

Acknowledgements Reference Document:

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. 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 in the work supported by federal agencies, which would be illegal.

Given the size and complexity of the Department of Energy, it is important that the acknowledgements properly attribute funding to BES in general and an EFRC specifically. Note that BES has several modalities of funding research, including core programs, EFRCs, and HUBs – therefore additional detail beyond “funded by BES” is needed to properly acknowledge and delineate funding.

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 BES as well as the other funding sources.

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.) 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: 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 as part of the <insert name of EFRC>, an Energy Frontier Research Center funded 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 EFRC acronyms may be used. *Note that in all of these examples, an award number is not applicable for national laboratory-led EFRCs.*

1. Research solely supported by the EFRC.

“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>.”

2. Research solely supported by the EFRC and including graduate student/postdoctoral merit-based award fellowships. When applicable, the acknowledgement should indicate support of graduate students and/or postdoctoral researchers provided by personal fellowship awards.

“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.”

3. Research solely supported by the EFRC that included work at a multi-user facility. When a multi-user facility (e.g., use of facilities or equipment funded by BES, MRI, CRIF-MU, MRSEC, IMR-MIP, etc.) was also used for the research, the publication should include appropriate acknowledgement of the facility or equipment and its supporting agency.

“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.”

4. Research supported by 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. Optionally, a word such as “primarily” can be included to indicate a dominant funding sponsor; please note that DOE does not require (or expect) such a distinction. As illustrated below, different approaches can be used to distinguish funding sources and research supported.

The following examples are DOE BES recommendations for acknowledgements of EFRC funding. For research funded by other agencies, researchers should acknowledge that agencies’ funding per their guidelines.

[Note that DOE does not require acknowledgement of EFRC-funded laboratory equipment used for research that is not EFRC-related and is supported by other sources. Publications acknowledging the EFRC solely for use of equipment should not be included when reporting EFRC progress to DOE (e.g., annual reports, EFRC website, etc.).]

Multiple funding sources with 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). In addition, Investigator #1 acknowledges support by DOE BES grant # <insert grant award number> (plasmid preparation, protein binding, and protein assembly characterization); Investigator #2 acknowledges support by NIH grant # <insert grant award number> (lipid structure and function), and the NSF DMR-grant # <insert grant award number> (protein phase behavior).” [Note that the listing of individual support should complement the other acknowledged support – routine inclusion of a comprehensive list of the support by author is NOT encouraged.]

Multiple funding sources with distinction by institution and/or investigator

“Work at <insert Institution #1> (or by Investigator #1) was supported by the U.S. Department of Energy (DOE), Office of Science, Office of Basic Energy Sciences (BES), Materials Sciences and Engineering Division under Award # <insert grant award number>. Work at <insert Institution #2> (or by Investigator #2) was supported by <insert name of the EFRC>, an Energy Frontier Research Center funded by DOE, Office of Science, BES under Award # <insert grant award number>.” [If support is listed by individual author, an individual cannot be shown as being funded by more than one sponsor as this would suggest that the sponsors are supporting the same research. The listing of individual support should be directly related to the research in the publication. In other words, the acknowledgement should recognize the funding source for the research, not simply the salary support for the individuals conducting the research. See questions 2 and 3 in the Q&A section at the end of this document.]

Multiple funding sources with distinction by institution and/or investigator combined with use of a multi-user facility

“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 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, Office of 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>, 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>.”

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.

1. *“This work was supported by DOE grant XXXXXXXX, NSF grant DMR-YYYYYYY, and NIH grant GM-ZZZZZZ.”*
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.”*

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 the EFRC 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), the EFRC 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 EFRC funds. However, the faculty member does not receive any salary support from the EFRC for the project or from any other grant that financed the research to be published. 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. 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). In other words, 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 EFRC, this should have been considered in the allocation of EFRC 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, Office of Basic Energy Sciences (BES), Chemical Sciences, Geosciences, and Biosciences Division (photochemical measurements), by <insert name of EFRC here> (material synthesis and screening), an Energy Frontier Research Center funded by DOE, Office of Science, BES, and by the Joint Center for Artificial Photosynthesis (theoretical studies of membrane assemblies), the DOE BES Fuels from Sunlight Energy Innovation Hub.

5. How do we properly acknowledge collaborative work funded under a university-led EFRC and conducted at both a DOE National Laboratory and the university? The research was solely supported by the EFRC with the university as the lead. Is it sufficient to simply acknowledge that the work at both the university and National Laboratory was supported by the EFRC or is additional wording needed to include the university grant award number and to clarify that the National Laboratory work was supported by the same EFRC but not under that grant award number?

The wording should acknowledge both the university EFRC grant (including award number) and the National Laboratory EFRC funding. An example would be:

Research was supported by <insert name of EFRC here>, an Energy Frontier Research Center funded by U.S. Department of Energy, Office of Science, Office of Basic Energy Sciences, at the <insert name of university> under <insert grant award number> and at <insert name of National Laboratory>.