

**ARMY RESEARCH LABORATORY
ARMY RESEARCH OFFICE**

REPORTING INSTRUCTIONS

ARMY RESEARCH OFFICE

P.O. BOX 12211

RESEARCH TRIANGLE PARK, NC 27709-2211

CONTENTS

PREFACE	ii
SECTION I. Summary of Reports Required	1
SECTION II. Reporting Details by Report Type	2
A. INTERIM PROGRESS REPORTS (IPR)	2
B. FINAL REPORTS (FR)	2
C. FORECAST EXPENDITURE REPORT (FER)	3
D. ARTICLES	3
E. TECHNICAL REPORTS	3
F. OTHER REPORTS	4
G. MONTHLY & QUARTERLY REPORTS	4
H. FINANCIAL REPORTS	4
SECTION III. Common Reporting Information.	4
A. GUIDELINES APPLICABLE FOR SUBMISSION OF ALL REPORTS	4
B. DISTRIBUTION OF REPORTS (Reference AR 70-45)	4
C. SECURITY CLASSIFICATION	5
D. PRESENTATION OF UNCLASSIFIED PAPERS AT SCIENTIFIC MEETINGS	5
E. ATTRIBUTION	5
FORECAST EXPENDITURE REPORT	Encl 1

PREFACE

The U.S. Army Research Laboratory's Army Research Office (ARO) requires rapid and wide dissemination of the scientific information developed through its contracts and grants. These "REPORTING INSTRUCTIONS" are designed to achieve this objective and are provided as specified in the research agreement.

In accordance with the terms and conditions of your agreement, all submissions are required to comply with these instructions. Successful completion and acceptance of the agreed upon effort is contingent upon the technical information provided and your compliance with the instructions contained herein.

Please consult these reporting instructions as needed to meet your reporting requirements throughout the duration of your agreement. The ARO updates these Reporting Instructions when instructions or requirements are modified. Please note that no forms are necessary when reports are submitted online via our extranet, <https://extranet.aro.army.mil>. The current version of our reporting instructions is always available through the ARO public web site at <http://www.arl.army.mil/aro>. Questions may be sent via email to usarmy.rtp.rdecom-aro.mbx.reports@mail.mil.

BARTON H. HALPERN
Director, Army Research Office

SECTION I. Summary of Reports Required

NOTE: ARO requires **on-line** submission of all Reports (other than FER or Financial) via the ARO Extranet, <https://extranet.aro.army.mil>. Exceptions will only be granted in very unusual circumstances when the ARO Information Technology (IT) staff has exhausted all possibilities of assisting you and your IT staff in gaining access to the ARO Extranet portal. All Principal Investigators (PI) and Administration Representatives have pre-established accounts. Other people within your organization may request access via the Extranet portal to submit reports on behalf of the PI.

<u>Type of Report</u>	<u>Submission Time</u>	<u>Content</u>	<u>Note (see below)</u>
Interim Progress (IPR)	Annually, within 30 days after 31 July	Semi-technical	(1) (2) (3) (4) New for 2016: (6)
Final Report (FR)	Within 90 days following the expiration of agreement	Technical	(1) (2) (4) (6)
Forecast Expenditure (FER)	60 days prior to the exercise of an increment or option; FER is not required for IPRs and certain awards; for questions, contact the ARO GOR/ Program Manager of your agreement.	Financial	(2) (5)
Articles	<u>Submit to ARO at the same time it is submitted to the journal</u>	Technical	(1) (2) New for 2016: (7)
Technical	As available	Technical	(1) (2)
Related Materials, Abstracts & Theses	As available		(1) (2)
Monthly & Quarterly	As specified in contract	Tech/Financial	(1) (2)

NOTE (1): Refer questions via E-mail to usarmy.rtp.aro.mbx.reports@mail.mil or call (919) 549-4360.

NOTE (2): Refer questions to the ARO GOR/Program Manager assigned to your agreement.

NOTE (3): The following exclusions apply:

- a. If the agreement begins after April 30th, an IPR is **not required** until August 31st of the following year.
- b. If the agreement terminates before October 30th of the final year, an IPR is not required that year.

NOTE (4): Modifications that extend the completion date of the research agreement automatically extend the due date of the Final Report, and may trigger an IPR for the year (where required).

NOTE (5): The Forecast Expenditure Report (FER), Enclosure 1, may be required before an option or increment will be exercised. FER may be requested by the GOR/Program Manager of your agreement.

NOTE (6): Items with this note listed above require Research Performance Progress Report (RPPR) compliance. RPPR standardizes online reporting fields DoD-wide and the ARO "Extranet" RPPR online reporting tool enforces that compliance. RPPR does NOT require FER reports as a part of the RPPR submission.

NOTE (7): Items with this note listed above require Research Performance Progress Report (RPPR) compliance. RPPR does not distinguish between publication types (like manuscript or reprint) but all are submitted as "Articles" and require a "Publication Status." The status choices are listed online, and the document version uploaded must match the selected publication status. Articles with any publication status other than "published" will remain editable for you to update the published status when the published version becomes available.

SECTION II. Reporting Details by Report Type

A. INTERIM PROGRESS REPORTS (IPR)

1. **Content:** An IPR must provide a current record of accomplishments, which will be used as a basis for continuing support of the project. This information is used for various purposes, including justifying the agency's budget request to Congress. IPRs should be written for the intended audience of a scientist and/or program director/manager, who is technically conversant with the research program being supported.
2. **Requirements:** IPR requirements are in accordance with Research Performance Progress Report (RPPR) compliance. RPPR standardizes online reporting fields DoD-wide and the ARO "Extranet" RPPR online reporting tool enforces that compliance. When logged in to the ARO Extranet, please choose "Go to Site" for the "RPPR Interim Progress Report (ONR and ARO) and ARO Final Reports" pod.
3. The ARO Extranet generates all required reporting forms. Data fields in the online submission include, but are not limited to the following information:
 - a. **Participants:** Name, participant type, and number of months funded. Participants with no funding are not included.
 - b. **Technical Reports (including Articles):** All technical reports funded by the agreement. All technical reports **which have not been previously** submitted to the ARO, should be submitted concurrently with the Interim Progress Report. (**See "Articles" and "Technical Reports" sections for instructions.**) However, do not delay submission while awaiting "articles" and publication of articles, as you will be able to update when published.
 - c. **STEM Student/Supported Personnel Metrics for the Reporting Period:**
 - (a) Number of Undergraduate STEM Students
 - (b) Number of Graduate STEM Students
 - (c) Number of students that received a STEM degree
 - d. **Technology transfer:** (any specific interactions or developments which would constitute technology transfer of the research results). Examples include patents, initiation of a start-up company based on research results, interactions with industry/Army R&D Laboratories or transfer of information which might impact the development of products.
 - e. **Scientific Progress and Accomplishments:** A pdf document providing details of the conducted research **MUST** be uploaded. It should include significant theoretical or experimental advances, and may include pictures, graphs, or other non-text data. Please **DO NOT** include articles in this document.

B. FINAL REPORT (FR)

1. **Content:** The FR covers the ENTIRE PERFORMANCE PERIOD with the following exception: Data referenced above in paragraph Section II.A.3.a AND II.A.3.c should be submitted for the **final reporting period only**, unless it has not been previously submitted. The final reporting period begins with the first day following the last IPR performance period (August 1, 20xx) or the first day of the agreement, whichever is later, and ends on the last day of the agreement. **NOTE:** Please do not delay submission while you are waiting for the publication of articles, as these can be submitted later via the ARO Extranet.
1. **Requirements:** FR requirements are in accordance with Research Performance Progress Report (RPPR) compliance. RPPR standardizes online reporting fields DoD-wide and the ARO "Extranet" RPPR online reporting tool enforces compliance. Final Progress Reports **must be submitted On-line** at <https://extranet.aro.army.mil>. When logged in to the ARO Extranet, please choose "Go to Site" for the "RPPR Interim Progress Report (ONR and ARO) and ARO Final Reports" pod.

NOTE: “Articles” and “Technical reports,” which have NOT been previously submitted to the ARO, must be submitted concurrently with the Final Report. (See “**Articles**” and “**Technical Reports**” sections for instructions), even if they are still in a manuscript status, other than published.

C. FORECAST EXPENDITURE REPORT (FER)

1. **Content:** The research agreements awarded by ARO are reviewed before a decision is made to provide additional funding. The FER is **NO LONGER** a part of the IPR submission. However, the **ARO may request an out of cycle online submission** or send a FER (Enclosure 3) to the awardee 90 days prior to the exercise of incremental or optional funding. **FER is not required for certain awards; for questions, contact the GOR/ Program Manager of your agreement.**

2. **Requirements:** Upon receipt of a request or form from ARO, **complete SECTION 2 and return to the ARO Program Manager:**

3. **Submission:** Return the completed report **within 30 days of receipt** via email to the Program Manager or hardcopy via mail to:

Army Research Office
ATTN: (Monitors name provided by ARO)
P.O. Box 12211
Research Triangle Park, NC 27709-2211.

PLEASE NOTE: FOR AGREEMENTS REQUIRING A FER, ACTION WILL NOT BE TAKEN WITH RESPECT TO PROVISIONS FOR ADDITIONAL FUNDS UNTIL THE COMPLETED FER IS RECEIVED.

D. ARTICLES (Manuscripts or Reprints)

1. **Content:** Each Manuscript submitted for publication must be submitted via the ARO Extranet at the same time it is submitted to the journal. All articles with a Publication Status of other than “Published” will remain in an editable status, which allows you to edit the information and upload after the article is published.
2. **Requirements:** Please choose “Go to Site” for the “RPPR Interim Progress Report (ONR and ARO) and ARO Final Reports” pod. Select the “Enter/View Publications, Proceedings, Manuscripts, etc. for this proposal” button.
3. **RPPR Online:** The Defense Technical Information Center (DTIC) requires submission of articles when submitted to the journal. You will be asked to choose the “**Publication Status**”, and the Publication Status must match the version of the article that is uploaded. When the article is published, the PI is required to log into the ARO Extranet, update the article information, and upload the published version.
4. Please choose “Go to Site” for the “RPPR Interim Progress Report (ONR and ARO) and ARO Final Reports” pod. All articles with a Publication Status of other than “Published” will remain in an editable status, which allows you to edit the information and upload after the article is published. The name of the journal should be noted and credit must be given for sponsorship by the Army Research Office as specified under “**Attribution**” in this document.

E. TECHNICAL REPORTS

1. **Content:** Technical Reports are documents written for the permanent record to convey scientific and technical information on results obtained from activities relating to a single project, task, or agreement within the DoD R&D program. The Army Research Office prefers all technical information to be reported through Articles of publications in recognized scientific journals. Those which cannot be published or submitted to a Journal may be submitted as a “Technical Report.”

2. **Requirement:** Technical Reports must be submitted via the ARO Extranet as they become available. When logged in to the ARO Extranet, please choose “Go to Site” for the “RPPR Interim Progress Report

(ONR and ARO) and ARO Final Reports” pod. Submissions may be uploaded at any time by selecting the “Enter/View Publications, Proceedings, Manuscripts, etc. for this proposal” button, under the “RPPR Interim Progress Report (ONR and ARO) and ARO Final Reports” pod.

F. OTHER PRODUCTS

1. Related Materials, Abstracts, Theses, Dissertations, and any other type of report not specifically addressed in this document must be **submitted online** via the ARO Extranet. Submissions may be uploaded at any time by selecting the “Enter/View Publications, Proceedings, Manuscripts, etc. for this proposal” button, under the “RPPR Interim Progress Report (ONR and ARO) and ARO Final Reports” pod.

G. MONTHLY & QUARTERLY REPORTS

Submit via the ARO Extranet, <https://extranet.aro.army.mil>. Choose “Go to Site” for the “ARO Monthly, Quarterly reports (NOT Final)” pod.

Monthly and Quarterly Reports must contain the information required by the contract. There is no specific formatting required by the ARO Extranet. The report must be a single pdf document.

The due dates for Monthly and Quarterly Reports are based on the Agreement Begin date, not a calendar month or quarter. The correct due dates are reflected on the ARO Extranet. Exceptions or modifications to the scheduled dates must be addressed with the ARO Program Manager, and may be adjusted on the ARO Extranet when addressed with the ARO IT Staff. The requirement for monthly reports does not allow for combining of more than one month.

H. FINANCIAL REPORTS

I. **All financial reports shall be submitted to the Administrative Contracting Office identified in Block 6 of the SF 26. Copies of the forms and instructions may be accessed at <http://www.aro.army.mil/forms/forms2.htm>.** Please do NOT include courtesy copies of invoices with IPR or FR submissions.

SECTION III. Common Reporting Information.

A. GUIDELINES APPLICABLE FOR SUBMISSION OF ALL REPORTS

1. ARO requires **online** electronic submission of all reports at <https://extranet.aro.army.mil>.
2. PLEASE ENSURE THAT THE ELECTRONIC DOCUMENTS SUBMITTED HAVE **SECURITY TURNED OFF AND ARE NOT PASSWORD CONTROLLED**. If the document is password protected, the ARO electronic processes cannot merge the uploaded document with the system-generated SF298, and the ARO technical librarian cannot import the document into ARO’s Electronic Document System, If you have additional questions, please call COM: 919-549-4300 or DSN: 832-4300.
3. **SUBMISSION:**
 - a. **Online**-Electronic for all reports, other than Financial Reports: <https://extranet.aro.army.mil>
 - b. Online submission problems should be addressed [via email to:](mailto:usarmy.rtp.aro.mbx.extranet@mail.mil)
usarmy.rtp.aro.mbx.extranet@mail.mil

B. DISTRIBUTION OF REPORTS (Reference AR 70-45)

ARO will make primary distribution to the Defense Technical Information Center (DTIC), who secondarily distributes the unclassified and unlimited distribution reports to the National Technical Information Service (NTIS) for sale to the general public. DTIC distributes limited distribution reports according to the limitations imposed by the sponsoring agency. However, all published articles must include a distribution statement indicating distribution is unlimited. DTIC handles all journal embargo requirements.

ARO will maintain an Official Distribution List of agencies, offices, contractors, and individuals who will be notified of report availability. All parties on the Official Distribution List will receive a notification of report availability and instructions on how to obtain the report. DTIC accession numbers are recorded and maintained to facilitate possible future purchases from DTIC or NTIS. Upon request, ARO will furnish the investigator a copy of the Official Distribution List. Unclassified reports may be sent to individuals without prior clearance from the ARO.

All expenses incurred for the preparation and distribution of reports for the ARO are reimbursable under the agreement (contract or grant.) The printing and distribution of reports for unofficial distribution will be at the contractor's or grantee's expense.

C. SECURITY CLASSIFICATION

All basic research agreements (contracts and grants) initiated by the Army Research Office are UNCLASSIFIED. There may be instances where a report contains information which requires classification in the interest of the National Defense. When the Principal Investigator believes the information developed should be CLASSIFIED; he/she will notify the Contracting Officer's Technical Representative immediately. **CLASSIFIED** reports **will not** be uploaded via the ARO Extranet and are not distributed unofficially.

D. PRESENTATION OF UNCLASSIFIED PAPERS AT SCIENTIFIC MEETINGS

Papers resulting from unclassified projects sponsored by the Army Research Office may be presented without prior clearance.

E. ATTRIBUTION

DFARS clause 252.235-7010 requires Research and Development (R&D) contractors to acknowledge the Government's support in the publication of any material based on or developed under their contracts in the following terms:

This material is based upon work supported by, or in part by, the Army Research Laboratory and the Army Research Office under contract/grant number

_____.

FORECAST EXPENDITURE REPORT
(IMPORTANT!>>>YOU MUST REPLY TO RECEIVE ADDITIONAL FUNDING<<<)

The research agreement identified below is under consideration for additional funding. The contemplated funding, resulting in an extension to the performance period of the agreement, is consistent with the terms and conditions of the agreement. Before a decision can be made to provide the additional funding, the following information is needed: (I) an accounting of costs incurred to date and (II) a projection of financial needs for the period of the agreement extension. Please complete SECTION 2, below **within 30 days of receipt of this request** and return to: Army Research Office, ATTN: (Name provided by ARO) P.O. Box 12211, Research Triangle Park, North Carolina, 27709-2211.

SECTION 1: GENERAL INFORMATION – Provided by ARO

ARO Proposal Number: (Provided by ARO)	Total Anticipated Award: (\$ Provided by ARO)
Agreement Number: (Provided by ARO)	Amount Funded to Date: (\$ Provided by ARO)
Agreement Period: From - To (Provided by ARO)	Currently Funded Through: (Provided by ARO)
Recipient: (Provided by ARO)	Planned Funding: (Provided by ARO)
Principal Investigator: (Provided by ARO)	Planned Extension Funding: (Provided by ARO)
ARO Technical Monitor: (Provided by ARO)	
ARO Technical Monitor's E-mail: (Provided by ARO)	Monitor's Phone #: (Provided by ARO)

SECTION 2: ACCOUNTING AND FORECASTING OR EXPENDITURES – Completed by PI

1. Expenditures (cost incurrence from date of contract/grant initiation) as of date of receipt of this request or as of most recent cut-off in accounting records: \$ _____
2. Additional projected expenditures before (date entered by ARO): \$ _____
3. Total of items 1 and 2: \$ _____
4. Forecast expenditures for the proposed (number) months period of extension: \$ _____ *
5. The **required annual Interim Progress Report** covering the previous calendar year was submitted on _____. Detailed instructions can be found in the Reporting Instructions Section of the ARO Home Page at <http://www.aro.army.mil>.

Date: _____

Signature _____
Principal Investigator

* The forecast cannot exceed the planned level of funding identified in SECTION 1. If the forecast expenditures differ significantly from the budget previously negotiated and included in the research agreement, a new budget must be submitted. A "significantly different" budget is defined as (I) a decrease in the planned funding level cited above or (II) a deviation of 10% (plus or minus) to any cost element (direct labor, indirect expense, travel, etc.) included in the budget.

SECTION 3: FOR U.S. ARMY RESEARCH OFFICE USE ONLY – Completed by TM

- | | |
|--|---|
| <input type="checkbox"/> Recommend funding at level cited in SECTION 1, above. | <input type="checkbox"/> Recommend no additional funds be provided at this time. |
| <input type="checkbox"/> Recommend funding consistent with revised budget of principal investigator. | <input type="checkbox"/> Recommend extension of agreement through _____ without additional funds. |
| <input type="checkbox"/> Recommend funding in amount of \$ _____ (Comments attached) | <input type="checkbox"/> Other (Explanation attached). |

Date: _____

Signature _____
Technical Monitor