

U.S. ARMY RESEARCH LABORATORY
ARMY RESEARCH OFFICE

REPORTING INSTRUCTIONS

U.S. ARMY RESEARCH OFFICE

P.O. BOX 12211

RESEARCH TRIANGLE PARK, NC 27709-2211

ARO FORM 18
MAY 2011
PREVIOUS EDITIONS ARE OBSOLETE

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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 regularly and reproduce as necessary to meet your reporting requirements throughout the duration of your agreement. The ARO updates these Reporting Instructions when instructions or formats 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 aror.reports@us.army.mil.

DAVID SKATRUD
Director, Army Research Office

SECTION I. Summary of Reports Required

NOTE: ARO requires on-line submission of all Interim and Final Progress Reports, <https://extranet.aro.army.mil>. ARO prefers online submission of ALL reports via the same web site. Alternatively, reports types other than Interim and Final Progress Reports may be submitted via email to aror.reports@us.army.mil), or through mail (see page 7). ARO's **email size restriction is 10MB**. Both email and mail submissions require Adobe PDF forms, which can be downloaded from our website at <http://www.arl.army.mil/aro> under the Forms Section.

| <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) (3) (4) (6) |
| Final Progress (FPR) | Within 90 days following the expiration of agreement | Technical | (1) (2) (3) (5) (6) (7) |
| Forecast Expenditure (FER) | 60 days prior to the exercise of an increment or option | Financial | (3) (7) |
| Manuscript | <u>One copy to the ARO at the same time it is submitted to the journal</u> | Technical | (1) (2) (3) (8) |
| Reprint | As available | Technical | (1) (2) (3) (6) (8) |
| Technical | As available | Technical | (1) (2) (3) (6) (8) |
| Related Materials, Abstracts & Theses | As available | | (1) (3) (8) |
| Monthly & Quarterly | As specified in contract | Tech/Financial | (1) (3) |

NOTE (1): Refer questions via E-mail to aror.reports@us.army.mil or call (919) 549-4360.

NOTE (2): If submitted in hard copy, all copies must be duplicable quality (exceptions only).

NOTE (3): Refer questions to the Program Manager assigned to your agreement.

NOTE (4): 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 (5): Modifications that extend the completion date of the research agreement automatically extend the due date of the Final Progress Report, but may trigger an IPR for the year (where required).

NOTE (6): If not submitting reports on-line, a separate SF298 (Enclosure 1) must be submitted for each report, and SF298 Continuation Sheets, Enclosure 2, or white paper as needed.

NOTE (7): The Forecast Expenditure Report (FER), Enclosure 4, is part of the online IPR, and is required before options or increments will be exercised. When an increment or option is not synchronized with the IPR, an out of cycle FER may be requested.

NOTE (8): Must be identified by the Agreement number and accompanied by a "Memorandum of Transmittal," Enclosure 3, when not submitted online via our extranet.

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 program director/manager, who is technically conversant with the research program being supported.

2. **Requirements:** IPRs must be submitted **On-line** at <https://extranet.aro.army.mil/>. **Exceptions** to the **On-line** submissions based on unusual circumstances may be obtained by calling (919) 549-4300. Online submissions do NOT require any additional forms, but the following required information is the same for both online reports and the rarely approved exceptions:

a. "Report Documentation Page, Standard Form SF298" (Enclosure 1) information required:

- (1) Block 3, Period covered by report
- (2) Block 4, Proposal Title
- (3) Block 5, Contract/Grant number
- (4) Block 6, Author(s) of report
- (5) Block 7, Performing Organization Name(s) and Address(es)
- (6) Block 10, ARO proposal number
- (7) Block 13, Abstract (**MUST NOT EXCEED THE 200 WORD LIMITATION**). The abstract should include the following components: **specific aims, results of findings and their significance, and plans for the coming year.**

b. "The Report Documentation Page (SF298) Continuation Sheet (Enclosure 2)" or a plain piece of paper must include brief, but complete, information for each of the following categories:

(1) Submissions or publications under ARO sponsorship **during this reporting period**. List the title of each and give the total number for each of the following categories:

- (a) Papers published in peer-reviewed journals
- (b) Papers published in non-peer-reviewed journals
- (c) Presentations
 - i. Presentations at meetings, but not published in Conference Proceedings
 - ii. Non-Peer-Reviewed Conference Proceeding publications (other than abstracts)
 - iii. Peer-Reviewed Conference Proceeding publications (other than abstracts)
- (d) Manuscripts
- (e) Books
- (f) Honor and Awards
- (g) Title of Patents Disclosed during the reporting period
- (h) Patents Awarded during the reporting period

(2) Student/Supported Personnel Metrics **for this Reporting Period** (name, % supported, %Full Time Equivalent (FTE) support provided by this agreement, and total for each category):

- (a) Graduate Students
- (b) Post Doctorates
- (c) Faculty
- (d) Undergraduate Students

(e) Graduating Undergraduate Metrics (funded by this agreement and graduating during this reporting period):

- i. Number who graduated during this period
- ii. Number who graduated during this period with a degree in science, mathematics, engineering, or technology fields
- iii. Number who graduated during this period and will continue to pursue a graduate or Ph.D. degree in science, mathematics, engineering, or technology fields
- iv. Number who achieved a 3.5 GPA to 4.0 (4.0 max scale)
- v. Number funded by a DoD funded Center of Excellence grant for Education, Research and Engineering
- vi. Number who intend to work for the Department of Defense
- vii. Number who will receive scholarships or fellowships for further studies in science, mathematics, engineering or technology fields

(f) Masters Degrees Awarded (Name of each, Total #)

(g) Ph.D.s Awarded (Name of each, Total #)

(h) Other Research staff (Name of each, FTE % Supported for each, Total % Supported)

(3) "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.

(4) Scientific Progress and Accomplishments (description should include significant theoretical or experimental advances)

(5) "Copies of technical reports," which have **not** been previously submitted to the ARO, should be submitted concurrently with the Interim Progress Report. (**See page 6 "Technical Reports" section for instructions.**) However, do not delay submission while awaiting Reprints of publications.

B. FINAL PROGRESS REPORT (FPR)

1. Content: The FPR covers the ENTIRE PERFORMANE PERIOD with the following exception: Data referenced above in paragraph Section II.A.2.b. 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 Reprints of publications, as these can be submitted at

2. Requirement: Final Progress Reports **must be submitted On-line** at <https://extranet.aro.army.mil>. **Exceptions** to this requirement based on unusual circumstances may be obtained by calling (919) 549-4300. The rarely approved **Exceptions require the following**:

- a. A "Memorandum of Transmittal," Enclosure 3.
- b. A completed "DD Form 882 (Report of Inventions and Subcontracts)
- c. "Final Progress Report," including the following information:
 - (1) Foreword (optional)
 - (2) Table of Contents (if report is more than 10 pages)
 - (3) List of Appendixes, Illustrations and Tables (if applicable)
 - (4) Statement of the problem studied
 - (5) Summary of the most important results
 - (6) Bibliography
 - (7) Appendixes
- d. A "Standard Form 298 (Enclosure 1)," including the following required entries:
 - (1) Block 2, Report Date
 - (2) Block 3, Report Type and Dates Covered
 - (3) Block 4, Proposal Title
 - (4) Block 5, Contract/Grant Number
 - (5) Block 6, Author(s)
 - (6) Block 7, Performing Organization Name(s) and Address(es)
 - (7) Block 13, Abstract (must not exceed the 200 word limitation)
 - (8) Block 14, Subject Terms
 - (9) Block 15, Number of Pages
- e. "The Report Documentation Page (SF298) Continuation Sheet (Enclosure 2)" or a plain sheet of paper must include all information listed in Section II.A.2.b above. This information is applicable is applicable to the final reporting period only.
- f. "Copies of technical reports," which have not been previously submitted to the ARO, should be submitted concurrently with the Final Progress Report. (**See page 6 "Technical Reports" section for instructions**)

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 usually part of the IPR submission. However, the **ARO may request an out of cycle online submission** or send a FER (Enclosure 4) to the awardee 90 days prior to the exercise of incremental or optional funding.

2. Requirements: Upon receipt of a request or form from ARO, **complete SECTION 2 and return or submit online**:

3. Submission: Return the completed report **within 30 days of receipt** to:

U.S. Army Research Office

ATTN: (Monitors name provided by ARO)

P.O. Box 12211

Research Triangle Park, NC 27709-2211.

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

D. MANUSCRIPTS

1. Content: Each Manuscript submitted for publication must be forwarded to the ARO at the same time it is submitted to the journal. **Online submission** is preferred and does not require a Standard Form 298. Email or Hardcopy submissions will be accepted. Hardcopy submissions must be clear enough for optical scanning.

2. Requirements: The name of the journal should be noted and credit must be given for sponsorship by the U.S. Army Research Office as specified on Page 8 of this document under "**Attribution**". Manuscripts submitted via email or hardcopy must be identified by:

a. The ARO Contract/Agreement number and

b. Must be accompanied by a "Memorandum of Transmittal," Enclosure 3 **or submitted online**.

E. REPRINTS

1. Content: Reprints are publications, which must be submitted to the ARO as they become available. **Online submission** is preferred and does not require a Standard Form 298. Reprints will be accepted via email or hardcopy. Hardcopy submissions must be clear enough for optical scanning.

2. Requirements: Reprints submitted via email or hardcopy must be identified by the ARO agreement number and accompanied by a "Memorandum of Transmittal," Enclosure 3,

a. One copy of a Standard Form 298 (Enclosure 1) is required containing the following information:

(1) Block 3, Report Type

(a) Peer Reviewed Reprint, or

(b) Non-Peer Reviewed Reprint

(2) Block 4, Report Title

(3) Block 6, Author(s)

(4) Block 7, Performing Organization Name(s) and Address(es)

(5) Block 13, Abstract (**must not exceed the 200-word limit**)

(6) Block 14, Subject Terms

(7) Block 15, Number of pages

F. 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 U.S. Army Research Office prefers all technical information to be reported through Reprints of publications in recognized scientific journals. Those which cannot be published may be submitted as a “Technical Report.”

2. **Requirement:** Technical Reports must be furnished to the ARO as they become available. **Online submission** is preferred and does not require a Standard Form 298. Technical Reports submitted via email or hardcopy must be identified a completed Standard Form 298 and accompanied by a “Memorandum of Transmittal,” Enclosure 3.

a. **A Standard Form 298 (Enclosure 1)** required fields:

- (1) Block 2, Report Date
- (2) Block 4, Report Title
- (3) Block 6, Author(s)
- (4) Block 7, Performing Organization Name(s) and Address(es)
- (5) Block 13, Abstract (must not exceed the 200 word limitation)
- (6) Block 14, Subject Terms
- (7) Block 15, Number of pages

G. OTHER REPORTS

Related Materials, Abstracts, Theses, and any other type of report not specifically addressed in this document must be **submitted online** or submitted with an identifying Grant Contract/Agreement number and a “Memorandum of Transmittal,” Enclosure 3.

H. MONTHLY & QUARTERLY REPORTS

Monthly and Quarterly Reports must contain the information required by the contract. Invoices are submitted via WAWF and will not be approved until the corresponding report is received. Please **do not** include courtesy copies of invoices. **Online submission** is preferred.

SECTION III. Common Reporting Information.

A. GUIDELINES APPLICABLE FOR SUBMISSION OF ALL REPORTS

1. ARO prefers **online** electronic submission of all reports at <https://extranet.aro.army.mil>. Electronic Mail (email) is preferred over hardcopy. If neither form of electronic submission is possible, hard copies of Manuscripts and Technical Reports will be accepted.
2. **Electronic Mail (E-mail) submission**, regardless of report type, requires a completed form SF298, continuation sheets and applicable reports as attachments to the electronic mail. Forms, continuation sheets, and reports must be **BUNDLED INTO A SINGLE PORTABLE DOCUMENT FORMAT (PDF) file, unless the file exceeds 10MB**. Under those circumstances, the file may be split as needed. Extremely large files may be mailed on CD or submitted online.

NOTE: PLEASE ENSURE THAT THE ELECTRONIC DOCUMENTS SUBMITTED HAVE **SECURITY TURNED OFF** AND ARE **NOT PASSWORD CONTROLLED**. If the document is password protected, the ARO reports processing team cannot import the documents into ARO's Electronic Document Management System. If you have additional questions, please call COM: 919-549-4300 or DSN: 832-4300.

3. **SUBMISSION:**

Online-Electronic for any type of report: <https://extranet.aro.army.mil>

Mail Hard Copy Reports to:
U.S. Army Research Office
ATTN: RDRL-ROS-I (Reports)
P.O. Box 12211
Research Triangle Park, NC, 27709-2211

Over night express to:
U.S. Army Research Office
ATTN: RDRL-ROS-I (Reports)
4300 South Miami Blvd
Durham, NC 27703-9142

Electronic Mail (E-mail)
aror.reports@us.army.mil
This email address may be used for submission of any report, except IPRs and FPRs, unless otherwise specified in your agreement. IPRs and FPRs will be accepted via email by **EXCEPTION ONLY**, which must be obtained by calling (919)549-4300. Exceptions are granted for technical issues only, which cannot be resolved.

A. 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.

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.

B. SECURITY CLASSIFICATION

All basic research agreements (contracts and grants) initiated by the U.S. 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 distributed unofficially.

C. PRESENTATION OF UNCLASSIFIED PAPERS AT SCIENTIFIC MEETINGS

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

D. 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 U. S. Army Research Laboratory and the U. S. Army Research Office under contract/grant number _____.*

REPORT DOCUMENTATION PAGE

*Form Approved
OMB No. 0704-0188*

The public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (0704-0188), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.
PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ADDRESS.

| | | | | | |
|---|-------------|----------------|----------------------------|--|---|
| 1. REPORT DATE (DD-MM-YYYY) | | 2. REPORT TYPE | | 3. DATES COVERED (From - To) | |
| 4. TITLE AND SUBTITLE | | | | 5a. CONTRACT NUMBER | |
| | | | | 5b. GRANT NUMBER | |
| | | | | 5c. PROGRAM ELEMENT NUMBER | |
| 6. AUTHOR(S) | | | | 5d. PROJECT NUMBER | |
| | | | | 5e. TASK NUMBER | |
| | | | | 5f. WORK UNIT NUMBER | |
| 7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) | | | | 8. PERFORMING ORGANIZATION REPORT NUMBER | |
| 9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES) U.S. Army Research Office PO Box 12211 Research Triangle Park, NC 27709-2211 | | | | 10. SPONSOR/MONITOR'S ACRONYM(S) | |
| | | | | 11. SPONSOR/MONITOR'S REPORT NUMBER(S) | |
| 12. DISTRIBUTION/AVAILABILITY STATEMENT Approved for public release; distribution unlimited. | | | | | |
| 13. SUPPLEMENTARY NOTES The views, opinions and/or findings contained in this report are those of the author(s) and should not be construed as an official Department of the Army position, policy or decision, unless so designated by other documentation. | | | | | |
| 14. ABSTRACT | | | | | |
| 15. SUBJECT TERMS | | | | | |
| 16. SECURITY CLASSIFICATION OF: | | | 17. LIMITATION OF ABSTRACT | 18. NUMBER OF PAGES | 19a. NAME OF RESPONSIBLE PERSON |
| a. REPORT | b. ABSTRACT | c. THIS PAGE | | | 19b. TELEPHONE NUMBER (Include area code) |
| U | U | U | UL | | |

Standard Form 298 (Rev. 8/98)
Prescribed by ANSI Std. Z39.18

INSTRUCTIONS FOR COMPLETING SF 298

1. REPORT DATE. Full publication date, including day, month, if available. Must cite at least the year and be Year 2000 compliant, e.g. 30-06-1998; xx-06-1998; xx-xx-1998.

2. REPORT TYPE. State the type of report, such as final, technical, interim, memorandum, master's thesis, progress, quarterly, research, special, group study, etc.

3. DATE COVERED. Indicate the time during which the work was performed and the report was written, e.g., Jun 1997 - Jun 1998; 1-10 Jun 1996; May - Nov 1998; Nov 1998.

4. TITLE. Enter title and subtitle with volume number and part number, if applicable. On classified documents, enter the title classification in parentheses.

5a. CONTRACT NUMBER. Enter all contract numbers as they appear in the report, e.g. F33315-86-C-5169.

5b. GRANT NUMBER. Enter all grant numbers as they appear in the report. e.g. AFOSR-82-1234.

5c. PROGRAM ELEMENT NUMBER. Enter all program element numbers as they appear in the report, e.g. 61101A.

5e. TASK NUMBER. Enter all task numbers as they appear in the report, e.g. 05; RF0330201; T4112.

5f. WORK UNIT NUMBER. Enter all work unit numbers as they appear in the report, e.g. 001; AFAPL30480105.

6. AUTHOR(S). Enter name(s) of person(s) responsible for writing the report, performing the research, or credited with the content of the report. The form of entry is the last name, first name, middle initial, and additional qualifiers separated by commas, e.g. Smith, Richard, J, Jr.

7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES). Self-explanatory.

8. PERFORMING ORGANIZATION REPORT NUMBER. Enter all unique alphanumeric report numbers assigned by the performing organization, e.g. BRL-1234; AFWL-TR-85-4017-Vol-21-PT-2.

9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES). Enter the name and address of the organization(s) financially responsible for and monitoring the work.

10. SPONSOR/MONITOR'S ACRONYM(S). Enter, if available, e.g. BRL, ARDEC, NADC.

11. SPONSOR/MONITOR'S REPORT NUMBER(S). Enter report number as assigned by the sponsoring/monitoring agency, if available, e.g. BRL-TR-829; -215.

12. DISTRIBUTION/AVAILABILITY STATEMENT. Use agency-mandated availability statements to indicate the public availability or distribution limitations of the report. If additional limitations/ restrictions or special markings are indicated, follow agency authorization procedures, e.g. RD/FRD, PROPIN, ITAR, etc. Include copyright information.

13. SUPPLEMENTARY NOTES. Enter information not included elsewhere such as: prepared in cooperation with; translation of; report supersedes; old edition number, etc.

14. ABSTRACT. A brief (approximately 200 words) factual summary of the most significant information.

15. SUBJECT TERMS. Key words or phrases identifying major concepts in the report.

16. SECURITY CLASSIFICATION. Enter security classification in accordance with security classification regulations, e.g. U, C, S, etc. If this form contains classified information, stamp classification level on the top and bottom of this page.

17. LIMITATION OF ABSTRACT. This block must be completed to assign a distribution limitation to the abstract. Enter UU (Unclassified Unlimited) or SAR (Same as Report). An entry in this block is necessary if the abstract is to be limited.

REPORT DOCUMENTATION PAGE (SF298)
(Continuation Sheet)

MASTER COPY: PLEASE KEEP THIS "MEMORANDUM OF TRANSMITTAL" BLANK FOR REPRODUCTION PURPOSES. WHEN REPORTS ARE GENERATED UNDER THE ARO SPONSORSHIP, FORWARD A COMPLETED COPY OF THIS FORM WITH EACH REPORT SHIPMENT TO THE ARO. THIS WILL ASSURE PROPER IDENTIFICATION. NOT TO BE USED FOR INTERIM OR FINAL PROGRESS REPORTS SUBMITTED ONLINE. SEE PAGE 2 FOR INTERIM PROGRESS REPORT INSTRUCTIONS.

MEMORANDUM OF TRANSMITTAL

U.S. Army Research Office
ATTN: AMSRD-ARL-RO-SS-SI (TR)
P.O. Box 12211
Research Triangle Park, NC 27709-2211

Reprint (Orig + 2 copies)

Technical Report (Orig + 2 copies)

Manuscript (1 copy)

Final Progress Report (Orig + 2 copies) (By Exception Only)

Related Materials, Abstracts, Theses (1 copy)

CONTRACT/GRANT NUMBER:

REPORT TITLE:

is forwarded for your information.

SUBMITTED FOR PUBLICATION TO (applicable only if report is manuscript):

Sincerely,

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: U.S. 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)
Agreement Number: (Provided by ARO)
Agreement Period: From - To (Provided by ARO)
Recipient: (Provided by ARO)
Principal Investigator: (Provided by ARO)
ARO Technical Monitor: (Provided by ARO)
ARO Technical Monitor's E-mail: (Provided by ARO)

Total Anticipated Award: (\$ Provided by ARO)
Amount Funded to Date: (\$ Provided by ARO)
Currently Funded Through: (Provided by ARO)
Planned Funding: (Provided by ARO)
Planned Extension Funding: (Provided by ARO)
Monitor's Phone #: (Provided by ARO)

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

1. Expenditures (cost incurrences 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

____ Recommend funding at level cited in SECTION 1, above.

____ Recommend no additional funds be provided at this time.

____ Recommend funding consistent with revised budget of principal investigator.

____ Recommend extension of agreement through _____ without additional funds.

____ Recommend funding in amount of \$ _____
(Comments attached)

____ Other (Explanation attached).

Date: _____

Signature _____
Technical Monitor