|  |  |  |
| --- | --- | --- |
| **\*\*\*** | ***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)**

|  |  |
| --- | --- |
| 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: All work performed under EERE Awards must be performed in the United States. The Prime Recipient is required to disclose if any work under the Award is being performed outside the US. The Prime Recipient may perform certain work outside the U.S. if it receives anauthorization 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)**

|  |  |
| --- | --- |
| 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).

**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: <https://support.office.com/en-nz/article/Mark-an-email-message-as-important-private-or-sensitive-f480dcea-59a9-48da-b7ed-3b3e0ab27a62>).

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: <https://support.office.com/en-nz/article/Mark-an-email-message-as-important-private-or-sensitive-f480dcea-59a9-48da-b7ed-3b3e0ab27a62>).

**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).