## ATTACHMENT 4:

## ARPA-E REPORTING CHECKLIST AND INSTRUCTIONS

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| 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 and Commercialization Rights Agreement  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. Annual Interim Reports on Subject Invention Disclosures  **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  AYY  FY  FY  A  A  FF  F  F  A | 1  1  1  1  11  1  1  1  1  1  1  1  1  1  1  1 | See block 5 for instructions  See block 5 for instructions  <http://www.osti.gov/elink-2413>  See block 5 for instructions  See block 5 for instructions  [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov)  [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov)  See block 5 for instructionsSee block 5 for instructions  See block 5 for instructions  See block 5 for instructions  See block 5 for instructions  <http://www.osti.gov/elink-2413>  See block 5 for instructions  See block 5 for instructions  <http://www.osti.gov/estsc/241-4pre.jsp>  See block 5 for instructions |
| 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 15 calendar days after end of the quarterly reporting 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, send to [ARPA-E–Reporting@hq.doe.gov](mailto:ARPA-E–Reporting@hq.doe.gov). Otherwise, send to the Cognizant Federal Agency.  For Research Performance Progress Reports, Financial Reports, Intellectual Property and Commercialization Rights Agreements, and Subject Invention Utilization Reports: Submit information using ARPA-E’s Energy Program Information Center (ePIC), accessible at [https://arpa-e-epic.energy.gov](https://arpa-e-epic.energy.gov/).  For Special Status Reports, Annual Audits of For-Profit Recipients, Annual Property Inventories, and Final Property Report: Send to [ARPA-E–Reporting@hq.doe.gov](mailto:ARPA-E–Reporting@hq.doe.gov) and to the program support staff designated by the ARPA-E Program Director.  For Annual Interim Reports on Subject Invention Disclosures and Final Invention and Patent Report: Send to [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov), [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov), and to the program support staff designated by the ARPA-E Program Director.  For Intellectual Property Reporting: Send the completed, signed “ARPA-E Intellectual Property Reporting Form,” available at <http://arpa-e.energy.gov/?q=arpa-e-site-page/award-guidance-sbir-sttr>, to [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov) and [ARPA-E-Counsel@hq.doe.gov](mailto:ARPA-E-Counsel@hq.doe.gov). Alternatively, the Prime Recipient may report via the iEdison system (<https://s-edison.info.nih.gov/iEdison/>). | | | |

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| **ARPA-E Reporting Instructions** |

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| **\*\*\*** | ***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**

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| 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 15 calendar days of every quarter (January 15, April 15, July 15, October 15) |

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, including registration instructions, 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.

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.

If technical milestones and deliverables were not met, explain why they were not met in this section. Discuss what was accomplished during this reporting period, including major activities, significant results, major findings or conclusions, key outcomes, or other achievements. This section should contain sufficient information to allow the ARPA-E 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.

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

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. Technologies/Techniques: Discuss any new technologies or techniques developed under the Award. Briefly describe the new technologies or techniques and their potential application to current and future projects.
3. Status Reports: List progress reports and updates submitted to ARPA-E during the quarter. Provide the name of each report and the date of submission to ARPA-E.
4. Media Reports: Identify any media articles (e.g., newspapers, magazines, online media) during the quarter. List author, title, publication or website, page number (if applicable), and date of publication. *The Prime Recipient is required to send a copy of any media report that discusses project results to the program support staff designated by the ARPA-E Program Director.*
5. Invention Disclosures: Identify subject inventions disclosed to ARPA-E and the U.S. Department of Energy (DOE) under this Award. List title, date submitted, and name of inventor. *This requirement does not relieve the Prime Recipient of its responsibility to report subject inventions to ARPA-E as part of its Intellectual Property reporting requirements. For reference, see Section I.D below.*
6. Patent Applications: Identify domestic and foreign patent applications arising out of subject inventions disclosed to ARPA-E and the DOE under this Award. List patent number, name of inventors, assignee, patent application number, date of filing, and title of patent application.
7. Licensed Technologies: Identify subject inventions licensed to third parties. List name of licensee, domestic or foreign patent or patent application number, title, and expiration date of agreement.
8. Networks/Collaborations Fostered: Identify any partnerships or other arrangements concluded with respect to the project or technology area. List name of network/collaboration (if any), name of entities involved, date of agreement (if any), brief description of network/collaboration, and technology area.
9. Websites Featuring Project Work or Results: Identify web sites that reflect the work or results of this project. List name of website, specific webpage(s) on which project work or results are featured, and brief description of project work or results featured.
10. Other Products: Provide information on any additional project output, such as 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.
11. Awards, Prizes, and Recognition: Identify any awards, prizes, or other recognition for project work or results, subject inventions, patents or patent applications, etc. List name of award/recognition/prize, name of sponsoring organization, date of receipt, and subject of award/prize/recognition.

Section VI. 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. Include any pending application for funding to governmental or other entities.

Section VII. 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; and
3. The Prime Recipient, Subrecipient, or Principal Investigator(s) (including Co-Principal Investigators) is insolvent.

Section VIII. 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 IX. Performance of Work in the United States: The Prime Recipient is required to disclose if any work under the Award is being performed overseas. ARPA-E requires 100% of the Total Project Cost to be expended in the United States. 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).

Section X. Project Schedule Status: The Prime Recipient is required to report on the status of the tasks, technical milestones, and deliverables identified in their award. List the actual start and completion dates of tasks, milestones, and deliverables addressed during the quarter. The Prime Recipient must estimate the percentage complete for each task, milestone, and deliverable.

Section XI.A Budget Status - Prime Recipient: The Prime Recipient is required to report budget amounts **submitted for reimbursement** to ARPA-E during the quarter.

Section XII. 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**

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| 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 15 calendar days of every quarter (January 15, April 15, July 15, October 15) |

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 at <http://www.whitehouse.gov/omb/grants_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**

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| 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**

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| Submit via email to: | [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov) and [ARPA-E-Counsel@hq.doe.gov](mailto:ARPA-E-Counsel@hq.doe.gov) |
| Submission deadline: | Within five (5) calendar days after the occurrence of the event, unless otherwise specified below:   * 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 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 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. * Discontinue prosecution of a patent application, maintenance of a patent, or defense in a patent reexamination or opposition proceeding, regardless of jurisdiction –   + At least 30 days before the expiration of the response period required by a relevant domestic or foreign patent office. |

Prime Recipients and Subrecipients may complete ARPA-E’s Intellectual Reporting Form in order to fulfill their intellectual property reporting obligations under the ARPA-E Award. The “ARPA-E Intellectual Property Reporting Form,” available at <http://arpa-e.energy.gov/?q=arpa-e-site-page/award-guidance-sbir-sttr>, should be used to:

1. Disclose subject inventions, including anticipated uses and sales (if so, please complete Sections A, B, D, and G of the ARPA-E Intellectual Property Reporting Form);
2. Report publications, manuscript submissions, or other public disclosures concerning a subject invention (if so, please complete Sections A, C, and G of the ARPA-E Intellectual Property Reporting Form);
3. Elect (or decline) to retain title to a subject invention (if so, please complete Sections A, D, and G of the ARPA-E Intellectual Property Reporting Form);
4. Disclose the filing or termination of patent applications arising out of a subject invention. Patent disclosures must be made for filing the following patent applications:
   1. An initial domestic patent application (if so, please complete Sections A, E, G, and H of the ARPA-E Intellectual Property Reporting Form);
   2. A domestic divisional patent application (if so, please complete Sections A, E, and G of the ARPA-E Intellectual Property Reporting Form);
   3. A domestic patent continuation application (if so, please complete Sections A, E, and G of the ARPA-E Intellectual Property Reporting Form);
   4. A domestic continuation-in-part application (if so, please complete Sections A, D, E, G, and H of the ARPA-E Intellectual Property Reporting Form);
   5. One or more foreign patent applications (if so, please complete Sections A, E, and G of the ARPA-E Intellectual Property Reporting Form);
5. Discontinue prosecution of a patent application, maintenance of a patent, or defense in a patent reexamination or opposition proceeding, regardless of jurisdiction (if so, please complete Sections A, E, and G of the ARPA-E Intellectual Property Reporting Form);
6. Request an extension of time to:   
   1. Elect (or decline) to retain title to a subject invention (if so, please complete Sections A, F, and G of the ARPA-E Intellectual Property Reporting Form); and
   2. File an initial domestic or foreign patent application (if so, please complete Sections A, F, and G of the ARPA-E Intellectual Property Reporting Form).

If additional space is required to complete any fields, please append additional pages to this form.

Alternatively, Prime Recipients and Subrecipients may report Items 1-4 via the iEdison system, available at <https://s-edison.info.nih.gov/iEdison/>. (Items 5-6 may only be reported to DOE and ARPA-E by submitting the “ARPA-E Intellectual Property Reporting Form,” as detailed above.)

The requirements of this section do not relieve the Prime Recipient of its responsibility to disclose Subject Inventions reported to ARPA-E in its quarterly Research Performance Progress Reports. For reference, see Section I.A above.

1. **Intellectual Property and Commercialization Rights Agreement**

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| 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 multi-member Project Team to negotiate and establish an Intellectual Property and Commercialization Rights Agreement that governs management and disposition of intellectual property arising from the project, and allocates rights to carry out any follow-on research, development, or commercialization activities. The Prime Recipient must submit a completed and signed Intellectual Property and Commercialization Rights Agreement to ARPA-E. The Intellectual Property and Commercialization Rights Agreement is subject to the terms and conditions of the ARPA-E Award and applicable Federal laws, regulations, and policies, all of which take precedence over the terms and conditions of the Intellectual Property and Commercialization Rights Agreement.

ARPA-E has developed a template for Intellectual Property and Commercialization Rights Agreements, available at <http://arpa-e.energy.gov/?q=arpa-e-site-page/award-guidance-sbir-sttr>, so as to facilitate and expedite negotiations between Project Team members. ARPA-E does not mandate the use of this template. ARPA-E does 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 legal counsel before using the template.

To submit an Intellectual Property 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**

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| 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 90 calendar days after the end of the annual reporting period and for five (5) years after the end of the Project Period. |

To ensure that Prime Recipients and Subrecipients holding title to subject inventions are taking the appropriate steps to commercialize subject inventions, ARPA-E requires Recipients to submit annual reports, throughout the project period and for five (5) 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.

To submit a Subject Invention Utilization Report, 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, including registration instructions, 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. **Lobbying Activities Reporting**

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| Submit via email to: | [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.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>), and submit it to [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov) 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**

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| Submit via email to: | [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov) and to the program support staff designated by the ARPA-E Program Director |
| 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. Potential or actual 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 noncompliance with ARPA-E or DOE reporting requirements under the Award;
7. Potential or actual violations of the lobbying restrictions in the Award;
8. Potential or actual bankruptcy/insolvency of the Prime Recipient or Subrecipient;
9. Potential or actual violation of U.S. export control laws and regulations arising out of or relating to the work under the Award;
10. Any fatality or injuries requiring hospitalization arising out of or relating to work under the Award;
11. Potential or actual violations of environmental, health, or safety laws and regulations;
12. Any event which is anticipated to cause a significant schedule slippage or cost increase;
13. Any damage to Government-owned equipment in excess of $25,000;
14. Any incident arising out of or relating to work under the Award that has the potential for high visibility in the media.
15. **Annual Indirect Cost Proposals**

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| Submit to: | If ARPA-E is the Cognizant Federal Agency, send it to [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov) and to the program support staff designated by the ARPA-E Program Director.  Otherwise, submit it to the Cognizant Federal Agency. |
| Submission deadline: | Within 180 calendar days of the close of the fiscal year |

The Prime Recipient and Subrecipient 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) or a fixed amount for indirect or facilities and administration (F&A) costs. The Prime Recipient must submit its annual indirect cost proposal directly to the Cognizant Federal Agency for negotiating and approving indirect costs.

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

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| Submit to: | [DOE-Audit-Submission@hq.doe.gov](mailto:DOE-Audit-Submission@hq.doe.gov), [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov), and to the program support staff designated by the ARPA-E Program Director |
| Submission deadline: | Within 180 calendar days of the close of the fiscal year |

Any Prime Recipient and Subrecipient that is a for-profit entity must submit an annual compliance and financial statement audit. See 10 C.F.R. 600.316 and For-Profit Audit Guidance available at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>.

1. **Annual Property Inventories**

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| Submit to: | [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov) and to the program support staff designated by the ARPA-E Program Director |
| 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 <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 of $5,000 or less may be omitted from the inventory.

1. **Annual Interim Reports on Subject Invention Disclosures**

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| Submit to: | [GC-62@hq.doe.gov](mailto:GC-62@hq.doe.gov), [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov), and to the program support staff designated by the ARPA-E Program Director |
| Submission deadline: | Within 90 calendar days of the close of the annual reporting period |

The Prime Recipient is required to provide an interim report on an annual basis listing subject inventions disclosed to DOE during the reporting period and stating either that all subject inventions have been disclosed or that there are no such inventions.

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

1. **Final Scientific/Technical Report**

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| 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), [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov), and to the program support staff designated by the ARPA-E Program Director |
| 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 closeout of the award. |

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-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov) and to the program support staff designated by the ARPA-E Program Director |
| 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 <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 <http://www.whitehouse.gov/omb/grants_forms>, to [ARPA-E-Reporting@hq.doe.gov](mailto:ARPA-E-Reporting@hq.doe.gov). 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 all software deliverables created under this Award, as well as any accompanying documentation or manuals. 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-Reporting@hq.doe.gov |
| Submission deadline: | Within 90 calendar days of annual reporting period |

See Section I.F. above.

**APPENDIX A**

**NOTICE TO RECIPIENTS (PRIME RECIPIENTS AND SUBRECIPIENTS) 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:** This guidance does not apply to information submitted to ARPA-E’s Energy Program Information Center (ePIC), which has its own mechanisms to allow the Recipient to mark confidential information.

1. **SBIR/STTR Data**

The Recipient must properly mark any documents containing SBIR/STTR Data.“SBIR/STTR Data” is defined in Attachment 2 to the ARPA-E award as data first produced by a Prime Recipient/Subrecipient in the performance of a Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) award issued under the authority of Section 9 of the Small Business Act (15 U.S.C. 638), which data are not generally known, and which data without obligation to its confidentiality have not been made available to others by the Prime Recipient/Subrecipient or are not already available to the Government. SBIR/STTR Data is protected from public disclosure for four (4) years after acceptance of all items to be delivered under a SBIR/STTR agreement or subaward.

* The cover page must be marked with the following wording and identify the specific pages containing SBIR/STTR Data:

***SBIR/STTR RIGHTS NOTICE***

*These SBIR/STTR data are furnished with SBIR/STTR rights under [Award No.\_\_\_\_\_\_\_\_\_\_\_* ***or*** *a subaward under Award No.\_\_\_\_\_\_\_\_\_\_\_]. For a period of four (4) years after acceptance of all items to be delivered under this [agreement or subaward], the Government agrees to use these data for Government purposes only, and they shall not be disclosed outside the Government (including disclosure for procurement purposes) during such period without permission of the Prime Recipient/Subrecipient, except that, subject to the foregoing use and disclosure prohibitions, such data may be disclosed for use by support contractors. After the aforesaid four‑year period, the Government has a royalty‑free license to use, and to authorize others to use on its behalf, these data for Government purposes, but is relieved of all disclosure prohibitions and assumes no liability for unauthorized use of these data by third parties. This Notice shall be affixed to any reproductions of these data in whole or in part.*

* + The header and footer of each page containing protected information must be marked with the following wording: “May contain protected information that is privileged or confidential and exempt from public disclosure.”
  + 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>).

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.

* 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).