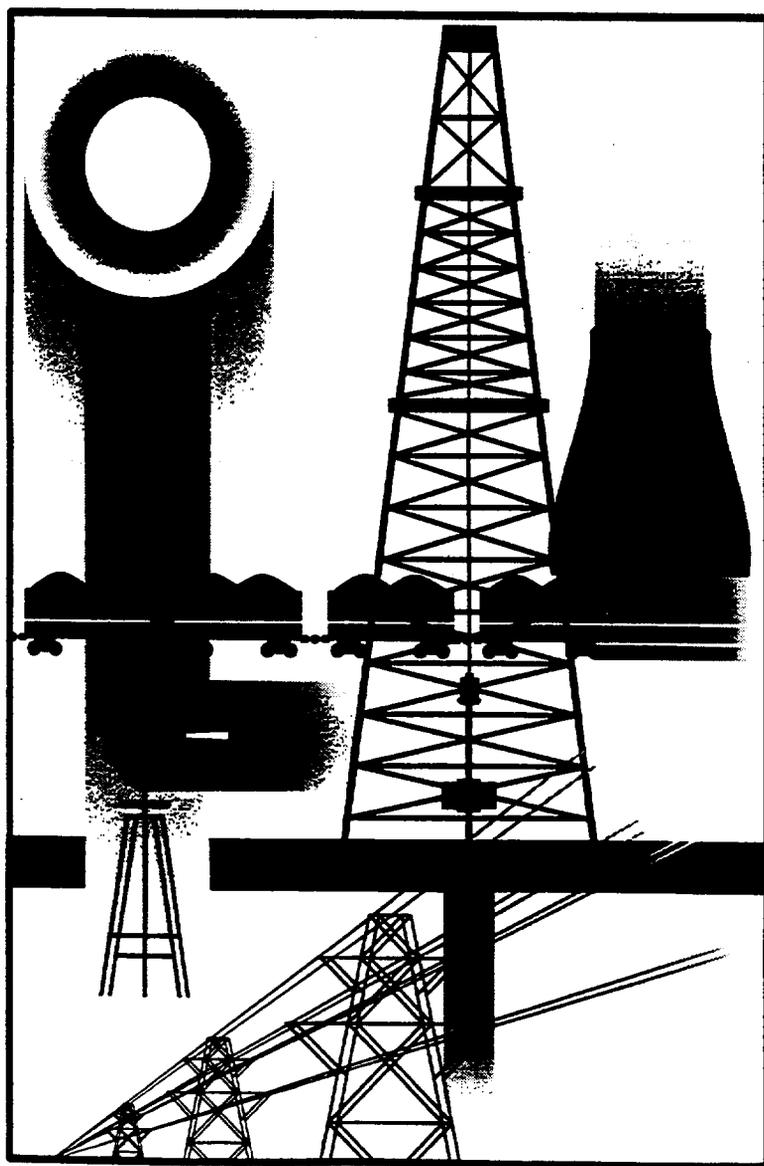


# Guide for the Submission of Unsolicited Proposals



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# **MISSION STATEMENT**

The Department of Energy (DOE) provides the framework for a comprehensive and balanced national energy program through the development, coordination and administration of the energy initiatives undertaken by the Federal Government. The Department is primarily concerned with the long-term, high-risk, high-payoff research and development of nuclear and non-nuclear energy technology; the marketing of Federal power; energy conservation; a central energy information program and environmental restoration and waste management activities. The DOE is also responsible for the Nation's nuclear weapons program and site restoration management activities.

# INTRODUCTION

The U.S. Department of Energy (DOE) looks to the private sector to assist in the accomplishment of its mission and program objectives. Organizations and individuals are encouraged to submit proposals which are relevant to the DOE's research and development mission either in response to formal DOE solicitations or through self-generated unsolicited proposals.

In the solicited area, program sponsors issue competitive solicitations to involve the public in basic or applied research and development project. Additionally, broad competitive solicitations that may cover multiple projects are also issued by program offices. These solicitations are described in Part IV, Competitive Programs. Most of the DOE's funding for research and development is awarded through competitive programs. Research Opportunity Announcements (ROA), one form of broad competitive solicitation available to the DOE, can be issued annually by the DOE program offices to support private sector research. ROAs, which are synopsized in the *Commerce Business Daily* and published in full text in the *Federal Register*, broadly define a DOE program office's mission and program research agenda and request proposals which offer meritorious approaches and solutions to DOE's research objectives.

The unsolicited proposal is another method used by the DOE to fund research and development. An "Unsolicited Proposal" is an application for support of an idea, method or approach which is submitted by individuals, businesses and organizations solely on the proposer's initiative or is a result of a Notice of Program Interest (NPI) in the *Commerce Business Daily* or the *Federal Register*, and not in response to a "formal" government solicitation. Funding of unsolicited proposals is considered a noncompetitive action.

There are a number of applicable regulations relating to criteria governing acceptance and funding of an unsolicited proposal, principally, they are:

Title 48 Code of Federal Regulations (CFR), Chapter 1, The Federal Acquisition Regulation (FAR) *Subpart 15.5- Unsolicited Proposals*;

Title 48 CFR, Chapter 9, the Department of Energy Acquisition Regulation (DEAR) *Subpart 915.5- Unsolicited Proposals*; and,

Title 10 CFR, Part 600 Financial Assistance Rules.

This guide is directed towards helping those prospective individuals, businesses, or organizations interested in submitting unsolicited proposals. It offers an overview of the unsolicited proposal process and describes the policies and procedures for the preparation and submission of an unsolicited proposal document to the DOE.

# Part I Submitting an Unsolicited Proposal

The DOE encourages the submission of unsolicited proposals that will contribute to its mission objectives. DOE considers proposals in all areas of energy and energy-related research and development with emphasis on long-term, high-risk, high-payoff technologies.

An unsolicited proposal may be accepted by DOE if it:

- demonstrates a unique and innovative concept, or demonstrates a unique capability of the submitter;
- offers a concept or services not otherwise available to the Government; and,
- does not resemble the substance of a pending competitive action.

The unsolicited proposal is the document intended to persuade the staff of the DOE and other qualified members of the scientific and engineering community who review and advise on the proposed work, that the project represents a worthwhile approach to the investigation of an important, timely problem. Each proposal should be self-contained and written with clarity and thoroughness.

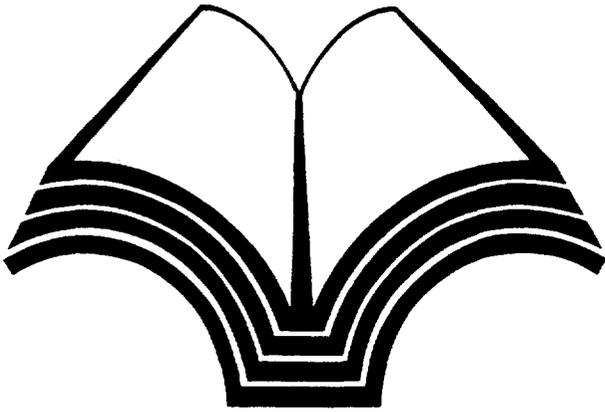
In the unsolicited proposal, the proposer must present objectives and the pertinence of the proposed work to DOE, the rationale of the approach, the methods to be pursued, the qualifications of the investigators and the institution, if applicable, and the level of funding required to attain the objectives.

Part III of this guide lists the various DOE program offices, with a brief description of each and contact point. Further insight into general areas of current and anticipated research needs can be gained following the progress of related work in the open literature and in various Government publications.

A program office may encourage researchers to submit unsolicited proposals by issuing a notice of program interest (NPI). An NPI provides general, broad information about the particular DOE program interest in obtaining research applicable to *general* problem areas or program objectives. These are not formal solicitations. An NPI is a communication device which informs and highlights potential interested proposers to focus on broad areas where submission of an unsolicited proposal may be mutually beneficial to both DOE and the proposer.

## WHO MAY SUBMIT

DOE will consider unsolicited proposals submitted by any individual or organization. This guide is prepared for the benefit of all prospective proposers including individuals, commercial firms, non-profit research organizations, and educational institutions. These guidelines are designed as general instructions/information. If the format is not suitable for a particular proposal, it should be modified as may be appropriate under the circumstances.



## PRELIMINARY DISCUSSIONS

DOE is not responsible for costs incurred in the preparation of proposals. Therefore, DOE encourages potential proposers to consult with program personnel before expending resources in the development or writing of unsolicited proposals. The proposer may inquire informally prior to the formal submittal of the proposal as to the possible interest of DOE in the research and development area involved. Interested parties are urged to discuss the proposed project informally, by letter, telephone, or personal visit, with the DOE Headquarters Office which has the greatest interest in the work. (See Parts III & IV).

Should a proposer need assistance in locating the appropriate DOE office that has programmatic responsibility for a particular area of research, he/she should contact:

Unsolicited Proposal Coordinator  
Office Procurement, Assistance and  
Program Management  
U.S. Department of Energy  
Washington, D.C. 20585  
(202) 586-1140

Preliminary contact with DOE Offices often serves to establish a better understanding between the proposer and DOE, as well as reduce paperwork and loss of time.

*Note:* Offerors are cautioned that such meetings with the DOE are only informal discussions and in no way will be considered to provide authorization to perform work at DOE expense in anticipation of an acquisition/assistance award. The transmittal letter accompanying the formal proposal should include the name(s) of the DOE staff with whom the proposer had preliminary discussions on the proposed work.

## WHEN TO SUBMIT

There are no specific dates for the submission of unsolicited proposals. However, because a comprehensive review is required before a proposal can be acted upon, new proposals should be submitted as early as possible, usually six months in advance of the desired beginning of support. Receipt of proposals will be acknowledged and the proposer will be notified when a decision is made on the proposal. If a proposer wishes to have a proposal withdrawn from consideration, he/she should promptly notify DOE in writing.

It is the policy of DOE to evaluate each proposal fairly and objectively, and to process proposals expeditiously and, where practicable, to keep proposers advised as decisions are made.

January February  
March April May  
June July August  
September October  
November December  
January February  
March April May  
June July August  
September October  
November December

## WHERE TO SUBMIT

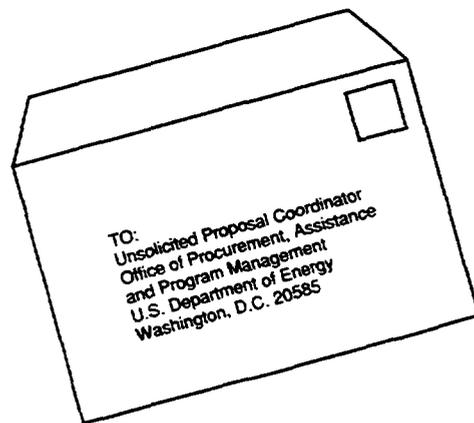
Unsolicited proposals should be signed by an authorized official of the proposing organization or by the proposer if submitted by an individual. Unless otherwise directed by a Notice of Program Interest, all proposals should be addressed to:

Unsolicited Proposal Coordinator  
Office of Procurement, Assistance and  
Program Management  
U.S. Department of Energy  
Washington, D.C. 20585

This office acts as a central point for the receipt, distribution, accountability, and status reporting of unsolicited proposals. Proposals received are assigned a DOE identification number and acknowledged. The number appears in the acknowledgment letter and should be referenced in all subsequent communications pertaining to the proposal.

A proposal may be a potential candidate for support by more than one DOE office. The receiving office is familiar with areas of interest and tries to ensure that each research proposal is sent to the potentially interested offices.

*Note:* See Part III - Offices of Energy Research and Fossil Energy for instructions on submittals to those offices.



# WHAT TO SUBMIT

The unsolicited proposal forms the basis for both further technical evaluation and for a contract or grant award. No particular format need be followed for the submission of unsolicited proposals. However, an unsolicited proposal should, as a minimum, cover the points discussed in this guide. Eight copies of the proposal should be submitted. Processing may be delayed if DOE receives less than the required number of copies.\*

Elaborate proposals or presentations are not desired. Each applicant should review the submission to ensure that all data necessary for critical evaluation is included initially. Correspondence generated by omission of essential items delays processing of proposals. The following is a list of essential items that an unsolicited proposal should contain.

## ■ Cover Page

A sample cover page format has been included in Appendix I.

## ■ Basic Information

1. Name and address of submitter;
2. Proposal submission date;
3. When applicable, reference to the *Notice of Program Interest*;
4. Type of business (indicate whether profit, nonprofit, educational, small business, woman-owned, socially and economically disadvantaged, or other);

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\*State or local Governments or Indian Tribal Government should use the Standard Form 424 for assistance applications.

5. Proposed starting date and estimated period of performance;
6. Period for which proposal is valid (minimum of six months from date of submission);
7. Names and telephone numbers of the proposer's primary business and technical personnel whom DOE may contact for evaluation or negotiation purposes;
8. Signature of person authorized to contractually represent the individual or organization;
9. List of other Federal, State, or local government agencies or private organizations to which the proposal has been submitted and/or those funding the proposed effort; and,
10. Statement that the proposal may, or may not, be subjected to external review. (See "Limited Use of Data.")

## ■ Business and Financial Information

1. A cost estimate for the proposed effort sufficiently detailed by element of cost to permit a meaningful evaluation (where a cost-sharing arrangement is proposed, the proposer's share should be separately identified and similarly detailed);
2. A descriptive brochure if available of the proposer's organization, if applicable; and
3. A brief description of the proposer's facilities.

## ■ Technical Information

1. A concise title and about a 200-word abstract of the proposed research. The abstract should be informative to other researchers in the same field, but in language that can be understood by an intelligent layman. It should be kept in mind that the abstract is the reviewer's introduction to the proposed research.
2. The body of the proposal should contain a statement of the work plan with sufficient technical detail to permit a meaningful evaluation: the phase-by-phase procedures to be followed; the objectives and expected significance; the relation of the study both to the present state of knowledge in the field and to comparable work in progress elsewhere; and, a bibliography of pertinent literature. The general plan of approach should be outlined. Experimental methods and procedures should be adequately described. Appraisal of the scientific merit of the proposed research will be influenced in large measure by this presentation. It is understood that carefully detailed plans may require modification during the course of the research.
3. Available facilities and major items of equipment especially adapted or suited to the proposed research should be described. If all or any part of the project is to be performed away from the proposer's facility, this should be explained in full.
4. Names of key project personnel including the principal investigator or project leader along with brief biographical information on each.

## ■ Certifications

Applications and Proposals in excess of \$100,000 for contracts, grants, and cooperative agreement shall include:

1. Certification that the applicant has not used nor will they use appropriated funds for payment to lobbyists; or
2. Standard Form LLL, if the applicant has made, or will make, payments to lobbyists with profits or nonappropriated funds.

The certification and forms are required whether or not a proposal or application is ultimately selected for funding by the DOE. Sample forms are included in Appendix II.

Prior to award of a contract or grant as a result of an unsolicited proposal, the DOE requires submission of a number of representations and certifications, such as Statement of Contingent or Other Fees. This and other representations and certifications are not required with the initial submission of an unsolicited proposal, but will be requested upon acceptance of the proposal for award.

## Limited Use of Proposal Data

It is the policy of DOE that all Government and non-Government personnel handling unsolicited proposals shall exercise extreme care to ensure that the proposal information is not duplicated, used or disclosed in whole or in part for any purpose other than to evaluate the proposal, without written permission of the offeror.

In some instances the proposal may be subject to evaluation by Government personnel outside the Department and/or by leading scientists or preeminent experts outside the Government.

In such instances a written agreement will be obtained from any non-Government evaluator that the evaluator will not disclose information in the proposal outside the Government.

If a proposal under consideration expressly states that only Government evaluation is authorized and DOE believes that evaluation outside the Government is necessary to determine the technical merit of the proposal, the proposer may be advised that DOE will be unable to give full consideration to the proposal unless the proposer consents in writing to having the proposal evaluated outside the Government.

If a proposal contains proprietary data, it shall be marked in accordance with the procedure in the FAR 15.509 or 10 CFR 600.18. These regulations provide specific coverage and language to be included in a proposal to identify those parts of the proposal which are proprietary.

### **Classified Research and Security Considerations**

Most solicitations of proposals for DOE projects are unclassified (i.e., in terms of national security). Unsolicited proposals are expected to be unclassified. If it is not feasible to submit an unclassified proposal and classified data or information is to be included or used, the proposal must be classified in accordance with its content. Additionally, if during the evaluation of an unsolicited proposal it is found that the work will involve a classified topic, any resulting business arrangement will take this into account and the proposer will be required to comply with applicable Government security regulations. Appropriate classification guidance will be furnished.

Guidance with regard to the preparation, handling, submission and disposition of a classified proposal as well as operations under a classified contract/grant may be obtained from:

Office of Safeguards and Security  
U.S. Department of Energy  
Washington, DC 20545  
or by calling the DOE Information Operator  
on (202)586-5000 for the telephone number.

### **Patents, Data & Copyrights**

Small business and nonprofit organizations generally have the right to elect to retain title to inventions they make in the performance of DOE funding agreements (grants, contracts, and cooperative agreements) for experimental, developmental, or research work unless DOE determines that exceptional circumstances require a different disposition of rights. (Public Law 96-517, amended by Public Law 98-620).

Organizations which are not small business or nonprofit organizations are subject to DOE's statutory patent policy under section 152 of the Atomic Energy Act of 1954, as amended and section 9 of the Federal Nonnuclear Energy Research and Development Act of 1974. Under this policy, title to inventions conceived or first actually reduced to practice in the course of or under a contract, grant, or cooperative agreement with DOE vests in the Government, and the contractor receives a royalty free, nonexclusive, revocable license for use of such inventions. The contractor or grantee may request greater rights to inventions under the DOE's waiver procedures; such requests are governed by DOE's waiver procedures set forth in 48 CFR 927.3. Proposers intending to make such requests should submit them to the contracting officer as soon as possible prior to award or within thirty days thereafter.

Policies governing patents under contracts are contained in 48 CFR 927.3 and in 10 CFR 600.33 for financial assistance actions.

To preserve existing rights it is suggested that those who believe that they have patentable inventions should file, as a protection to themselves

and to the Government, necessary patent applications with the U.S. Patent and Trademark Office.

The DOE will obtain unlimited rights in technical data and copyrighted material submitted in an unsolicited proposal if it is subsequently selected for award of a contract or grant. Unlimited rights apply to technical data and copyrighted material contained in the proposal unless the proposer marks those portions which it asserts are "proprietary data", or specifies those portions which are not directly related to or utilized in the contract work. Policies governing technical data and copyrights are detailed in 48 CFR 927.4.

### **Reports**

Offerors submitting unsolicited proposals should be aware that if selected for funding, a number of reporting requirements will be required. A schedule of reports will be arranged at time of award.

The selection of appropriate reports, their frequency and the amount of detail required will vary based on factors such as the program objectives, amount of funding and type of instrument awarded. DOE program managers have been instructed to use discretion in report selection in order to keep administrative burdens to a minimum. Usually, an annual progress report is sufficient for fundamental research. Applied research and development will vary as just described. In any event, a final report will be required.

### **Acquisition and Assistance Awards**

An unsolicited proposal may, if accepted, result in an acquisition (contract) or an assistance (grant or cooperative agreement) award. A contract is used when the principal purpose is the acquisition of an item or service for the direct benefit or use of the Federal Government. A grant would be awarded when no substantial involvement is expected between DOE and the recipient during performance of the contract, while a cooperative agreement would be used when substantial involvement between the DOE and the recipient is expected. The decision to award an acquisition or assistance instrument will be made by the program office funding the effort.

### **Cost Sharing or Cost Participation**

The decision as to whether an acquisition or assistance agreement will include either a cost-sharing or cost-participation provision, respectively, is made on a case-by-case basis. Normally, DOE will fully fund the early phases of basic research and development programs. However, subsequent phases of those programs, which provide the performer with present or future economic benefits through commercialization, will require some form of cost-sharing or cost-participation.

## **INITIAL REVIEW**

Before a detailed evaluation of an unsolicited proposal will be undertaken, it will be initially reviewed to determine if the proposal contains sufficient technical and cost information, has been approved by a representative authorized to contractually obligate the proposer, and properly complies with any data disclosure restrictions.

If the document contains most of the information required, the proposal will be processed and any missing information may be requested by the program office from the proposer so that it may be reviewed and evaluated as an unsolicited proposal.

## **EVALUATION**

The DOE is not required to perform comprehensive evaluations of unsolicited proposals not related to its mission.

The principal elements considered in evaluating a proposal are:

1. Unique and innovative methods, approaches or concepts demonstrated by the proposal;
2. Overall scientific/technical or socioeconomic merit of the proposed activity;

3. Potential contribution of the effort to the DOE's specific mission;
4. The proposer's capabilities, related experience, facilities, techniques, or unique combinations of these which are integral factors for achieving the proposal objectives;
5. The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel who are critical in achieving the proposal objectives;
6. The appropriateness of proposed costs;
7. The availability of funding to support the proposed project and the relative merit of the project to others which could be supported with the same funds.

Unsolicited proposals may be accepted upon a determination by the responsible official or designee, that support (award of a contract/grant or other arrangement as authorized by law) to the proposer is justified because the proposal was submitted on the proposer's own initiative; and the purpose is to explore a method, approach, or an idea or to carry out an initial development in support of DOE's mission which (a) demonstrates a unique and innovative concept, or, demonstrates a unique capability of the proposer to provide the particular research services proposed; (b) offers a concept or services not otherwise available to the government; and (c) does not duplicate or resemble the substance of a pending competitive acquisition (FAR 6.302-1(a)(2)(i)).

A favorable comprehensive evaluation of an unsolicited proposal is not, in itself, sufficient justification for executing a noncompetitive award with the offeror. When a document qualifies as an unsolicited proposal, but the substance (a) is available to the Government without restriction from another source, or (b) closely resembles that

of a pending competitive solicitation, or (c) does not demonstrate an innovative and unique methods, approach or concept, the unsolicited proposal shall not be accepted (FAR 15.507 (a)).

DOE has no obligation to make an award even if the technical evaluation is favorable, since other priorities or funding limitations may preclude such action.

The proposer will be notified if it is decided that the proposal will not be supported. Copies of unsolicited proposals which have been declined will not normally be returned except on the written request of the principals involved.

If, on the other hand, the decision is made to support the proposal, the proposer will be advised and may be asked to submit additional details, revised budgets, or simply a confirmation of the proposal goals. Plans for getting the project underway may be firmed up at this time, but no real commitment of funds may be made until formal notification action is completed.

A proposer may propose activities that are also of interest to other agencies. Interagency proposal evaluation may be initiated with the prior written approval of the proposer. If found acceptable, an agency may write a separate contract/grant or jointly fund the program with another agency having a collateral interest.

# **PART III** RESEARCH AREAS

## **Programs Offices**

The various DOE program divisions and staff offices that consider unsolicited proposals and their respective areas of responsibility are discussed below.

### **Energy Research**

The Office of Energy Research (ER) advises the Secretary on specific scientific and technical facilities and programs of the Department, overseas the operation of numerous multi and single purpose national laboratories and the direction of basic and applied research, education and activities needed to respond to the ER mission.

ER provides support in the following areas of scientific and technical interest to assist in accomplishing its mission: basic energy sciences; high energy and nuclear physics; fusion energy; health and environmental research; science education programs; and the Superconducting Super Collider program.

See Part IV for information on the submittal of proposals under ER's Special Research Grant Programs.

Contact: Unsolicited Proposal Coordination  
Acquisition & Assistance Management  
Division  
(301) 353-5544

## **Conservation and Renewable Energy**

The Office of Conservation and Renewable Energy (CE) formulates and directs programs designed to increase the production and utilization of renewable energy and improve the energy efficiency of the transportation, buildings, industrial, and utility sectors through support of research, development, and technology transfer activities. These programs include basic and applied research in fields of scientific inquiry that can provide a general technology base which the private sector will be able to use in not only developing advanced renewable and conservation applications but actually getting these technology applications into the marketplace. CE programs encompass near-, mid-, and long-term research projects. The office also has responsibility for administering energy efficiency-oriented assistance programs which operate through State and local governments. In addition, CE is responsible for coordinating and overseeing the operations of five power marketing administration (Southeastern, Southwestern, Alaska, Bonneville, and Western). CE programs are conducted on a national basis with the assistance of DOE field offices, CE support offices, and national laboratories. All of these programs are implemented through a combination of DOE laboratories, academic institutions, private contractors, and other Federal, State and local government agencies.

Contact: Unsolicited Proposal Coordination  
Office of Management and Resources  
Budget and Financial Management  
Division  
(202) 586-9258

The Energy Related Inventions Program is a major program within CE that relies exclusively on unsolicited proposals. A description of that program and its contact point follows.

## **Energy-Related Inventions Program**

The Energy-Related Inventions Program was established by the Federal Non-nuclear Energy Research and Development Act of 1974 (Public Law 93-577) to encourage innovation in energy by the private sector as a method to expand our national energy options. Jointly conducted by the Office of Conservation and Renewable Energy and the National Institute of Standards and Technology (NIST), formerly the National Bureau of Standards, the program provides a unique opportunity for the public to submit energy-related ideas for a free technical evaluation and possible financial support, giving special consideration to individual inventors and small businesses.

To participate in the program, an inventor files an application form (NBS-1019) and an invention disclosure with the NIST Office of Energy-Related Inventions, describing the idea and documenting the technical and commercial feasibility of the concept. The application should make clear how the invention is unique, how performance and costs are superior to similar items on the market, and how the invention will affect national energy objectives. Submissions that are unclear, related to nuclear energy, or contradictory to the laws of science are not evaluated. Once past the initial screening, the concept is evaluated on two criteria: technical feasibility and potential impact on energy utilization or supplies. The decision to recommend or not to recommend to DOE for possible support is the last part of the NIST evaluation.

Inventions may be submitted at any stage of development and need not be patented. Government procedures have been established to safeguard the proprietary rights of inventors and protect confidential information. Although drawings are encouraged, no models or samples of materials should be submitted unless specifically requested during the evaluation. NIST will not test your invention.

When an invention is recommended by NIST to DOE for possible government support, DOE works with the inventor to determine what kind of assistance will best move the new technology toward commercialization. Grants have been used for testing and analysis, for building an engineering model or a working prototype, and for various aspects of commercialization planning, if the invention is already in an advanced state of development. All inventors recommended by NIST are also invited to attend one of the Commercialization Planning Workshops sponsored by DOE. These workshops bring together a dozen inventors and a faculty of experts in patenting, licensing, business planning, market analysis, and financial and technical development.

Anyone can submit an invention to NIST for a free, confidential evaluation. There are no fees, and no obligation, financial or otherwise, is incurred by the inventor. For additional information and application forms for the Energy-Related Inventions Program, write to:

Director  
Inventions and Innovation Division  
U.S. Department of Energy  
Washington, D.C. 20585  
(202) 586-1478

## **FOSSIL ENERGY**

The Assistant Secretary for Fossil Energy (FE) is responsible for management of research and development programs involving fossil fuels—coal, petroleum, and natural gas. The fossil energy program involves applied research, exploratory development, and fuels programs such as fuel conversion, natural gas import/export, electricity exportation, and permitting of border powerline

facilities and limited proof-of-concept testing targeted to high-risk and high-payroll endeavors. The objective of the program is to provide the general technology and knowledge base that the private sector can use to complete development and initiate commercialization of advanced processes and energy systems. The program is principally executed through two Energy Technology Centers located in the field.

Other areas of responsibility include the management of the Clean Coal Technology Program, the Strategic Petroleum Reserve, the Naval Petroleum and Oil Shale Reserves, and the Liquefied Gaseous Fuels Spill Test Facility.

The general policy in FE is to assure that there is a central uniform system that identifies, reviews and evaluates unsolicited proposals. These proposals may be submitted at any time. The Pittsburgh Energy Technology Center is responsible for the FE unsolicited proposal system.

All incoming unsolicited proposals received by FE, including letters of transmittal, will be transmitted to the:

U.S. Department of Energy  
Pittsburgh Energy Technology Center  
Attn: Supervisor, FE UPC, AD-20  
P.O. Box 10940, MS 921-118  
Pittsburgh, Pennsylvania 15236

Please submit all FE unsolicited proposals directly to the above address.

Contact: Supervisor  
FE Unsolicited Proposal Operations  
(412) 892-6181

## **Defense Programs**

The Assistant Secretary for Defense Programs (DP) directs the Nation's nuclear weapons research, development, testing, production, and surveillance program, as well as the production of the special nuclear materials used by the weapons program within the Department.

DP has direct management oversight for the Savannah River, Albuquerque, and Nevada DOE Field Offices, and the Rocky Flats Office. DP also has Departmental responsibility for inertial fusion research, export control, test ban treaty verification and monitoring technology, and coordinates the Department's emergency management activities.

Contact: Unsolicited Proposal Coordination  
Planning and Resource Management  
Office of Management Support  
Support Services Division  
(301) 353-6409

## **Nuclear Energy**

The Office of Nuclear Energy (NE) administers the DOE's fission energy programs. This includes programs relating to nuclear reactor operation and development, both civilian and naval; space nuclear power; uranium enrichment; and isotope production and distribution. These programs support DOE's role to: (1) ensure nuclear facilities are operated in a safe and environmentally sound manner and are adequate to meet DOE missions; (2) reduce the front-end risk of potential nuclear projects to enable the private sector to select and proceed with new commercial nuclear power plants; (3) ensure the availability of a safe, reliable, and economical supply for enriched uranium for U.S. commercial and defense requirements and for foreign commercial needs; (4) provide nuclear power systems which satisfy the electrical power and propulsion needs of National Aeronautic and Space Administration and Department of Defense

(DOD) for space and terrestrial mission applications; (5) produce and sell, on a self-sustaining basis, isotopes for wide applications in research, industry, and nuclear medicine; and (6) in partnership with the DOD, provide the Navy with militarily effective nuclear propulsion plants and ensure their continued safe and reliable operation.

Contact: Unsolicited Proposal Coordination  
Office of Program Support  
Resource Management Division  
(301) 353-5768

## **International Affairs and Energy Emergencies**

The Assistant Secretary for International Affairs and Energy Emergencies (IE) develops, manages, and directs programs and activities relating to the international aspects of overall energy policy; ensures that U.S. international energy policies and programs conform to national goals, legislation, and treaty obligations; advises the Secretary on international energy negotiations; assesses world price and supply trends; and coordinates cooperative international energy programs with foreign governments and international organizations such as the International Energy Agency and the International Atomic Energy Agency.

IE also directs and coordinates the Department's energy emergency preparedness and energy emergency operations efforts (excluding nuclear incidents/accidents); develops contingency plans and tests and evaluates response plans; and develops and maintains continuity of government and national emergency plans.

Contact: Unsolicited Proposal Coordination  
Management Services  
(202) 586-8647

## **Civilian Radioactive Waste Management**

The Office of Civilian Radioactive Waste Management (RW) was established by the Nuclear Waste Policy Act (NWPA) of 1982 (42 U.S.C. 10224). The Office has responsibility for the Nuclear Waste Fund and for the management of Federal programs for siting, licensing, constructing, and operating a repository for disposal of high-level radioactive waste and spent nuclear fuel; monitored retrievable storage; and transportation of high-level radioactive waste and spent nuclear fuel.

NWPA permits funding from the Nuclear Waste Funds' monies only for nongeneric research, development and demonstration activities directly supporting the development of RW's systems.

Contact: Unsolicited Proposal Coordination  
Contract Management Division  
Office of Contract Business  
Management  
(202) 586-6850

## **New Production Reactors**

The mission of the Office of New Production Reactors Program is to provide new production reactor capacity in a safe and environmentally sound manner on an urgent schedule for an assured supply of nuclear materials, primarily tritium, to maintain the nation's nuclear deterrent capability. Management, acquisition and construction involves the planning and development of a program strategy and plans which consider safety, quality assurance, environmental concerns, engineering and production performance.

Contact: Unsolicited Proposal Coordination  
Office of Business Management  
Acquisition Division  
(202) 586-7391

## **Environmental Restoration and Waste Management**

The Office of Environmental Restoration and Waste Management (EM) is committed to a goal of cleaning up its current inventory of inactive sites and facilities by the year 2019, and on an expedited basis, to bring its nuclear-related sites and facilities into compliance with applicable Federal, State, and local laws and regulations. EM's Five-year Plan documents DOE's strategy for meeting its 30-year compliance and cleanup goals. The strategy involves: (1) focusing activities on elimination or reduction of known or recognized potential health and environmental risks; (2) containment, isolation, removal or detoxification of onsite and offsite contamination, and (3) development of technology to achieve environmental goals.

Programmatic responsibilities include waste management activities for the treatment, storage and disposal of wastes; restoration responsibilities including cleanup of inactive, hazardous, and radioactive waste release sites; and technology development to provide new and more effective technologies for meeting compliance and cleanup goals.

Contact: Unsolicited Proposal Coordination  
Office of Planning and Resource  
Management  
(202) 586-5420

## **Environment, Safety and Health**

The Office of the Assistant Secretary for Environment, Safety and Health (EH) ensures the DOE's mission to meet national security and scientific objectives is carried out responsibly in a safe and environmentally sound manner. EH provides oversight to each of its program offices in the development and coordination of audits, appraisals, and assessments to ensure compliance with applicable laws related to environmental protection, radiation safety, worker safety, and

## **STAFF OFFICES**

aspects of public health and safety that address epidemiology and radiological protection. EH directs its oversight activities to areas other than nuclear facility safety. It is responsible for inspecting and assessing the effectiveness of the Department's safeguards and security policies, programs, and implementation in the field. EH also ensures safety certification of shipping packages of DOE radioactive materials.

Complementing these oversight activities, EH provides guidance to field installations and program operations concerning requirements related to environment, safety (nonnuclear), health, and quality assurance; provides liaison with other Federal agencies, such as the Environmental Protection Agency, concerning regulatory efforts and specific actions of those agencies that may affect DOE operations; ensures that environmental and safety goals are incorporated into all levels of the Department's decision-making process; and implements its onsite resident inspection initiative.

In addition to its oversight role, EH also serves as the DOE's focus for epidemiological expertise and is responsible for managing programs of relevant studies relating to occupational and community health.

Contact: Unsolicited Proposal Coordination  
Budget and Administration  
(202) 586-2933

### **Policy, Planning and Analysis**

The Office of Policy, Planning and Analysis (PE) reports to the Office of the Secretary and is the principal advisor for national energy policy and for evaluation of the consistency between policy direction and program implementation. In support of this mission, PE develops the analytical framework and data base for energy policy and program decisions in light of changes in the Nation's energy situation. PE formulates and recommends national energy policy, develops and analyzes legislative proposals, and coordinates DOE responses on cross-cutting energy policy issues. PE staff participate in the annual budget review process, assures congruence between National Energy Strategy (NES) goals and budget plans, and prepares and coordinates the Congressionally mandated, NES biennial reports.

The Office conducts a wide range of activities to carry out its responsibilities including: (1) analyzing and evaluating energy market conditions, (2) assessing the impact of Federal regulations on energy supply and demand, (3) evaluating policy options to redress market imperfections or barriers, (4) developing long-term energy projections, (5) analyzing and evaluating DOE regulatory proposals for consistency with Departmental policy, (6) analyzing the impact of current and proposed policies on energy production, consumption, and on the environment, (7) analyzing and reviewing DOE program policy recommendations and program budgets for compliance with the NES and Departmental goals and objectives, (8) coordinating energy-related policy analysis conducted by other Executive Branch agencies,

(9) assessing alternative strategies and budget portfolios, (10) providing economic and policy analysis support to DOE program assistant secretaries, and (11) carrying out research, studies, analyses and assessments mandated by Congress or the President.

Contact: Unsolicited Proposal Coordination  
Resource Management Office  
(202) 586-5325

### **Minority Economic Policy**

The mission of the Office of Minority Economic Impact (MI) is to develop comparative socioeconomic analyses and provide management and technical assistance to minority educational institutions, minority business enterprises, and minority communities to determine the kinds of energy policies and programs which will enhance the social and economic conditions of minorities and ensure that minorities are afforded the opportunity to participate in energy programs of the Department.

Contact: Unsolicited Proposal Coordinator  
Office of the Director  
(202) 586-1593

## **ADMINISTRATIONS**

### **Energy Information Administration**

The Energy Information Administration (EI) is the Nation's official source of comprehensive energy statistics and objective energy analyses. As an independent agency within DOE, EI is commissioned to assemble, evaluate, analyze, and disseminate energy information. Statistics on America's major energy sources—coal, oil and natural gas, nuclear and alternate energy sources, and electricity—as well where and how we consume energy—are published in about 80 periodicals and special reports every year. EI's data periodicals record and interpret energy production, consumption, and general trends for State and local Governments, industry and trade associations, the media, academia, foreign governments, international organizations, and the general public. More comprehensive analyses and forecasts are contained in EI's regularly published forecast documents, such as the *Annual Energy Outlook*, the *Short-Term Energy Outlook*, and others.

Additional analytic reports are published based on requests by Congress, the Secretary of Energy, and other Government agencies; or after examining current economic, regulatory, technological, and marketing trends. The reports are on topics ranging from crude oil availability to analyses of the outlook for world energy prices and their effects on energy markets to clean air analyses.

EI's National Energy Information Center disseminates the Agency's publications and electronic products to 14,000 Government and private sector subscribers around the world, and also provides a free bulletin board service offering daily, weekly, monthly, and quarterly energy statistics on-line.

Contact: Unsolicited Proposal Coordination  
Office of Planning, Management  
and Information Services  
Planning & Financial Management  
Division  
(202) 586-6460

### **Economic Regulatory Administration**

The Economic Regulatory Administration (ERA) is responsible for administering an array of regulatory programs, the foremost of which is the Emergency Petroleum Allocation Act of 1973. This act was the basis for the oil pricing and allocation regulations that governed the petroleum industry from October 1973 until decontrol in January 1981.

Other regulatory responsibilities includes planning for gasoline rationing and directing energy emergency planning.

Contact: Unsolicited Proposal Coordination  
Office of Management &  
Information Systems  
Information Systems Division  
(202) 586-9614

# **PART IV** **COMPETITIVE PROGRAMS**

## **OFFICE OF ENERGY RESEARCH**

### **Special Research Grant Program**

The Department of Energy (DOE) Office of Energy Research (ER) established a special research grants program in April 1985. This program solicits grant applications for support of basic and applied research, education and training activities and related conferences in the scientific areas of interest to ER.

ER publishes an annual notice of availability in the *Federal Register* for this program as well as other notices of availability for scientific areas that are of particular interest. Instructions and required forms for preparing an application and understanding the ER review and funding process are contained in *Application and Guide for the Special Research Grant Program*. The application kit also provides more detailed descriptions of ER programs and program contacts. Potential applicants are encouraged to contact ER program staff for pre-application technical assistance and/or for more specific information regarding funding opportunities.

The scientific areas of interest to ER are listed below.

- (1) Basic Energy Sciences, which includes:
  - (i) Materials Science;
  - (ii) Metallurgy and Ceramics;
  - (iii) Solid State Physics;

- (iv) Chemical Sciences;
- (v) Engineering and Geosciences; and
- (vi) Energy Bioscience

- (2) High Energy and Nuclear Physics;
- (3) Fusion Energy;
- (4) Health and Environmental Research, which includes:
  - (i) Health Effects and Life Science Research;
  - (ii) Medical Application and Biophysical Research; and
  - (iii) Environmental Sciences Research;
- (5) Science Education Programs, which includes education and training support in the postsecondary and precollege areas; and
- (6) The Superconducting Super Collider Program.

Unless otherwise directed by any notice in the *Federal Register*, all applications must be submitted directly to ER at the following address:

Contact: Office of Energy Research, ER-64  
Acquisition and Assistance  
Management Division  
U.S. Department of Energy  
Washington, DC 20545

### **Small Business Innovation Research Program**

The purpose of the Small Business Innovation Research (SBIR) program is to stimulate technological innovation, to use small business to meet Federal Research and Development (R&D) needs, to encourage participation by minority and disadvantaged persons in R&D, and to increase private sector commercialization of innovative R&D. Applications are accepted for competitive evaluation in response to a Program Solicitation issued once a year for the first phase of the three-phase program. Approximately 150 awards are made for about a six-month project period in an amount not to exceed \$50,000. The Phase I awardees are eligible to compete for Phase II funding, not to exceed \$500,000, for a two-year project period to further develop their work. For the commercialization phase (Phase III) the small business seeks funding from outside the SBIR program.

Contact: SBIR Program Manager  
U.S. Department of Energy  
Washington, D.C. 20545  
(301) 353-5707

## REFERENCES

For additional information, the reader may refer to the following publications.

*Doing Business With the Department of Energy*, (DOE/MA-0271) DOE, OSTI.

*NBS/DOE Energy-Related Inventions Program*, DOE, CE.

*Office of Energy Research-Special Research Grant Program* 10 CFR 605, DOE/ER-0249, DOE, ER.

Title 48 Code of Federal Regulations (CFR). Chapter 1, The Federal Acquisition Regulation (FAR) *Subpart 15.5 - Unsolicited Proposals*, GPO.

Title 48 CFR Chapter 9, The Department of Energy Acquisition Regulation (DEAR) *Subpart 915.5 Unsolicited Proposals*, GPO.

Title 10 CFR Part 600, The Financial Assistance Rules, GPO.

## ADDRESSES

Copies of publications cited on the previous page may be obtained from the appropriate offices at the following addresses.

DOE/ER Office of Energy Research  
U.S. Department of Energy  
Washington, DC 20545

DOE/CE Energy-Related Inventions Program  
Office of Conservation and  
Renewable Energy  
U.S. Department of Energy  
Washington, DC 20585

GPO Superintendent of Documents  
U.S. Government Printing Office  
Washington, DC 20402-9371

OSTI Office of Scientific and Technical  
Information  
U.S. Department of Energy  
P.O. Box 62  
Oak Ridge, TN 37832

**APPENDIX I  
COVER PAGE FORMAT**

UNSOLICITED PROPOSAL SUBMITTED  
TO THE DEPARTMENT OF ENERGY  
BY

\_\_\_\_\_  
(Name of Institution/Organization/Individual)

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(Title)

Proposed Duration: \_\_\_\_\_

Amount Requested: \_\_\_\_\_

Requested Starting Date: \_\_\_\_\_

Type of business (Check all that apply):

- Small  Indian  Profit
- Nonprofit  Educational  Woman-Owned
- Socially and Economically Disadvantaged
- Other: \_\_\_\_\_

Principal Investigator: \_\_\_\_\_

Phone: \_\_\_\_\_

Business Contact: \_\_\_\_\_

Phone: \_\_\_\_\_

Date of Submission: \_\_\_\_\_

This proposal  may or be subjected to  
 may not external review.

\_\_\_\_\_  
Signature of Principal Investigator

\_\_\_\_\_  
Signature of Authorized Officer

**APPENDIX II  
OMB INTERIM FINAL RULE-NEW  
RESTRICTIONS ON LOBBYING  
(FEBRUARY 26, 1990)**

CERTIFICATION FOR CONTRACTS,  
GRANTS, LOANS AND  
COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including

subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

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Name of Company

---

Signature

---

Typed Name of Signatory

---

Title

---

Date

### **Statement for Loan Guarantees and Loan Insurance**

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit, Standard Form-LLL, "Disclosure Form to Report Lobbying" in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

---

Name of Company

---

Signature

---

Typed Name of Signatory

---

Title

---

Date

**APPENDIX III**

**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352. Give names for public domain disclosure.

Approved by OMB  
Revised 10/80

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. debt guarantee <input type="checkbox"/> f. loan insurance		<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. initial application <input type="checkbox"/> b. award award <input type="checkbox"/> c. post-award		<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. annual change For Annual Change Only: Year: _____ quarter: _____ Date of last report: _____	
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> C. Public <input type="checkbox"/> Subsidiary For _____, if foreign  Congressional District, if known: _____		<b>5. Reporting Entity in Item 4 is Subsidiary. Enter Name and Address of Parent:</b>  Congressional District, if known: _____			
<b>6. Federal Department/Agency:</b>		<b>7. Federal Program Name/Description:</b> CFDA number, if applicable: _____			
<b>8. Federal Action Number, if known:</b>		<b>9. Award Amount, if known:</b> \$ _____			
<b>10. a. Name and Address of Lobbying Entity:</b> If individual, last name, first name, etc.  If not individual, last name, first name, etc.		<b>b. Individuals Performing Services (including address of all persons from no. 10):</b> last name, first name, etc.			
<b>11. Amount of Payment (check of that apply):</b> <input type="checkbox"/> 1. _____ <input type="checkbox"/> C. actual <input type="checkbox"/> D. planned		<b>12. Type of Payment (check of that apply):</b> <input type="checkbox"/> a. honorarium <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. consultant fee <input type="checkbox"/> e. returned <input type="checkbox"/> f. other agency			
<b>13. Form of Payment (check of that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind (specify: others _____ other _____)		<b>14. Brief Description of Services Performed or to be Performed and Details of Service, including officials, employees, or (Members) contacted, for Program indicated in Item 7:</b>  (Attach Continuation Sheet, if necessary)			
<b>15. Continuation Sheet(s) SHALL be attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		<b>16. Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____			

**INSTRUCTIONS FOR COMPLETION OF SF-LLL DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subordinate or prime Federal contract, or the initiator or issuer, of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for "services of providing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action." Use the SF-LLL-A Cover Sheet for additional information if the space on the form is inadequate. Complete SF-LLL-A only if it applies to the initial filing and status of any report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Search the base of covered Federal action for which lobbying activity is entered has been entered to influence the outcome of a covered Federal action.
2. Verify the status of the covered Federal action.
3. Verify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Over the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that best describes it: (a) private or not-for-profit organization; (b) firm; (c) individual; (d) other. Do not include the name of the firm if the firm is a subsidiary of a parent organization. Do not include the name of the parent organization if the parent is a subsidiary of another organization.
5. If the organization filing the report is not a check "Subsidiary", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (Item 7). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in Item 7 (Agency for Personal and Family Services; awarded for the CFDA number; grant agreement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include address only: "499-02-00-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the unconditional commitment for the prime entity identified in Item 4 or 5.
10. Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in Item 4 to influence the covered Federal action.
 

Obtain the full names of the individuals performing services, and include full address (different from 10) for each lobbyist, first name, and activity initial only.
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (Item 4) to the lobbying entity (Item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all items that apply. If this is a material change report, enter the corrected amount of payment made or planned to be made.
12. Check the appropriate boxes. Check all boxes that apply. If payment is made through an indirect contribution, specify the entity and value of the indirect payment.
13. Check the appropriate boxes. Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the names of any services rendered, including all preparatory and related activity, not just time spent in direct contact with Federal officials. Identify the Federal officials or employees contacted or the officials, employees, or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The covering official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 20 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

