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Grant Application Guide

Collaboration

Applicants are encouraged to collaborate with researchers in other institutions, such as universities, non-profit organizations, for-profit commercial organizations, Federal agencies and DOE National Laboratories (FFRDCs).

Collaborative research applications may be submitted in several ways:

1. **Collaborations Among Private Sector or Academic Organizations**

Example A.

Lead Organization with Subcontracts to Other Private Sector or Academic Organizations

When private sector or academic organizations intend to propose collaborative or joint research projects, the lead private sector or academic organization may submit a single financial assistance application which includes another organization as a lower-tier participant (subcontractor) who will be responsible for a smaller portion of the overall project. The financial assistance application should clearly describe the role to be played by each organization, specify the managerial arrangements and explain the advantages of the multi-organizational effort. The lead organization must submit a financial assistance application which includes the required R&R forms listed in the Funding Opportunity Announcement and must include the amount to be subcontracted on the Budget Pages. If approved for funding, DOE will provide the total project funds to the lead organization who will provide funding to the other participant via a subcontract. (This type of collaborative arrangement cannot include other Federal agencies or DOE National Laboratories as subcontractors.)

Example B.

Lead Organization with Separate Financial Assistance Applications for Each Collaborator

When private sector or academic organizations intend to propose collaborative or joint research projects, each should prepare a separate financial assistance application, or a relevant portion of a single, integrated scientific application.

The lead organization must submit their own financial assistance application, which should include a description of the role to be played by each organization, the managerial arrangements, and the advantages of the multi-organizational effort. On the first page of the narrative, list **ALL** collaborating organizations/PIs and indicate which ones will also be submitting applications for financial assistance.

Each collaborating organization must submit their application separately and should provide the required R&R forms listed in the Funding Opportunity Announcement, and there must be a clear and distinct scope of work for each participant. If approved for funding, DOE will award a separate grant to each collaborating organization.

NOTE: If you are uncertain about which of the above examples to use, you may contact the appropriate Office of Science program manager for advice.

2. **Collaborations Between Private Sector or Academic Organizations, DOE National Laboratories (FFRDCs), and Federal Agencies**

Example A.

Private Sector or Academic Organizations with National Laboratory or Federal Agency Collaborators

When private sector or academic organizations intend to form a collaborative project with a DOE National Laboratory or another Federal agency, the private sector or academic organization (the lead

organization) must NOT include the DOE National Laboratory or the other Federal agency as a subcontractor in their financial assistance application. Rather, the DOE National Laboratory or other Federal Agency must prepare a proposal for their portion of the project, then combine each portion into a single, integrated scientific proposal. There must be a clear and distinct scope of work for each participant. The private sector or academic organization must submit a financial assistance application which includes the required R&R forms listed in the Funding Opportunity Announcement for its portion of the project. The DOE National Laboratory must submit the DOE Field Work Proposal format cover page (Reference DOE O 412.1A) and separate Budget Pages (Form DOE F 4620.1) for its portion of the project. The other Federal agency must use proposal preparation instructions at http://www.science.doe.gov/grants/fed_prop.html. The private sector or academic organization (the lead organization) must submit the components of the joint proposal to DOE in one package with a cover letter which describes the role to be played by each organization, the managerial arrangements, and the advantages of the multi-organizational effort. If approved for funding, DOE will award a grant to the private sector or academic organization; the DOE National Laboratory will be funded separately through existing DOE laboratory contracts, from funds specifically designated for new DOE National Laboratory projects; and the other Federal agency will be funded via an interagency agreement.

Example B.

DOE National Laboratory with Private Sector or Federal Agency Collaborators

When a DOE National Laboratory intends to form a collaborative project with either a private sector or academic organization or another Federal agency, the National Laboratory (the lead organization) may choose to include the private sector or academic organization as a subcontractor. The DOE National Laboratory must submit the DOE Field Work Proposal format cover page (Reference DOE O 412.1A) and separate Budget Pages (Form DOE F 4620.1) for its portion of the project. It is also acceptable for private sector or academic organizations to prepare a separate financial assistance application, following instructions in the Grant Application Guide, for submission by the lead organization (the DOE National Laboratory). If one of the collaborators is a Federal agency, the Federal agency must NOT be included as a subcontractor, however the Federal agency must prepare a proposal for their portion of the project, then the DOE National Laboratory (the lead organization) will combine each portion into a single, integrated scientific proposal. The other Federal agency must use proposal preparation instructions at http://www.science.doe.gov/grants/fed_prop.html. The DOE National Laboratory shall submit its proposal along with the collaboration portions in the same package with a cover letter which describes the role to be played by each organization, the managerial arrangements, and the advantages of the multi-organizational effort. If approved for funding, DOE will fund the DOE National Laboratory through existing DOE laboratory contracts, from funds specifically designated for new National Laboratory projects. If the National Laboratory proposal includes subcontracts to private sector or academic organizations, they may be funded through the National Laboratory as subcontracts. If the proposed effort includes separate financial assistance applications, they may be funded via separate grants. If the proposed effort includes proposals from other Federal agencies, they will be funded via separate interagency agreements.

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