

# DOE-NE CINR Awardee Informational Webinar

February 2022

# How It All Starts...

- **What happens after Selection notification?**

- DOE Contract Management Division receive the selected applications and begins processing awards.
- How can the PI help with this process?
  - In your application, provide
    - Complete budget justifications
    - Vendor quotes for equipment over \$5K
    - Detailed travel breakdown
- DOE will contact the selectee's business office and copy the PI on requests.
  - Provide requested documents as quickly as possible
- Once awarded, the listed Business Point of Contact received a system generated email that the award is available via FedConnect
- There are several attachments provided with the award that the Business Office should forward to the PI

# PI Change/Move Requests

- **Policy Drivers**

- The CINR is a competitive funding opportunity announcement (FOA), which abides by financial assistance regulations.
- Financial assistance must have a competition between similar proposals for funding decisions to be made.
- DOE-NE awards cooperative agreements to non-Federal entities, not individuals. Applicants to the FOA and, ultimately, **awardees are universities**, not people.
- Universities, as the awardee, hold responsibility for the ultimate execution of the work.
- There are financial and regulatory drivers that require that the awarded institution completes the work.
- An award transfer from one institution to another is not allowable.

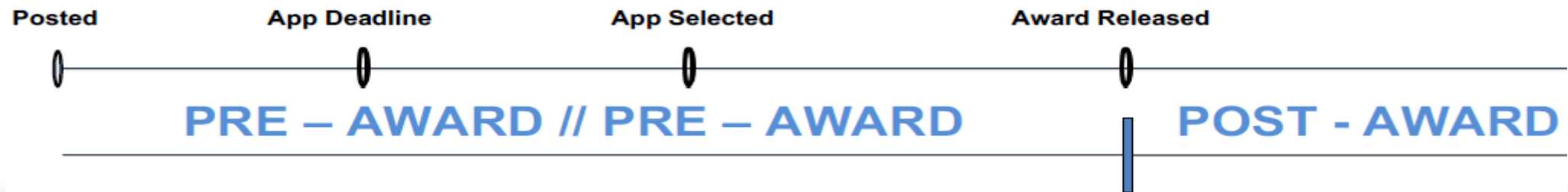
# PI Change/Move Requests

## Pre-Award

- Changing the PI specified in an application
  - Prior to Application Date
  - Before Application Selected
  - During Pre-award Negotiation Period

## Post-Award

- Changing the PI specified in the award document
- Adding or deleting a Co-PI – any change in a key person requires prior DOE approval
- Disengagement from the project for more than 3 months, or a 25% reduction in time devoted to the project by the approved PI



# PI Change/Move Requests

Final approval is required for any of these requests by a **DOE Contracting Officer**, usually in an Award Modification.

# PI Change/Move Requests

- **Prior to Application Deadline**
  - Request Change and Update Application
- **Before Selection of Award**
  - No Changes Allowed. Application must stand as is or be withdrawn
- **During Pre-Award Negotiation**
  - Same Options as if it was requested post-award

# PI Change/Move Requests

- **When a PI is exiting a University (University “A”) and moving to another (University “B”)...**
  - Option 1: University “A” requests approval from DOE to assign a new PI at University “A.”
  - Option 2: University “A” requests approval from DOE to assign a new PI at University “A”, assign exiting PI from University “A” moving to University “B” as a Co-PI and University “B” added as a sub-awardee to the award.
  - Option 3: Cancel the award (pre-award) / terminate the award (post-award)
- **Alternate Option: Adjunct Faculty Position A PI (original at University “A”) may get approval from the institution to maintain an adjunct faculty position with the university. These typically last under 1 year so this option would only be available for projects that are close to completion.**

# PI Change/Move Requests

- **1. A formal, written request must be sent to the Contracting Specialist for the award. The request should contain the following information:**
  - Identify a new PI for University “A” with a 2-page Resume/CV and provide rationale/justification for the change.
  - If pursuing the sub-award request option, a description of the proposed sub-award to the new university (University “B”) including supporting documents similar to the FOA.
  - Justification for why the project can still be successful.
- **2. The request will be reviewed by the Contract Specialist, Contracting Officer, and Technical Project Officer to determine if the request has merit and remains within programmatic boundaries for DOE-NE.**
- **3. DOE will accept or reject the proposed plan. If accepted a modification to the award will be sent to the University. If rejected, negotiation can occur to find an acceptable solution.**



# PI Change/Move Requests

- **What about Co-PIs moving?**

- Keep the subawardee and ask them to suggest a new Co-PI. Send information regarding the new Co-PI for approval as indicated in the last slide
- If from a national laboratory, the money will stay at the laboratory and a new collaborator will be assigned. Send the information regarding the change to the DOE Contracting Specialist to update the award files.

# Award Modifications

- **Project Scope**
- **Budget Revisions**
  - Transfers Over 10% of Direct Cost of Budget
  - Requests for New Subawards
  - Requests for Equipment Not in Original Application
- **No Cost Extensions**

# Award Modifications

- **Policy Drivers**

- Based on the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (aka 2 CFR 200)
- Regulations found in the Department of Energy at 2 CFR 900
- DOE Guide to Financial Assistance
- Must follow University Policies on sub-awarding and procurement

# Award Modifications

Final approval is required for any of these requests by a **DOE Contracting Officer** in an Award Modification.

# Project Scope

- **The formal, written request to the CS should contain the following information:**
  - Requested change in scope
  - Reasoning and justification for change
  - Any adjustments to milestones, schedule, and deliverables
  - Any prior discussion on the change in scope with the relevant HQ Program Manager
- **The request will be reviewed by the Contract Specialist, Contracting Officer, Technical Project Officer, and HQ Program Manager to determine if the request has merit and remains within programmatic boundaries for DOE-NE.**
- **DOE will approve or reject the project scope change.**

# Budget Revision

- **Per 2 CFR 200, any change in the following:**
  - Transfer of funds between direct cost categories as identified in the award's Budget Pages (Attachment B5) that exceeds 10% of the total award budget.
  - Inclusion of Costs requiring prior approval per 2 CFR 200 Subpart E – Cost Principles (Equipment, Foreign Travel)
  - Subawarding, transferring, contracting of any work, except acquisition of supplies, material, equipment, or general support services
  - Transfer of funds budgeted for participant support costs.

# Budget Revision

- **Transfer of Costs:**

1. A formal, written request to the CS containing the following information:

- Requested changes in an SF-424 Budget Document similar to the FOA application.
- Reasons for the budget changes occurring.
- Justification for new costs or cost changes, including quotes if necessary.
- Document any impacts to the deliverables or milestones that might occur due to the changes.

2. The request will be reviewed.

3. DOE will accept or reject the proposed revision

# Budget Revision

- **New Subawards:**

1. A formal, written request to the CS containing the following information:

- An SF-424 budget and budget justification similar to FOA for the subawardee.
- An SF-424 budget documenting the funding changes for the awarding institution.
- A letter from the subawardee indicating support and acceptance of work.
- Document any impacts to the deliverables or milestones that might occur due to the changes.

2. The request will be reviewed.

3. DOE will accept or reject the proposed subaward.



# Budget Revision

- **Unapproved Equipment Purchase**

1. A formal, written request to the CS containing the following information:

- An SF-424 budget documenting the funding changes for the institution.
- A budget justification outlining the need for the equipment and how it will help fulfill the award.
- Quotations for the requested equipment.
- Document any impacts to the deliverables or milestones that might occur due to the changes.

2. The request will be reviewed.

3. DOE will accept or reject the proposed equipment.

# No Cost Extensions

- **Policy Drivers**

- DOE efforts to integrate the university research portfolio with direct program work is compromised by NCE's.
- To enable integration, work needs to be completed on schedule to deliver results into the program to potentially define the next phase of NEUP workscope priorities. Late results create a situation where university research becomes disconnected from current program priorities.
- No cost extension requests, and the justifications for the requests, are of high interest to upper DOE-NE management.

# No Cost Extensions

- **One-Time No Cost Extensions:**

- provide no additional funds,
- approve no additional work,
- must have all previously approved work from the original project objectives or scope completed within the approved awarded budget,
- may not be exercised merely for the purpose of using unexpended funds

# No Cost Extensions

- **Requests for NCEs must:**
  - Fill out the form available at [neup.inl.gov](http://neup.inl.gov)
  - Be submitted to both:
    - Tara Haack at [haacktj@id.doe.gov](mailto:haacktj@id.doe.gov), and
    - Crystal Sosalla at INL at [crystal.sosalla@inl.gov](mailto:crystal.sosalla@inl.gov)
  - Be submitted by April 15. Any requests after this date will be reviewed after October 1, barring emergency circumstances.
  - The earlier it is identified that the project may need additional time, the better to request the NCE.
- **The request will be reviewed.**
- **DOE will accept or reject the NCE.**

# Summary

- **Changes to the award generally must be reviewed and approved by the DOE contracting officer before they occur.**
- **Official requests for PI changes and Award Modifications must be submitted to the Contract Specialist identified on the award.**
  - If you are unsure who your CS is, ask your Office of Sponsored Programs.
- **If a change or modification is needed, submit the necessary information as early as possible to ensure review.**

# Reporting Policies and Procedures

# Important Contacts

- **Tara Haack – Department of Energy, Idaho Operations**
  - Overview of Processing the Award/Reporting Requirements
  - Email: [haacktj@id.doe.gov](mailto:haacktj@id.doe.gov); Office (208) 526-1960
- **Crystal Sosalla – Idaho National Laboratory, INR-IO**
  - Quarterly Reporting and No-Cost Extensions
  - Email: [Crystal.Sosalla@inl.gov](mailto:Crystal.Sosalla@inl.gov)
- **Nick Case - Idaho National Laboratory, INR-IO**
  - Final Reports and General Questions
  - Email: [nick.case@inl.gov](mailto:nick.case@inl.gov); Cell: (208) 681-3848

# Important Contacts

- **Dave Yarwood, Allegheny Science & Technology**
  - Work Package Templates, Quarterly Report Templates, and PICS:NE
  - Email: [dyarwood@alleghenyst.com](mailto:dyarwood@alleghenyst.com) or [neupawards@alleghenyst.com](mailto:neupawards@alleghenyst.com); Office: (301) 658-7996
- **Dave Bates, Allegheny Science & Technology**
  - Work Package Templates, Quarterly Report Templates, and PICS:NE
  - Email: [dbates@alleghenyst.com](mailto:dbates@alleghenyst.com) or [ctdawards@alleghenyst.com](mailto:ctdawards@alleghenyst.com); Office: (240) 821-6546



# Federal Reporting Requirements Checklist

- Quarterly, yearly, and final reporting are essential to continued support of university NE R&D research.
- The quarterly reporting requirements are enforced upon the university, as well as the PI.
- If quarterly reporting is delinquent, future invoicing and awards for any government funding could be delayed to the university...
- It is the awardee's responsibility to ensure timely & complete reports are submitted by the subawardees/subrecipients
- Refer to DOE F 4600.2, Federal Assistance Reporting Checklist and Instructions

**U.S. Department of Energy  
FEDERAL ASSISTANCE REPORTING CHECKLIST  
AND INSTRUCTIONS**

1. Identification Number: DE-NE0008424		2. Program Project Title: 'Advanced Modeling and Simulation of Accident Tolerant Fuels for Performance Characterization'	
3. Recipient: Oregon State University 312 Kerr Administration Building Covallis, OR 97331-2140			
4. Reporting Requirements:		Frequency	Address
<b>A. MANAGEMENT REPORTING</b>			<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a>
<input checked="" type="checkbox"/> Research Performance Program Report (RPPR) (RD&D Projects)		Q F	A B C D
<input type="checkbox"/> Program Report (Non-RD&D Project)			
<input checked="" type="checkbox"/> Special Status Report		O	A B C
<b>B. SCIENTIFIC/TECHNICAL REPORTING</b> (Dissemination of results is required for RD&D projects. Reports & other S&T publications/products must be submitted using the appropriate DOE Announcement Notice (AN) located at: <a href="https://www.osti.gov/etlink">https://www.osti.gov/etlink</a> )			
	<b>Product</b>	<b>Announcement Notice (AN)</b>	
<input checked="" type="checkbox"/>	Final Scientific/Technical Report	DOE AN 241.3	F  <a href="http://www.osti.gov/etlink-2413">http://www.osti.gov/etlink-2413</a> <a href="http://www.osti.gov/etlink-2413">http://www.osti.gov/etlink-2413</a> <a href="http://www.osti.gov/etlink-2413">http://www.osti.gov/etlink-2413</a> <a href="http://www.osti.gov/etlink-2413">http://www.osti.gov/etlink-2413</a>
<input type="checkbox"/>	Journal Article-Accepted Manuscript	DOE AN 241.3	
<input type="checkbox"/>	Scientific/Technical Conference Paper/Presentation or Proceedings	DOE AN 241.3	
<input type="checkbox"/>	Scientific/Technical Software & Manual	DOE AN 241.4	
<input type="checkbox"/>	Other STI (e.g., dissertation/thesis, see instructions)	DOE AN 241.3	
<b>C. FINANCIAL REPORTING</b>			
<input checked="" type="checkbox"/> SF-425, Federal Financial Report		Q F	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a> A B C D
<b>D. CLOSEOUT REPORTING</b>			
<input checked="" type="checkbox"/> Patent Certification		F	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a> A B C
<input checked="" type="checkbox"/> SF-428 & 428B Final Property Report		F	
<input type="checkbox"/> Other (see special instructions)			
<b>E. OTHER REPORTING</b>			
<input checked="" type="checkbox"/> Annual Indirect Cost Proposal		O	<a href="https://www.fedconnect.net/fedconnect/default.aspx">https://www.fedconnect.net/fedconnect/default.aspx</a> (or Cognizant Federal Agency) & send to CFO at: <a href="mailto:DOE-Audit-Submissions@hq.doe.gov">DOE-Audit-Submissions@hq.doe.gov</a> A B C
<input type="checkbox"/> Audit of For-Profit Recipients			
<input type="checkbox"/> SF-428 Tangible Personal Property Report Forms Family			
<input checked="" type="checkbox"/> Other (see special instructions)			
<b>FREQUENCY CODES AND DUE DATES:</b>			
A - Within 5 calendar days after Award or as specified			
F - Final, within 90 calendar days after expiration or termination of award.			
Y - Yearly, within 90 days after the end of the reporting period. Y180 - Yearly, within 180 days after the end of the recipient's fiscal year.			
Q - Quarterly, within 10 days after the end of the reporting period. S - Seasonally, within 10 days after end of reporting period.			
O - Other; See special instructions for further details.			
* Special Instructions: [Insert special instructions to recipient for unique reporting requirements or reporting requirements with frequency of O]			

# Introduction

- **Allegheny Science & Technology Analysts Responsible for:**
  - Generating, updating, and distributing work package and Research Performance Progress Report (RPPR) templates
  - Maintaining reporting progress through PICS:NE (for Technical Project Officer (TPO), Technical Points Of Contact (TPOC), National Technical Director (NTD), and Federal Managers)
  - Preparing quarterly program reviews for DOE-HQ staff
  - Assisting NEUP PIs and reviewers with PICS:NE or template issues
- **Dave Yarwood**, lead AST program analyst for NEUP projects
  - E-mail: [dyarwood@alleghenyst.com](mailto:dyarwood@alleghenyst.com) or [neupawards@alleghenyst.com](mailto:neupawards@alleghenyst.com)
  - Office: 301-658-7996
- **Dave Bates**, lead AST program analyst for NEET-CTD and NEUP/NEET w/ NSUF Access projects
  - E-mail: [dbates@alleghenyst.com](mailto:dbates@alleghenyst.com) or [ctdwards@alleghenyst.com](mailto:ctdwards@alleghenyst.com)
  - Office: 240-821-6546

# Work Package Forms

- **Purpose:**
  - The work package form communicates your plan to complete the awarded scope to the DOE.
- **General Rules for Milestones:**
  - These milestones should match the milestones and deliverables from the “Project Narrative” section of the project’s application as defined in Part IV, Section E.5 of the Consolidated Innovative Nuclear Research FOA.
  - Milestones require a deliverable to demonstrate completion
    - Major milestones (M2): Technical reports reviewed by Technical POC and National Technical Director, approved by Federal Manager
    - Minor milestones (M3): Informal deliverables approved by Technical POC
  - Usually 9-12 milestones per project; reviewers may request more / fewer
  - Deliverable description: What you intend to submit at completion (technical report, meeting minutes, etc.)
- **Budget by Milestones:**
  - Total budget must equal total funding, including National Laboratory collaborators
  - No budgeting costs past project completion date (even for final report)
  - Costs generally start slowly and ramp up
    - Often difficult to recruit students at the start of the project
    - Actual cost reporting lags behind planned spending by several weeks
    - Prepare your spend plan accordingly

# Quarterly Reporting

- **Basic requirements:**

- Complete quarterly Research Performance Progress Reports (RPPR) template and Quad Chart template
- Submit to all e-mails listed on the cover sheet using the provided subject line:
  - Include signed cover sheet of the RPPR
  - Submit deliverables for completed milestones with quarterly reports

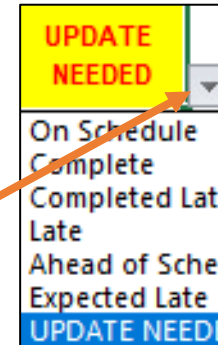
- **Research Progress Performance Report:**

- Complete all fields in all tabs (use “None” or “Not applicable” as necessary)
- Accomplishments:
  - Goals should not change; match the “Scope” field from the WP form
  - Update “1b. What was accomplished under these goals?” and “e. What do you plan to do during the next reporting period to accomplish the goals?” every quarter
- Students and Collaborators:
  - Use drop-down boxes for Project Role (Undergrad, Graduate, PhD, Post Doc), Citizenship, and Country of Foreign Collaborator
  - Nearest person month: If a student works half time (20 hours per week) for three months, round up to two
- Changes-Problems: If a milestone is late or expected late, include explanation in section “b. Actual or anticipated problems or delays and actions or plans to resolve them.”

# Quarterly Reporting

## Cost and Schedule Status

- Use drop-downs to provide status for each milestone
- If **“UPDATE NEEDED”** is selected when template is sent to you, the milestone was scheduled to be completed and status must be changed to **Complete**, **Completed Late**, or **Late**
- **Update yellow highlighted cells** (percent complete, revised finish date, actual finish date, and narrative) after updating status
- **Submit deliverables with completed milestones**



Status	Total Budget	Start Date	Finish Date	% Comp	Revised Finish Date	Actual Finish Date	Narrative
On Schedule	\$76,740	10/1/2019	12/29/2023	0%			
Complete	\$8,400	10/1/2019	9/30/2021	100%		9/30/2021	
Completed Late	\$6,055	3/1/2020	6/30/2021	100%		9/30/2021	
Late	\$76,710	6/1/2020	9/30/2021	30%	3/31/2022		Delayed due to personnel shortage
Ahead of Schedule	\$153,525	9/1/2020	12/30/2022	80%	9/30/2022		Prioritized ahead of schedule due to delays to other milestones
Expected Late	\$72,000	1/1/2021	3/30/2022	50%	9/30/2022		Equipment not available as expected; anticipating six month delay

# Quarterly Reporting

## Cost Variance

- **Complete milestone status before checking cost variance!**
- Value earned (VE) is calculated two ways:
  - On schedule: VE= Sum of monthly spend plan to date
    - VE in Sep 2021 = \$87,990
  - If Late, Expected Late or Ahead of Schedule: VE = total milestone budget x % complete
    - If 50% complete, VE = \$43,995
- Actual costs come from DOE-ID reports and include national lab collaborator costs
- Narrative is required if total cost variance is greater than +/- 10% and +/- \$25,000
- Cost Variance Explanation cell will be highlighted in yellow if required

FY	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Total
2020													0
2021	2,750	2,750	2,750	5,580	5,580	5,580	8,500	8,500	8,500	12,500	12,500	12,500	87,990
2022	15,750	15,750	15,750	2,500	2,500	2,500							54,750
2023													0
2024													0
<b>Total</b>													142,740

Cost Variance													
FY	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Total
<b>Cumulative Value Earned</b>													
2020			\$11,000			\$64,268			\$117,536			\$171,925	\$171,925
2021			\$191,059			\$225,809			\$273,071			\$298,708	\$298,708
2022			\$325,987			\$0			\$0			\$0	\$325,987
2023			\$0			\$0			\$0			\$0	\$0
2024			\$0			\$0			\$0			\$0	\$0
<b>Cumulative Actual Costs</b>													
2020			\$6,364			\$54,135			\$107,726			\$199,911	\$199,911
2021			\$235,869			\$308,039			\$391,480			\$466,310	\$466,310
2022			\$466,310			\$0			\$0			\$0	\$466,310
2023			\$0			\$0			\$0			\$0	\$0
2024			\$0			\$0			\$0			\$0	\$0
<b>Cost Variance</b>													
2020			\$4,636			\$10,133			\$9,810			(\$27,986)	(\$27,986)
2021			(\$44,810)			(\$82,230)			(\$118,409)			(\$167,602)	(\$167,602)
2022			(\$140,323)			\$0			\$0			\$0	(\$140,323)
2023			\$0			\$0			\$0			\$0	\$0
2024			\$0			\$0			\$0			\$0	\$0
<b>Cost Variance %</b>													
2020			42%			16%			8%			-16%	-16%
2021			-23%			-36%			-43%			-56%	-56%
2022			-43%			0%			0%			0%	-43%
2023			0%			0%			0%			0%	0%
2024			0%			0%			0%			0%	0%

Cost Variance Explanation:													

# Quarterly Reporting

- Submit quarterly reports through e-mail and FedConnect using addresses and subject line on Cover Sheet.
- Quarterly, yearly, and final reporting are essential to continued support of university NE R&D research.
- The quarterly reporting requirements are the obligation of the university, as well as the PI.
- If quarterly reporting is delinquent, future awards to the university may be in peril.

Submit online to:

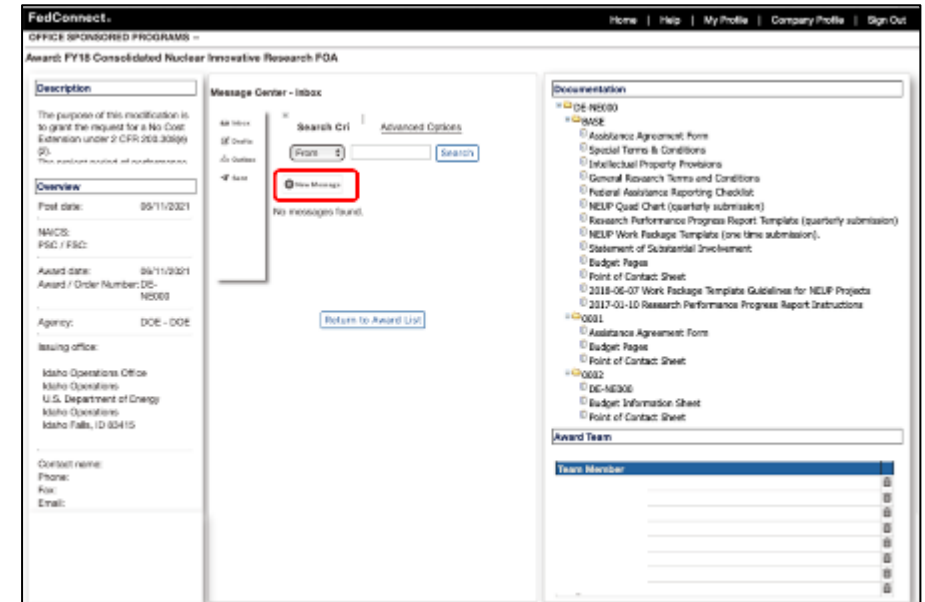
<https://www.fedconnect.net>

And submit via e-mail to

*INRREPORTS@INL.GOV; psdrept@id.doe.gov; neup@id.doe.gov; neupawards@alleghenyst.com; Federal Manager, DOE-ID TPO*

Message Subject Line:

*DE-NE000####, 1st Quarter FY 2022 Report*



# Final Reports

- **Although there is no required format or template, in accordance with the award, final reports shall include the following elements:**
  - Final Report shall contain a comprehensive summary of all work results and conclusions.
  - All reports shall fairly and completely describe the efforts applied to and the results obtained toward achievement of objectives of the award. If an objective is not accomplished, such failure shall be fully documented and explained in the report.
  - Reports shall include the following elements:
    - (a) a brief abstract of the report which describes the overall objectives and results;
    - (b) a full statement of each objective and description of the effort performed and the accomplishments achieved;
    - (c) a list of any publication or information release made of material developed or maintained through the performance of the award;
    - (d) a final quad chart; and
    - (e) any other relevant information.



# Final Reports

- **Final Reports and Quad Charts**

- Both required within 90 days after the end date of award (typically 12/31/XX)
- Can take the place of the quarterly report (if final report includes all required fields)
- Final Report is required to be submitted to the Office of Scientific and Technical Information ([www.osti.gov](http://www.osti.gov))

- **More information:**

- <https://neup.inl.gov/SitePages/Preparing%20a%20Final%20Report.aspx>