

June 25, 2004

TO: DOE Nuclear Physics Grantees
FROM: Dennis Kovar/Associate Director of the Office of Nuclear Physics
SUBJECT: Electronic Submission of Grant Proposals

In response to the President's Management Agenda, the Office of Science of the Department of Energy implemented electronic submission of all grant applications (both new and renewal/supplemental requests) on October 1, 2002, using the Industry Interactive Procurement System (IIPS). Here is additional information that will hopefully aid you in using this process.

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 new, renewal, and supplemental proposals. All grant proposals must be submitted in response to a solicitation notice. Beginning this coming fiscal year **ALL NEW PROPOSALS MUST BE SUBMITTED BY NOVEMBER 1 OF THE FISCAL YEAR.** (Renewal proposals should be submitted six months prior to the termination date of the existing grant, as in the past.) Please note that an authorized institutional administrative official must submit applications to IIPS. 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>. As a guest user, one can browse and download the needed forms. All forms are in electronically fillable PDF format and each institution will need **Adobe Acrobat 4.0** or a later version to properly process the forms. These forms include the F4650.2 face page and budget pages. These forms do contain some formulas for doing financial calculations, but please ensure the accuracy of all budget information submitted (hint: one can add institution-specific functions to the forms using Adobe Acrobat to aid in generating budgets). Please make the total budget for each year sum to exact thousands of dollars. The PI should prepare the technical part of the proposal as a separate PDF file which will be downloaded along with the forms by the appropriate grant officer for your institution. If your proposal contains any color figures that **MUST** be printed in color (i.e. grayscale is not sufficient) then these figures (with references) must be submitted as a separate PDF file. Signature blocks on the F4650.2 form should simply contain the typed name of the PI and grant officer. (Note: Proposals are submitted by institutions on behalf of Principal Investigators.) Further instructions for using the web-based system are available in Attachment 1.

Although the IIPS system has capabilities for reviewers to access proposals, the Office of Science will not be using this feature. Reviews will continue to be handled by each Office. The Office of Nuclear Physics Division has adopted electronic dissemination of proposals to reviewers for reviews rather than using paper copies. Reviewers' reports should be e-mailed electronically to the appropriate program manager.

With the transition to electronic media, there is a need to reduce the size of proposals, renewals, and continuation progress reports. An attachment to this letter provides some guidelines in the preparation of proposals and supplemental requests.

Also attached to this letter is a copy of the guidelines for preparation of continuation progress reports, as given on the Office of Science Grants and Contracts website, <http://www.sc.doe.gov/grants/grants.html>, which should be followed. Continuation progress reports should be sent directly to your Program Officer and not through the IIPS. Note that your entire electronic submission of Continuation Progress Reports **MUST** be less than 10 Mbytes for them to be delivered through DOE's e-mail server.

We will help you make this transition to electronic submission if you encounter difficulties. Our experience with the use of electronic submission during these past two years is that overall it has made the process substantially easier for grantees and reviewers. We appreciate any comments you may have on this process.

Attachment 1:

**INSTRUCTIONS
FOR
USING THE IIPS WEB-BASED SYSTEM**

To access the Industry Interactive Procurement System (IIPS) User's Guide which provides detailed information on how the system works, access the web page (<http://e-center.doe.gov>) and click on "**Help**" on the left hand menu list. You can then download either the Word or PDF document. Accessing the website as a guest user, one obtains the new proposal forms for downloading by selecting any SC solicitation. Using the DE-FG01-02ER02-01 Solicitation as an example:

- from the main web page click on "**Browse Opportunities**" from the left hand menu list
- select "Opportunities by Program Office" from the pull down menu list
- click on "**Enter IIPS**"
- select "Office of Science" from the list of Program Offices
- select the the appropriate solicitation notice (new, renewal/supplemental, OJI, etc.)
- go to the bottom of the solicitation page and click on "**SC Grant Application Forms.pdf**" to download the needed forms.

Attachment 2:

Guidelines for Preparation of New Proposals, Renewals, and Supplemental Requests

1. Task Introduction (approximately 1 – 2 pages):

- An abstract should summarize the planned scope of work in 100 words or less, written at a level for which a lay scientist outside the field would understand. This abstract will be used in an electronic compilation of work performed by DOE grantees for reference.
- 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.

2. For Renewals, a Status Report (approximately 2-5 pages per project):

- A concise description of accomplishments and work in progress. (Copies of papers or other supporting documents can be included in an appendix.)

3. Task Description (approximately 3-10 pages per project):

This is a more detailed discussion 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 for Nuclear Physics.
- Present state of knowledge of the field.
- Any other work by the PI not supported by this grant.
- 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 and resources.
- A brief practical 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.

4. References and publications:

- All work referenced in sections 2 and 3. Citation format should follow that of the APS style guide. Should also contain a list of all publications during the previous grant period (typically 3 years) performed with support of this grant.

5. List of Collaborators:

- A list of collaborating researchers that are participating in the proposed work.

6. Biographical Sketches:

- Short curriculum vitae of each senior researcher on the proposal.
- Selected list of publications (~10 or less) the researcher feels are most relevant to the proposed work during the researcher's career, and a selected list of publications (~5 or less) of the researcher's most significant work whether or not it is related to the current work, if appropriate. Patents, copyrights, and software systems developed can be substituted for papers when appropriate.
- List any collaborators the researcher has worked with closely in the last four years.

7. Discussion of the Budget:

- Each major item on the DOE budget sheet (form F 4620) should be discussed. Particularly, 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.
- Current and pending support of the Principal Investigators should include all current funding and proposals that have been submitted.
- Anticipated carryover from the end of the present grant period.

8. Appendix

- Copies of papers or other supporting documentation may be included. Alternatively, some proposers may prefer to give references to relevant web sites where such information may be obtained.

See the Office of Science web Home Page for Grants and Contracts
<http://www.sc.doe.gov/grants/grants.html> for further details.

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Attachment 3:

Continuation Progress Reports

Continuation Progress Reports (Informal): After issuance of an initial award and if future 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 (generally not to exceed two pages per project or task) must be submitted as an electronic MS-Word (preferably) or PDF file to the Office of Science Project Officer 90 days prior to the anticipated continuation funding date and contain the following information: on the first page, provide the project title, principal investigator/project director's name, period of time report covers, name and address of recipient organization, DOE award number, the amount of unexpended funds, if any, that are anticipated to be left at the end of the current budget period, and 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. The report should state whether the aims have changed from the original application and if they have, provide revised aims. Include results of work to date. Emphasize findings and their significance to the field, and any real or anticipated problems. A list of the present personnel should be included. A completed budget page must be submitted if the funding for the upcoming budget period will be different from the planned funding for this period at the time the grant was started or renewed.