2025 NEUP PI Reporting Requirements

Office of External Innovation (NE-71)

Nuclear Energy University Program

July 23, 2025

Agenda

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- Federal Stewardship

- Payments

- Reporting Overview

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- PI / Co-PI Change

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Resources available at NEUP.gov

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Mission

The Office of Nuclear Energy (NE) mission is to advance nuclear energy science and technology to meet U.S. energy, environmental, and economic needs. NE has identified the following goals to address challenges in the nuclear energy sector, help realize the potential of advanced technology, and leverage the unique role of the government in spurring innovation:

• Keep existing U.S. nuclear reactor operating

• Deploy new nuclear reactors

• Secure and sustain our nuclear fuel cycle

• Expand international nuclear energy cooperation

Collectively, all NE-sponsored activities support the Department's priorities to combat the climate crisis, create clean energy jobs with the free and fair chance to join a union and bargain collectively, and promote equity and environmental justice by delivering innovative clean energy technologies for nuclear energy systems.

Mission Cont'd

The U.S. Department of Energy's Office of Nuclear Energy created Nuclear Energy University Program (NEUP) and University Nuclear Leadership Program in 2009 to consolidate its university support under one program. The program funds nuclear energy research and equipment upgrades at U.S. colleges and universities and provides student educational support.

Resources available at NEUP.gov

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Federal Stewardship

- **DOE will exercise normal Federal Stewardship under the Grant/Agreement, which includes:**

  o   Reviewing performance and financial reports;

  o   Providing technical assistance or temporary intervention in unusual circumstances to correct deficiencies;

  o   Assuring compliance with terms and conditions;

  o   Review overall performance after project completion; and

  o   Conducting site visits.

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Payments

- **Automated Standard Application for Payments (ASAP) System:**

  o Advanced payments provided following requests through ASAP system;

  o Requests can be submitted as frequently as required but should align with required pay outs as needed;

  o Any interest from Government funds should be tracked and utilized for costs under the Grant/Agreement;

  o Payments will be made via Electronic Funds Transfers only.

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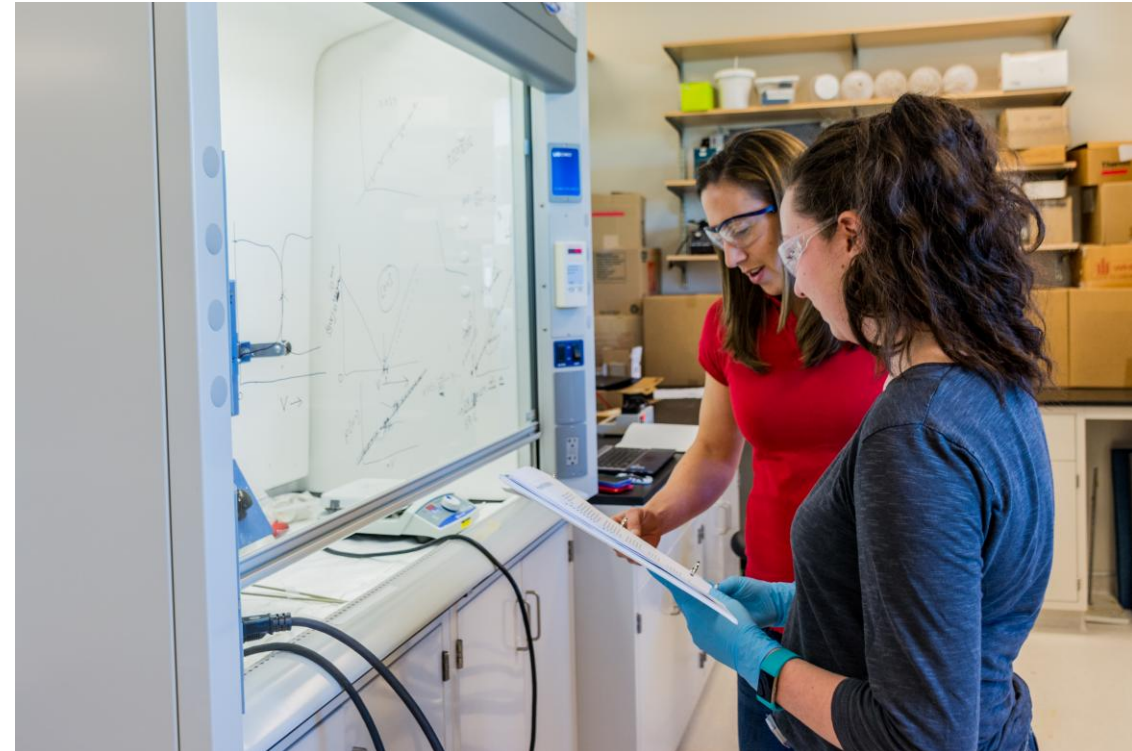
Reporting Overview

- **As specified in the Federal Assistance Reporting Checklist, the following reports are required:**

  - Progress Report (RPPR)*(Formerly Quarterly before FY24)*

  - Financial Report SF-425

  - Quad Chart

  - Final Report
    - Due 90 calendar days after Grant expiration

- **Some Projects May Require:**
  - Data Management

  - Annual Indirect Cost Proposal

  - Annual Audit of For-Profit Recipients

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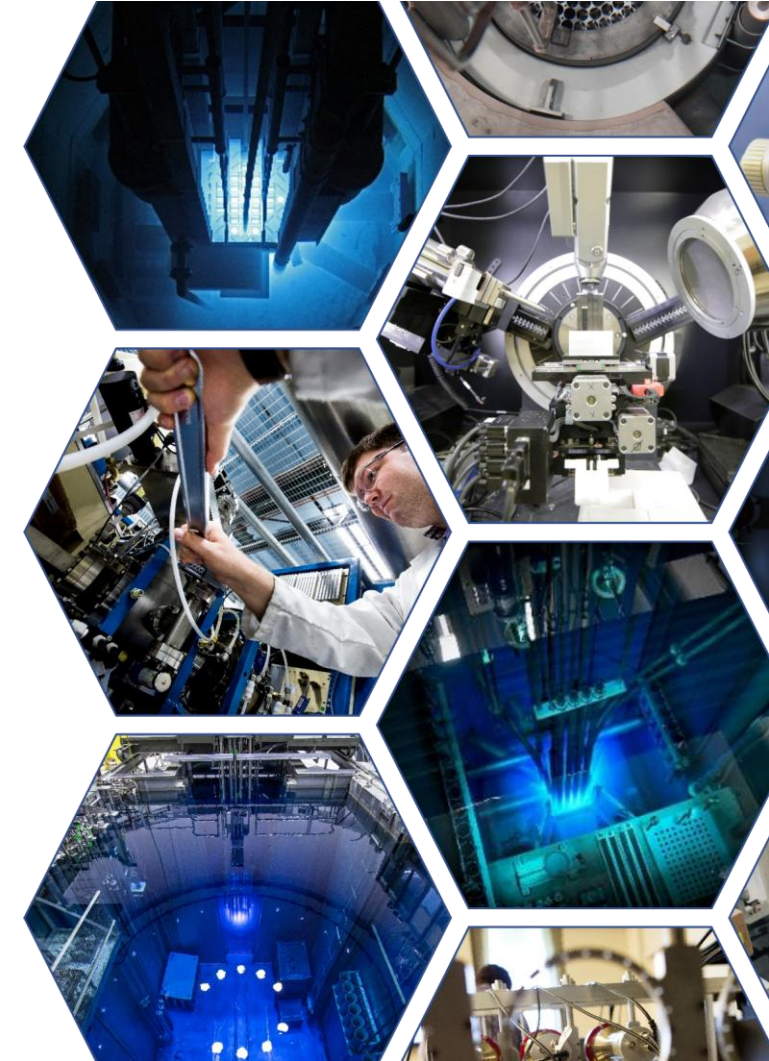
General Reporting Instructions

- Dave Bates will e-mail you a pre-populated RPPR.

- Once complete, you will need to submit to the following:

  o INRREPORTS@inl.gov

  o psdrept@id.doe.gov

  o neupawards@alleghenyst.com

  o Federal Manager

  o Technical Project Officer

- *neup@id.doe.gov appears on the Reporting Checklist, but is no longer in use*

- The message subject line should read:

  o DE-NE000XXXX, FY 2025 1st Semi-Annual Report

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Key Areas of RPPR Focus

- **Accomplishments**

  - Pay particular attention to Section B, "What was accomplished under these goals?" This should be the meat of your report. Also ensure you complete Section E, "What do you plan to do during the next reporting period to accomplish the goals?"

- **Products**

  - Enter any products published or updated during the reporting period. Section a will include the title, author(s), date, and the type of publication (publication, conference paper, or presentation) which are on a drop-down list. For section d., include title, author(s), date, and select the type (invention, patent application, or license) which will also be a drop-down list.

- **Changes/Problems**

  - Use this section to describe any issues, concerns, as well as your plan to address them.

Resources available at NEUP.gov

RPPR Template

Nuclear Energy University Program
Research Performance Progress Report - Accomplishments

WP Number:	WP #		Project Number:	22-####	Project Title:	Project Title

1. ACCOMPLISHMENTS (Mandatory):

What was done? What was learned?

The information provided in this section allows the agency to assess whether satisfactory progress has been made during the reporting period. The PI is reminded that the grantee is required to obtain prior written approval from the Contracting Officer whenever there are significant changes in the project or its direction. Requests for prior written approval must be submitted to the Contracting Officer.

a. What are the major goals of the project?

b. What was accomplished under these goals?

c. What opportunities for training and professional development has the project provided?

d. How have the results been disseminated to communities of interest?

Nuclear Energy University Program
Research Performance Progress Report

PROJECT TITLE:	Project Title
Federal Grant / Cooperative Agreement Number (CID):	DE-NE0009999

NEUP
Nuclear Energy University Programs

Nuclear Energy University Program
Research Performance Progress Report - Cost and Schedule Status

WP Number:	WP #		Project Number:	22-#####	Project Title:	Project Title

Milestone Status Chart

Milestone / Activity		Status	Total Budget	Start Date	Finish Date	% Comp	Revised Finish Date	Actual Finish Date	Narrative
	0	On Schedule	$0			0%			
	0	On Schedule	$0			0%			
	0	On Schedule	$0			0%			

Key Areas of RPPR Focus Cont'd

- **Cost & Schedule Status**

  - This section is used to report the progress against the milestones described in your Work Package template submitted at the beginning of your project.

  - The default will be "**On Schedule**" for these milestones. If a milestone is on schedule, you do not need to enter any additional information.

  - If the status shows "UPDATE NEEDED," you **must select another option** as the scheduled completion date has passed. If a milestone is complete, select "Complete" or "Completed Late" and update the actual finish date.

Nuclear Energy University Program
Research Performance Progress Report - Cost and Schedule Status

| WP Number: | NU-24-UNIV-020101-01 | Project Number: | 24-99999 | Project Title: | (Project 24-99999) NEUP R&D Award Title |

Milestone Status Chart

Milestone No./ Title	Status	Total Budget	Start Date	Finish Date	% Comp	Revised Finish Date	Actual Finish Date	Narrative
M3NU-23-UNIV_-020101-013 Minor Milestone 1	On Schedule	$122,773	8/1/2024	6/30/2025	100%			
M3NU-23-UNIV_-020101-014 Minor Milestone 2	On Schedule	$213,055	1/1/2025	10/30/2025	15%			
M2NU-23-UNIV_-020101-015 Major Milestone 2	On Schedule	$223,441	8/1/2024	7/30/2025	0%			
M3NU-23-UNIV_-020101-016 Final Report for (Project 24-99999) NEUP R&D Award Title	On Schedule	$440,731	8/1/2024	10/28/2027	28%			

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

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Key Areas of RPPR Focus Cont'd

- You **must submit a deliverable for each milestone**. Attach the file to the e-mail submitting your report with the file name matching the deliverable title from your work package form.

- If a milestone is late or expected late, select "Expected Late" and update the % Comp (percent complete), Revised Finish Date, and Narrative columns.

- Once milestone status is complete, the sheet will calculate the value earned and cost variance. If the cost variance exceeds +/- $25,000 and +/- 10%, the Cost Variance Narrative field will be highlighted in 'yellow' and **you must provide a cost variance narrative** explaining why your project is not spending according to plan.

Quad Chart Template

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Nuclear Energy

24-12345
DE-NE-0009876
FY25 Q3
QUARTERLY

Advance Quad Chart Design

OVERVIEW

Purpose:

Outcomes:

Logical Path:

IMPACT

DETAILS

Principal Investigator: **Chris Rite**

Institution: **University of Success**
Collaborators: **IDK, LANL, INL, PNNL**

Duration: **30 months**
Time Remaining: **6 months**

Total Funding Level: **$3,000,000**
Fund Balance: **$1,566,000**

TPOC: **Ned Lear**
Federal Manager: **Fred Earl**

WP: **NU-24-DC-ID-020456-78**

Milestones:

■	**M2-31**	☐	**M3-34**	■	**M2-37**
■	**M2-32**	■	**M2-35**	☐	**M3-38**
■	**M2-33**	■	**M3-36**				

RESULTS

Results:

Accomplishments:

Issues:

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PI Change/Modification

- For PI changes or modification, contact the CS and/ or the CO for award approval.

- PI changes within the same university can be requested by the lead institution and require to be approved by the DOE Contracting Officer; and

- PI changes resulting in the award changing location can be requested by the former lead institution and require approval by the DOE Contracting Officer and the new lead institution;

- A budget change of ten percent or less does not need prior approval;

- Adding or changing sub-awardees requires written authorization from the DOE Contracting officer; and

- Awards cannot be modified to add foreign travel.

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PI Move Policy Applicability

- Changing the PI specified in an application (pre-award).

- Changing the PI specified in the award document (post-award).

- 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.

- Transfer of any part of the research or programmatic effort to another institution (or sub-awarding), unless already described in the application and in the approved award.

  - *Not applicable for acquisition of supplies, materials, equipment, or general support services*

- NOTE: Final approval is required for any of these requests by a DOE Contracting Officer.

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When a PI is Changing to Another University

- **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.

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PI Change/Move Requests

- A formal, written request must be sent to the Contracting Specialist for the award. The request should contain the following information:

  o Identify a new PI for University "A" with a 2-page Resume/CV and provide rationale/justification for the change.

  o 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 NOFO.

  o Justification for why the project can still be successful.

- The request will be reviewed by the Contract Specialist, Contracting Officer, and Technical Project Officer to determine merit and remains within programmatic boundaries for DOE-NE.

- 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.

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CO-PI Change/Move Requests

- What about Co-PIs moving?

    o Keep the sub-awardee and ask them to suggest a new Co-PI. Send information regarding the new Co-PI for approval as indicated in the last slide.

    o 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.

Budget Modification

- **Per 2 CFR 200, any change in the following**:

  o Transfer of funds between direct cost categories as identified in the award's Budget Pages (Attachment B5) that exceeds 10% of the <u>total</u> award budget.

  o Inclusion of Costs requiring prior approval per 2 CFR 200 Subpart E – Cost Principles (Equipment, Foreign Travel).

  o Sub-awarding, transferring, contracting of any work, except acquisition of supplies, material, equipment, or general support services.

  o Transfer of funds budgeted for participant support costs.

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Budget Modification Cont'd

- **Transfer of Costs:**

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

    - Requested changes in an SF-424 Budget Document similar to the NOFO 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.

  - The request will be reviewed.

  - DOE will accept or reject the proposed revision.

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Budget Modification Cont'd

- **New Sub-awards:**

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

    - An SF-424 budget and budget justification similar to NOFO for the sub-awardee.

    - An SF-424 budget documenting the funding changes for the awarding institution.

    - A letter from the sub-awardee indicating support and acceptance of work.

    - Document any impacts to the deliverables or milestones that might occur due to the changes.

  o The request will be reviewed.

  o DOE will accept or reject the proposed sub-award.

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Budget Modification Cont'd

- **Unapproved Equipment Purchase**

  - 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.

  - The request will be reviewed.

  - DOE will accept or reject the proposed equipment.

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No-Cost Extension

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

  o Provide no additional funds.

  o Approve no additional work.

  o Must have all previously approved work from the original project objectives or scope completed within the approved awarded budget.

  o May not be exercised merely for the purpose of using unexpended funds.

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No-Cost Extension Cont'd

- **Requests for NCEs must:**

  - Fill out the form available at neup.inl.gov

  - Be submitted to both:

    - Tara Haack at haacktj@id.doe.gov, and

    - Crystal Sosalla at INL at crystal.sosalla@inl.gov

  - 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.**

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Award Administration

- **Equipment**

  o Title to equipment vests in the Recipient if it is utilized for the originally authorized purpose;

  o If the equipment is no longer needed, the Recipient must request disposition instructions from the Government.

- **Supplies**

  o Title to supplies will vest in the Recipient upon acquisition;

  o If there is a residual inventory of supplies exceeding $5,000 upon completion of the Grant, the Recipient must compensate the Government for it accordingly.

- **Final Incurred Cost Audit**

  o DOE reserves the right to initiate a final incurred cost audit on this award upon project completion.

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Closeout Guidance

Closeout Guidance

Guidance for closeout requirements can be located on the **DOE Form 4600.2** included with Award documents.

Attachment A-006: Financial Assistance Reporting Checklist

*** For closeout requirements look under the column heading "Frequency" on DOE Form 4600.2. Final requirements are denoted in this column with an "F."

See highlighted areas on the example.

Please visit, NEUP - AwardeeResources (inl.gov) for the complete presentation.

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

1. Identification Number: DE-NE0001787		2. Program/Project Title:	
3. Recipient: College 3111 Brilliant Blvd. Happy Land, USA 00000-0000			
4. Reporting Requirements:	Frequency	Addresses	

A. MANGEMENT REPORTING
- ☑ Research Performance Progress Report Template — S — (A D E F G)
- ☐ Progress Report (Non - RD & D Projects)
- ☑ Special Status Report — O — (A D E F G)

B. SCIENTIFIC/TECHNICAL REPORTING
(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: https:www.osti.gov/elink)

Product	Announcement Notice(AN)	Frequency	Addresses
☑ Scientific & Technical Reporting Product			
A. Journal Article-Accepted Manuscript	DOE AN 241.3	O	https://www.osti.gov/elink-2413(F)
B. Scientific/Technical Conference Paper /Presentation or Proceedings	DOE AN 241.3	O	https://www.osti.gov/elink-2413
C. Scientific/Technical Software & Manual	DOE AN 241.4	A	https://www.osti.gov/elink/241-4.jsp
D. Other STI (e.g., dissertation/thesis, see instructions)	DOE AN 241.3	O	https://www.osti.gov/elink-2413
☑ Final Scientific/Technical Report	DOE AN 241.3	F	https://www.osti.gov/elink-2413(F)

C. FINANCIAL REPORTING
- ☑ SF -425, Federal Financial Report — S F — (A D E F)

D. CLOSEOUT REPORTING
- ☑ Patent Certification — F — (A D E F)
- ☑ SF -428 & 428B Final Property Report — F — (A D E F)
- ☐ Other (see special instructions)

E. OTHER REPORTING
- ☐ Annual Indirect Cost Proposal
- ☐ Audit of For-Profit Recipients
- ☑ SF -428 Tangible Personal Property Report Forms Family — O — (A D E F)
- ☑ Other (see special instructions) — O

FREQUENCY CODES AND DUE DATES:

A - Within 5 calendar days after events 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 30 days after end of the reporting period.	S - Semiannually; within 30 days after end of reporting period.
O - Other; See special instructions for further details.	

Final Reports

- There is no required format, however, in accordance with the award, final reports shall include:

  o Final report shall contain a comprehensive summary of all work results and conclusions.

  o 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:

  o a brief abstract of the report which describes the overall objectives and results;

  o a full statement of each objective, description of the effort performed, and the accomplishments;

  o a list of any publication or information release made of material developed or maintained through the performance of the award;

  o a final quad chart; and

  o any other relevant information.

Final Reports Cont'd

- 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).

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Awardee Resources

Contacts

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