SAMPLE REPORTING REQUIREMENTS (OFFICE OF ELECTRICITY AWARDS)

DOE F 4600.2
(NETL 09/2018)
All Other Editions Are Obsolete

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

ATTACHMENT 3

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

4. Reporting Requirements: (See attached Federal Assistance Reporting Instructions for additional guidance)		Frequency	Addressees* *See attached Federal Assistance Reporting Instructions for complete submission instructions.
A. MANAGEMENT REPORTING			
☒ Progress Report		Q	https://www.eere-pmc.energy.gov/SubmitReports.aspx
☒ Special Status Report		A	https://www.eere-pmc.energy.gov/SubmitReports.aspx
B. SCIENTIFIC/TECHNICAL REPORTING			
(Dissemination of results is required for RD&D projects. Reports & other S&T publications/products must be submitted using the appropriate DOE Announcement Notice (AN) located at: https://www.osti.gov/elink)			
Product	Announcement Notice (AN)		
☒ Scientific and Technical Reporting Products			
☒ Accepted Manuscript of Journal Article	DOE AN 241.3	A	https://www.osti.gov/elink/2413-submission.jsp
☒ Scientific/Technical Conference Paper/Presentation or Proceedings	DOE AN 241.3	A	https://www.osti.gov/elink/2413-submission.jsp
☒ Scientific/Technical Software & Manual	DOE AN 241.4	A	https://www.osti.gov/elink/241-4.jsp
☒ Scientific/Technical Datasets	DOE AN 241.6	A	https://www.osti.gov/elink/2416-submission.jsp
☒ Other STI (e.g., dissertation/thesis, see instructions)	DOE AN 241.3	A	https://www.osti.gov/elink/2413-submission.jsp
☒ Final Scientific/Technical Report	DOE AN 241.3	F	https://www.osti.gov/elink/2413-submission.jsp
C. FINANCIAL REPORTING			
☒ SF-425 Federal Financial Report		Q, F	https://www.eere-pmc.energy.gov/SubmitReports.aspx
D. CLOSEOUT REPORTING			
☒ Invention Certification (Patent Certification - DOE F 2050.11)		F	https://www.eere-pmc.energy.gov/SubmitReports.aspx
☒ SF-428 & 428B Final Property Report		F	https://www.eere-pmc.energy.gov/SubmitReports.aspx
☐ Other (see special instructions)			https://www.eere-pmc.energy.gov/SubmitReports.aspx
E. OTHER REPORTING			
☒ Annual Incurred Cost Proposal	(Generally required if an applicant proposes fringe benefit or indirect rates.)	O, Y180	See block 5 below for special instructions.
☒ Audit of For-Profit Recipients	(Required for For-Profit Recipients if the audit threshold is met under the award. See applicable instructions below.)	O	See block 5 below for special instructions.
☒ SF-428 Tangible Personal Property Report Forms Family		A	https://www.eere-pmc.energy.gov/SubmitReports.aspx
☒ Subject Invention Reporting		A	https://www.iEdison.gov
☒ Invention Utilization Report		A	https://www.iEdison.gov
☒ Federal Subaward Reporting System		A	https://www.fsrs.gov
☒ Uniform Commercial Code (UCC) Financing Statements		O	See block 5 below for special instructions.
☒ Other (see special instructions)		O	See block 5 below for special instructions.

FREQUENCY CODES AND DUE DATES:

A - Within 5 calendar days after the event or as specified.

F - Final; 90 calendar days after the period of performance ends or termination of the award.

Y - Yearly; 90 calendar days after the reporting period ends or termination of the award.

S - Semiannually; within 30 calendar days after end of the project year and project half-year.

Q - Quarterly; within 30 days after end of the reporting period. (March 31st, June 30th, September 30th, and December 31st)

Y180 – Yearly; 180 days after the end of the recipient's fiscal year

O - Other; See special instructions for further details.

5. Special Instructions:

E. Other Reporting:

Annual Incurred Cost Proposal:
If the DOE awarding office is the Cognizant Federal Agency responsible for negotiating and approving the Recipient's indirect costs, then the Annual Incurred Cost Proposal should be sent to https://www.eere-pmc.energy.gov/SubmitReports.aspx AND PricingGroup@netl.doe.gov. Otherwise, the proposal should be sent to the Cognizant Federal Agency with a courtesy copy to https://www.eere-pmc.energy.gov/SubmitReports.aspx. See Federal Assistance Reporting Instructions for additional guidance.

Recipient's fiscal year end date: [Contract Specialist to insert date as Month/Day]
Recipient's Cognizant Federal Agency – ☐ DOE NETL ☐ Other Federal Agency
☐ No Indirects proposed or De Minimis Rate Used

Audit of For-Profit Recipients:
If the Recipient is a for-profit entity and expends $750,000 or more in DOE awards during their fiscal year, the Recipient must have a compliance audit conducted for that year. The audit must be sent to 3 different addresses in accordance with the final audit guidance. A copy for the Contracting Officer shall be submitted via https://www.eere-pmc.energy.gov/SubmitReports.aspx AND PricingGroup@netl.doe.gov; a copy must also be e-mailed to the CFO at DOE-Audit-Submission@hq.doe.gov. See Federal Assistance Reporting Instructions for additional guidance.

Uniform Commercial Code (UCC) Financing Statements:
If a piece of equipment is planned to be purchased by a for-profit recipient or a for-profit subrecipient with either Federal and/or non-Federal funds, and when the DOE share of the award exceeds $1M, the for-profit recipient or the for-profit subrecipient must record Uniform Commercial Code (UCC) financing statement(s) before being reimbursed for the DOE share of the equipment. A copy of the approved and filed UCC financing statement and/or amendment must be sent to https://www.eere-pmc.energy.gov/SubmitReports.aspx. See Federal Assistance Reporting Instructions for additional guidance.

Other:
Statement of Project Objectives. All report deliverables noted in Attachment 2 – Statement of Project Objectives, Section D – Deliverables of the Assistance Agreement, shall be submitted as "Other" deliverables via https://www.eere-pmc.energy.gov/SubmitReports.aspx within 30 days of completion of the associated Task or Subtask unless otherwise specified in the Statement of Project Objectives.

Federal Assistance Reporting Instructions (9/2018)

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

The electronic file(s) must be submitted to the electronic addresses specified in Blocks 4 and 5 of the DOE F 4600.2.

A. MANAGEMENT REPORTING

MANAGEMENT REPORTS THAT INCLUDE LIMITED RIGHTS DATA (SUCH AS TRADE SECRET, PROPRIETARY OR BUSINESS SENSITIVE INFORMATION) WILL BE REJECTED AND RETURNED TO THE RECIPIENT.

Progress Report

See the enclosure entitled "Progress Report" for instructions regarding the content the Recipient is to include in the report.

Special Status Report

The recipient must report the following events 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.

B. SCIENTIFIC/TECHNICAL REPORTS

The dissemination of scientific and technical information (STI) ensures public access to the results of federally funded research. STI refers to information products in any medium or format used to convey results, findings, or technical innovations from research and development or other scientific and technological work that are prepared with the intention of being preserved and disseminated in the broadest sense applicable (i.e., to the public or, in the case of controlled unclassified information or classified information, disseminated among authorized individuals). Access to and archival of DOE-funded STI are managed by the DOE Office of Scientific and Technical Information (OSTI). For information about OSTI see https://www.osti.gov.

For more information on STI submittals, see https://www.osti.gov/stip/submittal.

By properly notifying DOE OSTI about the published results, the information will be made publicly accessible and discoverable through DOE web-based products.

NOTE: SCIENTIFIC/TECHNICAL PRODUCTS INTENDED FOR PUBLIC RELEASE MUST NOT CONTAIN PROTECTED PERSONALLY IDENTIFIABLE INFORMATION (PII). PII is defined as 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 the following types of information: 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., which could be mis-used if made publicly available.

Scientific and Technical Reporting Product

Accepted Manuscript of Journal Article

Recipients are encouraged to publish their work in scholarly journals. When/if a recipient has an article accepted for publication in a peer-reviewed journal they are required to announce the publication to OSTI as detailed below. This Reporting Requirement will be denoted with the Frequency "A – Within 5 calendar days after the event or as specified" on the Checklist.

Public access to peer-reviewed scholarly publications can be achieved by following these instructions. If the Recipient has a journal article accepted for publication which contains information/data produced under the award, then the Recipient must submit an AN 241.3 for the author's full-text version of the accepted manuscript, as described below, at the time the article meets the status of being “accepted” for publication. The Federal Government’s right to use the data produced under a Federal award is established in 2 CFR 200.315(d), U.S. Government’s retained license to published results of federally funded research.

Content. The Recipient is to announce to DOE the final peer-reviewed accepted manuscript (AM), i.e., the version of the journal article content that has been peer reviewed and accepted for publication in a journal, by providing a persistent link to the accepted manuscript on the recipient’s publicly accessible institutional repository or submitting the full text (see Electronic Submission Process below). The Recipient should NOT submit the journal’s published version of the article, i.e., the Recipient should NOT submit a copyrighted reprint. The Recipient should not submit the content of peer reviews or a commitment to publish. The Recipient should provide only the accepted manuscript content intended to be the published article.

DOE will make no additional review of the content of an AM because the AM is a version of the journal article with the content to be published (i.e., publicly released) by the journal publisher. The Recipient is responsible for ensuring the suitability of the content for public release. The terms and conditions of award provide that PII, proprietary, export control or classified information shall be protected. DOE may choose to defer providing public access until an administrative interval period has passed.

The Recipient must self-certify at the time of submission to DOE via E-Link that the content is appropriate and that it is not a copyrighted reprint, i.e., the final version of the published article. Recipients are reminded that the article is to include an acknowledgement of Federal support and a disclaimer.

Electronic Submission Process. The Accepted Manuscript of Journal Article must be announced via the DOE Energy Link System (E-Link) by submitting a completed DOE Announcement Notice (AN) 241.3 (https://www.osti.gov/elink/2413-submission.jsp).

Within the AN 241.3, provide relevant journal information (article title, journal name, volume, issue, and any other pertinent publication information). Also provide a persistent link to the repository location of the accepted manuscript. An example of an acceptable persistent link is a URL to the specific location of the Accepted Manuscript of Journal Article hosted on a public, openly accessible university research publications website. If a persistent link is not available or if the website has access restrictions (preventing public access), then the Recipient must upload the full-text of the Accepted Manuscript using the AN 241.3 and E-Link instructions.

Full-text of accepted manuscripts must be in Adobe Portable Document Format (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematics, graphs, and charts. Please refer to https://www.osti.gov/stip/best-practices-portable-document-format-pdf-creation for PDF document creation.

Scientific/Technical Conference Paper/Presentation or Proceedings

Recipients are encouraged to announce scientific/technical conference papers/presentations or proceedings. The Recipient must submit a copy of any scientific/technical conference papers/presentations or proceedings to the DOE Energy Link System (E-Link). In addition, scientific/technical conference papers/presentations or proceedings must be accompanied by a completed DOE Form 241.3. The form and instructions are available on DOE E-Link at https://www.osti.gov/elink/2413-submission.jsp.

The content of any scientific/technical conference papers/presentations or proceedings should include the following information: (1) name of conference; (2) location of conference; (3) date of conference; and (4) conference sponsor. Also include an acknowledgement of Federal support and a disclaimer as set forth in the award terms and conditions. Scientific/technical conference papers/presentations or proceedings must be submitted in the Adobe PDF format as one integrated PDF file containing all text, tables, diagrams, photographs, schematic, graphs, and charts.

DOE will not review conference papers/presentations or proceedings prior to making the document publicly available via OSTI since the document was already presented in a public setting. The Recipient is responsible for ensuring the suitability of the content for public release. The terms and conditions of award provide that PII, proprietary, export control or classified information shall be protected. The Recipient must self-certify at the time of submission to DOE E-Link that the content is appropriate for and has been publicly released.

Scientific/Technical Software & Manual

Content. When a Recipient submits software to OSTI for dissemination, 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, unless otherwise specified in the award.

Submission Process. The software submission must be accompanied by a completed DOE Announcement Notice (AN) 241.4 “Announcement of U.S. Department of Energy Computer Software.” The announcement notice and instructions are available on E-Link at https://www.osti.gov/elink/241-4.jsp. The AN 241.4 may be filled online and submitted electronically, with a printed copy or note accompanying the shipped software package.

Software (including user guide or manual) must be submitted on computer disk (CD) shipped via regular mail to:

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

Scientific / Technical Datasets

Recipients are encouraged to announce public Scientific / Technical Datasets generated from work funded by DOE. This Reporting Requirement will be denoted with the Frequency “A – Within 5 calendar days after events or as specified” on the Checklist.

Scientific/technical datasets (data-streams, data files, etc.) support the technical reports and published literature resulting from DOE-funded research. They are also recognized as valuable information entities in their own right that, now and in the future, need to be available for citation, discovery, retrieval, and reuse. The assignment and registration of a Digital Object Identifier (DOI) is a free service for DOE-funded researchers which is provided by OSTI to enhance access to this important resource. In order to obtain a DOI, provide to OSTI the specific data elements relevant to the dataset, as specified in DOE AN 241.6.

Content. If the recipient generates publicly available datasets resulting from work funded by DOE, they may announce these datasets to OSTI and have them registered with DataCite to obtain a DOI, which ensures long-term linkage between the DOI and the dataset's location. To register and publicly announce a dataset, the Recipient must provide an AN 241.6, including the required data elements needed for describing the dataset. Note: Do NOT submit the dataset itself, only the metadata for registering the dataset, obtaining a DOI, and announcing its availability.

Electronic Submission Process. Notification of scientific datasets must be submitted electronically via the DOE Energy Link System (E-Link) and must be accompanied by a completed DOE Announcement Notice (AN) 241.6 (https://www.osti.gov/elink/2416-submission.jsp). Within the AN 241.6, provide relevant information about the dataset as well as the URL where the dataset can be accessed.

Other STI

Recipients are encouraged to announce other forms of STI especially if they are the primary means by which certain research results are disseminated or if they contain research results not already announced to DOE by the Recipient in technical reports, accepted journal articles, or other STI. This Reporting Requirement will be denoted with the Frequency "A – Within 5 calendar days after events or as specified" on the Checklist.

Other types of STI produced which may be used for public dissemination of project results include: dissertation/thesis, patent, book, or other similar products. These types of STI may also be announced using DOE AN 241.3 by following instructions on the E-Link website (https://www.osti.gov/elink/2413-submission.jsp).

Final Scientific/Technical Report

For R&D type awards where a Final Scientific/Technical Report is required, recipients are required to create and submit a final technical report. This Reporting Requirement will be denoted with the Frequency "F – Final" on the Federal Assistance Reporting Checklist.

The scientific/technical report is intended to increase the diffusion of knowledge gained by DOE-funded research, and all requirements shall be interpreted in that light.

Content. Research findings and other significant STI resulting from the DOE-sponsored R&D project shall be included in the final scientific/technical report, subject to the following provisions:

1. The scientific/technical report is to cover the entire project period. For Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) awards, a final scientific/technical report must be submitted after the completion of each phase, e.g., Phase I, Phase II, and sequential Phase II, as described in the Special Instructions.

2. STI that is publicly accessible need not be duplicated in the report if a citation with a link to where the information may be found is included in the report. For example, articles

found in PAGES (i.e., DOE's Public Access Gateway for Energy and Science, https://www.osti.gov/pages/) are accessible to the public.

3. Provide identifying information: the DOE award number; sponsoring program office; name of recipient; project title; name of project director/principal investigator; and consortium/teaming members.

4. Include an acknowledgment of Federal support and a disclaimer, which must appear in the publication of any material as noted in the terms and conditions.

5. Include any limitations on public release of the report, if applicable. If the document being submitted contains patentable material or protected data (i.e., data first produced in the performance of the award that is protected from public release for a period of time by terms of the award agreement, e.g., SBIR protected data), then (1) prominently display on the cover of the report any authorized distribution limitation notices, such as patentable material or protected data (e.g., SBIR protected data) and (2) clearly identify patentable or protected data on each page of the report. Reports delivered without such notices may be deemed to have been furnished with unlimited rights, and the Government assumes no liability for the disclosure, use or reproduction of such reports. Any restrictive markings must also be noted in the distribution limitation section of the Announcement Notice (AN) 241.3 (see Electronic Submission Process, below). No protected PII should be included (see PII definition).

6. Provide an abstract or executive summary, which should be a minimum of one paragraph and written in terms understandable by an educated layperson. (Refer to https://www.osti.gov/stip/standards for ANSI/NISO guidance as needed.) The abstract included in an application may serve as a model for this.

7. Summarize project activities for the entire period of funding, including original hypotheses, approaches used, and findings. Include, if applicable, facts, figures, analyses, and assumptions used during the life of the project to support the results in a manner that conveys to the scientific community the STI created during the project. To minimize duplication, the report may reference STI, including journal articles, that is publicly accessible. See also #2.

8. For guidance offered by the National Information Standards Organization on typical attributes and content of a technical report, if needed, refer to ANSI/NISO Z39.18-2005 (R2010), Scientific and Technical Reports – Preparation, Presentation, and Preservation (see https://www.osti.gov/stip/standards).

Electronic Submission Process. The final scientific/technical report must be submitted via the DOE Energy Link System (E-Link) with a completed electronic version of DOE Announcement Notice (AN) 241.3, "U.S. Department of Energy (DOE), Announcement of Scientific and Technical Information (STI)." The Recipient can complete, upload, and submit the DOE AN 241.3 online via E-Link (https://www.osti.gov/elink/2413-submission.jsp).

The Recipient must mark the appropriate block in the "Intellectual Property/Distribution Limitations" Section of the DOE AN 241.3. Reports that are electronically uploaded must not contain any limited rights data (proprietary data), classified information, protected PII, information subject to export control classification, or other information not subject to release. During the upload process, the Recipient must self-certify that no content of this nature is being submitted. Protected data is specific technical data, first produced in the performance of the award that is protected from public release for a period of time by the terms of the award agreement. Such information **must** be submitted in a separate hard-copy appendix to the electronic technical and topical reports as explained under **Supplemental Guidelines** below. For assistance with reports containing such content, contact the Contracting Officer.

Text documents must be submitted in Adobe Portable Document Format (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematics, graphs, and charts. Please refer to https://www.osti.gov/stip/best-practices-portable-document-format-pdf-creation for PDF document creation**.**

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 ACQUISITION DOCUMENT CONTROL
BUILDING 26
U.S. DEPARTMENT OF ENERGY
NATIONAL ENERGY TECHNOLOGY LABORATORY
P.O. BOX 880
MORGANTOWN, WV 26507-0880

Further, if this award authorizes the recipient under the provisions of The Energy Policy Act of 2005 (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 **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 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.

C. FINANCIAL REPORTING

Recipients must complete the SF-425 as identified on the Reporting Checklist in accordance with the report instructions. A fillable version of the form is available at https://www.grants.gov/web/grants/forms/post-award-reporting-forms.html or https://www.netl.doe.gov/business/business-forms.

D. CLOSEOUT REPORTS

Final Invention and Patent Report

The Recipient must provide a DOE Form 2050.11 "Patent Certification" form. This form is available at http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms under Reporting Forms or at https://www.netl.doe.gov/business/business-forms.

Final Property Report

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

E. OTHER REPORTING

Annual Incurred Cost Proposal and Reconciliation

Requirement. In accordance with the applicable cost principles, the recipient must submit an annual incurred cost proposal (ICP) directly to the cognizant agency responsible for negotiating and approving its indirect costs. Recipients are strongly encouraged to self-assess their ICP using the DCAA ICP Adequacy Checklist to ensure an adequate submission.

Submission. The ICP must be reconciled to the recipient's financial statements, within six months after the close of its 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. The format and content of the incurred cost proposal should follow the Defense Contract Audit Agency's (DCAA) ICE (Incurred Cost Electronically) Model in order to be considered an adequate proposal. DCAA's ICE Model and Adequacy Checklist can be found on the DCAA website at: http://www.dcaa.mil/Home/ICEmodel and http://www.dcaa.mil/Home/ICSubmissionAdequacy.

Audit of For-Profit Recipients

Requirement. As required by 2 CFR parts 910.500 through 910.521, a For-Profit entity which expends $750,000 or more during their fiscal year in DOE awards must have a compliance audit conducted for that year.

Submission. The compliance audit report(s) must be submitted to DOE within the earlier of 30 days after receipt of the auditor's report(s) or nine months after the end of the audit period (Recipient's fiscal year-end). The compliance audit report must be submitted, along with audited financial statements (if applicable), to the appropriate DOE Contracting Officer at https://www.eere-pmc.energy.gov/SubmitReports.aspx and PRICINGGROUP@NETL.DOE.GOV as well as to the DOE Office of the Chief Financial Officer (CFO) 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 https://www.netl.doe.gov/business/business-forms. 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 90 calendar days after completion or termination of the award.

- 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 90 calendar days after completion or termination of award to complete the closeout process.

Content of Inventory. As required on the SF-428-A and SF-428-S forms, 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.

Subject Invention Reporting

In accordance with the patent rights clause of the Award, the recipient and subrecipient(s), if any, must report any subject invention--one which is conceived or first actually reduced to practice under a DOE award—to the DOE Patent Counsel within the time period specified in the patent rights clause. Failure to disclose subject inventions in a timely manner may result in forfeiture of the recipient's or subrecipient's rights in such inventions.

Subject inventions are to be reported in iEdison. The iEdison website requires a login and password. If the Recipient's organization does not already have an iEdison administrator

account, the Recipient may register for one at:
https://public.era.nih.gov/iedison/public/institution/registration/RegistrationRequestForm.jsp.

Invention Utilization Report

The recipient and subrecipient(s), if any, must provide Invention Utilization Reports in iEdison for any subject inventions made under the award. Reports are due one year after the disclosure date of each subject invention and must continue to be provided for 10 years after the date of disclosure. Failure to submit Invention Utilization Reports in a timely manner may result in forfeiture of the recipient's or subrecipient's rights in the subject inventions.

Federal Subaward Reporting System (FSRS)

The Federal Subaward Reporting System (FSRS) is the reporting tool prime recipients use to capture and report subaward and executive compensation data regarding their first-tier subrecipients to meet the Federal Funding Accountability and Transparency Act (FFATA) reporting requirements. Prime recipients will report against subrecipients' awards. The subrecipient information entered in FSRS will then be displayed on www.USASpending.gov associated with the prime recipient's award furthering Federal spending transparency.

The prime recipient is required to file a FFATA sub-award report by the end of the month following the month in which the prime recipient awards any sub-award greater than or equal to $25,000.

Uniform Commercial Code (UCC) Financing Statements

If a for-profit recipient or subrecipient desires to purchase a piece of equipment for their project, and the per-unit dollar value of said equipment is $5,000 or more, and the Federal share of the financial assistance agreement is more than $1M, the recipient or subrecipient must file a UCC financing statement. These financing statement(s) must be approved in writing by the contracting officer prior to the recording.

A UCC financing statement provides public notice that the Federal government has an undivided reversionary interest in the equipment, and as such the equipment cannot be sold or used as collateral for a loan (encumbered).

The for-profit recipient or subrecipient must file the UCC financing statement(s) with the Secretary of State where the equipment will be physically located and must pay any associated costs for such filings.

The initial UCC financing statement may also be referred to as a UCC1. For additional pieces of equipment not specified in the award budget, TBD equipment, or equipment needed in future budget periods, the recipient can file an amendment to the original UCC1 financing statement, by submitting the UCC3 financing statement amendment.

Each UCC financing statement or amendment is to be filed with the appropriate Secretary of State office where the equipment will be physically located.

Note: All costs associated with filing UCC financing statements, UCC financing statement amendments, and UCC financing statement terminations, are allowable and allocable costs which can be charged to the Federal award.

At a minimum, the recipient must have stated in their UCC financing statement in block 4. (collateral) the following:

1) *"Title to all equipment (not real property) purchased with Federal funds under this financial assistance agreement is conditional pursuant to the terms of 2 CFR 910.360, and the Federal government retains an undivided reversionary interest in the equipment at the Federal cost-share proportion specified in the award terms and conditions."*

2) *Federal Award Identification Number (e.g., DE-OE000XXXX)*

Enclosure

PROGRESS REPORT

{Title of Project}

WORK PERFORMED UNDER AGREEMENT

{Agreement Number}

{Recipient Organization Name}

{Organization Address}

{City, State, Zip Code}

Project (Agreement) Period of Performance: {start date} **to** {end date}

Budget Period: {start date} **to** {end date}

Reporting Period: {start date} **to** {end date}

Submitted: {date}

PRINCIPAL INVESTIGATOR

{Name}

{Phone Number}

{E-Mail}

BUSINESS CONTACT

{Name}

{Phone Number}

{E-Mail}

SUBMITTED TO

U. S. Department of Energy

National Energy Technology Laboratory

DOE Project Officer: {Name}

This report should not contain any proprietary, business sensitive, or other information not subject to public release.

TABLE OF CONTENTS

RECIPIENT SHOULD REMOVE ALL ITALICIZED INSTRUCTIONS AND EXAMPLES FROM EACH SECTION PRIOR TO SUBMITTAL TO DOE.

PROGRESS AND ACCOMPLISHMENTS

A. Major Accomplishments

1. Current Reporting Period

Provide a brief narrative, listed by task and subtask, that describes: 1) major activities completed; 2) specific goals/objectives reached; 3) significant results, including major findings, developments, or conclusions (both positive and negative); and 4) key outcomes or other achievements for this reporting period.

2. Overall Project Status

Provide a concise summary that describes the cumulative progress made to support the goals and objectives of the project.

B. Metrics

Complete the following table for each metric identified in the PMP. Provide a narrative in the Accomplishments section if the goal of a metric was achieved during this reporting period. Provide a narrative below the table that explains any actual or anticipated obstacles to achieve the goals.

PROJECT METRICS					
SOPO Task/ Subtask Number	Metric	Units (%, $, #, etc.)	Goal	Progress	
				Reporting Period	Cumulative

C. Milestones

Complete the following table for each milestone (or decision point if applicable) identified in the PMP. Provide a narrative in the Accomplishments section if a milestone was completed during this reporting period. For each milestone, also list the corresponding task/subtask number(s) and indicate how achievement was verified. Provide a narrative below the table that explains any actual or anticipated variance.

MILESTONE LOG					
Milestone (or Decision Point)	**SOPO Task/ Subtask Number(s)**	**Completion Date**		**Verification Method** (or Decision Criteria)	**Status** (Completed, Ahead of Schedule, On Schedule, Delayed)
		Planned	**Actual**		

D. Product or Technology Production

1. Identify and discuss technology or techniques resulting from the research activities. Also describe technology transfer activities and information dissemination/sharing that occurred during the reporting period, including at a minimum, but not limited to:

Publications, conference papers, presentations, or other public releases. List and briefly discuss the major publication(s) resulting from work under this award, and confirm that acknowledgement of federal support was included in the published material as required in the Terms and Conditions of the Financial Assistance Agreement.

Journal articles. List author(s); title; journal name, volume, year, page numbers, and status (published; accepted, awaiting publication; submitted, under review; other).

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

Books or other non-periodical, one-time publications. Report any book, monograph, thesis, dissertation, abstract, or the like published as (or in) a separate publication, rather than a periodical or series. Also list any significant publication included in the proceedings of a conference/symposium, or in the report of a one-time study, or similar advisory/investigative committee. For each one-time publication, identify: author(s); title; editor; title of collection, if applicable; bibliographic information; year; type of publication (book, white paper, thesis or dissertation, other); status of publication (published; accepted, awaiting publication; submitted, under review; other).

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

2. Inventions, Patent Applications, Licenses

Identify inventions, patent applications with date, and/or licenses that have resulted from the research. Submission of this information as part of Quarterly Progress Report is not a substitute for any other invention reporting process specified in the Terms and Conditions of the Financial Assistance Agreement.

3. Other products

Identify any other significant products that were developed under this project such as data or databases, physical collections, audio and/or video recording, software or NetWare, models, educational aid or curricula, instruments or equipment.

E. Plans for Future Work

1. Work for Next Quarter

Briefly describe planned work that will be performed during the next reporting period.

2. Upcoming Events

List any planned work that could result in opportunities for external visibility such as major meetings, publications, demonstrations, presentations and any other outreach activities. In addition, list any internal project meetings that may be of interest to the DOE Project Officer. **Information about such events should be provided for at least two quarters beyond the current reporting period.**

SCHEDULE STATUS

Complete the following table for each task and subtask, baselined against the schedule contained in the current PMP.

SCHEDULE & COST SUMMARY								
SOPO Task/ Subtask Number	SOPO Title or Description	Start Date		Completion Date		% Complete	Total Planned Cost	Total Cost to Date
		Planned	Actual	Planned	Actual			
1.0	Project Management							

Complete the following table for each deliverable identified in the PMP. Provide a narrative below the table that explains any actual or anticipated variance.

DELIVERABLE LOG				
SOPO Task/ Subtask Number	Deliverable	Completion Date		Status (Completed, On Schedule, Delayed)
		Planned	Actual	
1.1	Project Management Plan	MM/DD/YY		
1.2	Interoperability Plan	MM/DD/YY		
1.3	Cybersecurity Plan	MM/DD/YY		
1.4	Data Management Plan	MM/DD/YY		

COST STATUS

Baseline Budget and Incurred Cost Complete the following table and ensure that entries in the Total Approved Project Budget column are consistent with the SF-424A and the accepted PMP. Provide a narrative below the table that explains any actual or anticipated variance within one Budget Category that is ≥10% of the total approved budget.

BASELINE BUDGET AND INCURRED COST								
Budget Category	**Total Approved Project Budget**		**Prior Cumulative Incurred Cost**		**Incurred Cost During Reporting Period**		**Total Cumulative Incurred Cost**	
	Fed.	Non-Fed.	Fed.	Non-Fed.	Fed.	Non-Fed.	Fed.	Non-Fed.
Personnel								
Fringe Benefits								
Travel								
Equipment								
Supplies								
Contractual (List each contract valued at $25,000 or more. Add rows as necessary.)								
Remaining Contractual (Sum of all contracts that are individually valued at under $25,000)								
Construction								
Other								
Sub-Total Direct Charges								
Indirect Charges								
Total								

A. Spend Plan

Complete the following tables for the current budget period. The list should correspond to the Federal Fiscal Year (FY). For example, "FY18, Q1" would refer to the quarter that began October 1, 2017.

QUARTERLY SPEND PLAN (based on **Current Budget Period**)				
Quarter	**Federal Share**		**Non-Federal Share**	
	Planned	Actual	Planned	Actual
FY##, Q1				
FY##, Q2				
FY##, Q3				
FY##, Q4				
FY##, Q1				
*Add/Remove rows as needed.				
TOTAL				

RISK AND CHANGE MANAGEMENT

A. Technical Changes

Briefly explain any recent or planned changes to the technical approach, and discuss reasons for the change. Address how these changes may impact planned milestones, tasks, activities, or deliverables. Note that some changes (e.g., scope, objectives, primary site/location) may require prior DOE approval.

B. Personnel and Team Member Changes

Briefly explain any recent or planned changes to the roles, responsibilities, and involvement of personnel or team members listed in the PMP, and describe how these changes could impact the project (e.g., scope, risk). Note that changes to key personnel require prior DOE approval. Key personnel are identified in the Financial Assistance Agreement, and at a minimum include the Principal Investigator and Business Point of Contact.

C. Risk Management Log

Use the table to indicate the status of each risk identified in the PMP. Also list any new risks discovered during the reporting period. Provide a narrative below the table that describes any new, emergent, realized, or mitigated risks.

RISK MANAGEMENT LOG				
Risk	**Likelihood** (High, Medium, Low) **Impact** (High, Medium, Low)	**Potential Impact to SOPO Tasks/ Subtasks**	**Mitigation Strategy**	**Status** (New, Emerging, Realized, Mitigated)

D. Other Issues, Concerns and Challenges

Unless addressed elsewhere in this Report, discuss actual, anticipated, or resolved issues, concerns, challenges, or any other events/incidents or circumstances adversely impacting project execution. Describe steps taken to resolve these items.

DEMOGRAPHIC INFORMATION FOR SIGNIFICANT CONTRIBUTORS

Agencies may require that recipients provide demographic data about significant contributors for a variety of purposes, including the following:

- to gauge whether our programs and other opportunities are fairly reaching and benefiting everyone regardless of demographic category;
- to ensure that those in under-represented groups have the same knowledge of and access to programs, meetings, vacancies, and other research and educational opportunities as everyone else;
- to gauge and report performance in promoting partnerships and collaborations;
- to assess involvement of international investigators or students in work we support;
- to track the evolution of changing science, technology, engineering and mathematics (STEM) fields at different points in the pipeline (e.g., medicine and law demographics have recently changed dramatically);
- to raise investigator and agency staff awareness of the involvement of under-represented groups in research;
- to encourage the development of creative approaches for tapping into the full spectrum of talent of the STEM workforce;
- to respond to external requests for data of this nature from a variety of sources, including the National Academies, Congress, etc.; and
- to respond to legislatively-required analysis of workforce dynamics. Legislation requires at least one agency to routinely estimate scientific workforce needs. This analysis is accomplished through reviewing demographic data submitted for the existing workforce.

Demographic data (i.e., gender, ethnicity, race, and disability status) should be provided directly by significant contributors, with the understanding that submission of such data is voluntary. There are no adverse consequences if the data are not provided. Confidentiality of demographic data will be in accordance with agency's policy and practices for complying with the requirements of the Privacy Act.

Gender: Male
Female
Do not wish to provide

Ethnicity: Hispanic or Latina/o
Not-Hispanic or not-Latina/o
Do not wish to provide

Race (select one or more): American Indian or Alaska Native
Asian
Black or African American
Native Hawaiian or other Pacific Islander
White
Do not wish to provide

Disability Status:

Yes (check yes if any of the following apply to you)

- Deaf or serious difficulty hearing
- Blind or serious difficulty seeing even when wearing glasses
- Serious difficulty walking or climbing stairs
- Other serious disability related to a physical, mental, or emotional condition.

No
Do not wish to provide

This measure is designed as a binary measure; it encompasses all self-reported disabilities. Please do not use it to report the number of individuals who have different types of disabilities (e.g., hearing impairments).

Note: This construct is not designed to be used at an individual-level (i.e., it should not be used for determining accommodation needs or disability status for particular individuals associated with the project).