U.S. Department of Energy
Washington, D.C.

ORDER

DOE 1332.2
10-31-83

SUBJECT: UNIFORM REPORTING SYSTEM FOR FEDERAL ASSISTANCE (GRANTS AND COOPERATIVE AGREEMENTS)

1. PURPOSE. To establish the Department of Energy (DOE) uniform reporting system for federal assistance and provide implementing instructions, procedures, and formats to be used for all grants and cooperative agreements awarded by the Department.

2. EXCLUSION. Excluded from thls reporting system we cooperative agreements associated with major systam acquisitions as specfffed in DOE 5700.4, PROJECT MANAGEMENT SYSTEM, of 1-8-81, and the distribution of money managed under HQ 2100. IA, FINANCIAL MANAGEMENT OF MONEY RECEIVED FROM PERSONS WHO HAVE ALLEGEDLY VIOLATED DEPARTMENT OF ENERGY REGULATIONS, of 5-11-81, or any successor.

3. APPLICABILITY. This Order provides a compendium of standard forms, procedures, and terminology from which a program or project manager selects those applicable to a specific contractual effort. Reporting requested from contractors shall In all cases be limited to only that information essential for effective management control. Solicitations and awards comply with this Order by Inclusion of a completed EIA 459-A, 'Federal Assistance Reporting Checklist, with attachments. WE organizations comply by execution with the requirements set forth in this Order.

   a. Federal assistance solicitations (as defined on page 2, paragraph 11, of Attachment 1) issued after the publication of this Order shall comply with the requirements set forth In this Order. New grants and cooperative agreements awarded as a result of such Federal assistance solicitations shall also comply with the reqirements set forth in this Order.

   b. Awards of contlnuation grants and cooperative agreemnts awarded 90 or more days after the publication of this Order shall also comply with the requirements set forth in this Order.

   c. For existing grants and cooperative agreements, the requirement will be determined by the cognizant Federal assistance program project manager and the contributing officer. However, existing grants and cooperative agreements will not be affected by this Order unless the recipient so agrees.

4. BACKGROUND. This Order contains directlon for DOE personnel on standardized application/proposal baseline plans and performance reports. Federal assistance Preapplication and payment are not addressed- Information concerning preapplication and payment processes can be found in Federal circulars, DOE assistance regulations, or the program announcement.

DISTRIBUTION:
All Departmental Elements
Federal Energy Regulatory Commission (info)

INITIATED BY:
Office of Project and Facilities Management

l. Title 10 CFR 600, "DOE Financial Assistance Rules, " of 10-5-82, which codify, Implement, and publish uniform assistance polictes and selected procedures applicable to the award and administration DOE grants and cooperative agreements.

m. Title 41 CFR 101-11.11, "Federal Property Management Regulations." of 7-1-82, revised, which establishes an interagency reports management program, describes policies , and promulgates standards, procedures, and techniques for the economical and efficient management of records of Federal agencies.

6. POLICY AND OBJECTIVES.

a. It is the Department's policy to acquire uniform, timely, and valid information on costs, schedules, and performance in order to effectively manage programs and projects, and to do so with the least possible burden on DOE and its recipients of Federal assistance awards.

b. The objectives of the uniform reporting system for Federal assistance are to:

(1) Provide the tools for obtaining essential Federal assistance management information,

(2) Meet the information needs of several DOE Organizations with a minimum number of reporting requirements;

(3) Establish uniform procedures, forms, and terminology for collecting and integrating the minimum data required by DOE to manage and monitor its Federal assistance awards;

(4) Consolidate and eliminate duplicate forms and req uirements that now exist in the Department and overlap the informati on collection requirements of this Order; and

(5) Ensure that DOE managers choose only those uniform reporting system for Federal assistance plans and reports that are essential to the effective management and control of their activities.

7. RESPONSIBILITIES AND AUTHORITIES.

a. Program Secretarial Officers and Managers of Operations Offices shall:

(1) Fully implement the provisions of this Order in their individual areas of responsibility;

(2) Appoint an action officer to coordinate the requirements of this Order and furnish the appointee's name to the Director of Project and Facilities Management (MA-22); and

(3) Assure that all research and development grants and cooperative agreements promulgated or administered under their jurisdiction contain reporting requirement checklists indicating that all scientific and technical information deliverables must be promptly furnished to the Technical Information Center.

b. Program/Project Managers shall:

(1) Become familiar with the intent and processes of this Order, and choose only those plans and reports that are essential to effective Federal assistance management;

(2) Prepare a Form EIA-459A, "Federal Assistance Reporting Checklist," to accompany each PR-799A, "Procurement/Financial Assistance Rquest-Authorization," for each grant or cooperative agreement to be awarded and ensure recipient compliance with this Order; and

(3) Review, evaluate, and utilize information obtained through plans and reports consistent with this Order for management of their activities.

c. The Assistant Secretary, Management and Administration shall, through the:

(1) Director of Procurement and Assistance Management.

(a Ensure that all Federal assistance solicitations contain reference to this Order's requirements.

(b Ensure that a clause for implementing this Order is in all Federal assistance award instruments and that the Form EIA-459A, "Federal Assistance Reporting Checklist," is included in the award document.

(c) Ensure that requests for non-standard management reporting requirements are coordinated with the Director of Project and Facilities Management.

(d) Aid in ensuring recipient compliance post award.

(2) Controller. Monitor financial status of grant and cooperative agreement awards and advise DOE participants as appropriate.

(3) Director of Administration, shall , through the:

(a) Director of Project and Facilities Management.

1 Coordinate the development and monitor implementation of this Order.

2 Provide, in coordination with the Director of Personnel, periodic training seminars to Departmental organizations in the implementation of this Order.

3 Review and approve for implementation all non-standard management reporting requirements forwarded by the Direct of Procurement and Assistance Management.

4 Implement the information collection and clearance requirements contained in Title 5 CFR 1320 as they apply to contractors, their employees, and other members of the public from whom information is collected under the provisions of this directive.

(b) Director of Personnel. Provide for the inclusion of training on the requirements of this Order In Departmentwide training programs, as appropriate.

(c) Manager of the Technical Information Center. Develop policies and procedures for managing the Department's scientific and technical information program including the development of procedures and systems needed for assuring the acquisition and receipt of adequate and acceptable scientific and technical information from the uniform reporting system for federal assistance.

d. Contracting Officers (Awarding Officers) shall:

(1) Ensure that all Federal assistance solicitations contain reference to this Order's requirements.

(2) Ensure that a clause for implementing this Order is in all Federal assistance awards.

(3) Review, evaluate, and utilize information obtained through plans and reports consistent with this Order for management of their activities.

BY ORDER OF THE SECRETARY OF ENERGY:

WILLIAM S. HEFFELFINGER
Director of Administration

DEFINITIONS

1. ACCRUAL BASIS OF ACCOUNTING. Recognizes revenues in the period earned and recognizes cost In the period Incurred, regardless of when payment Is received or made. (DOE 2100.1A, GLOSSARY OF FINANCIAL TERMS, of 10-23-81.)

2. ACCRUED COST. Accrued cost is the value (purchase price) of goods and services used or consumed within a given period of time, regardless of when ordered, received, or paid for.

3. ACCRUED EXPENDITURES. Accrued expenditures are the charges Incurred by the recipient during a given period requiring the provision of funds for: goods and other tangible property received; services performed by employees, contractors, subgrantees, and other payees; and other amounts becoming owed under programs for which no current services or performance is required such as annuities, insurance claims, and other benefit payments. (OMB Circulars A-102 and A-110.)

4. ACTIVITY. An effort or operation which is conducted over a period of time and results in the accomplishment of a unit of work.

5. APPLIED COST. The value (purchase price) of goods and services used, consumed, given away, lost, or destroyed within a given period of time, regardless of when ordered, received, or paid for. For operating programs, applied cost represents the value of resources consumed or used. For procurement and manufacturing programs, applied cost represents the value of material received or produced. For capital outlay programs, applied cost represents the value of work put in place. For loan activities, applied cost represents assets acquired (even though no resource has been consumed). In the case of appropriations for programs that are essentially operating in nature, equipment is included In applied cost when it is placed in use. For all programs, accrued annual leave is included in applied cost when the leave is earned rather than when taken, even though it may be unfunded at the time; and, depreciation cost and other unfunded costs are included where appropriate. (DOE 2100.1A.)

6. BASELINE. A quantitative expression of projected costs, schedule, or technical progress to serve as a base or standard for measurement during the performance of an effort; the established plan against which the status of resources and the progress of a project can be measured.

7. BUDGET PERIOD. The interval of time, specified in the award, into which a project is divided for budgeting and funding purposes. (10 CFR 600.)

8. CEILING. The negotiated or stated limit applicable to obligations and costs which are set by legislation or arrangement and cannot be exceeded. (DOE 2100.1A.)

9. COST VARIANCE. The difference between the planned cost and the actual cost for work performed. It indicates whether costs are being accrued as planned. On the "Federal Assistance Program/project Status Report," the cost variance is the difference between planned and actual costs for a specified period of time.

10. DIRECT COST. For the purpose of this Order, direct cost means any cost that can be specifically identified with a particular project or activity, including salaries, travel, equipment, and supplies directly benefiting the project or activity. (10 CFR 600.)

11. FEDERAL ASSISTANCE SOLICITATION. A solicitation is a formal written invitation by DOE for Interested organizations or individuals to submit applications for a specified project, effort or objective, by a stated common due date. As used in this Order it includes the following:

    a. Program regulation;

    b. Program solicitation;

    c. Solicitation for cooperative agreement proposals;

    d. Program opportunity notice;

    e. Program research and development announcement; and

    f. Notice of program interest.

12. INDIRECT COST. Indirect costs are those incurred for a common or joint purpose benefiting more than one cost objective, and not readily assignable to the Cost objectives specifically benefited, without effort disproportionate to the results achieved. (OMB Circular A-87.)

13. INTERMEDIATE EVENTS. Detailed events which are necessary for and lead to the completion of a milestone. An intermediate event signals completion of a subtask crucial to the milestone effort.

14. MILESTONE. An important or critical event that must occur in order to achieve the project objective(s).

15. OBJECTIVE. A general, comprehensive statement of a desired end. From this statement specific goals can be generated.

16. PROGRAM. An organized set of activities directed toward a common purpose, objective, or goal undertaken or proposed by DOE in order to carry Out responsibilities assigned to it. It is characterized by a plan of action designed to accomplish a definite objective.

17. PROGRAM/PROJECT MANAGER. An official in the program division or field organization who has been assigned responsibility for accomplishing a specific set of program objectives. This involves planning, directing, and controlling one or more assistance activities, initiation of any award processes necessary to get assistance activities started, and monitoring of assistance activities.

18. PROJECT. For the purpose of this Order a project means the set of activities described In an application, State plan, or other document that is approved by DOE for financial assistance (whether such financial assistance represents all or only a portion of the support necessary to carry out those activities). (10 CFR 600.)

19. RECIPIENT. An inclusive term for all agencies, governments, other organizatlons, and individuals receiving Federal assistance in the form of grants or cooperative agreements from DOE.

20. TASK. Any definable unit of work. It must have an identifiable start and ending and usually produces some recognizable result.

21. WORK BREAKDOWN STRUCTURE (WBS). A product oriented task hierarchy of all work to be performed in accomplishing project objectives. The product(s) may be hardware, software, support services, tests, documentation, or other quantified elements of the project objectives. The task hierarchy has, as its first level, the major end item of the project. The successive levels provide increasingly detailed definition of the individual work tasks that contribute to the production of end items. The scope and number of levels in the task hierarchy depend on the scope and complexity of the individual project.

22. WORK BREAKDOWN STRUCTURE ELEMENT. Any of the individual items or entries in the WBS hierarchy, regardless of level.

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CHAPTER III-TECHNICAL INFORMATION REPORTING

CHAPTER I

INTRODUCTION

10 SYSTEM FEATURES. Primary features are:

a. Standard Forms and Procedures. Replaces differing reporting forms and procedures previously used by DOE component organizations.

b. Standard Definitions. Provides uniform terminology and data elements to minimize ambiguity of meaning and intent.

c. Specification of Reporting Requirements. Provides a checklist to be used to identify all reporting requirements at the time of award. The recipient is encouraged to discuss the requirements before the time of award in order to ensure that they are appropriate.

d. Planning Baselines. Provides planning forms which can be included In the Federal assistance application or proposal to present the planned approach and desired results.

e. Flexible Reporting Methods and Application. Provides flexibility in application to ensure that the information requested is relevant to the activity performed. The reporting system can accommodate a variety of programs and assistance awards by tailoring the reporting requirements to fit the activity.

f. Single Reporting for Multiple Uses. A recipient of Federal assistance submits standard forms only once in each reporting Period. One submission serves all Departmental needs.

g. Formal Problem Identification. Provides recipients with a formal method for identifying problems.

2. HOW THE UNIFORM REPORTING SYSTEM WORKS.

a. This Order contains the plans and reports of the system. Figure I-1 shows the general relationship of the various system components. To illustrate the utility of the plans and reports, a hypothetical project (partially funded by DOE under a cooperative agreement) using all the program management forms is presented in Chapter II. Chapter III covers technical information reporting requirements. DOE 1430.1 describes the scientific and technical reporting requirements and procedures for a research grant. The DOE Technical Information Center (TIC) will provide further guidance.

b. Before a Federal assistance solicitation is issued, the DOE program manager determines the information that will be required from the assistance recipient. The information needs of other DOE offices, such as Controller and the awarding office, also should be considered.

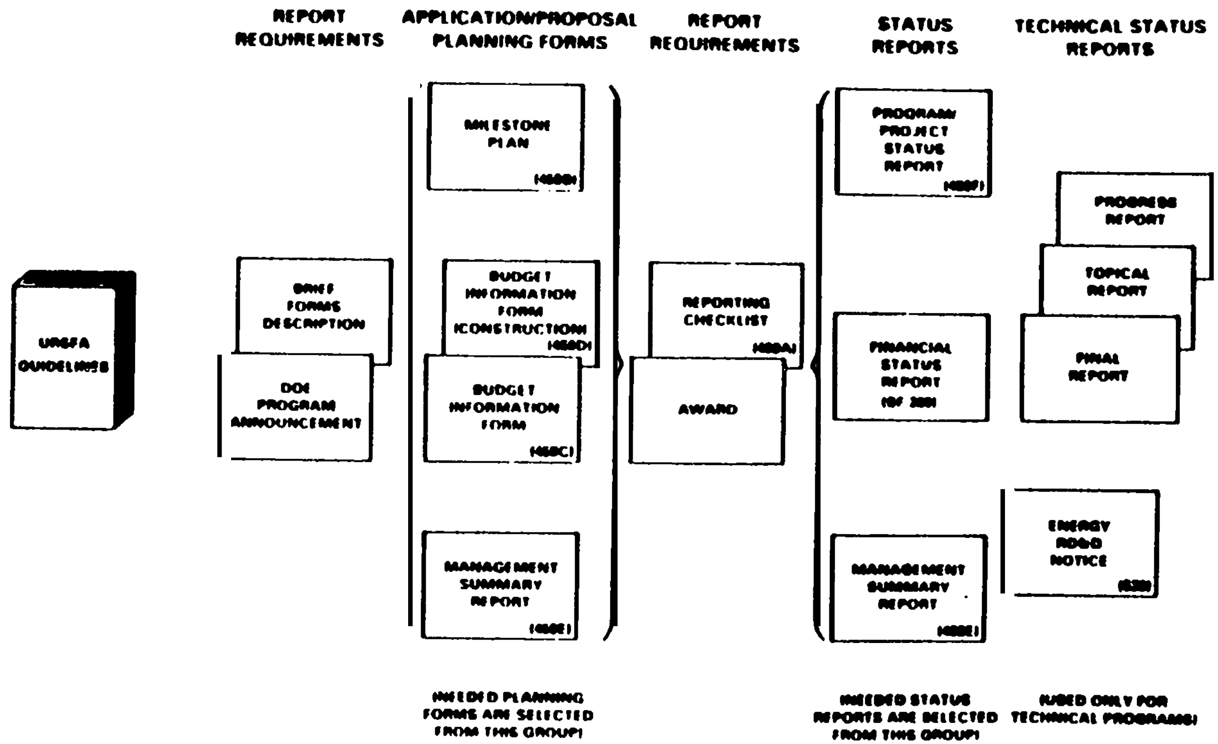


Figure I-1
Relationship of System Components

(1) Tables which appear in Chapter II have been developed to indica those plans and reports which are usually appropriate for different types of activities.

(2) Baseline plans shown in this Order can be selected and Included as part of the application/proposal for programs which require measurable program performance.

(3) The planning technique provided for in this Order is based on the concept of prescribing specific, quantifiable, and measurable baseline information. The information presented in the baseline plans is used to augment the narrative, which is usually included in applications and proposals, and to provide a means of evaluating performance. All DOE assistance activities may not require detailed baseline Information. A basic research project, for example, may rely on the content of technical information reports for performance evaluation.

(4) The status reports and technical reports, which will be required subsequent to award, will be identified in the solicitation. This will allow the applicant/proposer to include reporting costs In the application/proposal.

c. The application/proposal, containing the required plans selected from this Order, is submitted in accordance with the solicitation. These plans will serve as the base against which progress can be measured.

d. The "Federal Assistance Reporting Checklist" is prepared by the DOE program manager and is included as an attachment to the DOE Form 4600.1, "Notice of Financial Assistance Award". The completed checklist indicates the reporting requirements, identifying which, if any, baseline plans should be resubmitted, which other reports are needed, how often they should be submitted, and to whom they should be sent. Any special reporting requirements specified in program legislation, Federal regulations, or the DOE assistance regulations will be identified on the checklist. Alternative forms or formats or alternative data elements that are natural products of the recipient's internal management system may be considered. The recipient's application should include a discussion of any proposed substitutions or changes in the reporting requirements and how the proposed substitution or change meets this Order's report requirements. These proposals shall be coordinated with the Office of project and Facilities Management prior to award.

e. Financial status reports and program status reports relate directly to the baseline plans and show the financial or schedule Status of the activity as well as identifying cost or schedule problems. Standard Form 269, *"Financial* Status Reports," must generally be submitted (see Footnote 1, Figure II-2, for exceptions); Program status reports may be required depending on the nature of the activity.

f. Technical reports are the basis for the technical performance evaluation by the Department's program managers and the primary method by which the Department makes its scientific and technical results available to contractors and others participating In the program, including the public.

g. In accordance with Departmental policy, no reporting requirements (information collections) will be levied by the Department on contractors or other elements of the "public" as defined in Title 5 CFR 1320 unless theY have prior clearance under the provisions of Title 5 CFR 1320, and the OMB clearance number (or exemption statement) is shown on the reporting requirement document and related forms.

3. KEY DEFINITIONS. See Attachment 1 for additional definitions.

a. Federal Assistance. Federal assistance is the transfer of money, property, services, or anything of value to a recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute, rather than acquisition, by purchase, lease, or barter, of property or services for the direct benefit of the Federal Government. Grants and cooperative agreements are Federal assistance mechanisms. Federal assistance is separate and distinct from Federal procurement, which is governed by different rules and regulations.

b. Grant. The transfer of money, property, services, or anything of value to the State or local government or other recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute, rather than acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the Federal Government, and where no substantial involvement is anticipated between the executive Agency, acting for the Federal Government, and the State or local government or other recipient during the performance of the contemplated activity.

c. Cooperative Agreement. The instrument used to transfer money, property, services, or anything of value to the State and local government or other recipient to accomplish a public purpose of support or stimulation authorized by Federal statute, rather than acquisition, by purchase, lease or barter, of property Or services for the direct benefit or use of the Federal Government, where substantial involvement is anticipated between the executive Agency, acting for the Federal Government, and the State or local government or other recipient during performance of the contemplated activity.

4. DIRECTING APPLICATION. The following is a sample clause which the DOE awarding officer can use in the grant or cooperative agreement to invoke the requirements of this Order.

"The Federal assistance recipient shall prepare and submit (postage prepaid) the plans and reports indicated on the 'Federal Assistance Reporting Checklist' to the addressees and In the number of copies designated on the checklist. Preparation of the specified plans and reports shall be in accordance with the DOE uniform reporting system for Federal assistance. The level of detail the recipient provides in the plans and reports shall be commensurate with the scope and complexity of the task and shall be as delineated in Block 4 (Reporting Requirements) and Block 5 (Special Instructions). The prime recipient shall be responsible for acquiring data from any contractors, or subrecipients, to ensure that data submitted are compatible with the data elements which prime recipients submit to DOE. Plans and reports submitted in compliance with this provision are in addition to any other reporting requirements of the Federal assistance instrument."

5. APPLICATION. These instructions apply to DOE grants and cooperative agreements with State and local governments, nonprofit organizations, institutions of higher eduration, hospitals, individuals, profit-making organizations, and any other eligible assistance recipients.

6. FORMS. There are three categories of forms: baseline plans; status reports; technical information reports. The "Federal Assistance Reporting Checklist," contained in each award, is used to identify which will be required for that particular effort. A brief description of the forms follows. More discussion of the baseline plans and reports is included in Chapters 11 and III.

d. Baseline Plus. This Order offers simple planning procedures and forms augment the narrative project description contained in the application/proposal. Discrete, measurable units of the proposed work are presented in the baseline plans. The baseline plans provide a specific outline of what the assistance recipient intends to do, how it is intended *to* be accomplished, and the time and cost involved. These baseline plans are developed and submitted with the application/proposal to serve as the standard against which status and progress can be measured during the performance period. The following are baseline planning forms.

(1) Form EIA-459B, "The Federal Assistance Milestone Plan," and an accompanying milestone log present a schedule of the planned activity, with major milestones and intermediate events identified.

(2) Forms EIA-459C and D (construction or nonconstruction),"The Federal Assistance Budget Information Form," presents the planned costs.

(3) Form EIA-459E, "The Federal Assistance Management Summary Report," presents the planned costs and the planned schedule together in a capsulized *format.*

b. Status Reports. Provide the performance information required to determine program effectiveness and the information which DOE requires to maintain accountability for public funds. The reports are submitted according to the frequency indicated by the DOE program manager on the "Federal Asistance Reporting Checklist." The reports show actual costs, schedule progress, and total project status to date. When the status reports are compared with the baseline plans, accomplishments can be noted, problems become apparent, and corrective action can be taken. The following are status reports:

(1) OMB Standard Form 269, "The Financial Status Report," presents funds status information.

(2) Form EIA-459E, "The Federal Assistance Management Summary Report," relates planned progress and costs to actual progress and costs In a capsulized format.

(3) Form EIA-459F, "The Federal Assistance Program/Project Status Report," presents a brief narrative description of accomplishments, problems, progress, and forecasts.

c. Technical Information Reports. Scientific and technical information is communicable knowledge or information (unlimited, limited, and classified) resulting from, or pertaining to, the conduct of research and development efforts. This information reports on progress or results of DOE-funded research and development or demonstration and usually is published as Technical reports, journal articles, reprints, theses or dissertations, conference and symposium proceedings, or translations. This may include experimental data, theoretical data, analytical studies, and economic and energy use projections. This information is used by managers, scientists, researchers, and engineers engaged In scientific and technological efforts, and is the basic intellectual resource for and result of such effort. TIC documentation including DOE 1430.1 describes the reporting requirements and procedures for such information and reports. The reports themselves are briefly described in the attachment to Chapter III of this Order.

7. OTHER INFORMATION.

a. Confidentiality Statement. The information required under the various provisions of this Order may be information which is exempt from disclosure to the public under the exemption for trade secrets and confidential commercial information specified in 5 U.S.C. 552(b)(4), of 7-4-66, as amended, or prohibited from public release by 18 U.S.C. 1905, of 9-12-80. DOE will determine whether any information submitted should be withheld from public disclosure In accordance with the provisions of 10 CFR 1004.11, of 1-8-79. By statutory authority, DOE must provide this information when requested to the Congress or any committee of the Congress and the General Accounting Office,

CHAPTER II

PROGRAM MANAGEMENT REPORTING

1. HOW TO SELECT PLANS AND REPORTS.

a. General. When establishing a reporting requirement, each of the following factors should be jointly considered:

(1) The Activity to be Performed. A major determinant in the selection of plans and reports should be the nature of the work. Program/ project managers should consider the scope and characteristics of the activity in making an appropriate selection of baseline plans and reports. As previously Indicated, a basic research project, characterized as scientific inquiry with uncertain results, may not show progress on a scheduled basis. On the other hand, certain conservation programs have specific goals, for example, the weatherization of a number of homes for the elderly during a specified period.

(2) The Duration and Complexity of the Effort. The extent and complexity of the activity should suggest the kinds of information necessary for DOE either to monitor the activity or to be Involved In a responsible manner.

(3) The Program Legislation, Federal Regulations, and Guidance. Some DOE program legislation requires specific reporting, controls, and procedures. Program managers and assistance recipients must abide by the statutory and regulatory terms of the program to ensure the collection of essential information.

(4) The Significance of the Effort. High interest by the public, Congress, or the Administration will require current and timely information on performance.

(5) The Information Requirements of Other DOE Organizations. The data requirements of the Controller and the Director of Procurement and Assistance Management should be identified and satisfied. Any other DOE organizations involved in a stewardship role should identify their data requirement for the program/project manager preparing the reporting requirements.

b. When Reports are Due. The date for submitting reports is identified for the recipient on the “Federal Assistance Reporting Checklist” in the award. How often a report is submitted can vary with each grant or cooperative agreement, and generally is negotiated prior to award, and is indicated by a letter code in the “frequency” column. The frequency codes for submittal are shown in Figure II-1 unless otherwise specified in the award documentation:

A (As necessary).	Within 5 calendar days after event.
F (Final)	Within 90 days of the end of performance on the Federal assistance effort.
X (With proposal or application) .., ...	Accompanying proposal applicatlon, or with significant planning changes.
O (One time)	Within 30 days after award.
M (Monthly)	Within 20 days after the end of a calendar month (not generally selectable for grants).
Q (Quarterly) .. ...,......	Within 30 days after the end of a budget period quarter.
S (Semiannually)	Within 30 days after end of a budget period half year.
Y (Yearly)	Within 90 days after end of a budget period.

Figure II-1
Frequency Codes for Submittal of Reports

c. Distribution of Reports. The finance officer must receive copies of all 'Financial Status Reports." The contracting officer must receive copies of all required reports. The DOE program/project manager should be aware of the information needs of other DOE organizations and should make provisions to distribute reports to them. organizations designated to " receive specific reports should be so advised. Insofar as possible, award recipients should not be asked to submit multiple reports to several addressees. However, the "addressees" column of the 'Federal Assistance Reporting Checklist" will usually indicate that reports should be submitted as follows (if further distribution Is required, the DOE program/ project manager should make such distribution):

(1) To avoid any possible delay, the "Financial Status Report" will often be submitted by the recipient directly to the awarding officer and to the designated DOE finance organization so that costs can be entered into DOE'S financial Information system. A copy of the report will usually be Submitted to the program manager. The DOE program/project manager should provide the assistance recipient with a budget and reporting number for the current DOE fiscal year so that the recipient can include the current budget and reporting number in the remarks section of the 'Financial Status Report."

(2) Other status reports should be submitted to the DOE program manager or to an appropriate addressee In the program organization.

(3) The technical report requirements of the DOE Patent Counsel (GC-42) and the Technical Information Center are discussed in Technical Information Center documentation including DOE 1430.1. These requirements should be identified on the checklist.

d. Selection Guides for Baseline Plans and Reports. The tables presented in Figure II-2 suggest appropriate baseline plans and reports for the types of activity performed under grants and cooperative agreements. These tables are provided only as Initial references for DOE program managers. DOE program managers are expected to apply their specific knowledge of all factors involved to make appropriate report selections. For example:

(1) Selection may be imposed or limited by legislation.

(2) The DOE program manager also must consider alternatives (such as alternative payment reporting) to and restrictions on financial reporting contained in OMB circulars and 10 CFR 600.

(3) There are special cases in which more frequent or more detailed reporting may be required. Generally, these are cases in which the recipient has a history of poor performance, is not financially stable, or has a management system which does not meet prescribed standards. In such instances report selection should be accomplished according to procedures established in the DOE 4600.1.

e. Preparing the Federal Assistance Solicitation to Include Reporting Requirements. After determining which plans and reports are necessary for the activity, the DOE program manager will ensure that the awarding officer incorporates these requirements into the solicitation. The solicitation should contain the program identification number from the catalog of "Federal Domestic Assistance" and identify any relevant program legislation for the applicant/proposer. Blank forms for the required baseline plans should be included in the solicitation as part of the application/proposal package. Additionally, the solicitation should contain a brief description of the required status reports to assist the applicant/proposer in determining the total administrative costs. A brief description of this Order, each baseline plan, and each status report is provided in Attachment II-2. These are offered as suggested descriptions of the system, the plans, and the reports for inclusion in the solicitation where appropriate. The DOE program manager and the awarding officer should work together to develop the solicitation to ensure that baseline plans and status report descriptions, as well as technical information reporting requirements, are included.

Table 1. Selection Guide for Grants

	RESEARCH PROGRAMS	HUMAN RESOURCE DEVELOPMENT PROGRAMS	CONSERVATION & PUBLIC SERVICE PROGRAMS	TECHNOLOGY RESOURCE DEVELOPMENT & PRODUCTION PROGRAMS
Milestone Plan				X
Budget Information Form	X	X	X	X
Management Summary Report			X, Q, F	Q, F
Program/Project Status Report		F	Q, F	Q, F
Financial Status Report	Y, F	Y, F	Q, F	Q, F
Notice of RD&D[1]	O, Y			O, Y
Technical Progress Report	Y			Y
Technical Topical Report	A			A
Final Technical Report	F			F

Table 2. Selection Guide for Cooperative Agreements

	RESEARCH PROGRAMS	HUMAN RESOURCE DEVELOPMENT PROGRAMS	CONSERVATION & PUBLIC SERVICE PROGRAMS	TECHNOLOGY RESOURCE DEVELOPMENT & PRODUCTION PROGRAMS
Milestone Plan				X, Y
Budget Information Form	X	X	X, Y	X
Management Summary Report			X	M or Q, F
Program/Project Status Report	Y	Y, F	X, Q, F	M or Q, F
Financial Status Report	Y, F	Y, F	Q, F	Q, F
Notice of RD&D[1]	O, Y		O, F	O, Y
Technical Progress Report	Y			Y
Technical Topical Report	A			A
Final Technical Report	F			F

[1] A Notice of Energy RD&D must be submitted at the beginning of each project year. (DOE 1340.1)

Figure II-2
Selection Guides for Plans and Reports

f. Preparation of the Federal Assistance Reporting Checklist.

(1) The DOE program manager states the anticipated reporting requirements in the solicitation by using a "Federal Assistance Reporting Checklist." The checklist, revised as appropriate, well become a part of the assistance award. The DOE program manager completes a checklist by providing specifics in each of the following areas:

(a) Selection of reports;

(b) Frequency of reports;

(c) Distribution of reports (name/title and address);

(d) Number of copies to be submitted; and

(e) Special instructions:

1 Budget and reporting number for cost reporting; and

2 Program specific reports, reporting categories, or topical requirements.

(2) Specific information for preparing a checklist is on the reverse of the form. Addressees to whom reports will be forwarded directly must be provided on an additional page. If more space is needed In item 5, additional pages can be attached. A completed checklist and attachment are shown as Figures II-3 and II-4.

(3) Two signature blocks are provided on the checklist. The DOE program manager preparing the checklist should sign at item 6. When the preparer of the checklist exceeds the recommended selection, shown in Figure II-2, a review and approval of at least the next level of supervision is required. It is the reviewer's responsibility to ensure that only data necessary for effective program/project management appears as a checklist requirement.

2. HOW TO PREPARE PLANS AND REPORTS.

a. General. DOE and Office of Management and Budget forms are used for all plans and reports in this Order. Instructions for the preparation of plan and report forms appear on the reverse side of each form. The examples In this Order illustrate those Instructions. Although each plan Or report addresses different aspects of performance, the following data elements are common to all the forms.

(1) Program/Project Identification Number. The award number as it appears on the award, if available.

U.S. DEPARTMENT OF ENERGY

FEDERAL ASSISTANCE REPORTING CHECKLIST

1. Identification Number: Cooperative Agreement DE-FC-01-00RA1234

2. Program/Project Title: Pilot Energy Awareness Training Program

3. Recipient: Ace Utility Company, Utopia, Illinois

4. Reporting Requirements

	Frequency	No. of Copies	Addressees
PROGRAM/PROJECT MANAGEMENT REPORTING			
[X] Federal Assistance Milestone Plan	X, Y	1	A
[X] Federal Assistance Budget Information Form	X, Y	1	A
[X] Federal Assistance Management Summary Report	Q	1	A
[X] Federal Assistance Program/Project Status Report	Q	1	A
[X] Financial Status Report, OMB Form 269	Q	1, 1, 1	A, B, C
TECHNICAL INFORMATION REPORTING			
[ ] Notice of Energy RD&D			
[ ] Technical Progress Report			
[ ] Topical Report			
[ ] Final Technical Report			

FREQUENCY CODES AND DUE DATES

- A - As Necessary; within 5 calendar days after events.
- F - Final; 90 calendar days after the performance of the effort ends.
- Q - Quarterly; within 30 days after end of calendar quarter or portion thereof.
- O - One time after project starts; within 30 days after award.
- X - Required with proposals or with the application or with significant planning changes.
- Y - Yearly; 30 days after the end of program year. Financial Status Reports 90 days.
- S - Semiannually; within 30 days after end of program fiscal half year.

5. Special Instructions

1. No technical reports are required due to the nature of this program.

2. A final narrative report summarizing accomplishments and evaluating the program is due 90 days after the program ends.

Note: For Q substitute "budget period quarter" for "calendar quarter or portion thereof."
For Y substitute "budget period" for "program year."
For S substitute "budget period" for "program fiscal."

6. Prepared by: (Signature and Date)	7. Reviewed by: (Signature and Date)
T. J. Noteworthy [illegible]	M. E. Smith [illegible]

Figure II-3
Example Federal Assistance Reporting Checklist

FEDERAL ASSISTANCE REPORTING CHECKLIST

PURPOSE

This form serves to identify plans and reports selected by DOE as reporting requirements for the Federal Assistance Program/Project.

INSTRUCTIONS

Item 1 — Enter the program /project identification number as it appears in the official award

Item 2 — Enter the program/project description as it appears in the official award

Item 3 — Enter the name of the recipient.

Item 4 — Check spaces to indicate plans and reports selected. For each report checked, indicate frequency of delivery in column provided using one of the frequency of delivery codes as shown, as well as the number of copies requested and to whom they should be sent.

Federal Assistance Milestone Plan — presents, with the accompanying Milestone Log, a schedule of the planned activity.

Federal Assistance Budget Information Form — presents the planned costs.

Federal Assistance Management Summary Report — registers planned progress and costs to actual progress and costs in a capsulized format

Federal Assistance Program/Project Status Report — periodically reports project status, explains variances and problems, and discusses any other areas of concern or achievements.

Financial Status Report, OMB Form 269 — presents the status of funds committed to the project.

Notice of energy R&D Project — provides information on unclassified DOE R&D Project for dissemination to the scientific, technical, and industrial communties and to the public. Also provides information to the Smithsonian Information Exchange and to the DOE Technical Information Center.

Technical Progress Report — periodically reports progress and/or results of DOE supported R&D and scientific projects covering a specific reporting period

Topical Report — presents the technical results of work performed on a specific phase of a project.

Final Technical Report — presents a technical accounting of the total work performed on a project.

Frequency Codes - Each code represents a specific reporting frequency (such as Quarterly) These time periods are suggested in the program announcement and negotiated at the time of the award.

Item 5 — Identify any special reporting requirements or instructions not identified in Item 4. (Use additional sheets as necessary.).

Item 6 — Signature of person preparing the checklist and the date prepared. Preparation is by person responsible for program solicitation.

Item 7 — Signature of the person reviewing the checklist and date reviewed

Figure II-3 **(Continued)**
Federal Assistance Reporting Checklist (Reverse Side)

Report Distribution List

A. T. J. Noteworthy, Program Manager
San Francisco Operations Office
U.S. Department of Energy
1333 Broadway
Oakland, California 94612

B. S. F. Gelman, Awarding Officer
San Francisco Operations Office
U.S. Department of Energy
1333 Broadway
Oakland, California 94612

C. A. D. Bowman, Financial Officer
San Francisco Operations Office
U.S. Department of Energy
1333 Broadway
Oakland, California 94612

Figure II-4
Example Attachment to Federal Assistance Reporting Checklist

(2) "Program/Project Title. The official title as it appears in the award, if available. Otherwise the title should be short and descriptive.

(3) The Name of the Proposer/Recipient. This information should appear as it does or would in the award.

(4) The Planning or Reporting Period. The period of time covered by the plan or the report, identified by inclusive dates.

(5) The Program/Project Start Date. The date identified in the award as the official start date, if available.

b. Structuring of Reporting Elements. A major facet of management is identifying and organizing the objectives of the work and planning the resources to accomplish them. Before any program begins, the prime objectives as well as the supporting objectives must be carefully determined and defined. All of the objectives must be organized and interrelated to attain the program goals, and the objectives must be communicated to all parties managing the program work.

(1) The range of DOE Federal assistance programs is broad and diverse. At one extreme are those programs characterized by planning and reporting of discrete, measurable milestones or accomplishments. Examples of these efforts are the number of homes insulated or the number of schools and hospitals which have had energy audits. Other assistance work may not be measurable In terms of quantity. For example, some research activity may only be capable of being monitored on the basis of the quality of technical aspects of the work. Periodic review of technical reports by experts in the specific field or conversations with the researcher are considered acceptable methods for reviewing and evaluating many types of basic research tasks or activities. Some DOE Federal assistance programs are characterized by the absence of predetermined structure. Programs which promote innovation and invention are examples of this type of program.

(2) The solicitation will describe broad areas of scientific or engineering endeavors which it is in the public interest to fund. In these programs the applicant/proposer will describe the structure of the proposed work. Clearly, it is in the best interest of the applicant/proposer to establish a logical and understandable approach for the work effort, and this Order provides sufficient flexibility to accommodate a wide range of work structures.

(3) In those cases where a work planning and reporting structure is desired, the DOE program manager will determine the reporting elements which are required to objectively monitor the work for which the recipient is responsible. An explicit description of these reporting elements should be included in the solicitation in order for all applicants/proposers to respond uniformly. This facilitates the review and evaluation of applications/proposals and, later, facilitates the monitoring process by having a reporting standard for measuring progression similar work.

(4) A management tool that can assist a manager in organizing the project is the work breakdown structure. For illustration, a work breakdown structure is shown in Figure II-5.

(a) Level I refers to the program or project objective. For some programs, DOE will define level I and level II elements on the "Federal Assistance Reporting Checklist." In the example, level I corresponds to "Pilot Energy Awareness Training Program," and is numbered 1.0.

(b) Level II consists of the component tasks essential to fulfill the objective. In the example, there are five tasks which must be accomplished in order to establish, conduct and evaluate the "Pilot Energy Awareness Training Program." These level II components are commonly referred to as elements of work and numbered progressively 1.1, 1.2, 1.3, 1.4, and 1.5.

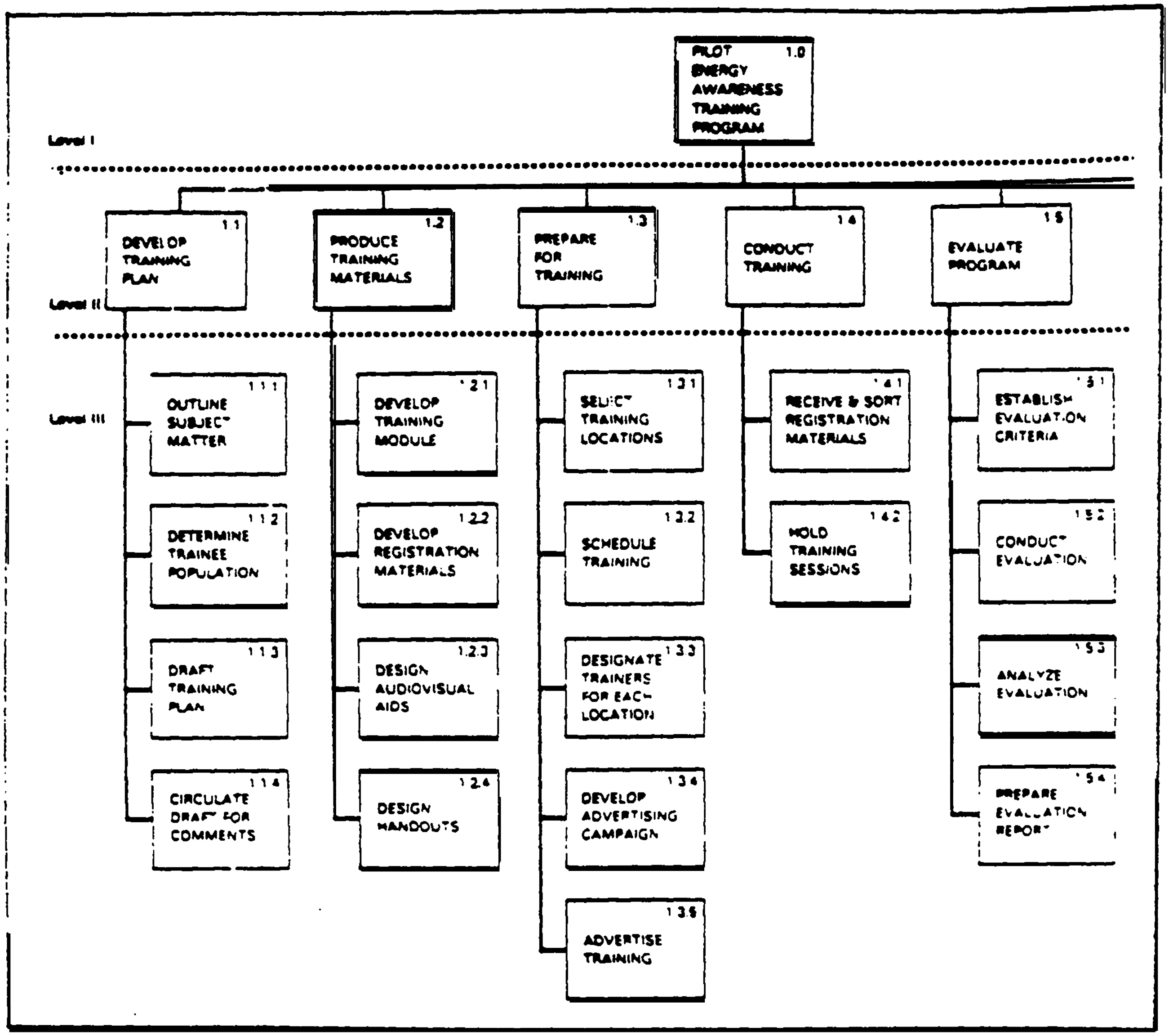


Figure I-5
Example Work Breakdown Structure

(c) Level III outlines the subtasks necessary for the completion of the level II tasks. For example, in order to “Produce Trailing Materials” (1.2), there are four subtasks which need to be performed. These are numbered 1.2.1, 1.2.2, 1.2.3, and 1.2.4. These subtasks are not necessarily a sequential ordering of work to be performed, but represent a breakdown of the level II task.

c. Federal Assistance Milestone Plan (Form EIA-459B).

(1) Purpose.

(a) The “Federal Assistance Milestone Plan” presents the schedule for the planned work. The plan establishes the recipient’s time schedule for accomplishing the planned events and milestones for each reporting element identified in the solicitation. The form is normally accompanied by a “Milestone Log” with the planned completion date of each Item.

(b) Standard DOE charting symbols and charting conventions described on the reverse side of the form are used to chart the intermediate events and milestones. Detailed preparation Instructions appear on the reverse side of the form. Intermediate events and Critical milestones are further Identified in an attached “Milestone Log,” and include the identification number, descriptive name of the event or milestone, and the scheduled date of completion. A sample “Federal Assistance Milestone Plan” and companion “Milestone Log” are shown *at* Figures II-6 and II-7.

(2) General Instructions. The plan will be prepared to the level of detail specified in the solicitation. A schedule should be developed for the total effort from start to finish. The plan should provide more detail in the current year and less detail for later years.

(3) Discussion of the Example, Figure II-6.

(a) Item 6- Identification Number. The identification number is a milestone reference number given to the task by the recipient or taken from-the-work breakdown structure. In this example, the milestone identification numbers correspond to the numbers given to the work breakdown structure elements.

(b) Item 7 - Planning Category (Work Breakdown Structure Tasks). A short descriptive title is entered for each activity. In the example, the titles correspond to the work breakdown structure elements.

(c) Item 8- Program/Project Duration. The block extending left to right represent convenient units of time which cover the duration of the work effort. In this example, the first month of planned activity is April, Identified by an “A” in the first block.

(d) Item 9- Comments. This column is provided for the convenience of he planner and allows the addition of any comments, notes, names of performers or subgrantees, or other appropriate items. For task 1.4, there is a comment that 30 seminars will be conducted.

(4) Discussion of the Example, Figure II-7.

(a) The purpose of the "Milestone Log" is to list the events and milestones which are depicted on the Federal Assistance Milestone Plan. Also there are columns for the planned and actual occurrence dates for each of the events listed.

(b) For example, activity 1.1 on the "Federal Assistance Milestone Plan" has three events occurring during its duration. 'Draft Training Plan Prepared" (1.1A), "Draft Circulated for Comments" (1.1B), and "Approved Training Plan Completed" (1.1). The planned occurrence dates for these events are 4-30-81, 5-14-81, and 5-29-81, respectively. Since the "Milestone Log" is not used as a required status report, the "Actual Completion Date" column is for the convenience of the user only.

d. Federal Assistance Budget Information Forms (Forms EIA-459C and EIA-459D).

(1) Purpose. Either the construction or nonconstruction "Federal Assistance Budget Information Form" is used to establish the planned budget for the complete effort. It is usually submitted in the application or proposal to provide basic cost information for the assistance award. The cost information provided should represent a well prepared cost plan for the total effort.

(2) General Instructions .

(a) Before the "Federal Assistance Budget Information Form" can be completed, the planned schedule or activity should be examined to determine what resources (manpower, materials, and/or facilities) will be required to accomplish the work. The cost of these can be projected against the schedule of activities. The cost can be planned on a monthly, quarterly, or annual basis and totaled on the "Federal Assistance Budget Information Form." An example of a complete "Federal Assistance Budget Information Form" for projects which do not involve construction or land is shown at Figure II-8.

(b) If the major purpose of the effort is construction, land acquisition, or land development, and the application is for $10,000 or greater, the "Federal Assistance Budget Information Form" for construction should be used. This form is shown in Figure II-9. (Note that the example data is unrelated to the hypothetical training program which does not involve construction.) Otherwise, if the application is for less than $10,000 and does nOt require

FEDERAL ASSISTANCE MILESTONE PLAN

Identification: DE FC 01 DOWA1234

Program/Project: Pilot Energy Awareness Training Program

Performer (Name, Address): ACE Utility Company, Utopia, Illinois

Program/Project Start Date: 4/1/81

Program/Project Completion Date: 3/31/82

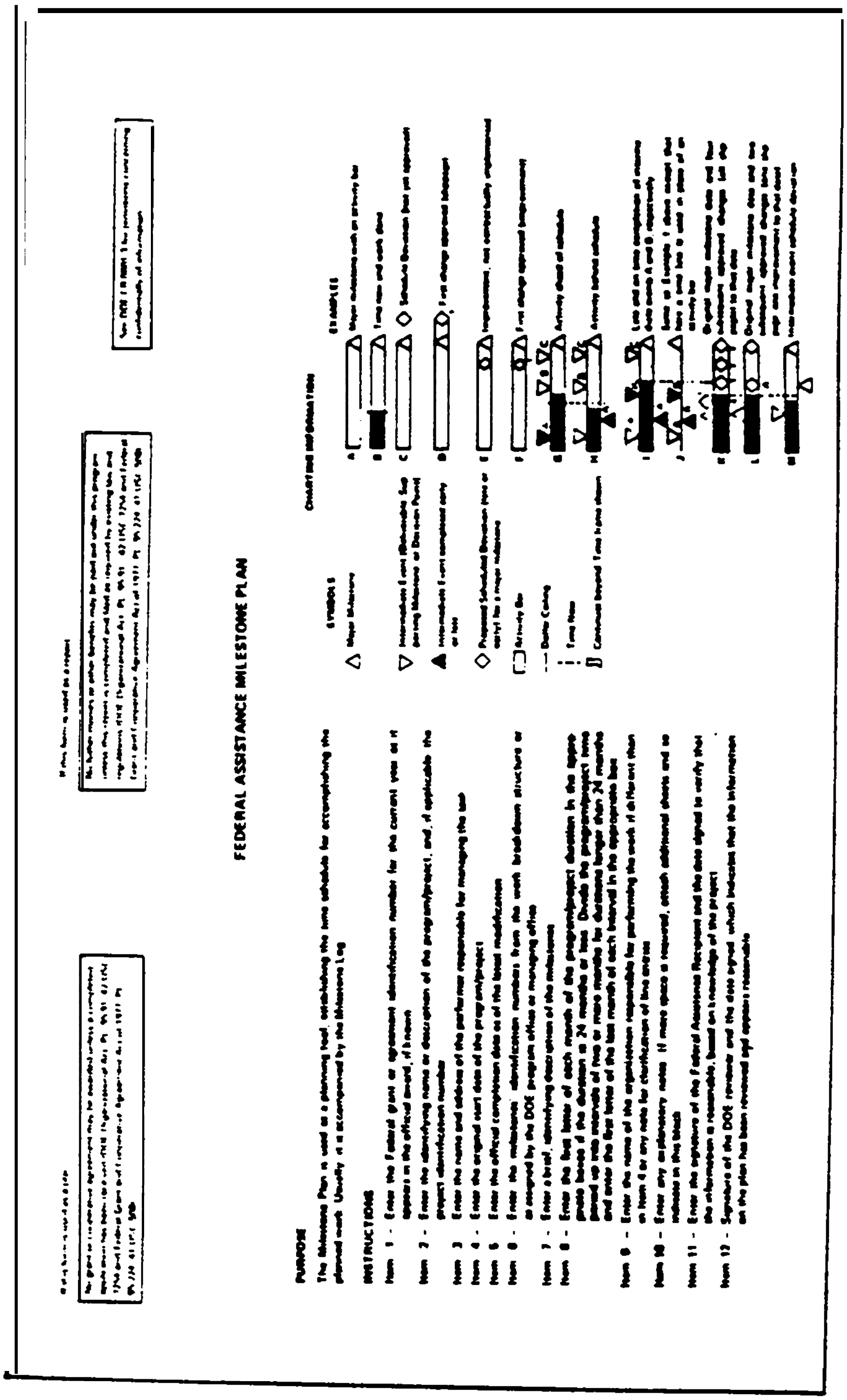
Identification Number	Planning Category (Work Breakdown Structure Tasks)	Program/Project Duration: A M J J A S O N D J F M	Comments
1.1	Develop Training Plan		
1.2	Produce Training Materials		
1.3	Prepare for Training		
1.4	Conduct Training		10 Seminars
1.5	Evaluate Training		

Remarks:

Signature of Recipient and Date: Susan Print 1/14/81

Signature of DOE Reviewing Representative and Date: T. J. Noteworthy 2/27/81

Figure II-6
Example Federal Assistance Milestone Plan



FEDERAL ASSISTANCE MILESTONE PLAN

PURPOSE

The Milestone Plan is used as a planning tool, establishing the time schedule for accomplishing the planned work. Usually it is accompanied by the Milestone Log.

INSTRUCTIONS

Item 1 - Enter the Federal grant or agreement identification number for the current year as it appears in the official award, if known.

Item 2 - Enter the identifying name or description of the program/project, and, if applicable, the project identification number.

Item 3 - Enter the name and address of the performer responsible for managing the task.

Item 4 - Enter the original start date of the program/project.

Item 5 - Enter the official completion date as of the latest modification.

Item 6 - Enter the milestones' identification numbers from the work breakdown structure or as assigned by the DOE program office or managing office.

Item 7 - Enter a brief, identifying description of the milestone.

Item 8 - Enter the first letter of each month of the program/project duration in the appropriate boxes if the duration is 24 months or less. Divide the program/project time period up into intervals of two or more months for durations longer than 24 months and enter the first letter of the last month of each interval in the appropriate box.

Item 9 - Enter the name of the organization responsible for performing the work if different than in Item 4 or any note for clarification of line entries.

Item 10 - Enter any explanatory notes. If more space is required, attach additional sheets and so indicate in this block.

Item 11 - Enter the signature of the Federal Assistance Recipient and the date signed to verify that the information is reasonable, based on knowledge of the project.

Item 12 - Signature of the DOE reviewer and the date signed, which indicates that the information on the plan has been reviewed and appears reasonable.

CHARTING INFORMATION

Figure II-6 (continued)
Federal Assistance Milestone Plan (Reverse Side)

MILESTONE LOG

Pilot Energy Awareness Training Program
Program/Project Title

Ident. no.	Description	planned Conpletion Date	Actual Completlon Date	Commnts
1.1A	Draft Training Plan Prepared	4-30.81		
1.1B	Draft Circulated for Comments	5-14-81		
1.1	Approved Training Plan Completed	5-29-81		
1.2A	Training Modules Developed	7-10-81		
1.28	Registration Materials Designed	7-17-81		
1.2C	Audio-Visual Aids Designed	7-31-81		
1.20	Handouts Designed	7-31-81		
1.2	All Training Materials Printed	8-31-81		
1.3A	Training Locations Selected	6-12-81		
1.38	Training Scheduled	6-26-81		
1.3C	Advertising Campaign Developed	7-17-81		
1.30	Ads Run in Local Papers	1-08-82		
1.3	Training Preparation Completed	1-08-82		
1.4A	Registration Materials Received and Sorted	1-15-82		
1.48	Training Sessions Held	1-29-82		
1.4	Training Completed	1-29-82		
1.5A	Evaluation Criteria Established	8-07-82		
1.5B	Evaluation Survey Conducted	2-05-82		
1.5C	Evaluation Data Analyzed	3-05-82		
1.5	Evaluation Report Prepared	3-31-82		

Figure II-7
Example Milestone Log

clearinghouse approval, an environmental impact statement, or the relocation of persons, businesses or farms, the "Federal Assistance Budget Information Form" for nonconstructIon is used (unless the applicant is a State, local or Indian tribal government in which case OMB Circular A-102 specifies the use a sHort form application").

(3) Discussion of the Example, Figure II-8.

(a) Items 1-5. These items display the identifying characteristics of the program/project,

(b) Section A - Budget Summary. In this section the total budget is presented for the particular project. Since this project pertains to a single Federal assistance program with no functional or activity breakdown, only line 1 is used.

(c) Section B - Budget Categories. In this section the total budget is presented for each of the cost categories of direct costs with indirect costs computed at a rate-agreed upon at the time of award or, in the case of many recipients, predetermined by a single Federal agency assigned the responsibility of negotiating a rate accepted by all Federal Agencies.

e. Federal Assistance Management Summary Report (Form EIA-459E) as a Baseline Plan.

(1) Purpose. Although the "Federal Assistance Management Summary Report" is used as a status report, it can be used as a baseline plan as well. As a planning document, it is a concise, top-level summary of Planned costs and schedule. The plan Is presented on a single page in a graphic format with supporting data. The graphic format permits rapid visual comparison of cost and schedule. When the period of performance is 12 months or less, and this form is used as a plan, the "Federal Assistance Milestone Plan" need not be used.

(2) General Instructions.

(a) The cost graphs are cumulative presentations, which can present 12 months of work. The cost chart permits the planned costs to be shown in quarterly increments.

(b) The milestone portion of this report establishes the recipient's time schedule for accomplishing the planned events and milestones for each reporting element identified in the solicitation. An example of a completed form when it is being used as a plan is shown as Figure 11-10.

FEDERAL ASSISTANCE BUDGET INFORMATION FORM

FORM EIA-460C (10/80)

FORM APPROVED OMB No. 1900-0127

1 Program/Project Identification No. DE-FC-01-00RA1234	2 Program/Project Title Pilot Energy Awareness Training Program (P.E.A.T.P.)
3 Name and Address ACE Utility Company Utopia, Illinois	4 Program/Project Start Date 4/01/81
	5 Completion Date 3/31/82

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds: Federal (c)	Estimated Unobligated Funds: Non-Federal (d)	New or Revised Budget: Federal (e)	New or Revised Budget: Non-Federal (f)	New or Revised Budget: Total (g)
1 P.E.A.T.P.	81.007	$	$	$ 197,300	$ 97,700	$295,000
2						
3						
4						
5 TOTALS		$	$	$ 197,300	$ 97,700	$295,000

SECTION B - BUDGET CATEGORIES

6 Object Class Categories	Grant Program, Function or Activity (1) P.E.A.T.P	(2)	(3)	(4)	Total (5)
a Personnel	$ 160,200	$	$	$	$ 160,200
b Fringe Benefits	17,500				17,500
c Travel	30,800				30,800
d Equipment	4,400				4,400
e Supplies	8,700				8,700
f Contractual	20,400				20,400
g Construction	- 0 -				- 0 -
h Other	- 0 -				- 0 -
i Total Direct Charges	242,000				242,000
j Indirect Charges	53,000				53,000
k TOTALS	$ 295,000	$	$	$	$ 295,000
7 Program Income	$ - 0 -	$	$	$	$ - 0 -

Figure II-8
Example Federal Assistance Budget Information Form
(Non-Construction)

FEDERAL ASSISTANCE WORK INFORMATION FORM

INSTRUCTIONS

Item 1 Enter the Federal Grant or agreement identification number for the current year as it appears in the official award, if known.

Item 2 Enter the Program/Project official title as it appears in the award.

Item 3 Enter name and address of the agency or office responsible for coordination and administration of the Program/Project.

Item 4 Enter the official start date.

Item 5 Enter the official completion date as of the latest official modification.

Section A. Budget Summary

Lines 1-4, Columns (a) and (b).

For applications pertaining to a single Federal grant program (Federal Domestic Assistance Catalog number) and not requiring a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project.

For continuing grant program applications, submit these forms before the end of each funding year, if required by Program Manager. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the award instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amount of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of the amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of the amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h — Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i — Show the totals of Lines 6a to 6h in each column.

Line 6j — Show the amount of indirect cost. Refer to FMC 74-4.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Line 7 — Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Program Manager in determining the total amount of the grant.

THIS REPORT IS REQUIRED IN ACCORDANCE WITH 42 U.S.C. [illegible] AND 42 U.S.C. [illegible] ET SEQ. FAILURE TO REPORT MAY RESULT IN CONTRACT TERMINATION OR PENALTIES AS PROVIDED BY LAW.

SEE DOE-PR [illegible] FOR PROVISIONS CONCERNING CONFIDENTIALITY OF INFORMATION.

Figure II-8 (Continued)
Federal Assistance Budget Information Form (Reverse Side)
(Non-Construction)

FEDERAL ASSISTANCE BUDGET INFORMATION FORM
(CONSTRUCTION)

1. Program/Project Identification No.	2. Program/Project Title: Steam Turbine Facility Construction	
3. Name and Address: Creative Construction, 1000 Development Way, Coalville, WV		4. Program/Project Start Date: 01/02/83
		5. Estimated Completion Date: 01/31/84

SECTION A — GENERAL

1. Federal Domestic Assistance Catalog No. ______________________

2. Functional or Other Breakout ______ N/A ______

SECTION B — CALCULATION OF FEDERAL GRANT

Cost Classification	Use Only for Revisions: Latest Approved Amount	Use Only for Revisions: Adjustment + or (-)	Total Amount Required
1. Administration Expense	$	$	$ 228,500
2. Preliminary Expense			68,900
3. Land, Structures, Right-of-way			477,500
4. Architecture Engineering Basic Fees			105,000
5. Other Architectural Engineering Fees			11,000
6. Project Inspection Fees			5,000
7. Land Development			85,000
8. Relocation Expenses			115,000
9. Relocation Payments to Individuals and Businesses			435,000
10. Demolition and Removal			26,000
11. Construction and Project Improvement			965,000
12. Equipment			198,000
13. Miscellaneous			--
14. Total (Lines 1 through 13)			2,719,900
15. Estimated Income (if applicable)			910,000
16. Net Project Amount (Line 14 minus Line 15)			1,809,900
17. Less: Ineligible Exclusions			427,500
18. Add: Contingencies			179,685
19. Total Project Amount (Excluding Rehabilitation Grants)			2,417,085
20. Federal Share Requested of Line 19			850,000
21. Add Rehabilitation Grants Requested (100%)			--
22. Total Federal Grant Requested (Lines 20 & 21)			850,000
23. Grantee Share			1,249,500
24. Other Shares			350,000
25. Total Project (Lines 22, 23 & 24)	$	$	$2,449,500

Figure II-9
Federal Assistance Budget Information Form
(Construction)

FEDERAL ASSISTANCE BUDGET INFORMATION FORM
(CONSTRUCTION)

INSTRUCTIONS

Item 1 — Enter the Federal Grant or agreement identification number for the current year if an award has been made

Item 2 — Enter the Program/Project title

Item 3 — Enter name and address of the agency or office responsible for coordination and administration of the Program/Project

Item 4 — Enter the official start date

Item 5 — Enter the official completion date as of the latest official modification

Section A — General

1 Show the Federal Domestic Assistance Catalog Number from which the assistance is requested. When more than one program or Catalog Number is involved and the amount cannot be distributed to the Federal grant program or catalog number on an overall percentage basis, prepare a separate set of forms for each program or Catalog Number. However, show the total amounts for all programs in Section B of the basic application form

2 Show the functional or other categorical breakouts if required by the Federal grantor agency. Prepare a separate set of forms for each category

Section B — Calculation of Federal Grant

When applying for a new grant, use the Total Amount Column only. When requesting revisions of previously awarded amounts, use all columns

Line 1 — Enter amounts needed for administration expenses including such items as travel, legal fees, rental of vehicles and any other expense items expected to be incurred to administer the grant. Include the amount of interest expense when authorized by program legislation and also show this amount under Section E — Remarks

Line 2 — Enter amounts pertaining to the work of locating and designing, making surveys and maps, sinking test holes, and all other work required prior to actual construction

Line 3 — Enter amounts directly associated with the acquisition of land, existing structures, and related right-of-way

Line 4 — Enter basic fees for architectural engineering services

Line 5 — Enter amounts for other architectural engineering services such as surveys, tests, and borings

Line 6 — Enter fees for inspection and audit of construction and related programs

Line 7 — Enter amounts associated with the development of land where the primary purpose of the grant is land improvement. Site work normally associated with major construction should be excluded from this category and shown on Line 11

Line 8 — Enter the dollar amounts needed to provide relocation advisory assistance and the net amounts for replacement (last resort) housing. Do not include relocation administration expenses on this line; include them on Line 1

Line 9 — Enter the estimated amount of relocation payments to be made to displaced persons, business concerns and non-profit organizations for moving expenses and replacement housing

Line 10 — Enter the gross salaries and wages of employees of the grantee who will be directly engaged in performing demolition or removal of structures from developed land. This Line should show also the cost of demolition or removal of improvements on developed land under a third party contract. Reduce the cost of this Line by the amount of expected proceeds from the sale of salvage, if so instructed by the Federal grantor agency. Otherwise, show the proceeds on Line 15

Line 11 — Enter amounts for the actual construction of, addition to, or restoration of a facility. Also include in this category the amounts of project improvements such as sewers, streets, landscaping and lighting

Line 12 — Enter amounts for equipment both fixed and movable exclusive of equipment used for construction. For example, include amounts for permanently attached laboratory tables, built-in audio visual systems, movable desks, chairs, and laboratory equipment

Line 13 — Enter amounts for items not specifically mentioned above

Line 14 — Enter the sum of Lines 1-13

Line 15 — Enter the estimated amount of program income that will be earned during the grant period and applied to the program

Line 16 — Enter the difference between the amount on Line 14 and the estimated income shown on Line 15

Line 17 — Enter amounts for those items which are part of the project but not subject to Federal participation (See Section C, Line 26g, Column (1))

Line 18 — Enter the estimated amount for contingencies. Compute this amount as follows: Subtract from the net project amount shown on Line 16 the ineligible project exclusions shown on Line 17 and the amount which is excluded from the contingency provisions shown in Section C, Line 26g, Column (2). Multiply the computed amount by the percentage factor allowed by the grantor agency in accordance with the Federal program guidance. For those grants which provide for a fixed dollar allowance in lieu of a percentage allowance, enter the dollar amount of this allowance

Line 19 — Show the total amount of Lines 16, 17, and 18. (This is the amount to which the matching share ratio prescribed in program legislation is applied.)

Line 20 — Show the amount of Federal funds requested exclusive of funds for rehabilitation purposes

Line 21 — Enter the estimated amounts needed for rehabilitation expense if rehabilitation grants to individuals are made for which grantees are reimbursed 100% by the Federal grantor agency in accordance with program legislation. If the grantee shares in part of this expense, show the total amount on Line 13 instead of on Line 21 and explain in Section E — Remarks

Line 22 — Show the total amount of the Federal grant requested

Line 23 — Show the amount from Section D, Line 27h

Line 24 — Show the amount from Section D, Line 28c

Line 25 — Self-explanatory

Figure II-9 (Continued)
Federal Assistance Budget Information Form (Reverse Side)
(Construction)

FEDERAL ASSISTANCE BUDGET INFORMATION FORM
(CONSTRUCTION)

SECTION C – EXCLUSIONS

26 Classification	Ineligible for Participation (1)	Excluded from Contingency Provisions (2)
a Land Development	$ 85,000	$ -
b Relocation Expenses	95,000	20,000
c Relocation Payments	150,000	77,500
d	-	-
e	-	-
f	-	-
g Totals	$ 330,000	$ 97,500

SECTION D – PROPOSED METHOD OF FINANCING NON-FEDERAL SHARE

27 Grantee Share	$1,249,500
a. Securities	-
b. Mortgages	-
c. Appropriations (By Applicant)	975,000
d. Bonds	274,500
e. Tax Levies	-
f. Non-Cash	-
g. Other (Explain)	-
h. TOTAL – Grantee Share	1,249,500
28. Other Shares	350,000
a. State	350,000
b. Other	-
c. Total Other Shares	350,000
29 TOTAL	$1,599,500

SECTION E – REMARKS

INSTRUCTIONS

Section C – Exclusions

Line 26 a-g – Identify and list those costs in Column (1) which are part of the project cost but are not subject to Federal participation because of program legislation or Federal grantor agency instructions. The total amount on Line g should agree with the amount shown on Line 17 of Section B. Show in Column (2) those project costs that are subject to Federal participation but are not eligible for inclusion in the amount used to compute contingency amounts as provided in the Federal grantor agency instructions.

Section D – Proposed Method of Financing Non-Federal Share

Line 27 a-g – Show the source of the grantee's share. If cash is not immediately available, specify the actions completed to date and those actions remaining to make cash available under Section E – Remarks. Indicate also the period of time that will be required after execution of the grant agreement to obtain the funds. If there is a non-cash contribution, explain what the contribution will consist of.

Line 27 h – Show the total of Lines 27 a-g. This amount must equal the amount shown in Section B, Line 23.

Line 28 a – Show the amount that will be contributed by a State or state agency, only if the applicant is not a State or a state agency. If there is a non-cash contribution, explain what the contribution will consist of under Section E – Remarks.

Line 28 b – Show the amount that will be contributed from other sources. If there is a non-cash contribution, explain what the contribution will consist of under Section E – Remarks.

Line 28 c – Show the total of Lines 28a and 28b. This amount must be the same as the amount shown in Section B, Line 24.

Line 29 – Enter the totals of Line 27h and Line 28c.

Section E – Other Remarks

Make any remarks pertinent to the project and provide any other information required by these instructions or the grantor agency. Attach additional sheets, if necessary.

Figure II-9 (Continued)
Federal Assistance Budget Information Form
(Construction)

(3) Discussion of the Example, Figure 11-10.

(a) Item 3- Reporting Period. When this form is used as a report, this block is used to indicate the reporting period. For programs/projects that are longer than 1 year; the entry in this block corresponds to the planning period in the baseline plan. When the "Federal Assistance Management Summary Report" form is used as a plan and the project is 1 year or less long, the block need not be filled in. If the project is more than 1 year long, and this form is used as a plan, the block should show total project duration. Since this example is only for 1 year, the block has not been filled in.

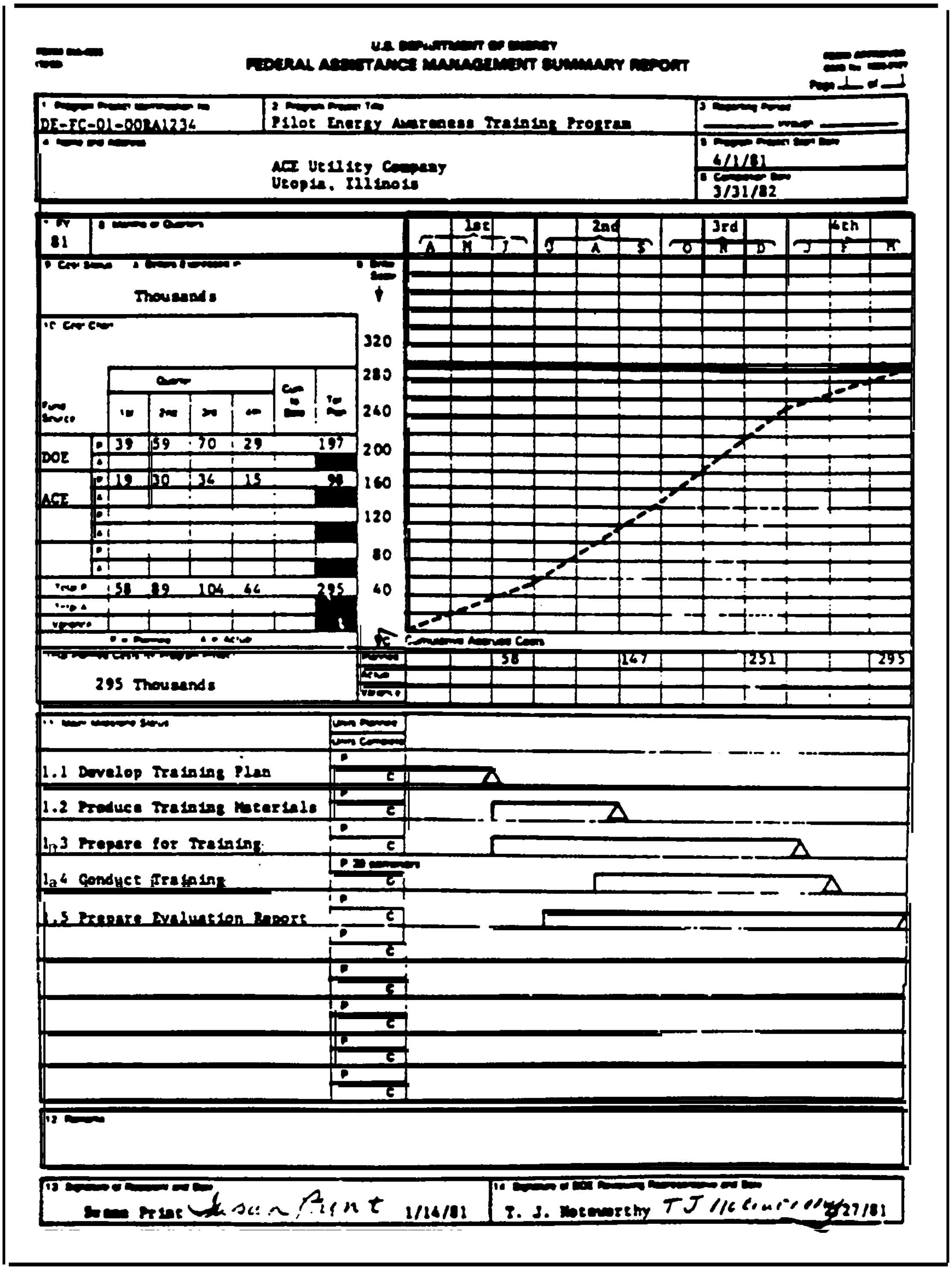
(b) Item 7 - Fiscal Year. Recipient uses this block for the current Government Fiscal Year identification when reporting status. This block is not used when the form is used is a plan.

(c) Item 8- Months or Quarters. The time schedule can be identified by months or quarters. In the example, the first quarter of the budget period is identified in the first 3 blocks with "lst". Note that the quarters are true calendar quarters. The months also are indicated with the first character of the month's name.

(d) Item 9 - Cost Status. The dollar scale is expressed in units of a thousand, as noted. A total dollar value for the budget period is represented by a solid line at the planned ceiling of $295,000. Planned cost figures, entered at the base of the graph in the blocks provided, are cumulative and are entered in the last block for each quarter. On the graph, the quarterly points are plotted at the end of each quarter. For the first quarter, "58" is entered in the "J" column to indicate total planned costs up to the end of the first quarter. A broken line joining the points depicts planned costs over time.

(e) Item 10 - Cost Chart. This section allows the recipient to show the breakout of funds among two to four possible fund sources or by activity as presented on the "Federal Assistance Milestone Plan." Blocks are provided for total planned and actual costs for each quarter, cumulative to date, and the fiscal year. A block Is provided to identify the variance between the total planned and total actual costs per quarter. A block is also provided for total planned costs for all project years.

(f) Item 11 - Major Milestone Status. The milestones are entered with an identification number and short descriptive title. If appropriate, line entries should show an estimated number of units planned for completion in the column titled "Units Planned/ Units Completed." The example indicates that 30 seminars are planned to be completed during the project. When quantification of results is not possible, such as for the last milestone "1.5 Prepare Evaluation Report," no unit measure should be entered. The activity bar indicates the interval of time planned for performing the task, using the same schedule shown in item 8, above.



U.S. DEPARTMENT OF ENERGY
FEDERAL ASSISTANCE MANAGEMENT SUMMARY REPORT

1. Program/Project Identification No.: DE-FC-01-00RA1234
2. Program/Project Title: Pilot Energy Awareness Training Program
3. Reporting Period: ______ through ______
4. Name and Address: ACE Utility Company, Utopia, Illinois
5. Program/Project Start Date: 4/1/81
6. Completion Date: 3/31/82

7. FY: 81

Months or Quarters: 1st (A M J), 2nd (J A S), 3rd (O N D), 4th (J F M)

9. Cost Status, Dollars Expressed in: Thousands

10. Cost Plan

Fund Source		1st	2nd	3rd	4th	Cum to Date	Tot Plan
DOE	P	39	59	70	29		197
	A						
ACE	P	19	30	34	15		98
	A						
Total	P	58	89	104	44		295
Total	A						
Variance							

P = Planned A = Actual

Cumulative Accrued Costs: Planned 58, 147, 251, 295

Total Planned Cost for Program/Project: 295 Thousands

11. Major Milestone Status

1.1 Develop Training Plan
1.2 Produce Training Materials
1.3 Prepare for Training
1.4 Conduct Training (P 20 sessions)
1.5 Prepare Evaluation Report

12. Remarks

13. Signature of Recipient and Date: Susan Print Susan Print 1/14/81
14. Signature of DOE Reviewing Representative and Date: T. J. Noteworthy TJ Noteworthy 1/27/81

Figure II-10
Example Federal Assistance Management Summary Report
as a Baseline Plan

Figure II-10 (Continued)

Federal Assistance Management Summary Report (Reverse Side)

If this form is used as a report

No further monies or other benefits may be paid out under this program unless this report is completed and filed as required by existing law and regulations (DOE Organization Act, PL 95-91, 42 USC 7254 and Federal Grant and Cooperative Agreement Act of 1977, PL 95-224, 41 USC 501)

If this form is used as a plan

No grant or cooperative agreement may be awarded unless a completed application has been received (DOE Organization Act, PL 95-91, 42 USC 7254 and Federal Grant and Cooperative Agreement Act of 1977, PL 95-224, 41 USC 501)

See DOE/CR-0004 for provisions concerning confidentiality of information.

FEDERAL ASSISTANCE MANAGEMENT SUMMARY REPORT

PURPOSE

A graphic presentation of costs and milestone status that provides rapid visual analysis and trend forecasting. The funding levels should represent all available resources.

INSTRUCTIONS

Item 1 Enter the Federal grant or agreement identification number for the current year as it appears in the official award.

Item 2 Enter the program/project official title as it appears in the award and, if applicable, the project identification number.

Item 3 - For Baseline Planning – if the program/project duration is 12 months or less, omit this item. For durations greater than 12 months, one copy of this form must be completed for each 12 month period (funding year) within the program/project duration. Enter the beginning and ending dates for the year or part year for which the costs and activities are to be displayed.
For Status Reporting – enter the start and completion dates for the current reporting period.

Item 4 – Enter the name and address of the agency or office responsible for managing the project.

Item 5 – Enter the official start date of the original agreement.

Item 6 – Enter the official completion date as of the latest modification.

Item 7 – Enter the current Federal government fiscal year (FY 79).

Item 8 – Enter the first letter of each month of the period in the 12 blocks. If reporting by quarters, use three column spaces separated by heavy vertical lines and identify the quarter, such as first quarter and so on.

Item 9a – Show the unit of dollars used, such as "hundreds" or "thousands".

b – Enter the appropriate dollar scale for the large grid.

c Enter the planned cumulative accrued costs for each month or quarter. Then,

- On the grid, use a solid line extending horizontally to show the dollar ceiling. Then,
- Enter the actual cumulative accrued costs for each month or quarter for the current reporting period. Then,
- Subtract the planned cost from the actual costs for each month or quarter and show the difference (variance). Show the minus amounts in parentheses. Then,
- On the grid, use a dashed line to plot the planned cumulative costs by the dollar scale and the month or quarter. Then,
- Use a solid line to plot the actual cumulative costs for each month or quarter up to and including the month or quarter being reported. If any cost projection will vary from the planned cost for the remainder of the period, indicate this by a dotted line extending from the solid line.

Item 10 Show planned and actual costs by the source of funding, such as DOE, other Federal agencies (HUD, HEW), state, or other sources for each quarter, as well as the cumulative to date and the total funding source. Also show the total planned costs for the life of the program or project.

Item 11 Enter the current period milestone descriptions. Milestones are activities or tasks needed to be completed to accomplish the project's objectives. Milestones are measurable units of work and can be elements from the work breakdown structure. Then,

- In the column labeled Units Planned, Completed, show the appropriate figures for the current reporting period. Enter, when quantification is possible, the number of items to be produced, serviced, or acted upon.
- Show the milestones graphically using the charting information below.

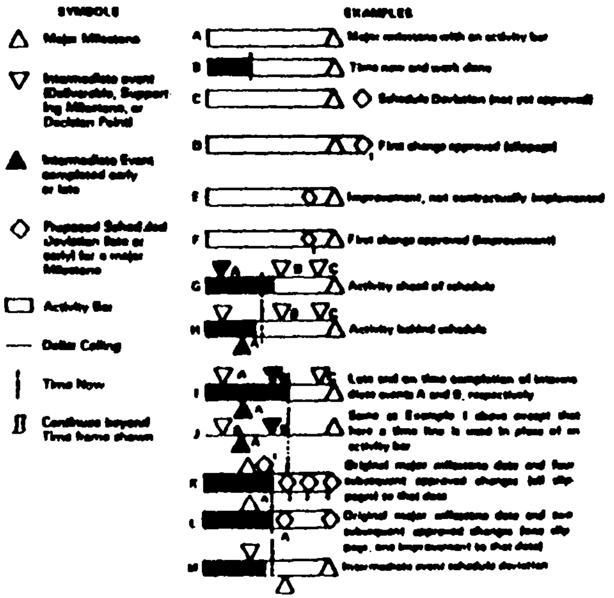
Item 12 Enter any brief explanatory remarks regarding schedule deviations. Include detailed explanations in a Project Status Report, if required.

Item 13 Enter the signature and date of the recipient's activity manager for reference.

Item 14 Enter the signature of the DOE program manager responsible for monitoring the program/project to verify the plan has been reviewed and appears reasonable. The date of the review should also be entered.

CERTAIN PROGRAMS MAY REQUIRE ADDITIONAL INSTRUCTIONS WHICH WILL BE ATTACHED TO THIS FORM

CHARTING INFORMATION



f. Federal Assistance Program/Project Status Report (Form EIA-459F).

(1) Purpose. The "Federal Assistance Program/Project Status Report" is the recipient's concise narrative assessment of the status of the work. This report is used by DOE management to monitor project status and to provide early recognition of potential problem areas.

(2) General Instructions. This report Is used to discuss technical accomplishments, variations from baseline plans or the technical approach, and actual or anticipated problems and actions taken or proposed to resolve them. The recipient also will provide an assessment of the current situation Including a forecast of the near future and any impact on project accomplishment. An example of a completed report is shown as Figure 11-11.

(3) Discussion of the Example, Figure 11-11.

(a) Item 7 - Approach Changes. A brief description of any changes in the work effort should be provided in this section. This would include a description of any technical changes as well as program changes. If more information is necessary, attach additional pages. In the example the box is checked to indicate no changes.

(b) Item 8 - Performance Variances, Accomplishments, or Problems. This section should include a discussion of the problems and variances, their causes, and the effects on the project. Any accomplishments during the reporting period should be noted. The example refers to the destruction of the training facilty at one of the selected sites, which has an impact on the training seminars conducted, as well as the costs incurred for those seminars.

(c) Item 9 - Open Items. This section is used to discuss any items which have not yet been resolved between the recipient and DOE. In the example, discussion of alternative approaches to resolve the schedule deviation and cost underrun situation are stated.

(d) Item 10 - Status Assessment and Forecast. This section of the report allows the recipient to present an analysis of the situation. Proposed solutions and expectations of-future progress-can also be discussed. The example discusses the recipient's recommendation regarding the open item discussed above.

(e) Item 11 - Description of Attachments. In the example, one copy of each training module and accompanying training aids have been attached.

U.S. DEPARTMENT OF ENERGY
FEDERAL ASSISTANCE PROGRAM/PROJECT STATUS REPORT

1. DE-FC-01-00RA1234	2. Pilot Energy Awareness Training Program	3. 7/1/81 through 9/30/81
4. ACE UTILITY COMPANY Utopia, Illinois		5. 4/1/81 6. 3/31/82

7.

8.

The training modules and related training materials were developed on time and within costs. The advertising campaign is well underway and registration response has been excellent. Six training seminars have been conducted, 3 in Livonia and 3 in Mapleton with an average attendance of 62 persons per seminar.

The facility reserved for 4 training seminars in Eliot was destroyed by fire. This has caused a cost underrun because the planned costs for these 4 seminars were not incurred. See "Open Item" for a further discussion of this problem.

9.

The training seminars in Eliot have been temporarily postponed due to the destruction of the facility that had been reserved. An alternate facility could not be found immediately, but one has been reserved for use in November. This presents the problem of either temporarily assigning additional personnel to the training staff or rearranging the schedule of the present training staff to conduct the seminars in Eliot. The first alternative would entail a cost overrun on the project for the salaries of the additional staff. For the second alternative, all the trainers' schedules would have to be revised to allow for doubling up of the number of seminars that each trainer would conduct during the third quarter. Discussions are being held between DOE and ACE to determine the course of action to be followed.

10.

ACE recommends that the second alternative of rearranging the trainers' schedules be chosen. This could be accomplished by adding to the workload of the training staff for the seminars planned for the third quarter. The trainers released by this action would then be able to conduct the sessions in Eliot. This would not cause any cost overrun and would not necessitate hiring and training new staff members.

The variance in costs caused by not conducting the seminars in Eliot in September will be made up by incurring these costs in the next reporting period.

11.

One copy of each training module and accompanying training aids.

12. Susan Print 10/14/81	13. T. J. Noteworthy 10/29/81

Figure II-11
Example Federal Assistance Program/Project Status Report

No further monies or other benefits may be paid out under this program unless this report is completed and filed as required by existing law and regulations (DOE Organization Act, P.L. 95-91, 42 USC 7254 and Federal Grant and Cooperative Agreement Act of 1977, P.L. 95-224, 41 USC 508)

See DOE/CR-0001.3 for provisions concerning confidentiality of information

FEDERAL ASSISTANCE PROGRAM/PROJECT STATUS REPORT

PURPOSE

A concise narrative describing the current status of the effort. The report allows Federal assistance recipients to communicate developments, achievements, changes and problems to DOE.

INSTRUCTIONS

Item 1 – Enter the Federal grant or agreement identification number for the current year as it appears in the official award.

Item 2 – Enter the program/project official title as it appears in the award and, if applicable, the project identification number.

Item 3 – Enter the start and completion dates for the current reporting period.

Item 4 – Enter the name and address of the recipient office responsible for managing the project.

Item 5 – Enter the official start date of the original agreement.

Item 6 – Enter the official completion date as of the latest modification.

Item 7 – Provide a description of any changes from the work plan, including technical changes, the explanation as to why these changes occurred, and what the impact on performance will be. If there were no changes during the reporting period, check the box for "none."

Item 8 – Include a discussion of accomplishments, problems and/or variances, their causes and the effects on the effort. If no performance variances, accomplishments, nor problems occurred during the reporting period, check "none."

Item 9 – Discuss any unresolved issues or items that require action by DOE or recipient. If there are no unresolved issues which require action or coordination, check "none."

Item 10 – Present analysis of program/project status, proposed solutions to problems, and future expectations regarding the project. If no deviations from the plan are forecast, enter a check in the box provided.

Item 11 – Provide a short list of program/project related attachments. If no attachments accompany the report, check "none."

Item 12 – The recipient should sign and date the report so that, if questions arise, they can be directed to the appropriate individual.

Item 13 – The DOE reviewing representative, usually the DOE program manager responsible for monitoring the program, signs and dates the form to indicate it has been reviewed and appears reasonable.

Figure 11-11 (Continued)
Federal Assistance Program/Project Status Report (Reverse Side)

g. Financial Status Report (Standard Form 269).

(1) Purpose. The "Financial Status Report" provides information on the status of both Federal and non-Federal funds for all nonconstruction programs and projects. This report provides for separation of the non-Federal share of outlays and unliquidated obligations from the Federal share of funding requirements. (For programs/projects involving construction, refer to OMB Circular No. A-102, Exhibit 4, "Outlay Report and Request for Reimbursement for Construction Programs.")

(2) General Instructions.

(a) Reported costs may be requested on an accrual basis. If the recipient's accounting system does not provide costs on an accrual basis, then a best estimate of accrued cost should be accepted.

(b) Specific instructions for completion of the report are provided on the forms. An example of a completed report is shown at figure 11-12.

(3) Discussion of the Example, Figure 11-12.

(a) Item 7 - Basis. The "cash" or "accrual" block should be marked in accordance with program division policy on reporting accrued costs.

(b) Item 8- Project/Grant Period. The dates entered in this space are the same as those entered on the "Notice of Financial Assistance Award" as completed by DOE.

(c) Item 9 - Period Covered by this Report. The dates entered in this space correspond to the time period covered by this report, 7-1-81 to 9-30-81.

(d) Item 10 - Status of Funds. The funds expended for the entire work effort are reported in this column. The period covered by this report is for the second quarter of the project. The net outlays for the first quarter are entered on line 10a ($58,000]. The total outlays for this reporting period are entered on line 10b ($83,000). Line 10e "Net outlays to date," is the summation of the net outlays previously reported and this report period ($141 ,000). Line 10f is the non-Federal share of those outlays. Line 10k is the total Federal share of outlays, and line 101 is the Federal share of outlays cumulated to date. Line 10m is the balance of Federal funds and is the difference *between* lines 10k and 101.

(e) Item 11 - Indirect Expense. The method of calculating indirect cost, as specified in the Federal assistance instrument, Is indicated in this space. This example indicates that there is a predetermined Indirect cost rate of 22 percent and that It Is applied to the total amount of direct costs.

(f) Item 12- Remarks. This line allows the recipient to refer to other performance reports for more Information and to specify the applicable budget and reporting number.

h. Federal Assistance Management Summary Report (Form EIA-459E) as a Status Report.

(1) Purpose. Use of the "Federal Assistance Management Summary Report" as a baseline plan was described earlier. It Is also used as a status report. As such, It provides a concise, top-level summary of performance for cost and schedule against the baseline plan. The data is presented on a Single page in graphic format with supporting data. The graphic format permits rapid visual comparison of cost and schedule. The "Federal Assistance Management Summary Report" form is used to report summary status regardless of the forms used in planning.

(2) General Instructions. The cost graphs are cumulative presentations. The milestone status chart compares planned and actual progress for the same time interval as shown above. Instruction for completing them are provided on the reverse side of each form. An example of completed form when it is being used as *a* report is shown as Figure 11-13.

(3) Discussion of the Example, Figure 11-13.

(a) Item 3- Reporting Period. The reporting period shown in this example is the second quarter, 7-1-81 through 9-30-81.

(b) Item 7 - Fiscal Year. The Government fiscal year (FY) is 1981 at the close of the report, 9-30-81, and is therefore identified here by the recipient *as* FY 81.

(c) Item 8- Months or Quarters. The time schedule is identified by month, starting with the first month of the budget period, April. The schedule has also been identified by quarter.

(d) Item 9 - Cost Status. The dollar scale is expressed in units of a thousand, as noted. A total dollar line is drawn solidly across the chart to show the budget year's planned ceiling of $295,000. The planned cost line Is represented by a dashed line. Actual costs are plotted on the graph *as a* solid line. In the example, actual costs total $141,000 to date and the

FINANCIAL STATUS REPORT

(Follow instructions on the back)

1. Federal Agency and Organizational Element to which Report is Submitted	Department of Energy
2. Federal Grant or Other Identifying Number	DE-FC-01-00RA1234
OMB Approval No.	80-R0180
Page 1 of 1 Pages	
3. Recipient Organization (Name and complete address, including ZIP code)	ACE Utility Company Utopia, Illinois
4. Employer Identification Number	1082
5. Recipient Account Number or Identifying Number	SF370
6. Final Report	☐ Yes ☒ No
7. Basis	☐ Cash ☒ Accrual
8. Project/Grant Period (See Instructions)	From (Month, day, year) 4/01/81 To (Month, day, year) 3/31/82
9. Period Covered by this Report	From (Month, day, year) 7/01/81 To (Month, day, year) 9/30/81

10. STATUS OF FUNDS

Programs/Functions/Activities	(a) P.E.A.T.P.	(b)	(c)	(d)	(e)	(f)	TOTAL (g)
a. Net outlays previously reported	$ 58,000	$	$	$	$	$	$ 58,000
b. Total outlays this report period	83,000						83,000
c. Less: Program income credits	-0-						-0-
d. Net outlays this report period (Line b minus line c)	83,000						83,000
e. Net outlays to date (Line a plus line d)	141,000						141,000
f. Less: Non-Federal share of outlays	47,000						47,000
g. Total Federal share of outlays (Line e minus line f)	94,000						94,000
h. Total unliquidated obligations	-0-						-0-
i. Less: Non-Federal share of unliquidated obligations shown on line h	-0-						-0-
j. Federal share of unliquidated obligations	-0-						-0-
k. Total Federal share of outlays and unliquidated obligations	197,000						197,000
l. Total cumulative amount of Federal funds authorized	103,000						103,000
m. Unobligated balance of Federal funds	94,000						94,000

11. Indirect Expense				
a. Type of Rate (Place "X" in appropriate box)	☐ Provisional	☒ Predetermined	☐ Final	☐ Fixed
b. Rate	c. Base	d. Total Amount	e. Federal Share	
22%	68248	14752	9884	

12. Remarks: Attach any necessary explanations or information required by sponsoring Federal agency in compliance with governing legislation.

13. Certification: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.

Signature of Authorized Certifying Official: Susan Print

Date Report Submitted:

Typed or Printed Name and Title: Susan Print, Director

Telephone (Area code, number and extension): 765-4727

269-101

STANDARD FORM 269 (7-76)

Prescribed by Office of Management and Budget

Figure 11-12
Example Financial Status Report

[illegible]

INSTRUCTIONS

[illegible]

Please type or print legibly. Items 1, 2, 3, 6, 7, 8, 10d, 10e, 10g, 10i, 10l, 11a, and 12 are self-explanatory; specific instructions for other items are as follows:

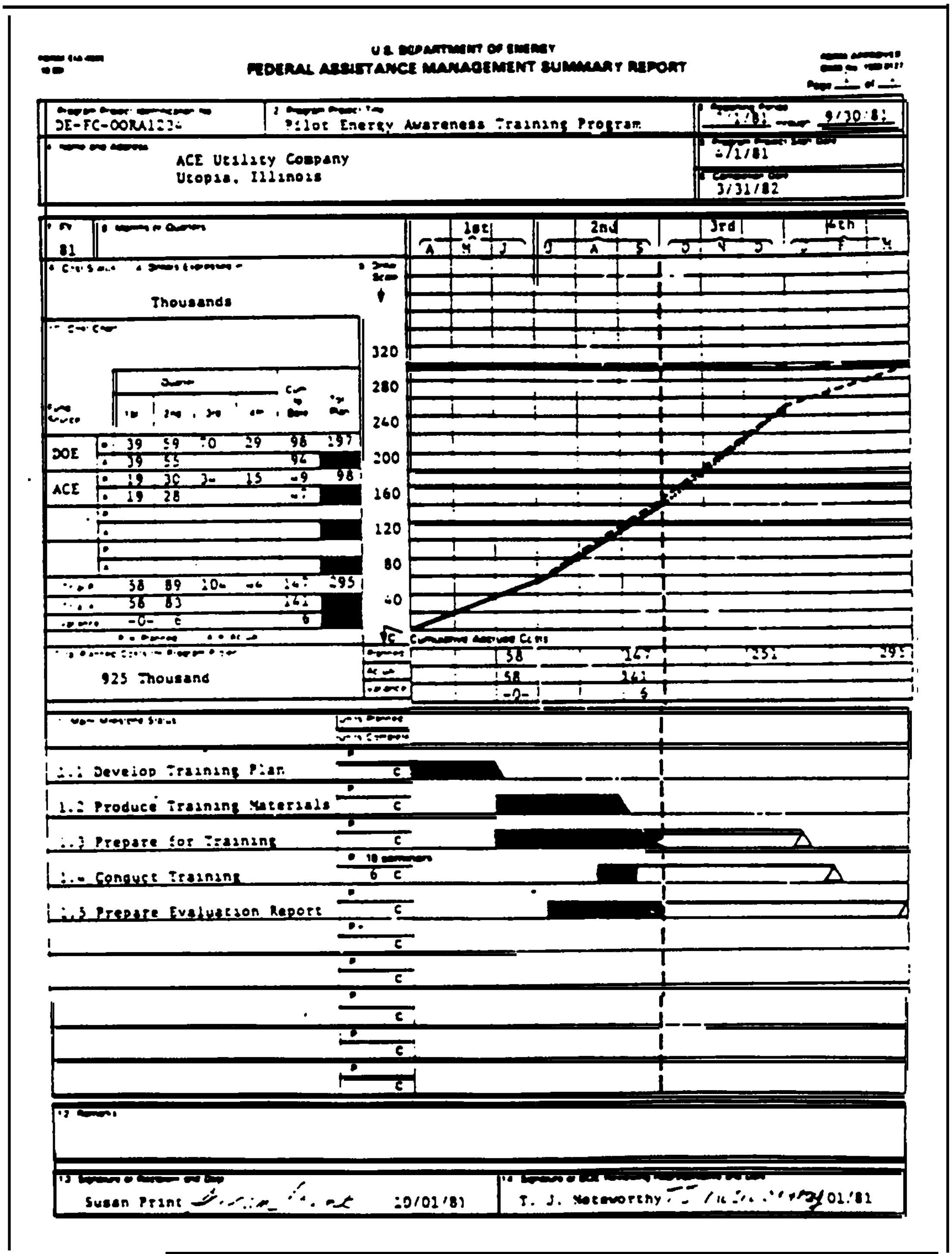
Item	Entry
4	Enter the employer identification number assigned by the U.S. Internal Revenue Service or FICE institutional code, if required by the Program Manager.
5	This space is reserved for an account number or other identifying numbers that may be assigned by the recipient.
9	Enter the month, day, and year of the beginning and ending of the project period. For formula grants that are not awarded on a project basis, show the grant period.
10	The purpose of vertical columns (a) through (f) is to provide financial data for each program, function, and activity in the budget as approved by the Program Manager. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right; however, the totals of all programs, functions or activities should be shown in column (g) of the first page. For agreements pertaining to several Catalog of Federal Domestic Assistance programs that do not require a further functional or activity classification breakdown, enter under columns (a) through (f) the title of the program. For grants or other assistance agreements containing multiple programs where one or more programs require a further breakdown by function or activity, use a separate form for each program showing the applicable functions or activities in the separate columns. For grants or other assistance agreements containing several functions or activities which are funded from several programs, prepare a separate form for each activity or function when requested by the Program Manager.
10a	Enter the net outlays. This amount should be the same as the amount reported in Line 10e of the last report. If there has been an adjustment to the amount shown previously, please attach explanation. Show zero if this is the initial report.
10b	Enter the total gross program outlays (less rebates, refunds, and other discounts) for this report period, including disbursements of cash realized as program income. For reports that are prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to contractors and subgrantees. For reports prepared on an accrued expenditure basis, outlays are the sum of actual cash disbursements, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received and for services performed by employees, contractors, subgrantees and other payees.
10c	Enter the amount of all program income realized in this period that is required by the terms and conditions of the Federal award to be deducted from total project costs. For reports prepared on a cash basis, enter the amount of cash income received during the reporting period. For reports prepared on an accrual basis, enter the amount of income earned since the beginning of the reporting period. When the terms or conditions allow program income to be added to the total award, explain in remarks the source, amount and disposition of the income.
10f	Enter amount pertaining to the non-Federal share of program outlays included in the amount on line e.
10h	Enter total amount of unliquidated obligations for the project or program, including unliquidated obligations to subgrantees and contractors. Unliquidated obligations are: Cash basis—obligations incurred but not paid. Accrued expenditure basis—obligations incurred but for which an outlay has not been recorded. Do not include any amounts that have been included on lines a through g. On the final report, line h should have a zero balance.
10i	Enter the Federal share of unliquidated obligations shown on line h. The amount shown on this line should be the difference between the amounts on lines h and
10k	Enter the sum of the amounts shown on lines g and. If the report is final, the report should not contain any unliquidated obligations.
10m	Enter the unobligated balance of Federal funds. This amount should be the difference between lines k and
11b	Enter rate in effect during the reporting period.
11c	Enter amount of the base to which the rate was applied.
11d	Enter total amount of indirect cost charged during the report period.
11e	Enter amount of the Federal share charged during the report period. If more than one rate was applied during the project period, include a separate schedule showing bases against which the indirect cost rates were applied, the respective indirect rates, the month, day, and year the indirect rates were in effect, amounts of indirect expense charged to the project and the Federal share of indirect expense charged to the project to date.

Figure 11-12 (Continued)
Financial Status Report (Reverse Side)

"141" point is plotted on the graph. Please note the planned accrued costs from the same period come to the "147" point on the graph. The graph illustrates a cost underrun. It also shows a projected cost line for future quarters based on the recipient's experience to date. The projected cost line is shown as a dotted line joining the planned cost line at 12-31-81. The recipient has projected that actual costs will return to planned cost in the next quarter.

(e) Item 10 - Cost Chart. This block allows the recipient to display a breakout of funds for the program indicating the contributing *sources.* If there is only one source of funds, the breakout of funds in item 10 should be by activity, as presented in the milestone plan. In the example, funds are provided by DOE and the ACE Utility Company. The planned amount from each source is entered for each quarter. Also the actual funds required from each fund source are shown to date. Total (planned and actual) for each quarter and cumulative to date are entered at the bottom. Note that the total cumulative *to* date figures ("141" and "147") correspond to the points plotted on the graph. The variance for both quarters and cumulative to date is also identified.

(f) Item 11 - Major Milestone Status. This block tracks progress against significant milestones. Progress is indicated by filling the milestone bars with a solid tone to correspond with the progress achieved during the reporting period. The vertical dashed line is a "time now" line and is an indication of the end of the reporting period. The example shows two activities completed, two activities on schedule, and one activity behind schedule. By comparing actual progress to the "time now" line, a quick assessment of schedule status can be made. When the "Federal Assistance Milestone Plan" and "Milestone Log" are also used plans and status shown on this report should correspond.



U.S. DEPARTMENT OF ENERGY
FEDERAL ASSISTANCE MANAGEMENT SUMMARY REPORT

DE-FC-00RA12234

Pilot Energy Awareness Training Program

7/1/81 – 9/30/81

ACE Utility Company
Utopia, Illinois

7/1/81

3/31/82

81

Thousands

Fund Source		1st	2nd	3rd	4th	Cum to Date	Tot. Plan
DOE	P	39	59	70	29	98	197
	A	39	55			94	
ACE	P	19	30	34	15	49	98
	A	19	28			47	
Total	P	58	89	104	44	147	295
	A	58	83			141	
Variance		-0-	6			6	

320
280
240
200
160
120
80
40

Cumulative Accrued Costs

Planned	58	147	251	295
Actual	58	141		
Variance	-0-	6		

925 Thousand

1.1 Develop Training Plan

1.2 Produce Training Materials

1.3 Prepare for Training

1.4 Conduct Training — P 18 seminars, 6 C

1.5 Prepare Evaluation Report

Susan Print 10/01/81

T. J. Netsworthy 10/01/81

Figure II-13
Example Federal Assistance Management Summary Report
as a Status Report

If this form is used as a report

No further monies or other benefits may be paid out under this program unless this report is completed and filed as required by existing law and regulations (DOE Organization Act, PL 95-91, 42 USC 7254 and Federal Grant and Cooperative Agreement Act of 1977, PL 95-224, 41 USC 509)

If this form is used as a plan

No grant or cooperative agreement may be awarded unless a completed application has been received (DOE Organization Act, PL 95-91, 42 USC 7254 and Federal Grant and Cooperative Agreement Act of 1977, PL 95-224, 41 USC 509)

See DOE/CR 0001 3 for provisions concerning confidentiality of information

FEDERAL ASSISTANCE MANAGEMENT SUMMARY REPORT

PURPOSE

A graphic presentation of costs and milestone status that provides rapid visual analysis and trend forecasting. The funding levels should represent all available resources.

INSTRUCTIONS

Item 1 Enter the Federal grant or agreement identification number for the current year as it appears in the official award.

Item 2 Enter the program/project official title as it appears in the award and, if applicable, the project identification number.

Item 3 For Baseline Planning — if the program/project duration is 12 months or less, omit this item. For durations greater than 12 months, one copy of this form must be completed for each 12 month period (funding year) within the program/project duration. Enter the beginning and ending dates for the year or part year for which the costs and activities are to be displayed.
For Status Reporting — enter the start and completion dates for the current reporting period.

Item 4 – Enter the name and address of the agency or office responsible for managing the project.

Item 5 – Enter the official start date of the original agreement.

Item 6 – Enter the official completion date as of the latest modification.

Item 7 – Enter the current Federal government fiscal year (FY 79).

Item 8 – Enter the first letter of each month of the period in the 12 blocks. If reporting by quarters, use three column spaces separated by heavy vertical lines and identify the quarter, such as first quarter and so on.

Item 9a Show the unit of dollars used, such as "hundreds" or "thousands".
b Enter the appropriate dollar scale for the large grid.
c Enter the planned cumulative accrued costs for each month or quarter. Then,
- On the grid, use a solid line extending horizontally to show the dollar ceiling. Then,
- Enter the actual cumulative accrued costs for each month or quarter for the current reporting period. Then,
- Subtract the planned cost from the actual costs for each month or quarter and show the difference (variance). Show the minus amounts in parentheses. Then,
- On the grid, use a dashed line to plot the planned cumulative costs by the dollar scale and the month or quarter. Then,
- Use a solid line to plot the actual cumulative costs for each month or quarter up to and including the month or quarter being reported. If any cost projection will vary from the planned cost for the remainder of the period, indicate this by a dotted line extending from the solid line.

Item 10 Show planned and actual costs by the source of funding, such as DOE, other Federal agencies (HUD, HEW), state, or other sources for each quarter, as well as the cumulative to date and the total funding source. Also show the total planned costs for the life of the program or project.

Item 11 Enter the current period milestone descriptions. Milestones are activities or tasks needed to be completed to accomplish the project's objectives. Milestones are measurable units of work and can be elements from the work breakdown structure. Then,
- In the column labeled Units Planned, Completed, show the appropriate figures for the current reporting period. Enter, when quantification is possible, the number of items to be produced, services, or acted upon.
- Show the milestones graphically, using the charting information below.

Item 12 Enter any brief explanatory remarks regarding schedule deviations. Include detailed explanations in a Project Status Report, if required.

Item 13 Enter the signature and date of the recipient's activity manager for reference.

Item 14 Enter the signature of the DOE program manager responsible for monitoring the program/project to verify the plan has been reviewed and appears reasonable. The date of the review should also be entered.

CERTAIN PROGRAMS MAY REQUIRE ADDITIONAL INSTRUCTIONS WHICH WILL BE ATTACHED TO THIS FORM

CHARTING INFORMATION

SYMBOLS

△ Major Milestone

▽ Intermediate event (Deliverable, Supporting Milestone, or Decision Point)

▲ Intermediate Event completed early or late

◇ Proposed Scheduled Deviation (late or early) for a major Milestone

Activity Bar

— Dollar Ceiling

Time Now

Continues beyond Time frame shown

EXAMPLES

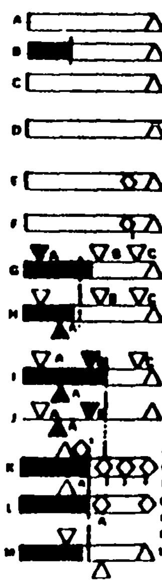


Figure 11-13 (Continued)
Federal Assistance Management Summary Report (Reverse Side)

RESEARCH PROJECT EXAMPLE

1. INTRODUCTION.

a. This example portrays a research grant from DOE to a university. The project is Intended to establish the Impact, if any, of the use of four recently developed airfoil designs upon the suppression of blade tip Induced noise in large wind driven generators.

b. The example illustrates the plans and reports which might be submitted on a project of this type. Also included is a discussion of how each plan and report is used in this example.

c. Figures 1-1 and 1-2 are the "Federal Assistance Reporting Checklist" and Reports Distribution List," respectively. They Illustrate the plans and reports which would be submitted by a recipient of such a research grant and who will be the recipient of those plans and reports.

2. DISCUSSION OF EXAMPLES.

a. Federal Assistance Budget Information Form (Form EIA 459-C) (Figure 1-3).

(1) Items 1-5. These items display the identifying characteristics of the program/project.

(2) Section A - Budget Summary. In this section the total budget is presented for the particular grant program. Since this project pertains to a single Federal grant program with no functional or activity breakdown, only line 1 is used.

(3) Section B - Budget Categories. In this section the total budget is presented for each of the cost categories of direct costs with indirect costs computed at a rate determined by an agreement between the grantee and the grantor or as a result of an audit of the grantee's operation by the grantor Agency.

b. Financial Status Report (Form 269) (Figure 1-4).

(1) Item 7. The "cash" or "accrual" block should be marked in accordance with program policy on reporting.

(2) Item 8. The dates entered in this space are the same as those entered on the Notice of Financial Assistance Award prepared by DOE.

(3) Item 9. The dates entered in the space correspond to the time period covered by this report, 7-1-80 to 6-30-81.

(4) Item 10. The total funds expended on the research effort are reported in this section. The-period covered by this report is the entire life of the project. Therefore, the total costs for this project are entered in line item 10b at $113,000. The net outlays this report period (line item 10d) and the net outlays to date (line Item 10e) are equal to the total outlays this report period (line item 10b). The total Federal share of outlays to date is entered as line item 10g also at $113,000. Line Items 10h through 10j are zero because no other financial commitments have been made to date. Line Item 101 is the total amount of Federal funds authorized and is equal to the total Federal share of outlays (line Item 10g). Since this report sums all costs on a total project basis, column 10g is the same as column 10a.

(5) Item 11. The method of calculating indirect costs, as specified in the Federal assistance instrument, is indicated in this space. This example shows that there is a predetermined indirect cost rate of 40 percent and that it is applied to the total amount of direct costs.

(6) Item 12. This line allows the recipient to refer to other performance reports for more information.

c. Notice of Energy RD&D Project (Form DOE 538) (Figure 1-5). The "Notice of Energy RD&D Project" report is required for all research, development and demonstration efforts except weapon systems. It is submitted shortly after the award is given and updated annually for the duration of the effort. The purpose of this report is to inform the scientific community of research efforts being undertaken.

d. University Contractor, Grantee and Cooperative Agreement Recommendations for Announcement and Distribution of Documents (Form DOE RA-427) (Figure 1-6). This form is used by the originator of a technical report to Indicate the distribution appropriate for it.

U.S. DEPARTMENT OF ENERGY
FEDERAL ASSISTANCE REPORTING CHECKLIST

1. Identification Number. Grant DE-FG-01-00CS4567	2. Program/Project Title Noise Suppression In Wind Driven Generators
3. Recipient: Pierce State University	

4. Reporting Requirements:

	Frequency	No. of Copies	Addressees
PROGRAM/PROJECT MANAGEMENT REPORTING			
[ ] Federal Assistance Milestone Plan			
[X] Federal Assistance Budget Information Form	X	1,1,1	A,B,C
[ ] Federal Assistance Management Summary Report			
[ ] Federal Assistance Program/Project Status Report			
[X] Financial Status Report, OMB Form 269	F	1,1,1	A,B,C
TECHNICAL INFORMATION REPORTING			
[X] Notice of Energy RD&D	O,Y	1,3,1,1	A,B,D,F
[X] Technical Progress Report	A	1,4,1,1	A,B,D,F
[X] Topical Report	A	1,4,1,1	A,B,D,F
[X] Final Technical Report	F	1,4,1,1	A,B,D,F

FREQUENCY CODES AND DUE DATES

A - As Necessary, within 5 calendar days after events
F - Final, 90 calendar days after the performance of the effort ends.
Q - Quarterly, within 30 days after end of calendar quarter or portion thereof
O - One time after project starts, within 30 days after award
X - Required with proposals or with the application or with significant planning changes
Y - Yearly, 30 days after the end of program year (Financial Status Reports 90 days)
S - Semiannually, within 30 days after end of program fiscal half year

5. Special Instructions.

Technical Reports sent to TIC should be in the form of a reproduction master and one copy.

6. Prepared by: (Signature and Date) 1/30/81 J. S. Anderson J. S. Anderson	7. Reviewed by: (Signature and Date) 2/10/81 C. L. Dixon C. L. Dixon

Figure 1-1
Example Federal Assistance Reporting Checklist

Report Distribution List

A. Cassandra L. Dixon
Administrative Monitor
Office of Conversion
Department of Energy, M.S. 153
Washington, D.C. 20585

B. Jason S. Anderson
Program Manager
Department of Energy, M.S. 728
Washington, D.C. 20585

c. Ad D. Beans
Financial Officer
Department of Energy, M.S. 62
Washington, D.C. 20585

D. Department of Energy
Technical Information Center
P.O. BOX 62
Oak Ridge, TN 37830

E. Sally Lassor
Awarding Officer
Department of Energy, M.S. 1508
Washington, D.C. 20585

F. Patent Office
Department of Energy
Washington, D.C. 20585

Figure 1-2
Example Reports Distribution List

FEDERAL ASSISTANCE BUDGET INFORMATION FORM

[illegible] FORM APPROVED

1. [illegible] Grant DE-EG-01-00CS4567	2. [illegible] Noise Suppression in Wind Driven Generators
3. [illegible] Department of Physics Pierce State University, Piedmont, MO 69021	4. [illegible] 7/1/80 5. [illegible] 6/30/81

SECTION A - BUDGET SUMMARY

[illegible] (a)	[illegible] (b)	[illegible] (c)	[illegible] (d)	[illegible] (e)	[illegible] (f)	Total (g)
1. Research & Dev. Solar	81,037	$	$	$ 113,000	$ -0-	$ 113,000
2						
3						
4						
5. TOTALS		$	$	$ 113,000	$ -0-	$ 113,000

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	(1) Research & Dev. Solar	(2)	(3)	(4)	Total (5)
a. Personnel	$ 60,535	$	$	$	$ 60,535
b. Fringe Benefits	6,265				6,265
c. Travel					
d. Equipment	5,200				5,200
e. Supplies	3,714				3,714
f. Contractual					
g. Construction	5,000				5,000
h. Other					
i. Total Direct Charges	80,286				80,286
j. Indirect Charges	32,286				32,286
k. TOTALS	$ 113,000	$	$	$	$ 113,000
7. Program Income	$	$	$	$	$

Figure 1-3
Example Federal Assistance Budget Information Form

FINANCIAL STATUS REPORT

(Follow instructions on the back)

1. Federal Agency and Organizational Element to which Report is Submitted: Department of Energy

2. Federal Grant or Other Identifying Number: Grant DE-FG-01-00CS4567

OMB Approval No. 80-R0180

Page 1 of 1 Pages

3. Recipient Organization (Name and complete address, including ZIP code):
Pierce State University
Piedmont, Missouri 69201

4. Employer Identification Number: 1001

5. Recipient Account Number or Identifying Number: 1234

6. Final Report: ☒ Yes ☐ No

7. Basis: ☐ Cash ☒ Accrual

8. Project/Grant Period (See Instructions): From (Month, day, year) 7/01/80 To (Month, day, year) 6/30/81

9. Period Covered by this Report: From (Month, day, year) 7/01/80 To (Month, day, year) 6/30/81

10. Programs/Functions/Activities	(a) Depression Project	(b)	(c)	(d)	Total (e)
a. Net Outlays previously reported	-0-				-0-
b. Total outlays this report period	113,000				113,000
c. Less: Program income credits	-0-				
d. Net outlays this report period (Line b minus line c)	113,000				113,000
e. Net outlays to date (Line a plus line d)	113,000				113,000
f. Less: Non Federal share of outlays	-0-				-0-
g. Total Federal share of outlays (Line e minus line f)	113,000				113,000
h. Total unliquidated obligations	-0-				-0-
i. Less: Non Federal share of unliquidated obligations shown on line h	-0-				
j. Federal share of unliquidated obligations	-0-				
k. Total Federal share of outlays and unliquidated obligations	113,000				113,000
l. Total cumulative amount of Federal funds authorized	113,000				113,000
m. Unobligated balance of Federal funds	-0-				-0-

11. Indirect Expense:
a. Type of Rate (Place "X" in appropriate box): ☐ Provisional ☒ Predetermined ☐ Final ☐ Fixed
b. Rate
c. Base: 80,714
d. Total Amount: 32,286
e. Federal Share: 32,286

12. Remarks: Attach any necessary explanation or information required.
R&R 1A-01-4

13. Certification: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purpose set forth in the award documents.

Signature of Authorized Certifying Official: Charles Adams

Date Report Submitted: 7/15/81

Typed or Printed Name and Title: Charles Adams, Director

Telephone (Area code, number and extension): (402) 370-879

STANDARD FORM 269 (7-76)
Prescribed by Office of Management and Budget

Figure 1-4
Example Financial Status Report

FORM DOE 538
(Rev. 10-80)

U.S. DEPARTMENT OF ENERGY

NOTICE OF ENERGY RD&D PROJECT

APPROVED FOR USE BY
SMITHSONIAN SCIENCE INFORMATION EXCHANGE

Form Approved
OMB No. [illegible]

1. Descriptive title of work
CONCEPTUAL DESIGN FOR A COMPLETE PILOT SCALE MHD/STEAM SYSTEM

2. Performing organization control number [illegible]
Work status [X] New [ ] Continuing [ ] Terminated

3. Contract or grant number
FG-AC03-80FE01834

4. Contractor's principal investigator/project manager and address where work is performed
A. Name (Last, First, MI) DUNDAS, DERRICK
B. Phone: FTS-
C. Research organization business address. Street 361 NORTH PEABODY STREET
Com.- 123-4567
City ALGODONES State COLORADO Zip 94999

5. A. Name of performing organization ROCKY MOUNTAIN UNIVERSITY (Organization) PHYSICS DEPARTMENT (Department)
B. Mailing address (If different from 4C)
C. Circle only one code for TYPE OF ORGANIZATION PERFORMING R&D (See instructions):
CU FF IN NP ST TA US XX EG
D. Location where the work is being performed
E. Country sponsoring research

6. Supporting organization
A. Program division or office (Full name) ASSISTANT SECRETARY FOR FOSSIL ENERGY
B. Technical monitor (Last, First, MI) WATERS, JAMES T.
C. Phone: FTS- 252-5000
D. Address (If different from DOE Hqs.)
Com.- 202-252-5000
E. Administrative monitor (Last, First, MI) PERIWINKLE, GAYLORD G.

7. Project schedule
A. Start date MAY (Month) 1980 (Year)
B. Expected completion date APRIL (Month) 1982 (Year)

8. Funding in thousands of dollars. Funds represent budget obligations for operating and capital equipment:

	Funding organizations	[illegible]	[illegible]
A.	DOE-RA	175	
B.			
C.			

D. For DOE projects, enter budgeting and reporting classification code
E. Interagency agreement (Specify funding agency)
F. Agency in-house effort (Check if applicable) [ ]
G. EPA "pass-thru" funding (Check if applicable) [ ]

Note: Funding Section [illegible] on Federal Financial Assistance Programs: grants, [illegible], cooperative agreements, loan guarantees, and other related programs.

9. Descriptive summary of work (Limit to 200 words. Include objective, approach, results to date and their significance and expected product. Quantify where possible)

THIS PROJECT IS EXPECTED TO PROVIDE CONCEPTUAL DESIGNS BASED ON EXISTING DATA FOR AN ETF (PILOT-SCALE) PLANT THAT IS A COMPLETE MHD/STEAM SYSTEM. A MAJOR GOAL OF THE ETF IS TO PROVIDE COMPONENT, SUBSYSTEM AND SYSTEM DATA NECESSARY FOR SCALE-UP TO COMMERCIAL, DEMONSTRATION-PLANT SIZES. THE ETF IS TO BE CAPABLE OF TESTING FOR 2000 CONTINUOUS HOURS AT DESIGN CONDITIONS.

Figure 1-5
Example Notice of Energy RD&D Project

10. List the five most descriptive publications in the last year that are available to the public which have resulted from the project (Please give a complete bibliographic citation. Use additional sheets if necessary).

J/A

11. General technology categories (Enter applicable code of codes from instructions).

A 1												

12. Type of research activity (Check applicable activities)

- A. [ ] Basic research
- B. [ ] Applied research
- C. [ ] Laboratory scale R&D
- D. [ ] Technology development
- E. [ ] Field study
- F. [X] Pilot plant scale R&D
- G. [ ] Full scale demonstration
- H. [ ] Mathematical model development
- I. [ ] Data analysis/assessments
- J. [ ] Information systems management
- K. [ ] Policy analysis
- L. [ ] Socioeconomic
- M. [ ] Other (Specify) ____________________
- N. [ ] Not applicable

13. Keywords (Please list 5 keywords).

MAGNETO HYDRODYNAMICS
STEAM SYSTEMS
DEMONSTRATION PLANTS
MHD/STEAM SYSTEMS
MAGNETICS

14. Is this research project solely an ANALYTICAL/PAPER STUDY? (Non-experimental, paper and pencil, computer analysis, etc.) YES ______ NO __λ__

15. Respondent's Name: DUNDAS, DERRICK Phone No.: 998-123-4567 Date: May 15, 1980

Street: 361 NORTH PEABODY STREET

City: ALGODONES State: COLORADO Zip: 94999

Figure 1-5 (continued)
Example Notice of Energy RD&D Project (Page 2)

DOE Form RA-427
(10/80)

U.S. DEPARTMENT OF ENERGY

OMB NO. [illegible]

UNIVERSITY CONTRACTOR, GRANTEE AND COOPERATIVE AGREEMENT RECOMMENDATIONS FOR ANNOUNCEMENT AND DISTRIBUTION OF DOCUMENTS

See Instructions on Reverse Side

1. DOE Report No.
DOE/CS/4567

2. Contract No.
Grant DE-FG-01-00CS4567

3. Title
Noise Suppression Using Advanced Airfoil Design in High Tip Speed Wind Driven Generators

4. Type of Document ("X" one)
- [x] a. Scientific and technical report
- [ ] b. Conference paper
  - Title of conference ______
  - Date of conference ______
  - Exact location of conference ______
  - Sponsoring organization ______
- [ ] c. Other (Specify planning, educational, impact, market, social, economic, thesis, translations, journal article manuscript, etc.)

5. Recommended Announcement and Distribution ("X" one)
- [x] a. DOE's normal announcement and distribution procedures may be followed
- [ ] b. Make available only within DOE and to DOE contractors and other U.S. Government agencies and their contractors

6. Reason for Recommended Restrictions

7. Patent and Copyright Information
Does this information product disclose any new equipment, process or material? ☐ No ■ Yes If so, identify page nos. 27
Has an invention disclosure been submitted to DOE covering any aspect of this information product? ■ No ☐ Yes
If so, identify the DOE (or other) disclosure number and to whom the disclosure was submitted
Are there any patent-related objections to the release of this information product? ■ No ☐ Yes If so, state these objections
Does this information product contain copyrighted material? ■ No ☐ Yes
If so, identify the page numbers ______ and attach the license or other authority for the government to reproduce

8. Submitted by — Name and Position (Please print or type)
ADAMS, CHARLES W., JR.
Organization
PIERCE STATE UNIVERSITY, DEPARTMENT OF PHYSICS
Signature *Charles W. Adams*
Date 7-15-81

FOR DOE OR OTHER AUTHORIZED USE ONLY

9. Patent Clearance ("X" one)
- [ ] a. DOE patent clearance has been granted by responsible DOE patent group
- [ ] b. Report has been sent to responsible DOE patent group for clearance.

Figure 1-6
Example Recommendations for Announcement and Distribution of Documents

SUGGESTED FEDERAL ASSISTANCE SOLICITATION

DESCRIPTION OF THE UNIFORM REPORTING SYSTEM

FOR FEDERAL ASSISTANCE

1. INTRODUCTION.

   d. Purpose. The uniform reporting system for Federal assistance is a set of standard forms and procedures for communicating plans and reporting the conduct and results of DOE assisted activities. Recipients of DOE grants and parties to DOE cooperative agreements are required to provide DOE with the necessary minimum level of information, through the use of selected forms, to enable DOE to carry out its fiscal accountability and program responsibilities.

   b. Reporting Objectives. Both planning and performance information Is provided to the E program manager through submission of the selected plans and reports. Planning data depicted In the baseline planning forms provide a summary level cost and schedule baseline against which performance data can be compared to ensure the responsible administration of Federal assistance programs. Performance data collected provide measures of program status and results achieved.

   c. Reporting Requirements. The scope and level of detail of baseline information and the frequency and nature of performance reporting have been determined by the program manager. Proposed reporting requirements are identified in the solicitation, Copies of the baseline plan forms required for this program also are included as part of the application package. The final selection of required reports will be specified In the "Federal Assistance Reporting Checklist" incorporated In the award instrument. The determination of the reports required was made in consideration of the type of activity being assisted, the duration and complexity of the anticipated effort, probable amount of award funding, and relevant office of Management and Budget guidelines.

      (1) Baseline, status, and technical reports proposed as requirements for this program are described on the following pages.

      (2) A complete description of reports is available in the "DOE Uniform Reporting System for Federal Assistance (Grants and Cooperative Agreements) Guidelines," (DOE/MA-001) available from the DOE Technical Information Center, Secondary Distribution, P.O. Box 62, Oak Ridge, TN 37830.

2. BASELINE PLANS.

   a. Federal Assistance Management Summary Report (Form EIA-459E). This report is a single page form on which the applicant enters projected cost *and* activity data. The cost data to be entered must depict projected total costs for the life of the project on at least a quarterly basis. The activity data required is a delineation of the project's majorr milestones and bar charts displaying the projected schedule for attainment of these milestones. This form is used for both the baseline plan when required and for project status reporting.

b. Federal Assistance Milestone Plan (Form EIA 459B). The milestone plan Is used to portray the major milestones of the proposed project in bar chart format. " It covers the-life of the project and is to be organized by major project activities, such as those performed at work breakdown structure level 2. It is accompanied by the Milestone Log which lists the events and milestones depicted on the Federal Assistance Milestone Plan.

c. Federal Assistance Budget Information Form (Form EIA 459C). The "Federal Assistance Budget Information Form" is to be used by the applicant to provide summary level data on the proposed project total budget. The total project budget is broken down into Federal and non-Federal funds for each major activity. A second breakdown of the total budget for each major activity by object class of expenditure (i.e., personnel or travel) also is requested.

d. Federal Assistance Budget Information Form (Construction) (Form 459D). The Budget Information Form" for construction is to be used by the applicant to provide summary level data on the proposed project total budget. The total product is broken down by cost classification. Space is provided for listing those parts of the project not subject to Federal participation and for showing the proposed method of financing the non-Federal share.

3. STATUS REPORTS.

a. Federal Assistance Management Summary Report (Form EIA 459E). This report is a single page form on which the applicant provides summary cumulative cost and activity data for each reporting period. More detailed instructions are on the back of the form.

b. Federal Assistance Program/Project Status Report (Form EIA 459F). This report is a single page form on which the award recipient enters brief narrative discussion-of the following topics: approach changes; performance variances, accomplishments, or problems; open items; and status assessment and forecast. Each of these topics is addressed, as appropriate, for a given reporting period and the report is submitted periodically, as required, during the life of the project.

c. Financial Status Report (Standard Form 269). This form is used to provide D with regular periodic accounting of project funds expended. The accounting may be on either a cash or accrual basis. Actual total expenditures and obligations incurred, but not paid, are reported for each reporting period for each major activity. They should correlate with those identified on the "Federal Assistance Milestone Plan" when the "Federal Assistance Milestone Plan" is used. Provision is made to identify the Federal and non-Federal share of project outlays for each identified activity.

4. TYPES OF TECHNICAL REPORTS.

a. Technical Progress Report. This report summarizes the work performed during a specific reporting period. It will include the technical and scientific results achieved. This report is required at least once during the fiscal year on RD&D projects. More frequent submissions, when required, will be Identified on the "Reporting Requirements Checklist."

b. Topical Report. This report provides a comprehensive statement of the technical results of the work performed for a specific task or phase of the contract, or reports detailing significant new scientific or technological advances.

c. Final Technical Report. This report is required on all RD&D contracts/agreements upon completion of the contract/agreement. It provides a technical accounting of the total work performed on the contract. It is a comprehensive description of the results achieved and will Include, to support the investigations undertaken, tabulations of data, figures, photographs, and other bibliographic citations. It summarizes all topical reports and technical progress reports where applicable. The report will include the original hypotheses of the project and present the Investigative approaches used, complete with problems encountered or departures from the planned methodology, and an assessment of their impact on the project results. The report format should contain an executive summary of the contents followed by a project summary. The main body should include, where applicable, facts, figures, analyses, and assumptions used during the life of the project to support the conclusions and recommendations. Appendices containing detailed computations and other reference materials may be included.

d. Journal Articles. Publication in open literature is desirable. When DOE requires a prepublication review and patent clearance, copies of the proposed article must be provided to DOE as identified in the "Reporting Requirements Checklist" special instructions section.

e. Conference Papers. Participation at conferences related to the contractor's mission Is encouraged; however, papers to be presented must be submitted to DOE for review and patent clearance prior to presentation. Requirements for submission of papers will be specified in the special instructions section of the "Reporting Requirements Checklist."

f. Other Technical Reports/Publications. Requirements for other types of technical reports/publications, such as books, theses, translations, and computer software with scientific applications, will be specified in the solicitation or contract. Copies of these will be provided to DOE for prepublication review and necessary clearances In accordance with the special instruction section of the "Reporting Requirements Checklist."

g. Notice of RD&D Project (Form DOE 538). This report is required for all D operated sites that conduct research and development activities and all contractors performing research who are subject to the uniform reporting system.

CHAPTER III

TECHNICAL INFORMATION REPORTING

1. GENERAL.

   a. ScIentific and technical Information called for or developed under this Order Is used by program managers In their technical performance evaluations. Scientific and technical information developed during work supported by DOE shall be reported promptly and fully to the Department's Technical Information Center (TIC) located in Oak Ridge, Tennessee, for inclusion in DOE'S information data base; and, as security, patent, and other DOE policy considerations permit, to be made available to the scientific, technical, and industrial communlties, and to the public through approved channels. The Technical Information Center is the Department's centralized facility for the management of scientific and technical information developed by DOE and is responsible for developing, designing, implementing, and evaluating Departmentwide systems and programs to effectively manage and disseminate the technical results of the Department's research and development programs.

   b. When a grant is expected to result in the production of scientific and technical information, grantees shall be required to submit at least a "Notice of Energy RD&D Project" (DOE Form 538) and a final technical report.

   c. The publications listed below provide detailed information concerning the reporting and dissemination of scientific and technical information. Implementation procedures for managing the Department's scientific and technical information formerly contained in this Order will be expanded and issued separately by the Technical Information Center in the near future.

      (1) DOE 1340.1A, MANAGEMENT OF PUBLIC COMMUNICATION PUBLICATIONS, AND SCIENTIFIC, TECHNICAL, AND ENGINEERING PUBLICATIONS.

      (2) DOE 1430.1, MANAGING THE DEPARTMENT OF ENERGY'S SCIENTIFIC AND TECHNICAL INFORMATION.

      (3) DOE/TIC-4500, STANDARD DISTRIBUTION FOR UNCLASSIFIED SCIENTIFIC AND TECHNICAL REPORTS. .

      (4) M-3679, STANDARD DISTRIBUTION FOR CLASSIFIED SCIENTIFIC AND TECHNICAL REPORTS.

      (5) DOE/TIC-4600, DOE TECHNICAL INFORMATION CENTER, ITS FUNCTION AND SERVICES.

2. SELECTION OF TECHNICAL REPORTS.

a. The solicitation will describe the general technical reporting requirements that are expected for grants or cooperative agreements. The DOE program manager will determine which reports will be required, their frequency of submission, and their distribution within DOE based on the scope of the grant or cooperative agreement. Descriptions of the reports are included In Attachment 1. Figure III-1 presents suggested DOE distribution and submission frequency for technical reports. These requirements are recorded on the "Federal Assistance Reporting Checklist," and the 'appropriate addressees for distribution are noted on the distribution list.

b. When determining the reporting requirements, the program manager should consider:

(1) Federal Government policy to the extent that the type and frequency of reports should be the minimum necessary to permit DOE to meet its responsibilities effectively.

(2) Other pertinent policies and directives of DOE such as the publications listed in paragraph 1c.

(3) Applicable policies, directives, and criteria established by the responsible DOE organization, such as the program division.

(4) Personal knowledge of the nature and scope of the technical work to be performed, and an assessment of the rate at which technical information will be developed, become available, and be disseminated.

(5) The Department's requirements that a technical progress report and a "Notice of Energy RD&D Project" must be submitted at least once each year, and that a final technical report be submitted at the completion/terminati on of all research, development, and demonstration grants/cooperative agreements. For projects one year or less in duration only a final technical report is submitted.

c. At least two full-size copies of the scientific and technical reports are required for TIC. Both copies must be suitable for reproduction and microfiching. The program manager shall ensure that if organizations print scientific or technical reports for their own use, a sufficient number of copies are also printed for standard distribution.

d. Distribution other than the standard distribution shall be coordinated with TIC. Standard distribution and other distribution coordinated with TIC is referred to as official distribution.

Frequency Guide for Technical Reports

	Frequency*
TECHNICAL PROGRESS REPORT	Y
TOPICAL REPORT	A
FINAL TECHNICAL REPORT	F
JOURNAL ARTICLES	A
NOTICE OF ENERGY RD&D PROJECT	O, Y

* An annual Technical Progress Report and Notice of Energy RD&D is the suggested minimal requirement.

Legend

O Contract Award
Y Yearly or upon contract award
A As required
F Final report

Guide for Technical Reports

No. of Copies

Distribution \ Report Type	TECHNICAL PROGRESS REPORT	TOPICAL REPORT	FINAL TECHNICAL REPORT	JOURNAL ARTICLE MANUSCRIPT	JOURNAL ARTICLE REPRINT	CONFERENCE PAPER OR PROCEEDINGS	TRANSLATIONS	THESES	BOOKS	NOTICE OF ENERGY RD&D PROJECT
Project Manager	4	4	4	4	4	4	4	4	4	3
Contract Administrator	1	1	1	1	1	1	1	1	1	1
Patent Counsel	1	1	1	1	1	1	1	1	1	1
TIC	*/	*/	*/	*/	*/	*/	*/	*/	*/	*/

*/ Printed copies as called for in DOE 1430.1 and other TIC guidance.

Figure III-1
Frequency and Distribution of Technical Reports