DOE F 4600.2
(05/12)
All Other Editions Are Obsolete

U.S. Department of Energy
FEDERAL ASSISTANCE REPORTING CHECKLIST AND INSTRUCTIONS FOR RD&D PROJECTS

1. Identification Number:	2. Program/Project Title:
3. Recipient:	

4. Reporting Requirements:	Frequency	Addressees
A. MANAGEMENT REPORTING		
☐ Research Performance Progress Report (RPPR)	Q	FITS@NETL.DOE.GOV
☐ Special Status Report	A	FITS@NETL.DOE.GOV
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/index.jsp)		
Report/Product — Form		
☐ Final Scientific/Technical Report — DOE F 241.3	FG	http://www.osti.gov/elink-2413
☐ Conference papers/proceedings* — DOE F 241.3	A	http://www.osti.gov/elink-2413
☐ Software/Manual — DOE F 241.4		http://www.osti.gov/estsc/241-4pre.jsp
☐ Other (see special instructions) — DOE F 241.3	A	http://www.osti.gov/elink-2413
** Scientific and technical conferences only*		
C. FINANCIAL REPORTING		
☐ SF-425 Federal Financial Report	Q, FG	FITS@NETL.DOE.GOV
D. CLOSEOUT REPORTING		
☐ Patent Certification	FC	FITS@NETL.DOE.GOV
☐ SF-428 & 428B Final Property Report	FC	FITS@NETL.DOE.GOV
☐ Other		FITS@NETL.DOE.GOV
E. OTHER REPORTING		
☐ Annual Indirect Cost Proposal	O	See block 5 below for instructions.
☐ Audit of For-Profit Recipients	O/Y180	See block 5 below for addresses
☐ SF-428 Tangible Personal Property Report Forms Family		FITS@NETL.DOE.GOV
☐ Other		FITS@NETL.DOE.GOV

FREQUENCY CODES AND DUE DATES:

A - Within 5 calendar days after events or as specified.
FG- Final; 90 calendar days after the project period ends.
FC- Final; End of Effort.
Y - Yearly; 90 calendar days after the end of the reporting period.
S - Semiannually; within 30 calendar days after end of project year and project half-year.
Q - Quarterly; within 30 days after end of the reporting period.
Y180 – Yearly; 180 days after the end of the recipient's fiscal year
O - Other; See instructions for further details.

5. Special Instructions:

Annual Indirect Cost Proposal – If DOE is the Cognizant Federal Agency, then the proposal should be sent to FITS@NETL.DOE.GOV . Otherwise, it should be sent to the Cognizant Federal Agency.

Audit of For-Profit Recipients must be sent to 2 different addresses in accordance with the final audit guidance. A copy for the Contracting Officer shall be submitted via FITS@NETL.DOE.GOV ; a copy must also be e-mailed to the CFO at DOE-Audit-Submission@hq.doe.gov .

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 – RDD (5/12)

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

ELECTRONIC REPORTS MUST BE SUBMITTED IN THE ADOBE ACROBAT PORTABLE DOCUMENT FORMAT (PDF) AND BE ONE INTEGRATED PDF FILE THAT CONTAINS ALL TEXT, TABLES, DIAGRAMS, PHOTOGRAPHS, SCHEMATIC, GRAPHS, AND CHARTS. MATERIALS, SUCH AS PRINTS, VIDEOS, AND BOOKS, THAT ARE ESSENTIAL TO THE REPORT BUT CANNOT BE SUBMITTED ELECTRONICALLY, SHOULD BE SENT TO THE DOE ADMINISTRATOR AT THE ADDRESS LISTED IN BLOCK 16 OF THE ASSISTANCE AGREEMENT COVER PAGE. 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.

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)

Research Performance Progress Report (RPPR)

See attached document entitled "Research Performance Progress Report."

Special Status Report

The recipient must report the following events to the DOE Project Manager (identified in Block 15 of the Notice of Assistance Agreement Cover Page) by e-mail as soon as possible after they occur:

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.

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 Office of Public Affairs, the DOE Project Manager and the Contracting Officer.

B. SCIENTIFIC/TECHNICAL REPORTS

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 16 of the Assistance Agreement Cover Page.

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 EPAct 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:

> **<u>Experimental methods:</u>** 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.
>
> **<u>Results and discussions:</u>** 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.
>
> **<u>Conclusion</u>**: 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)

<u>SUPPLEMENTAL GUIDELINES</u>

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 **<u>must</u>** be submitted in a separate appendix to the electronic technical report. This appendix **<u>MUST NOT</u>** be submitted in an electronic format but rather submitted separately in **<u>TWO GOOD QUALITY PAPER COPIES</u>** 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 (EPAct) 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 **<u>MUST NOT</u>** contain such Protected Information. **<u>TWO GOOD QUALITY PAPER COPIES</u>** 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 EPAct 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/elink-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. . If the proceedings cannot be submitted electronically, they should be sent to the DOE Administrator at the address listed in Block 16 of the Assistance Agreement Cover Page.

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/elink-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.

PROTECTED PERSONALLY IDENTIFIABLE INFORMATION (PII) Management Reports or Scientific/Technical Reports must not contain any *Protected* PII. PII is any information about an individual which can be used to distinguish or trace an individual's identity. Some information that is considered to be PII is available in public sources such as telephone books, public websites, university listings, etc. This type of information is considered to be Public PII and includes, for example, first and last name, address, work telephone number, e-mail address, home telephone number, and general educational credentials. In contrast, *Protected* PII is defined as an individual's first name or first initial and last name in combination with any one or more of types of information, including, but not limited to, social security number, passport number, credit card numbers, clearances, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal, medical and financial records, educational transcripts, etc.

C. FINANCIAL REPORTING

Recipients must complete the SF-425 as identified on the Reporting Checklist in accordance with the report instructions. The SF425A is not authorized for reporting under this award. A fillable version of the SF 425 form is available at http://www.whitehouse.gov/omb/grants/grants_forms.aspx.

D. CLOSEOUT REPORTS

Final Invention and Patent Report

The recipient must provide a DOE Form 2050.11, "PATENT CERTIFICATION." This form is available at http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms under Reporting Forms.

Final Property Report

See Instructions under **SF-428 Tangible Personal Property Report Forms Family** below.

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 recipient's 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 Federal Agency for negotiating and approving indirect costs. If the DOE/NETL awarding office is the Cognizant Federal Agency, submit the annual indirect cost proposal to FITS@NETL.DOE.GOV.

Audit of For-Profit Recipients

As required by 10 CFR 600.316, as supplemented by For-Profit Audit Guidance Parts I through IV, audits must be performed of For-Profit Recipients of financial assistance.

For-Profit Audit Guidance Parts I through IV to assist for-profit recipients in complying with the audit requirements of 10 CFR 600.316 are posted on the Financial Assistance Forms page of the MA home page under the 'Coverage of Independent Audits' subheading, http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms.

Submission: The compliance audit report(s) is due to DOE within six months of the recipient's fiscal year-end date. The compliance audit report must be submitted, along with audited financial statements (if applicable), to the appropriate DOE Contracting Officer at FITS@NETL.DOE.GOV as well as to the DOE Office of the Chief Financial Officer at DOE-Audit-Submission@hq.doe.gov.

SF-428 Tangible Personal Property Report Forms Family

Requirement. The SF-428 is a forms family consisting of 5 forms: the SF-428, SF-428-A, SF-428-B, SF-428-C and SF-428S. Fillable versions of the SF-428 forms are available at http://www.whitehouse.gov/omb/grants/grants_forms.aspx.

- The SF-428 is the cover page and the submitter attaches the appropriate form or forms as listed on the SF-428.
- The SF-428A is the Annual report, due Oct 30th of each calendar year.
- The SF-428B is the Final Award Closeout Report, due at award completion.
- The SF-428C is the Disposition Report/Request.
- The SF-428S is the supplemental form for the SF-428-A, SF-428-B, and SF-428-C.

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 to the DOE Administrator using the SF-428 and SF-428-A forms at the address on page 1 of this checklist no later than October 30th of each calendar year, to cover an annual reporting period ending on the preceding September 30th. The SF-428 and SF-428-B reports are required during closeout.

Content of Inventory. As required on the SF-428-A form, the inventory must include a description of the property, tag number, acquisition date, and acquisition cost, if purchased with project funds. The location of property should be listed under the Comments section. The report must list all federally owned property, including property located at subcontractor's facilities or other locations.

RESEARCH PERFORMANCE PROGRESS REPORT

Standard Cover Page Data Elements and Reporting Categories

The standard cover page data elements shown below, as well as mandatory and optional components comprise the complete research performance progress report format.

Each category in the RPPR is a separate reporting component. Each component is marked to indicate if it is optional or mandatory. Mandatory components must be addressed in each report, optional are at your discretion.

If you have nothing significant to report during the reporting period on a question or item, state "Nothing to Report."

1. <u>COVER PAGE DATA ELEMENTS</u>: Mandatory

- Federal Agency and Organization Element to Which Report is Submitted
- Federal Grant or Other Identifying Number Assigned by Agency
- Project Title
- PD/PI Name, Title and Contact Information (e-mail address and phone number)
- Name of Submitting Official, Title, and Contact Information (e-mail address and phone number), if other than PD/PI
- Submission Date
- DUNS Number
- Recipient Organization (Name and Address)
- Project/Grant Period (Start Date, End Date)
- Reporting Period End Date
- Report Term or Frequency (annual, semi-annual, quarterly, other)
- Signature of Submitting Official (electronic signatures (i.e., Adobe Acrobat) are acceptable)

2. <u>ACCOMPLISHMENTS</u>: Mandatory

What was done? What was learned?

The information provided in this section allows the agency to assess whether satisfactory progress has been made during the reporting period.

INSTRUCTIONS – Accomplishments

The PI is reminded that the grantee is required to obtain prior written approval from the Contracting Officer whenever there are significant changes in the project or its direction. Requests for prior written approval must be submitted to the Contracting Officer (submission via Fedconnect is acceptable).

- What are the major goals and objectives of the project?
- What was accomplished under these goals?

- What opportunities for training and professional development has the project provided?
- How have the results been disseminated to communities of interest?
- What do you plan to do during the next reporting period to accomplish the goals and objectives?

What are the major goals of the project?

List the major goals of the project as stated in the approved application or as approved by the agency. If the application lists milestones/target dates for important activities or phases of the project, identify these dates and show actual completion dates or the percentage of completion. Generally, the goals will not change from one reporting period to the next. However, if the awarding agency approved changes to the goals during the reporting period, list the revised goals and objectives. Also explain any significant changes in approach or methods from the agency approved application or plan.

A suggested format for the Milestone Status Report is included herein as Exhibit 1.

What was accomplished under these goals?

For this reporting period describe: 1) major activities; 2) specific objectives; 3) significant results, including major findings, developments, or conclusions (both positive and negative); and 4) key outcomes or other achievements. Include a discussion of stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

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

Describe opportunities for training and professional development provided to anyone who worked on the project or anyone who was involved in the activities supported by the project.

“Training” activities are those in which individuals with advanced professional skills and experience assist others in attaining greater proficiency. Training activities may include, for example, courses or one-on-one work with a mentor. “Professional development” activities result in increased knowledge or skill in one’s area of expertise and may include workshops, conferences, seminars, study groups, and individual study. Include participation in conferences, workshops, and seminars not listed under major activities.

How have the results been disseminated to communities of interest?

Describe how the results have been disseminated to communities of interest. Include any outreach activities that have been undertaken to reach members of communities who are not usually aware of these research activities, for the purpose of enhancing public understanding and increasing interest in learning and careers in science, technology, and the humanities.

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

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.

<u>3. PRODUCTS</u>: Mandatory

What has the project produced?

Publications are the characteristic product of research. Agencies evaluate what the publications demonstrate about the excellence and significance of the research and the efficacy with which the results are being communicated to colleagues, potential users, and the public, not the number of publications.

Many projects (though not all) develop significant products other than publications. Agencies assess and report both publications and other products to Congress, communities of interest, and the public.

INSTRUCTIONS - Products

List any products resulting from the project during the reporting period. Examples of products include:

- Publications, conference papers, and presentations;
- Website(s) or other Internet site(s);
- Technologies or techniques;
- Inventions, patent applications, and/or licenses; and
- Other products, such as data or databases, physical collections, audio or video products, software or NetWare, models, educational aids or curricula, instruments, or equipment
- Any other public release of information related to the project.

Publications, conference papers, and presentations

Report only the major publication(s) resulting from the work under this award. There is no restriction on the number. However, agencies are interested in only those publications that most reflect the work under this award in the following categories:

- **Journal publications.** List peer-reviewed articles or papers appearing in scientific, technical, or professional journals. Include any peer-reviewed publication in the periodically published proceedings of a scientific society, a conference, or the like. A publication in the proceedings of a one-time conference, not part of a series, should be reported under "Books or other non-periodical, one-time publications."

  Identify for each publication: Author(s); title; journal; volume: year; page numbers; status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support (yes/no).

- **Books or other non-periodical, one-time publications.** Report any book, monograph, dissertation, abstract, or the like published as or in a separate publication, rather than a periodical or series. Include any significant publication in the proceedings of a one-time conference or in the report of a one-time study, commission, or the like.

  Identify for each one-time publication: author(s); title; editor; title of collection, if applicable; bibliographic information; year; type of publication (book, thesis or dissertation, other); status of publication (published; accepted, awaiting publication; submitted, under review; other); acknowledgement of federal support (yes/no).

- **Other publications, conference papers and presentations**. Identify any other publications, conference papers and/or presentations not reported above. Specify the status of the publication as noted above.

Website(s) or other Internet site(s)

List the URL for any Internet site(s) that disseminates the results of the research activities. A short description of each site should be provided. It is not necessary to include the publications already specified above in this section.

Technologies or techniques

Identify technologies or techniques that have resulted from the research activities. Describe the technologies or techniques and how they are being shared.

Inventions, patent applications, and/or licenses

Identify inventions, patent applications with date, and/or licenses that have resulted from the research. Submission of this information as part of an interim research performance progress report is not a substitute for any other invention reporting required under the terms and conditions of an award.

Other products

Identify any other significant products that were developed under this project. Describe the product and how it is being shared. Examples of other products are:

- Databases;
- Physical collections;
- Audio or video products;
- Software or NetWare;
- Models;
- Educational aids or curricula;
- Instruments or equipment;
- Data & Research Material (e.g., cell lines, DNA probes, animal models); and
- Other.

<u>4. PARTICIPANTS & OTHER COLLABORATING ORGANIZATIONS:</u> Mandatory

Who has been involved?

Agencies need to know who has worked on the project to gauge and report performance in promoting partnerships and collaborations.

INSTRUCTIONS - Participants & Other Collaborating Organizations

Provide the following information on participants:

- What individuals have worked on the project?
- What other organizations have been involved as partners?
- Have other collaborators or contacts been involved?

What individuals have worked on the project?

Provide the following information for: (1) principal investigator(s)/project director(s) (PIs/PDs); and (2) each person who has worked at least one person month per year on the project during the reporting period, regardless of the source of compensation (a person month equals approximately 160 hours of effort).

- Provide the name and identify the role the person played in the project. Do NOT include any other identifying information on individuals. Indicate the nearest whole person month (Calendar, Academic, Summer) that the individual worked on the project. Show the most senior role in which the person has worked on the project for any significant length of time. For example, if an undergraduate student graduates, enters graduate school, and continues to work on the project, show that person as a graduate student, preferably explaining the change in involvement.

- Describe how this person contributed to the project and with what funding support. If information is unchanged from a previous submission, provide the name only and indicate "no change."

- Identify whether this person is collaborating internationally. Specifically is the person collaborating with an individual located in a foreign country and whether the person had traveled to the foreign country as part of that collaboration and duration of stay. The foreign country(ies) should be identified.

Example:

Name:	Mary Smith
Project Role:	Graduate Student
Nearest person month worked:	5
Contribution to Project:	Ms. Smith has performed work in the area of combined error-control and constrained coding.
Funding Support:	The Ford Foundation (Complete only if the funding provided from other than this award.)
Collaborated with individual in foreign country:	Yes
Country(ies) of foreign collaborator:	China
Travelled to foreign country:	Yes
If traveled to foreign country(ies), duration of stay:	5 months

What other organizations have been involved as partners?

Describe partner organizations – academic institutions, other nonprofits, industrial or commercial firms, state or local governments, schools or school systems, or other organizations (foreign or domestic) – that have been involved with the project. Partner organizations may provide financial or in-kind support, supply facilities or equipment, collaborate in the research, exchange personnel, or otherwise contribute.

Provide the following information for each partnership:

Organization Name:
Location of Organization: (if foreign location list country)
Partner's contribution to the project (identify one or more)

- Financial support;
- In-kind support (e.g., partner makes software, computers, equipment, etc., available to project staff);
- Facilities (e.g., project staff use the partner's facilities for project activities);
- Collaborative research (e.g., partner's staff work with project staff on the project); and
- Personnel exchanges (e.g., project staff and/or partner's staff use each other's facilities, work at each other's site).

More detail on partner and contribution (foreign or domestic).

Have other collaborators or contacts been involved?

Some significant collaborators or contacts within the recipient's organization may not be covered by "What people have worked on the project?" Likewise, some significant collaborators or contacts outside the recipient's organization may not be covered under "What other organizations have been involved as partners?" For example, describe any significant:

- collaborations with others within the recipient's organization; especially interdepartmental or interdisciplinary collaborations;
- collaborations or contact with others outside the organization; and
- collaborations or contacts with others outside the United States or with an international organization.
- country(ies) of collaborations or contacts.

It is likely that many recipients will have no other collaborators or contacts to report.

5. IMPACT: Mandatory

What is the impact of the project? How has it contributed?

Over the years, this base of knowledge, techniques, people, and infrastructure is drawn upon again and again for application to commercial technology and the economy, to health and safety, to cost-efficient environmental protection, to the solution of social problems, to numerous other aspects of the public welfare, and to other fields of endeavor.

The taxpaying public and its representatives deserve a periodic assessment to show them how the investments they make benefit the nation. Through this reporting format, and especially this section, recipients provide that assessment and make the case for Federal funding of research and education.

Agencies use this information to assess how their research programs:

- increase the body of knowledge and techniques;
- enlarge the pool of people trained to develop that knowledge and techniques or put it to use; and
- improve the physical, institutional, and information resources that enable those people to get their training and perform their functions.

INSTRUCTIONS – Impact

This component will be used to describe ways in which the work, findings, and specific products of the project have had an impact during this reporting period. Describe distinctive contributions, major accomplishments, innovations, successes, or any change in practice or behavior that has come about as a result of the project relative to:

- the development of the principal discipline(s) of the project;
- other disciplines;
- the development of human resources;
- physical, institutional, and information resources that form infrastructure;
- technology transfer (include transfer of results to entities in government or industry, adoption of new practices, or instances where research has led to the initiation of a startup company); or
- society beyond science and technology.

What is the impact on the development of the principal discipline(s) of the project?

Describe how findings, results, techniques that were developed or extended, or other products from the project made an impact or are likely to make an impact on the base of knowledge, theory, and research and/or pedagogical methods in the principal disciplinary field(s) of the project. Summarize using language that an intelligent lay audience can understand (*Scientific American* style).

How the field or discipline is defined is not as important as covering the impact the work has had on knowledge and technique. Make the best distinction possible, for example, by using a "field" or "discipline," if appropriate, that corresponds with a single academic department (i.e., physics rather than nuclear physics).

What is the impact on other disciplines?

Describe how the findings, results, or techniques that were developed or improved, or other products from the project made an impact or are likely to make an impact on other disciplines.

What is the impact on the development of human resources?

Describe how the project made an impact or is likely to make an impact on human resource development in science, engineering, and technology. For example, how has the project:

- provided opportunities for research and teaching in the relevant fields;
- improved the performance, skills, or attitudes of members of underrepresented groups that will improve their access to or retention in research, teaching, or other related professions;
- developed and disseminated new educational materials or provided scholarships; or
- provided exposure to science and technology for practitioners, teachers, young people, or other members of the public?

What is the impact on physical, institutional, and information resources that form infrastructure?

Describe ways, if any, in which the project made an impact, or is likely to make an impact, on physical, institutional, and information resources that form infrastructure, including:

- physical resources such as facilities, laboratories, or instruments;
- institutional resources (such as establishment or sustenance of societies or organizations); or
- information resources, electronic means for accessing such resources or for scientific communication, or the like.

What is the impact on technology transfer?

Describe ways in which the project made an impact, or is likely to make an impact, on commercial technology or public use, including:

- transfer of results to entities in government or industry;
- instances where the research has led to the initiation of a start-up company; or
- adoption of new practices.

What is the impact on society beyond science and technology?

Describe how results from the project made an impact, or are likely to make an impact, beyond the bounds of science, engineering, and the academic world on areas such as:

- improving public knowledge, attitudes, skills, and abilities;
- changing behavior, practices, decision making, policies (including regulatory policies), or social actions; or
- improving social, economic, civic, or environmental conditions.

What dollar amount of the award's budget is being spent in foreign country(ies)?

Describe what percentage of the award's budget is being spent in foreign country(ies). If more that one foreign country identify the distribution between the foreign countries.

<u>6. CHANGES/PROBLEMS:</u> Mandatory

The PI is reminded that the grantee is required to obtain prior written approval from the Contracting Officer whenever there are significant changes in the project or its direction. Requests for prior written approval must be submitted to the Contracting Officer (submission via Fedconnect is acceptable). If not previously reported in writing, provide the following additional information, if applicable:

- Changes in approach and reasons for change.
- Actual or anticipated problems or delays and actions or plans to resolve them.
- Changes that have a significant impact on expenditures.
- Significant changes in use or care of animals, human subjects, and/or biohazards.

INSTRUCTIONS - Changes/Problems

Changes in approach and reasons for change

Describe any changes in approach during the reporting period and reasons for these changes. Remember that significant changes in objectives and scope require prior approval of the agency.

Actual or anticipated problems or delays and actions or plans to resolve them

Describe problems or delays encountered during the reporting period and actions or plans to resolve them.

Changes that have a significant impact on expenditures

Describe changes during the reporting period that may have a significant impact on expenditures, for example, delays in hiring staff or favorable developments that enable meeting objectives at less cost than anticipated.

Significant changes in use or care of human subjects, vertebrate animals, and/or Biohazards

Describe significant deviations, unexpected outcomes, or changes in approved protocols for the use or care of human subjects, vertebrate animals, and/or biohazards during the reporting period. If required, were these changes approved by the applicable institution committee and reported to the agency? Also specify the applicable Institutional Review Board/Institutional Animal Care and Use Committee approval dates.

Change of primary performance site location from that originally proposed

Identify any change to the primary performance site location identified in the proposal, as originally submitted.

7. SPECIAL REPORTING REQUIREMENTS: [Optional/Mandatory]

Respond to any special reporting requirements specified in the award terms and conditions, as well as any award specific reporting requirements.

[*Specialists: Insert additional award reporting here. Note: If adding mandatory requirements, change to Mandatory, above*]

8. BUDGETARY INFORMATION: Mandatory

This component will be used to collect budgetary data from the recipient organization. The information will be used in conducting periodic administrative/budgetary reviews. Budgetary data should be submitted in an Excel spreadsheet format.

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 and as set forth in the Project Management Plan (PMP) submitted with the Application and revised with Task 1.0 of the Statement of Project Objectives (SOPO).

A suggested format for the Cost Status Report is included herein as Exhibit 2.

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 costs requires agreement of the DOE.

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

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

Milestone Status Report

Milestone Title/Description	Planned Completion Date	Actual Completion Date	Verification Method	Comments (progress toward achieving milestone, explanation of deviation from plan, etc.)

EXHIBIT 1 – MILESTONE STATUS REPORT

EXHIBIT 2- COST PLAN

EXHIBIT 2 - COST PLAN/STATUS

Baseline Reporting Quarter	Budget Period 1								Budget Period 2								Budget Period 3							
	Q1		Q2		Q3		Q4		Q1		Q2		Q3		Q4		Q1		Q2		Q3		Q4	
	Enter date range, e.g., 01/01/11 - 03/31/11																							
	Q1	Cumulative Total	Q2	Cumulative Total	Q3	Cumulative Total	Q4	Cumulative Total	Q1	Cumulative Total	Q2	Cumulative Total	Q3	Cumulative Total	Q4	Cumulative Total	Q1	Cumulative Total	Q2	Cumulative Total	Q3	Cumulative Total	Q4	Cumulative Total
Baseline Cost Plan																								
Federal Share																								
Non-Federal Share																								
Total Planned																								
Actual Incurred Cost																								
Federal Share																								
Non-Federal Share																								
Total Incurred Costs																								
Variance																								
Federal Share																								
Non-Federal Share																								
Total Variance																								