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| 1. Identification Number:  | 2. Program/Project Title:  |
| 3. Recipient:  |
| 4. Reporting Requirements (see attached “EERE Reporting Instructions”):**I. PROJECT MANAGEMENT REPORTING** [ ]  A. Research Performance Progress Report (RPPR) (RD&D Projects)[ ]  B. Progress Report (Non-RD&D Projects)[ ]  C. Financial Report (SF-425)[ ]  D. Special Status Report[ ]  E. Other (see Special Instructions)**II. SCIENTIFIC / TECHNICAL REPORTING** [ ]  A. Journal Article-Accepted Manuscript [ ]  B. Scientific / Technical Conference Paper / Presentation / Proceeding [ ]  C. Scientific / Technical Software & Manual[ ]  D. Scientific / Technical Dataset[ ]  E. Other STI (Dissertation / Thesis, see Special Instructions)**III. CLOSEOUT REPORTING**  [ ]  A. Final Scientific / Technical Report [ ]  B. Patent Certification (DOE F 2050.11) [ ]  C. Final Property Report (SF-428 & SF-428B)[ ]  D. Software Deliverable Submission[ ]  E. Other (see Special Instructions)**IV. OTHER REPORTING** [ ]  A. Intellectual Property Reporting Form (EERE 357)[ ]  B. Invention Utilization Report (EERE 356)[ ]  C. U.S. Manufacturing Report (EERE 358)[ ]  D. Project Management Plan (PMP) [ ]  E. Annual Indirect Cost Proposal[ ]  F. Annual Audit of For-Profit Recipients[ ]  G. Annual Property Inventory (SF-428)[ ]  I. Reporting Addendum (EERE 359)[ ]  J. Other (see Special Instructions) | Frequency | Addressees\*\*See attached “EERE Reporting Instructions” for complete submission instructions |
| **Q****Q****QF****A****A****A****A****A****A****A****F****F****F****F****F****A****Y****Y****A****Y180****A****Y****YF****A** | A. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>B. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>C. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>D. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>E. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>A. <http://www.osti.gov/elink-2413>B. <http://www.osti.gov/elink-2413>C. <http://www.osti.gov/estsc/241-4.jsp>D. <https://www.osti.gov/elink/241-6>E. <http://www.osti.gov/elink-2413>A. <http://www.osti.gov/elink-2413>B. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>**& send to:** IPLegalReviews@ee.doe.govC. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>D. <http://www.osti.gov/estsc/241-4.jsp>E. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>A. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>**& send to:** IPLegalReviews@ee.doe.govB. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>**& send to:** IPLegalReviews@ee.doe.govC. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>**& send to:** IPLegalReviews@ee.doe.govD. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>E. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>**(or Cognizant Federal Agency)****& send to:** CostPrice@ee.doe.govF. **See section IV. F. for instructions and due dates** <https://www.eere-pmc.energy.gov/SubmitReports.aspx> **& send to:** CostPrice@ee.doe.gov **& send to CFO at** :DOE-Audit-Submission@hq.doe.govG. <https://www.eere-pmc.energy.gov/SubmitReports.aspx> I. <https://www.eere-pmc.energy.gov/SubmitReports.aspx>J. <https://www.eere-pmc.energy.gov/SubmitReports.aspx> |
| **FREQUENCY CODES AND DUE DATES:****A – Within five (5) calendar days after the event, or as specified.****F – Final; within 90 calendar days after expiration or termination of the award.****Y – Yearly; within 90 calendar days after the end of the annual reporting period.****S – Semiannually; within 30 days after end of the reporting period.****Q – Quarterly; within 30 calendar days after the end of the quarterly reporting period.****Y180 – Yearly; within 180 calendar days after the close of the recipient’s fiscal year.****O – Other: See instructions for further details.** |
| 1. EERE Special Instructions:
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| **EERE 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 EERE. See Appendix A for guidance on Protected PII.*** | **\*\*\*** |

**I. PROJECT MANAGEMENT REPORTING**

1. **Research Performance Progress Report (RPPR) (RD&D Projects)**

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| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx>  |
| Submission deadline: | Within 30 calendar days after the end of the quarterly reporting period (January 30, April 30, July 30, October 30) |

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 EERE. The Research Performance Progress Report must include the following information.

Title Page: The title page should identify, in chart form, the Federal Agency to which the report is submitted; the FOA name and number; the nature of the report (i.e., Research Performance Progress Report); the award number; the award type (e.g., grant, CRADA); the name, title, email address, and phone number for the Prime Recipient; the Prime Recipient type (National Lab, University, Private Company, Non-Profit, or Government); the project title; the Principal Investigator(s); the Prime Recipient’s DUNS number; the date of the report; and the period covered by the report, including the quarter and year (e.g., Q1: Jan. 1 – Mar. 31, 2010).

Section I. Accomplishments & Milestone Update: A comparison of the actual accomplishments with the technical milestones and deliverables for the period. Explain why the technical milestones and deliverables were not met, if they were not. Describe the pre-commercialization status (e.g., cost, efficiency, durability) of technologies developed or being developed through EERE-sponsored efforts. Discuss what was accomplished during this reporting period, including major activities, significant results, major findings or conclusions, key outcomes, or other achievements. Clearly denote the recipient’s unique and distinguished contribution to the project. This section should contain sufficient information to allow the EERE director to verify the achievement of the technical milestones and deliverables.

Section II. Issues, Risks, and Mitigation: Actual or anticipated problems or delays and actions taken or planned to resolve them.

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

Section IV. Key Personnel: Any changes in key personnel or teaming arrangements. Such changes must be approved in advance by the EERE Contracting Officer.

Section V. Project Output:

1. Publications: 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). List 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 EERE Program Director.* Scientific/technical conference papers/proceedings must also be reported in accordance with Section II.B of “EERE Reporting Instructions.”
2. Technologies/Techniques: Any new technologies or techniques developed under the Award. Briefly describe the new technologies or techniques (specific capabilities and performance improvements enabled by EERE-sponsored efforts), the pre-commercialization history of the technologies and their potential application to current and future projects.
3. Status Reports: Progress reports and updates submitted to EERE during this quarter. List name of report and date of submission to EERE.
4. Media Reports: Any media articles (e.g., newspapers, magazines, online media). 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 EERE Program Director.*
5. Invention Disclosures: Subject inventions disclosed to EERE and the U.S. Department of Energy (DOE) under this Award. List title, date submitted, and name of inventor.
6. Patent Applications: Domestic and foreign patent applications arising out of subject inventions disclosed to EERE 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: 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: Partnerships and 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. Clearly denote the partner organizations’ unique and distinguished contribution to the project.
9. Websites Featuring Project Work or Results: Web site or other Internet sites that reflect the work or results of this project. List name of website, specific webpage(s) on which project work or results featured, and brief description of project work or results featured.
10. Other Products: 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: Any awards, prizes, or other recognition for project work or results, subjection 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 received or anticipated commitment or obligations of funding that is being received or may be received by the Prime Recipient, Subrecipient, Principal Investigator(s) (including Co-Principal Investigators), or Key Participants to support the EERE funded project or work that relates directly or indirectly to the EERE funded project. List 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. EERE requires 100% of the Total Project Cost to be expended in the United States. The Prime Recipient may perform certain work overseas if a authorized in advance by the EERE 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 technical milestones and deliverables identified in their award. List milestones and deliverables, anticipated start and completion dates, and actual start and completion dates. The Prime Recipient must estimate the percentage complete for each milestone/deliverable.

Section XI.A Budget Status - Prime Recipient: Show approved budget (EERE share vs. the Prime Recipient’s cost share), actual costs incurred during the quarter (EERE share vs. the Prime Recipient’s cost share), cumulative cost to date (EERE share vs. the Prime Recipient’s cost share), and remaining balance. In addition, show Technology Transfer & Outreach (TT&O) costs on a separate worksheet.

Section XI.B Budget Status – FFRDC/GOGO: Show approved budget (EERE share vs. FFRDC/GOGO cost share, if any), actual costs incurred during the quarter (EERE share vs. FFRDC/GOGO cost share, if any), cumulative cost to date (EERE share vs. FFRDC/GOGO cost share, if any), and remaining balance. In addition, show TT&O costs on a separate worksheet.

Section XII. Certification of Compliance: 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. **Progress Report (Non-RD&D Projects)**

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| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx>  |
| Submission deadline: | Within 30 calendar days after the end of the quarterly reporting period (January 30, April 30, July 30, October 30) |

The Recipient must provide a concise narrative assessment of the status of work and include the following information and any other information identified under Special Instructions on the Federal Assistance Reporting Checklist:

 1. The DOE award and report information:

a. The DOE Award Number (as it appears on the award face page)

b. Recipient Name (as it appears on the award face page)

c. Project Title

d. Project Director / Principal Investigator (PD/PI) Name, Title and Contact Information

 (e-mail address and phone number)

e. Name of Submitting Official, Title, and Contact Information (e-mail address and phone number), if other than PD/PI

f. Project Period (Start Date, End Date)

g. Report Submission Date

h. Reporting Period Start and End Date

2. A written comparison of the actual project accomplishments with the project goals and objectives established for the reporting period**;** if goals and/or objectives for the reporting period were not met, a detailed description of the variance shall be provided.

3. A discussion of what was accomplished under these goals and objectives established for this reporting period, including major activities, significant results, major findings or conclusions, key outcomes, or other achievements. This section should not contain any proprietary data or other information not subject to public release. If such information is important to reporting progress, do not include the information, but include a note in the report advising the reader to contact the Principal Investigator or the Project Director for further information.

4. Cost Status. A comparison of the approved budget by budget period and the actual costs incurred during the reporting period shall be provided. If cost sharing is required, the cost breakdown shall show the DOE share, recipient share, and total costs.

5. Schedule Status. List milestones, anticipated completion dates and actual completion dates. If you submitted a project management plan with your application, you must use this plan to report schedule and budget variances. You may use your own project management system to provide this information.

6. Describe any changes during the reporting period in project approach and the reasons for these changes. Remember, significant changes to the project objectives and scope require prior approval by the Contracting Officer.

7. Describe any actual or anticipated problems or delays and any actions taken or planned to resolve them.

 8. Describe any absence or changes of key personnel or changes in consortium/teaming arrangement during the reporting period.

 9. List and describe any product produced or technology transfer activities accomplished during this reporting period, such as:

A. Publications (list journal name, volume, issue); conference papers; or other public releases of results. Attach or send copies of public releases to the DOE Program Manager identified in Block 15 of the Assistance Agreement Cover Page.

1. Web site or other Internet sites (list the URL) that reflect the results of this project.
2. Networks or collaborations fostered.
3. Technologies/Techniques (Identify and Describe).
4. Inventions/Patent Applications (Identify and Describe with date of application)
5. Other products, such as data or databases, physical collections, audio or video, software or NetWare, models, educational aid or curricula, instruments or equipment (Identify and Describe).
6. **Financial Report SF-425 Federal Financial Report**

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| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx>  |
| Submission deadline: | Within 30 calendar days after the end of the quarterly reporting period (January 30, April 30, July 30, October 30) **and** within 90 calendar days after expiration or termination of the award |

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 EERE. A fillable version of the SF-425 is available at <http://www.whitehouse.gov/omb/grants/grants_forms.aspx>.

1. **Special Status Reports**

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| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx>  |
| Submission deadline: | Within five (5) calendar days after the event, or as specified |

The Prime Recipient is required to report the following events to EERE:

1. Any notices or claims of patent or copyright infringement arising out of or relating to the performance of the EERE Award;
2. Refusal of a Subrecipient to accept flowdown requirements in the Special Terms and Conditions and/or any Attachment to the EERE 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 EERE 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. **Other (see Special Instructions)**

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| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx>  |
| Submission deadline: | Within five (5) calendar days after the event, or as specified |

 **II. SCIENTIFIC / TECHNICAL REPORTING**

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 <http://www.osti.gov>.

For more information on STI submittals, see <http://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.

**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 “O – Other” on the Checklist.

Other types of STI produced which may be for 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 (<http://www.osti.gov/elink-2413>).

1. **Journal Article-Accepted Manuscript**

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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 event, or as specified |

Access to scholarly publications is enabled by providing the Journal Article-Accepted Manuscript to DOE OSTI and is consistent with the U.S. Government's retained license to published results of federally funded research. If the Recipient has a journal article accepted for publication, then the Recipient must submit an AN 241.3, as described below, at the time the article meets the status of being “accepted” for publication.

Content. The Recipient is to provide the final peer-reviewed accepted manuscript, i.e., the version of a journal article that has been peer reviewed and accepted for publication in a journal. Do NOT submit the journal’s published version of the article, i.e., do NOT submit a copyrighted reprint.

Electronic Submission Process. The Journal Article-Accepted Manuscript must be provided electronically via the DOE Energy Link System (E-Link) and must be accompanied by a completed DOE Announcement Notice (AN) 241.3 (<http://www.osti.gov/elink-2413>).

Within the AN 241.3, provide relevant journal information (article title, journal name, volume, issue, and any other pertinent publication information) as well as the URL (unless uploading the full document).

Within the 241.3, the Recipients should provide a persistent link to the repository location of the accepted manuscript. An example of a persistent link is a URL to the specific location of the Journal Article-Accepted Manuscript 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 should 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 the ADOBE PORTABLE DOCUMENT FORMAT (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematic, graphs, and charts.

1. **Scientific / Technical Conference Papers / Presentation /Proceeding**

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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 event, or as specified |

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. **Scientific / Technical Software & Manual**

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| --- | --- |
| Submit to: | DOE Energy Link System (E-Link) available at <http://www.osti.gov/estsc/241-4.jsp> |
| Submission deadline: | Within five (5) calendar days after the event, or as specified |

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

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 form and instructions are available on E-Link at <http://www.osti.gov/estsc/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

1. **Scientific / Technical Datasets**

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| Submit to: | DOE Energy Link System (E-Link) available at <https://www.osti.gov/elink/241-6> |
| Submission deadline: | Within five (5) calendar days after the event, or as specified |

Scientific/technical datasets (datastreams, 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.

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/241-6>). Within the AN 241.6, provide relevant information about the dataset as well as the URL where the dataset can be accessed.

1. **Other (Dissertation / Thesis, see Special Instructions)**

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| Submit to: | <http://www.osti.gov/elink-2413>  |
| Submission deadline: | Within five (5) calendar days after the event, or as specified |

Other types of scientific and technical information produced which may be for 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 (<http://www.osti.gov/elink-2413>).

NOTE: ALL SCIENTIFIC/TECHNICAL PRODUCTS INTENDED FOR PUBLIC RELEASE SHOULD NOT CONTAIN PROTECTED PII. Personally Identifiable Information (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.

**III. CLOSEOUT REPORTING**

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 expiration or terminationof the 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 EERE award number; name of recipient; project title; name of project director/principal investigator; and consortium/teaming 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. 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, <http://www.osti.gov/pages/>) are accessible to the public.
5. 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.
6. Identify products developed under the Award and technology transfer activities, such as:
7. 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;
8. Web site or other Internet sites that reflect the results of this project;
9. Networks or collaborations fostered;
10. Technologies/Techniques;
11. Inventions/Patent Applications, licensing agreements; and
12. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.
13. 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).
14. **Patent Certification**

|  |  |
| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx> **& send to:** IPLegalReviews@ee.doe.gov |
| Submission deadline: | Within 90 calendar days after expiration or terminationof 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>.

For Large Businesses, 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 SF-428 & 428B**

|  |  |
| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx> |
| Submission deadline: | Within 90 calendar days after expiration or terminationof the 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 <https://www.eere-pmc.energy.gov/SubmitReports.aspx>

The EERE 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 expiration or terminationof the 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/241-4.jsp>.

1. **Other (see Special Instructions)**

|  |  |
| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx>  |
| Submission deadline: | Within 90 calendar days after expiration or terminationof the award |

**IV. OTHER REPORTING**

1. **Intellectual Property Reporting Form (EERE 357)**

|  |  |
| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx> **& send to:** IPLegalReviews@ee.doe.gov  |
| Submission deadline: | Within five (5) calendar days after the event, or as specified |

The Recipient and subrecipient(s), if any, must complete the Intellectual Property Report when:

(1) Disclosing a subject invention, including anticipated uses and sales;

(2) Reporting publications, manuscript submissions, or other public disclosures concerning a

 subject invention;

(3) Electing (or declining) to retain title to a subject invention;

(4) Disclosing the filing or termination of patent applications on a subject invention (*i.e.*,

 patent applications disclosing or claiming a subject invention). Patent disclosures must

 be made for filing the following patent applications:

• An initial domestic patent application;

• A domestic divisional or continuation patent application;

• A domestic continuation-in-part application; and

• A foreign patent application.

(5) Discontinuing prosecution of a patent application, maintenance of a patent, or defense

 in a patent reexamination or opposition proceeding, regardless of jurisdiction;

(6) Requesting an extension of time to:

• Elect (or decline) to retain title to a subject invention; and

• File an initial domestic or foreign patent application.

Failure to submit Intellectual Property Reporting Forms in a timely manner may result in forfeiture of the recipient’s or subrecipient’s rights in the subject inventions.

1. **Invention Utilization Report (EERE 356)**

|  |  |
| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx> **& send to:** IPLegalReviews@ee.doe.gov |
| Submission deadline: | Within 90 calendar days after the end of the annual reporting period (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) |

The recipient and subrecipient(s), if any, must provide Invention Utilization Reports 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.

1. **U.S. Manufacturing Report (EERE 358)**

|  |  |
| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx> **& send to:** IPLegalReviews@ee.doe.gov |
| Submission deadline: | Within 90 calendar days after the end of the annual reporting period (Reports are due annually for 5 years after the end date of the funding agreement) |

Organizations (e.g., recipients and contractors, at all tiers) that submit a U.S. Manufacturing Plan as part of their application for funding from the Office of Energy Efficiency and Renewable Energy (EERE), U.S. Department of Energy and are asserting any intellectual property protection over any part of the results from their funding agreements are required to submit annual reports on compliance with the Plan for 5 years from the end date of the funding agreement.

For the purpose of this report, intellectual property protection includes marking data as Protected Data, as defined in 10 CFR 600.325 Appendix A, or asserting copyright protection on any works developed under the funding agreement, other than scientific and technical articles or in software that will be licensed as open source. If you are submitting Invention Utilization Reports, the U.S. Manufacturing Report is not required.

1. **Project Management Plan (PMP)**

|  |  |
| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx>  |
| Submission deadline: | Within six (6) weeks of the effective date of the EERE Award |

 Iterations and Maintenance

 The recipient is required to develop, update, and adhere to a project management plan. The purpose of the plan is to establish cost, schedule, and technical performance baselines, and to formalize the processes by which the project will be managed. These processes include considerations such as risk management, change management, and communications management. While it is primarily the project recipient’s responsibility to maintain the plan, Federal staff may request changes. The plan is intended to be a living document, modified as necessary, and comprising the following iterations:

 Application Draft

 The recipient must submit a draft of the project management plan with the initial application for financial assistance.

 Negotiation Draft

 The selected recipient may be called upon by the selecting Office to revise its project management plan during the negotiation phase.

 Active Plan

 Following formal award of the financial assistance agreement, the recipient must submit an updated project management plan, to include any changes requested during negotiation and a timeline based upon the actual award date.

a. Revised Plan(s)

 During the life of the project the recipient must submit a revised project management plan based on the following circumstances:

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 the program office to respond to questions relating to such events from the public. Specifically, the recipient must update the plan when any of the following incidents occur:

a) Any event which is anticipated to cause significant schedule or cost

 changes, such as changes to the funding and costing profile or changes to

 the project timeline.

b) Any change to Technology Readiness Level.

c) Any significant change to risk events (including both potential and realized

 events) or to risk management strategies

d) Failure to meet a milestone or milestones; any dependencies should be

 adjusted.

e) Any changes to partnerships.

f) Any significant change to facilities or other project resources.

g) Any other incident that has the potential for high visibility in the media.

b. Content of revised PMP:

 Project Title: The DOE award number and project title

 Recipient Organization: Official name of the recipient organization

 Principal Investigator: The name and title of the project director/ principal investigator

 Date of Plan: The date the plan or plan revision was completed

 The revised PMP must describe changes to any of the following sections of the PMP as well as provide updated versions of any logs, tables, charts, or timelines.

1. Executive Summary: Provide a description of the project that includes the objective, project goals, and expected results. The description should include a high level description of the technology, potential use or benefit of the technology, location of work sites and a brief discussion of work performed at each site, along with a description of project phases (if the project includes phases).

2. Technology Readiness Levels (TRLs): Identify the readiness level of the technology associated with the project as well as the planned progression during the course of project execution. A detailed explanation of the rationale for the estimated technology readiness level should be provided. Specific entry criteria for the next higher technology readiness level should be identified. The following definitions apply:

a) TRL-1. Basic principles observed and reported: Scientific problem or phenomenon identified. Essential characteristics and behaviors of systems and architectures are identified using mathematical formulations or algorithms. The observation of basic scientific principles or phenomena has been validated through peer-reviewed research. Technology is ready to transition from scientific research to applied research.

b) TRL-2. Technology concept and/or application formulated: Applied research activity. Theory and scientific principles are focused on specific application areas to define the concept. Characteristics of the application are described. Analytical tools are developed for simulation or analysis of the application.

c) TRL-3. Analytical and experimental critical function and/or characteristic proof of concept: Proof of concept validation has been achieved at this level. Experimental research and development is initiated with analytical and laboratory studies. System/integrated process requirements for the overall system application are well known. Demonstration of technical feasibility using immature prototype implementations are exercised with representative interface inputs to include electrical, mechanical, or controlling elements to validate predictions.

d) TRL-4. Component and/or process validation in laboratory environment- Alpha prototype (component) Standalone prototyping implementation and testing in laboratory environment demonstrates the concept. Integration and testing of component technology elements are sufficient to validate feasibility.

e) TRL-5. Component and/or process validation in relevant environment- Beta prototype (component): Thorough prototype testing of the component/process in relevant environment to the end user is performed. Basic technology elements are integrated with reasonably realistic supporting elements based on available technologies. Prototyping implementations conform to the target environment and interfaces.

f) TRL-6. System/process model or prototype demonstration in a relevant environment- Beta prototype (system): Prototyping implementations are partially integrated with existing systems. Engineering feasibility fully demonstrated in actual or high fidelity system applications in an environment relevant to the end user.

g) TRL-7. System/process prototype demonstration in an operational environment- Integrated pilot (system): System prototyping demonstration in operational environment. System is at or near full scale (pilot or engineering scale) of the operational system, with most functions available for demonstration and test. The system, component, or process is integrated with collateral and ancillary systems in a near production quality prototype.

h) TRL-8. Actual system/process completed and qualified through test and demonstration- Pre-commercial demonstration: End of system development. Full-scale system is fully integrated into operational environment with fully operational hardware and software systems. All functionality is tested in simulated and operational scenarios with demonstrated achievement of end-user specifications. Technology is ready to move from development to commercialization.

3. Risk Management: Provide a summary description of the proposed approach to identify, analyze, and respond to potential risks associated with the proposed project. Project risk events are uncertain future events that, if realized, impact the success of the project. At a minimum, include the initial identification of significant technical, resource, and management issues that have the potential to impede project progress and strategies to minimize impacts from those issues. The risk management approach should be tailored to the TRL. If a project or task is expected to progress to a higher TRL, then the risk plan should address the retirement of any risks associated with the first TRL and identify new risks related to moving to the next TRL. Additionally, the risk management approach should include risk opportunities that if realized, could benefit the project.

4. Milestone Log: Provide milestones for each budget period (or phase) of the project. Each milestone should include a title and planned completion date. Milestones should be quantitative (e.g., a date, a decision to be made, a key event) and show progress toward budget period and/or project goals. Milestones should also be important and few. Higher TRL projects (Demonstration and Deployment) typically have the most detailed milestone logs compared to lower TRL level projects (Research and Development). If applicable, milestones chosen should clearly reflect progress through various TRL stages.

Note: The Milestone Status must present actual performance in comparison with the Milestone Log, and include:

 (a) The actual status and progress of the project,

 (b) Specific progress made toward achieving the project's milestones, and,

 (c) Any proposed changes in the project's schedule required to complete

 milestones.

5. Funding and Costing Profile: Provide a table (the Project Funding Profile) that shows, by budget period, the amount of government funding going to each project team member. Also a table (the Project Costing Profile) which projects, by month, the expenditure of both government and recipient funds for the first budget period, at a minimum. The Funding and Costing Profile should show the relationships with the Milestone Log (Item 4 above) and Project Timeline (Item 6 below); for example, Funding and Costing information could be shown as an overlay on milestone or timeline charts.

6. Project Timeline: Provide a timeline of the project (similar to a Gantt chart) broken down by each task and subtask, as described in the Statement of Project Objectives. The timeline should include a start date and end date for each task, as well as interim milestones. The timeline should also show interdependencies between tasks and include the milestones that are identified in the Milestone Log (Item 4 above). The timeline should also show the relationship to the Project Costing Profile (Item 5 above). If applicable, the timeline should include activities and milestones related to achieving succeeding TRLs.

7. Success Criteria at Decision Points: Provide well-defined success criteria for each decision point in the project, including go/no-go decision points and the conclusions of budget periods and the entire project. The success criteria should be objective and stated in terms of specific, measurable, and repeatable data. Usually, the success criteria pertain to desirable outcomes, results, and observations from the project. Key milestones can be associated with success criteria. If applicable, the success criteria should include exit criteria for progressing from one TRL to the next.

8. Key Partnerships, Teaming Arrangements and Team Members: Provide a list of key team members in the project as well as the role and contact information of each. A hierarchical project organization and structure chart should be provided along with a description of the role and responsibilities of each team member in terms of contribution to project scope. The section should also include key team members who fulfill single or multiple roles within a project as well as the contact information for each.

9. Facilities and Resources: Provide a list of project locations along with a discussion of capabilities and activities performed at each site in terms of contribution to project scope. The address of each work site should be provided.

10. Communications Management: Describe the communications needs and expectations for the project team members. The communications plan may be simple or detailed, depending on the complexity of the project. At a minimum, the plan should include contact information, methods of communicating and anticipated frequency.

11. Change Management: Provide a description of the process for managing change on the project. Describe how change will be monitored, controlled and documented within the project. This includes, but is not limited to, changes to the Scope, Schedule, and Budget. If applicable, Change Management should include assessing how changes impact TRLs.

1. **Annual Indirect Cost Proposals**

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| --- | --- |
| Submit to: | If EERE is the Cognizant Federal Agency, send the Annual Indirect Cost Proposal to <https://www.eere-pmc.energy.gov/SubmitReports.aspx> **& send to:** CostPrice@ee.doe.gov Otherwise, submit the proposal to the Cognizant Federal Agency |
| Submission deadline: | Within 180 calendar days after the close of the recipient’s 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**

|  |  |
| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx> **& send to:** CostPrice@ee.doe.gov**& send to CFO at:** DOE-Audit-Submission@hq.doe.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)  |

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.

The compliance audit report(s) must be submitted to DOE within the earlier of thirty 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, Cost-Price Analyst, and the DOE Office of the Chief Financial Officer (CFO).

1. **Annual Property Inventories**

|  |  |
| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx> |
| Submission deadline: | Within 90 calendar days after the end of the annual reporting period |

The Prime Recipient must submit an annual inventory of Government-furnished property and property acquired with project funding **where the award specifies that the property vests in the Federal Government (i.e., Federally owned property)**, 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. **Intellectual Property Management Plan**

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| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx> **& send to:** IPLegalReviews@ee.doe.gov |
| Submission deadline: | Within thirty (30) days of selection for award negotiations  |

EERE requires every Project Team to negotiate and establish an Intellectual Property Management Plan to govern the management and disposition of intellectual property first conceived or first actually reduced to practice under the Award. The Prime Recipient must submit a completed and signed Intellectual Property Management plan to EERE. The Intellectual Property Management Plan is subject to the terms and conditions of the EERE Award and applicable Federal laws, regulations, and policies, all of which take precedence over the terms and conditions of the Intellectual Property Management Plan.

1. **Reporting Addendum (EERE 359)**

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| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx>  |
| Submission deadline: | Within 90 calendar days after the end of the annual reporting period **and** within 90 calendar days after expiration or terminationof the award  |

1. **Other (see Special Instructions)**

|  |  |
| --- | --- |
| Submit to: | <https://www.eere-pmc.energy.gov/SubmitReports.aspx>  |
| Submission deadline: | Within five (5) calendar days after the event, or as specified |

**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.

1. **Protected Data**

The Recipient must properly mark any documents containing Protected Data.“Protected Data” is defined as information and data produced under the award that, if developed at private expense, would qualify as trade secret, privileged, or confidential information or data. Protected Data is protected from public disclosure for five (5) years from the time it is first produced.

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

*PROTECTED RIGHTS NOTICE*

*Pages [\_\_] of this document contain protected data that was produced under Agreement No. \_\_\_\_ with the U.S. Department of Energy. This data may not be published, disseminated, or disclosed to others outside the Government until 5 years after development of information under this Agreement, unless express written authorization is obtained from the recipient. Upon expiration of the period of protection set forth in this Notice, the Government shall have unlimited rights in this data.*

* + 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 EERE. 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).