



U.S. DEPARTMENT OF
ENERGY

Office of
Science

Acknowledgments and Delineation

Craig Henderson
EFRC Directors' Meeting
September 18, 2014

What do the terms mean?

- **Acknowledgments:**

- Properly crediting the source(s) of funding when reporting/releasing results.
- Needs and expectations for proper acknowledgments differ depending on the venue:
 - Publications
 - Presentations
 - Press or news releases
 - Other products (videos, software, etc.)

- **Delineation:**

- General Definition: Defining the boundaries of the research scope of each of your separately-funded research projects such that your projects are meaningfully distinct from one another.
- Relevance for Acknowledgments: In cases when reporting research effort supported by multiple sources, you must clearly define what part of the effort is attributable to which source in the acknowledgment.



Why is it important to acknowledge EFRC support?

- A paper or presentation resulting from a BES-funded activity must properly acknowledge the source of the funding to ensure that:
 1. BES is properly credited with support of the research in the public record.
 2. The research activity funded by the agency is relevant to and is within its mission.
 3. Requirements from your grant's Research Terms and Conditions (RTC) are met.
- Given the size and complexity of the Department of Energy and the fact that BES has several modalities of funding research (e.g., core program, EFRCs, and Hubs), **it is important that the acknowledgments properly attribute funding to the Office of Science in general and an EFRC specifically.**
- Please do not forget acknowledgments in presentations and press releases.



- **Presentation:**

- A presentation should include an acknowledgment on a slide, typically either at the beginning or end of the presentation.
- At a minimum the acknowledgement should state that:

“The work was supported as part of the <insert name of EFRC>, an Energy Frontier Research Center funded by the U.S. Department of Energy, Office of Science.”

- **Press Release:**

- The acknowledgment guidance is slightly different to reflect the different audience:

“This research was supported as part of the <insert name of EFRC>, an Energy Frontier Research Center funded by the U.S. Department of Energy, Office of Science.”

For a Publication:

- Work supported solely by BES-EFRC support:
 - “This work was supported as part of the <insert name of the EFRC>, an Energy Frontier Research Center funded by the U.S. Department of Energy, Office of Science, Basic Energy Sciences under Award # <insert grant award number>.”
- Work supported solely by BES-EFRC except for merit-based fellowships:
 - “This work was supported as part of the <insert name of the EFRC>, an Energy Frontier Research Center funded by the U.S. Department of Energy, Office of Science, Basic Energy Sciences under Award # <insert grant award number>.” A.J. acknowledges a graduate fellowship through XYZ foundation.”
- Work supported solely by BES-EFRC except for work at a multi-user DOE facility:
 - “This work was supported as part of the <insert name of the EFRC>, an Energy Frontier Research Center funded by the U.S. Department of Energy, Office of Science, Basic Energy Sciences under Award # <insert grant award number>. Research at the Spallation Neutron Source and High Flux Isotope Reactor was supported by DOE, Office of Science, BES.”



Publications with multiple funding sources:

- When the work was only partially supported within the EFRC, it is important to clearly state which aspect of the research was funded under the EFRC and which other part of the work was supported by each of the acknowledged sponsors.
- The preferred method for acknowledgments in this case is “distinction by scope/specific aspects of the research:”
 - “Research <insert “primarily” if appropriate and desired> supported as part of the <insert name of EFRC here>, an Energy Frontier Research Center funded by the U.S. Department of Energy (DOE), Office of Science, Basic Energy Sciences (BES), under Award # <insert grant award number> (neutron scattering studies), by the National Science Foundation (NSF) under Award # <insert grant award number> (computational studies), and by the National Institutes of Health (NIH) under Award # <insert grant award number> (synthesis of samples).”
- Acknowledgments in the case of multiple funding sources with “distinction by institution and/or investigator” are permissible, but only when it is clear from the publication what work was done at each institution and/or by each investigator under each grant.



How not to do it .

1. “This work was supported by DOE grant XXXXXXXX, NSF grant DMR-YYYYYYYY, and NIH grant GM-ZZZZZZZZ.”
2. “This work has been financially supported by the Office of Naval Research, primarily through the TEC-MURI program, and by the DARPA NMO program as well as the <name of the EFRC>, an Energy Frontier Research Center (EFRC) funded by the U.S. DOE Office of Basic Energy Sciences.”
3. “J.Q.P. is grateful for support from AFOSR Awards FAXXXX-XX-X-0000, the National Science Foundation's STC program, the Defense Advanced Research Projects Agency (DARPA)/Defense Sciences Office (DSO), and the <name of the EFRC>, an Energy Frontier Research Center funded by the US DOE, Office of Science, Office of Basic Energy Sciences.”

It is best to explicitly state what part or aspects of the reported work was supported by which agency



Why do we care about delineation?

- **Responsibility to the taxpayers** (N.B. - that includes you)
- **Making the case for continuing support of our programs**
 - We can only make a strong case for the communities and programs we support if we can show what outcomes are specifically or uniquely attributable to them
- **We prefer avoiding embarrassment**
 - What happens when agencies put together highlights from their portfolios for presentations on the Hill or formal budget documents,,, and two of them claim credit for the same work? It's not pretty.
 - Even when an exciting new result legitimately relies on multiple funding sources, best not to tout it to each of the agencies involved as a singular accomplishment of their program. Acknowledge and delineate properly, but make clear which was the main driver or support that made it happen.
- **It's not just a good idea – it's the law!**
 - Program managers need to confirm that there is no duplication of effort under multiple funding sources by the PIs they support, upon initial award and at every subsequent funding decision (e.g., continuations)



Why should you care about delineation?

- **Responsibility to the taxpayers** (N.B. - that includes you)
- **It's your research communities that we're making the case for**
 - Help us help you!
- **It's not just the law – it's enforced!**
 - In the past few years there has been considerably intensified scrutiny of federal funding for science. We frequently need to respond in detail to information requests, audits, and investigations from a variety of parties (Freedom of Information Act requests, Office of Inspector General within each agency, the General Accountability Office, etc.).



Delineation of Research Projects

Why is this so important?

- “It is not a problem to apply for funds for the same research at different funding agencies, but it is **illegal** to accept and use the funding.”

C. Boesz, former NSF Inspector General, quoted in *Nature* **482**, 9 February 2012, p. 146

- Even the **perception** of duplicate funding or overlapping funding may undermine public confidence in the national scientific enterprise and erode support for public funding of research among the population and among their elected representatives.

Article: Nature - 2012

[Archive](#)[Volume 482](#)[Issue 7384](#)[News](#)[Article](#)

NATURE | NEWS

Duplicate-grant case puts funders under pressure

Critics call for tighter checks to stop researchers being funded twice for the same work.

Eugenie Samuel Reich

07 February 2012

It sounds like every researcher's dream: two or more agencies are falling over each other to fund your grant proposal.

But for those tempted to accept funding for the same piece of research from more than one agency, grant fraud charges brought by the US authorities on 31 January are a sober warning. The incident has also sparked renewed calls for funding agencies to work harder to avoid grant duplication.

The recent charges were brought against Craig Grimes, who until 2010 was a professor of electrical engineering at Pennsylvania State University. Last month, he pleaded guilty to charges that included accepting grants from the Department of Energy (DOE) and the US National Science Foundation (NSF) to fund the same research on solar conversion of carbon dioxide into hydrocarbons. "It is not a problem to apply for funds for the same research at different funding agencies, but it is illegal to accept and use the funding," says Christine Boesz, a former inspector-general for the NSF. Such duplicate funding is banned in many leading scientific nations. Boesz says that there is no way of knowing how prevalent the problem is, but that cases tend to come to light only if peer reviewers spot similarities in grant applications.

-  [print](#)
-  [email](#)
-  [download pdf](#)
-  [rights and permissions](#)
-  [share/bookmark](#)



Case History: Debarment



NATIONAL SCIENCE FOUNDATION
OFFICE OF INSPECTOR GENERAL
OFFICE OF INVESTIGATIONS

CLOSEOUT MEMORANDUM

Case Number: A08070038

Page 1 of 1

We received an allegation that the subject¹, a Principal Investigator, committed plagiarism in his reports to the Air Force and in a proposal to NSF.² During our joint investigation with the Air Force into the plagiarism allegations, we learned the subject proposed the same research to the Air Force, NSF, and DARPA and was funded by each agency. Two of the three duplicative proposals were submitted by the subject's company while the other was submitted by his university.

NSF requires PIs to notify it if the same proposal submitted to NSF has been previously submitted to another agency, and the subject failed multiple times to notify NSF of his previous Air Force funding. We referred the matter to the Department of Justice, but it declined to prosecute. We recommended NSF debar the subject and his company for 3 years; NSF debarred the subject for 2 years.

Accordingly, this case is closed. Our report of investigation, NSF's adjudication decision, and this memo comprise the closeout of this case.

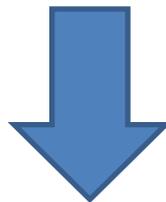


DUPLICATION'S DIMENSIONS

The investigation pinpointed a number of suspicious grant pairs that, if true duplicates, have wasted nearly US\$70 million. But the problem could be much larger.

31 JANUARY 2013 | VOL 493 | NATURE | 599

From: *Research funding:
Same work, twice the money?*
H. R. Garner, L. J. McIver &
M. B. Waitzkin
doi:10.1038/493599



Erosion of public support for science?



Delineation must be managed throughout

Delineation: Defining the boundaries of the research scope of each of your separately-funded research projects such that your projects are meaningfully distinct from one another.

When should you think about delineation?

- Proposal stage (PLANNING)
- Assigning/staffing research projects (PROGRAMMING)
- Managing changes in research agenda (EXECUTION)
- Acknowledgment in publications, etc. (REPORTING)

Not all “technically meaningful” distinctions are effective as a “programmatically meaningful” delineation.

Delineation started with your Current & Pending (C&P) documentation in your BES EFRC proposal

- Please recognize that effective delineation begins at the proposal stage:

Investigator:	Other Agencies to which this proposal has been/will be submitted:
Support (<u>C</u> urrent, <u>P</u> ending, <u>S</u> ubmission Planned in Future or <u>T</u> ransfer of Support):	
Project/Proposal Title and grant number, if appropriate:	
Source of Support:	Location of Project:
Annual Award Amount: \$	Total Award Period:
Annual Award Amount to PI's Research: \$	
Describe Research Including Synergies and Delineation with Respect to this Proposal:	
Person-Months Per Year Committed to Project: ____ Pers. Months; Specify: <u>C</u> al., <u>A</u> cad., or <u>S</u> umr:	

- The simple statement “No overlap” is not sufficient.

A few final words on expectations .

Delineation \neq $\frac{1}{\text{Collaboration}}$

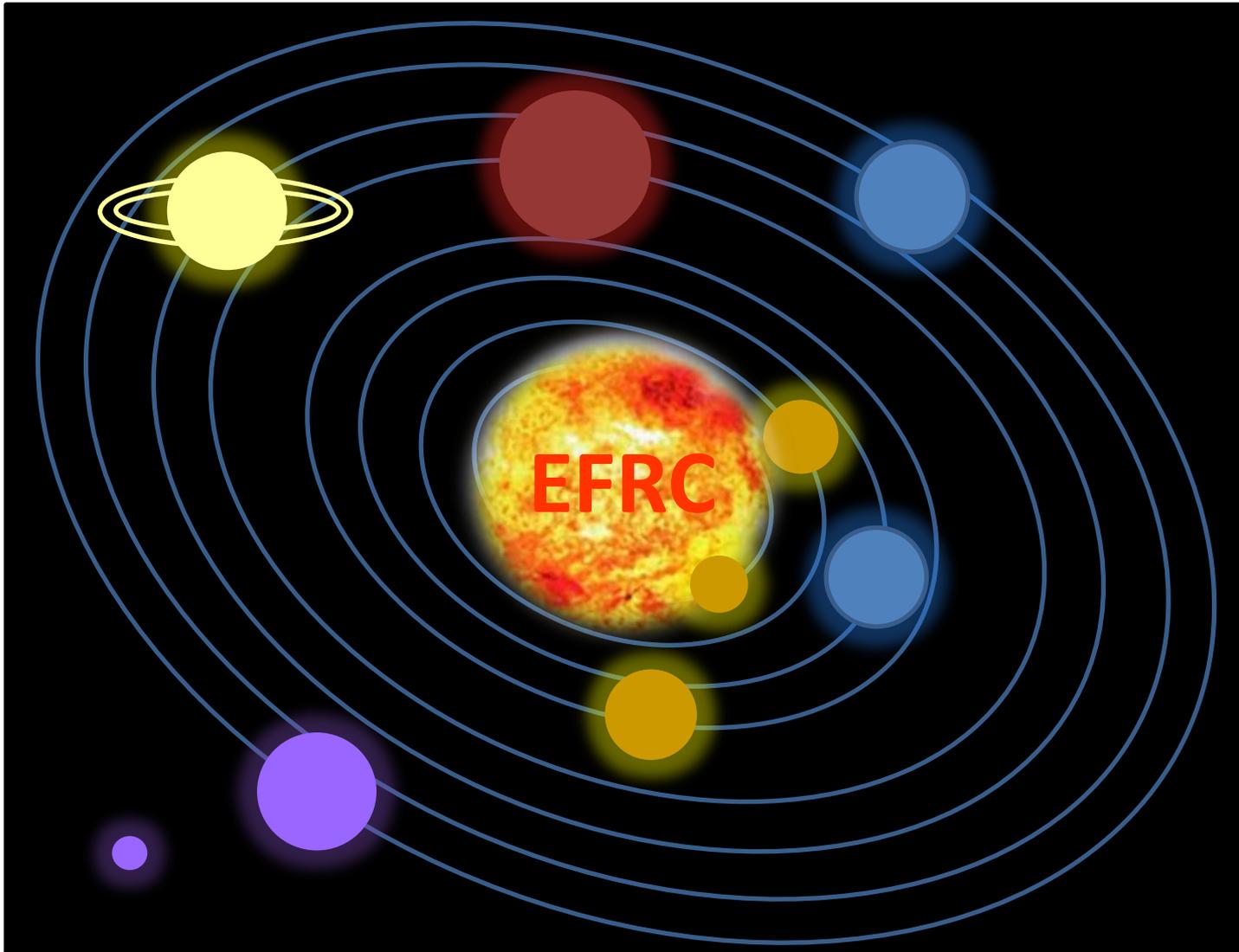
Collaboration versus delineation:

The need for clear delineation does not mean that you are not encouraged to or able to collaborate. BES expects EFRCs to link to other projects to take advantage of synergies and leverage existing capabilities, materials, techniques, knowledge, etc.

Our view — the greatest collaborative space is within the EFRC.

EFRCs are robustly funded programs that have a relatively broad scope of work, and so must represent something considerably more than “glue” funding. While linking with other work of the investigators involved is appropriate and beneficial, at least some of the accomplishments and output of any given EFRC ought to be attributable solely to the EFRC support.

A planetary view of an EFRC



Discussion



Panel Discussion 2: Science

Maureen McCann (Purdue)

Mike Wasielewski (Northwestern)

Tom Meyer (University of North Carolina)

Dave Wesolowski (ORNL)

