award number, the amount of unex-
spent funds, if any, that are antici-
pated to be left at the end of the cur-
rent budget period. If the amount ex-
ceeds 10 percent of the funds available
for the budget period, provide informa-
tion as to why the excess funds are antici-
pated to be available and how they
will be used in the next budget period.
The report should state whether the
aims have changed from the original
application, and if they have, provide
revised aims. A completed budget page
must be submitted with the continu-
ation progress report when a change to
anticipated future costs will exceed 25
percent of the original recommended
future budget.
(2) Notice of Energy Research and De-
velopment (R&D) Project. A Notice of
Energy R&D Project, DOE Form
1430.22, which summarizes the purpose
and scope of the project, must be sub-
mitted in accordance with the Dis-
tribution and Schedule of Documents
set forth in appendix A to this part,
Schedule of Renewal Applications and
Reports. Copies of the form may be ob-
tained from a DOE contracting office.
(3) Special Reports. The recipient shall
report the following events to DOE as
soon after they occur as possible:
(i) Problems, delays, or adverse con-
ditions that will materially affect the
ability to attain project objectives or
prevent the meeting of time schedules
and goals. The report must describe re-
medial action that the recipient has
taken, or plans to take, and any action
DOE should take to alleviate the prob-
lems.
(ii) Favorable developments or events
that enable meeting time schedules
and goals sooner, or a lower cost than
anticipated, or producing more benefi-
cial results than originally projected.
(4) Final Report. A final report cov-
ering the entire project must be sub-
mitted by the recipient within 90 days
after the project period ends or the
award is terminated. Satisfactory com-
pletion of an award will be contingent
upon the receipt of this report. The
final report shall follow the same out-
line as progress reports. Recipients will
provide, as part of the final report, a
description of records and data com-
piled during the project, along with a
plan for its preservation or disposition
(see §602.19 of this part). All manu-
scripts prepared for publication should
be appended to the final report.
(5) Financial Status Report (FSR)
(OMB No. 0348–0039). The FSR is re-
quired within 90 days after completion
of each budget period. For budget peri-
ods exceeding 12 months, an FSR is
also required within 90 days after this
first 12 months unless waived by the
contracting officer.
(b) DOE may extend the deadline
date for any report if the recipient sub-
mits a written request before the dead-
line, that adequately justifies an exten-
sion.
(c) A table summarizing the various
types of reports, time for submission,
and number of copies is set forth in ap-
pendix A to this part. The schedule of
reports shall be as prescribed in this
table, unless the award document
specifies otherwise. These reports shall
be submitted by the recipient to the
awarding office.
(d) DOE, or its authorized representa-
tives, may make site visits, at any rea-
sonable time, to review the project.
DOE may provide such technical assist-
ance as may be requested.
(e) Recipients may place performance
reporting requirements on a sub-
recipient consistent with the provi-
sions of this section.
[60 FR 5841, Jan. 31, 1995, as amended at 71
FR 68730, Nov. 28, 2006]
§ 602.18 Dissemination of results.
(a) Recipients are encouraged to dis-
seminate research results promptly.
DOE reserves the right to utilize, and
have others utilize to the extent it deems appropriate, the reports resulting
from research awards.
(b) DOE may waive the technical re-
porting requirement of progress reports
set forth in §602.17, if the recipient sub-
mits to DOE a copy of its own report
that is published or accepted for publi-
cation in a recognized scientific or
technical journal and that satisfies the
information requirements of the pro-
gram.
(c) Recipients are urged to publish re-
sults through normal publication chan-
nels in accordance with the applicable
provisions of 10 CFR part 600.
(d) The article shall include an ac-
knowledgement that the project was
supported, in whole or in part, by a DOE award, and specify the award number, but state that such support does not constitute an endorsement by DOE of the views expressed in the article.

§ 602.19 Records and data.

(a) In some cases, DOE will require submission of certain project records or data to facilitate mission-related activities. Recipients, therefore, must take adequate steps to ensure proper management, control, and preservation of all project records and data.

(b) Awardees must ensure that all project data is adequately documented. Documentation shall:

(1) Reference software used to compile, manage, and analyze data;

(2) Define all technical characteristics necessary for reading or processing the records;

(3) Define file and record content and codes;

(4) Describe update cycles or conditions and rules for adding or deleting information; and

(5) Detail instrument calibration effects, sampling and analysis, space and time coverage, quality control measures, data algorithms and reduction methods, and other activities relevant to data collection and assembly.

(c) Recipients agree to comply with designated DOE records and data management requirements, including providing electronic data in prescribed formats and retention of specified records and data for eventual transfer to the Comprehensive Epidemiologic Data Resource or to another repository, as directed by DOE. Recipients will provide, as part of the final report, a description of records and data compiled during the project along with a plan for its preservation or disposition.

(d) Recipients agree to make project records and data available as soon as possible when requested by DOE.

APPENDIX A TO PART 602—SCHEDULE OF RENEWAL APPLICATIONS AND REPORTS

<table>
<thead>
<tr>
<th>Type</th>
<th>When due</th>
<th>Number of copies for awarding office</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Summary: 200 words on scope and purpose (Notice of Energy R&amp;D Project)</td>
<td>Immediately after a grant is awarded and with each application for renewal.</td>
<td>3</td>
</tr>
<tr>
<td>2. Renewal period ends</td>
<td>6 months before the budget</td>
<td>8</td>
</tr>
<tr>
<td>3. Progress Report period (or as part of a renewal application)</td>
<td>90 days prior to the next budget period</td>
<td>3</td>
</tr>
<tr>
<td>4. Other progress reports, brief topical reports, etc. (Designated when significant results develop or when work has direct programmatic impact).</td>
<td>As deemed appropriate by DOE or the recipient</td>
<td>3</td>
</tr>
<tr>
<td>5. Reprints, Conference</td>
<td>Same as 4. above</td>
<td>3</td>
</tr>
<tr>
<td>6. Final report of the project</td>
<td>Within 90 days after completion</td>
<td>3</td>
</tr>
<tr>
<td>7. Financial Status Report (FSR)</td>
<td>Within 90 days after completion of the project period; for budget periods exceeding 12 months an FSR is also required within 90 days after the first 12-month period.</td>
<td>3</td>
</tr>
</tbody>
</table>

NOTE: Report types 5 and 6 require with submission two copies of DOE Form 1332.16, University-Type Contractor and Grantee Recommendations for Disposition of Scientific and Technical Document.

PART 603—TECHNOLOGY INVESTMENT AGREEMENTS

Subpart A—General

Sec.
603.100 Purpose.
603.105 Description.
603.110 Use of TIAs.
603.115 Approval requirements.
603.120 Contracting officer warrant requirements.
603.125 Applicability of other parts of the DOE Assistance Regulations.

Subpart B—Appropriate Use of Technology Investment Agreements

603.200 Contracting officer responsibilities.
603.205 Nature of the project.
603.210 Recipients.
603.215 Recipient’s commitment and cost sharing.
603.220 Government participation.
603.225 Benefits of using a TIA.