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 the Office of Science 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 or the Office of Science” 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 the EFRC 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. Since laboratory contract numbers are not unique to a specific award, it is important to include the EFRC name.

When reporting EFRC publications to BES, they should be separated into three categories: EFRC only, EFRC primary, and EFRC secondary. 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.).

1. **Examples of EFRC only publications.** These can include support from individual student/postdoctoral fellowships or use of user facilities.
   a. **Research supported by the EFRC only.**
      
      “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 at the <insert name of university> under award #<insert grant award number> and at <insert name of National Laboratory> under contract #<insert contract number>.”
   
   b. **Research supported by the EFRC only and including graduate student/postdoctoral 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.B. acknowledges a graduate fellowship through XYZ foundation.”
   
   c. **Research supported by the EFRC only that includes work at a multi-user facility.** When a multi-user facility (e.g., use of facilities or equipment funded by DOE, NSF, universities, 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>. This research used resources at Facility XYZ operated by <insert Lab> under Contract #  <insert contract number>, a U.S. Department of Energy (DOE) Office of Science User Facility.”

2. **Examples of EFRC primary publications.** These are intellectually led by the EFRC, but some aspects were funded by other sources. The acknowledgements may include “primarily supported” to indicate that the EFRC provided the intellectual leadership. 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. For research funded by other organizations, researchers should acknowledge those organizations’ funding per their guidelines.

   a. **Research primarily supported by the EFRC** Examples of other funding sources include foundation support for PIs or other agency awards for activities that support the EFRC research goals such as synthesis of materials or specific measurements.
      
      “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, computational studies, data analysis) and by the National Science Foundation (NSF) under Award # <insert grant award number> (materials synthesis). In addition, Investigator #1 acknowledges support by Gordon and Betty Moore Foundation # <insert grant award number> (quantum tunneling measurement).”
3. **Examples of EFRC secondary publications.** These were intellectually led by an organization other than the EFRC. If the sole EFRC contribution was the use of EFRC-purchased equipment, they should not be reported as an EFRC publication.

   a. **Multiple funding sources with distinction by scope of the research and individual**

   "Research 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 U.S. Department of Energy (DOE), Office of Science, Office of Basic Energy Sciences (BES), Chemical Sciences, Geosciences, and Biosciences Division at <Insert Lab Name> under contract # <insert contract 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).” [An individual cannot be shown as being funded by more than one sponsor, without including the scope, 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.]

   b. **Multiple funding sources with distinction by scope of the research and institution**

   "Work at <insert Institution #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> (experiments). Work at <insert Institution #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> (synthesis).” [If an individual has a joint appointment at both institutions, and the institutions have different funding sources, it would be better to list the funding source for specific aspects of the individual’s research.]
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 XXXXXXX, NSF grant DMR-YYYYYY, 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

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.