

TO: DOE Nuclear Physics Grantees and Grant Applicants

SUBJECT: Submission of Proposals and Continuation Progress Reports

The Office of Nuclear Physics accepts only electronic submission of documents for existing and new awards. The method and timing of a submission depends on the type of submission. Here are explicit expectations and length restrictions for each type of submitted document.

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 funding. Progress reports are required three months prior to the start of a continuation budget period, normally near the end of the first and second budget periods. Guidelines on how to prepare a progress report are given below. Six months prior to the end of the grant period, normally in the middle of the third year of the award, 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. A supplemental grant application with a change in the scope of work for a funded award requires additional review. Supplemental grant applications in nuclear physics can be submitted any time during a current award cycle. **Grant recipients are responsible to acknowledge grant support for all published research by identifying the Department of Energy, Office of Science, Office of Nuclear Physics and official grant ID number.** (See <https://science.osti.gov/Funding-Opportunities/Acknowledgements>.)

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. FOAs, their corresponding application forms, and instructions are found on the central federal government website: [Grants.gov](https://grants.gov). Current open FOAs relevant to the Nuclear Physics Office are listed at <https://science.osti.gov/np/Funding-Opportunities>.

Normally, new, renewal and supplemental applications should respond to the Annual FOA “FY20xx Continuation of Solicitation for the Office of Science Financial Assistance Program.” Although applications can be submitted at any time to the Annual Funding Opportunity Announcement (open FOA), in order to receive full consideration for NP funding in the coming fiscal year, **proposals for new efforts to be supported through the open FOA should be submitted to grants.gov no later than September 30th (independent of possible changes to the closing date for the open FOA).** FOAs on particular subtopics may be issued with specific requirements and deadlines. Applicants responding to those FOAs should follow the guidance within that announcement and contact the relevant program manager in case clarification is needed.

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

The workspace in grants.gov has application package forms that are optional or mandatory. Information specific to the Office of Nuclear Physics is requested for two of the mandatory documents: the “Research & Related Budget” and the “Research & Related Other Project Information.”

Mandatory Document “Research & Related Budget”:

In preparing an itemized budget for each year and the cumulative budget, note that **the total budget for each year must sum to the nearest thousands of dollars. A revised budget will be requested if this requirement is not met.**

PIs should seek guidance from the relevant program managers regarding appropriate salary requests that reflect reasonable scientific efforts for the scope of proposed work. Applications are required to include full and detailed current and pending support.

Each major item on each DOE budget sheet should be justified in the “Budget Justification” attachment. Permanent equipment costs, travel costs, and 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 shall be more detailed when the cost is substantial (> \$5,000).

Before submitting a new proposal that would request support from either separate program offices or separate subprograms, consultation with the relevant program managers should take place. If a proposal requests support from more than one program office, separate three-year budget pages with corresponding budget explanation pages for each program office are required. If a proposal requests funding from more than one subprogram, then a table shall be given in the budget justification to show the request breakdown. An example is shown in Table 1.

Table 1: Budget request by subprogram

	FY2025	FY2026	FY2027
Medium Energy	\$50,000	\$40,000	\$50,000
Fundamental Sym	\$60,000	\$80,000	\$90,000

In all cases, applications with multiple activities or experiments shall provide the breakdown for each activity or experiment in the budget explanation.

Mandatory Document “Research & Related Other Project Information”: The mandatory “Research & Related Other Project Information” includes the following attachment options:

- Project Summary/Abstract
- Project Narrative
- Bibliography & References Cited
- Facilities & Other Resources
- Equipment, and
- Other Attachments.

The Project Narrative represents the primary content of any Office of Nuclear Physics research proposal. The Project Narrative will be sent out for review, along with the budget information and the data management plan. The guidelines provided below supersede any duplicate specifications given in the application instructions.

PROJECT NARRATIVE GUIDELINES

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

An introduction should be a maximum of 2 pages unless the scope of work is exceptionally broad in scope and have a relatively large workforce, in which case the maximum is 3 pages. The introduction should provide:

- An abstract summarizing the planned scope of work in 100 words or less,
- A concise summary of accomplishments from the preceding grant period (for renewal proposals only),
- A short summary of the proposed work, and
- A list of personnel.

The introduction abstract can be the same one used for “Project Summary/Abstract” in the ‘Attachments’ portion of the ‘Research and Related Other Project Information’ section in the application workspace of grants.gov. The abstract shall include objectives, a description of the basic approach, and the potential impact for the proposed work.

Body of Narrative

The body of the narrative, including figures, must be no more than 17 pages in total (including the Introduction). If your proposal is for an umbrella grant (multiple PIs with distinct scientific thrusts), additional pages (typically 5 for each thrust) may be allowed. If you think your proposal may fit in this category, please contact your program manager

for confirmation. Proposals within this category should include for each thrust an introduction, goals, and past accomplishments (where appropriate). Proposals that do not adhere to these guidelines may be returned to the PI.

Authors of the application can organize the Project Narrative text at their discretion, subject to the requirements below. The Project Narrative should provide a more detailed discussion of the proposed work including:

- The proposed work's impact on long-term goals, particularly in relationship to the Nuclear Science Advisory Committee (NSAC) Long Range Plan,
- The proposed work's 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 during the grant period (typically three years) with milestones for each year and an adequate description of methodology and necessary resources to convince a reviewer of scientific merit, innovation, and feasibility,
- Clarification of the roles and responsibilities of the PI on collaborative projects,
- The requested resources (workforce, equipment, travel, etc.) that justifies the proposed budget,
- Any institutional support, and
- A brief discussion of how the work will contribute to workforce development, if applicable, potential benefits to society, and a career history of recent former research associates and graduate students, if applicable.

For all proposals, the end of the narrative should include a concise summary of meaningful, bulleted metrics in order to assess progress during continuation years. 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 accomplishments should include a discussion of publications during the project period including roles played by group members in each publication with substantial group contributions.

Data Management Plan (no page limit)

All NP proposals are required to have data management plans. A proposal without one will be rejected as non-compliant with the FOA. Reviewers are asked to evaluate the data management plan. Detailed guidance on developing a plan is provided at <https://science.osti.gov/Funding-Opportunities/Digital-Data-Management>. The data management plan can be uploaded as an "Other Attachment" as part of the mandatory "Research and Related Other Project Information" application package form.

Publications (no page limit)

For renewal proposals and continuation progress reports, scientific and technical publications resulting from work during the previous project period are reported in a "Summary of Publications" as shown in Table 3. For renewal proposals, an additional publication report is required.

Once a renewal proposal is received a task in PAMS will be sent to the PI to enter “Renewal Proposal Products.” These will include peer-reviewed publications and other applicable output. PAMS will append these to the proposal before it is sent out for review. Members of large collaborations may wish to include only those publications relevant to the review of the current proposal. Renewal proposals are incomplete until “Renewal Proposal Products” are submitted.

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

A list of collaborators can be uploaded as an “Other Attachment” as part of the mandatory “Research and Related Other Project Information” application package form.

This information is used by the Program Manager to remove potential conflicts of interest in choosing reviewers for the proposal. A list in alphabetical order of all persons, including their current organizational affiliation, who are, or who have been, collaborators or co-authors on a research project, book or book article, report, abstract, or paper during the 48 months preceding the submission of the application is required. In the case of large collaborations, only those collaboration members with whom the PI/Co-PIs have worked closely with in the collaboration, such as co-spokespersons or joint principal authors, need to be listed. In addition, any individuals who are currently, or have been, co-editors with the PI/Co-PIs on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application should be identified.

The names and current organizational affiliations of graduate advisor(s) and principal postdoctoral sponsor(s) shall be given for each PI. Names and current organizational affiliations of past and current graduate students and postdoctoral associates are also required.

Biographical Sketches (2 page maximum)

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

- 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, and
- References to all publications for the past three years along with any earlier publications pertinent to the application.

Biographical sketches cannot exceed two pages; if necessary select the most pertinent publications to stay within the page limit. Biographical sketches can be combined and uploaded as an “Other Attachment” as part of the mandatory “Research and Related Other Project Information” application package form.

Student Tracking Information (no page limit)

The Office of Nuclear Physics tracks graduate students supported on research grants. **Please provide information as shown in Table 2 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 during the relevant funding period.**

Table 2: Student Tracking Information

Student	Date Entered Grad. School	Date Joined Group	Degree Program	Date Degree Awarded/ (Expected)	Advisor
P.D.Q. Bach	Aug. 2010	Jan. 2012	Ph.D.	(May 2015)	M.Curie
...

Current and Pending Support (no page limit)

Current and pending support of the Principal Investigators includes 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 required and will be reported in PAMS.**

BIBLIOGRAPHY & REFERENCE CITED GUIDELINES

All references must be included in this section. Citations should include the titles, but otherwise follow the American Physical Society's style guide <https://cdn.journals.aps.org/files/styleguide-pr.pdf>. There is no page limit to this section.

FACILITIES & OTHER RESOURCES GUIDELINES

Relevant facilities (Laboratory, Computer, Office, and Other) shall be identified. If appropriate, their capacities, pertinent capabilities, relative proximity, and extent of availability to the project should be indicated.

EQUIPMENT GUIDELINES

Major items of equipment already available for the proposed work should be described including current location and pertinent capabilities.

OTHER ATTACHMENTS

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.

Letters of collaboration for unfunded or funded collaborations, letters from experimental spokespersons, and/or letters from user facilities are considered "Other Attachments." These letters shall be written as neutral statements of fact and not as recommendations or endorsements. Rather, it is preferred they conform to one of the following formats as shown below.

Letter template: intent to collaborate

Dear <PI Name>:

If your application entitled, “<Application Name>,” is selected for funding, it is my intent to collaborate in this research by <Complete Sentence With a Very Short Description of What the Collaborator Offers to Do or Provide>. Thank you for the opportunity to participate.

Letter template: collaboratively active

Dear <PI Name>:

With reference to your application entitled, “<Application Name>,” I am writing as the spokesperson of the <Collaboration Name> collaboration to confirm that you are an active member of the collaboration and that the work you are proposing is consistent with the goals and priorities of our collaboration.

Letter template: user facility acknowledgement

Dear <PI Name>:

If your application entitled, “<Application Name >,” is selected for funding, “<User Facility>” will give this work full consideration within its regular scheduling and approval process.

Letter template: access to resources

Dear <PI Name>:

If your application entitled, “<Application Name >,” is selected for funding, it is our intention to provide you with timely access to <A Short Description of the Site, Facility, Equipment, or Data> consistent with the scope of work described in your proposal.

Letters of recommendation are strongly discouraged.

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 shall **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 to use the suggestions remains with the Program Manager.

Continuation Progress Reports

After issuance of an initial award with multi-year support, recipients must submit a satisfactory progress report prior to receiving continuation funding for subsequent budget periods. The required report must be submitted in PAMS 90 days prior to the anticipated continuation funding date. Progress reports are not submitted through Grants.gov. Award recipients will receive an email request through PAMS to prepare a continuation progress report 30 days prior to the submission deadline. No other email notification is sent.

The information requested in the PAMS forms follows a government-wide standard. Detailed guidance on the information sought can be found at http://www.nsf.gov/bfa/dias/policy/rppr/frpprformat_fedreg.pdf

The cover page will be generated automatically in PAMS and will contain:

- The Federal Agency and Organization Element to which the report is submitted,
- The DOE Award number,
- The Project Title,
- The Name of Submitter (PI),
- The Recipient Organization (name and address),
- The Recipient Identifying Number or Account Number, if any,
- The Project/Grant Period (start date, end date),
- The Reporting Period End Date, and
- The Report Term or Frequency (annual, quarterly, semi-annual, other)/

Basic information on the progress in the past year will be collected in PAMS. Responses should be concise, project-oriented, and appropriate for a general reader audience. One PDF file can be attached to the report with a more detailed physics discussion as a report narrative.

The **first** section in PAMS is on **Accomplishments**:

What are the major goals and objectives of the project?

This is presented at a high level and consistent with the abstract in the most recent proposal and public abstract.

What was accomplished under these goals?

This response is project oriented and address a general reader audience. Progress on yearly milestones is addressed in this section.

What opportunities for training and professional development has the project provided?

Student progress is discussed here. An updated Student Tracking Information table (as shown in Table 2) is in this section.

How have the results been disseminated to communities of interest?

This response includes statistics on publications (published, accepted, submitted, in preparation), conference talks, public lectures etc. for the past year as shown in Table 3. Note that the actual list of publications and talks will be collected in the **Products** section.

What do you plan to do during the next reporting period to accomplish the goals and objectives?

Responses are project oriented and do not include scientific details. Adjustments to the upcoming year's milestones are addressed in this section.

The **second** section is for the collection of **Products**, i.e. publications, conference presentations as well as intellectual property and other products. Products will be brought up to date for any renewal proposal. **For a continuation progress report the products should reflect the year under review.**

The **third** section will collect information on **Participants and Other Collaborating Organizations**. Each participant, Co-PI, post doc, student etc. must be entered and their contribution to the project briefly noted. Countries of international collaboration are also required. If the list of collaborators is relatively short then they should be listed. For large collaborations the URL for the collaboration membership should be given. Partner organizations include the national labs and international facilities like CERN. Collaborators shall be listed individually only for those outside a PI's or Co-PI's research group with whom they have a close working relationship.

The **fourth** section has a series of questions on the **Impact** of the research. Responses are to be concise and high level. Note that all questions are optional with a default of "Nothing to Report." The final item in this section addresses Foreign Expenditures. This information is not currently required and to be left blank until further guidance is provided.

The **fifth** section concerns **Changes/Problems**. Note questions are optional with a default of "Nothing to Report".

Changes in approach and reasons for change and actual or anticipated problems or delays and actions to resolve them.

Responses are to be included if appropriate but kept at a high level. Scientific details should be presented in the narrative.

Changes that have a significant impact on expenditures.

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. There is a place to enter this estimate in this PAMS section. If the amount exceeds 10% of the budget period funding, an explanation for the excess and a proposed use for the funds is necessary. If a change in funding from the planned level is desired, a revised budget page for the continuation year must be included in the attached PDF narrative.

The Office of Science collects **demographic information** on all participants. This is requested in the **fifth** section. The PI is asked to submit email addresses for all significant contributors listed in the Participants section not already registered in PAMS. The contributors will receive an email asking them to fill out demographic information in PAMS. They will have the option to choose "Do Not Wish to Provide".

CONTINUATION PROGRESS REPORT NARRATIVE GUIDELINES

(Body Text Format: Single Spaced, 12pt font, 1" margins)

The current format allows a PDF attachment in the Accomplishments section. This will be used to provide physics content, figures, and technical developments. The format below shall be followed. The continuation progress report narrative should be concise in describing accomplishments and correlate with the research plan that was approved. The last one or two pages of the narrative shall address the bulleted summary provided in the last few pages of the proposal. The narrative should not exceed 20 pages in length, excluding figures, publication lists and conference lists. It addresses 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? Individual and group contributions including service work at DOE facilities, if applicable, and particularly if involved with large collaborations.*
- *Opportunities for training and development provided by the project and the graduate student table are to be provided in other areas of the PAMS reporting system. The report narrative connects students and post docs to their work progress in a more detailed manner.*
- *How have the results been disseminated to communities of interest? Usually the publications, conference proceedings and invited talks for the reporting budget entered in the PAMS Products section are enough. They need not be repeated here. The narrative should be used to clarify the roles of group members in publications.*
- *Explicitly identify milestones in the last one or two pages of the narrative. These milestones should present a concise summary of meaningful bulleted metrics that provide the ‘who, what and when’ for comparison to past and future progress.*

Additional Information:

Each of the following topics is addressed in the PAMS reporting sections at a high level. Include detailed scientific and technical discussion here only as necessary.

- *Have there been changes in the approach to your 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:

The topic below is addressed in the PAMS reporting sections at a high level. Include detailed scientific and technical discussion here only as necessary.

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

Attachment 1

Table 3: Summary of Publications

Under the column “Names”: List all research workforce funded during the period covered by this review. Past members should be identified by an asterisk (*) placed against their names. Emeritus members of the group shall be identified by a hash (#) placed against their names.

Numbers of publications in parenthesis: Indicate publications for which an individual played a leading or substantive role in conceiving, analyzing, calculating or interpreting the subject matter. For example, a principal author of an analysis as reported in a large collaboration paper should be included. Do not include papers on which the individual had normal collaboration interactions. The “Total” represents unique papers, i.e. not the simple sum of the numbers in a column.

Include a table caption that specifies the use of parentheses, asterisks, and hashes. See the example below.

Name	Letter Publications	Other Refereed Journals	Invited Talks
Faculty/Permanent Staff			
M. Jemison	3(2)	9(4)	5
S. Ride (#)		3(2)	
Term and Other Staff			
C. Koch	5(2)	1(1)	10
Post-docs			
J. Mehr	3(2)	4(3)	2
A. Ansari (*)	2(1)		1
Total	5(2)	10 (4)	18

Table 3. Example of a summary of publications over a three-year project period. Past members of the work effort are marked with an asterisk (*), emeritus faculty are marked with a hash (#). In parenthesis are the number of publications in which the listed author played a substantial role. For example, Anousheh Ansari led the digital data acquisition design and implementation for a PRL as noted by the ‘(1)’ in “Letter Publications” and was a co-author on another PRL over the three year period, as noted by the ‘2’. Christian Koch was the lead author on a PRC paper as noted by the (1) in “Other Refereed Journals”. The listed workforce co-authored five PRL papers and significantly contributed to two of those five.