

FTR ELEMENTS FROM THE FINANCIAL
ASSISTANCE REPORTING CHECKLIST

1. Identify the EERE award number; name of recipient; project title; name of project director/principal investigator; and consortium/teaming members.
2. Provide an executive summary, which includes a discussion of (1) how the research adds to the understanding of the area investigated; (2) the technical effectiveness and economic feasibility of the methods or techniques investigated or demonstrated; or (3) how the project is otherwise of benefit to the public. The discussion should be a minimum of one paragraph and written in terms understandable by an educated layperson.
3. Provide a comparison of the actual accomplishments with the goals and objectives of the project.
4. STI that is publicly accessible need not be duplicated in the report if a citation with a link to where the information may be found is included in the report. For example, articles found in PAGES (i.e., DOE's Public Access Gateway for Energy and Science, <http://www.osti.gov/pages/>) are accessible to the public.
5. Summarize project activities for the entire period of funding, including original hypotheses, approaches used, problems encountered and departure from planned methodology, and an assessment of their impact on the project results. Include, if applicable, facts, figures, analyses, and assumptions used during the life of the project to support the conclusions.
6. Identify products developed under the Award and technology transfer activities, such as:
 - a. Publications (list journal name, volume, issue), conference papers, or other public releases of results.
 - b. Web site or other Internet sites that reflect the results of this project;
 - c. Networks or collaborations fostered;
 - d. Technologies/Techniques;
 - e. Inventions/Patent Applications, licensing agreements; and
 - f. Other products, such as data or databases, physical collections, audio or video, software or netware, models, educational aid or curricula, instruments or equipment.
7. Refer to the FARC for additional criteria for projects involving computer modeling.

What is an FTR and the Associated Requirements?



What is an FTR? EERE's Financial Assistance Reporting Checklist states that research findings and other significant scientific and technical information (STI) resulting from the project shall be included in the final technical report (FTR). The FTR elements outlined in the Reporting Checklist are included in the sidebar. Please note that your Technology Office may require additional elements.



It's the Law! EERE must disseminate STI, including FTRs, resulting from its RD&D awards through a central source, namely, OSTI.GOV.



How? Use E-Link: The Energy Link system (E-Link), maintained by the DOE Office of Scientific and Technical Information (OSTI), is used to collect and preserve STI and is the primary means for review and release of FTRs to the public-facing site, OSTI.GOV.



What about "Protected Data"? Public release of a particular FTR can be postponed for up to 5 years when it contains "protected data." Check your Intellectual Property (IP) provisions to confirm that protected data was authorized for your award.

Why do FTRs Matter?

In some cases, FTRs are the only written record of an EERE-funded project.

Publishing can be a tricky business. Some research may not be published because it's not the "topic de jour" or the project was unsuccessful, etc. FTRs are an unfiltered means of getting EERE-funded research findings out to the public and **let the research community decide what is valuable.**

And, EERE-funded FTRs are a valuable resource to the research community: There were **1.4 MILLION downloads** of approximately 6,000 EERE-funded Technical Reports 2015-2018.

Why was I asked to submit two FTRs?

- ❖ EERE funds projects based on the likelihood that the research will advance the technology. A valuable tool to advance the technology is to share research findings. Since the research community moves quickly, FTRs with protected data may be outdated by the time they are released to the public up to 5 years after the finding!
- ❖ For this reason, Technology Offices may wish to require an alternate version of the FTR without any protected data to make big picture research findings immediately available to the public.
- ❖ This alternate version cannot serve as a replacement for the official FTR that includes the protected data because it is unlikely that the alternate version would contain the information necessary for advancing the science and verifying results. FTRs that do not include protected data will be released to the public immediately.

How do I submit an FTR to E-Link?

1. Confirm that your FTR has proper [acknowledgement and legal disclaimer language](#). Acknowledgement language should contain at least these four elements: DOE, EERE, Technology Office, and Award Number.
2. Ensure that your FTR meets the following requirements:
 - a. Cover Page includes: EERE Award Number, Name of Recipient, Project Title, Principal Investigator
 - b. Executive summary is relevant to SOPO
 - c. Major tasks of SOPO are discussed
 - d. Links to publically available STI are provided
 - e. Products developed (if applicable) are identified
 - f. Computer modeling info (if applicable) is identified
3. Confirm that your FTR **DOES NOT** contain:
 - ✘ Personally identifiable information (PII)
 - ✘ Proprietary, confidential, or business sensitive information and/or markings
4. Navigate to [E-Link](#), click on Financial Assistance Recipients, and click on the AN 241.3 submission interface.
5. Enter your award/contract information and select Final Technical Report.
6. Complete the metadata pertaining to your FTR, paying particular attention to the following fields:
 - a. **Product Type:** Final Technical Report
 - b. **Sponsor Organization:** select both EERE *and* the Technology Office
 - c. **Subject Category and Keywords:** these function like a keyword search on the public-facing site, OSTI.GOV; make sure the terms here will enable the public to easily find this FTR.
 - d. **Access Limitation:** this determines who sees the document and when.
 - i. Select **Unlimited** if you do not have protected data in your FTR. This means that your FTR will be available to the public on OSTI.GOV.
 - ii. Select 5.b. **Protected Data CRADA/OTHER** if protected data is authorized under your award and you have protected data in your FTR. You will then be asked to enter a release date. The start date for the data protection period is the date the data were first generated. For administrative purposes, the **period of performance end date** may be used as the start date. You may elect to enter a release date less than 5 years from the period of performance end date but not more than 5 years. Your FTR will be made available to the public on OSTI.GOV only after the release date has passed. Please see below for additional guidance.

If you have protected data in your FTR:



Include Notice

You must include the following **Protected Rights Notice** (typically on the first page of the FTR). No Notice = no data protection:

Protected Rights Notice:

These protected data were produced under agreement no. DE-EE000XXXX with the U.S. Department of Energy and may not be published, disseminated, or disclosed to others outside the Government until five (5) years from the date the data were first produced, unless express written authorization is obtained from the recipient. Upon expiration of the period of protection set forth in this Notice, the Government shall have unlimited rights in this data. This Notice shall be marked on any reproduction of this data, in whole or in part.



Choose correct Distribution Limitation

To protect data, you also must choose **“Protected Data CRADA/Other”** Intellectual Property/Distribution Limitation in the AN 241.3 - Announcement of USDOE Scientific and Technical Information in [E-Link](#). If you choose the Protected Data Distribution Limitation, the FTR will not be visible to the public on [OSTI.GOV](#) until the date specified by the recipient in the AN 241.3.



But remember- Eventually this will be PUBLIC

Please note that the Protected Rights Notice is likely the only proprietary marking authorized by the award. All unauthorized markings will be ignored and should be removed. **You should not include any Limited Rights data** (proprietary, business-sensitive, or confidential information that was developed outside of award at private expense) because the FTR will ultimately be released to the public.

Where can I find more information?

- ❖ For more information on FTRs and making scientific and technical information available to the public, visit <https://www.osti.gov/sites/www.osti.gov/files/public/factsheet-technicalworkshopreport-grantees.pdf>
- ❖ For assistance on uploading FTRs to E-Link, email elink_Helpdesk@osti.gov or call 865-576-4070.