

Oklahoma Center for the Advancement of Science and Technology (OCAST)
OKLAHOMA NANOTECHNOLOGY APPLICATIONS PROJECT (ONAP)
Progress Report / Performance Evaluation
Instructions to Principal Investigators

PERFORMANCE EVALUATION PROCESS. OCAST requires each Principal Investigator, who is funded under the Oklahoma Nanotechnology Applications Project (ONAP), to submit an annual progress report sixty (60) days prior to the ending date of each contract period except for the end of the final contract period. Failure to submit the annual report as required may result in a gap in funding or loss of funds. Each PI must submit a final report thirty (30) days after the end of the final contract period.

Project performance is evaluated by reviewers, a majority of whom reside outside Oklahoma, who are nominated and approved by the ONAP Committee. Any questionable progress report may be submitted to another reviewer for additional evaluation. An unsatisfactory performance evaluation may initiate an impartial on-site inspection if a satisfactory explanation is not provided. Continued funding is contingent on satisfactory annual performance evaluations and availability of funds.

PROGRESS REPORT REQUIREMENTS. OCAST requires each progress report and final report to be prepared in the format described below. Reports which are incomplete or are not completed in the required format may be returned for satisfactory completion. The progress report consists of the following:

1. **Cover Page.** The following information must be provided on a cover page for the report:
 - a. Project number and title
 - b. PI Name and sponsoring organization
 - c. Co-PI name(s) and sponsoring organization(s)
 - d. Other organizations providing project resources (list in order of support level)
 - e. Current funding period
 - f. Dates the report covers
 - g. Report due date

2. **Executive Summary.** Briefly summarize work-to-date for a lay reader; do not include details which must be kept proprietary (1 page maximum).
 - a. Describe the commercializable product(s), process(es) and/or service(s) which is the projected result of this OCAST funded research project.
 - b. State the overall project objectives.
 - c. Summarize the significant technical achievements and notable (lesser) technical achievements to date on this project.
 - d. Describe the market potential as presently assessed.

3. **Project Participants.** For an annual report, list the organizations currently participating in the project, state the type of organization for each – business/industry, university, non-profit – and describe the type and level of involvement of each. Discuss any changes in organizational participation planned/anticipated for the upcoming year. For a final report, discuss changes in organizational participants anticipated during the development period for the technology at the focus of the OCAST funded project (1 page maximum).

4. **Work Accomplished.** Discuss the research completed on the project during the current funding year; specifically, assess (a) the significant technical achievements, (b) the notable technical achievements and (c) the success in achieving the project objectives in the time projected including comments on any planned but unachieved objectives (3 pages maximum).

5. **Work Plans.** For an annual report, discuss project plans for the coming year including a time line and any significant changes in the personnel or the research proposed in the original application for funding. For a final report, describe how the research and development will continue, e.g. prototype development; testing/clinical trials; product, process and/or service commercialization in progress or planned (3 pages maximum).

6. **Publications.** List journal articles and other publications, which have been submitted and/or published during the funding period, that incorporate any portion of the work supported by the OCAST contract; categorize under the headings of *refereed, non-refereed, books, chapters, abstracts and presentations*. Please send copies of any newspaper articles or other descriptions of the research in newsletters, lay magazines, etc.
7. **Intellectual Property Development.** For an annual report, detail invention disclosures, patent applications and/or awards, licenses or other intellectual properties resulting from the work to date. For a final report, address anticipated activities regarding intellectual property and provide a time line for these activities (1 page maximum).
8. **Commercialization Activities and Plans.** Identify the organization currently expected to develop the technology, which is the focus of the research project, and outline the plans for development. Provide a current assessment of the market potential, and outline the plans to commercialize the product(s), process(es) and/or services projected to result from the research. Estimate the capital investment required to commercialize the technology(s). Update, rather than repeat, the assessments from the original application for funding.
9. **Economic Impact Assessment.** Provide quantified statements that describe the actual or projected benefits to the State of Oklahoma of the project in as many of the following areas as possible. Update, rather than repeat, the assessments from the original application for funding. Indicate the following:
 - a. Percent increase in productivity
 - b. Percent increase of market share
 - c. Dollar amount of increase in sales
 - d. Dollar savings in cost-containment
 - e. Number of jobs created or retained

If the Contractor is not a business, the PI should also include letters or statements from businesses, which have collaborated on the project, that quantify the economic benefits, actual or projected, as a result of the project, as described in the examples above.

SUBMISSION DEADLINE. Annual progress reports shall be submitted no later than sixty (60) days prior to the ending date of the current funding period. Final reports shall be submitted no later than thirty (30) days after the ending date of the final funding period. For assistance contact the Contracts Compliance Officer at (405) 319-8400. Progress reports can be submitted either by email to mark.ballard@ocast.ok.gov or by regular mail (1 copy) to the following address:

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