## ATTACHMENT 4:

## ARPA-E REPORTING CHECKLIST AND INSTRUCTIONS

|  |  |  |  |
| --- | --- | --- | --- |
| 1. Identification Number: | 2. Program/Project Title: | | |
| 3. Recipient: | | | |
| 4. Reporting Requirements (see attached “ARPA-E Reporting Instructions”):  **I. PROJECT MANAGEMENT REPORTING (DURING AWARD)**  A. Research Performance Progress Reports  B. Financial Reports  C. Scientific/Technical Conference Papers/Proceedings  D. Intellectual Property Reporting  E. Intellectual Property & Data Management Plan  F. Subject Invention Utilization Reporting  G. Lobbying Activities Reporting  H. Special Status Reports  I. Annual Indirect Cost Proposals  J. Annual Audit of For-Profit Recipients  K. Annual Property Inventories  L. Subaward/Subcontract Reports  **II. CLOSEOUT REPORTING (UPON CLOSEOUT OF AWARD)**  A. Final Scientific/Technical Report  B. Final Invention and Patent Report  C. Final Property Report  D. Software Deliverable Submission  **III. POST-AWARD REPORTING (FOLLOWING CLOSEOUT OF AWARD)**  A. Subject Invention Utilization Reporting (see SectionI.F above) | Frequency | No. of Copies | Addressees |
| QR  QR  Y  Y  X  A  Y  Y  FY  RFY  A  Y  F  F  F  F  F  A | 1  1  1  1  1  1  1  1  1  1  1  1  1  1  1  1  1  1 | [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/)  [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/)  <http://www.osti.gov/elink-2413>  See block 5 for instructions  [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/)  <https://s-edison.info.nih.gov/iEdison/>  [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/)  [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/)  See block 5 for instructions  See block 5 for instructions  [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/)  See block 5 for instructions  <http://www.osti.gov/elink-2413>  <http://www.osti.gov/elink-2413>  See block 5 for instructions  [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/)  <http://www.osti.gov/estsc/241-4pre.jsp>  <https://s-edison.info.nih.gov/iEdison/> |
| FREQUENCY CODES AND DUE DATES:  A – Annually; within 90 calendar days after the end of the annual reporting period.  F – Final; within 90 calendar days after closeout of the award.  FY – Annually; within 180 calendar days after the close of the fiscal year.  QR – Quarterly; within 30 calendar days after end of the quarterly reporting period.  RFY – Recipient’s Fiscal Year; within the earlier of 30 days after receipt of the auditor’s report or 9 months after end of the audit period.  X – Within six (6) weeks of the effective date of ARPA-E Award.  Y – Within five (5) calendar days after the event or as specified. | | | |
| 1. ARPA-E Special Instructions:   For Annual Indirect Cost Proposals: If ARPA-E is the Cognizant Federal Agency, submit to [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/). Otherwise, send to the Cognizant Federal Agency.  For Annual Audits of For-Profit Recipients: Send to [DOE-Audit-Submission@hq.doe.gov](mailto:DOE-Audit-Submission@hq.doe.gov) and [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/).  For Subaward/Subcontract Reports: Send to [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov) and [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/).  For Intellectual Property Reporting: Send mandatory intellectual property reports specified in Section D.1 of this Attachment to iEdison <https://s-edison.info.nih.gov/iEdison/>. Send special intellectual property reports specified in Section D.2 of this Attachment to DOE Patent Counsel via email at [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov). Send all questions concerning the Patent Rights Clause in Attachment 2 of this Award to DOE Patent Counsel via email at [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov).  For Final Invention and Patent Reports: Send to [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov) and [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/). | | | |

|  |
| --- |
| **ARPA-E Reporting Instructions** |

|  |  |  |
| --- | --- | --- |
| **\*\*\*** | ***Throughout award negotiations and the performance of the project, it is important that you mark confidential information and documents as described in Appendix A. It is equally important that you not submit Protected Personally Identifiable Information (Protected PII) to ARPA-E. See Appendix A for guidance on Protected PII.*** | **\*\*\*** |

**I. PROJECT MANAGEMENT REPORTING**

1. **Research Performance Progress Reports**

|  |  |
| --- | --- |
| Submit via: | ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | Within 30 calendar days of every quarter (January 31, April 30, July 31, October 31) |

Every quarter, the Prime Recipient is required to submit a Research Performance Progress Report for the project – i.e., the entirety of work performed by the Prime Recipient, Subrecipients, and contractors – to ARPA-E through ARPA-E’s Energy Program Information Center (ePIC). For general guidance on submitting Research Performance Progress Reports through ePIC, see the instructions provided below. For detailed guidance on the use of ePIC, please refer to the ePIC User Guide (<https://arpa-e-epic.energy.gov/FileContent.aspx?FileID=1c5ede2c-ef5f-42ea-919f-4127ee085eb8>). You must be registered in ePIC and log in to access the ePIC User Guide.

To submit a Research Performance Progress Report, the Prime Recipient must log in to the ePIC system, navigate to the reporting module on the project dashboard, and complete the following fields.

1. Technical Progress

Section I. Accomplishments & Milestone Update:  Provide a comparison of the actual accomplishments against the technical milestones and deliverables for the period. The ePIC system allows the Prime Recipient to submit a narrative in Adobe PDF format, as well as individual summaries of milestone progress. In addition, the Prime Recipient must enter the actual start and completion dates of milestones and deliverables and provide an estimated percentage of completion for each milestone and deliverable in the ePIC system.

If technical milestones and deliverables were not met, explain why they were not met in this section. This section should contain sufficient information to allow the ARPA-E Program Director to verify the achievement of the technical milestones and deliverables. If desired, the Prime Recipient may also provide updates on milestones not scheduled for the current quarter in this section.

1. Additional Performance Updates

Section II. Issues, Risks, and Mitigation: Discuss any actual or anticipated problems, risks, or issues, along with the actions planned or taken to resolve them.

Section III. Changes in Approach: Discuss any changes in approach or aims and the reasons for change. Any changes to the technical milestones and deliverables must be approved in advance by the ARPA-E Contracting Officer.

Section IV. Project Personnel: Document any changes in project personnel or teaming arrangements during the quarter. Such changes must be approved in advance by the ARPA-E Contracting Officer.

1. Technology to Market Updates

Section V. Project Output:

1. Publications: Identify any project-related articles, papers, or presentations that are authored or prepared by the Project Team and published or distributed (at a conference or otherwise). The entry must include author name; title; publication or conference; volume, issue, and pages (if applicable); and year of publication. *The Prime Recipient is required to send a copy of each publication to the program support designated by the ARPA-E Program Director.* Scientific/technical conference papers/proceedings must also be reported in accordance with Section I.C of “ARPA-E Reporting Instructions.”
2. Other Products: Provide information on any additional project output, such as high-visibility media articles, data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment. Provide a brief description of additional project output, date of release, and entity to which output was provided.
3. Follow-On Funding: The Prime Recipient is required to disclose any funding currently received or any anticipated commitment or obligations of funding that may be received by the Prime Recipient, Subrecipient(s), Principal Investigator(s) (including Co-Principal Investigators), or Key Participants to support the ARPA-E funded project or work that is directly or indirectly related to the ARPA-E funded project. List the source of funding, amount of funding, the beginning and end dates of funding, and point of contact (name, title, employer, telephone number, and e-mail address), regarding the current or anticipated funding.
4. Administrative and Legal Updates

Section VI. Recipient and Principal Investigator Disclosures: The Prime Recipient is required to disclose if any of the following conditions exist:

1. The Prime Recipient, Subrecipient, or Principal Investor(s) (including Co-Principal Investigators) is under investigation for or has been convicted of fraud or similar acts, violations of U.S. export control laws and regulations, or violations of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701, et seq.);
2. The Prime Recipient, Subrecipient, or Principal Investigator(s) (including Co-Principal Investigators) is debarred, suspended, proposed for debarment, or otherwise declared ineligible from receiving Federal contracts, subcontracts, and financial assistance and benefits; or
3. The Prime Recipient or its parent: (i) is insolvent; (ii) has filed a voluntary case under the Bankruptcy Act or has consented to an involuntary case under the Bankruptcy Act; or (iii) has had a proceeding filed against it to, or consented to, the dissolution, winding-up or readjustment of debts, appointment of a receiver, conservator, trustee or other officer under any applicable state or federal law.

Section VII. Conflicts of Interests Within Project Team: The Prime Recipient is required to disclose any actual or apparent personal, organizational, financial, and other conflicts of interest within the Project Team. Examples of potential conflicts of interest may include, but are not limited to: the Principal Investigator for the Prime recipient may have an equity stake in a Subrecipient; the Principal Investigator for a Subrecipient may have a consulting arrangement with the Prime Recipient; or a Subrecipient may be a subsidiary or otherwise affiliated with the Prime Recipient.

Section VIII. Performance of Work in the United States: The Prime Recipient is required to disclose if any work under the Award is being performed outside of the United States/U.S. Territories. ARPA-E requires 100% of the Total Project Cost to be expended in the United States/U.S. Territories. The Prime Recipient may perform certain work overseas if authorized in advance by the ARPA-E Contracting Officer (e.g., by approval of a Foreign Work Waiver Request).

1. Cost Updates

Section IX. Budget Status - Prime Recipient: The Prime Recipient is required verify that budget amounts **submitted for reimbursement** to ARPA-E during the quarter are accurate and complete, and provide an explanation for any discrepancies, cost overruns, or high unit costs. In addition, as prompted in the ePIC system, enter TT&O costs, if applicable.

Section X. Submit Page: The Prime Recipient is required to certify that the information provided in the Research Performance Progress Report is accurate and complete as of the date shown.

1. **Financial Reports**

|  |  |
| --- | --- |
| Submit via email to: | ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | Within 30 calendar days of every quarter (January 31, April 30, July 31, October 31) |

Every quarter, the Prime Recipient is required to submit a completed SF-425 for the project – i.e., the entirety of work performed by the Prime Recipient, Subrecipients, and contractors – to ARPA-E via ePIC. A fillable version of the SF-425 is available athttps://www.energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms.

To submit a SF-425, the Prime Recipient must log in to the ePIC system and navigate to the reporting module on the project dashboard. Click “add” to upload a new SF-425. For detailed guidance on the use of ePIC, please refer to the ePIC User Guide (<https://arpa-e-epic.energy.gov/FileContent.aspx?FileID=1c5ede2c-ef5f-42ea-919f-4127ee085eb8>). You must be registered in ePIC and log in to access the ePIC User Guide.

1. **Scientific/Technical Conference Papers/Proceedings**

|  |  |
| --- | --- |
| Submit to: | DOE Energy Link System (E-Link) available at <http://www.osti.gov/elink-2413> |
| Submission deadline: | Within five (5) calendar days after the occurrence of the event |

The Prime Recipient must submit a copy of any scientific/technical conference papers/proceedings, with the following information: (1) name of conference; (2) location of conference; (3) date of conference; and (4) conference sponsor. Scientific/technical conference papers/proceedings must be submitted in the Adobe PDF format as one integrated PDF file containing all text, tables, diagrams, photographs, schematic, graphs, and charts. In addition, scientific/technical conference papers/proceedings must be accompanied by a completed DOE Form 241.3. The form and instructions are available on DOE Energy Link System (E-Link) at <http://www.osti.gov/elink-2413>.

1. **Intellectual Property Reporting**

**1. Mandatory Intellectual Property Reports**

|  |  |
| --- | --- |
| Submit via: | NIH’s iEdison System (https://s-edison.info.nih.gov/iEdison/) |
| Required Reports: | See the Patent Rights Clause in Attachment 2 of this Award for the specific details of reporting requirements. The Prime Recipient is required to report the following to DOE Patent Counsel:   * Disclose subject inventions, including anticipated uses and sales –   + Under Attachment 2 (Small Business) and Attachment 2 (Universities), within 2 months after disclosure of the subject invention to personnel charged with patent administration matters.   + Under Attachment 2 (Large Business), within 6 months of conception or first actual reduction to practice whichever occurs first under the award, and before sale, public use, or public disclosure of the invention. * Elect (or decline) to retain title to a subject invention –   + Under Attachment 2 (Small Business) and Attachment 2 (Universities), no later than 2 years after disclosing the subject invention to ARPA-E/DOE through iEdison or 60 days prior to any statutory deadline, whichever is earlier.   + Under Attachment 2 (Large Business), no later than 8 months after disclosing the subject invention to ARPA-E/DOE through iEdison or 60 days prior to any statutory deadline, whichever is earlier. * Disclose the filing of any U.S. or foreign patent applications for a subject invention including the filing date, patent application number, and title. * An initial patent application must be filed with the U.S. Patent and Trademark Office (USPTO) within one year after electing to retain title, but prior to any statutory deadline. * Disclose the patent number and issue date for any patent issued for a subject invention. |

**2. Special Intellectual Property Reports**

|  |  |
| --- | --- |
| Submit to: | DOE Patent Counsel at [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov) |
| Required Reports: | The Prime Recipient is required to report the following to DOE Patent Counsel:  • Request for extensions of time.   * Discontinue prosecution of a patent application, maintenance of a patent, or defense in a patent reexamination or opposition proceeding, regardless of jurisdiction. Must be submitted at least 30 days before the expiration of the response period required by a relevant domestic or foreign patent office. |

1. **Intellectual Property & Data Management Plan**

|  |  |
| --- | --- |
| Submit via email to: | ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | Within six (6) weeks of the effective date of the ARPA-E Award |

ARPA-E requires every Project Team in which more than one team member will perform research and development work or share technical data, to negotiate and establish an Intellectual Property Management Plan for the management and disposition of intellectual property arising from the project. In addition, ARPA-E requires each Prime Recipient, regardless of whether there are other team members, to submit a Data Management Plan (DMP) that addresses how data generated in the course of the work performed under an ARPA-E Award will be preserved and, as appropriate, shared publicly. A DMP should be submitted by the Prime Recipient as part of the Project Team’s Intellectual Property Management Plan.

All Intellectual Property Management Plans and DMPs are subject to the terms and conditions of the ARPA-E funding agreement and its intellectual property provisions, and applicable Federal laws, regulations, and policies, all of which take precedence over the terms of Intellectual Property Management Plans and DMPs. DMPs will be reviewed by ARPA-E as part of the overall review process for Intellectual Property Management Plans in ARPA-E’s ePIC System, as well as part of the ARPA-E Program Director’s overall project management review processes.

ARPA-E has developed a template Intellectual Property & Data Management Plan (<http://arpa-e.energy.gov/?q=arpa-e-site-page/award-guidance>) to facilitate and expedite negotiations between Project Team members. ARPA-E does not mandate the use of this template. ARPA-E and DOE do not make any warranty (express or implied) or assume any liability or responsibility for the accuracy, completeness, or usefulness of the template. ARPA-E strongly encourages Project Teams to consult their own legal counsel before using the template.

To submit an Intellectual Property & Data Management Plan, the Prime Recipient must log in to the ePIC system and navigate to the reporting module on the project dashboard. For detailed guidance on the use of ePIC, please refer to the ePIC User Guide (<https://arpa-e-epic.energy.gov/FileContent.aspx?FileID=1c5ede2c-ef5f-42ea-919f-4127ee085eb8>). You must be registered in ePIC and log in to access the ePIC User Guide.

1. **Subject Invention Utilization Reporting**

|  |  |
| --- | --- |
| Submit via: | ARPA-E’s Energy Program Information Center (ePIC): <https://s-edison.info.nih.gov/iEdison/> |
| Submission deadline: | Within 90 calendar days after the end of the annual reporting period and for ten (10) years after the end of the Project Period. |

As authorized in paragraph (h) of the “Patent Rights Clause” in Attachment 2, entitled “Reporting on Utilization of Subject Inventions” and in accordance with 2 CFR 910.364, ARPA-E requires Recipients to submit annual reports, throughout the project period and for ten (10) years after the end of the Project Period, on the utilization of subject inventions and efforts made by Recipients or their licensees or assignees to stimulate such utilization. ARPA-E agrees that, to the extent permitted by law, it shall not disclose information data or information supplied under this paragraph to persons outside the Government to the extent the data or information is considered by the Prime Recipient, its licensees, or assignees to be privileged and confidential and is so marked, in accordance with 35 U.S.C. § 202(c)(5).

To submit a Subject Invention Utilization Report, the Prime Recipient must log in to the iEdison system and navigate to the reporting module on the project dashboard. For detailed guidance on the use of iEdison for submitting Utilization Reports, please refer to <https://www.energy.gov/eere/funding/invention-utilization-reports> . You must have an iEdison account and have created an Invention Record for your subject invention to submit a utilization report.

1. **Lobbying Activities Reporting**

|  |  |
| --- | --- |
| Submit via email to: | ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | Within five (5) calendar days after the event |

The Prime Recipient and Subrecipients are required to complete SF-LLL, “Disclosure of Lobbying Activities” (<http://www.whitehouse.gov/sites/default/files/omb/grants/sflllin.pdf>), if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the Award.

1. **Special Status Reports**

|  |  |
| --- | --- |
| Submit via email to: | ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | Within five (5) calendar days after the event |

The Prime Recipient is required to report the following events to ARPA-E:

1. Any notices or claims of patent or copyright infringement arising out of or relating to the performance of the ARPA-E Award;
2. Refusal of a Subrecipient to accept flowdown requirements in Attachment 1 or Attachment 2 to the ARPA-E Award;
3. Violations of federal, state, and municipal laws arising out of or relating to work under the Award;
4. Any improper claims or excess payments arising out of or relating to work under the Award;
5. Potential or actual violations of the cost share requirements under the Award;
6. Potential or actual bankruptcy/insolvency of the Prime Recipient or Subrecipient;
7. Under investigation for, or convicted of, violation of U.S. export control laws and/or regulations arising out of or relating to the work under the Award;
8. Any fatality or injuries requiring hospitalization arising out of or relating to work under the Award;
9. Any verbal or written notice of violation of any environmental, health, or safety laws and regulations arising out of or relating to the work under the Award;
10. Any event which is anticipated to cause a significant schedule slippage or cost increase;
11. Any damage to Government furnished property, or property acquired with, project funding by the Prime Recipient or subrecipient, valued in excess of $25,000;
12. Any incident arising out of or relating to work under the Award that has the potential for high visibility in the media.
13. **Annual Indirect Cost Proposals**

|  |  |
| --- | --- |
| Submit to: | If ARPA-E is the Cognizant Federal Agency, send it to ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/).  Otherwise, submit it to the Cognizant Federal Agency (as defined by 2 C.F.R. § 200.19). |
| Submission deadline: | Within 180 calendar days of the close of the fiscal year |

The Prime Recipient must submit an Annual Indirect Cost Proposal, reconciled to its financial statements unless the award is based on a predetermined or fixed indirect rate(s), a fixed amount for indirect or facilities and administration (F&A) costs, or a de minimis rate is charged as described at 2 C.F.R. § 200.414(f). The Prime Recipient must submit its annual indirect cost proposal directly to the Cognizant Federal Agency for negotiating and approving indirect costs in the form required by that agency.

1. **Annual Audits of For-Profit Recipients**

|  |  |
| --- | --- |
| Submit to: | [DOE-Audit-Submission@hq.doe.gov](mailto:DOE-Audit-Submission@hq.doe.gov) and ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | Within the earlier of 30 days after receipt of the auditor’s report(s) or 9 months after the end of the audit period (Recipient’s fiscal year-end) |

Any Prime Recipient that is a for-profit entity that expends $750,000 or more during the for-profit entity’s fiscal year in DOE/ARPA-E funds must submit an annual compliance audit and, if available, its financial statements as required by 2 C.F.R. § 910.510(a). See 2 C.F.R. 910 Subpart F (Audit Requirements for For-Profit Entities).

1. **Annual Property Inventories**

|  |  |
| --- | --- |
| Submit to: | ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | Within 90 calendar days of the close of the annual reporting period |

The Prime Recipient must submit an annual inventory of Government-furnished property and property acquired with project funding, whether held by the Prime Recipient or Subrecipients. The Prime Recipient must complete SF-428A, available at https://www.energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-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. Any property with a fair market value of $5,000 or less (per item) may be omitted from the inventory.

1. **Subaward/Subcontract Reports**

|  |  |
| --- | --- |
| Submit to: | [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov) and ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | Within five (5) calendar days after the event |

Under Attachment 2 (Large Business), the Prime Recipient is required to report the conclusion of any subawards or subcontracts at any tier containing a patent rights clause. The Prime Recipient must identify the Subrecipient or Subcontractor, provide a copy of the patent rights clause, briefly describe the work to be performed under subaward or subcontract, and state the dates of award and estimated completion.

The Prime Recipient is not required to provide these reports if Attachment 2 (Small Business) or Attachment 2 (Universities) was included with its ARPA-E Award.

**II. CLOSEOUT REPORTING (UPON CLOSEOUT OF AWARD)**

1. **Final Scientific/Technical Report**

|  |  |
| --- | --- |
| Submit to: | DOE Energy Link System (E-Link) available at <http://www.osti.gov/elink-2413> |
| Submission deadline: | Within 90 calendar days after closeout of award |

The Prime Recipient must submit a Final Scientific/Technical Report to DOE. The Report must be submitted in Adobe PDF Format as one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts. 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),” available via DOE Energy Link System (E-Link) at <http://www.osti.gov/elink-2413>. The Report must contain the following information:

1. Identify the ARPA-E award number; name of Prime Recipient; project title; name of project director/principal investigator; and Project Team members.
2. Provide an executive summary, which includes a discussion of (1) how the research adds to the understanding of the area investigated; (2) the technical effectiveness and economic feasibility of the methods or techniques investigated or demonstrated; or (3) how the project is otherwise of benefit to the public. The discussion should be a minimum of one paragraph and written in terms understandable by an educated layman.
3. Provide a comparison of the actual accomplishments with the goals and objectives of the project.
4. Summarize project activities for the entire period of funding, including original hypotheses, approaches used, problems encountered and departure from planned methodology, and an assessment of their impact on the project results. Include, if applicable, facts, figures, analyses, and assumptions used during the life of the project to support the conclusions.
5. Identify products developed under the Award and technology transfer activities, such as:
6. Publications (list journal name, volume, issue), conference papers, or other public releases of results. If not provided previously, attach or send copies of any public releases to the DOE Program Manager identified in Block 15 of the Assistance Agreement Cover Page;
7. Web site or other Internet sites that reflect the results of this project;
8. Networks or collaborations fostered;
9. Technologies/Techniques;
10. Inventions/Patent Applications, licensing agreements; and
11. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.
12. For projects involving computer modeling, provide the following information with the final report:
    1. Model description, key assumptions, version, source and intended use;
    2. Performance criteria for the model related to the intended use;
    3. Test results to demonstrate the model performance criteria were met (e.g., code verification/validation, sensitivity analyses, history matching with lab or field data, as appropriate);
    4. Theory behind the model, expressed in non-mathematical terms;
    5. Mathematics to be used, including formulas and calculation methods;
    6. Whether or not the theory and mathematical algorithms were peer reviewed, and, if so, include a summary of theoretical strengths and weaknesses;
    7. Hardware requirements; and
    8. Documentation (e.g., user guides, model code).
13. **Final Invention and Patent Report**

|  |  |
| --- | --- |
| Submit to: | [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov) and ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | * Under Attachment 2 (Small Business) and Attachment 2 (Universities), prior to the closeout of the award. * Under Attachment 2 (Large Business), within 90 days after completion of the award work. |

The Prime Recipient is required to submit a DOE Form 2050.11, “Patent Certification,” available at <http://energy.gov/management/downloads/cformsdoe-f-205011cdr>.

Under Attachment 2 (Large Business), the Final Invention and Patent Report must include a list of all subcontracts at any tier containing a patent rights clause (or state that there were none).

1. **Final Property Report**

|  |  |
| --- | --- |
| Submit to: | ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | Within 90 calendar days after closeout of award |

The Prime Recipient must submit a final inventory of Government-furnished property, and property acquired with project funds, whether the property is in the possession of the Prime Recipient or Subrecipients. The Prime Recipient must submit a completed SF-428B, available at [https://www.energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms](http://www.whitehouse.gov/omb/grants_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. Any property with a fair market value below $5,000 may be omitted from the inventory.

The Prime Recipient may submit a disposition plan or request by submitting a completed SF-428C, available at <https://www.energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> to ePIC. The ARPA-E Contracting Officer has sole and exclusive authority to approve disposition plans and requests.

1. **Software Deliverable Submission**

|  |  |
| --- | --- |
| Submit to: | DOE Energy Link System (E-Link) available at <http://www.osti.gov/estsc/241-4.jsp>. Alternatively, submit by regular mail to Energy Science and Technology Software Center, P.O. Box 1020, Oak Ridge, TN 37831. |
| Submission deadline: | Within 90 calendar days after closeout of award |

The Prime Recipient must submit any software created under this Award that is expressly stated in the award as a deliverable, as well as any accompanying documentation or manuals. If the software is expressly required to be delivered, 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.

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,” available at <http://www.osti.gov/estsc/241-4pre.jsp>.

**III. POST-AWARD REPORTING (FOLLOWING CLOSEOUT OF AWARD)**

1. **Subject Invention Utilization Reporting**

|  |  |
| --- | --- |
| Submit to: | ARPA-E’s Energy Program Information Center (ePIC): [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/) |
| Submission deadline: | Within 90 calendar days of annual reporting period |

See Section I.F above.

**APPENDIX A**

**NOTICE TO RECIPIENTS (PRIME RECIPIENTS)**

**REGARDING CONFIDENTIAL INFORMATION AND DATA  
AND PROTECTED PERSONALLY IDENTIFIABLE INFORMATION**

**I. CONFIDENTIAL INFORMATION AND DATA**

The Recipient is required to mark confidential information and data in accordance with this guidance. Failure to properly mark confidential information and data may result in its public disclosure under the Freedom of Information Act (FOIA, 5 U.S.C. § 552) or otherwise.

Note: Please be aware that documents related to your award – including the Cooperative Agreement – may be requested under the FOIA. However, ARPA-E notifies Prime Recipient of such FOIA requests, and consistent with DOE regulation, ARPA-E provides Prime Recipients an opportunity to submit their views regarding the release of commercial and proprietary information contained in the requested documents. ARPA-E is diligent in protecting commercially sensitive information that is properly marked as described below or as otherwise provided in the Award. Note: ARPA-E’s Energy Program Information Center (ePIC) has its own mechanisms to allow the Recipient to mark confidential information.

1. **Protected Data**

If the Award includes a “Rights in Data - Programs Covered Under Special Data Statutes” clause in Attachment 2, the Prime Recipient may mark data that qualifies as “Protected Data” with the legend set forth in that clause.

1. **Other Confidential Information and Data**

The Recipient must properly mark any documents containing trade secrets or commercial/financial information that is privileged or confidential other than technical data or computer software. Marking of technical data and computer software is addressed in the “Rights in Data” Clause of Attachment 2.

* The cover page must be marked with the following wording and identify the specific pages containing such information:

*NOTICE OF RESTRICTION ON DISCLOSURE AND USE OF DATA*

*Pages [\_\_] of this document may contain trade secrets or commercial or financial information that is privileged or confidential and exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source.*

* + The header and footer of each page containing such information must be marked with the following wording: “May contain trade secrets or commercial or financial information that is privileged or confidential and exempt from public disclosure.”
  + Each line and paragraph containing such information must be marked with double brackets or other clear identification, such as highlighting.
  + Ensure that all e-mails containing protected information are categorized as “confidential.” (Learn how to mark a message confidential in Outlook: <http://office.microsoft.com/en-us/outlook-help/mark-a-message-as-private-personal-or-confidential-HP005242880.aspx>).

**II. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION**

The Recipient should not include any Protected Personally Identifiable Information (Protected PII) in their submissions to ARPA-E. Protected PII is defined as any data that, if compromised, could cause harm to an individual such as identify theft. Protected PII includes:

* Social Security Numbers in any form;
* Place of Birth associated with an individual;
* Date of Birth associated with an individual;
* Mother’s maiden name associated with an individual;
* Biometric record associated with an individual;
* Fingerprint;
* Iris Scan;
* DNA;
* Medical history information associated with an individual;
* Medical conditions, including history of disease;
* Metric information, e.g., weight, height, blood pressure;
* Criminal history associated with an individual;
* Ratings;
* Disciplinary actions;
* Financial information associated with an individual;
* Credit card numbers; and
* Security clearance history or related information (not including actual clearances held).