

# Preparation of New, Renewal, and Supplemental Applications FAQ for Grantees and Grant Applicants

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## NEW AWARD APPLICATIONS

### Q1: How do I submit a grant application?

A: As stated in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection A “ADDRESS TO REQUEST APPLICATION PACKAGE”: You can find application forms and instructions at Grants.gov. To access these materials, go to <https://www.Grants.gov>, select “Search Grants”, and then enter the Catalog of Federal Domestic Assistance (CFDA) number (81.049) and/or the FOA number shown on the cover of this FOA. Select the “Apply” button to access the application package.

**Q2: Is there an application deadline?**

A: As stated the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection F “SUBMISSION DATES AND TIMES”: The Open FOA remains open until September 30 of the current fiscal year, or until the next issuance, whichever occurs first. As stated on the front page of the Open FOA, you can submit applications at any time during that period to the Open FOA. Applications for conference or workshop support must be submitted at least six months before the meeting date and no later than April 1 of the current fiscal year, to be considered for funding.

**As stated in Section I “FUNDING OPPORTUNITY DESCRIPTION”, subsection 6 “Nuclear Physics (NP)”, the following NP subprograms use comparative reviews:**

- **Fundamental Symmetries**
- **Nuclear Structure & Nuclear Astrophysics**
- **Theory**
- **Heavy Ions**

**The deadline to apply for those subprograms is November 15, 2022.**

Other FOAs on subtopics are issued with specific requirements and deadlines. Follow the guidance within those announcements and contact the relevant Program Manager if clarification is needed.

**Q3: What is the length of a typical award?**

A: As stated in the Open FOA Section II “AWARD INFORMATION”, subsection F “PERIOD OF PERFORMANCE”: The most common project period is three years in duration, but awards can be made for a project period of six months to five years as befitting the project. Continuation funding (funding for the second and subsequent budget periods) is contingent on: availability of funds appropriated by Congress and future year budget authority; progress towards meeting the objectives of the approved application; submission of required reports; and compliance with the terms and conditions of the award.

**Q4: What are the mandatory inclusions in my grant application?**

A: All the necessary inclusions can be found in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”. Part 8 contains a table summary of required forms/files. If you have additional questions, contact the relevant Subprogram Contact listed in the FOA.

**Q5: What should be included in the mandatory document “Research & Related Budget”?**

A: Instructions can be found in the Open FOA, Section VIII “SUPPLEMENTARY MATERIAL”, subsection A “HOW-TO GUIDES”, part 13 “How to Prepare a Research and Related Budget and Justification”. If you have additional questions, contact the relevant Subprogram Contact listed in the FOA.

**Q6: What should be included in my Budget Justification?**

A: You can find a description of the budget justification in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 4 “Research And Related Budget”. If you have additional questions, contact the relevant Subprogram Contact listed in the FOA.

**Q7: What if I am applying for grants from multiple subprograms?**

A: As stated in Section I “FUNDING OPPORTUNITY DESCRIPTION”, subsection 6 “Nuclear Physics (NP)”, contact all the relevant Subprogram Contacts listed in the FOA.

**Q8: What should be included in the mandatory document “Research & Related Other Project Information”?**

A: You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 2 “Research and Related Other Project Information”. If you have additional questions, contact the relevant Subprogram Contact listed in the FOA.

**Q9: What should be included in the Project Narrative?**

A: You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 2 “Research and Related Other Project Information”. Scroll down to the “Project Narrative” header after the example budget table. If you have additional questions, contact the relevant Subprogram Contact listed in the FOA.

**Q10: What goes on the title page?**

A: You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 2 “Research and Related Other Project Information”. Scroll down to the “DOE Title Page” header.

**Q11: What should be included in the Introduction?**

A: You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 2 “Research and Related Other Project Information”. Scroll down to the “Project Narrative” header after the example budget table. The FOA states the Background/Introduction must explain the importance and relevance of the proposed work and review of the relevant literature and any prior research in this area, to demonstrate sufficient knowledge of the state of the science. If you have additional questions, contact the relevant Subprogram Contact listed in the FOA.

**Q12: Are there page limits for the application?**

A: In the Open FOA’s “UPDATES AND REMINDERS” section under the subsection on “PDF Generation”, there is a “Checklist for Avoiding Common Errors” table. Parts of the application with page limits are:

- Research Narrative – 20 pages
- Biographical sketches – 2 pages per person
- Data Management Plan(s) (DMPs) – 2 pages

**Q13: What should be included in the Data Management Plan?**

A: You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 2 “Research and Related Other Project Information”. Scroll down to the “APPENDIX 4: DATA MANAGEMENT PLAN” header.

**Q14: What happened to Biographical Sketches?**

A: Biographical sketches and current and pending support may no longer be provided as attachments to a research narrative. These documents must be attached to the Research and Related Senior/Key Person Profile (Expanded) form in an application. You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 3 “Research and Related Senior/Key Person Profile (Expanded)”.

**Q15: What happened to Current and Pending Support?**

A: Biographical sketches and current and pending support may no longer be provided as attachments to a research narrative. These documents must be attached to the Research and Related Senior/Key Person Profile (Expanded) form in an application. You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 3 “Research and Related Senior/Key Person Profile (Expanded)”.

**Q16: How should I format the bibliography and reference cited section?**

A: You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 2 “Research and Related

Other Project Information”. Scroll down to the “APPENDIX 1: BIBLIOGRAPHY & REFERENCES CITED” header.

**Q17: What should be included in facilities and other resources?**

A: You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 2 “Research and Related Other Project Information”. Scroll down to the “APPENDIX 2: FACILITIES & OTHER RESOURCES” header.

**Q18: What should be included in equipment?**

A: You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 2 “Research and Related Other Project Information”. Scroll down to the “APPENDIX 3: EQUIPMENT” header.

**Q19: What should be included under other attachments?**

A: You can find a description in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 2 “Research and Related Other Project Information”. Scroll down to the “APPENDIX 6: OTHER ATTACHMENT” header. If you have additional questions, contact the relevant Subprogram Contact listed in the FOA.

**Q20: Are there examples of acceptable and unacceptable letters?**

A: As stated in the Open FOA, Section IV “APPLICATION AND SUBMISSION INFORMATION”, subsection D “CONTENT AND APPLICATION FORMS”, part 2 “Research and Related Other Project Information”, under “APPENDIX 2: FACILITIES & OTHER RESOURCES”: for proposed investigations requiring access to experimental user facilities (excluding your home facility), you can provide a document from the facility manager confirming you will have access to the facility, if they do not become letters of support or recommendation. Also, under “IMPROPER CONTENTS OF APPLICATIONS”, the FOA provides a list that includes letters of support from Federal officials and letters of support on Federal letterhead. Letters that are not letters of support (such as letters confirming access to sites, facilities, equipment, or data; or letters from cognizant Contracting Officers) can be on Federal letterhead. Letters of recommendation are strongly discouraged. The following are templates of acceptable letters:

- 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.

**Q21: Do I have any say in my reviewer pool?**

A: Yes. You can find a description in the Open FOA, Section VIII "SUPPLEMENTARY MATERIAL", subsection A "HOW-TO GUIDES", part 10 "How to Prepare a List of Individuals Who Should Not Serve as Reviewers".

**Q22: Is there a pathway for PIs to transition between HEP/NP funding?**

A: As stated in Section I "FUNDING OPPORTUNITY DESCRIPTION", subsection 6 "Nuclear Physics (NP)", HEP and NP allow support for groups engaged in cross-over research, subject to appropriate peer review. HEP and NP will accommodate transitional applications for exploring new research directions for a limited period of up to one award term.

**Q23: How do I acknowledge DOE's support in my publication?**

A: You can find a description in the Open FOA, Section VIII "SUPPLEMENTARY MATERIAL", subsection C "ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS", part 15 "Publications".

## **RENEWALS**

**Q1: When should I renew my grant?**

A: As stated in the FOA Section IV "APPLICATION AND SUBMISSION INFORMATION", Subsection F "SUBMISSION DATES AND TIMES", part 3 "Application Due Date", renewal applications compete with all other applications and must be submitted through Grants.gov at least six months before the scheduled expiration of the current award's project period. Earlier submission is strongly encouraged to allow for timely processing.

**Q2: How do I renew my grant?**

A: As stated in the Open FOA, Section II “AWARD INFORMATION”, subsection G “TYPE OF APPLICATION”, DOE will accept new, renewal, and supplemental applications under the Open FOA. Information about how to distinguish between new and renewal applications is in Section VIII. A renewal application requests additional funding for a period following a current award. If the application requests a significant change in the scope of work, please consult with the Program contact identified in this FOA to determine if the application should be considered new or a renewal. If you have additional questions, contact the relevant Subprogram Contact listed in the FOA.

**Q3: Will I need to enter different information into my application for a renewal than for a new award?**

A: Yes, but most of the application is the same. Changes highlighted in the FOA are:

- For the DOE title page, include the DOE Award Number.
- For the Project Narrative, you must include a separate section that: describes results of the work accomplished during the current project period (since the last new or renewal award), analyzes how the results relate to the activities proposed to be undertaken during the renewal period, and describes any changes that affected the overall direction of the research being performed. Include an estimate of any remaining funds from the current project period at its anticipated end.
- You are required to submit a Renewal Proposal Products section through the PAMS website at <https://pamspublic.science.energy.gov>. You must enter into PAMS each product created during the course of the previous project period. Types of products include publications, intellectual property, technologies or techniques, and other products such as databases or software. As soon as the renewal application is assigned to a DOE Program Manager, you will receive an automated email from PAMS (<PAMS.Autoreply@science.doe.gov>) instructing you to navigate to the PAMS Task tab to complete and submit the Renewal Proposal Products. The submitted product list will be sent for merit review as part of the application. The application will not be considered complete and cannot be sent for review until the product list has been submitted.
- Note, an additional question is provided to the merit reviewers under “SCIENTIFIC AND/OR TECHNICAL MERIT OF THE PROJECT”: Is the proposed work an appropriate outgrowth of, continuation to, or successor of the currently supported research?

## **SUPPLEMENTALS, FUNDED EXTENSIONS, AND NO COST EXTENSIONS**

**Q1: When can I acquire supplemental funds for my award?**

A: As stated in the Open FOA, Section II “AWARD INFORMATION”, subsection G “TYPE OF APPLICATION”, applications for supplemental funding to existing SC awards may be submitted under the Open FOA. Such applications compete for funding with all other applications submitted under this FOA. Applications for supplemental funding may be made in three broad types:

1. Supplemental funding with no change in scope. Such applications must indicate that they are being made to request additional funding without any change to the authorized scope of work. These applications will not require merit review and may be quite brief.
2. Supplemental funding with a change in scope. Such applications must indicate that they propose an additional scope of work from that authorized in the existing award. These applications are subject to merit review and must describe the proposed additional scope of work.
3. Supplemental funding with additional time. Regardless of the change in scope of work, a supplemental application may also indicate the need for additional time to achieve either the original or changed objectives.

Note, under “Type of Application”, applications for supplemental support of an existing award should be marked as “Revision.” If you have additional questions, contact the relevant Subprogram Contact listed in the FOA.