U.S. DEPARTMENT OF ENERGY | Office of Science

DOE Office of Science Financial Assistance Regulations and Reporting Requirements

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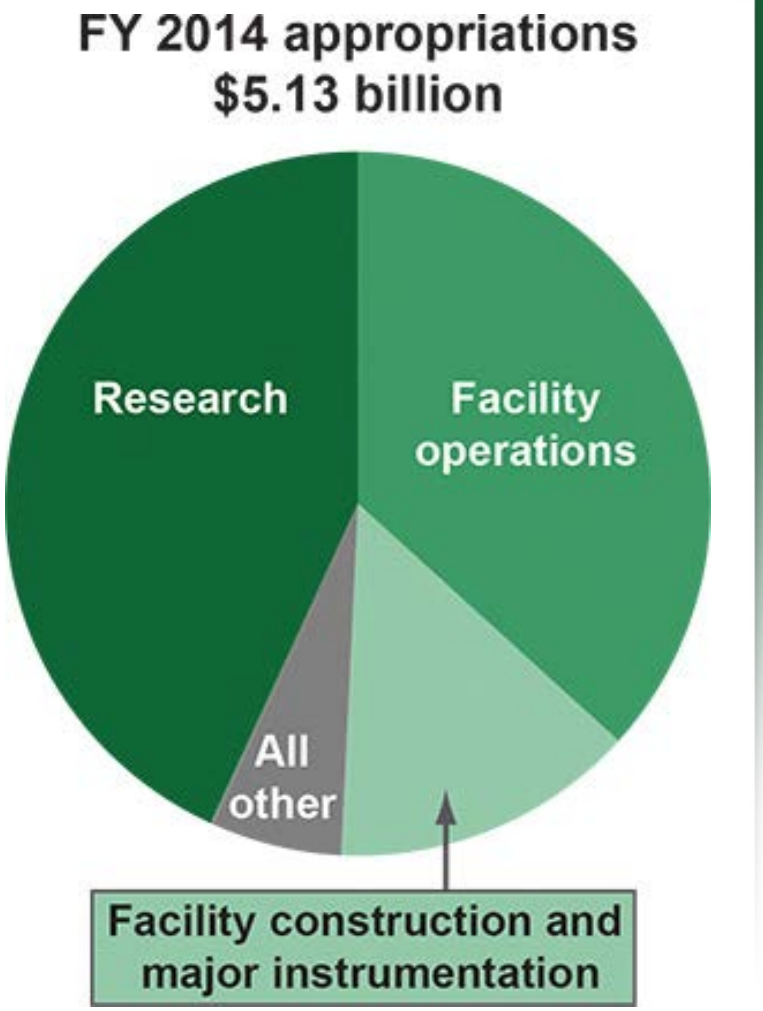
Office of Science, U.S. Department of Energy

The DOE Office of Science Research Portfolio

Basic Energy Sciences	• Understanding, predicting, and ultimately controlling matter and energy flow at the electronic, atomic, and molecular levels
Advanced Scientific Computing Research	• Delivering world leading computational and networking capabilities to extend the frontiers of science and technology
Biological and Environmental Research	• Understanding complex biological, climatic, and environmental systems
Fusion Energy Sciences	• Building the scientific foundations of plasma science for a fusion energy source
High Energy Physics	• Understanding how the universe works at its most fundamental level
Nuclear Physics	• Discovering, exploring, and understanding all forms of nuclear matter

DOE Office of Science

- The Office of Science is a steward for 10 of 17 DOE national labs and operates more than 29 major scientific user facilities.
- Approximately 1/2 of the budget supports operations of the scientific user facilities and construction of new facilities; the other 1/2 supports research at the national laboratories and universities.
- About 1/3 of SC research funding goes to support grants at more than 300 colleges and universities nationwide.
- SC supports ~25,000 Ph.D.s, postdoctoral researchers, graduate students, and undergraduates.
- ~29,000 users of scientific facilities a year
  - ~1/2 of the annual 29,000 facility users come from universities;
  - ~1/3 of the users come from DOE national laboratories;
  - the remaining come from industry, other agencies, and international entities.



Today's Agenda

- Department of Energy (DOE) and Office of Science (SC) Financial Assistance Regulations
- SC Financial Assistance Proposal Submission and Technical Reporting Requirements
- SC Efforts to Consolidate, Streamline, and Eliminate Redundancy

DOE and Office of Science Financial Assistance Regulations

- 2 CFR 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
  - New regulation that streamlines guidance for Federal awards to ease administrative burdens
- 2 CFR 910: Department of Energy Financial Assistance Rules
- 10 CFR 605: Office of Science Financial Assistance Program

Office of Science Proposal Submission and Technical Reporting Requirements

Type	When due	Where due
Preproposal or Letter of Intent	As required in the Funding Opportunity Announcement (FOA)	PAMS
New Proposal	As required in the FOA	Grants.gov
Public Abstract Revised Budget (if needed)	Immediately prior to award recommendation	PAMS
Supplemental Proposal	As per agreement with program manager and in compliance with FOA	Grants.gov
Renewal Proposal (if applicable) Renewal Proposal Products	6 months before the project period ends	Grants.gov – Renewal Proposal PAMS – Renewal Proposal Products
Research Performance Progress Report (RPPR)	90 days prior to the next budget period	PAMS
Final Scientific/Technical Report	Within 90 calendar days after expiration or termination of the award	DOE Energy Link System (E-Link)
Author's Accepted Manuscript for Peer-reviewed Journal Articles	At the time the article meets the status of being "accepted" for publication	E-link

What are the sections of an SC proposal?

- Project Summary/Abstract
- Budget
- Project Narrative
  - Appendix 1: Biographical Sketch
  - Appendix 2: Current and Pending Support
  - Appendix 3: Bibliography & References Cited
  - Appendix 4: Facilities & Other Resources
  - Appendix 5: Equipment
  - Appendix 6: Data Management Plan

- All sections except the abstract and budget are combined into one PDF and uploaded into Grants.gov.

What are the sections of a progress report (fed-wide RPPR)?

- Cover Page
- Accomplishments
- Products
- Participants and Other Collaborating Organizations
- Impact
- Changes-Problems
- Demographic Information for Significant Contributors
- Attachments/Special Reporting Requirements

Efforts to Consolidate, Streamline, and Eliminate Redundancy

- Lean Six Sigma Kaizen Event and Analysis - December 2011
  - Internal improvements in prioritization of work, accelerating funds distribution, and reducing reviews/checks during award making.
- The Office of Science is undertaking a comprehensive, multi-year effort to harmonize business practices across program offices.
  - Resulting software is DOE Office of Science Portfolio Analysis and Management System (PAMS)
    - Replaces several disparate computer systems
    - Automates processes and improves reporting
    - Interfaces with Grants.gov and DOE's PRISM software
    - Uses fed-wide standards like Grants.gov and Research Performance Progress Report (RPPR)
    - Handles letters of intent, preproposals; proposals; revised budgets; public abstracts; proposal decisions; award modifications; and progress reports
    - Began rolling out iteratively in October 2011
    - Still to come: Final reporting and closeout
- Committees of Visitors routinely review Office of Science processes and recommend improvements.
  - http://science.energy.gov/sc-2/committees-of-visitors/

Department of Energy
Office of Science
Washington, DC 20585

http://science.energy.gov/~/media/grants/pdf/FullFundingMemo.pdf

January 29, 2014

MEMORANDUM FOR OFFICE OF SCIENCE GRANT AND COOPERATIVE AGREEMENT APPLICANTS AND RECIPIENTS

FROM: PATRICIA M. DEHMER
ACTING DIRECTOR, OFFICE OF SCIENCE

SUBJECT: FULL FUNDING FINANCIAL ASSISTANCE AWARDS UNDER $1 MILLION

On Friday, January 17, 2014, President Obama signed the Consolidated Appropriations Act, 2014, funding the Federal Government through September 30, 2014.

Section 310 of Division D of the act states

> Notwithstanding section 301(c) of this Act, none of the funds made available under the heading 'Department of Energy—Energy Programs—Science' may be used for a multiyear contract, grant, cooperative agreement, or Other Transaction Agreement of $1,000,000 or less unless the contract, grant, cooperative agreement, or Other Transaction Agreement is funded for the full period of performance as anticipated at the time of award.

The Office of Science's financial assistance awards have historically been made for three- to five-year project periods with funding provided annually in discrete budget periods. We will no longer fund awards with a project period total cost of $1,000,000 or less in this way. Any new or renewal financial assistance award with a project period total cost of $1,000,000 or less will be funded in full.

Thank you

Questions?