APPLICATION AND SUBMISSION INFORMATION

### A. ADDRESS TO REQUEST APPLICATION PACKAGE.

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

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

#### 1. Letter of Intent.

N/A

#### 2. Pre-Application.

Potential applicants are required to submit a brief pre-application, referencing Funding Opportunity Announcement (FOA) **DE-FOA-0000640** for receipt by DOE by **5:00 p.m., Eastern Time, February 13, 2012**. **There are only two criteria for evaluation of pre-applications: relevance to the FOA topic(s) and eligibility of the potential applicant to submit in response to the FOA.** The response to the lead scientist submitting a pre-application will clearly state that a full application is “encouraged” or “discouraged”, and if discouraged will state whether this is because of lack of relevance or because of ineligibility to submit. Communications will only be with the principal investigator named on the pre-application and not with collaborating scientists who are associated with it. A response to the pre-applications encouraging will be communicated to the applicants by **February 24, 2012**. Applicants who have not received a response regarding the status of their pre-application by this date are responsible for contacting the program to confirm their status. Only those pre-applicants that receive notification from DOE encouraging a formal application may submit full applications. **No other formal applications will be considered.**

The pre-application must consist of a cover sheet plus no more than **three** pages of narrative which: **(1) identifies the FOA research area (a or b) that the pre-application addresses, (2) states the research objectives of the project, (3) describes the technical approach(es), and (4) identifies the proposed team members and their expertise and role in the project.** The intent in requesting a pre-application is to save time and effort of applicants in preparing and submitting a formal project application that may be inappropriate for the FOA. Pre-applications will be reviewed relative to the scope and research needs as outlined in the summary paragraph and in the SUPPLEMENTARY INFORMATION. The pre-application should identify on the cover sheet the title of the project, the institution or organization, name of the principal investigator, telephone number, fax number, and e-mail address. No budget information or biographical data need be included, nor is an institutional endorsement necessary.

Pre-applications referencing **DE-FOA-0000640** should be sent as a text file or single PDF file attachment via e-mail to: [genomic.science@science.doe.gov](mailto:genomic.science@science.doe.gov) with "**Pre-application DE-FOA-0000640 Last name and Institution**" as the subject. **No FAX or mail submission of pre-applications will be accepted.**

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

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

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

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

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

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

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

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

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

The Project Narrative comprises the research plan for the project and is limited, including text, figures and tables, to **20 pages maximum** (8.5” by 11” paper of single-spaced, standard 11 point type with 1” margins). It should contain enough background material in the Introduction, including review of the relevant literature, to demonstrate sufficient knowledge of the state of the science. The project narrative must also include a **Project Objectives** section, which should provide a clear, concise statement of the specific objectives/aims of the proposed project. The major part of the narrative should be devoted to a description and justification of the proposed project, including details of the methods to be used. It should also include a timeline for the major activities of the proposed project, and should indicate which project personnel will be responsible for which activities. The narrative **must** include a

data sharing plan complying with Genomic Science Program data release policy, available at <http://genomicscience.energy.gov/datasharing/index.shtml>.

## **Data and Information Sharing Policy**

The Genomic Science information-sharing policy requires that all publication related information and materials be made available 3 month after publication. All Principal Investigators (PIs) within the Genomic Sciences program will be required to construct and implement an Information and Data-Sharing Plan that ensures this accessibility as a component of their funded projects. As an element of an Information and Data Sharing Plan, BER will require that all publishable information resulting from DOE funded research must conform to community recognized standard formats when they exist, be clearly attributable, and be deposited within a community recognized public database(s) appropriate for the research conducted. All experimental data obtained as a result of DOE funded research must be kept in an archive maintained by the Principal Investigator (PI) for the duration of the funded project. Any publications resulting from the use of shared experimental data must accurately acknowledge the original source or provider of the attributable data.

Information on the research projects currently funded by the Genomic Science program and a description of project goals and overall program organization and the data sharing policy can be found at: <http://genomicscience.energy.gov/>

The Project Narrative should begin with a **cover page** that includes the project title **and** the lead Principal Investigator's name and complete contact information. The cover page WILL NOT count in the project narrative page limitation.

The **cover page** of your narrative must include the following information:

**Project Title:**

**Applicant/Institution:**

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

**Principal Investigator (PI):**

**PI Postal Address:**

**PI Telephone Number:**

**PI Email:**

**Funding Opportunity Announcement Number: DE-FOA-0000640**

**DOE/Office of Science Program Office:** Office of Biological & Environmental Research

**DOE/Office of Science Program Manager Contact:** Dr. Pablo Rabinowicz

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

Note that collaborating applications must be submitted separately. These collaborative applications should all have the same title as the lead application. Each collaborating institution submitting an application must use the same title in Block 11 of the SF 424 (R&R) form. The

narrative of these applications needs to be the same and should include a summary of the main contributions from each of the collaborating institutions. However, the respective applications must have their own budget and budget justification.

The project narrative must include:

**Project Objectives:**

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

**Appendix 1: Biographical Sketch.**

Provide a biographical sketch for the project director/principal investigator (PD/PI) and each senior/key person listed in Section A on the R&R Budget form. **Provide the Biographical Sketch information as an Appendix to your Project Narrative. Do not attach a separate file. The Biographical Sketch Appendix will not count in the Project Narrative page limitation.**

The biographical information (curriculum vitae) for each person must not exceed two pages when printed on 8.5” by 11” paper with 1” margins (top, bottom, left, and right) with font not smaller than 11 point and must include:

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

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

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

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

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

Collaborators and Co-editors: List in alphabetical order all persons, including their current organizational affiliation, who are, or who have been, collaborators or co-authors with you on a research project, book or book article, report, abstract, or paper during the 48 months preceding the submission of this application. For publications or collaborations with more than 10 authors or participants, only list those individuals in the core group with whom the Principal Investigator

interacted on a regular basis while the research was being done. Also, list any individuals who are currently, or have been, co-editors with you on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application. If there are no collaborators or co-editors to report, state "None."

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

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

Provide a list of all current and pending support (both Federal and non-Federal) for the Project Director/Principal Investigator(s) (PD/PI) and senior/key persons, including subawardees, for ongoing projects and pending applications. For each organization providing support, show the total award amount for the entire award period (including indirect costs) and the number of person-months per year to be devoted to the project by the senior/key person. **Provide the Current and Pending Support as an Appendix to your Project Narrative. Do not attach a separate file. The Current and Pending Support Appendix will not count in the Project Narrative page limitation.** Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.

### **Appendix 3: Bibliography and References Cited.**

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

### **Appendix 4: Facilities and Other Resources.**

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

### **Appendix 6: Other Attachment.**

If you need to elaborate on your responses to questions 1-6 on the “Other Project Information” document, **please provide the Other Attachment information as an Appendix to your Project Narrative. Do not attach a separate file. The Other Attachment Appendix will not count in the Project Narrative page limitation.**

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

### **3. RESEARCH AND RELATED BUDGET.**

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

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

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

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

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



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

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

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

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

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

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

**Summary of Required Forms/Files**

Your application must include the following documents:

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

**D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.**

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

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR Part 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.

N/A

### 2. Pre-Application.

Potential applicants are required to submit a brief pre-application, referencing Funding Opportunity Announcement (FOA) **DE-FOA-0000640** for receipt by DOE by **5:00 p.m., Eastern Time, February 13, 2012. There are only two criteria for evaluation of pre-applications: relevance to the FOA topic(s) and eligibility of the potential applicant to submit in response to the FOA.** The response to the lead scientist submitting a pre-application will clearly state that a full application is “encouraged” or “discouraged”, and if discouraged will state whether this is because of lack of relevance or because of ineligibility to submit. Communications will only be with the principal investigator named on the pre-application and not with collaborating scientists who are associated with it. A response to the pre-applications encouraging will be communicated to the applicants by **February 24, 2012.** Applicants who have not received a response regarding the status of their pre-application by this date are responsible for contacting the program to confirm their status. Only those pre-applicants that receive notification from DOE encouraging a formal application may submit full applications. **No other formal applications will be considered.**

The pre-application must consist of a cover sheet plus no more than **three** pages of narrative which: **(1) identifies the FOA research area (a or b) that the pre-application addresses, (2) states the research objectives of the project, (3) describes the technical approach(es), and (4) identifies the proposed team members and their expertise and role in the project.** The intent in requesting a pre-application is to save time and effort of applicants in preparing and submitting a formal project application that may be inappropriate for the FOA. Pre-applications will be reviewed relative to the scope and research needs as outlined in the summary paragraph and in the SUPPLEMENTARY INFORMATION. The pre-application should identify on the cover sheet the title of the project, the institution or organization, name of the principal investigator, telephone number, fax number, and e-mail address. No budget information or biographical data need be included, nor is an institutional endorsement necessary.

Pre-applications referencing **DE-FOA-0000640** should be sent as a text file or single PDF file attachment via e-mail to: [genomic.science@science.doe.gov](mailto:genomic.science@science.doe.gov) with "**Pre-application DE-FOA-0000640 Last name and Institution**" as the subject. **No FAX or mail submission of pre-applications will be accepted.**

### 3. Formal Applications.

**APPLICATION DUE DATE:** April 2, 2012, 11:59 PM Eastern Time

Formal applications submitted in response to this FOA must be received by Monday, April 2, 2012, 11:59 PM Eastern Time, to permit timely consideration of awards in Fiscal Year 2012. **You are encouraged to submit your application well before the deadline. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

#### **F. INTERGOVERNMENTAL REVIEW.**

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

#### **G. FUNDING RESTRICTIONS.**

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

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

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

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

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

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

Submit electronic applications through the "Apply for Grants" function at [www.Grants.gov](http://www.Grants.gov). If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 or send an email to [support@grants.gov](mailto:support@grants.gov).

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

You must COMPLETE the one-time registration process (all steps) before you can submit your first application through Grants.gov. We recommend that you start this process at least three weeks before the application due date. It may take 21 days or more to complete the entire process. To register with Grants.gov go to "Get Registered" at [http://grants.gov/applicants/get\\_registered.jsp](http://grants.gov/applicants/get_registered.jsp). Use the Grants.gov Organization Registration

Checklist at <http://www.grants.gov/assets/OrganizationRegCheck.pdf> to guide you through the process. **IMPORTANT:** During the CCR registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called "Marketing Partner Identification Number" (MPIN). When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e., Grants.gov registration).

You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately. Remember you have to update your CCR registration annually.

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

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

Number 1 - Grants.gov Submission Receipt Number

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

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

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

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

### **A. CRITERIA.**

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

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

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

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

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

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

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

DOE is striving to make **awards within six months**. The time interval begins on the date applications are due or the date the application is received, if there is no specified due date/deadline. Awards will be made in Fiscal Year 2012.

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

### **A. AWARD NOTICES.**

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

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

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

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

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

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

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.**

#### **1. Administrative Requirements.**

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

#### **DUNS and CCR Requirements.**

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

## **Subaward and Executive Reporting.**

Additional administrative requirements necessary for DOE grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR, Part 170. (See: <http://ecfr.gpoaccess.gov>). Prime awardees must register with the new FSRS database and report the required data on their first tier subawardees. Prime awardees must report the executive compensation for their own executives as part of their registration profile in the CCR.

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

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

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

## **Intellectual Property Provisions.**

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

## **Statement of Substantial Involvement.**

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

## **C. REPORTING.**

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

## PART VII - QUESTIONS/AGENCY CONTACTS

### A. QUESTIONS.

Questions regarding the content of the FOA must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to view responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at: [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf). DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

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

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

### B. AGENCY CONTACTS.

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

**Program Manager:** Dr. Pablo Rabinowicz  
Office of Biological and Environmental Research  
**Phone:** 301-903-0379  
**E-Mail:** [pablo.rabinowicz@science.doe.gov](mailto:pablo.rabinowicz@science.doe.gov)



## **PART VIII - OTHER INFORMATION**

### **A. MODIFICATIONS.**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Applicants may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this FOA, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.12, [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title10/10cfr784\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title10/10cfr784_main_02.tpl).

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

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

N/A

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

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