

August 28, 2007

TO: DOE Nuclear Physics Grantees

FROM: Dennis Kovar/Associate Director of the Office of Nuclear Physics

SUBJECT: Electronic Submission of Proposals and Continuation Progress Reports

The Office of Nuclear Physics has for some time now accepted only electronic submission of most documents relating to existing awards and of applications for new awards. The required method of submission and timing of a submission is different for each type of submission. It is the purpose of this annual guidance letter to attempt to clarify these differences and to make explicit our expectations and length restrictions for each of these submitted documents.

We begin with a set of definitions of the words used in this document. An award is normally made for three years at a time, with a usual budget period of twelve months. Initial funding is usually for the first budget period and the awards for next two budget periods are called “continuation awards.” Before the end of the total award period a “renewal” application may be submitted to renew this existing award. At any time during the award period, a “supplementary” application can be submitted for a supplement to the existing award. Of course, a “new” application is one for an award which does not exist at the time of the application. (Often applications are called “proposals.”)

A) Continuation Progress Reports on an existing award

After issuance of an initial award and if future multi-year support is recommended, recipients must submit a satisfactory progress report in order to receive continuation awards for the remainder of the project period. Continuation progress reports should be sent directly by email to your Program Officer and not through a website. They are due three months before the anticipated continuation funding date. Our guidelines for the preparation of a continuation progress report are given in Attachment 1 to this letter.

B) Applications for Financial Support

Instructions are provided on the Office of Science Grants and Contracts website <http://www.sc.doe.gov/grants/grants.html> on how your institution should electronically submit proposals to a website. All grant proposals must be submitted in response to a solicitation notice (also called a Funding Opportunity Announcement). Renewal proposals should be submitted six months prior to the termination date of the existing grant. Supplemental proposals can be submitted at any time. **ALL NEW PROPOSALS MUST BE SUBMITTED BY NOVEMBER 1 OF THE FISCAL YEAR FOR WHICH FUNDING IS REQUESTED**, to receive consideration for funding in that fiscal year. Our guidelines for the preparation of a proposal are given in Attachment 2 to this letter.

Solicitation notices and corresponding proposal forms are found on DOE's e-center web page <http://e-center.doe.gov>, as well as on the Office of Science Grants and Contracts web page at <http://www.sc.doe.gov/grants/grants.html>. Two solicitations will cover most of the funding opportunities that are always available. Renewal and supplemental proposals should respond to the ongoing solicitation Notice DE-PS02-07ER07-02. (Note that the identification number of this notice changes every fiscal year; after October 1, 2007, these proposals should respond to the replacement Notice DE-PS02-08ER08-02). New proposals in nuclear physics should respond to Notice DE-PS02-07ER07-31, the one with the November 1 deadline. For other solicitations concerning special programs such as the Outstanding Junior Investigator program and Research and Development for Rare Isotope Beam Capabilities, consult the web pages already mentioned. Synopses of these solicitations are posted on the Grants.gov website as they become available and can be accessed at: <http://grants.gov/>.

Please note that an authorized institutional administrative official must submit applications to grants.gov.

The detailed instructions on format and other details can be found starting with the web portal <http://grants.gov/> and will not be repeated here (but our specific requirements, which take precedence over these detailed DOE proposal requirements, form the Attachment 2 of this document). The following instructions should help you find them from the home page of this portal. To begin your search, click on the link "Find Grant Opportunities" and then on "Basic Search." Entering the Office Science Catalog of Federal Domestic Assistance (CFDA) Number into the space provided will display the solicitations previously mentioned and quite a few more from the entire Office of Science. It often is more efficient to enter the entire Funding Opportunity number, such as, DE-PS02-07ER07-31 into the search box. This will give you the synopsis; however, it does not have the information you need. To get to that information, go down to "Link to Full Announcement" and click. This link will take you to a particular page devoted to that solicitation on the e-center.doe.gov site (the IIPS site). Near the very bottom of that page (under a horizontal blue bar titled "Full Announcement and other files" you can click on FOA Notice 7-31.pdf. That pdf file does contain the full announcement with detailed instructions.

Attachment 1

Continuation Progress Reports

After issuance of an initial award and if future multi-year support is recommended, recipients must submit a satisfactory progress report in order to receive continuation awards for the remainder of the project period. The required report must be submitted as an electronic MS-Word (preferably) or PDF file directly to the Office of Science Program manager 90 days prior to the anticipated continuation funding date (do not submit progress reports through the web based system for electronic submission of proposals and supplements).

The cover page should contain the following information:

- Federal Agency and Organization Element to Which Report is Submitted
- DOE Award number
- Project Title
- Additional Personnel
- Name of Submitter (PI)
- Recipient Organization (Name and Address)
- Recipient Identifying Number or Account Number, if any
- Project/Grant Period (Start Date, End Date)
- Reporting Period End Date
- Report Term or Frequency (Annual, quarterly, semi-annual, other)

Your report should be concise in describing your accomplishments; no more than a few pages per senior investigator (academic and research faculty, senior research scientists, etc., not including postdoctoral associates), but not greater than 20 pages, excluding important figures, publication and conference lists etc. It should address the following topics under the reporting categories:

Accomplishments:

- What were the major goals and objectives of your research activity?
- What was accomplished toward these goals? (Major highlights in the previous budget period). Identify individual contributions, including service work at DOE facilities, if applicable.
- What opportunities for training and development has the project provided? The graduate student template below should be included.
- How have the results been disseminated to communities of interest? Usually a list of publications, conference proceedings and invited talks for the reporting budget period is sufficient.

Additional Information:

- Have there been changes in the approach to these goals. If so, why?
- Discuss actual or anticipated problems or delays and briefly describe actions or plans to resolve them.
- Indicate any changes that have a significant impact on the execution of the approved budget for the project period.
- Briefly describe your plans for the next budget period.

Impact:

- What is the impact of the project on the development of the scientific field and upon advancement of DOE goals?

Participants:

- Which individuals have worked on the project? Indicate current personnel and changes in personnel during the past year.

In addition, the Office of Nuclear Physics requires an estimate of the amount of unexpended funds, if any, that are anticipated to be left at the end of the current budget period. If the amount exceeds 10 percent of the funds available for the budget period, provide information as to why the excess funds are anticipated to be available and how they will be used in the next budget period. A completed budget page for the continuation year must be submitted with the continuation report.

Student Tracking Information:

The Office of Nuclear Physics tracks graduate students supported on research grants. Please provide, in tabular form, the following information for each graduate student receiving support from this grant, during the reporting period:

- Name of the student (please volunteer gender of the student)
- Date (mm/yyyy) when the student entered graduate school at the host institution
- Date (mm/yyyy) on which the student joined the research group
- Student mentor
- Date (mm/yyyy) when the student graduated, or is expected to graduate, as well as the degree granted or expected

Example of Graduate Student template:

Name of Student	Entered Graduate School	Joined Group	Mentor	Graduated/ Expected
John Doe	Aug. 2003	Fall 2004	Prof. Jane Doe	MS, Summer 2007

Attachment 2

Office of Nuclear Physics Requirements for Preparation of New Proposals, Renewals, and Supplemental Requests

These guidelines are in lieu of the official DOE proposal requirements which can be found at <http://www.science.doe.gov/production/grants/guide.html>. If the reader discerns a discrepancy between the two, follow these guidelines.

Twelve point type font or larger except for footnotes and DOE forms; at least 2.5 cm margins.

Note: As stated in the DOE guidelines, a renewal application should be received by DOE no later than six months before the scheduled expiration of the project period.

1. Project Summary/Abstract

One page or less describing work in terms that a scientist outside the field would understand, such that it may be published. It will be used by DOE for electronic compilation of abstracts. It should identify the name of the applicant, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). The Project Summary/Abstract is submitted as a separate pdf file.

2. Budget Page(s)

Each major item on each DOE budget sheet should be justified on continuation pages following the budget sheets. In particular, any permanent equipment costs, travel costs, or other direct costs must be explained. For Materials and Supplies, the budget should indicate the general types of expendable materials and supplies required with their estimated costs. The breakdown should be more detailed when the cost is substantial.

Please make the total budget for each year sum to exact thousands of dollars.

In addition, budget pages for each of the three years by task (if there is more than one task) with budget explanation pages for each budget page. For tasks with multiple activities (experiments), the budget explanation page should show the breakdown for each activity.

3. Title Page

Must include the following information: Project Title, Grant Number, Applicant/Institution, Street Address/City/State/Zip, Principal Investigator, Address,

Telephone Number, Email, Proposal Project Period, DOE/Office of Science Program Office, and DOE/Office of Science Program Technical Program Manager Contact.

4. Optional Table of Contents

Number the pages of the proposal sequentially starting with Project Introduction below.

5. Project Narrative, including results from prior DOE Support (subject to page limits)

Project Introduction (2 pages maximum)

Proposals with separate Tasks will have separate Introductions for each task.

The Project Introduction should provide:

- An abstract summarizing the planned scope of work in 100 words or less, written at a level for which a scientist outside the field would understand. This abstract should be the one used as part of the requested 1. Project Summary/Abstract of this document (Field 6 on the Form SF 424 (R&R)).
- A concise summary of accomplishments from the preceding grant period for renewals (typically three years).
- A short summary of work to be accomplished. This discussion should include objectives, a description of the basic approach, and the potential impact.
- A list of personnel.

The Project Narrative must be no more than 17 pages in total (including the Project Introduction), with an additional five pages allowed for each additional senior researcher on the proposal. The authors of the application can organize the Project Description text at their discretion, subject to the requirements below. In the case of Renewal Grants, the Project Description must include a concise description of accomplishments and work in progress. This should be no longer than one third of the total Project Description. The rest of the Project Narrative should provide a more detailed discussion than that of the Project Introduction of the work to be undertaken and should include a discussion of the objectives in relation to:

- Long-term goals, particularly in relationship to the NSAC Long Range Plan and Performance Measures for Nuclear Physics.
- Present state of knowledge of the field.
- Any other work by the PI not supported by this grant.
- Proposed research with a general plan of work of the activities to be undertaken over the grant period (typically 3 years) and an adequate description of methodology and necessary resources to convince a reviewer of its feasibility.
- Necessary information that explicitly justifies the requested resources (manpower, equipment, travel, etc.).
- Institutional support.
- A brief discussion of how the work will contribute to the education of students, if applicable, and identify any potential benefits to society. Include career history of recent research associates and graduate students.

6. References (no page limit)

All work referenced in section 5 must be included in this section. Citations should include the titles, but otherwise should follow the APS style guide (for a summary of citation styles, see <http://physics.gac.edu/~huber/misc/aiprefs.htm>).

7. Publications (no page limit)

Publications deriving from the research and development of the project during the previous project or budget period should be listed in this section, including papers in refereed journals, invited and contributed papers (“talks” even if they do not appear in print) at major conferences, symposia, and workshops, books or chapters of books, and other appropriate forms of reporting. Publications should include the titles, but otherwise should follow the APS style guide.

8. A list of principal collaborators from the last four years (2 pages maximum)

This information will help the Program Manager to avoid conflicts of interest in choosing reviewers for the proposal. List in alphabetical order all persons, including their current organizational affiliation, who are, or who have been, collaborators or co-authors with you on a research project, book or book article, report, abstract, or paper during the 48 months preceding the submission of this application. Also, list any individuals who are currently, or have been, co-editors with you on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application.

List the names and current organizational affiliations of your graduate advisor(s) and principal postdoctoral sponsor(s). Also, list the names and current organizational affiliations of your graduate students and postdoctoral associates.

9. Biographical Sketches (**subject to a two page limit, discussed below**)

Each biographical sketch should provide:

- Principal investigator’s name, position title, and organization.
- Principal investigator’s degrees, years and field of study for each academic degree.
- A listing of research and professional positions, awards, and honors.
- References to all publications for the past three years along with any earlier publications pertinent to this application.

If this list causes any biographical sketch to exceed two pages, the principal investigator must select the most pertinent publications to stay within the page limit.

10. Student Tracking Information

The Office of Nuclear Physics tracks graduate students supported on research grants.

Please provide, in tabular form, the following information for each graduate student

receiving (in the case of a renewal proposal), or expected to receive (in the case of a new proposal) any support from this grant, during this funding period:

- Name of the student (please volunteer gender of the student)
- Date when the student entered graduate school at the host institution
- Date on which the student joined the research group
- Student mentor
- Date when the student graduated, or is expected to graduate

11. Current and Pending Support

Current and pending support of the Principal Investigators should include all current funding and proposals that have been submitted. **For grant renewal applications, a discussion of anticipated carryover from the end of the present grant period is necessary.**

12. Facilities and Resources (including Equipment)

Identify the facilities to be used (Laboratory, Computer, Office, and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities.

13. Additional Material

No additional material will be accepted with the proposal. Authors of proposals may provide supplementary information by referring to uniform resource locators (URLs) in their proposals. However, reviewers are under no obligation to examine such supplementary information.

14. List of Suggested Reviewers or Reviewers Not to Include (optional)

Proposers may provide a list of suggested reviewers who they believe are especially well qualified to review the proposal. Proposers also may designate persons they would prefer not review the proposal, indicating why. These suggestions are optional, **but should not accompany the proposal**. Proposers who wish to use this option must provide the information via direct communication (such as email) with the cognizant Program Manager. The Program Manager handling the proposal will consider the suggestions and may contact the proposer for further information. However, the decision whether or not to use the suggestions remains with the Program Manager.