

## **ATTACHMENT 2 REPORT REQUIREMENTS**

### **A. QUARTERLY REPORT**

On or before the 20<sup>th</sup> day of the month of the calendar quarter (i.e., March 20, June 20, September 20 and December 20) thereafter throughout the term of the Agreement, the Recipient shall submit or otherwise provide a quarterly report in the format shown in this attachment. The quarterly report will be submitted under cover letter on recipient's letterhead and signed by an authorized company representative. One (1) copy shall be submitted to the Advanced Technology International Project Technical Manager and the NSRP Program Technical Representative through the secure Deliverables Submission Module (DSM). The report will have two (2) major sections.

- I. **Technical Status Report.** The technical status report is prepared and submitted by the Recipient to provide a comprehensive assessment of project activities and future plans on a quarterly basis. The Recipient's Technical Status Report will address the following: Project Overview, Technical Progress, Major Developments (including short summaries of significant results that can be used for describing project accomplishments to a wide audience), Realized Benefits to Industry and Navy, Technology Transfer, Plans for the Next Quarter, Project Issues, Action Items, and a Project Summary.
- II. **Business Status Report.** The business status report shall provide summarized details of the resource status of this Agreement, including the status of resources expended and cost share provided by the Project Participants versus milestone payments received. Cost share items that are not in compliance with Attachment 5 will not be allowed. This report will include a report on man hours or equivalent dollar value of effort expended (with subcontractors/team members listed separately), significant material expenditures, and personnel working on the project. Any major deviations of plus/minus 10% of effort and/or resources required shall be explained along with discussions of any adjustment action(s) proposed.

### **B. STATUS/DELIVERABLE/MILESTONE REPORT**

The Recipient shall submit to the NSRP Program Technical Representative, through the secure DSM, documentation describing the extent of accomplishment of deliverables or milestones with each invoice using the "Status/Deliverable/Milestone Report."

Submission/Status of Deliverables/Milestones. The Recipient is required to submit all deliverables identified as Milestones in the Schedule of Milestones (Attachment 3), as well as any other deliverables listed in Section 4.0 of the Statement of Work (Attachment 1) but not included in Attachment 3. All deliverables shall be submitted to the NSRP Program Technical Representative through the secure DSM. The designated PTR, within ten (10) working days will either verify the accomplishment of the technical effort(s) and sign off on the milestone deliverable report or notify the project lead the reason for not signing off on

the deliverable. This review and notification will occur within the DSM. The 10-days review by the PTR is part of the overall 30-day cycle for processing invoices. If the PTR is unavailable or fails to act as described above, ATI will make the approval/payment decision. The Status/Deliverable/Milestone Report will be used to verify that all submissions are technically acceptable and as substantiation for invoice payment.

### **C. FINAL TECHNICAL REPORT**

The Recipient shall submit a Final Technical Report making disclosure of all major accomplishments by the project upon completion of the Agreement or within sixty (60) calendar days of termination of this Agreement. With the approval of the NSRP ASE Program Administrator, reprints of published articles may be attached to the Final Technical Report.

As part of the Final Technical Report, Return on Investment (ROI) results shall be detailed, to include addressing ROI differences between initial estimates and final results. If applicable, the final report shall also include a comparison between the proposed Technology Readiness Level (TRL) of the process or technology and the TRL at project completion.

The Final Technical Report shall also include information on implementation at project completion, structured along elements of the Technology Transfer and Implementation Plan dealing with implementation, as required by Section 8 of the Technology Transfer and Implementation Guide. Specifically:

- Identify those project results that are suitable for implementation
- Describe circumstances that will yield successful implementation, taking into account the differences between the design, construction and in-service segments of the industry. Describe any remaining impediments (e.g. technical authority approvals) remaining for implementation.
- Identify shipyards that support implementation of the proposed technologies and/or processes and provide evidence of industry support for implementation
- Address potential commercial applications (and estimated commercialization costs) for the technology and/or processes resulting from the project
- Describe any training materials created that will lead shipyard workers to easily adapt to the new technology
- Describe any post-project activities planned for tracking and reporting implementation of project results

As an attachment to the Final Technical Report, the Project Results Summary as shown in the template in this attachment shall be used to develop a short, executive-level overview of the project. The project results overview should only contain information that can be released to the public, as this document may be separated from the Final Technical Report and used as a technology transfer tool to help other U.S. shipyards learn of the project objective and results, and obtain point of contact information for possible future

implementation.

The complete Final Technical Report shall be submitted in an electronic format to the ATI Project Technical Manager and the Program Technical Representative.

The Final Technical Report and all other reports delivered under this Agreement shall be marked with a data category statement and a distribution statement to denote the extent of its availability for distribution, release, and disclosure without additional approvals or authorizations. Additional information on deliverable markings can be found in Attachment 2 of the Technology Transfer and Implementation Guide.

#### **D. CLOSE-OUT DOCUMENTATION**

The Recipient shall submit or otherwise provide all required close-out documentation signed and certified within ninety (90) calendar days of completion or termination of the Agreement. Required close-out documentation shall include the following forms that will be provided by Advanced Technology International once the last milestone is satisfactorily completed:

- Final Milestones Report and Certification
- Recipient Certification Concerning Disposition of Classified Material
- Property Inventory and Property/Equipment Report for Property with an Acquisition Cost of Greater than \$50,000
- Patents Report and Invention Proposal Disclosure Checklist
- Settlement of Cost Share/Contribution
- Certification Concerning Interest Earned
- Recipient's Assignment of Refunds, Rebates, Credits, and Other Amounts
- Recipient's Release
- Final Invoice

Recipient must notify Advanced Technology International within ninety (90) calendar days, if it has indirect rates that are applicable to this agreement and (1) cannot be finalized until the conclusion of the Recipient's fiscal year OR (2) it is subject to final indirect rate audit and approval by a cognizant federal contract administration office AND the indirect rates have not been finalized AND Recipient does not have government approval to use provisional quick closeout rates. Closeout documentation not reliant upon finalization of indirect rates such as property and final patent report shall nevertheless be submitted within ninety (90) calendar days after the date of Advanced Technology International's request.

Unilateral Closeout. Advanced Technology International may unilaterally closeout this agreement in the event Recipient fails to submit the closeout information required above within one hundred twenty (120) days of the Advanced Technology International's closeout request unless such failure is due to (i) the U.S. Government's pending settlement of Recipient's final indirect rates and Recipient has given Advanced Technology International

notification as required above or (ii) an extenuating circumstance as agreed upon in writing by Advanced Technology International and Recipient. Such failure shall constitute Recipient's express agreement that the amounts paid pursuant to this Agreement, as applicable, by Advanced Technology International to Recipient up to the date Recipient's submissions are due as set forth herein and as determined by Advanced Technology International's records, constitute the full, complete and final extent of Advanced Technology International's financial obligation to Recipient. Further, Subcontractor does remise, release, and discharge Advanced Technology International, its officers, agents and employees, of and from any and all liabilities, obligations, claims, and demands whatsoever arising under or relating to this Agreement, and Recipient expressly authorizes Advanced Technology International to rely on the foregoing representations and release in connection with Advanced Technology International's closeout of or other actions taken with respect to the prime contract with the U.S. Government.

Final Invoice: Recipient shall submit a final invoice, designated as such, promptly upon completion of the Subcontract, but no later than three (3) months, (or longer, as Contractor may approve in writing) from the completion date of this Subcontract. Upon approval of that final invoice and upon Recipient's compliance with all terms of this Agreement, and this provision, Contractor shall promptly pay the balance of allowable costs not previously paid.

Recipient shall pay to Advanced Technology International any refunds, rebates, credits or other amounts (including interest, if any) accruing to or received by Recipient or any assignee under this Agreement to the extent that those amounts are properly allocable to costs for which Recipient has been reimbursed by Advanced Technology International. Reasonable expenses incurred by Recipient for securing refunds, rebates, credits or other amounts shall be allowable costs if approved by Advanced Technology International.

As part of the close-out of the Agreement, a final modification to the Task Order Agreement (TOA) will be issued to reflect any changes in the Agreement and/or its attachments as a result of final close-out documentation.

## QUARTERLY REPORT

DATE \_\_\_\_\_

**Section I**  
**Technical Status Report**  
**Task Order Agreement xxxx-xxx-xx**  
**between**  
**the Advanced Technology International**  
**and**  
**YYYYYYYY**  
**for**  
**(specific project name)**

### **Project Overview**

**Provide a short description of the project and objectives being addressed.**

### **Technical Progress**

This is the xxxx Technical Status report for the subject agreement. Technical efforts for the period \_\_\_\_\_ through \_\_\_\_\_ 20XX include:

- Continued xxxx
- Published yyyyy
- Held zzzzzz
- Commenced aaaaaa

### **Major Developments**

Describe key developments that have been achieved during this reporting period. Include short summaries of significant results that can be used for describing project accomplishments to a wide audience.

### **Realized Benefits to Industry and Navy**

Provide a qualitative assessment of the benefits realized by the project lead, team members, and other non-participating industry members through technology transfer. A discussion on how the Navy has benefited from project execution should also be included. It is anticipated that once the project enters the implementation phase, quantitative returns will also be provided.

**Technology Transfer**

Describe activities/efforts that were accomplished during the reporting period to transfer technology beyond the project team members. These activities can include demonstrations, presentations, participation in symposia, etc.

**Plans for the Next Quarter**

Briefly list planned activities for the next period.

**Project Issues**

Briefly discuss any technical issues identified that may impact the current program progress. In addition to technical issues, list any subcontractors not under agreement or any subcontractor-related issues that may impact the current program progress.

**Schedule Issues**

Briefly discuss issues affecting the approved schedule and actions planned to adhere to the approved schedule.

**Cost Issues**

Briefly discuss issues that may impact the contracted amounts for program funding and cost share.

**Action Items**

Discuss the status of any action items established between the project team and the PTR.

**ROI Trend**

Referencing the Business Case/ROI discussion from the proposal or Technology Transfer & Implementation Plan, provide an indication of the 'trend' of that projection. The trend could be an "increase in potential cost impact" due to better-than-expected results during field testing; a "decrease in potential cost impact" based on pilot results; or "no change".

**TRL Assessment**

If applicable, provide an assessment of the starting Technology Readiness Level (TRL) of the project's technology or process, and the final TRL assuming a successful completion.

**QUARTERLY REPORT**  
**Section II**  
**Business Status Report**  
**Task Order Agreement xxxx-xxx-xx**  
**between**  
**the Advanced Technology International**  
**and**  
**YYYYYYYY**  
**for**  
**(specific project name)**

**Agreement Summary Information**

Total Amount of the Agreement: \$  
 Total Estimated NSRP ASE Project Funding of the Agreement: \$  
 Total Estimated Recipient Cost Share: \$  
 Total Funds Obligated: \$

**Project Resource/Cost Information:**

The following resources/costs are applicable to this project for the period \_\_\_\_\_ through \_\_\_\_\_ 20XX:

| <b>Company</b>  | <b>Man Hours Provided This Period **</b> | <b>Cumulative Man Hours Provided **</b> | <b>Significant Material Costs This Period</b> | <b>Cumulative Material Costs</b> | <b>List of Personnel Working This Period</b> |
|-----------------|--|---|---|----------------------------------|--|
| Recipient       |  |   |   |                                  |  |
| Team Member A   |  |   |   |                                  |  |
| Subcontractor X |  |   |   |                                  |  |
|                 |  |   |   |                                  |  |
|                 |  |   |   |                                  |  |
| <b>Total</b>    |  |   |   |                                  |  |

\*\* As an alternate, actual costs (less material costs) may be provided in lieu of Man Hours

**Status of Milestones**

| <b>Milestone Number and Description</b> | <b>Percentage Completed During this Period</b> | <b>Cumulative Percentage Completed</b> |
|---|--|--|
| 1 – Design Document                     |  |  |
| 2 – etc                                 |  |  |
| ...                                     |  |  |
| X-                                      |  |  |

**Cost Share Provided by Project Participants**

Cost share in the amount of \$\_\_\_\_\_ is provided for this reporting period. Cumulative cost share to date for the project is \$\_\_\_\_\_. The following summarizes the cumulative cost share provided for this project by category:

| Participant-Provided Resources   |                               |                                   |   |   |             |
|--|-------------------------------|-----------------------------------|---|---|-------------|
| Resource Type  | Federal Source Matching Funds | Non-Federal Source Matching Funds | Cumulative Public Sector participant provided | Total (less Public Sector provided funding) | Explanation |
| <b>Funding Resources</b>   |                               |                                   |   |   |             |
| <b>Cash</b> (including donations from state or local governments). Examples include the outlay of funds to support the proposed statement of work through the acquisition of material or equipment and paying company cash for subcontractor labor or consultant cost  | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>Labor Costs</b> Time spent at meetings, in preparation of meetings and following up on meeting action items for applicable shipyard representatives entitled to travel reimbursement (MITLs, Panel Chairs, Panel Vice Chairs, NSDs). Include meeting hours of other shipyard members if they attend a panel meeting specifically for tech transfer purposes. If shipyard member is also part of a project team, project work shall be captured as part of project costs | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>Expenses</b> associated with allowable labor cost categories that are not billed directly to program funds (e.g. ECB member travel)   | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>Overhead</b> (excluding labor related fringe rates)   | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>G&amp;A</b> (General & administrative Services)   | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>IR&amp;D</b> (Internal Research and Development)  | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>M&amp;PE</b> (Manufacturing and Production Engineering)   | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| Estimated <b>Implementation Costs</b> for activities specifically included in participant proposals  | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>In-Kind Resources</b>   |                               |                                   |   |   |             |
| <b>Use of existing equipment, including software</b> (estimated fair market value)   | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>Intellectual Property</b> (market value)  | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>Space</b> (land or buildings)   | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>TOTALS</b>  | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>Cumulative Government-expended program funding for NSRP ASE Research</b>  | \$ -                          | \$ -                              | \$ -  | \$ -  |             |
| <b>Cost-Share Performance</b>  | \$ -                          | \$ -                              |   | \$ -  |             |

\*IR&D matching funds should be identified separately and not included in the Overhead line

**Project Results Summary**  
**(A publicly-releasable attachment to the Final Technical Report)**

This template is to be used to describe the results of NSRP ASE or other research projects. The purpose of the template is to:

1. Provide a high level overview so that the reader can decide whether to review the project details and deliverables, and to determine potential applicability.
2. Provide an avenue for project managers to post an overview of the results and recommendations of their project to assist in the implementation of the project by others in the industry.
3. Provide a framework and guide for others embarking on a similar project.

It is important that you address all of the areas on the template. If any of the following areas have been adequately covered in the main body of the Final Technical Report, it is acceptable to use the same language when completing the Project Results template.

**Template Table of Contents**

Title  
Executive Overview  
Contact Information  
Collaborators  
Description of Methodology  
Resources Needed  
Evaluation and Analysis Methods  
Time Estimate  
Limitations or Constraints  
Major Impacts on Shipyard  
Cost Benefit Analysis/ROI  
Lessons Learned  
Technology Transfer  
Implementation

**Title**

Provide a short, descriptive title of project including program project number if applicable.

**Executive Overview (200 words or less)**

Describe the project from a macro level, outlining the purpose and goals of the project, results, and accomplishments, and to any degree possible, the significance or impact of the results to industry. This section should be written in a narrative form, understandable to a reader not technically familiar with the project. This summary should avoid programmatic insider jargon.

**Contact Information (50 words or less)**

Identify the Point of Contact for the project. How can this person be contacted (email, web, phone, fax, snail mail)?

**Collaborators (100 words or less)**

List any collaborators on the project. What was their involvement (e.g., percentage of participation and activity description)?

**Description of Methodology (500 words or less)**

At a high level, describe how you developed and implemented the project at your site.

**Resources Needed (250 words or less)**

Describe the resources needed to implement this project. For example, what materials, equipment, or software applications would be needed? How many people would be needed to implement this project? Are there certain levels of expertise needed? Is specific training needed to implement this project?

**Evaluation and Analysis Methods (250 words or less)**

How did you analyze results or output to ensure that the project was meeting anticipated goals? Did you use any formal assessment instruments? If so, what were they? At the conclusion of the project, what evaluation and analysis was done to measure the success of the project? Do you have plans to re-evaluate the project in the future? In what time period?

**Time Estimate (200 words or less)**

Identify the length of time for your effort. How much time do you estimate would be needed for this to be set up and implemented in another shipyard? Do you feel that this can be implemented as delivered or will there be additional time required for customization?

**Limitations or Constraints (250 words or less)**

What could limit the implementation of this project? What were the necessary conditions to implement in your organization? Do you think these are necessary conditions for all shipyards? Under what constraints will the project need to operate? What type of shipyards could apply this project (large, small, new construction, repair, etc.)?

**Major Impacts on Shipyard (250 words or less)**

Did the implementation of this project have a major impact on any existing systems or processes? Describe both positive and/or negative major impacts to your systems and/or processes. How did you overcome the negative impacts?

**Cost Benefit Analysis/ROI (150 words or less)**

Describe the benefits that you gained from implementation of this project. You are not required to disclose specific cost data, rather indicate estimated cost benefits/ROI such as estimated return on investment percentage or estimated cost savings, etc.

**Lessons Learned (250 words or less)**

Describe the significant lessons learned as a result of working on this project. What went well, and why? What could you have improved? Looking back, what advice would you give to a shipyard planning to implement this project?

**Technology Transfer (150 words or less)**

What methods are you using for follow-up to ensure the project is working in your shipyard? How are you sharing this information with others in the industry?

**Implementation (250 words or less)**

What implementations have been, or are about to be realized? What potential is there for future implementation beyond that already planned? What post-project activities will be undertaken to pursue further implementation in the shipbuilding industry?