October 28, 2008

TO: DOE Nuclear Physics Grantees

FROM: Eugene Henry, Acting Associate Director of the Office of Science For Nuclear Physics

SUBJECT: Electronic Submission of Proposals and Continuation Progress Reports

The Office of Nuclear Physics now accepts only electronic submission of documents relating to existing and new awards. The required method and timing of a submission can be different depending on the type of submission. Hopefully, this guidance letter will clarify these differences and make explicit our expectations and length restrictions for each of these submitted documents.

A new grant award is normally made for a grant period of three years, with a usual budget period of twelve months, defined by the start date of the grant. Initial funding is given for the first budget period and funding for the remaining budget periods are referred to as continuation awards. Progress reports are required three months prior to the end of each budget period before a continuation award can be made. Guidelines on how to prepare a progress report are given below. Six months prior to the end of the grant period a renewal application may be submitted to extend the grant for another three years or less. At any time during the grant period, a supplemental application can be submitted to request additional funding due to unanticipated changes either in the scope of work or in resources determined at the time of award to complete the work. **It should be noted that grant recipients are responsible to acknowledge grant support for all published research by identifying the Department of Energy and your official grant ID number.**

All grant applications must be submitted in response to a solicitation notice, i.e. a Funding Opportunity Announcement (FOA). Applicants must use the forms provided with the FOA to which they submit. FOA's, their corresponding application forms and instructions are found on the central federal government website

http://www.grants.gov.

The quickest way to determine the correct FOA is to go to the Office of Science (SC) Grants and Contracts website:

http://www.sc.doe.gov/grants/grants.html

which provides a list of its active FOA's as well as information documents that describe the responsibilities and regulations associated with receiving a grant. **Note that the grants.gov software is incompatible with Microsoft's Vista Operating system and their Office 2007 suite. You will need to use a computer that runs Windows or XP and an older version of OFFICE for your attached files if they are not pdf.** It should also be noted that grants.gov software does not preserve active URL links. If these are provided in a pdf file, however, the active links should be preserved.

New grant applications in nuclear physics can be submitted to FOA DE-PS02-**FY**ER**FY**-01 at any time, where **FY** refers to the last two digits of the current federal fiscal year. If you wish a decision during the upcoming fiscal year, you should submit to FOA DE-PS02-**FY**ER**FY**-32, which has a fall closing date. **Note that the identification number of every FOA changes after October 1, the start of the federal government's fiscal year.**

Renewal and supplemental applications should respond to the ongoing FOA DE-PS02-**FY**ER**FY**-02. For other solicitations concerning special programs such as the Outstanding Junior Investigator program consult the web pages already mentioned.

To obtain the proper application forms for any of the above FOA's, go to the Grants.gov url provided above, click on the link "Find Grant Opportunities" and then "Basic Search." Enter the desired FOA number in the "Search by Funding Opportunity Number" box. Select the FOA title link which takes you to that FOA's webpage. Select the "Application" box underneath the FOA title header. You will be sent to a webpage where you can download the application forms and instructions.

Office of Nuclear Physics Guidelines for Preparation of New, Renewal, and Supplemental Applications

The official DOE application form (SF 424) you download from Grants.gov provides fillable fields. Field 6 is the Project Summary/Abstract which will be used by DOE for electronic compilation of abstracts. Attach a one page pdf file that follows the application requirements. This document should be no more than one page and it should describe your work in terms that a scientist outside the field would understand.

Field K is the Project Budget. In addition to the application instructions, please make sure you follow the following instructions. 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 (> $5,000).

It is important that you make the total budget for each year sum to the nearest thousands of dollars. **Otherwise, our office will require revised budgets.**

If your proposal includes multiple tasks (tasks normally correspond to different research programs conducted by multiple faculty on a single grant), separate three year budget pages with corresponding budget explanation pages for each task will be required. For applications with multiple activities (experiments), the budget explanation page should show the breakdown for each activity.

The Project Narrative (Field 7) represents the primary content of your research proposal. Application instructions require you to include fields 7-11 in one attached PDF file. This file will be the research proposal that will be sent out for review (along with the budget information). The guidelines provided below apply ONLY to this file and supercede any duplicate specifications given in the application instructions. Please note that the

following guidelines assume the text of your narrative is single spaced twelve point font with one inch margins, except for footnotes.

Title Page

In addition to the items requested in the application instructions, please provide the **Project Title**, **Grant Number** (if a renewal), and **Proposed Project Period**.

Optional Table of Contents

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

Introduction

Applications with separate Tasks should have separate Introductions for each task. Each introduction should be a maximum of 2 pages and should provide:

- An abstract summarizing the planned scope of work in 100 words or less. This abstract can be the same one used for Field 6 on the application form.
- For renewals, provide a concise summary of accomplishments from the preceding grant period.
- A short summary of the proposed work. This discussion should include objectives, a description of the basic approach, and the potential impact.
- A list of personnel.

Body of Narrative

The body of the narrative, including figures, must be no more than 17 pages in total (including the Project Introduction) for each task, with an additional five pages allowed for each additional senior researcher on single task applications. The authors of the application can organize the Project Narrative text at their discretion, subject to the requirements below. In the case of Renewals, the Project Narrative must include a concise description of past accomplishments and work in progress. This should be no longer than one third of the total Project Narrative. The rest of the Project Narrative should provide a more detailed discussion of the proposed work including:

- Its impact on long-term goals, particularly in relationship to the Nuclear Science Advisory Committee (NSAC) Long Range Plan and Performance Measures for Nuclear Physics;
- Its impact on the present state of knowledge of the field;
- Any other work by the PI and its potential impact on this grant's resources;
- A proposed research plan and schedule of the activities to be undertaken over the grant period (typically 3 years), that includes milestones and an adequate description of methodology and necessary resources to convince a reviewer of its feasibility.
- Clarification of the roles and responsibilities of the PI on collaborative projects;
- The requested resources (manpower, equipment, travel, etc.) that justifies the proposed budget;

- Any 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 former research associates and graduate students.

References (no page limit)

All references to work discussed in section 5 must be included in this section. Citations should include the titles, but otherwise should follow the American Physical Society's (APS) style guide. For a summary of citation styles, see

http://physics.gac.edu/~huber/misc/aiprefs.htm.

Publications (no page limit)

This section should include a numbered list of peer reviewed scientific and technical publications resulting from work during the previous project period. Members of large collaborations should identify those publications on which they are principal authors. This section should also clearly identify what each individual researcher has contributed. Journals, Proceedings and Technical Reports should be listed separately. Publications should include titles, but otherwise should follow the APS style guide.

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

This information will help the Program Manager to avoid potential 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. In the case of large collaborations, identify only those with whom you have worked closely within the collaboration, such as co-spokespersons or joint principal authors. 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.

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

There should be a biographical sketch for each scientist beyond the research associate level. The sketch should include:

- Scientist's name, position title, and organization.
- Scientist'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 scientist must select the most pertinent publications to stay within the page limit.

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:**

Student	Date Entered Grad. School	Date Joined Group	Degree Program	Date Degree Awarded / (Expected)	Advisor
P.D.Q. Bach	Aug. 2003	Jan. 2005	Ph.D.	(May 2012)	Fermi
. . .	. . .	. . .	. . .	. . .	. . .

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**.

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.

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.

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 appropriate 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.

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 grants.gov web based system).

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 and should correlate with the research plan that was approved; no more than a few pages per senior investigator (academic and research faculty, senior research scientists, etc., not including postdoctoral associates), and 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 as described in your original research plan given in the grant proposal?
- What was accomplished toward these goals as compared to your proposed schedule? (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. Please follow the publications format described for grant applications.

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 any recent or upcoming changes in personnel during the past year.

In addition, the Office of Nuclear Physics requires an estimate of the amount of unexpended funds that are anticipated to be left at the end of the current budget period. If the amount exceeds 10% of the budget period funding, provide an explanation for the excess and a proposed use for the funds. If a change in funding from the planned level is desired, a revised 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 the same information on students requested above in the grant application guidance.