

**PROGRAM ANNOUNCEMENT  
TO DOE NATIONAL LABORATORIES**



**U. S. Department of Energy  
Office of Science  
Advanced Scientific Computing Research (ASCR)**

**Exploratory Research for Extreme-Scale Science  
DOE National Laboratory Announcement Number: LAB 15-0001250  
Announcement Type: **AMENDMENT****

**This Program Announcement has been amended to change the deadline dates  
as follows:**

**Jan 22 at 5 PM: 2-page pre-applications due  
Feb 12 at 5 PM: Encourage/Discourage full proposals  
Mar 26 at 11:59 PM: Full proposals due**

<b>Issue Date:</b>	<b>12/01/2014</b>
<b>Pre-Proposal Due Date:</b>	<b>01/22/2015 at 5 PM Eastern Time <b>A Pre-Proposal is required</b></b>
<b>Encourage/Discourage Date:</b>	<b>02/12/2015 at 5 PM Eastern Time</b>
<b>Proposal Due Date:</b>	<b>03/26/2015 at 11:59 PM Eastern Time</b>

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## **REGISTRATIONS**

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

The DOE Office of Science 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>.

There are many activities that you can perform in PAMS, and more functionality will be added throughout the near future. DOE national laboratories will submit pre-proposals, letters of intent, and proposals directly into PAMS.

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 the Office of Science 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 submission and inquiries about this DOE National Laboratory Announcement should reference **LAB 15-1250**.

## RECOMMENDATION

The Office of Science encourages you to register in all systems as soon as possible. You are also encouraged to submit pre-proposals and proposals well before the deadline.

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

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

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

Dr. Steven L. Lee, Office of Advanced Scientific Computing Research

Phone: 301-903-5710

Email: [Steven.Lee@science.doe.gov](mailto:Steven.Lee@science.doe.gov)

FAQ: <http://science.doe.gov/ascr/funding-opportunities/>

Questions regarding the specific technical requirements can be directed to the program managers listed for each area within this Announcement: Applied Mathematics, Computer Science, or Next Generation Networking.

### **SUMMARY**

The Advanced Scientific Computing Research (ASCR) program of the Office of Science (SC), U.S. Department of Energy (DOE), hereby invites proposals with the potential to enable significant research and computational advances for extreme-scale science.

The mission of the DOE Office of Science is the delivery of scientific discoveries, capabilities and major scientific tools to transform the understanding of nature and to advance the energy, economic, and national security of the United States. Extreme-scale science research recognizes that fundamentally different techniques, software tools, and approaches will likely be needed to reap scientific benefits from disruptive, but potentially revolutionary, changes in technology. Major changes are occurring not only in scientific computing technologies (e.g., processors, memory and interconnect systems), but also in sensors and other hardware technologies at DOE experimental and observational scientific user facilities. The purpose of this Announcement is to invite exploratory basic research proposals with the potential to deliver significantly advanced or improved science capabilities in light of emerging and disruptive technology changes.

### **SUPPLEMENTARY INFORMATION**

The mission of the ASCR program is to advance applied mathematics and computer science; deliver, in partnership with disciplinary science, the most advanced computational scientific applications; advance computing and networking capabilities; and develop, in partnership with U.S. industry, future generations of computing hardware and tools for science. A major objective of the ASCR basic research portfolio is to enable DOE-mission science applications to take full advantage of next generation, high-performance computing systems. Desired outcomes include advances in scalable algorithms, programming models, operating systems, and enabling technologies that will make massively parallel, heterogeneous computer architectures more efficient and practical to use in carrying out scientific research activities. A complementary ASCR objective is to build up the computational research infrastructure for enabling data-intensive science advances. Taken together and in the spirit of harnessing emerging and leading-edge technologies for scientific discovery, these two objectives fall under the umbrella of extreme-scale science research.

This Exploratory Research for Extreme-Scale Science (EXPRESS) Announcement aims to stimulate early investigations of potentially high-impact approaches for extreme-scale science research across ASCR basic research subprograms. The EXPRESS Announcement focuses on topic areas related to exascale computing or data-intensive science. A recent ASCR Advisory Committee (ASCAC) report [A1] describes research goals for exascale computing and data-intensive science, and identifies investments that are most likely to positively impact both areas. As noted in [A1], “exascale systems” refers to systems with exascale computing capability and “extreme-scale systems” refers to all classes of systems built using exascale-era technologies - which includes chips with hundreds of cores and different scales of interconnects and memory systems.

In support of the ASCAC report's 10-year outlook, this Announcement develops an ASCR extreme-scale science research portfolio comprised of small-award projects funded over a short period of time (up to 2 years) – see the section on Award Information for complete details. The objective is to provide seed funding to explore potentially fruitful areas of high-impact research, with results that can inform ASCR as it executes an extreme-scale science research agenda. See [A2-A5], for additional reports on challenges and opportunities related to DOE science and technology advances.

The EXPRESS Announcement is not intended to incrementally extend current research in the area of the proposed project. The exploratory nature of the proposed research should pursue substantially different scientific directions and markedly depart from conventional approaches. While the research direction may have its foundation in the investigator’s prior work and expertise, it cannot be a scale up of a current research effort. Rather, the proposed project must reflect fundamentally new strategies toward the potential solution of a challenging problem in extreme-scale science research. It is expected that the proposed project will derive and significantly benefit from the exploration of innovative ideas and/or from the development of unconventional approaches.

### **Applied Mathematics**

Technical Contact: Steven Lee, 301-903-5710, [Steven.Lee@science.doe.gov](mailto:Steven.Lee@science.doe.gov)

Website: <http://science.energy.gov/ascr/research/applied-mathematics/>

The Applied Mathematics subprogram supports basic research leading to fundamental mathematical advances and computational breakthroughs across DOE and Office of Science missions. The proposed work should clearly articulate how applied mathematics research may have a significant impact in enabling extreme-scale science. For references, see [A1-A5, B1-B3].

Research focused on any of the following will be considered out of scope: (1) tailoring or implementation of existing numerical methods for specific scientific problems; (2) HPC implementation or “framework” for scientific or engineering calculations that are based on specific programming models (for example, “OpenCL”, “CUDA”) or architectures (such as “GPGPU”, “MIC”, or variants); or (3) solutions for specific scientific or engineering problems that are not applicable to a broader class of problems.

### **Computer Science**

Technical Contact: Robinson Pino, 301-903-1236, [Robinson.Pino@science.doe.gov](mailto:Robinson.Pino@science.doe.gov)  
Website: <http://science.energy.gov/ascr/research/computer-science/>

The Computer Science subprogram supports research to enable extreme-scale computing and the understanding of extreme-scale data from simulations, experiments and observations. For this subprogram, ASCR would benefit from high-impact and revolutionary research in the following topic areas:

- Programming models and environments, compilers, languages, runtime systems, and resource management given that significant innovation is needed to realize the potential of extreme-scale computing systems.
- Data and visualization research that enables the interactive exploration of petabytes to exabytes of scientific data, or the improved understanding of extreme-scale computing system behavior and resource management.
- Research approaches for enabling and ensuring the scientific computing integrity of extreme-scale leadership class applications.

For this subprogram, proposed innovative methods and approaches must address some aspect(s) of scalability, performance portability, productivity, resilience, scientific integrity, and/or power challenges inherent to future scientific supercomputing facilities. The proposed work should clearly articulate how computer science research may have a significant impact in enabling extreme-scale science. For references, see [A1-A5, C1-C12].

Topics that are out of scope include research not addressing the challenges described above and research primarily focusing on hardware architecture design, all aspects of quantum computing, networking, computer-supported collaboration, mathematics, mathematical formulations and algorithms, social computing, natural language processing / understanding / generation and/or analysis, generalized research in human-computer interaction, discipline-specific data analytics and informatics, research focused on the World Wide Web and/or Internet, and research that is only applicable to hand-held, portable, desktop, embedded or cloud computing.

### **Next Generation Networking for Science**

Technical Contact: Richard Carlson, 301-903-9486, [Richard.Carlson@science.doe.gov](mailto:Richard.Carlson@science.doe.gov)  
Website: <http://science.energy.gov/ascr/research/next-generation-networking/>

The Next Generation Networking for Science subprogram supports software/middleware research and development activities to enable high-performance networks and complex scientific collaborations. High-performance networks of interest range from supercomputer interconnect fabrics to federated high-capacity optical network infrastructures. Complex scientific collaboration may consist of a single investigator remotely accessing a unique instrument or large distributed multidisciplinary science teams interacting with DOE facilities or each other. The proposed work should clearly articulate how next generation networking research may have a significant impact in enabling extreme-scale science, see [A1-A5, D1-D5].

High-impact approaches are requested that pursue innovative software/middleware research in the development of high-performance networking infrastructure and/or collaboration environments for DOE-mission science. The main research topic areas are:

- High-performance Software Defined Networks (SDN) – Research for SDN and Network



Functions Virtualization (NFV) to enable end-to-end terabits networking in the interconnect fabrics, storage area networks, local area networks, and wide area networks (SANs, LANS, and WANs) to support distributed extreme-scale science and the movement of large data sets. For references, see [D1-D2].

- Extreme-scale scientific collaborations and workflows – Next generation networking research approaches for accelerating scientific discovery at DOE computing and science facilities, or improving the effectiveness of advanced scientific collaboration systems and workflows. For references, see [D3-D5].

### **References: Advanced Scientific Computing Research for Extreme-Scale Science**

[A1] Synergistic Challenges in Data-Intensive Science and Exascale Computing, DOE ASCR Advisory Committee (ASCAC) Data Subcommittee Report, March 2013.

<http://science.energy.gov/~media/40749FD92B58438594256267425C4AD1.ashx>

[A2] Scientific Grand Challenges: Cross-cutting Technologies for Computing at the Exascale – Workshop Report, February 2010. [http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Crosscutting\\_grand\\_challenges.pdf](http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Crosscutting_grand_challenges.pdf)

[A3] Scientific Grand Challenges: Architectures and Technology for Extreme Scale Computing – Workshop Report, December 2009.

[http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Arch\\_tech\\_grand\\_challenges\\_report.pdf](http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Arch_tech_grand_challenges_report.pdf)

[A4] The Opportunities and Challenges of Exascale Computing – ASCAC Summary Report, Fall 2010.

[http://science.energy.gov/~media/ascr/ascac/pdf/reports/Exascale\\_subcommittee\\_report.pdf](http://science.energy.gov/~media/ascr/ascac/pdf/reports/Exascale_subcommittee_report.pdf)

[A5] Extreme-Scale Research Principal Investigators Meetings, see

<http://exascaleresearch.labworks.org/oct2012/>

- **Applied Mathematics**

[B1] Applied Mathematics Research for Exascale Computing – Workshop Report, March 2014.

<http://science.energy.gov/~media/ascr/pdf/research/am/docs/EMWGreport.pdf>

[B2] Extreme-Scale Solvers: Transition to Future Architectures – Workshop Report, March 2012. <http://science.energy.gov/~media/ascr/pdf/program-documents/docs/reportExtremeScaleSolvers2012.pdf>

[B3] A Multifaceted Mathematical Approach for Complex Systems – Workshop Report, September 2011. [http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Multifaceted\\_Mathematical\\_Approach\\_for\\_Complex\\_Systems.pdf](http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Multifaceted_Mathematical_Approach_for_Complex_Systems.pdf)

- **Computer Science**

[C1] Abstract Machine Models and Proxy Architectures for Exascale Computing - Report, May 2014, [http://science.energy.gov/~media/ascr/pdf/research/cs/cal\\_amm\\_v1\\_1.pdf](http://science.energy.gov/~media/ascr/pdf/research/cs/cal_amm_v1_1.pdf)

[C2] Modeling and Simulation of Exascale Systems and Applications – Workshop Report, August 2012. [http://science.energy.gov/~media/ascr/pdf/program-documents/docs/ModSim\\_Report-2012\\_AH\\_5.pdf](http://science.energy.gov/~media/ascr/pdf/program-documents/docs/ModSim_Report-2012_AH_5.pdf)

[C3] Exascale Operating System and Runtime Software - Report, December 2012.

<http://science.energy.gov/~media/ascr/pdf/research/cs/Exascale%20Workshop/ExaOSR-Report-Final.pdf>

[C4] Tools for Exascale Computing: Challenges and Strategies – Workshop Report, October

2011.

[http://science.energy.gov/~media/ascr/pdf/research/cs/Exascale%20Workshop/Exascale\\_Tools\\_Workshop\\_Report.pdf](http://science.energy.gov/~media/ascr/pdf/research/cs/Exascale%20Workshop/Exascale_Tools_Workshop_Report.pdf)

[C5] Exascale Programming Challenges – Workshop Report, July 2011.

<http://science.energy.gov/~media/ascr/pdf/program-documents/docs/ProgrammingChallengesWorkshopReport.pdf>

[C6] Exascale and Beyond: Configuring, Reasoning, Scaling – Workshop Report, August 2011.

<http://science.energy.gov/~media/ascr/pdf/program-documents/docs/ArchitecturesIIWorkshopReport.pdf>

[C7] DOE Fault Management Workshop – Final Report, June 2012.

<http://science.energy.gov/~media/ascr/pdf/program-documents/docs/FaultManagement-wrkshpRpt-v4-final.pdf>

[C8] Data Crosscutting Requirements Review – Report, April 2013.

[http://science.energy.gov/~media/ascr/pdf/program-documents/docs/ASCR\\_DataCrosscutting2\\_8\\_28\\_13.pdf](http://science.energy.gov/~media/ascr/pdf/program-documents/docs/ASCR_DataCrosscutting2_8_28_13.pdf)

[C9] Data and Communications in Basic Energy Science: Creating a Pathway for Scientific Discovery – Workshop Report, October 2011.

[http://science.energy.gov/~media/ascr/pdf/research/scidac/ASCR\\_BES\\_Data\\_Report.pdf](http://science.energy.gov/~media/ascr/pdf/research/scidac/ASCR_BES_Data_Report.pdf)

[C10] Scientific Discovery at the Exascale: Data Management, Analysis and Visualization – Workshop Report, February 2011.

<http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Exascale-ASCR-Analysis.pdf>

[C11] A Scientific Research & Development Approach to Cyber Security – Workshop Report, December 2008.

[http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Cyber\\_security\\_science\\_dec\\_2008.pdf](http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Cyber_security_science_dec_2008.pdf)

[C12] DOE workshop on Software Productivity for eXtreme-scale Science (SWP4XS) - Workshop Report, January 2014,

<http://science.energy.gov/~media/ascr/pdf/research/cs/Exascale%20Workshop/SoftwareProductivityWorkshopReport2014.pdf>

- **Next Generation Networking for Science**

[D1] ASCR Intelligent Optical Network Infrastructure Workshop, August 2014.

<http://www.orau.gov/ioninfrastructure2014/default.htm>

[D2] Networking and Information Technology Research and Development (NITRD) Large Scale Networking Workshop Report on Complex Engineered Networks – September 2012.

[http://scenic.princeton.edu/files/nitrd\\_workshop\\_report.pdf](http://scenic.princeton.edu/files/nitrd_workshop_report.pdf)

[D3] Scientific Collaborations for Extreme-Scale Science – Workshop Report, December 2011.

[http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Scientific\\_Collaborations\\_for\\_Extreme\\_Scale\\_Science\\_Report\\_Dec\\_2011\\_Final.pdf](http://science.energy.gov/~media/ascr/pdf/program-documents/docs/Scientific_Collaborations_for_Extreme_Scale_Science_Report_Dec_2011_Final.pdf)

[D4] Workshop report on Computational Modeling of Big Networks (COMBINE) - December 2012.

<https://indico.fnal.gov/materialDisplay.py?materialId=0&confId=5397>

[D5] Accelerating Scientific Knowledge Discovery (ASKD) Working Group Report – August 2013.

[http://www.orau.gov/askd2013/ASKD\\_Report\\_V1\\_0.pdf](http://www.orau.gov/askd2013/ASKD_Report_V1_0.pdf)

## **Collaboration**

Collaborative proposals submitted from different institutions must clearly indicate they are part of a collaborative project/group. Every partner institution must submit a proposal through its own sponsored research office. Each collaborative group can have only one lead institution. Each proposal within the collaborative group, including the narrative and all required appendices and attachments, must be identical with the following exceptions:

- Each proposal must contain a correct cover page for the submitting institution only.
- Each proposal must contain a unique budget corresponding to the expenditures for that proposal's submitting institution only.
- Each proposal must contain a unique budget justification corresponding to the expenditures for that proposal's submitting institution only.

Our intent is to create from the various proposals associated with a collaborative group one document for merit review that consists of the common, identical proposal materials combined with a set of detailed budgets from the partner institutions. Thus, it is very important that every proposal in the collaborative group be identical (including the title) with the exception of the budget and budget justification pages.

Collaborative applications from institutions other than DOE National Laboratories should be submitted following the above rules in response to the companion FOA, **DE-FOA-0001250**. Each application within the collaborative group submitted in response to an FOA, including the narrative and all required appendices and attachments, must be identical with the following exceptions:

- Each application must contain a correct SF-424 (R&R) cover page for the submitting institution only.
- Each application must contain a unique budget corresponding to the expenditures for that application's submitting institution only.
- Each application must contain a unique budget justification corresponding to the expenditures for that application's submitting institution only.

## **Section II – AWARD INFORMATION**

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

DOE anticipates awarding laboratory work authorizations under this DOE National Laboratory Announcement. DOE will consider funding multi-institution collaborations under this Announcement.

### **B. ESTIMATED FUNDING**

It is anticipated that up to \$3,000,000 per year will be available under this DOE National Laboratory Announcement and the companion Funding Opportunity Announcement **DE-FOA-0001250**, contingent on satisfactory peer review and the availability of appropriated funds. Applicants should request project support for two years, with out-year support contingent on the availability of appropriated funds, progress of the research, and programmatic needs. Awards are expected to begin in Fiscal Year 2015, which ends on September 30, 2015.

DOE is under no obligation to pay for any costs associated with the preparation or submission of proposals. 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**

Under this Announcement, it is anticipated that each funded project will have a total budget of \$250,000 per year for two years. Each institution that participates in a funded project receives a separate award. The award size to an institution is expected to be less than or equal to \$250,000 per year for two years. Applicants are strongly advised to propose total project research budgets as close as possible to \$250,000 per year for two years.

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

Under this Announcement, it is anticipated that each funded project will have a total budget of \$250,000 per year for two years. Each institution that participates in a funded project receives a separate award. The total number of awards to institutions is expected to range between 5 and 25 (approximately).

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

Under this Announcement, it is anticipated that each funded project will have a total budget of \$250,000 per year for two years. Each institution that participates in a funded project receives a separate award. The award size to an institution is expected to be less than or equal to \$250,000 per year for two years.

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

DOE anticipates making awards with a project period of two years.

## **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. The Office of Science 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 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 Lead Principal Investigator/Principal Investigator 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 Office of Science 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**

#### **1. Letter of Intent**

N/A

#### **2. Pre-proposal**

PRE-PROPOSAL DUE DATE

**January 22, 2015 at 5 PM Eastern Time**

ENCOURAGE/DISCOURAGE DATE

**February 12, 2015 at 5 PM Eastern Time**

Pre-proposals will be reviewed and DOE will send a reply by e-mail to each applicant encouraging or discouraging the submission of a full proposal by **February 12, 2015**. Applicants who have not received a response regarding the status of their pre-proposals by this date are responsible for contacting the program to confirm this status. **Only those applicants that receive notification from DOE encouraging a full proposal may do so.** No other full proposals will be considered.

Those pre-proposals that are encouraged will be used to help the Office of Science begin planning for the proposal peer review process. The intent of the Office of Science in discouraging submission of certain proposals is to save time and effort of applicants in preparing a proposal that is not likely to be considered for award negotiations under this Announcement.

Pre-proposals will be evaluated with respect to the scope and research areas as outlined in the SUMMARY and SUPPLEMENTARY INFORMATION sections. The pre-proposal should contain (1) a one-page cover sheet, (2) a two-page technical narrative, and (3) conflict of interest information.

The one-page cover sheet identifies the name, institutional affiliation, e-mail address and telephone number of the Lead Principal Investigator and Senior/Key personnel expected to be involved in the project, and an estimated amount of funding requested for each year and for

each funded institution. No biographical data need be included. The cover sheet must also specify the relevant subprogram for the proposed research: **Applied Mathematics, Computer Science, or Next Generation Networking**.

The technical narrative may not exceed two pages, with a minimum text font size of 11 point and margins no smaller than one inch on all sides. Figures and reference, if included, must fit within the two-page limit. The technical narrative must provide a clear and concise description of the objectives and technical approach of the proposed research. The technical narrative must address:

- a) **What is the nature of the problem or challenge?**
- b) **What is the new technical idea, approach, or insight?**
- c) **What is the impact for DOE extreme-scale science if successful?**

A project conflict of interest (COI) list for the Lead Principal Investigator and each project collaborator (supported or unsupported) is required. For each of the project participants, the COI list is comprised of the full name (alphabetically ordered by last name) and current organizational affiliation of their: collaborators or co-authors of the past 48 months; co-editors of the past 24 months; graduate advisor(s) and principal postdoctoral sponsor(s); and graduate students and postdoctoral associates. **These COI lists should be the final set of pages in the pdf for the pre-proposal.**

The Principal Investigator will be automatically notified when the pre-proposal is encouraged or discouraged. The DOE Office of Science Portfolio Analysis and Management System (PAMS) will send an email to the Principal Investigator from [PAMS.Autoreply@science.doe.gov](mailto:PAMS.Autoreply@science.doe.gov), and the status of the pre-proposal will be updated at the PAMS website <https://pamspublic.science.energy.gov/>. Notifications are sent as soon as the decisions to encourage or discourage are finalized.

It is important that the pre-proposal be a single file with extension .pdf, .docx, or .doc. The pre-proposal must be submitted electronically through the DOE Office of Science Portfolio Analysis and Management System (PAMS) website <https://pamspublic.science.energy.gov/>. The Principal Investigator and anyone submitting on behalf of the Principal Investigator must register for an account in PAMS before it will be possible to submit a pre-proposal. All PIs and those submitting pre-proposals on behalf of PIs are encouraged to establish PAMS accounts as soon as possible to avoid submission delays.

You may use the Internet Explorer, Firefox, Google Chrome, or Safari browsers to access PAMS.

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.



### **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. (If you have been an Office of Science merit reviewer or if you have previously submitted a proposal, you may already be linked to an institution in PAMS. If this happens, you will be taken to the PAMS home page.

### **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 do not need to enter the exact name of the institution, but you should enter a word or phrase contained within the institution name. (If your institution has a frequently used acronym, such as ANL for Argonne National Laboratory or UCLA for the Regents of the University of California, Los Angeles, you may find it easiest to 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.
- If, after searching, you think your institution is not currently in the database, click the “Cannot Find My Institution” button and enter the requested institution information into PAMS. Click the “Create Institution” button. PAMS will add the institution to the system, associate your profile with the new institution, and return you to the “Institutions – List” page when you are finished.

### Submit Your Pre-Proposal:

- Create your pre-proposal (called a preproposal in PAMS) outside the system and save it as a file with extension .docx, .doc, or .pdf. Make a note of the location of the file on your computer so you can browse for it later from within PAMS.
- Log into PAMS and click the Proposals tab. Click the “View / Respond to Funding Opportunity 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 Preproposal” from the dropdown.
- On the Submit Preproposal page, select the institution from which you are submitting this preproposal from the Institution dropdown. If you are associated with only one institution in the system, there will only be one institution in the dropdown.
- Note that you must select one and only one Principal Investigator (PI) per preproposal; 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 preproposal. Save the preproposal for later work by clicking the “Save” button at the bottom of the screen. It will be stored in “My Preproposals” for later editing.
- Enter a title for your preproposal.
- Select the appropriate technical contact from the Program Manager dropdown.
- To upload the preproposal 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.
- At the bottom of the screen, click the “Submit to DOE” button to save and submit the preproposal to DOE.
- 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 preproposal.

You are encouraged to register for an account in PAMS at least a week in advance of the preproposal submission deadline so that there will be no delays with your submission.

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 AM – 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 Announcement should reference **LAB 15-1250**.

Pre-proposals submitted outside PAMS will not be considered. Pre-proposals may not be submitted through grants.gov or www.FedConnect.net.

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

PROPOSAL DUE DATE

**March 26, 2015 at 11:59 PM Eastern Time**

Files that are attached to the forms must be in Adobe Portable Document Format (PDF) 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.

LETTERS

Do not submit letters of support or endorsement as these are not used in making funding decisions and can interfere with the selection of peer reviewers.

### **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 – 10 page limit)
  - 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

Full proposals must be submitted into the DOE Office of Science 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 Announcement should reference **LAB 15-1250**. Full proposals submitted in response to this Announcement must be submitted to PAMS by **March 26, 2015 at 11:59 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. The Office of Science 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 Announcement should reference **LAB 15-1250**.

## 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 should have two annual budget periods. Please enter the following budget period start and end dates into PAMS for proposals submitted to this Announcement:

- Budget Period 1: 9/1/2015 – 8/31/2016
- Budget Period 2: 9/1/2016 – 8/31/2017

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 should 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 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 Principal Investigator (PI), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes). This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font not smaller than 11 point. The one-page project summary/abstract should 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 15-1250**
- DOE/Office of Science Program Office: **Office of Advanced Scientific Computing Research**
- DOE/Office of Science Program Office Technical Contact: **Steven Lee (Applied Mathematics), Robinson Pino (Computer Science), or Richard Carlson (Networking)**
- PAMS Pre-proposal Number:
- Research area as identified in Section I of this Announcement (Applied Mathematics, Computer Science, or Networking):

COVER PAGE SUPPLEMENT FOR COLLABORATIONS  
(PART OF PROJECT NARRATIVE ATTACHED TO FIELD 8 ON THE FORM)

Collaborative proposals submitted from different institutions must clearly indicate they are part of a collaborative project/group. Every partner institution must submit a proposal through its own sponsored research office. Each collaborative group can have only one lead institution. Each proposal within the collaborative group, including the narrative and all required appendices and attachments, must be identical with the following exceptions:

- Each proposal must contain the correct “cover-page” information for the submitting institution only.
- Each proposal must contain a unique budget corresponding to the expenditures for that proposal’s submitting institution only.
- Each proposal must contain a unique budget justification corresponding to the expenditures for that proposal’s submitting institution only.

The Office of Science will use the multiple proposals associated with a collaborative group to create one consolidated document for merit review that consists of the common, identical proposal materials combined with a set of detailed budgets from the partner institutions. It is very important that every proposal in the collaborative group be identical (including the title) with the exception of the budget and budget justification pages.

If the project is a collaboration, provide the following information on a separate page as a supplement to the cover page.

- List all collaborating institutions by name with each institution’s principal investigator on the same line.
- Indicate the lead PI who will be the point of contact and coordinator for the combined research activity.

Include a table modeled on the following chart providing summary budget information from all collaborating institutions. Provide the total costs of the budget request in each year for each institution and totals for all rows and columns.

<b>Collaborative Proposal Information</b>					
	<b>Names</b>	<b>Institution</b>	<b>Year 1 Budget</b>	<b>Year 2 Budget</b>	<b>Total Budget</b>
Lead PI					
Co-PI					
Co-PI					

Example Budget Table (\$ in thousands)

\* Note that collaborating proposals must be submitted separately.

## PROJECT NARRATIVE (NO MORE THAN 10 PAGES LONG)

The project narrative **must not exceed 10 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.

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.”

**Background/Introduction:** Explanation of the importance and relevance of the proposed work as well as a review of the relevant literature.

**Proposed Research and Methods:** Identify the hypotheses to be tested (if any) and details of the methods to be used including the integration of experiments with theoretical and computational research efforts.

**Timetable of Activities:** Timeline for all major activities including milestones and deliverables.

**Project Management Plan:** Multi-institutional proposals must include a project management plan that clearly indicates the roles and responsibilities of each organization and indicates how activities will be coordinated and communicated among team members.

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

The Project Narrative comprises the research plan for the project. It should contain enough background material in the Introduction, including review of the relevant literature, to demonstrate sufficient knowledge of the state of the science. The major part of the narrative should be devoted to a description and justification of the proposed project, including details of the method to be used. It should also include a timeline for the major activities of the proposed project, and should indicate which project personnel will be responsible for which activities. There should be no ambiguity about which personnel will perform particular parts of the project, and the time at which these activities will take place.



**For Collaborative Proposals Only:** Each collaborating institution must submit an identical common narrative. Collaborative proposals will necessarily be longer than single-institution proposals. The common narrative may exceed the page limit described for the research narrative by 50%; i.e., if the page limit is 12 pages, a collaboration is subject to a limit of 18 pages. The common narrative must identify which tasks and activities will be performed by which of the collaborating institutions in every budget period of the proposed project. The budget and the budget justification—which are unique to each collaborating institution—may refer to parts of the common narrative to further identify each collaborating institution’s activities in the joint project. There should be no ambiguity about each institution’s role and participation in the collaborative group.

The Office of Science will use the multiple proposals associated with a collaborative group to create one consolidated document for merit review that consists of the common, identical proposal materials combined with a set of detailed budgets from the partner institutions. It is very important that every proposal in the collaborative group be identical (including the title) with the exception of the budget and budget justification pages.

#### APPENDIX 1: BIOGRAPHICAL SKETCH

Provide a biographical sketch for the project director/principal investigator (PD/PI) and each senior/key person as an appendix to your technical narrative. As part of the sketch, provide information that can be used by reviewers to evaluate the PI’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. The biographical information (curriculum vitae) must not exceed three pages when printed on 8.5” by 11” paper with one-inch margins (top, bottom, left, and right) with font not smaller than 11 point and must include the following:

**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 ten 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 ten authors.

**Synergistic Activities:** List no more than five 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 proposal. For publications or collaborations with more than ten 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 proposal. 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 personally identifiable information such as a Social Security Number, date of birth, or city of birth. 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 lead principal investigator and each principal investigator, including subawardees, for ongoing projects and pending proposals. 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 PI. Include the award number, title of the funded research project, and the name of the PI for the project. Briefly describe the research being performed and explicitly identify any overlaps with the proposed research.

Provide the Current and Pending Support as an appendix to your project narrative. Concurrent submission of a proposal 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.energy.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 Office of Science 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 Office of Science 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 Office of Science research proposal merit review process. Applicants are encouraged to consult the Office of Science website for further information and suggestions for how to structure a DMP:

<http://science.energy.gov/funding-opportunities/digital-data-management/>

and ASCR-specific guidance:

<http://science.energy.gov/ascr/funding-opportunities/digital-data-management/>

- This appendix should not exceed three pages including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with one-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 should 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 should be included after the budget pages. The justification should 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. 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).

### **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**

N/A

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

**January 22, 2015, at 5:00 PM Eastern Time**

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

**March 26, 2015, at 11:59 PM Eastern Time**

### **4. Late Submissions**

Proposals received after the deadline will not be reviewed or considered for award.

## **F. FUNDING RESTRICTIONS**

Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress and the availability of future-year budget authority.

## **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. The Office of Science 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 Announcement should reference **LAB 15-1250**.

### **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 Announcement has been submitted; (3) all mandatory requirements are satisfied; (4) the proposed project is responsive to the objectives of the 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.

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.

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

- What is the scientific innovation of the proposed research?
- To what extent is the proposed research likely to achieve valuable results?
- To what extent might the results of the proposed research impact the direction, progress, and thinking in areas relevant to extreme-scale science research?
- How does the proposed research compare with other research in its field, both in terms of scientific and/or technical merit and originality?
- 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

- To what extent are the research approaches logical and feasible?
- To what extent does the proposed research employ innovative concepts or methods?
- To what extent are the conceptual framework, methods, and analysis well justified, adequately developed, and likely to lead to scientifically valid conclusions?
- To what extent does the proposed research recognize significant potential problems and consider alternative strategies?

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

- To what extent does the project team have the requisite background and level of expertise to accomplish the proposed research?
- To what extent are the technical responsibilities of senior or key personnel clearly and adequately described?
- How well organized is the timeline for major research goals and objectives?
- To what extent does the proposed research take advantage of unique facilities and capabilities?

#### REASONABLENESS AND APPROPRIATENESS OF THE PROPOSED BUDGET

- To what extent are the personnel staffing levels adequate for carrying out the proposed research?
- To what extent is the budget reasonable and appropriate for the scope of research?

### **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 Officials will consider the following items, 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 Office of Science priorities
- Ensuring an appropriate balance of activities within Office of Science programs
- Previous performance

#### **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 June 30, 2015. It is expected that awards will be made in Fiscal Year 2015.

DOE is interested in seeing projects supported under this Announcement begin work by September 1, 2015.

## **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.

## **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 Announcement should reference **LAB 15-1250**. 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 Announcement or below.

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

### **B. AGENCY CONTACTS**

PAMS Customer Support	855-818-1846 (toll-free) 301-903-9610 <a href="mailto:sc.pams-helpdesk@science.doe.gov">sc.pams-helpdesk@science.doe.gov</a>
Program Manager Scientific Contact	Dr. Steven L. Lee Office of Advanced Scientific Computing Research Phone: 301-903-5710 Email: <a href="mailto:Steven.Lee@science.doe.gov">Steven.Lee@science.doe.gov</a>

## **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.energy.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.