

The Office of Basic Energy Sciences (BES) requires funded principal investigators (PIs) to appropriately acknowledge BES support in publications and presentations based on BES-funded research. Such acknowledgements are used by BES for federally-mandated assessment and reporting functions, including measuring scientific progress attributable to a specific funded research project, communicating the impact and importance of BES-funded research, and demonstrating that there has been no overlap in federal research support. The practice of simply presenting a list of supporting agencies in a shared acknowledgement is not acceptable because it is impossible to discern the research BES funded with respect to research funded by other agencies. In addition, this type of acknowledgement suggests that there could be overlap and/or duplication in the work supported by more than one federal agency. Accepting federal support from two different sources for the same, or otherwise indistinguishable, research would be illegal.

Given the size and complexity of the Department of Energy (DOE), it is important that the acknowledgements properly attribute funding to BES in general, and to the Materials Sciences and Engineering (MSE) Division specifically. BES has several modalities of funding research, including core programs in MSE and Chemical Sciences, Geosciences and Biosciences (CSGB) Divisions, Energy Frontier Research Centers (EFRCs), and Energy Innovation Hubs. Therefore, additional detail beyond “funded by DOE” or “funded by BES” is needed to properly acknowledge and delineate the sponsor of the research.

BES recognizes that some publications may bring together results from several projects, as well as from other collaborators, and may include work funded by other funding agencies. In cases where research was supported by multiple programs or agencies, the acknowledgement sections should explicitly delineate which parts of the reported research were specifically supported by DOE-BES as well as the other funding sources. For research funded by BES and other agencies, researchers should remember that the acknowledgement must also be consistent with the other agencies’ guidelines.

Guidance on acknowledgements for different purposes is given below with a few examples. Also included are examples of improper acknowledgements that do not appropriately delineate the support of various programs and agencies. If you have further questions on this or have a situation that is not covered, please ask your Program Manager for guidance prior to publication submission.

Presentations: A presentation should include an acknowledgement on a slide, typically either at the beginning or end of the presentation. (Note that for BES-supported activities the only DOE logo that can be used on slides is that of the DOE Office of Science. See the link, <http://science.energy.gov/about/resources/logos/>.) At a minimum, the acknowledgement should state:

For university grants: “The work was supported by the grant *<insert the grant number >* funded by the U.S. Department of Energy, Office of Science.”

For DOE National Laboratory projects (FWPs): “The work was supported by the U.S. Department of Energy, Office of Science, Materials Sciences and Engineering Division.”

Press releases: Since press releases or similar documents have different audiences and requirements, our guidance for attribution is slightly different. For these, please use:

“This research was supported by the U.S. Department of Energy, Office of Science.”

Publications: Detailed below are examples of publication acknowledgements based on different funding scenarios. The goal is to include the relevant sponsor information and what research or activities the sponsor supported; modifications to acknowledgement language that achieve that goal are acceptable. If space requires it, DOE, BES, and MSE acronyms may be used.

[Unless an official DOE user facility was used in the research, BES does not require acknowledgement of the use of DOE-BES-funded laboratory equipment that is used for research supported by other sources. If a publication does acknowledge DOE-BES solely for the use of such equipment, this publication should not be included when reporting progress to DOE (e.g., annual progress reports, renewal applications, etc.).]

1. Research solely supported by a single grant or FWP from DOE-BES.

When only DOE-BES supported the research, the following acknowledgement format should be used:

University Grants: “This work was supported by the U.S. Department of Energy, Office of Science, Basic Energy Sciences, under Award # *<insert grant award number>*.”

National Laboratory FWP projects: “This work was supported by the U.S. Department of Energy, Office of Science, Basic Energy Sciences, Materials Sciences and Engineering Division.”

2. Research solely supported by a single grant or FWP from DOE-BES, that includes coauthors supported by graduate student/postdoctoral merit-based award fellowships.

When applicable, the acknowledgement should also indicate the support of graduate students and/or postdoctoral researchers provided by personal fellowship awards. Some illustrative examples are shown below:

University Grants: “This work was supported by the U.S. Department of Energy, Office of Science, Basic Energy Sciences under Award # *<insert grant award number>*. A.B.C. acknowledges a graduate fellowship through the DOE Office of Science Graduate Fellowship program. D.E.F. acknowledges a postdoctoral fellowship from the Human Frontier Science program.”

National Laboratory FWP Projects: “This work was supported by the U.S. Department of Energy, Office of Science, Basic Energy Sciences, Materials Sciences and Engineering Division. G.H.I. acknowledges support through the Glenn Seaborg postdoctoral fellowship. J.K.L. acknowledges support from the DOE Science Undergraduate Laboratory Internship (SULI) program.”

3. Research solely supported by a single grant or FWP from DOE-BES that included work at a multi-user facility.

When a multi-user facility (e.g., national user facilities funded by DOE-SC or shared facilities or research instrumentation funded by NSF or another agency) was also used for the research, the publication should include appropriate acknowledgement of the facility or instrumentation and its supporting agency. The following illustrative example is given for a scenario involving a BES-supported university grant and two multi-user facilities:

“This work was supported by the U.S. Department of Energy, Office of Science, Basic Energy Sciences under Award # *<insert grant award number>*. Neutron scattering was carried out at the

Spallation Neutron Source and High Flux Isotope Reactor which are supported by DOE, Office of Science, BES. Small-angle x-ray scattering work was carried out at UCSB-MRL which was supported by the NSF-MRSEC program.”

4. Research supported by multiple funding sources.

When the work was only partially supported by a single DOE-BES grant or FWP, it is important to clearly state which aspect of the reported research was funded by DOE-BES and which other part of the work was supported by each of the other acknowledged sponsors. Although DOE does not require (or expect) that a dominant funding sponsor be indicated in the acknowledgement, a word such as “primarily” can be included to indicate such a distinction. As indicated by the following illustrative examples, given for scenarios involving a BES-funded university grant, different approaches may be used to distinguish funding sources and research supported. DOE-BES expects that at least one of these approaches will allow the authors to communicate what portion of the research was supported by their BES grant/FWP while simultaneously adhering to the guidelines for acknowledgement for each of the other funding agencies involved in supporting the published research.

4a. Multiple funding sources with distinction by scope/specific aspects of the research

“Research *<insert “primarily” if appropriate and desired>* supported 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). “

[Note that BES expects that distinction by scope/specific aspects of the research will be possible in many cases and that PIs will typically use this type of delineation.]

4b. Multiple funding sources with distinction by institution

“Work at *<insert Institution #1>* was supported by the U.S. Department of Energy (DOE), Office of Science, Basic Energy Sciences (BES) under Award # *<insert grant award number>*. Work at *<insert Institution #2>* was supported by DOE, Office of Science, BES under Award # *<insert grant award number>*.”

[Note that BES expects that PIs will use this form of acknowledgement only when it is clear from the publication what scope of work was done at which institution.]

4c. Multiple funding sources with distinction by individual

“Work by *<Investigator #1>* was supported by the U.S. Department of Energy (DOE), Office of Science, Basic Energy Sciences (BES) under Award # *<insert grant award number>*. Work by *<Investigator #2>* was supported by the National Science Foundation (NSF), Division of Materials Research (DMR) under Award # *<insert grant award number>*.”

[Note that if support is listed by individual author, an individual should not be shown as being funded by more than one sponsor. Although further delineation by scope of research may be possible in a particular case, simply listing multiple funding sources for a single individual generally suggests that the sponsors are supporting the same research. Similarly, listing all of the sponsors that have provided salary support for any individual but were not directly supporting the research in the publication is NOT an acceptable practice. See questions 2 and 3 in the Q&A section at the end of this document.]

5. Multiple funding sources with distinction by institution (or investigator) combined with use of a multi-user facility

As an illustration of the many combination scenarios that are possible, the following is an example of a proper acknowledgement for a BES-funded university grant in this scenario:

“This work at <insert name of Institution #1> is supported by the Office of Naval Research grant # <insert grant award number> and the work at the <insert name of Institution #2> is supported by the U. S. Department of Energy, Office of Science, Basic Energy Sciences under Award # <insert grant award number>. Transmission electron microscopy was performed at the Northwestern University’s NUANCE Center which is supported by NSF-NSEC <insert grant award number>, NSF-MRSEC <insert grant award number>, the Keck Foundation, the State of Illinois, and Northwestern University. The National Institute of Standards and Technology, U.S. Department of Commerce, provided the neutron research facilities; the SPINS spectrometer is supported in part by NSF under Agreement No. <insert agreement number>.”

To reiterate, the aforementioned are only illustrative examples and recommendations for acknowledging DOE-BES funding. If you have any questions on this or have a situation that is not covered, please ask your Program Manager for guidance prior to publication submission.

Examples of Improper Acknowledgements:

Please note that simply presenting a list of supporting agencies in a shared acknowledgement should not be done because it is impossible to discern the level and scope of BES support relative to that of other agencies as in the following examples. Such acknowledgements may also lead one to conclude that all the listed agencies supported the same research, i.e., duplicate funding. Similarly, listing all of the salary support for a particular individual without further delineation suggests that all the listed agencies supported the same research and/or could include funding sources that were not directly supporting the published research.

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. “This work was supported by DOE grant XXXXXXXX and NSF (CHE-YYYYYYYY) as well as the NSF MRSEC (DMR-ZZZZZZZZ) at the Advanced Materials Research Center of <insert name of Institution #1>. A.B.C. acknowledges support through the NSF Graduate Research Fellowship program. D.E.F. is grateful for support by DOE Early Career Award XXXXXXXX; Office of Naval Research Award WWWWWWW; the <name of the EFRC>, an Energy Frontier Research Center (DOE Award DE-SC0000000); and NSF (CHE-YYYYYYYY).”

Please remember:

- **A lack of clear delineation of support (in the acknowledgements of publications) is a potential basis for non-renewal and/or termination of funding support.**
- **In some recent cases, it has also led to investigations by the Inspector General’s Office and prosecution.**

FAQs – to be updated as new questions are submitted

1. We submitted a manuscript for publication with a detailed acknowledgement as requested by BES but the journal wouldn't allow the in-depth description of research funding. How can I ensure that an acknowledgement provides sufficient information regarding multiple funding sources and associated research if the journal where the paper will be published does not permit detailed descriptions of the research funding for the acknowledgement?

If the publication has space limitations (*i.e.*, limits the amount of text) and/or restricts the language to be used in the acknowledgement, you may use the supplemental/supporting material section of the manuscript to provide specific details on the funding for the research to be published.

If the journal policy limits or otherwise restricts the acknowledgement section such that the required BES information cannot be included at all (*e.g.*, in the supporting material), then you can annotate the acknowledgement in the annual progress report submitted to BES. The goal is to ensure that DOE (as well as other funding agencies) has a record that clearly delineates the research supported by BES funding from that supported by other sources.

2. Must all authors acknowledge a funding source or may unfunded authors be omitted in the acknowledgment section? Our author list includes undergraduates who were not paid but contributed to the project as part of their laboratory research.

Individuals who are authors on the publication but are unfunded (*e.g.* undergraduates who are working in the lab to get research experience, etc.) should not be included in the funding details of the publication's acknowledgement section since there is no funding agency or source to recognize.

3. One of the authors on our publication is a faculty member whose students are paid through BES funds. However, the faculty member does not receive any salary support from BES or from any other agency for the research reported in the project. Should the acknowledgement list the grant(s) that provides salary support for this faculty member?

The acknowledgement should only include funding that contributed directly to the research reported in the publication. In the above example, the funding source for the students and postdoctoral researchers who conducted the study should be acknowledged, but the funding source for their faculty mentor would normally not be included (assuming this was covered by the faculty's university salary). Also, if the faculty member's salary funds come from a grant supporting studies unrelated to the research in the publication, that grant should not be listed in the acknowledgement section. If the faculty member needs salary support in order to contribute to the BES project/s, this should have been considered in allocation of BES funds.

4. I am at a DOE National Laboratory and I'm preparing a publication describing our latest results from research supported by BES through an EFRC, an FWP, and the Fuels from Sunlight Energy Innovation Hub (the Joint Center for Artificial Photosynthesis). Since an award number is not applicable to national laboratory funding, how do I distinguish the different sources of BES funding in the publication acknowledgement?

The multiple funding sources should be distinguished by the scope/specific aspects of the research. An example would be:

Research is supported by U.S. Department of Energy (DOE), Office of Science, Basic Energy Sciences (BES), Chemical Sciences, Geosciences, and Biosciences Division (photochemical measurements); by <insert name of EFRC here> (material synthesis and screening), a DOE-BES Energy Frontier Research Center; and by the Joint Center for Artificial Photosynthesis (theoretical studies of membrane assemblies), the DOE-BES Fuels from Sunlight Energy Innovation Hub.