

U.S. Department of Energy
FEDERAL ASSISTANCE REPORTING CHECKLIST
AND INSTRUCTIONS

1. Identification Number:	2. Program/Project Title:												
3. Recipient:													
4. Reporting Requirements:	Frequency	No. of Copies	Addresses										
A. MANAGEMENT REPORTING <input checked="" type="checkbox"/> Progress Report <input checked="" type="checkbox"/> Special Status Report B. SCIENTIFIC/TECHNICAL REPORTING * (Reports/Products must be submitted with appropriate DOE F 241. The 241 forms are available at https://www.osti.gov/elink) <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; border-bottom: 1px solid black;">Report/Product</th> <th style="text-align: left; border-bottom: 1px solid black;">Form</th> </tr> </thead> <tbody> <tr> <td><input checked="" type="checkbox"/> Final Scientific/Technical Report</td> <td>DOE F 241.3</td> </tr> <tr> <td><input checked="" type="checkbox"/> Conference papers/proceedings/etc.*</td> <td>DOE F 241.3</td> </tr> <tr> <td><input type="checkbox"/> Software/Manual</td> <td>DOE F 241.4</td> </tr> <tr> <td><input checked="" type="checkbox"/> Other (see special instructions) Topical</td> <td>DOE F 241.3</td> </tr> </tbody> </table> * <i>Scientific/technical conferences only</i> C. FINANCIAL REPORTING <input checked="" type="checkbox"/> SF-269, Financial Status Report <input type="checkbox"/> SF-269A, Financial Status Report (Short Form) <input type="checkbox"/> SF-272, Federal Cash Transactions Report D. CLOSEOUT REPORTING <input checked="" type="checkbox"/> Patent Certification <input checked="" type="checkbox"/> Property Certificate <input type="checkbox"/> Other E. OTHER REPORTING <input checked="" type="checkbox"/> Annual Indirect Cost Proposal <input checked="" type="checkbox"/> Annual Inventory Report of Federally Owned Property, if any <input type="checkbox"/> Other	Report/Product	Form	<input checked="" type="checkbox"/> Final Scientific/Technical Report	DOE F 241.3	<input checked="" type="checkbox"/> Conference papers/proceedings/etc.*	DOE F 241.3	<input type="checkbox"/> Software/Manual	DOE F 241.4	<input checked="" type="checkbox"/> Other (see special instructions) Topical	DOE F 241.3	Q A FG A A Q, FG FC FC A A	Electronic Version to NETL> Electronic Version to E-link> Electronic Version To NETL> Electronic Version To NETL> Electronic Version To NETL>	FITS@NETL.DOE.GOV http://www.osti.gov/elink-2413 http://www.osti.gov/elink-2413 http://www.osti.gov/estsc/241-4pre.jsp FITS@NETL.DOE.GOV FITS@NETL.DOE.GOV FITS@NETL.DOE.GOV
Report/Product	Form												
<input checked="" type="checkbox"/> Final Scientific/Technical Report	DOE F 241.3												
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<input type="checkbox"/> Software/Manual	DOE F 241.4												
<input checked="" type="checkbox"/> Other (see special instructions) Topical	DOE F 241.3												
FREQUENCY CODES AND DUE DATES: A - As required; see attached text for applicability. FG - Final; within ninety (90) calendar days after the project period ends. FC - Final - End of Effort. Q - Quarterly; within thirty (30) calendar days after end of the calendar quarter or portion thereof. S - Semiannually; within thirty (30) calendar days after end of project year and project half-year. YF - Yearly; 90 calendar days after the end of project year. YP - Yearly Property - due 15 days after period ending 9/30.													
5. SPECIAL INSTRUCTIONS: <ul style="list-style-type: none"> • The forms identified in the checklist are available at DOE Financial Assistance Forms Page. Alternate formats are acceptable provided the contents remain consistent with the form. • See Federal Assistance Reporting Instructions on the following page. 													

THE FOLLOWING CLAUSES CORRESPOND WITH THE REPORTS INDICATED IN THE CHECKLIST AND WILL BE INCLUDED IF REQUIRED UNDER THE AWARD. THE CONTRACT SPECIALIST SHOULD REMOVE THE CLAUSES BELOW THAT ARE NOT REQUIRED.

Federal Assistance Reporting Instructions (6/06)

The Recipient must prepare and submit all scientific/technical reports (including conference papers/proceedings, journal articles, software, and topical reports, if applicable) via E-link at <http://www.osti.gov/elink-2413> [see specific instructions below regarding form submittal and format]. If you have any technical problems with using E-Link or DOE Form 241.3, calls should be directed to OSTI at 865-576-1223. However, if your question is related to other submission issues, you should contact the award administrator identified under block 12 of the DOE F 4600.1 Notice of Financial Assistance Award face page.

For all other reports indicated on the “Federal Assistance Reporting Checklist” (including management, financial, closeout and other reporting), the Recipient must prepare and submit these via the internet at FITS@NETL.DOE.GOV .

Successful completion of this award is contingent upon submittal of the reports or items specified on the “Federal Assistance Reporting Checklist” in accordance with the following instructions:

Failure to follow these instructions can delay data entry of the report(s) into the **NETL FEDERAL INFORMATION TRACKING SYSTEM (FITS)** and result in the report being lost or considered delinquent.

The level of detail the Recipient provides in the reports must be commensurate with the scope and complexity of the effort and must be as delineated in the guidelines and instructions contained herein. The prime Recipient must be responsible for acquiring data from any contractors or sub recipients and ensuring that any information submitted is compatible with the requirements of the DOE.

GUIDELINES FOR ELECTRONIC SUBMISSION AND FILE FORMAT OF NON-SCIENTIFIC/TECHNICAL REPORTS (includes management, financial, closeout and other reporting).

Production of high quality, electronic documents is dependent on the quality of the input that is provided. Thus, the Recipient must submit an electronic version of each report.

ELECTRONIC REPORTS MUST BE SUBMITTED IN THE ADOBE ACROBAT PORTABLE DOCUMENT FORMAT (PDF). ELECTRONIC REPORTS SUBMITTED IN A FORMAT OTHER THAN ADOBE WILL BE RETURNED AND THE REPORT CONSIDERED DELINQUENT. IN ADDITION, THERE CAN BE NO RESTRICTIONS ON THE PDF FILE SUBMITTED THAT WOULD AFFECT OUR ABILITY TO OPEN OR EDIT THE REPORT DOCUMENT. THEREFORE, THE ONLY SECURITY METHOD THAT WILL BE ACCEPTED IS THE ADOBE ACROBAT “NO SECURITY” OPTION. THIS WILL ENABLE US TO PROPERLY INDEX AND PROCESS REPORT FILES.

Each report must be one integrated file that contains all text, tables, diagrams, photographs, schematics, graphs, and charts. Files must not be write-protected or encrypted in any manner.

The electronic file(s) must be submitted via the Internet at: FITS@NETL.DOE.GOV. An e-mail message sent in conjunction with the file **must** contain the following information:

DOE Award Number
Type of Report(s)
Frequency of Report(s)
Reporting Period (if applicable)
Name of submitting organization
Name, phone number, and fax number of preparer

A. **MANAGEMENT REPORTING (See Guidelines for Electronic Submission and File Format of Non-Scientific/Technical Reports)**

PROGRESS REPORT

The Progress Report must provide a concise narrative assessment of the status of work and include the following information:

1. The DOE award number and name of the recipient.
2. The project title and name of the project director/principal investigator.
3. Date of report and period covered by the report.
4. Executive Summary- A well organized summary that highlights the important accomplishments and new knowledge realized from the project during the reporting period. It should be no less than one page and no more than two pages in length, and should be single spaced. This summary must be more comprehensive than the traditional “abstract” and identify noteworthy advancements in research, design, manufacture, or commercialization of technology developments. Also, summarize important breakthroughs that resolve critical science and technology risks or development barriers.
5. Results of work during reporting period- A detailed discussion of the progress performance. The format will be determined by the DOE Project Officer. (This section should not contain any proprietary or classified data, or other information not subject to public release. If such information is important to reporting progress, **do not** include the information in this electronic report. Such information **MUST** be submitted in a separate hard-copy appendix to this report as explained under the **Supplemental Guidelines** below).

A suggested format is:

Approach - this should describe, or reference all experimental, analytical and fabrication methods being used for the research and development efforts. It should also provide detail about materials and equipment being used. Standard methods can be referenced to the appropriate literature, where details can be obtained. Equipment should be described only if it is not standard, or if information is not available through the literature or other reference publications.

Results and Discussion - It is extremely important that this section includes enough relevant data, especially statistical data, to allow the project manager to justify the conclusions. With the relevant data, explain how the data was interpreted and how it relates to the original purpose of the research. Be concise in the discussion on how this research effort solved or contributed to solving the original problem. When investigation

methods and/or procedures are being utilized for the first time, they must be described in detail. This description must contain detailed information on equipment and procedures utilized, as well as providing a rationale for their use and the accuracy of the method.

Conclusion - The conclusion should not simply reiterate what was already included in the “Results and Discussion” section. It should, however, summarize what has already been presented, and include any logical implications of how the successes are relevant to technology development in the future. This is extremely important, since “relevancy” continues to be a criterion of the program.

6. This section should not contain any trade secrets, business sensitive or classified data, or other information not subject to public release. (This section should not contain any proprietary or classified data, or other information not subject to public release. If such information is important to reporting progress, **do not** include the information in this electronic report. Such information **MUST** be submitted in a separate hard-copy appendix to this report as explained under the **Supplemental Guidelines** below.

7. **STATUS REPORTING:**

The following two sections of the Progress Report are to monitor uncOSTed obligations and project schedule/performance.

COST STATUS

The Cost Status reports the actual cost status of the award when compared with the original **Baseline Cost Plan** (i.e., the “Forecasted Cash Needs” originally provided on the SF-424A, Section D).

The suggested format for the **Cost Plan/Status** follows:

COST PLAN/STATUS

Baseline Reporting Quarter	YEAR 1 Start:			YEAR 2 Start:			YEAR 3 Start:					
	Q1 (From 424A, Sect. E)	Q2	End: Q3	Q4	Q5 (From 424A, Sect. E)	Q6	Q7	Q8	Q9	Q10	Q11	End: Q12
Baseline Cost Plan (From SF-424A)												
Federal Share												
Non-Federal Share												
Total Planned (Federal and Non-Federal)												
Cumulative Baseline Cost												
Actual Incurred Costs												
Federal Share												
Non-Federal Share												
Total Incurred Costs-Quarterly (Federal and Non-Federal)												
Cumulative Incurred Costs												
VARIANCE												
Federal Share												
Non-Federal Share												
Total Variance-Quarterly (Federal and Non-Federal)												
Cumulative Variance												

Notes:

The Baseline Cost Plan is the “Forecasted Cash Needs” provided on the original SF-424A, Section D for the current Budget Period (by Calendar Year Quarter) and will not be changed. If there are variances in the baseline, provide a brief analysis and recommendation.

Adjusting the baseline cost requires agreement of the DOE.

For Actual Incurred Costs, the recipient will insert the total amount of actual costs incurred for the quarterly period being reported, comprised of the DOE share and Recipient share.

The Variance is derived by subtracting the actual costs from the planned baseline costs, including an analysis explaining the variance.

MILESTONE STATUS

The **Milestone Status** measures changes in schedule or completion status of the originally anticipated (planned) critical path milestones (as set forth in the Milestone Plan under Attachment 3-SOPO) and their actual completion dates.

The **Milestone Plan/Status** will:

- (1) Identify a set of clearly stated critical path project milestones (as contained under Attachment 3, SOPO),
- (2) Clearly depict the actual progress achieved toward planned milestones,
- (3) Identify any individual critical path milestone that was not met during the reporting period, and
- (4) Include a summary statement of the rationale for not meeting the milestone, a future date (Budget Period, calendar year and quarter) when the milestone will be met, the impact to the project of missing the milestone (i.e., schedule slippage, cost growth, other), and a plan to get back on schedule.

A suggested format for the Milestone Plan/Status is provided below:

8. A summary of all of the significant accomplishments during this reporting period. An “accomplishment” is a significant development or finding that advances the state-of-the-art with respect to the technology of interest or significantly contributes to the understanding of a concept or technology.
9. Actual or anticipated problems or delays and actions taken or planned to resolve them. Identify any event causing a significant schedule slippage or cost growth; an environmental, safety, or health violation; or the achievement of or problems encountered for an important performance objective.
10. A description of any product produced or technology transfer activities accomplished during this reporting period. Identify and describe any activities to transfer research results or developed technology to other research stakeholders or users of the technology, such as:
 - a. Identify publications (list journal name, volume, issue); conference papers; or other public releases of results as required for submission under Conference Papers/Proceedings and Journal Articles below.
 - b. Website or other Internet sites that reflect the results of this project.
 - c. Networks or collaboration fostered.
 - d. Technologies/Techniques.
 - e. Inventions/Patent Applications.
 - f. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.

SPECIAL STATUS REPORT

The recipient must report the following events to the DOE Project Officer (identified in Block 11 of the Notice of Financial Assistance Award face page) by e-mail as soon as possible after they occur. The Special Status Report should document the incidents listed below:

1. Developments that have a significant favorable impact on the project.
2. Problems, delays, or adverse conditions which materially impair the recipient’s ability to meet the objectives of the award or which may require DOE to respond to questions relating to such events from the public. The recipient must report any of the following incidents and include the anticipated impact and remedial action to be taken to correct or resolve the problem/condition:
 - a. Any single fatality or injuries requiring hospitalization of five or more individuals.
 - b. Any significant environmental permit violation.

- c. Any verbal or written Notice of Violation of any Environmental, Safety, and Health statutes.
- d. Any incident which causes a significant process or hazard control system failure.
- e. Any event which is anticipated to cause a significant schedule slippage or cost increase.
- f. Any damage to Government-owned equipment in excess of \$50,000.
- g. Any other incident that has the potential for high visibility in the media.
- h. Any incident which causes a significant process or hazard control system failure, or is indicative of one which may lead to any of the above defined incidents, is to be reported as soon as possible, but within 5 days of discovery.

The e-mail correspondence should include:

- 1. Recipient's name and address;
- 2. Award title and number;
- 3. Date;
- 4. Brief statement of problem or event;
- 5. Anticipated impacts; and
- 6. Corrective action taken or recommended.

When an event results in the need to issue a written or verbal statement to the local media, the statement is to be cleared first; if possible, and coordinated with NETL Communications and Public Affairs Division, the DOE Project Officer and the Contracting Officer.

B. SCIENTIFIC/TECHNICAL REPORTING

Scientific/Technical Reporting includes: Final Scientific/Technical Report, Topical Reports, Conference Papers/Proceedings, Software, and Journal Articles.

GUIDELINES FOR ELECTRONIC SUBMISSION AND ORGANIZATION OF FINAL SCIENTIFIC/TECHNICAL AND TOPICAL REPORTS

Electronic Submission. The final scientific/technical report and topical reports must be submitted electronically via the DOE Energy Link System (E-Link) at <http://www.osti.gov/elink-2413>.

Electronic Format. REPORTS MUST BE SUBMITTED IN THE ADOBE PORTABLE DOCUMENT FORMAT (PDF) AND BE ONE INTEGRATED PDF FILE THAT CONTAINS ALL TEXT, TABLES, DIAGRAMS, PHOTOGRAPHS, SCHEMATIC, GRAPHS, AND CHARTS. ELECTRONIC REPORTS SUBMITTED IN A FORMAT OTHER THAN ADOBE WILL BE RETURNED AND THE REPORT CONSIDERED DELINQUENT. IN ADDITION, THERE CAN BE NO RESTRICTIONS ON THE PDF FILE SUBMITTED THAT WOULD AFFECT OUR ABILITY TO OPEN OR EDIT THE REPORT DOCUMENT. THEREFORE, THE ONLY SECURITY METHOD THAT WILL BE ACCEPTED IS THE ADOBE ACROBAT "NO SECURITY" OPTION. THIS WILL ENABLE US TO PROPERLY INDEX AND PROCESS REPORT FILES.

Materials, such as prints, videos, and books, that are essential to the report but cannot be submitted

electronically, should be sent to the DOE Award Administrator at the address listed in Block 12 of the Notice of Financial Assistance Award.

Submittal Form. The report must be accompanied by a completed electronic version of **DOE Form 241.3, “U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI).”** You can complete, upload, and submit the DOE F.241.3 online via E-Link. You are encouraged not to submit Protected EAct Information in these electronic technical reports. These technical reports must also not contain any Limited Rights Data (such as trade secret, proprietary or business sensitive information), classified information, information subject to export control classification, or other information not subject to release. Such information **must** be submitted in a separate hard-copy appendix to the electronic technical and topical reports as explained under **Supplemental Guidelines** below.

Organization. The following sections should be included (as appropriate) in the final scientific/technical report and topical reports in the sequence shown. Any section denoted by an asterisk is **required** in all final technical and topical reports.

TITLE PAGE* - The Title Page of the report itself must contain the following information in the following sequence:

Report Title
Type of Report (Final Scientific/Technical or Topical)
Reporting Period Start Date
Reporting Period End Date
Principal Author(s)
Date Report was Issued (Month [spelled out] and Year [4 digits])
DOE Award Number (e.g., DE-FG26-05NT12345) and if appropriate, task number
Name and Address of Submitting Organization (This section should also contain the name and address of significant subcontractors/sub-recipients participating in the production of the report.)

DISCLAIMER* -- **The Disclaimer must follow the title page, and must contain the following paragraph:**

“This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof.”

ABSTRACT* - should be a brief, concise summary of the report.

TABLE OF CONTENTS*

EXECUTIVE SUMMARY* - this should be a well organized summary that highlights the

important accomplishments of the research during the reporting period. It should be no less than one page and no more than two pages in length, and should be single spaced. This summary must be more comprehensive than the traditional “abstract.”

REPORT DETAILS - The body of the final scientific/technical or topical report should address topics such as the following:

Experimental methods: Describe, or reference all experimental methods being utilized. Also provide detail(s) about materials and equipment used. Standard methods should reference the appropriate literature, where details can be obtained. Equipment should be described only if it is not standard, or if information is not available thru the literature or other reference publications.

Results and discussions: This section should include enough relevant data, especially statistical data, to allow the project manager to justify the conclusions. Explain how the data was interpreted and how it relates to the original purpose of the research. Be concise in the discussion on how this research effort solved or contributed to solving the original problem.

Conclusion: The conclusion should not simply reiterate what was already included in “Results and Discussion” but should summarize what has already been presented, and include any logical implications of how the successes are relevant to technology development in the future. This is extremely important, since “relevancy” continues to be a criterion of the program.

GRAPHICAL MATERIALS LIST(S)

REFERENCES

BIBLIOGRAPHY

LIST OF ACRONYMS AND ABBREVIATIONS

APPENDICES (IF NECESSARY)

SUPPLEMENTAL GUIDELINES

NETL cannot release technical reports that include Limited Rights Data (such as trade secret, proprietary or business sensitive information). Thus, if such information is important to technical reporting requirements, it **must** be submitted in a separate appendix to the electronic technical report. This appendix **MUST NOT** be submitted in an electronic format but rather submitted separately in **TWO GOOD QUALITY PAPER COPIES** when the electronic version of the sanitized technical report is submitted. The appendix must not be referenced in or incorporated into the sanitized technical report deliverable under the award. The appendix must be appropriately marked and identified. Only the legend provided in the Rights in Data clause in this award may be placed on the appendix. The appendix must be sent to:

**NETL AAD DOCUMENT CONTROL
BUILDING 921
U.S. DEPARTMENT OF ENERGY
NATIONAL ENERGY TECHNOLOGY LABORATORY
P.O. BOX 10940
PITTSBURGH, PA 15236-0940**

Further, if this award authorizes the recipient under the provisions of The Energy Policy Act of

1992 (EPAAct) to request protection from public disclosure for a limited period of time of certain information developed under this award, the main body of electronic technical reports **MUST NOT** contain such Protected Information. **TWO GOOD QUALITY PAPER COPIES** of such information must be submitted to the address above in a separate appendix to the sanitized electronic version of the technical report. The appendix must not be referenced in or incorporated into, the sanitized technical report deliverable under the award. In accordance with the clause titled "Rights in Data-Programs Covered Under Special Data Statutes," the appendix must be appropriately marked, including the date when the period of protection for the data ends. The EPAAct appendix must be appropriately identified with the recipient's name, award number, type of report (final or topical), and reporting period start and end dates.

Company Names and Logos -- Except as indicated above, company names, logos, or similar material should not be incorporated into reports.

Copyrighted Material -- Copyrighted material should not be submitted as part of a report unless written authorization to use such material is received from the copyright owner and is submitted to DOE with the report.

Measurement Units -- All reports to be delivered under this instrument must use the SI Metric System of Units as the primary units of measure. When reporting units in all reports, primary SI units must be followed by their U.S. Customary Equivalents in parentheses (). **The Recipient must insert the text of this clause, including this paragraph, in all subcontracts under this award.** Note: SI is an abbreviation for "Le Systeme International d'Unites."

FINAL SCIENTIFIC/TECHNICAL REPORT

The Final Scientific/Technical Report must document and summarize all work performed during the award period in a comprehensive manner. It must also present findings and/or conclusions produced as a consequence of this work. This report must not merely be a compilation of information contained in other reports, but must present that information in an integrated fashion, and shall be augmented with findings and conclusions drawn from the research as a whole.

CONFERENCE PAPERS/PROCEEDINGS AND JOURNAL ARTICLES

Content. The recipient must submit a copy of any conference papers/proceedings, with the following information: (1) Name of conference; (2) Location of conference (city, state, and country); (3) Date of conference (month/day/year); and (4) Conference sponsor.

INCLUDE IF THE AWARD IS TO A LARGE BUSINESS ORGANIZATION.

CONFERENCE PAPERS, PROCEEDINGS, AND JOURNAL ARTICLES GENERATED BY LARGE BUSINESSES

The Recipient must submit to DOE for review and approval all documents generated by the Recipient, or any subcontractor, that is not an educational institution, which communicate the results of scientific or technical work supported by DOE under this award, whether or not specifically identified in the award, prior to submission for publication, announcement, or presentation. Such documents include conference papers, proceedings, and journal articles. The Recipient must submit to DOE for review and comment all documents generated by any subcontractor that is an educational institution. Such documents include conference papers, proceedings, and journal articles. Upon completion of review, the DOE Project Officer will notify the Recipient of approval or recommended changes.

INCLUDE IF THE AWARD IS TO A SMALL BUSINESS OR NON-PROFIT ORGANIZATION.

CONFERENCE PAPERS, PROCEEDINGS, AND JOURNAL ARTICLES, GENERATED BY A SMALL BUSINESS OR NONPROFIT ORGANIZATION

The Recipient must submit to DOE for review and approval all documents generated by the Recipient, or any subcontractor, that is not an educational institution, which communicate the results of scientific or technical work supported by DOE under this award, whether or not specifically identified in the award, prior to submission for publication, announcement, or presentation. The Recipient must submit to DOE for review and comment all documents generated by any subcontractor that is an educational institution. Such documents include conference papers, proceedings, and journal articles. Upon completion of review, the DOE Project Officer will notify the Recipient of approval or recommended changes.

INCLUDE IF THE AWARD IS TO A UNIVERSITY OR EDUCATIONAL INSTITUTION.

CONFERENCE PAPERS, PROCEEDINGS, AND JOURNAL ARTICLES, GENERATED BY A UNIVERSITY

The Recipient must submit to DOE for review and comment all documents generated by the Recipient, or any subcontractor, that is an educational institution, which communicate the results of scientific or technical work supported by DOE under this award, whether or not specifically identified in the award, prior to submission for publication, announcement, or presentation. The Recipient must submit to DOE for review and approval all documents generated by any subcontractor that is not an educational institution. Such documents include conference papers, proceedings, and journal articles. Upon completion of review, the DOE Project Officer will notify the Recipient of recommended changes.

Electronic Submission. Scientific/technical conference paper/proceedings must be submitted electronically-via the DOE Energy Link System (E-Link) at <http://www.osti.gov/mlink-2413>. Non-scientific/technical conference papers/proceedings must be sent to the NETL Intranet address at: FITS@NETL.DOE.GOV.

Electronic Format. Conference papers/proceedings must be submitted in the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts.

Submittal Form. Scientific/technical conference papers/proceedings must be accompanied by a completed DOE Form 241.3. The form and instructions are available on E-Link at <http://www.osti.gov/mlink-2413>. This form is not required for non-scientific or non-technical conference papers or proceedings.

INCLUDE IF SOFTWARE IS TO BE DELIVERED.

SOFTWARE/MANUAL

Content. Unless otherwise specified in the award, the following must be delivered: source code, the executable object code and the minimum support documentation needed by a competent user to understand and use the software and to be able to modify the software in subsequent development efforts.

Electronic Submission. Submissions may be submitted electronically-via the DOE Energy Link System

(E-Link) at <http://www.osti.gov/estsc/241-4pre.jsp>. They may also be submitted via regular mail to:

Energy Science and Technology Software Center
P.O. Box 1020
Oak Ridge, TN 37831

Submittal Form. Each software deliverable and its manual must be accompanied by a completed DOE Form 241.4 “Announcement of U.S. Department of Energy Computer Software.” The form and instructions are available on E-Link at <http://www.osti.gov/estsc/241-4pre.jsp>.

TOPICAL REPORTS

Topical reports are intended to provide a comprehensive statement of the technical results of the work performed for a specific task or subtask of the Statement of Project Objectives, or detail significant new scientific or technical advances. The topical report format should follow the guidelines set forth above for technical reporting.

C. FINANCIAL REPORTING

Recipients must complete the financial reports identified on the Reporting Checklist in accordance with the report instructions. These standard forms are available at <http://www.whitehouse.gov/omb/grants/index.html>. Fillable forms are available at <http://grants.pr.doe.gov>.

D. CLOSEOUT REPORTING

FINAL INVENTION AND PATENT REPORT

The recipient must provide a DOE Form 2050.11, “PATENT CERTIFICATION.” This form is available at <http://www.directives.doe.gov/pdfs/forms/2050-11.pdf> and <http://grants.pr.doe.gov>.

PROPERTY CERTIFICATION

The recipient must provide the Property Certification, including the required inventories of non-exempt property located at [DOE Financial Assistance Forms Page](#).

E. OTHER REPORTING

ANNUAL INDIRECT COST PROPOSAL AND RECONCILIATION

Requirement. In accordance with the applicable cost principles, the recipient must submit an annual indirect cost proposal, reconciled to its financial statements, within six months after the close of the fiscal year, unless the award is based on a predetermined or fixed indirect rate(s), or a fixed amount for indirect or facilities and administration (F&A) costs.

Cognizant Agency. The recipient must submit its annual indirect cost proposal directly to the cognizant agency for negotiating and approving indirect costs. If the DOE awarding office is the cognizant agency, submit the annual indirect cost proposal to the address on the Reporting Requirements Checklist.

ANNUAL INVENTORY OF FEDERALLY OWNED PROPERTY

Requirement. If at any time during the award the recipient is provided Government-furnished property or acquires property with project funds and the award specifies that the property vests in the Federal Government (i.e. federally owned property), the recipient must submit an annual inventory of this property no later than October 30th of each calendar year, to cover an annual reporting period ending on the preceding September 30th.

Content of Inventory. The inventory must include a description of the property, tag number, acquisition date, location of property, and acquisition cost, if purchased with project funds. The report must list all federally owned property, including property located at subcontractor's facilities or other locations.