

Guidance for Submitting Final Scientific/Technical Reports for ARPA-E Projects

The purpose of this guidance is to assist ARPA-E awardees in submitting “Final Scientific/Technical Reports” (Final Reports) as required under the terms of their awards in order to complete and close out their ARPA-E projects. Final Reports are submitted via the Energy Link (E-Link) system described below, which is maintained by the U.S. Department of Energy’s (DOE) Office of Scientific and Technical Information (OSTI).

Final Reports normally contain extensive “Protected Data” resulting from the research project (excluding universities/non-profits, discussed below), and are generally protected – to the extent allowed by law and regulation – from public release for a period of five years from the date of Final Report submission (four years for SBIR/STTR awards issued before May 2, 2019 or 20 years for awards issued after May 2, 2019).

Properly marked reports will be kept confidential for the proscribed period. Where authority to mark has been provided in the award, the award will generally include a list of mutually agreed upon data that will not be restricted from public release. Please refer to that list when preparing and marking the Final Report. Improperly marked reports may not be accepted and may be returned to be corrected. Figure 1 below includes a notional timeline of this process.

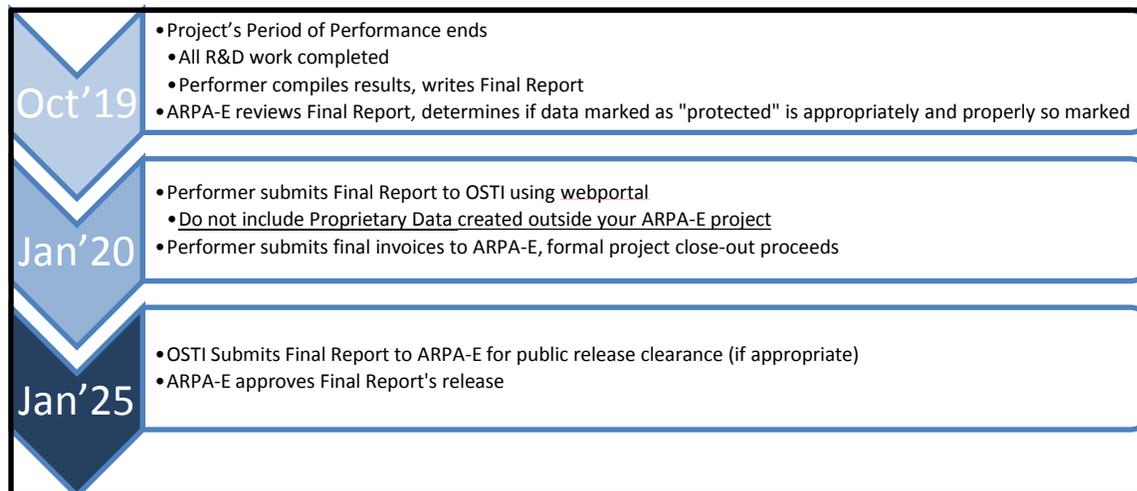
Exclude from reports: Proprietary Data created outside your ARPA-E project at private expense (note, Intellectual Property, including data, created as an in-kind cost share contribution to your ARPA-E project is part of your ARPA-E project).

Universities, non-profits, and Federal Laboratories do not receive “Protected Data” rights unless requested and included in Attachment 2 of their ARPA-E financial assistance awards. To request “Protected Data” rights, universities and non-profits may contact the ARPA-E Contracting Officer for referral to the appropriate ARPA-E/DoE IP counsel. Additionally, for university and non-profit awards that do not include “Protected Data” provisions, if a Final Report includes the disclosure of a subject invention that has been reported to DOE, and for which a patent application will be filed, a delay in the release of the Final Report may be requested for a reasonable period of time to allow for the filing of the patent application. This should be indicated by selecting “Patentable Material” from the drop down menu “Intellectual Property/Distribution Limitations” on the DOE E-Link system. If appropriate, you may check more than one selection in this menu.

Under statutory requirements and OSTI procedures – and subject to the protected period for applicable awards – your Final Reports will eventually be added to information from U.S. Government science organizations within 13 federal agencies as part of the [Science.Gov](https://www.science.gov) alliance. OSTI’s data is also combined with approximately 100 other databases and portals from over 70 countries to form the [WorldWideScience.org](https://www.worldwide-science.org) website. OSTI’s responsibility is to publicly

disseminate the Final Reports “to advance science and sustain technological creativity by making R&D finding available and useful to DOE researchers and the public.”¹

Figure 1. Notional timeline of an ARPA-E project with Protected Data in OSTI’s system.



If Attachment 2 of your Cooperative Agreement, or the terms of a subaward to a for-profit subawardee, permits protection of data after the award, you should include the protected information in your Final Reports. In order to protect that information from release for up to five years, or for a reasonable time period to allow for the filing of a patent application, you must:

1. Clearly identify any patentable, Protected, or SBIR Data on the cover page of the report using the appropriate notice described in your Attachment 2 (applicable notice also provided in Template below).
2. Select the appropriate dropdown in Section K of the DOE F 241.3, entitled INTELLECTUAL PROPERTY / DISTRIBUTION LIMITATIONS. The screenshot in Figure 2 below indicates what is populated if answer 5b (“Protected Data CRADA/Other”) is selected. In the example below, “Other” is selected and Attachment 2 of the Cooperative Agreement is listed as the award document which allows trade secret-like protection for a limited time.
3. For release date, insert a date that is five years from the date the final report is submitted. For SBIR/STTR awards issued prior to May 2, 2019 insert a date four years or 20 years for SBIR/STTR awards issued after May 2, 2019.
4. Select “Other” and type “Attachment 2 of Cooperative Agreement [Award Number]” for the description.

¹ See <https://www.osti.gov/mission>

For further detailed instructions, please refer to the OSTI website:

<https://www.osti.gov/elink/F2413instructC.jsp>

Electronic Submission: Final Reports must be submitted electronically via the DOE Energy Link System (E-Link) accessed at <https://www.osti.gov/elink/241-3.jsp>. Reports must be submitted in the Adobe Portable Document Format (PDF) and be one integrated PDF file that contains all text, tables, diagrams, photographs, schematics, graphs, and charts. Materials, such as prints, videos, and books, that are essential to the report but cannot be submitted electronically, should be sent to the Contracting Officer at the address listed in Block 16 of the Assistance Agreement Cover Page. Part II of the F 241.3 cannot be completed until every required field (i.e., fields with red text) in Part I are completed. Specific guidance on DOE F 241.3 is available at <https://www.osti.gov/elink/F2413instructC.jsp?printerfriendly=true#org>.

Submittal Form: 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)." You can complete, upload, and submit the DOE F.241.3 online via E-Link (<https://www.osti.gov/elink/241-3.jsp>). Reports must not contain any limited rights data, classified information, information subject to export control classification, or other information not subject to release.

Figure 2. Screen Shot of DOE Electronic Form 241.3.

The screenshot displays the DOE Electronic Form 241.3 interface. At the top, it features a section titled ***INTELLECTUAL PROPERTY / DISTRIBUTION LIMITATIONS:** with a sub-instruction: *(Must select at least one; if uncertain, contact your Contracting Officer (CO))*. Below this is a dropdown menu labeled *[Select Distribution/Access Limitation]*. The **Access Limitations:** field contains the text *DUO, PROT*. A **clear access limitations** button is visible. The **Protected Data Information:** section includes a ***Release Date:** field with the instruction *No more than 5 years from the Publication/Issue Date listed above.* Below this are radio buttons for **CRADA** and **Other** (selected), with a text input field for *Attachment 2 of Cooperative Agreement [your award number]*. The ***RECIPIENT / CONTRACTOR POINT OF CONTACT** section is titled *Contact for additional information (contact or organization name to be included in public external questions about the content of the STI product or the research contained therein)*. It contains fields for ***Name and/or Position:**, ***E-mail:**, ***Phone:**, and ***Organization:**.

Final Scientific/Technical Report Template

[Optional John Doe Enterprises Logo]
[John Doe Enterprise]
Final Scientific/Technical Report
[Project Name]
[Contract Number]
[Optional Image]

Award:	[DE-AR0000XXX]
Sponsoring Agency	USDOE, Advanced Research Project Agency – Energy (ARPA-E)
Lead Recipient:	[John Doe Enterprise]
Project Team Members	[XXX, XXX]
Project Title:	[Transformational & Disruptive Technology]
Program Director:	[Dr. XXXX XXXXX]
Principal Investigator:	[Dr. XXXX XXXXX]
Contract Administrator:	[XXXXXX XXXXX]
Date of Report:	[XX/XX/XXXX]
Reporting Period:	[XX/XX/XXXX – XX/XX/XXXX]

The information, data, or work presented herein was funded in part by the Advanced Research Projects Agency-Energy (ARPA-E), U.S. Department of Energy, under Award Number [DE-AR0000XXX]. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof.

[For universities and non-profits, be sure to check for a contract clause that authorizes you to mark data as protected. If you do not have a clause and want authorization to mark data as protected, please contact the ARPA-E Contracting Officer for referral to the appropriate ARPA-E/DoE IP counsel.]

Please check the appropriate box:

This Report contains no Protected Data.

This Report contains Protected Data and the award allows data to be marked as protected. Refer to your Attachment 2 for guidance on how to appropriately mark Protected Data. The applicable notice is provided below:

PROTECTED RIGHTS NOTICE

These protected data were produced under agreement no. _____ with the U.S. Department of Energy and 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. This Notice shall be marked on any reproduction of this data, in whole or in part.

- This Report contains SBIR/STTR Data and the award allows data to be marked as SBIR data. Refer to your Attachment 2 for guidance on how to appropriately mark SBIR Data. The applicable notice is provided below:

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 [CHOOSE THE APPLICABLE QUOTED TEXT: for awards issued prior to May 2, 2019 "4 years or for awards issued on or after May 2, 2019 "20 years"], unless extended in accordance with FAR 27.409(h), after acceptance of all items to be delivered under this [Award or subaward], the Government will 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 Contractor, except that, subject to the foregoing use and disclosure prohibitions, these data may be disclosed for use by support contractors. After the protection period, the Government has a paid-up 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.

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Public Executive Summary

Provide an executive summary, which should contain information with unlimited rights **but NOT contain proprietary or protected information**. ARPA-E may use this section to respond to requests for information about your project after its conclusion or may otherwise determine that it needs to make this information immediately available to the public.

This section should include 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; and 3) how the project is otherwise of benefit to the public. The discussion should be written in terms understandable by an educated layman.

Acknowledgements

Credit substantial contributors to the work who are not authors. Typically, this section includes a formal acknowledgement of ARPA-E for financially supporting the research, acknowledgement of any other groups that provided financial support (e.g. cost-share), as well as to other members of the project team.

Accomplishments and Objectives

[Provide a comparison of the actual accomplishments with the technical milestones and deliverables of the project.]

This award allowed [John Doe Enterprise] to demonstrate a number of key objectives. The focus of the project was on building a [Transformational & Disruptive Technology].

A number of tasks and milestones were laid out in Attachment 3, the Technical Milestones and Deliverables, at the beginning of the project. The actual performance against the stated milestones is summarized here:

Table 1. Key Milestones and Deliverables.

Tasks	Milestones and Deliverables
<p>Task 1: Task title</p> <p>1.1 Subtask</p> <p>1.2 Subtask</p> <p>1.3 Subtask</p>	<p>Q1: Milestone as stated in statement of project objectives. Actual Performance: (Completion date) Performer states progress against the milestone and completion date. Should be as quantitative as possible.</p> <p>Q2: Milestone as stated in statement of project objectives. Actual Performance: (Completion date) Performer states progress against the milestone and completion date. Should be as quantitative as possible.</p> <p>...</p>
<p>Task 2: Task title</p> <p>2.1 Subtask</p> <p>2.2 Subtask</p> <p>2.3 Subtask</p>	<p>Q1: Milestone as stated in statement of project objectives. Actual Performance: (Completion date) Performer states progress against the milestone and completion date. Should be as quantitative as possible.</p> <p>Q2: Milestone as stated in statement of project objectives. Actual Performance: (Completion date) Performer states progress against the milestone and completion date. Should be as quantitative as possible.</p> <p>...</p>

For projects involving computer modeling, provide a brief description of the model, key assumptions, how the model was validated, and whether or not the model and results were presented in peer-reviewed publications.

Project Activities

One paragraph that succinctly summarizes the project's focus, major approaches and hypotheses utilized, and a high-level summary of the project's results.

If there was a modification to the award as a result of changes in tasks or milestones, state when that occurred and provide a brief narrative describing the change.

Project Outputs

A. Journal Articles

XXXXXXXXXX [list journal name, volume, issue]

B. Papers

XXXXXXXXXX

C. Status Reports

XXXXXXXXXX

D. Media Reports

XXXXXXXXXX [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]

E. Invention Disclosures

XXXXXXXXXX

F. Patent Applications/Issued Patents

XXXXXXXXXX

G. Licensed Technologies

XXXXXXXXXX

H. Networks/Collaborations Fostered

XXXXXXXXXX

I. Websites Featuring Project Work Results

XXXXXXXXXX

J. Other Products (e.g. Databases, Physical Collections, Audio/Video, Software, Models, Educational Aids or Curricula, Equipment or Instruments)

XXXXXXXXXX

K. Awards, Prizes, and Recognition

XXXXXXXXXX

Follow-On Funding

Additional funding committed or received from other sources (e.g. private investors, government agencies, nonprofits) after effective date of ARPA-E Award.

Table 2. Follow-On Funding Received.

Source	Funds Committed or Received
XXXXX	XXXXX