

**DEPARTMENT OF ENERGY (DOE)**  
**OFFICE OF INDIAN ENERGY POLICY AND PROGRAMS (IE)**



**FIRST STEPS TOWARD DEVELOPING RENEWABLE ENERGY AND ENERGY  
EFFICIENCY ON TRIBAL LANDS – 2016**

**Funding Opportunity Announcement (FOA)**

**Number: DE-FOA-0001621**

**FOA Type: 0000**

**CFDA Number: 81.087**

<b>FOA Issue Date:</b>	August 16, 2016
<b>Informational Webinar:</b>	September 6, 2016 at 3:00 pm Eastern Time
<b>Submission Deadline for Applications:</b>	October 20, 2016 at 5:00 pm Eastern Time
<b>Expected Date for DOE Selection Notifications:</b>	February 2017
<b>Expected Timeframe for Award Negotiations</b>	90 days after receipt of any requested supplemental information

- To apply to this FOA, Applicants must register with and submit application materials through EERE Exchange at <https://eere-Exchange.energy.gov>, DOE's online application portal. Frequently asked questions for this FOA and the DOE application process can be found at <https://eere-exchange.energy.gov/FAQ.aspx>. A control number will be assigned while registering in EERE Exchange. Retain this number as it will be used as an identifier and required on all application documents.
- Applicants must designate primary and backup points-of-contact in EERE Exchange with whom DOE will communicate to conduct award negotiations. If an application is selected for award negotiations, it is not a commitment to issue an award. It is imperative that the Applicant/Selectee be responsive during award negotiations and meet negotiation deadlines. Failure to do so may result in cancelation of further award negotiations and rescission of the Selection.



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## EXECUTIVE SUMMARY

<b>FOA Summary</b>	Under this Funding Opportunity Announcement (FOA), DOE’s Office of Indian Energy is soliciting applications from Indian Tribes (including Alaska Native Regional Corporations and Village Corporations) and Tribal Energy Resource Development Organizations to: (1) conduct energy options analyses, (2) establish baseline energy use and efficiency options, (3) develop energy organizations, (4) conduct climate resiliency planning, (5) establish policy, regulations, and codes to reduce energy use or promote energy development; and (6) obtain skills and training related to energy use and development. See Section III.A for eligibility definitions.
<b>Total Amount to be Awarded</b>	Approximately \$2 million to \$3 million in Federal funds. The actual level of funding will depend on Congressional appropriations.
<b>Average Award Amount</b>	DOE anticipates making awards that range from \$50,000 to \$250,000 in DOE funds for the entire period of performance.
<b>Types of Funding Agreements</b>	Grants
<b>Period of Performance</b>	One (1) to two (2) years, but no longer than three (3) years.
<b>Eligible Applicants</b>	Subject to the definitions and requirements in Section III.A, eligible entities are restricted to (1) Indian Tribes (including Alaska Native villages, Alaska Native Regional Corporations and Village Corporations) and (2) Tribal Energy Resource Development Organizations. See Section III.A for eligibility requirements and definitions.
<b>Cost Share Requirement</b>	10% of total allowable costs of the project (i.e., the sum of the DOE share, and the Recipient share of allowable costs equals the total allowable cost of the project).
<b>Means of Submission</b>	Applications <u>must</u> be submitted through EERE Exchange at <a href="https://eere-Exchange.energy.gov">https://eere-Exchange.energy.gov</a> , DOE’s online application portal. DOE will not review or consider applications submitted through other means. The Users’ Guide for Applying to the Department of Energy DOE Funding Opportunity Announcements is found at <a href="https://eere-Exchange.energy.gov/Manuals.aspx">https://eere-Exchange.energy.gov/Manuals.aspx</a> .
<b>Submission of Multiple Applications</b>	Applicants may submit more than one application to this FOA, provided each is unique and distinct and addresses only one Topic Area.
<b>Application Forms</b>	Required forms and templates for applications are available on EERE Exchange at <a href="https://eere-Exchange.energy.gov">https://eere-Exchange.energy.gov</a> .

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## **I. FUNDING OPPORTUNITY DESCRIPTION**

### **A. DESCRIPTION/BACKGROUND**

The [Department of Energy's](#) (DOE's) [Office of Indian Energy Policy and Programs](#) (Office of Indian Energy) is charged by Congress under the Indian Tribal Energy Development and Self Determination Act of 2005 (Energy Policy Act of 2005 (EPAct 2005), Title V, § 502, codified at 42 USC § 7144e and 25 USC § 3501 et seq.) , to “provide, direct, foster, coordinate, and implement energy planning, education, management, conservation, and delivery programs that –

- (1) Promote Indian tribal energy development, efficiency, and use;
- (2) Reduce and stabilize energy costs;
- (3) Enhance and strengthen Indian tribal energy and economic infrastructure relating to natural resource development and electrification; and
- (4) Bring electric power and service to Indian land and homes for tribal members located on Indian lands or acquired, constructed, or improved (in whole or in part) with Federal funds.” 42 USC § 7144e(b)

Through this Funding Opportunity Announcement (FOA), the Office of Indian Energy will continue its efforts to maximize the development and deployment of energy solutions for the benefit of American Indians and Alaska Natives and help build the knowledge, skills, and resources needed to implement those energy solutions. In support of these objectives, the Office of Indian Energy is soliciting applications to initiate the first steps toward developing and sustaining renewable energy and energy efficiency on Tribal Lands. Through grants, DOE intends to provide financial support under the provisions of the Title V of the Energy Policy Act (EPAct) of 2005.

Specifically, the Office of Indian Energy is soliciting applications from Indian Tribes including Alaska Native villages, Alaska Native Regional Corporations and Village Corporations (hereafter referred to as “Indian Tribe”) and Tribal Energy Resource Development Organizations under the following Topic Areas:

- (1) Conduct energy options analyses (Topic Area 1);
- (2) Establish baseline energy use and efficiency options (Topic Area 2);
- (3) Develop energy organizations (Topic Area 3);
- (4) Conduct climate resiliency planning (Topic Area 4);
- (5) Establish policy, regulations, and codes to reduce energy use or promote energy development (Topic Area 5); and,
- (6) Obtain skills and training related to energy use and development (Topic Area 6).

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It is expected that proposed activities will result in specific outcomes (measurable results or end-products) that will lead to the development and deployment of strategic energy solutions, and/or build knowledge or skills necessary to implement successful energy solutions.

Pursuant to its authorizing statute, the Office of Indian Energy will only accept applications from an eligible Indian Tribe (including Alaska Native villages, Alaska Native Regional Corporations and Village Corporations) or Tribal Energy Resource Development Organization. Applications from a consortium of Indian Tribes (Tribal Consortium) will be accepted but must be submitted by a single Indian Tribe acting as the Applicant representing the Consortium. Applications from any other organization or entity, regardless of whether they represent an eligible Applicant, will not be accepted.

A Tribal Council Resolution from each participating Indian Tribe, declaration (or resolution) from each Tribal Energy Resource Development Organization, and a letter of commitment from all other project participants are required as a part of the application. All resolutions, declarations and letters of commitment must be specific to this FOA and must include any cost sharing commitments (see Statements of Commitment and Cost Sharing File under Part IV.C., Content and Form of Application).

Applicants may submit more than one application to this FOA, provided each is unique and distinct and addresses only one Topic Area. All applications must designate the specific Topic Area under which that application is being submitted on the Summary/Abstract, Summary Slide and on the cover of the Narrative file (see Section IV.C., Content and Form of Application).

A 10% cost share of the total allowable costs of the project (i.e., the sum of the Government share, and the Recipient share of allowable costs equals the total allowable cost of the project) will be required and must come from non-Federal sources, unless otherwise allowed by law (see Section III.B and Appendix B). Cost share may include cash or in-kind contributions (e.g., contribution of time, unrecovered indirect costs, unrecovered facilities and administrative costs, rental value of buildings or equipment, and the value of a service, other resource, or third party in-kind contribution) made during the period of performance of the grant.

Selected Applicants will be required to document progress in quarterly reports and the project results in a comprehensive final report, as well as present at an annual Program Review to be held in Denver, Colorado. For planning purposes, Applicants should plan to attend and present grant activities each year during the period of performance of the grant, beginning in 2017. Travel costs for this annual review (one-week in duration plus travel days) should be included for each year of the grant in the proposed budget.

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## B. TOPIC AREAS/TECHNICAL AREAS OF INTEREST

The FOA is soliciting applications under the following six (6) Topic Areas:

- (1) Conduct energy options analyses (Topic Area 1);
- (2) Establish baseline energy use and efficiency options (Topic Area 2);
- (3) Develop energy organizations (Topic Area 3);
- (4) Conduct climate resiliency planning (Topic Area 4);
- (5) Establish policy, regulations, and codes to reduce energy use or promote energy development (Topic Area 5); and,
- (6) Obtain skills and training related to energy use and development (Topic Area 6).

### Topic Area 1: Conduct Energy Options Analyses

Under Topic Area 1, DOE is soliciting applications for the analysis of energy options consistent with the Indian Tribe's and/or the Tribal Energy Resource Development Organizations energy vision. An energy options analysis should result in a thorough understanding of tribal energy resources, analysis of tribal energy loads (current and future energy consumption), "demand-side" options that reduce energy consumption, and evaluation of local and commercial energy "supply-side" options. The energy options should be measured against tribal screening criteria that provide a framework for ranking the available options. The analysis may consider export of renewable energy resources off Tribal Lands to generate revenue, but should also address energy saving measures and supply to local tribal facility and community energy loads, thereby addressing energy sufficiency for the tribal community.

The results of this effort are intended to be of sufficient depth that, based on the analysis, a feasibility study of preferred options and business planning can be initiated. Applicants may propose literature searches or data gathering, but funds are not intended for directly measuring a specific resource or the purchase or lease of resource monitoring equipment.

The options analysis should address both "supply-side" and "demand-side" options and possible energy sources, including conventional and non-conventional sources, but must include renewable energy and energy efficiency options.

"Demand-side" options are those that reduce energy consumption and may include, but are not limited to, the following:

- Consumer Energy Efficiency: home weatherization, energy-efficient appliances, lighting, heating and air conditioning, water heating, duct repair, motors, refrigeration, energy-efficient construction, appliance timers and controls, thermal storage, and geothermal heat pumps

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- Utility Energy Conservation: load management, high efficiency motors, and reduced transmission and distribution losses
- Rates: time-of-use, interruptible, and revenue decoupling
- Renewables: solar heating and cooling, photovoltaics, passive solar design, EPA-approved wood heating stoves, and daylighting

“Supply-side” options are those that generate energy and may include, but are not limited to, the following:

- Conventional Power Plants: fossil-fuel, nuclear, extending the life of existing plants, hydro/pumped storage, repowering, and utility battery storage
- Non-Utility-Owned Generation: cogeneration, independent power producers, and distributed generation
- Purchases: requirement transactions, coordination transactions, and competitive bidding
- Renewables: biomass, geothermal, solar thermal, photovoltaics, hydropower, and wind

An energy options analysis may include, but is not limited to:

- Identification of energy resources (renewable and non-renewable) including energy efficiency and conservation;
- Assessment of tribal energy needs for local consumption or use (i.e., energy loads analysis);
- Assessment of renewable energy export off Tribal Lands (market analysis), if applicable;
- Forecast of future energy needs for local consumption and for export, if applicable;
- Identification of commercially-proven energy efficiency and renewable energy technology options;
- Screening of energy options relative to the Indian Tribe’s and/or the Tribal Energy Resource Development Organization’s long-term strategic plan and energy vision; and,
- Developing an implementation plan.

## **Topic Area 2: Establish Baseline Energy Use and Efficiency Options**

Under Topic Area 2, DOE is soliciting applications for establishing baseline energy use (buildings, processes, and systems) for setting energy efficiency improvement goals as well as providing a comparison point for evaluating future efforts. “Baselining” is the act of measuring energy use and energy intensity at a determined level of detail for the purpose of establishing a benchmark for future comparison.

It is expected that establishing baseline energy use should include the following steps:

- Step 1: Decide on boundaries  
Defining the boundaries will establish “what is in and what is out.” For example, it may include homes and community buildings and exclude manufacturing operations, or it

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may only include industrial and/or manufacturing facilities, or major energy users, or an entire community or village.

- Step 2: Choose a baseline year or years

The baseline year typically is the most recent year or years for which there is reliable data.

- Step 3: Gather energy data

Step 3 includes gathering energy records for the baseline year. The energy records must include a breakdown of the energy used by type (e.g., electricity, natural gas, oil, coal). Step 3 has three parts: a) determining the amount of fuel purchased by type, b) determining the net electricity purchased, and c) calculating the amount of primary energy consumed.

- Step 4: Survey energy use and identify significant energy users

Step 4 typically involves an energy audit (otherwise known as an energy assessment or energy study) to determine where, when, why and how energy is used in a facility, and to identify opportunities to improve efficiency. Audit types include: ASHREA Level 1, walk-thru audit typically used for smaller buildings, ASHREA 2, energy survey and analysis which is typically used for larger buildings, and ASHREA 3, detailed survey and analysis (also referred to as an investment grade audit) which is a more rigorous analysis used for more expensive capital projects.

- Step 5: Identify opportunities for energy savings

Once the energy users are identified, opportunities for reducing energy use can be developed. An energy audit should identify those opportunities, including the cost of each energy efficiency measures and associated energy and costs savings.

- Step 6: Develop an energy action plan

Prioritizing the actions to be taken and establishing a timeline for implementation.

### **Topic Area 3: Develop Energy Organizations**

Under Topic Area 3, DOE is soliciting applications for the planning and/or establishment of an energy organization such as a tribal utility, energy office, Energy Service Company (ESCO), tribal energy committee, tribal energy commission, or other organizational unit; or the enhancement of an existing organizational unit. This effort is expected to be in response to a specific need or goal of the Indian Tribe or Tribal Energy Resource Development Organization, have with specific outcomes (measurable results or end-products), and have identified sources of funding or revenue to sustain the operation beyond DOE funding.

Activities may include, but are not limited to:

- Evaluation of organizational structures as they relate to the Indian Tribe's and/or the Tribal Energy Resource Development Organizations long-term strategic energy plan and implementation opportunities (i.e., utility, energy office, ESCO, tribal committee, or other organizational unit)

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- Establishment of an energy organization or tribal unit for managing tribal energy resources or implementing the tribal strategic energy plan
- Enhancement of an existing tribal energy organizational unit or function for managing tribal energy resources or implementing the tribal strategic energy plan
- Establishment of a regional or National inter-tribal energy consortium

#### **Topic Area 4: Conduct Climate Resiliency Planning**

Under Topic Area 4, DOE is soliciting applications to conduct climate change preparedness and resiliency planning to help Indian Tribes and Tribal Energy Resource Development Organization understand how to mitigate and plan for the impacts of climate change. This Topic Area could include, but is not limited to, the following:

- Greenhouse gas and carbon reduction assessment and planning  
Including an assessment of current greenhouse gas emissions and identification of practical steps to reduce those emissions to meet specific tribal goals, where assessments would consider emissions related to buildings, transportation, and energy sectors.
- Identification of energy impacts of climate change on tribal lands  
Including an assessment of climate vulnerabilities to tribal lands and infrastructure to help prioritize mitigation and adaptation strategies.
- Climate mitigation action planning  
Including prioritizing mitigation strategies to address projected and known impacts of climate change and natural disasters.
- Evaluation of critical facilities  
To include identifying critical facilities and address energy action planning to prepare those facilities for climate impacts or natural disasters.
- Addressing energy issues related to past climate and natural disaster events  
Including an assessment of energy-related issues caused by a past climate or natural disaster event and create an action plan for increased resilience in the future.

#### **Topic Area 5: Establish Policy, Regulations, and Codes to Reduce Energy Use or Promote Energy Development**

Under Topic Area 5, DOE is soliciting applications to address energy governance issues that may include, but are not limited to, the following:

- Energy policy development  
Including crafting energy policy, such as renewable energy standards, building codes, or energy related by-laws to address energy issues or reach tribal energy goals.
- Federal, state, and local policy, regulatory, and incentive assessment  
Including an assessment of federal, state, and local policies that impact tribal energy development, which may include, but are not limited to, renewable portfolio standards,



renewable energy credits, tax codes, taxation, community renewable energy programs, and state and local incentives.

- Energy organization study

Including structure, business issues, regulatory matters, and jurisdictional issues.

### **Topic Area 6: Obtain Skills and Training Related to Energy Use and Development**

Under Topic Area 6, DOE is soliciting applications to increase capabilities or skills, knowledge base, awareness, or expertise of tribal members related to energy use and development. Applications under this Topic Area should provide a correlation between the proposed activities and the strategic plan or energy development activities of the Indian Tribe or Tribal Energy Resource Development Organization. This effort is expected to be in response to a specific need or goal of the Indian Tribe or Tribal Energy Resource Development Organization and be of limited duration with specific outcomes (measurable results or end-products). Applications in this Topic Area should clearly define how these new energy-related capabilities will be integrated into existing tribal activities.

This Topic Area is intended to increase knowledge-based skills (gaining knowledge of specific subjects, procedures, and information necessary to perform particular tasks) of tribal members related to energy use and development through training.

Energy use and development training of tribal members may include, but is not limited to, the following:

- Apprenticeship or mentorship (learning a job or skill by working for a fixed period of time for someone who is very good at that job or skill);
- Internships (student or trainee who works in an organization, sometimes without pay, in order to gain work experience);
- Workshops (short-term interactive training);
- Seminars (short-term lecture oriented training); and
- Certification programs (e.g., energy auditor, energy efficiency practitioner, solar technician, utility operator).

Activities proposed under this Topic Area are not intended to gain general energy awareness, such as through attending a conference.

### **C. APPLICATIONS SPECIFICALLY NOT OF INTEREST**

The following types of applications will be deemed nonresponsive and will not be reviewed or considered (See Section III.D of the FOA):

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- Applications that fall outside the technical parameters specified in Section I.B of the FOA.
- Applications proposing the
  - Purchase of major equipment,
  - Installation of energy hardware,
  - Installation of meters and/or other indicators to induce behavioral changes,
  - Evaluation of product marketing opportunities,
  - Assessment of manufacturing opportunities,
  - Technology Research and Development (R&D),
  - Product development,
  - Procurement of project related services,
  - Demonstration of unproven technologies, or
  - Major construction of manufacturing facilities or buildings.
- Any application where the Applicant has already taken irreversible actions regarding the proposed DOE funded project. Irreversible actions may include, but are not limited to, site clearing, ground breaking, equipment or system purchase or installation, building renovation, and building retrofits.

#### **D. AUTHORIZING STATUTES**

The programmatic authorizing statute is the Indian Tribal Energy Development and Self Determination Act of 2005 (Energy Policy Act of 2005 (EPAct 2005), Title V, § 502, codified at 42 USC § 7144e and 25 USC § 3501 et seq.).

Awards made under this announcement will fall under the purview of 2 CFR Part 200 as amended by 2 CFR Part 910.

## **II. AWARD INFORMATION**

### **A. AWARD OVERVIEW**

#### **1. ESTIMATED FUNDING**

DOE expects to make approximately \$2 million to \$3 million of Federal funding available for new awards under this FOA, subject to the availability of appropriated funds. The actual level of funding, if any, depends on Congressional appropriations.

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DOE anticipates making approximately eight (8) to twenty (20) grant awards with DOE funding per individual award varying between ranging from \$50,000 to \$250,000, and to not exceed \$250,000. DOE will not consider applications proposing DOE funds of less than \$50,000. DOE may issue awards in one, multiple, or none of the topic areas.

## **2. PERIOD OF PERFORMANCE**

DOE anticipates making awards with period of performances of approximately one (1) to two (2) years, but no longer than three (3) years.

## **3. NEW APPLICATIONS ONLY**

DOE will accept only new applications under this FOA. DOE will not consider applications for renewals of existing DOE-funded awards through this FOA.

## **B. DOE FUNDING AGREEMENTS**

Through Grants, DOE provides financial and other support to projects that have the potential to realize the FOA objectives. DOE does not use such agreements to acquire property or services for the direct benefit or use of the United States Government.

As specified under Title V of the Energy Policy Act, DOE anticipates awarding grants under this FOA.

# **III. ELIGIBILITY INFORMATION**

## **A. ELIGIBLE APPLICANTS**

Only the following types of Applicants are eligible to apply to this FOA. Applicants that do not meet the requirements of this subsection will be deemed ineligible and their applications will not be reviewed or considered.

In accordance with EAct 2005 authorities and consistent with 2 CFR 910.126(b), eligibility for award under this Funding Opportunity Announcement is restricted to: (1) an Indian Tribe; or (2) Tribal Energy Resource Development Organization. More specifically,

- 1) "Indian Tribe," for purposes of this FOA, means any Indian tribe, band, nation or other organized group or community, including Alaska Native villages, Alaska Native Regional

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Corporations and Village Corporations as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C. §§ 1601 et seq.], that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

For purposes of this FOA, an eligible “Indian Tribe” (including Alaska Native villages, but not Alaska Native Regional Corporations and Village Corporations), must be federally recognized as listed in *Indian Entities Recognized and Eligible to Receive Services from the United States Bureau of Indian Affairs*, published by the Department of Interior’s Bureau of Indian Affairs in the Federal Register on [May 4, 2016, 81 FR 26827](#).

For the purposes of this FOA, “Alaska Native Regional Corporation” means one of the thirteen Alaska Native Regional Corporations, as defined in and established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. §§ 1602(g)).

“Alaska Native Village Corporations” or “Village Corporation”, for purposes of this FOA, are as defined in or established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. §§ 1602(j)).

“Tribal Consortium” (plural consortia), for purposes of this FOA, means a group of Indian Tribes (as defined above), that have chosen to submit a single application. Under this announcement, a Tribal Consortium is eligible to submit an application provided the application is submitted by a single Indian Tribe representing the Consortium.

- 2) “Tribal Energy Resource Development Organization” for purposes of this FOA, means an “organization” of two or more entities, at least one of which is an Indian Tribe (see “Indian Tribe” above) that has the written consent of the governing bodies of all Indian Tribes participating in the organization to apply for a grant or loan, or other assistance under 25 U.S.C. § 3503, where “organization” means a partnership, joint venture, Limited Liability Company (LLC) or other unincorporated association or entity that is established to develop Indian energy resources.”

## **B. COST SHARING**

Under this Funding Opportunity Announcement, required cost share must be at least 10% of the total allowable costs of the project (i.e., the sum of the Government share, and the Recipient share of allowable costs equals the total allowable cost of the project). All cost share must come from non-Federal sources, unless otherwise allowed by law (see note below and Appendix B). See 2 CFR 200.306 and 2 CFR 910.130 for the applicable cost sharing

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requirements. Failure to meet the requirements of this subsection may result in your application not being reviewed or considered.

**Except for pre-award costs with prior DOE approval, only cost share contributions made during the period of performance of the grant, if awarded, can be considered. Costs incurred prior to award selection cannot be considered as cost share or for reimbursement by DOE.**

If the funds being proposed as non-Federal cost share against this announcement are from a Federal source, allowed to by law, the Applicant must specifically identify those funds and provide that authority as part of the application. The following are some instances where Federal funds are permissible for use as cost share.

NOTE: Per the Indian Self-Determination Act (Public Law 93-638) as codified and amended, funding under the Indian Self-Determination Act may be used as non-Federal cost share by Indian Tribes on Federal grants.

For Tribal self-governance funding agreements, see 25 U.S.C. § 458cc(j), Funds, “All funds provided under funding agreements entered into pursuant to this subchapter, and all funds provided under contracts or grants made pursuant to this subchapter, shall be treated as non-Federal funds for purposes of meeting matching requirements under any other Federal law.”

For self-determination contract funding, see 25 U.S.C § 450h(c), Use as matching shares for other similar Federal grant programs, “The provisions of any other Act notwithstanding, any funds made available to a tribal organization under grants pursuant to this section may be used as matching shares for any other Federal grant programs which contribute to the purposes for which grants under this section are made.”

For compact funding, see 25 U.S.C. § 450j-1(j), “Notwithstanding any other provision of law, a tribal organization may use funds provided under a self-determination contract to meet matching or cost participation requirements under other Federal and non-Federal programs.”

To assist Applicants in calculating proper cost share amounts, DOE has included a cost share information sheet and sample cost share calculation as Appendix B to this Funding Opportunity Announcement.

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### **1. LEGAL RESPONSIBILITY**

Although the cost share requirement applies to the project as a whole, including work performed by members of the project team other than the Recipient, the Recipient is legally responsible for paying the entire cost share. The Recipient's cost share obligation is expressed in the Assistance agreement as a static amount in U.S. dollars (cost share amount) and as a percentage of the Total Project Cost (cost share percentage). **If the funding agreement is terminated prior to the end of the project period, the Recipient is required to contribute at least the cost share percentage of total expenditures incurred through the date of termination.**

The Recipient is solely responsible for managing cost share contributions by the Project Team and enforcing cost share obligation assumed by Project Team members in subawards or related agreements.

### **2. COST SHARE ALLOCATION**

Each Project Team is free to determine how best to allocate the cost share requirement among the team members. The amount contributed by individual Project Team members may vary, as long as the cost share requirement for the project as a whole is met.

### **3. COST SHARE TYPES AND ALLOWABILITY**

Every cost share contribution must be allowable under the applicable Federal cost principles, as described in Section IV.I.1 of the FOA. In addition, cost share must be verifiable upon submission of the application.

Project Teams may provide cost share in the form of cash or in-kind contributions. Cash contributions may be provided by the Recipient or Subrecipients. Allowable in-kind contributions include, but are not limited to: personnel costs, indirect costs, facilities and administrative costs, rental value of buildings or equipment, and the value of a service, other resource, or third party in-kind contribution.

Project teams may use funding or property received from state or local governments to meet the cost share requirement, so long as the funding was not provided to the state or local government by the Federal Government.

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The Recipient may not use the following sources to meet its cost share obligations including, but not limited to:

- Revenues or royalties from the prospective operation of an activity beyond the project period;
- Proceeds from the prospective sale of an asset of an activity;
- Federal funding or property (e.g., Federal grants, equipment owned by the Federal Government);
- Renewable Energy Credits (RECs) or other green attribute monetization funds;
- Any form of cost sharing received after the DOE grant period or those received prior to being selected for award under this Funding Opportunity Announcement (FOA); or
- Expenditures that were reimbursed under a separate Federal Technology Office.

In addition, Project Teams may not use independent research and development (IR&D) funds to meet their cost share obligations. Project Teams may not use the same cash or in-kind contributions to meet cost share requirements for more than one project or program.

Cost share contributions must be specified in the project budget, verifiable from the Recipient's records, and necessary and reasonable for proper and efficient accomplishment of the project. **As all sources of cost share are considered part of total project cost, the cost share dollars will be scrutinized under the same Federal regulations as Federal dollars to the project.** Every cost share contribution must be reviewed and approved in advance by the Contracting Officer and incorporated into the project budget before the expenditures are incurred.

Applicants are encouraged to refer to Appendix B and 2 CFR 200.306 as amended by 2 CFR 910.130 and 10 CFR 603.525-555, for additional guidance on cost sharing.

#### **4. COST SHARE CONTRIBUTIONS BY FFRDCs AND GOGOS**

Because Federally Funded Research and Development Centers (FFRDCs) and Government-owned and Government-operated (GOGOs) laboratories are funded by the Federal Government, costs incurred by FFRDCs and GOGOs generally may not be used to meet the cost share requirement. FFRDCs may contribute cost share only if the contributions are paid directly from the contractor's Management Fee or another non-Federal source.

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## 5. COST SHARE VERIFICATION

Applicants are required to provide written assurance (See Statement of Commitment and Cost Sharing File under Section IV.C.) of their proposed cost share contributions in their applications.

Upon selection for award negotiations, Applicants may be required to provide additional information and documentation regarding their cost share contributions. Please refer to Appendix B of the FOA for guidance on the requisite cost share information and documentation.

## 6. COST SHARE PAYMENT

All proposed cost share contributions must be reviewed in advance by the Contracting Officer and incorporated into the project budget before the expenditures are incurred.

**DOE requires Recipients to contribute the cost share amount incrementally over the life of the award.** Specifically, the Recipient's cost share for each billing period must always reflect the overall cost share ratio negotiated by the parties (i.e., the total amount of cost sharing on each invoice when considered cumulatively with previous invoices must reflect, at a minimum, the cost sharing percentage negotiated).

In limited circumstances, and where it is in the government's interest, the DOE Contracting Officer may approve a request by the Recipient to meet its cost share requirements on a less frequent basis, such as by budget period or grant period. Regardless of the interval requested, the Recipient must be up-to-date on cost share at each interval. Such requests must be sent by email to the Contracting Officer during award negotiations and include the following information: (1) a detailed justification for the request; (2) a proposed schedule of payments, including amounts and dates; (3) a written commitment to meet that schedule; and (4) such evidence as necessary to demonstrate that the Recipient has complied with its cost share obligations to date. The Contracting Officer must approve all such requests before they may go into effect.

## C. COMPLIANCE CRITERIA

**To be considered for substantive evaluation, an Applicant submission must meet the compliance criteria set forth below. Applications must meet all Compliance criteria listed below or they will be considered noncompliant. DOE will not review or consider noncompliant submissions**, including applications: submitted through means other than EERE Exchange; submitted after the applicable deadline; and/or submitted incomplete. DOE will not extend the submission deadline for Applicants that fail to submit required information due to server/connection congestion.

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Applications are deemed compliant if:

- The application complies with the content and form requirements in Section IV.C of the FOA;
- and
- The Applicant successfully uploaded all required documents and clicked the “Submit” button in EERE Exchange by the deadline stated in the FOA.

#### **D. RESPONSIVENESS CRITERIA**

DOE performs an initial eligibility review and any “Applications Specifically Not of Interest,” as described in Section I.C of the FOA, will be deemed nonresponsive and not reviewed or considered.

#### **E. LIMITATION ON NUMBER OF APPLICATIONS ELIGIBLE FOR REVIEW**

Applicants may submit more than one application to this FOA, provided each application is unique and distinct and addresses only one Topic Area. Each application must have a distinct title, unique Control Number as assigned by EERE Exchange during the registration process, and be readily distinguishable.

#### **F. QUESTIONS REGARDING ELIGIBILITY**

DOE will not make eligibility determinations for potential Applicants prior to the date on which applications to this FOA must be submitted. The decision of whether to submit an application in response to this FOA lies solely with the Applicant.

## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **A. APPLICATION PROCESS**

DOE will perform an initial eligibility review of the Applicant submissions to determine whether they meet the eligibility requirements of Section III.C of the FOA. DOE will not review or consider noncompliant and/or nonresponsive or otherwise ineligible submissions (see Section III.D).

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All submissions must conform to the following form and content requirements, including maximum page lengths, described below and must be submitted via EERE Exchange at <https://eere-exchange.energy.gov/>, unless specifically stated otherwise.

**DOE will not review or consider submissions submitted through means other than EERE Exchange, submissions submitted after the applicable deadline, and incomplete submissions.**

DOE will not extend deadlines for Applicants who fail to submit required information and documents due to server/connection congestion.

**A control number will be issued when an Applicant begins the Exchange application process. This control number must be included with all application documents, as described below.**

The application must conform to the following requirements:

- Each file must be submitted in Adobe PDF format, unless stated otherwise.
- Each must be written in English.
- All pages must be formatted to fit on 8.5 x 11 inch paper with margins not less than one inch on every side. Use Arial typeface, a black font color, and a font size of 11 point or larger (except in figures or tables, which may be 10 point font). A symbol font may be used to insert Greek letters or special characters, but the font size requirement still applies. References must be included as footnotes or endnotes in a font size of 10 or larger. Footnotes and endnotes are counted toward the maximum page requirement.
- The Control Number must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.
- Each file must not exceed the specified maximum page limit, including cover page, charts, graphs, maps, and photographs when printed using the formatting requirements set forth above and single spaced. If applications exceed the maximum page lengths indicated below, **DOE will only review the authorized number of pages and disregard any additional pages.**

**Applicants are responsible for meeting the submission deadline. Applicants are strongly encouraged to submit their applications at least 48 hours in advance of the submission deadline.** Under normal conditions (i.e., at least 48 hours in advance of the submission deadline), Applicants should allow at least 1 hour to submit an application. Once the application is submitted in EERE Exchange, Applicants may revise or update their application until the expiration of the applicable deadline. DOE urges Applicants to carefully review their

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applications and to allow sufficient time for the submission of required information and documents.

All applications that pass eligibility and compliance reviews will undergo comprehensive technical merit review according to the criteria identified in Section V.A.2 of the FOA.

### **1. ADDITIONAL INFORMATION ON EERE EXCHANGE**

EERE Exchange is designed to enforce the deadlines specified in this FOA. The “Apply” and “Submit” buttons will automatically disable at the defined submission deadlines. Should Applicants experience problems with Exchange, the following information may be helpful:

Applicants that experience issues with submission PRIOR to the FOA deadline (in the event that an Applicant experiences technical difficulties with a submission), the Applicant should contact the Exchange helpdesk for assistance ([EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov)). The Exchange helpdesk and/or the EERE Exchange system administrators ([EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov)) will assist Applicants in resolving issues.

Applicants that experience issues with submissions that result in late submissions (in the event that an Applicant experiences technical difficulties so severe that they are unable to submit their application by the deadline), the Applicant should contact the Exchange helpdesk for assistance ([EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov)). The Exchange helpdesk and/or the EERE Exchange system administrators ([EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov)) will assist the Applicant in resolving all issues (including finalizing submission on behalf of and with the Applicant’s concurrence).

PLEASE NOTE, however, that those Applicants who are unable to submit their application due to their waiting until the last minute when network traffic is at its heaviest to submit their materials, will not be able to use this process.

### **B. APPLICATION FORMS**

The application forms and instructions are available on EERE Exchange. To access these materials, go to <https://eere-Exchange.energy.gov> and select the appropriate funding opportunity number.

### **C. CONTENT AND FORM OF THE APPLICATION**

Applicants must submit an application by the specified due date to be considered for funding under this FOA. Applicants must complete the following application forms found on the EERE Exchange website at <https://eere-Exchange.energy.gov/>, in accordance with the instructions.

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- All application documents must be marked with the Control Number issued to the Applicant.
- DOE will not review or consider ineligible applications (see Section III of the FOA).
- Each application must be limited to a single unique and distinct project. Unrelated projects should not be consolidated in a single application.
- Each file must be submitted in Adobe PDF format, unless stated otherwise.

Applications must conform to the following requirements:

**Note: During the submittal of your application in EERE Exchange, files are denoted as “Required” or “Optional”. Files designated as “Optional” below and in EERE Exchange may actually be necessary to complete your application and to fully address the merit review criteria.**

#	COMPONENTS	FILE NAME (IF NECESSARY)
1	Application for Financial Assistance SF-424 <b>(Required, Adobe PDF format)</b>	ControlNumber_LeadOrganization_App424
2	Summary/Abstract for Public Release <b>(Required, 1 page limit, Adobe PDF format)</b>	ControlNumber_LeadOrganization_Summary
3	Summary Slide <b>(Required, 1 page limit, Microsoft PowerPoint format)</b>	ControlNumber_LeadOrganization_Slide
4	Technical Volume <b>(Required, 10 page limit, see Section IV.C.4, Adobe PDF format)</b>	ControlNumber_LeadOrganization_TechnicalVolume
5	Workplan <b>(Required, 5 page limit including the milestone table, Microsoft Word format)</b>	ControlNumber_LeadOrganization_Workplan
6	Graphics File <b>(Optional, Adobe PDF format)</b>	ControlNumber_LeadOrganization_Graphics
7	Statements of Commitment and Cost Sharing File <b>(Required, Adobe PDF format)</b>	ControlNumber_LeadOrganization_Commitments
8	Subcontract Plan File, if applicable <b>(Optional, Adobe PDF format)</b>	ControlNumber_LeadOrganization_SubcontractPlan
9	Resume File <b>(Required, Adobe PDF format)</b>	ControlNumber_LeadOrganization_Resumes
10	Budget Justification Workbook IE 335 <b>(Required, Microsoft Excel format)</b> Applicants <u>must</u> use the template available in EERE Exchange	ControlNumber_LeadOrganization_Budget_Justification
11	Subaward Budget Justification Workbook IE 335, if applicable <b>(Required only if thresholds</b>	ControlNumber_LeadOrganization_Subawardee_Budget_Justification

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#	COMPONENTS	FILE NAME (IF NECESSARY)
	<b>met, Microsoft Excel format)</b> Applicants must use the template available in EERE Exchange	
12	Budget Support ( <b>Optional, Adobe PDF format</b> )	ControlNumber_LeadOrganization_Budget_Support
13	SF-LLL Disclosure of Lobbying Activities ( <b>Required, Adobe PDF format</b> )	ControlNumber_LeadOrganization_SF-LLL
14	Waiver Request: Performance of Work in the United States ( <b>Optional, Adobe PDF format</b> )	ControlNumber_LeadOrganization_Waver

**Note: The maximum file size that can be uploaded to the EERE Exchange website is 10MB. Files in excess of 10MB cannot be uploaded,** and hence cannot be submitted for review. If a file exceeds 10MB but is still within the maximum page limit specified in the FOA it must be broken into parts and denoted to that effect. For example:

ControlNumber\_LeadOrganization\_Project\_Part\_1  
ControlNumber\_LeadOrganization\_Project\_Part\_2, etc.

**DOE will not accept late submissions that resulted from technical difficulties due to uploading files that exceed 10MB.**

Detailed guidance on the content and form of each component of the application is included below.

**1. APPLICATION FOR FEDERAL ASSISTANCE SF-424 (REQUIRED)**

Complete all required fields in accordance with the instructions on the form and have them signed by an authorized representative. The list of certifications and assurances in Field 21 can be found at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>, under Certifications and Assurances. Note: The dates and dollar amounts on the SF-424 are for the complete project period and not just the first project year, first phase or other subset of the project period. Save the SF-424 in a single PDF file using the following convention for the title “ControlNumber\_LeadOrganization\_App424”.

**2. SUMMARY/ABSTRACT FOR PUBLIC RELEASE (REQUIRED)**

Applicants are required to submit a one-page summary/abstract of their project. The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the Applicant, the Applicant’s Project Manager (otherwise known as the Technical Contact), the project title, Topic Area under which the application is being submitted, the objectives of the project, a

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description of the project, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as the Department may make it available to the public after selections are made. The project summary **must not exceed 1 page** when printed using standard 8.5 x 11 paper with 1" margins (top, bottom, left, and right) with font not smaller than 11 point. Save the Summary for Public Release in a single PDF file using the following convention for the title "ControlNumber\_LeadOrganization\_Summary".

### **3. SUMMARY SLIDE (REQUIRED)**

Applicants are required to provide a single PowerPoint slide summarizing the proposed project. The slide must be submitted in Microsoft PowerPoint format. This slide is used during the evaluation process. The summary slide must not exceed 1 slide when printed using standard 8.5 x 11 paper with font not smaller than 11 point. Save the Summary Slide in a single Microsoft PowerPoint file using the following convention for the title "ControlNumber\_LeadOrganization\_Slide".

A Microsoft PowerPoint template has been provided as Appendix D and on EERE Exchange.

The single Summary Slide requires the following information:

- Summary of the proposed effort including goals and objectives of the proposed effort, the specific need to issue the effort addresses, and how the proposed effort integrates into the long-term energy goals/vision of the Applicant;
- A description of the intended specific outcomes (measureable results or end-products) of the proposed effort (e.g., number of people trained, establishment of building codes, establishment of an energy baseline, establishment of an energy organization, completion of X energy audits);
- Key milestones and deliverables
- A graphic or illustration (picture, chart, table);
- Project title, Applicant, Topic Area, and Key Participant information; and
- Requested DOE funds and proposed Applicant cost share.

### **4. TECHNICAL VOLUME (REQUIRED)**

The Technical Volume must be submitted in Adobe PDF format. The Technical Volume must conform to the following content and form requirements, including maximum page lengths. **If the application exceeds the maximum page length indicated below, DOE will review only the authorized number of pages and disregard any additional pages.** This volume must address the Merit Review Criteria as discussed in Section V.A.2 of the FOA. Save the Technical Volume in a single PDF file using the following convention for the title: "ControlNumber\_LeadOrganization\_TechnicalVolume".

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The Technical Volume to the application **must not be more than 10 pages**, excluding the cover page, table of contents, and any separate attachment files.

The Technical Volume must include all of the information in the table below. **Applicant should consider the weighting of each of the evaluation criteria (see Section V.A.2 of the FOA) when preparing the Technical Volume.**

SECTION/PAGE LIMIT	DESCRIPTION
<p><b>Cover Page</b> <b>(Approximately 1 page: Not counted against page limit)</b></p>	<p>The cover page should include the following:</p> <ol style="list-style-type: none"> <li>(1) Funding Opportunity Announcement title and number, specifically: FOA Title: First Steps toward Developing Renewable Energy and Energy Efficiency on Tribal Lands – 2016, Number DE-FOA-0001621;</li> <li>(2) Specific FOA Topic Area under which the application is being submitted: <ol style="list-style-type: none"> <li>a. Conduct energy options analyses (Topic Area 1);</li> <li>b. Establish baseline energy use and efficiency options (Topic Area 2);</li> <li>c. Develop energy organizations (Topic Area 3);</li> <li>d. Conduct climate resiliency planning (Topic Area 4);</li> <li>e. Establish policy, regulations, and codes to reduce energy use or promote energy develop (Topic Area 5); and,</li> <li>f. Obtain skills and training related to energy use and development (Topic Area 6).</li> </ol> </li> <li>(3) Name of the Applicant (Indian Tribe, Tribal Energy Resource Development Organization, or Indian Tribe submitting on behalf of a Tribal Consortium);</li> <li>(4) Project title (Applicant specified);</li> <li>(5) Both the “Technical Contact” and the ‘Business Contact” (see below) for the Applicant, including their names, titles, addresses, telephone numbers, and electronic mail addresses;</li> <li>(6) Name and type of organization of each key participating organization including the name, title, address, telephone number, and electronic mail addresses of participant contacts; and</li> <li>(7) Any statements regarding privileged or confidential information (see Section VIII.E).</li> </ol> <p>The Applicant’s “Business Contact” and “Technical Contact” <u>must</u> be representatives of the Indian Tribe or Tribal Energy Resource Development Organization.</p>

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SECTION/PAGE LIMIT	DESCRIPTION
	<p>The Applicant’s “Business Contact” <u>must</u> be a representative of the Applicant authorized to act on behalf of the Applicant in the daily administration of the grant and to negotiate the agreement (not necessarily the signatory). Note that all DOE official written correspondence related to this announcement, or agreement, if one is awarded, would be addressed to the “Business Contact”.</p> <p>The Applicant’s “Technical Contact” is one authorized to act as project manager on behalf of the Applicant and would be the prime point of contact for DOE’s Project Officer during the project performance, if an agreement is awarded.</p>
<p><b>Table of Contents</b> (Approximately 1 page: <b>Not</b> counted against the page limit)</p>	<p>The Table of Contents should include a list of the elements of the Technical Volume organized in the order in which the parts appear, and page numbers.</p>
<p><b>Executive Summary</b> (Approximately 2 pages)</p>	<p>The Executive Summary should contain the following information:</p> <ul style="list-style-type: none"> <li>• Project Overview: The Applicant should provide a concise overview of the proposed project.</li> <li>• Applicant Description: Provide a description of the Applicant including the Applicant’s long-term energy goals and/or vision, location (maps or graphics should be included as an attachment, see Graphics File), organizational structure, and demographics. Attachments do not count against the page limit of the Technical Volume.</li> <li>• Project Goal: The Applicant should provide a brief discussion of the project goals and objectives and how the project integrates into the long-term energy goals/vision of the Applicant.</li> <li>• Benefits: The Applicant should provide a brief description of the anticipated benefits to the Indian Tribe(s), Tribal Energy Resource Development Organization and/or tribal members as a result of the project.</li> <li>• Impact of DOE Funding: The Applicant should discuss the need for and impact of DOE funding to the proposed project, and the implications if not funded.</li> </ul>
<p><b>Project Description and Outcomes</b> (Approximately 5 pages)</p>	<p>The Project Description and Outcomes should contain the following information:</p> <ul style="list-style-type: none"> <li>• Detailed Project Description: The Applicant should provide a detailed description of the proposed project, including:</li> </ul>

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SECTION/PAGE LIMIT	DESCRIPTION
	<ul style="list-style-type: none"> <li>○ A description of the relevance of the proposed project to the goals and objectives of the FOA, those of the Applicant, and the specific need or goal the proposed effort is intended to address.</li> <li>○ A detailed description of the proposed project.</li> <li>○ A description of previous work done, prior results, or relevant background information. Past studies, reports, or any supplemental data may be included as attachments under the Graphics File.</li> <li>○ Identify any barriers or obstacles that could impede the project and describe plans to overcome those barriers or obstacles.</li> <li>● Outcomes: The Applicant should describe and quantify to the maximum extent practical the specific expected outcomes (measurable results or end-products) of the proposed project.</li> </ul>
<p><b>Roles, Responsibilities, Capabilities, and Commitment</b> <b>(Approximately 3 pages)</b></p>	<p>The Roles, Responsibilities, and Capabilities section should contain the following information:</p> <ul style="list-style-type: none"> <li>● Identify who will represent the Applicant as the “Business Contact” and the “Technical Contact” for the Applicant under the DOE agreement, if one is awarded. The Applicant’s “Business Contact” and “Technical Contact” <u>must</u> be representatives of the Indian Tribe (including Alaska Native Regional Corporation and Village Corporation) or Tribal Energy Resource Development Organization. See above under Cover Page for a description of “Business Contact” and “Technical Contact”.</li> <li>● Describe the project management approach, including the following: <ul style="list-style-type: none"> <li>○ Description of the organizational and individual roles and responsibilities.</li> <li>○ Description of the organizational relationships (e.g., subcontractors, vendors, partners, etc.), including any existing agreements between the Applicant and project participants (contract, Memorandum of Understanding, or other).</li> <li>○ Description of the capabilities of the Applicant, each participating organization, and key individuals, including with a brief summary of experience and qualifications. Attach resumes (2-page limit each) for key individuals and participating team members under the Resume File. Resumes do <u>not</u> count towards the page limit of the Technical Volume. If consultants, contractors, or vendors have <u>not</u> been selected, indicate that in the Technical Volume and provide a Subcontract Plan as an attachment. The Subcontract Plan should include a description of the selection process to be employed, statement of work, and criteria for selection (see Subcontract Plan File). Note that if your application is selected for negotiation</li> </ul> </li> </ul>

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SECTION/PAGE LIMIT	DESCRIPTION
	<p>towards an award, any sole source contracts will need to be approved by DOE.</p> <ul style="list-style-type: none"> <li>• Demonstrate the level of commitment to the proposed project, including <ul style="list-style-type: none"> <li>○ Describe any related activities;</li> <li>○ Describe the level of commitment to the proposed project which may include: <ul style="list-style-type: none"> <li>– Evidence of the commitments of the Applicant and each participant (Tribal Council Resolutions, declarations, and letters of commitment). Note that Letters of support by anyone <u>not</u> participating in the proposed project are <u>not</u> required or desired, and should <u>not</u> be provided as part of the application.</li> <li>– Level of involvement and amount of cost sharing by the Applicant and each participant involved in the project. Supply evidence of commitments of time, resources, or financial contributions in the form of Tribal Council Resolutions, declarations, or letters of commitment as part of the Statement of Commitment and Cost Sharing File.</li> </ul> </li> </ul> </li> </ul>

**5. WORKPLAN (REQUIRED)**

The Workplan **may not be more than 5 pages**, must include all the information in the table below, must include the information described in the Appendix C format, and must be submitted in Microsoft Word format. The Workplan must conform to the following content and form requirements, including maximum page lengths. **If Applicants exceed the maximum page length, DOE will review only the authorized number of pages and disregard any additional pages.** The Workplan must address the Merit Review Criteria as discussed in Section V.A.2 of the FOA. Save the Workplan in a single Microsoft Word file using the following convention for the title: "ControlNumber\_LeadOrganization\_Workplan". See Appendix C for the format and examples.

SECTION/PAGE LIMIT	DESCRIPTION
<p><b>Workplan</b> <b>(Maximum of 5 pages including a Milestone Table and Project Schedule)</b></p>	<p>The Workplan should contain the following information:</p> <ul style="list-style-type: none"> <li>• Project Objectives: The Applicant should provide a clear and concise (high-level) statement of the goals and objectives of the project as well as the expected outcomes.</li> </ul>

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SECTION/PAGE LIMIT	DESCRIPTION
	<ul style="list-style-type: none"> <li>Project Summary: The Applicant should provide a summary description of the overall work scope and approach to achieve the objective(s). The Applicant should describe the specific expected outcomes (measurable results or end-products).</li> </ul> <p><b>Note:</b> As the Workplan is a stand-alone document, the project objectives and project summary may duplicate some of the information provided in the Project Overview or Project Description and Outcomes sections of the Technical Volume.</p> <ul style="list-style-type: none"> <li>Work Breakdown Structure (WBS) and Narrative Task Descriptions: The Workplan should fully describe the work to be accomplished and how the Applicant will achieve the milestones, will accomplish the final project goal(s), and will produce all deliverables. The Workplan is to be structured with a hierarchy of performance period (approximately annual), task and subtasks, which is typical of a standard work breakdown structure (WBS) for any project (see Appendix D for an example). <b>The Workplan shall contain a concise detailed narrative description of the specific activities to be conducted over the life of the project.</b> “Detailed” is defined as a full explanation and disclosure of the project being proposed (i.e., a statement such as “we will then complete a proprietary process” is unacceptable). It is the Applicant’s responsibility to prepare an adequately detailed task plan to describe the proposed project and the plan for addressing the objectives of this FOA. To this end, each task and subtask is to have a unique number and title and an indication of the duration of the task or subtask in months. Each task and subtask is to have a narrative task summary that describes the objectives, what work is to be accomplished, and relationship to project deliverables or expected results. Appropriate milestones should be incorporated into the task and subtask structure. Each task and subtask is to have a details section, as appropriate, to discuss how the work will be done, anticipated problems or uncertainties, and any further clarification, such as why a specific approach is being taken. An example Work Breakdown Structure is provided in Appendix D.</li> <li>Milestones: The Applicant should provide appropriate milestones throughout the project to demonstrate success, where success is defined as technical achievement rather than simply completing a task. To ensure that milestones are relevant, Applicants should follow the SMART rule of thumb, which is that all milestones should be <b>S</b>pecific, <b>M</b>easurable, <b>A</b>chievable, <b>R</b>elevant, and <b>T</b>imely. The Applicant should also provide the means by which the milestone will be verified. In addition to describing milestones in the Workplan text and including them in the schedule, the Applicant is required to complete the Milestone Summary Table included in Appendix D.</li> <li>Project Management: The Applicant should discuss the team’s proposed management plan, including the following:</li> </ul>

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SECTION/PAGE LIMIT	DESCRIPTION
	<ul style="list-style-type: none"> <li>○ The overall approach to and organization for managing the work</li> <li>○ The roles of each Project Team member</li> <li>○ Any critical handoffs/interdependencies among Project Team members</li> <li>○ The technical and management aspects of the management plan, including systems and practices, such as financial and project management practices</li> <li>○ The approach to project risk management</li> <li>○ A description of how project changes will be handled</li> <li>○ If applicable, the approach to Quality Assurance/Control</li> <li>○ How communications will be maintained among Project Team members</li> </ul> <ul style="list-style-type: none"> <li>● Project Schedule and Milestones: The Applicant should provide a detailed schedule (by month) for the entire project, including task and subtask durations, and milestones. See Appendix C for samples.</li> </ul>

**6. GRAPHICS FILE (OPTIONAL)**

Supply any graphics or other information to supplement the Technical Volume including maps, photographs, past studies, reports, or any supplemental data or other visuals. Save this information in a single PDF file titled "ControlNumber\_LeadOrganization\_MapsResources".

**8. STATEMENT OF COMMITMENT AND COST SHARING FILE (REQUIRED)**

A Statement of Commitment by the Applicant and all other project participants (excluding vendors) is required as part of the application. For Indian Tribes, that Statement of Commitment must be in the form of a Tribal Council Resolution. For Tribal Energy Resource Development Organizations, Alaska Native Regional Corporations, or village corporations, or any other project participants, the Statement of Commitments may be in the form of a declaration, resolution or letter by an authorized representative able to commit the entity.

**All Tribal Council Resolution(s), declarations, resolutions, and letters of commitment must be specific to this Funding Opportunity Announcement and include a statement of the level and type of cost share commitments. Failure to submit the appropriate Tribal Council Resolution(s), declarations, resolutions, and letters of commitment with your application may result in your application not being reviewed or considered.**

Statements of Commitment by Applicants must:

- 1) Authorize the submittal of the application;
- 2) Commit to the proposed project;

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- 3) Identify the amount and source of cost share; and
- 4) Include a statement of commitment for the requisite cost share (see below).

**Letters of support by anyone not participating in the proposed project are not required or desired, and should not be provided as part of the application.**

The Statements of Commitment by any entity contributing cost share must include statements of cost share commitment. Statements of cost share commitment should include a detailed estimate of the cash value (basis of and the nature of) of all contributions to the project by project participants.

Note that "Cost Sharing" is not limited to cash investment. In-kind contributions (e.g., contribution of time, services, or property; donated equipment, buildings, or land; donated supplies; or unrecovered indirect costs) incurred as part of the project may be considered as all or part of the cost share. Only cost share contributions made during the period of performance of the grant can be considered.

The "Cost Sharing" definition is contained in 2 CFR 200.306 as amended by 2 CFR 910.130, and OMB Circular A-110. Foregone fee or profit by the Applicant shall not be considered Cost Sharing under any resulting award.

Reimbursement of actual costs will only include those costs that are reasonable, allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in FAR Part 31 for For-Profit entities; and 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.

See Section III.B and Appendix B for additional information on Cost Share. Save this information in a single PDF file titled "ControlNumber\_LeadOrganization\_Commitments".

#### **9. SUBCONTRACT PLAN FILE (OPTIONAL)**

A Subcontract Plan is required if project participants (i.e., consultants, contractors, or vendors) have not been selected. The Subcontract Plan should include a description of the selection process to be employed, statement of work, and criteria to be used for selection. The Subcontract Plan may be supplemented by excerpts of the Applicant's procurement policy and procedures document. Any project participants not competitively selected must be approved by DOE. Save this information in a single file titled "ControlNumber\_LeadOrganization\_SubcontractPlan".





### **10. RESUME FILE (REQUIRED)**

Provide a resume for each key person proposed (Technical Contact, Business Contact, tribal staff, consultants, subcontractor representatives, etc.) as part of the project. A key person is any individual who contributes in a substantive, measurable way to the execution of the project. Save all resumes in a single file titled "ControlNumber\_LeadOrganization\_Resume".

**Each resume must not exceed 2 pages** when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right), single spaced, with font not smaller than 11.

### **11. BUDGET JUSTIFICATION WORKBOOK IE 335 (REQUIRED)**

Applicants are required to complete the Budget Justification Workbook. This form is available on EERE Exchange at <https://eere-Exchange.energy.gov/>. Recipients must complete the summary and each tab of the Budget Justification Workbook for the project as a whole (**all project costs regardless of whether requested from DOE or proposed as cost share**), including all work to be performed by the Recipient (if an award is made), its subrecipients, contractors, and vendors, and provide all requested documentation (e.g., a Federally-approved forward pricing rate agreement, Defense Contract Audit Agency or Government Audits and Reports, if available) as part of the Budget Support file (see below). Applicants should include costs associated with required annual audits and incurred costs proposals in their proposed budget documents.

The "Instructions and Summary" and the "Budget Information - Non Construction Programs" (Standard form SF-424A) included as part of the Budget Justification Workbook will "auto-populate" as information is entered into the Workbook. Applicants must complete the header information and carefully read the "Instructions and Summary" tab provided within the Budget Justification Workbook. Save the Budget Justification Workbook in a single Microsoft Excel file using the following convention for the title "ControlNumber\_LeadOrganization\_Budget\_Justification".

### **12. SUBAWARD BUDGET JUSTIFICATION IE 335 (OPTIONAL)**

Applicants must also provide a separate budget justification, IE 335 for each subawardee (subrecipient or subcontractor, excluding vendors) that is expected to perform work estimated to be more than \$250,000 or 25 percent of the total work effort (whichever is less). The budget justification must include the same justification information described in the "Budget Justification" section, above. See Section IV.C.18, Budget Support, below for information needed for any selected vendors. Save each subaward budget justification in a Microsoft Excel file using the following convention for the title "ControlNumber\_LeadOrganization\_Subawardee\_Budget\_Justification".

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### **13. BUDGET SUPPORT (OPTIONAL)**

Include any additional supporting documentation such as an Indirect Rate Agreements, breakdown of fringe costs, vendor quotes (required for any vendor whose costs exceed \$250,000), or other relevant supplemental budget information. Save this information in a single PDF file titled "ControlNumber\_LeadOrganization\_Budget\_Support".

### **14. SF-LLL: DISCLOSURE OF LOBBYING ACTIVITIES (REQUIRED)**

Recipients and Subrecipients may not use any Federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters.

All Applicants are required to complete and submit SF-LLL, "Disclosure of Lobbying Activities" (<http://www.whitehouse.gov/sites/default/files/omb/grants/sflllin.pdf>) and disclose if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence any of the following in connection with your application:

- An officer or employee of any Federal agency;
- A Member of Congress;
- An officer or employee of Congress; or
- An employee of a Member of Congress.

If no non-Federal funds have been paid or will be paid to any person, indicate "none" on the form. Save the SF-LLL in a single PDF file using the following convention for the title "ControlNumber\_LeadOrganization\_SF-LLL".

### **15. WAIVER REQUESTS: PERFORMANCE OF WORK IN THE UNITED STATES**

All work under DOE funding agreements must be performed in the United States. This requirement does not apply to the purchase of supplies and equipment, so a waiver would not be required for foreign purchases of these items. Section IV.1.3 lists the necessary information that must be included in a request to waive the Performance of Work in the United States requirement.

## **B. POST-AWARD INFORMATION REQUESTS**

If selected for award, DOE reserves the right to request additional or clarifying information for any reason deemed necessary, including but not limited to:

- Indirect cost information
- Other budget information

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- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Representation of Limited Rights Data and Restricted Software, if applicable
- Accounting System and Financial Systems Information
- Environmental Questionnaire

### **C. DUN AND BRADSTREET UNIVERSAL NUMBERING SYSTEM NUMBER AND SYSTEM FOR AWARD MANAGEMENT**

Each Applicant (unless the Applicant is an individual or Federal awarding agency that is excepted from those requirements under 2 CFR §25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR §25.110(d)) is required to: (i) Be registered in the System for Award Management (SAM) at <https://www.sam.gov> before submitting its application; (ii) provide a valid Dun and Bradstreet Universal Numbering System (DUNS) number in its application; and (iii) continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency. DOE may not make a Federal award to an Applicant until the Applicant has complied with all applicable DUNS and SAM requirements and, if an Applicant has not fully complied with the requirements by the time DOE is ready to make a Federal award, the DOE may determine that the Applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another Applicant.

### **F. SUBMISSION DATES AND TIMES**

Applications must be submitted no later than 5p.m. Eastern on the date specified on the cover page of this FOA.

### **G. INTERGOVERNMENTAL REVIEW**

This FOA is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

### **H. FUNDING RESTRICTIONS**

#### **1. ALLOWABLE COSTS**

All expenditures must be allowable, allocable, and reasonable in accordance with the applicable Federal cost principles.

Refer to the following applicable Federal cost principles for more information:

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- FAR Part 31 for For-Profit entities; and
- 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.

## 2. *PRE-AWARD COSTS*

Selectees may not incur pre-award costs without prior approval of DOE. Pre-award costs are those incurred prior to the effective date of the Federal award directly pursuant to the negotiation and in anticipation of the Federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are allowable **only** to the extent that they would have been allowable if incurred after the date of the Federal award and **only** with the written approval of the Federal awarding agency, through the Contracting Officer assigned to the award.

Pre-award costs cannot be incurred prior to the Selection Official making selections.

All pre-award expenditures are made at the Selectee's risk; DOE is not obligated to reimburse costs: (1) in the absence of appropriations; (2) if an award is not made; or (3) if an award is made for a lesser amount than the Selectee anticipated. All costs must be allowable, allocable, and reasonable in accordance with the applicable cost principles (For for-profit entities, FAR Part 31; 2 CFR Part 200 Subpart E - Cost Principles, for all other non-federal entities).

### *i. Pre-Award Costs Related to National Environmental Policy Act (NEPA) Requirements*

DOE's decision whether and how to distribute federal funds under this FOA is subject to NEPA. Applicants should carefully consider and should seek legal counsel or other expert advice before taking any action related to the proposed project that would have an adverse effect on the environment or limit the choice of reasonable alternatives prior to DOE completing the NEPA review process.

DOE does not guarantee or assume any obligation to reimburse costs where the Applicant incurred the costs prior to receiving written authorization from the Contracting Officer. If the Applicant elects to undertake activities that may have an adverse effect on the environment or limit the choice of reasonable alternatives prior to receiving such written authorization from the Contracting Officer, the Applicant is doing so at risk of not receiving Federal funding and such costs may not be recognized as allowable cost share.

Likewise, if a project is selected for negotiation of award, and the Selectee elects to undertake activities that are not authorized for Federal funding by the Contracting Officer in advance of



DOE completing a NEPA review, the Selectee is doing so at risk of not receiving Federal Funding and such costs may not be recognized as allowable cost share.

Nothing contained in the pre-award cost reimbursement regulations or any pre-award costs approval letter from the Contracting Officer override these NEPA requirements to obtain the written authorization from the Contracting Officer prior to taking any action that may have an adverse effect on the environment or limit the choice of reasonable alternatives.

### **3. PERFORMANCE OF WORK IN THE UNITED STATES**

#### **a. Requirement.**

All work performed under DOE awards must be performed in the United States. This requirement does not apply to the purchase of supplies and equipment; however, the Recipient should make every effort to purchase supplies and equipment within the United States. The Recipient must flow down this requirement to its subrecipients.

#### **b. Failure to Comply.**

If the Recipient fails to comply with the Performance of Work in the United States requirement, DOE may deny reimbursement for the work conducted outside the United States and such costs may not be recognized as allowable Recipient cost share. The Recipient is responsible should any work under this award be performed outside the United States, absent a waiver, regardless of if the work is performed by the Recipient, subrecipients, vendors or other project partners.

#### **c. Waiver.**

There may be limited circumstances where it is in the interest of the project to perform a portion of the work outside the United States. To seek a waiver of the Performance of Work in the United States requirement, the Recipient must submit a written waiver request to DOE, which includes the following information:

- The countries in which the work is proposed to be performed;
- A description of the work to be proposed to be performed outside the U.S.;
- Proposed budget of work to be performed; and
- The rationale for performing the work outside the U.S.

For the rationale, the Applicant must demonstrate to the satisfaction of DOE that a waiver would further the purposes of the FOA that the award was selected under and is otherwise in the interests of DOE and the United States.

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For the rationale, please address, as applicable:

- The associated benefits to be realized and the contribution to the project from the foreign work;
- How the foreign work will benefit U.S. research, development and manufacturing, including contributions to employment in the U.S. and growth in new markets and jobs in the U.S.;
- How the foreign work will promote domestic American manufacturing of products and/or services;
- Evidence that there will be no significant infringement upon or unfair competition with American-owned companies by including foreign work;
- A description of the plan to ensure adequate and effective protection of the IP rights;
- How the foreign work or participation is essential to the project;

DOE may require additional information before considering a waiver request. The Applicant does not have the right to appeal DOE's decision concerning a waiver request.

Save the waiver request(s) in a single PDF file titled "ControlNumber\_PerformanceofWork\_Waiver".

#### **4. CONSTRUCTION**

DOE generally does not fund projects that involve major construction (i.e., construction of new buildings, major renovations, or additions to existing buildings). Note that installation of energy efficiency and/or clean systems is not considered major construction. Recipients are required to obtain written authorization from the Contracting Officer before incurring any major construction costs.

#### **5. FOREIGN TRAVEL**

Foreign travel will not be considered as part of projects selected under this FOA.

#### **6. LOBBYING**

Recipients and Subrecipients may not use any Federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters.

All Applicants are required to complete and submit SF-LLL, "Disclosure of Lobbying Activities" (<http://www.whitehouse.gov/sites/default/files/omb/grants/sflllin.pdf>) and disclose if any non-

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Federal funds have been paid or will be paid to any person for influencing or attempting to influence any of the following in connection with your application:

- An officer or employee of any Federal agency;
- A Member of Congress;
- An officer or employee of Congress; or
- An employee of a Member of Congress.

If no non-Federal funds have been paid or will be paid to any person, indicate “none” on the form. See Section IV.C.21.

### **8. RISK ASSESSMENT**

Prior to making a Federal award, the DOE is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information, such as SAM Exclusions and “Do Not Pay”.

In addition, DOE evaluates the risk(s) posed by Applicants before they receive Federal awards. This evaluation may consider: results of the evaluation of the Applicant's eligibility; the quality of the application; financial stability; quality of management systems and ability to meet the management standards prescribed in this part; history of performance; reports and findings from audits; and the Applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.

In addition to this review, DOE must comply with the guidelines on government-wide suspension and debarment in 2 CFR part 180, and must require non-Federal entities to comply with these provisions. These provisions restrict Federal awards, subawards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

## **V. APPLICATION REVIEW INFORMATION**

### **A. TECHNICAL REVIEW CRITERIA**

Applications under all six (6) Topic Areas will be evaluated against the merit review criteria shown below. The sub-criteria under each criterion are of equal weight, unless otherwise specified.

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**Criterion 1: Goals and Objectives (20%)**

- Clarity and completeness of the Executive Summary including:
  - Concise overview of the proposed project;
  - Clarity of the description of the Applicant (Indian Tribe (including Alaska Native Regional Corporation and Village Corporation) or Tribal Energy Resource Development Organization), including the:
    - long-term energy goals and/or vision,
    - organizational structure, and
    - demographics; and,
  - Completeness of the discussion of the project goals and objectives, and how the project integrates into the vision and long-term goals of the Applicant.
- Extent to which the proposed project provides benefits to the Indian Tribe(s), Tribal Energy Resource Development Organization and/or tribal members.
- Soundness of the discussion of the need for and impact of DOE funding to the proposed project and the implications if not funded.

**Criterion 2: Project Description and Outcomes (30%)**

- Clarity and completeness of the detailed project description, including
  - Relevance of the proposed project to the goals and objectives of the FOA, those of the Applicant, and the specific need or goal the proposed effort is intended to address.
  - Soundness of the detailed description of the proposed project.
  - Clarity and completeness of the discussion of previous work done, prior results, or other relevant background information.
  - Soundness of the discussion of any barriers or obstacles that could impede the project and description of plans to overcome those barriers or obstacles.
- The value of the specific expected outcomes (measurable results or end-products) of the proposed project.

**Criterion 3: Roles, Responsibilities, Capabilities and Commitment (30%)**

- Soundness of the project management approach, including:
  - Organizational and individual roles and responsibilities;
  - Organizational relationships as evidenced by existing business or other agreements, if applicable.

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- Capabilities of the Applicant and participants to comprehensively address all aspects of the proposed project, including the reasonableness of any plan to obtain qualified consultants, contractors, or vendors.
- Demonstrated level of commitment of the Applicant and each participating organization as evidenced by:
  - (1) Past energy-related efforts; and,
  - (2) Commitments to the proposed project as evidenced by Letters of Commitment.

#### **Criterion 4: Workplan (20%)**

- Clarity and completeness of the narrative description of each activity necessary to complete the project; and
- Likelihood of achieving project objectives through logical task structure.

### **B. STANDARDS FOR APPLICATION EVALUATION**

Applications that are determined to be eligible will be evaluated in accordance with this FOA, by the standards set forth in DOE's Notice of Objective Merit Review Procedure (76 Fed. Reg. 17846, March 31, 2011) and the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance," which is available at:  
<http://energy.gov/sites/prod/files/PF2013-38a.pdf>.

### **C. OTHER SELECTION FACTORS**

#### **1. PROGRAM POLICY FACTORS**

In addition to the above criteria, the Selection Official may consider the following program policy factors in determining which applications to select for award negotiations:

- The degree to which the proposed project, including proposed cost shares, optimizes the use of available DOE funding to achieve programmatic objectives;
- Geographic diversity;
- Diversity across topic areas;
- Whether the proposed project will advance the goals of the Climate Action Champion program, as committed to by the designated Champion pursuant to its designation agreement. The Climate Action Champion program goals include improving climate resilience and reducing greenhouse gas emissions.
- Whether the proposed project will advance the goals of the Promise Zone Initiative which partners with high-poverty communities to develop job training for 21st century

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industries; improve educational opportunities; increase access to safe, affordable housing; and promote community safety.

Note: The Climate Action Champion initiative program policy factor is only applicable to (1) projects proposed by Climate Action Champions<sup>1</sup> as designated under DOE's Request for Applications DE-FOA-0001189; (2) projects proposed by a member of a regional collaboration or consortium designated as a Champion; and (3) projects proposed in a Climate Action Champion community where the Applicant submits a letter from the Champion confirming the proposed project would further the Champion's goals under the Climate Action Champion initiative. If an Applicant is seeking to receive consideration under (3), the Applicant must contact the applicable Champion to obtain a letter of support.

Note: The Promise Zone Initiative program policy factor is only applicable to (1) Indian Tribes designated under the program<sup>2</sup> and (2) projects proposed in a designated Indian Tribe community where the Applicant submits a letter from the designee confirming that the proposed project would further goals under the Promise Zone initiative.

## D. EVALUATION AND SELECTION PROCESS

### 1. OVERVIEW

The evaluation process consists of multiple reviews including an initial eligibility review and a thorough technical review. Rigorous technical reviews are conducted by reviewers that are experts in the subject matter of the FOA. Ultimately, the Selection Official considers the recommendations of the reviewers, along with other considerations such as program policy factors, in determining which applications to select for negotiation toward an award.

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<sup>1</sup> In recognition of the importance of the dual policy goals of reducing greenhouse gas emissions and enhancing climate resilience, the U.S. Department of Energy (DOE) – in close collaboration with other Federal agencies – launched the Climate Action Champion initiative to identify and showcase U.S. local and tribal governments that have proven to be climate leaders through pursuing opportunities to advance both of these goals in their communities. Recently, DOE selected sixteen (16) U.S. local governments and tribal governments – or regional collaborations or consortia thereof – that demonstrated a strong and ongoing commitment to implementing strategies that both reduce greenhouse gas emissions and enhance climate resilience, with a particular emphasis on strategies that further both goals. Specifically, Champions eligible under this specific FOA are: (1) Blue Lake Rancheria Tribe (CA); and (2) the Sault Ste. Marie Tribe of Chippewa Indians (MI).

<http://www.whitehouse.gov/blog/2014/12/03/announcing-first-class-climate-action-champions>

<sup>2</sup> In recognition of the U.S. Department of Agriculture (USDA), U.S. Department of Housing and Urban Development (HUD) and the White House's Promise Zone Initiative, which pairs Federal government partners with local leaders to streamline resources across agencies and deliver comprehensive support. Specifically, designees eligible include: (1) Spokane Tribe of Indians, Washington, (2) Turtle Mountain Band of Chippewa Indians, Rolette County, North Dakota, (3) The Choctaw Nation of Oklahoma, and (4) Pine Ridge Indian Reservation of the Oglala Sioux Tribe, South Dakota. <http://www.usda.gov/wps/portal/usda/usdahome?navid=promisezones>

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## **2. PRE-SELECTION CLARIFICATION**

DOE may determine that pre-selection clarifications are necessary from one or more Applicants. These pre-selection clarifications will solely be for the purposes of clarifying the application, and will be limited to information already provided in the application documentation. The pre-selection clarifications may occur before, during or after the evaluation process. Information provided by an Applicant that is not necessary to address the pre-selection clarification question will not be reviewed or considered. Typically, a pre-selection clarification will be carried out through either written responses to DOE's written clarification questions or video or conference calls with DOE representatives.

The information provided by Applicants to DOE through pre-selection clarifications is incorporated in their applications and contributes to the evaluation and DOE's selection decisions. If DOE contacts an Applicant for pre-selection clarification purposes, it does not signify that the Applicant has been selected for negotiation toward an award or that the Applicant is among the top ranked applications.

DOE will not reimburse Applicants for expenses relating to the pre-selection clarifications, nor will these costs be eligible for reimbursement as pre-award costs.

## **3. SELECTION**

The Selection Official may consider the technical merit, the Federal Consensus Board's recommendations, program policy factors, and the amount of funds available in arriving at selections for this FOA.

### **E. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES**

DOE anticipates notifying Applicants selected for negotiation of award on the date specified on the cover page of this FOA and making awards approximately 90 days after receipt of any requested supplemental information.

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## VI. AWARD ADMINISTRATION INFORMATION

### A. AWARD NOTICES

#### 1. *INELIGIBLE SUBMISSIONS*

Ineligible applications will not be reviewed or considered for award. If determined ineligible, the Contracting Officer will send a notification letter by email to the technical and administrative points of contact designated by the Applicant in EERE Exchange. The notification letter will state the basis upon which the application is ineligible and not considered for further review.

#### 2. *APPLICATION NOTIFICATIONS*

DOE will notify all Applicants of applications deemed eligible of its determination via a notification letter by email to the technical and administrative points of contact designated by the Applicant in EERE Exchange. The notification letter will inform the Applicant that its application was selected for award negotiations, or not selected for award. Alternatively, DOE may notify one or more Applicants that a final selection determination on particular applications may be made at a later date, subject to the availability of funds or other factors.

Written feedback on all applications not deemed ineligible, will also be provided at the time of notification.

#### 3. *SUCCESSFUL APPLICANTS*

Receipt of a notification letter selecting an application for award negotiations does not authorize the Applicant to commence performance of the project. If an application is selected for award negotiations, it is not a commitment on DOE to issue an award. Applicants do not receive an award until award negotiations are complete and the Contracting Officer executes the funding agreement, accessible to the Recipient in FedConnect.

The award negotiation process is estimated to take approximately 90 days. The Applicant must be responsive during award negotiations (e.g., provide requested documentation) and meet the negotiation deadlines. If the Applicant fails to do so or negotiations are otherwise unsuccessful, DOE may cancel award negotiations and rescind the Selection. DOE reserves the right to terminate award negotiations at any time for any reason.

Please refer to Section IV.I.2 of the FOA for guidance on pre-award costs.

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#### **4. POSTPONED SELECTION DETERMINATIONS**

A notification letter postponing a final selection determination until a later date does not authorize the Applicant to commence performance of the project As DOE may ultimately decide to not select the application for award negotiations.

#### **5. ALTERNATE SELECTION DETERMINATIONS**

In some instances, an Applicant may receive a notification that its application was not selected for award and DOE designated the application to be an alternate. As an alternate, DOE may consider the application for Federal funding in the future. A notification letter stating the application is designated as an alternate does not authorize the Applicant to commence performance of the project. DOE may ultimately determine to select or not select the Full application for award negotiations.

#### **6. UNSUCCESSFUL APPLICANTS**

DOE shall notify in writing each Applicant whose application has not been selected for award or whose application cannot be funded because of the unavailability of appropriated funds. If the application was not selected, the written notice shall explain why the application was not selected.

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

#### **1. REGISTRATION REQUIREMENTS**

There are several one-time actions required before submitting an application in response to this Funding Opportunity Announcement (FOA), and it is vital that Applicants address these items as soon as possible as some actions may take several weeks, and **failure to complete them could interfere with an Applicant's ability to apply to this FOA, or to meet the negotiation deadlines and receive an award if the application is selected for negotiation of award.**

These requirements are as follows:

##### *i. EERE Exchange*

Register and create an account on EERE Exchange at <https://eere-Exchange.energy.gov>. This account will then allow the user to register for any open EERE FOAs that are currently in EERE Exchange. It is recommended that each organization or business unit, whether acting as a team or a single entity, use only one account as the contact point for each submission.

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Applicants should also designate backup points of contact so Applicants may be easily contacted if deemed necessary. **This step is required to apply to this FOA.**

**A control number will be assigned while registering in EERE Exchange. Retain this number as it will be used as an identifier and required on all application documents.**

The EERE Exchange registration does not have a delay; however, **the remaining registration requirements below could take several weeks to process and are necessary for a potential Applicant to receive an award under this FOA.** Therefore, although not required in order to submit an application through the EERE Exchange site, all potential Applicants lacking a DUNS number, or not yet registered with SAM or FedConnect should complete those registrations as soon as possible.

*ii. DUNS Number*

Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number (including the plus 4 extension, if applicable) at <http://fedgov.dnb.com/webform>. DUNS Number assignment is FREE for all entities required to register with the US Federal government for contracts or grants.

*iii. System for Award Management*

Register with the System for Award Management (SAM) at <https://www.sam.gov>. Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in SAM registration. SAM registration must be updated annually.

*iv. FedConnect*

Register in FedConnect at <https://www.fedconnect.net>. To create an organization account, your organization's SAM MPIN (see above) is required. For more information about the SAM MPIN or other registration requirements, review the FedConnect Ready, Set, Go! Guide at [https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf).

*v. Grants.gov*

Register in Grants.gov (<http://www.grants.gov>) to receive automatic updates when Amendments to this FOA are posted. **However, please note that applications will not be accepted through Grants.gov. Applications will only be accepted in EERE Exchange.**

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*vi. Electronic Authorization of Applications and Award Documents*

Submission of an application, acceptance of an award, and submittal of supplemental information under this FOA through electronic systems used by DOE, including EERE Exchange and fedconnect.net, constitutes the authorized representative's approval and electronic signature.

**2. AWARD ADMINISTRATIVE REQUIREMENTS**

The administrative requirements for DOE Grants and Cooperative Agreements are contained in 2 CFR Part 200 as amended by 2 CFR Part 910.

**3. FOREIGN NATIONAL ACCESS TO DOE SITES**

All Applicants that ultimately enter into an award resulting from this FOA will be subject to the following requirement concerning foreign national involvement. Upon DOE's request, Recipients must provide information to facilitate DOE's responsibilities associated with foreign national access to DOE sites, information, technologies, and equipment. Foreign national is defined as any person who was born outside the jurisdiction of the United States, is a citizen of a foreign government, and has not been naturalized under U.S. law. If the Recipient or subrecipients, contractors or vendors under the award, anticipate utilizing a foreign national person in the performance of an award, the Recipient is responsible for providing to the Contracting Officer specific information of the foreign national(s) to satisfy compliance with all of the requirements for access approval.

**4. SUBAWARD AND EXECUTIVE REPORTING**

Additional administrative requirements necessary for DOE Grants and Cooperative Agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR Part 170. Recipients must register with the new FFATA Subaward Reporting System database and report the required data on their first tier Subrecipients. Recipients must report the executive compensation for their own executives as part of their registration profile in SAM.

**5. NATIONAL POLICY REQUIREMENTS**

The National Policy Assurances that are incorporated as a term and condition of award are located at: <http://energy.gov/management/downloads/national-policy-assurances-be-incorporated-award-terms>. By signing and submitting the application for Financial Assistance (SF-424), the Applicant is providing the required assurances and agreeing to comply with the resulting terms if an award is made.

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## 6. ENVIRONMENTAL REVIEW IN ACCORDANCE WITH THE NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)

DOE's decision whether and how to distribute federal funds under this FOA is subject to the National Environmental Policy Act (42 USC 4321, *et seq.*). NEPA requires Federal agencies to integrate environmental values into their decision-making processes by considering the potential environmental impacts of their proposed actions. For additional background on NEPA, please see DOE's NEPA website, at <http://energy.gov/nepa>.

While NEPA compliance is a Federal agency responsibility and the ultimate decisions remain with the Federal agency, all Applicants selected for an award will be required to assist in the timely and effectively completion of the NEPA process in the manner most pertinent to their proposed project. If DOE determines certain records must be prepared to complete the NEPA review process (e.g., biological evaluations or environmental assessments), the costs to prepare the necessary records can be included as part of the proposed project budget.

## 7. APPLICANT REPRESENTATIONS AND CERTIFICATIONS

### *i. Lobbying Restrictions*

By accepting funds under this award, the Recipient agrees that none of the funds obligated on the award shall be expended, directly or indirectly, to influence Congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. §1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

### *ii. Corporate Felony Conviction and Federal Tax Liability Representations (March 2014)*

By submitting an application in response to this FOA, the Applicant represents that:

- (1) It is **not** a corporation that has been convicted of a felony criminal violation under any Federal law within the preceding 24 months,
- (2) It is **not** a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations the following definitions apply:

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A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

*iii. Nondisclosure and Confidentiality Agreements Representations*

In submitting an application in response to this FOA the Applicant represents that:

- (1) It **does not and will not** require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.
- (2) It **does not and will not** use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:
  - a. *“These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.”*
  - b. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.
  - c. Notwithstanding provision listed in paragraph (a), a nondisclosure or confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the



particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosures to Congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

#### **8. STATEMENT OF FEDERAL STEWARDSHIP**

DOE will exercise normal federal stewardship in overseeing the project activities performed under DOE awards. Stewardship activities include, but are not limited to, conducting site visits; reviewing performance and financial reports, providing assistance and/or temporary intervention in usual circumstances to correct deficiencies that develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the project objectives have been accomplished.

#### **9. INTELLECTUAL PROPERTY PROVISIONS**

The standard DOE financial assistance intellectual property provisions applicable to the various types of Recipients are located at <http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>.

#### **10. REPORTING**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to an award agreement. A sample checklist can be accessed at [http://energy.gov/sites/prod/files/2013/05/f0/Attch\\_FA\\_RepReqChecklist\\_COMBINED\\_FINAL\\_4-23-13%20%283%29\\_0.pdf](http://energy.gov/sites/prod/files/2013/05/f0/Attch_FA_RepReqChecklist_COMBINED_FINAL_4-23-13%20%283%29_0.pdf).

#### **11. CONFERENCE SPENDING**

The Recipient shall not expend **any** funds on a conference not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded that would defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the United States Government would otherwise exceed \$20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

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## VII. QUESTIONS/AGENCY CONTACTS

Upon the issuance of a FOA, DOE personnel are prohibited from communicating (in writing or otherwise) with Applicants regarding the FOA except through the established question and answer process as described below. Specifically, questions regarding the content of this FOA must be submitted to: [tribal@ee.doe.gov](mailto:tribal@ee.doe.gov) not later than 3 business days prior to the application due date.

All questions and answers related to this FOA will be posted on EERE Exchange at: <https://eere-exchange.energy.gov>. **Please note that in order to view questions specific to this FOA you must first select this specific FOA Number and then “Frequently Asked Questions (FAQS).** DOE will attempt to respond to a question within 3 business days, unless a similar question and answer has already been posted on EERE Exchange.

Questions related to the registration process and use of the EERE Exchange website **must** be submitted to: [EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov) as DOE is unable to assist with EERE Exchange issues. For general questions, see Questions and Answers at <https://eere-exchange.energy.gov/FAQ.aspx>.

## VIII. OTHER INFORMATION

### A. FOA MODIFICATIONS

Amendments to this FOA will be posted on the EERE Exchange website and the Grants.gov system. **However, you will only receive an email when an amendment is posted on these sites if you register for email notifications for this FOA in Grants.gov.** DOE recommends that you register as soon after the release of the FOA as possible to ensure you receive timely notice of any amendments or other FOAs.

### B. INFORMATIONAL WEBINAR

DOE will conduct one informational webinar during the FOA process. It will be held after the initial FOA release but before the due date for applications. Specifically, the webinar will be held on the date specified on the cover page of this FOA. See EERE Exchange for any updates or how to register for the webinar.

The purpose of this webinar is to cover the basic aspects of the Funding Opportunity Announcement and highlighting essential details about the application process. Attendance is

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not mandatory and will not positively or negatively impact the overall review of any Applicant submissions.

### **C. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE**

DOE reserves the right, without qualification, to reject any or all applications received in response to this FOA and to select any application, in whole or in part, as a basis for negotiation and/or award.

### **D. COMMITMENT OF PUBLIC FUNDS**

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by anyone other than the Contracting Officer, either expressly or implied, is invalid.

### **E. TREATMENT OF APPLICATION INFORMATION**

In general, DOE will use data and other information contained in applications for evaluation purposes only unless such information is generally available to the public or is already the property of the Government.

Applicants should not include trade secrets or commercial or financial information that is privileged or confidential in their application unless such information is necessary to convey an understanding of the proposed project or to comply with a requirement in the FOA. Applications containing trade secrets or commercial or financial information that is privileged or confidential, which the Applicant does not want disclosed to the public or used by the Government for any purpose other than application evaluation, must be marked as described in this section.

The cover sheet of the application must be marked as follows and identify the specific pages containing trade secrets or commercial or financial information that is privileged or confidential:

Notice of Restriction on Disclosure and Use of Data:  
*Pages [list applicable pages] of this document may contain trade secrets or commercial or financial information that is privileged or confidential, and is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan agreement between the submitter and the Government. The Government may use or disclose any information that is*

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*not appropriately marked or otherwise restricted, regardless of source.*  
[End of Notice]

The header and footer of every page that contains trade secrets or commercial or financial information that is privileged must be marked as follows: *“May contain trade secrets or commercial or financial information that is privileged or confidential and exempt from public disclosure.”*

In addition, each line or paragraph containing trade secrets or commercial or financial information that is privileged or confidential must be enclosed in brackets.

The above markings enable DOE to follow the provisions of 10 CFR 1004.11(d) in the event a Freedom of Information Act (FOIA) request is received for information submitted with an application. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under a FOIA request or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information, and may use or disclose such information for any purpose.

Subject to the specific FOIA exemptions identified in 5 U.S.C. 552(b), all information submitted to DOE by a FOA Applicant is subject to public release under the Freedom of Information Act, 5 U.S.C. §552, as amended by the OPEN Government Act of 2007, Pub. L. No. 110-175. It is the Applicant’s responsibility to review FOIA and its exemptions to understand (1) what information may be subject to public disclosure and (2) what information Applicants submit to the Government that are protected by law. In some cases, DOE may be unable to make an independent determination regarding which information submitted by an Applicant is releasable and which is protected by an exemption. In such cases, DOE will consult with the Applicant, in accordance with 10 C.F.R. §1004.11, to solicit the Applicant’s views on how the information should be treated.

## **F. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL**

In conducting application evaluations, the Government may seek the advice of qualified non-federal personnel as reviewers. The Government may also use non-federal personnel to conduct routine, nondiscretionary administrative activities. The Applicant, by submitting its application, consents to the use of non-federal reviewers/administrators. Non-federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-federal personnel conducting administrative activities must sign a non-disclosure agreement.

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## **G. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES**

Eligible activities under this FOA include those which promote the understanding and deployment of clean energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

## **H. NOTICE OF RIGHT TO CONDUCT A REVIEW OF FINANCIAL CAPABILITY**

DOE reserves the right to conduct an independent third party review of financial capability for Applicants that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

## **I. NOTICE OF POTENTIAL DISCLOSURE UNDER FREEDOM OF INFORMATION ACT**

Applicants should be advised that identifying information regarding all Applicants, including Applicant names and/or points of contact, may be subject to public disclosure under the Freedom of Information Act, whether or not their application is selected for negotiation of award.

## **J. REQUIREMENT FOR FULL AND COMPLETE DISCLOSURE**

Applicants are required to make a full and complete disclosure of all information requested. Any failure to make a full and complete disclosure of the requested information may result in:

- The rejection of an application;
- The termination of award negotiations;
- The modification, suspension, and/or termination of a funding agreement;
- The initiation of debarment proceedings, debarment, and/or a declaration of ineligibility for receipt of Federal contracts, subcontracts, and financial assistance and benefits; and
- Civil and/or criminal penalties.

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## **K. RETENTION OF SUBMISSIONS**

DOE expects to retain copies of all applications and other submissions. No submissions will be returned. By applying to DOE for funding, Applicants consent to DOE's retention of their submissions.

## **L. RIGHTS IN TECHNICAL DATA**

Data rights differ based on whether data is first produced under an award or instead was developed at private expense outside the award.

“Limited Rights Data”: The U.S. Government will not normally require delivery of confidential or trade secret-type technical data developed solely at private expense prior to issuance of an award, except as necessary to monitor technical progress and evaluate the potential of proposed technologies to reach specific technical and cost metrics.

Government Rights in Technical Data Produced Under Awards: The U.S. Government retains unlimited rights in technical data produced under Government financial assistance awards, including the right to distribute to the public. One exception to the foregoing is that invention disclosures may be protected from public disclosure for a reasonable time in order to allow for filing a patent application.

## **M. COPYRIGHT**

The Recipient and subrecipients may assert copyright in copyrightable data, such as software, first produced under the award without DOE approval. When copyright is asserted, the Government retains a paid-up nonexclusive, irrevocable worldwide license to reproduce, prepare derivative works, distribute copies to the public, and to perform publicly and display publicly the copyrighted work. This license extends to contractors and others doing work on behalf of the Government.

## **N. PROTECTED PERSONALLY IDENTIFIABLE INFORMATION**

In responding to this FOA, Applicants must ensure that Protected Personally Identifiable Information (PII) is not included in the following documents: Project Abstract, Project Narrative, Biographical Sketches, Budget or Budget Justification. These documents will be used by the Merit Review Committee in the review process to evaluate each application. PII is defined by the Office of Management and Budget (OMB) and DOE as:

*Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and*

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*criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.*

This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

**Public PII:** PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.

**Protected PII:** PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

Listed below are examples of Protected PII that Applicants must not include in the files listed above to be evaluated by the Merit Review Committee.

- Social Security Numbers in any form
- Place of Birth associated with an individual
- Date of Birth associated with an individual
- Mother's maiden name associated with an individual
- Biometric record associated with an individual
- Fingerprint
- Iris scan
- DNA
- Medical history information associated with an individual
- Medical conditions, including history of disease
- Metric information, e.g. weight, height, blood pressure
- Criminal history associated with an individual
- Employment history and other employment information associated with an individual
- Ratings
- Disciplinary actions
- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal
- Financial information associated with an individual
- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

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## O. ANNUAL COMPLIANCE AUDITS

If a for-profit entity is a Prime Recipient or subrecipient and has expended \$750,000 or more of DOE funds during the entity's fiscal year, an annual compliance audit performed by an independent auditor is required. For additional information, please refer to 2 CFR § 910.501 and Subpart F through the link below.

<http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=0ad8c722e3f878b7e8133fc80d48fea1&ty=HTML&h=L&r=PART&n=pt2.1.910>.

If an educational institution, non-profit organization, or state/local government is a Prime Recipient or Subrecipient and has expended \$750,000 or more of Federal funds during the non-Federal entity's fiscal year, then a single or program-specific audit is required. For additional information, please refer to 2 CFR § 200.501 and Subpart F through the link below.

[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl).

Applicants and subrecipients (if applicable) should propose sufficient costs in the project budget to cover the costs associated with the audit. DOE will share in the cost of the audit at its applicable cost share ratio.

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## **APPENDIX A – DEFINITIONS**

**“Alaska Native Regional Corporation”** for the purposes of this funding opportunity announcement (FOA), means one of the thirteen Alaska Native Regional Corporations, as defined in and established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. §§ 1602(g)).

**“Alaska Native Village Corporations”** or **“Village Corporation”** for purposes of this FOA, are as defined in or established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. §§ 1602(J)).

**"Amendment"** means a revision to a Funding Opportunity Announcement or a Financial Assistance Agreement. Also see Modification.

**"Applicant"** means the legal entity or individual signing the application. This entity or individual may be one organization or a single entity representing a group of organizations (such as a Consortium) that has chosen to submit a single application in response to a FOA.

**"Application"** means the documentation submitted in response to a FOA.

**“Authorized Organization Representative (AOR)”** is the person with assigned privileges who is authorized to submit grant applications through Grants.gov on behalf of an organization. The privileges are assigned by the organization’s E-Business Point of Contact designated in the SAM.

**"Award"** means the written documentation executed by a Contracting Officer, after an Applicant is selected, which contains the negotiated terms and conditions for providing Financial Assistance to the Applicant. A financial assistance award may be a grant, cooperative agreement, or technology investment agreement.

**"Budget"** means the cost expenditure plan submitted in the application, including both the DOE contribution and the Applicant cost share.

**“Business Contact”** means a representative authorized to act on behalf of the Applicant to negotiate the agreement, as all DOE official correspondence related to this announcement, or agreement if one was awarded, would be addressed to the business point of contact.

**“Compliance”** is an eligibility determination that refers to the non-technical requirements outlined in a FOA (e.g., formatting, timeliness of submission, or satisfaction of prerequisites).

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"**Consortium (plural consortia)**" means the group of organizations or individuals that have chosen to submit a single application in response to a FOA.

"**Contracting Officer**" means the DOE official authorized to execute awards on behalf of DOE and who is responsible for the business management and non-technology/program office aspects of the financial assistance process.

"**Cooperative Agreement**" means a financial assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by federal statute, and Substantial Involvement (see definition below) is anticipated between DOE and the Applicant during the performance of the contemplated activity. Refer to 2 CFR 200.24 for additional information regarding cooperative agreements.

"**Cost Sharing**" means that portion of the project or program's costs not borne by the federal government. The percentage of Applicant cost share is to be applied to the total project cost (i.e., the sum of Applicant plus DOE cost share) rather than to the DOE contribution alone. Cost sharing information can be found in the Code of Federal Regulations at 2 CFR 200.306 as amended by 2 CFR 910.130.

"**Data Universal Numbering System (DUNS) Number**" is a unique nine-character identification number issued by Dun and Bradstreet (D&B). Organizations must have a DUNS number prior to registering in the SAM. Call 1-866-705-5711 to receive one free of charge.

"**E-Business Point of Contact (POC)**" is the individual who is designated as the Electronic Business Point of Contact in the SAM registration. This person is the sole authority of the organization with the capability of designating or revoking an individual's ability to conduct SAM transactions.

"**EERE Exchange**" is the Department of Energy, Energy Efficiency and Renewable Energy's web system for posting Federal FOAs and receiving applications. EERE Exchange may be found at <https://eere-exchange.energy.gov>.

"**Financial Assistance**" means the transfer of money or property to an Applicant or Participant to accomplish a public purpose of support authorized by Federal statute through Grants or Cooperative Agreements and sub-awards. For DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

“**FedConnect**” is where federal agencies make awards via the web. It can be found at <https://www.fedconnect.net/FedConnect/>.

“**Federally Funded Research and Development Center (FFRDC)**” means a government-sponsored operation that exists for the purpose of carrying out various functions related to both basic and applied research and development on behalf of the Government. Typically, most or all of the facilities utilized in an FFRDC are owned by the Government, but the operations are not always managed by the Government; an FFRDC may be managed by a University or consortium of Universities, other not-for-profit or nonprofit organization, or a for-profit organization, with the Government performing an oversight function.

“**Funding Opportunity Announcement (FOA)**” is a publicly available document by which a Federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. FOAs may be known as FOAs, notices of funding availability, solicitations, or other names depending on the agency and type of program. See 2 CFR 200.203 for more information.

“**Grant**” means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the Applicant during the performance of the contemplated activity.

“**Grants.gov**” is the web portal which allows organizations to electronically find grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies. It can be accessed at <http://www.grants.gov>.

“**Indian Tribe**” for purposes of this FOA, means any Indian tribe, band, nation or other organized group or community, including Alaska Native villages, Alaska Native Regional Corporations and Village Corporations as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C. §§ 1601 et seq.], that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

For purposes of this FOA, an eligible “Indian Tribe” (including Alaska Native villages, but not Alaska Native Regional Corporations and Village Corporations), must be federally recognized as listed in Indian Entities Recognized and Eligible to Receive Services from the United States Bureau of Indian Affairs, published by the Department of Interior’s Bureau of Indian Affairs in the Federal Register on [May 4, 2016, 81 FR 26827](#).

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"**Key Personnel**" mean the individuals who will have significant roles in planning and implementing the proposed Project on the part of the Applicant and Participants, including FFRDCs.

"**Marketing Partner Identification Number (MPIN)**" is a very important password designated by your organization when registering in SAM. The E-Business Point of Contact will need the MPIN to assign privileges to the individual(s) authorized to perform SAM transactions on behalf of your organization. The MPIN must have 9 digits containing at least one alpha character (must be in capital letters) and one number (no spaces or special characters permitted).

"**Modification**" means a revision to a FOA. Also see Amendment.

"**Participant**" for purposes of this FOA only, means any entity, except the Applicant substantially involved in a consortium, or other business arrangement (including all parties to the application at any tier), responding to the FOA.

"**Principal Investigator**" means a representative authorized to act as the Technical Contact or Project Manager on behalf of the Applicant and would be the prime point of contact for DOE's Project Officer during project performance, if an agreement were to be awarded. See Technical Contact and Project Manager.

"**Project**" means the set of activities described in an application, State plan, or other document that is approved by DOE for Financial Assistance (whether such Financial Assistance represents all or only a portion of the support necessary to carry out those activities).

"**Project Manager**" means a representative authorized to act as the Technical Contact or Principal Investigator on behalf of the Applicant and would be the prime point of contact for DOE's Project Officer during project performance, if an agreement were to be awarded. See Principal Investigator and Technical Contact.

"**Project Team**" means the team which consists of the Recipient, subrecipients, and others performing or otherwise supporting work under a DOE funding agreement.

"**Proposal**" is the term used to describe the documentation submitted in response to a FOA. Also see Application.

"**Recipient**" means the organization, individual, or other entity that receives a financial assistance award from DOE (i.e., is the signatory on the award), is financially accountable for the use of any DOE funds or property provided for the performance of the Project, and is legally responsible for carrying out the terms and condition of the award.

**“Responsiveness”** is an eligibility determination that refers to the objective technical requirements (not goals or targets) outlined in a FOA, such as a technology type or technical parameters. For example, submission of a photovoltaic solar panel design in response to a FOA calling for innovative geothermal drilling technologies should be found nonresponsive. Likewise, an application with a design that incorporates rare earth materials to a FOA that prohibits the use of rare earth materials should be found nonresponsive. Conversely, the belief that a technology will not achieve the technical targets of the FOA will never be used as a proper basis for a rejection as nonresponsive.

**"Selection"** means the determination by the DOE Selection Official that negotiations take place for certain Projects with the intent of awarding a Financial Assistance instrument.

**"Selection Official"** means the DOE official designated to select applications for negotiation toward Award under a subject FOA.

**"Subawardee, Subrecipient, or Subcontractor"** (excludes vendors) means the legal entity to which a subaward is made and which is accountable to the Recipient for the use of the funds or property provided under a Financial Assistance Award.

**“System for Award Management (SAM)”** is the primary database which collects, validates, stores and disseminates data in support of agency missions. It can be accessed at <https://www.sam.gov>.

**“Technical Contact”** means a representative authorized to act as the Project Manager or Principal Investigator on behalf of the Applicant and would be the prime point of contact for DOE’s Project Officer during project performance, if an agreement were to be awarded. See Principal Investigator and Project Manager.

**"Total Project Cost"** means all the funds to complete the effort proposed by the Applicant, including DOE funds (including direct funding of any FFRDC) plus all other funds that will be committed by the Applicant as Cost Sharing.

**“Tribal Consortium”** (plural consortia), for purposes of this FOA, means a group of Indian tribes (as defined above), that have chosen to submit a single application. Under this announcement, a Tribal Consortium is eligible to submit an application provided the application is submitted by a single Indian tribe representing the Consortium.

**“Tribal Energy Resource Development Organization”** means an “organization” of two or more entities, at least one of which is an Indian Tribe (see “Indian Tribe” above) that has the written

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consent of the governing bodies of all Indian Tribes participating in the organization to apply for a grant or loan, or other assistance under 25 U.S.C. § 3503, where “organization” means a partnership, joint venture, Limited Liability Company (LLC) or other unincorporated association or entity that is established to develop Indian energy resources.”

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## **APPENDIX B – COST SHARE INFORMATION**

### **Cost Sharing or Cost Matching**

The terms “cost sharing” and “cost matching” are often used synonymously. Even the DOE Financial Assistance Regulations, 2 CFR 910.130, use both of the terms in the titles specific to regulations applicable to cost sharing. DOE almost always uses the term “cost sharing,” as it conveys the concept that non-federal share is calculated as a percentage of the Total Project Cost. An exception is the State Energy Program Regulation, 10 CFR 420.12, State Matching Contribution. Here “cost matching” for the non-federal share is calculated as a percentage of the Federal funds only, rather than the Total Project Cost.

### **How Cost Sharing Is Calculated**

As stated above, cost sharing is calculated as a percentage of the Total Project Cost. Following is an example of how to calculate cost sharing amounts for a project with \$1,000,000 in federal funds with a minimum 20% non-federal cost sharing requirement:

- Formula: Federal share (\$) divided by Federal share (%) = Total Project Cost  
Example: \$1,000,000 divided by 80% = \$1,250,000
- Formula: Total Project Cost (\$) minus Federal share (\$) = Non-federal share (\$)  
Example: \$1,250,000 minus \$1,000,000 = \$250,000
- Formula: Non-federal share (\$) divided by Total Project Cost (\$) = Non-federal share (%)  
Example: \$250,000 divided by \$1,250,000 = 20%

See the sample cost share calculation for a blended cost share percentage below. Keep in mind that FFRDC funding is DOE funding.

### **What Qualifies For Cost Sharing**

While it is not possible to provide a single definition that applies in all situations, if a cost is allowable under the cost principles applicable to the organization incurring the cost and is eligible for reimbursement under a DOE grant or cooperative agreement, then it is allowable as cost share. Conversely, if the cost is not allowable under the cost principles and not eligible for reimbursement, then it is not allowable as cost share. In addition, costs may not be counted as cost share if they are paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing.

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The rules associated with what is allowable as cost share are specific to the type of organization that is receiving funds under the grant or cooperative agreement, though are generally the same for all types of entities. The specific rules applicable to:

- FAR Part 31 for For-Profit entities, (48 CFR Part 31); and
- 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.

In addition to the regulations referenced above, other factors may also come into play such as timing of donations and length of the project period. For example, the value of ten years of donated maintenance on a project that has a project period of five years would not be fully allowable as cost share. Only the value for the five years of donated maintenance that corresponds to the project period is allowable and may be counted as cost share.

Additionally, DOE generally does not allow pre-award costs for either cost share or reimbursement when these costs precede the signing of the appropriation bill that funds the award. In the case of a competitive award, DOE generally will not allow pre-award costs prior to the signing of the Selection Statement by the DOE Selection Official.

DOE Financial Assistance Rules 2 CFR Part 200 as amended by 2 CFR Part 910

As stated above, the rules associated with what is allowable cost share are generally the same for all types of organizations. Following are the rules found to be common, but again, the specifics are contained in the regulations and cost principles specific to the type of entity:

- (A) Acceptable contributions. All contributions, including cash contributions and third party in-kind contributions, must be accepted as part of the Recipient's cost sharing if such contributions meet all of the following criteria:
- (1) They are verifiable from the Recipient's records.
  - (2) They are not included as contributions for any other federally-assisted project or program.
  - (3) They are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
  - (4) They are allowable under the cost principles applicable to the type of entity incurring the cost as follows:

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- a. For-profit organizations. Allowability of costs incurred by for-profit organizations and those nonprofit organizations listed in Attachment C to OMB Circular A-122 is determined in accordance with the for-profit cost principles in 48 CFR Part 31 in the Federal Acquisition Regulation, except that patent prosecution costs are not allowable unless specifically authorized in the award document. (v) Commercial Organizations. FAR Subpart 31.2—Contracts with Commercial Organizations.
  - b. Other types of organizations. Allowability of costs incurred by other types of organizations that may be Subrecipients under a prime award is determined as follows:
    - i. Institutions of higher education. Allowability is determined in accordance with: 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.
    - ii. Other nonprofit organizations. Allowability is determined in accordance with: 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.
    - iii. Hospitals. Allowability is determined in accordance with the provisions of: 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.
    - iv. Governmental organizations. Allowability for State, local, or federally recognized Indian tribal government is determined in accordance with: 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities
- (5) They are not paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing or matching.

(6) They are provided for in the approved budget.

(B) Valuing and documenting contributions

- (1) Valuing Recipient's property or services of Recipient's employees. Values are established in accordance with the applicable cost principles, which mean that amounts chargeable to the project are determined on the basis of costs incurred. For real property or equipment used on the project, the cost principles authorize depreciation or use charges. The full value of the item may be applied when the item

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will be consumed in the performance of the award or fully depreciated by the end of the award. In cases where the full value of a donated capital asset is to be applied as cost sharing or matching, that full value must be the lesser or the following:

- a. The certified value of the remaining life of the property recorded in the Recipient's accounting records at the time of donation; or
  - b. The current fair market value. If there is sufficient justification, the Contracting Officer may approve the use of the current fair market value of the donated property, even if it exceeds the certified value at the time of donation to the project. The Contracting Officer may accept the use of any reasonable basis for determining the fair market value of the property.
- (2) Valuing services of others' employees. If an employer other than the Recipient furnishes the services of an employee, those services are valued at the employee's regular rate of pay, provided these services are for the same skill level for which the employee is normally paid.
- (3) Valuing volunteer services. Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as cost sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for volunteer services must be consistent with those paid for similar work in the Recipient's organization. In those markets in which the required skills are not found in the Recipient organization, rates must be consistent with those paid for similar work in the labor market in which the Recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.
- (4) Valuing property donated by third parties.
- a. Donated supplies may include such items as office supplies or laboratory supplies. Value assessed to donated supplies included in the cost sharing or matching share must be reasonable and must not exceed the fair market value of the property at the time of the donation.
  - b. Normally only depreciation or use charges for equipment and buildings may be applied. However, the fair rental charges for land and the full value of equipment or other capital assets may be allowed, when they will be consumed in the performance of the award or fully depreciated by the end of the award, provided that the Contracting Officer has approved the charges. When use charges are



applied, values must be determined in accordance with the usual accounting policies of the Recipient, with the following qualifications:

- i. The value of donated space must not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately-owned building in the same locality.
- ii. The value of loaned equipment must not exceed its fair rental value.

(5) Documentation. The following requirements pertain to the Recipient's supporting records for in-kind contributions from third parties:

- a. Volunteer services must be documented and, to the extent feasible, supported by the same methods used by the Recipient for its own employees.
- b. The basis for determining the valuation for personal services and property must be documented.



## APPENDIX C – WORKPLAN FORMAT

[Control Number]  
[Recipient Organization Name]  
[Project Title]

[The instructional red and blue text and attachments below should be removed in the final version of the Workplan]

*The Workplan should fully describe the work to be accomplished and how the Applicant will achieve the milestones, will accomplish the final project goal(s), and will produce all deliverables.*

*The following items should not be included in the Workplan:*

- Dollar amounts.*
- Specific dates (only include general time frames (i.e. Demonstrate XYZ result by Month 3, not Demonstrate XYZ by June 8<sup>th</sup>, 2013).*
- Subcontractors, vendors or individuals by name. The award is with the prime and, as such, the Workplan should not generally reference the subcontractors.*

*Intellectual property information and other aspects of the project that could be considered proprietary or business confidential should be clearly marked. The Workplan must be marked as follows and identify the specific pages containing confidential, proprietary, or privileged information:*

*Notice of Restriction on Disclosure and Use of Data:*

*Pages [list applicable pages] of this document may contain confidential, proprietary, or privileged information that is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance agreement between the submitter and the Government. The Government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source.*

*The header and footer of every page that contains confidential, proprietary, or privileged information must be marked as follows: “Contains Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure.”*

*In addition, every line and paragraph containing proprietary, privileged, or trade secret information must be clearly marked with double brackets or highlighting.*



**A. PROJECT SUMMARY**

Provide a clear and concise (high-level) statement of the goals and specific objectives of the project (e.g., install approximately 162 kW of solar photovoltaic systems) as well as the expected outcomes (measurable results or end-products) (e.g., reduce 80% of the electricity usage in the buildings, saving \$6 million over the life of the system, reduce carbon footprint). Additionally, provide any applicable Vision Statement and/or long-term energy goals (e.g., energy sufficient, protect the environment, reduce electricity costs).

The Project Summary is expected to be concise overview statements and only a few of paragraphs long.

**B. BACKGROUND**

Provide any relevant background related to the proposed project, such as a description of past studies, previous energy projects or initiatives, existing strategic energy plan, tribal energy portfolio standard or other similar regulations or codes, or other relevant background.

The Background is expected to limited to only a few paragraphs.

**C. PROJECT APPROACH**

Provide a description of the overall work scope and approach to achieve the objective(s) and the specific expected end results of the project.

Additionally, this section should include a general description of the project management plan, including the following:

- The overall approach to and organization for managing the work
- The roles of each Project Team member
- Any critical handoffs/interdependencies among Project Team members
- The approach to project risk management
- A description of how project changes will be handled

**D. TASKS TO BE PERFORMED**

The section should describe the specific activities to be conducted over the life of the project. This section provides a substantive description of the planned approach to this project and should clearly articulate what work must be accomplished to execute the project scope and thus meet the established project objectives.



The task descriptions should be structured with a hierarchy of performance period separated by milestones. In other words, tasks should be organized in a logical sequence and may be divided into performance periods of the project, as appropriate.

Each task and subtask is to have a unique number and title and an indication of the approximate duration of the task or subtask. Each task and subtask is to have a substantive description of the objectives, what work is to be accomplished, and relationship to project deliverables or expected results. Appropriate milestones should be incorporated into the task and subtask structure.

**Milestones:** The Workplan should identify appropriate milestones throughout the project to demonstrate success, where success is defined as technical achievement rather than simply completing a task. Milestones should follow the SMART rule of thumb, which is that all milestones should be **Specific, Measurable, Achievable, Relevant, and Timely**. Unless otherwise specified in the FOA, the minimum requirement is that each project must have at least one milestone per quarter for the duration of the project (depending on the project, more milestones may be necessary to comprehensively demonstrate progress). The Applicant should also provide the means by which the milestone will be verified. In addition to describing milestones in the Workplan text, the milestones should be included in the Milestone Summary Table below.

*Below is an example of a typical task structure. While the example illustrates three tasks, the specific project work scope will dictate the appropriate tasks and subtasks:*

**Task 1.0:** Distinctive Title

**Task Details:** Explicitly describe what work is to be accomplished, identify the project objectives/outcomes being addressed and provide a substantive description of the objectives of that task. In addition, the description should indicate the project deliverables or expected results that this task will help achieve.

**Milestone 1.1** (if applicable)

**Milestone 1.2** (if applicable)

**Etc.**

**Subtask 1.1:** Title, Subtask Description

**Subtask Details:** Describe the specific and detailed work efforts that go into achieving the higher-level tasks.

**Milestone 1.1.1** (if applicable)

**Milestone 1.1.2** (if applicable)

Etc.

**Subtask 1.2:** Title, Subtask Description  
(Continue until all Task 1 subtasks are listed)

**Task 2.0:** Distinctive Title

**Subtask 2.1:** Title, Subtask Description

**Subtask 2.2:** Title, Subtask Description

**Task 3.0:** Distinctive Title

(Continue in the format above until all tasks and subtasks are listed)

**E. REPORTING**

Progress and financial status will be documented in quarterly reports. A separate comprehensive Final Report will be submitted that will include the project results, data collected and other documentation as provided in the guidance. Reports and other deliverables will be provided in accordance with the Federal Assistance Reporting Checklist following the instructions included therein.

Further, progress shall also be presented at annual Program Reviews to be held each year in Denver, Colorado.

**F. PROJECT SCHEDULE AND MILESTONES**

The following milestone table summarizes the schedule and milestones associated with the project activities.

The Applicant's milestone table should provide a detailed schedule for the entire project, including task and subtask durations, and milestones.





Milestone Summary Table							
Recipient Name:							
Project Title:							
Task Number	Task or Subtask (if applicable) Title	Milestone Type (Milestone)	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
			See Milestone Summary Table examples below				

\* Milestone numbering convention should align with Task and Subtask numbers, as appropriate. For example, M1.1, M3.2, etc.

Note 1: All milestones should follow the SMART rule of thumb: **S**pecific, **M**easurable, **A**chievable, **R**elevant, and **T**imely

### Example Milestone Summary Tables

Below are three examples of Milestone Summary Tables.

Example 1 is a milestone table for an R&D project with parallel efforts for material development, tool design and reliability testing.

Example 2 is a milestone table for an offshore wind demonstration project that will complete the initial engineering design, as well as initiation of all permitting or studies required for regulatory compliance and the NEPA review process, with a DOE down-select of funded projects at the end of the first budget period.

Example 3 is a milestone table for an Integrated Bio-Refinery (IBR) demonstration project.

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Example 1: Milestone Summary Table for an R&D project with parallel efforts for material development, tool design and reliability testing.

Milestone Summary Table							
Recipient Name:							
Project Title:							
Task Number	Task or Subtask (if applicable) Title	Milestone Type (Milestone)	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
1.0	Material synthesis						
1.1	Batch Quality	Milestone	1.1.1	Demonstrate a 1L batch size with a >1.5% absolute performance improvement over a non-coated device	Send 5 slides to NREL for transmission test, 3 must meet pass over 350~1000nm ASTM173 spectrum	1	1
1.1	Batch Quality	Milestone	1.1.2	Demonstrate a 1L batch size with a >2.0% absolute performance improvement over a non-coated device	Send 5 slides to NREL for transmission test, 3 must meet pass over 350~1000nm ASTM173 spectrum	6	2
1.1	Batch Quality	Milestone	1.1.3	Demonstrate a 1L batch size with a >2.5% absolute performance improvement over a non-coated device	Send 5 slides to NREL for transmission test, 3 must meet pass over 350~1000nm ASTM173 spectrum	14	5
1.2	Batch Volume	Milestone	1.2.1	Demonstrate a 100L batch size with a >2.0% absolute performance improvement over a non-coated device	Send 5 slides to NREL for transmission test, 3 must meet pass over 350~1000nm ASTM173 spectrum	10	4
1.2	Batch Volume	Milestone	1.2.2	Demonstrate a 1000L batch size with a >2.5% absolute performance improvement over a non-coated device	Send 5 slides to NREL for transmission test, 3 must meet pass over 350~1000nm ASTM173 spectrum	16	6
2.0	Coating Area & Uniformity						
2.0	Coating Area & Uniformity	Milestone	2.1	Demonstrate a 1x1 cm coating with a >1.5% absolute performance improvement for entire device over a non-coated device	Send 5 slides/sheets to NREL for transmission test measured at the center and 4 corners, 3 must meet pass over 350~1000nm ASTM173 spectrum	1	1

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Milestone Summary Table							
Recipient Name:							
Project Title:							
Task Number	Task or Subtask (if applicable) Title	Milestone Type (Milestone)	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
2.0	Coating Area & Uniformity	Milestone	2.2	Demonstrate a 10x10 cm batch size with a >2.0% absolute performance improvement for entire device over a non-coated device	Send 5 slides/sheets to NREL for transmission test measured at the center and 4 corners, 3 must meet pass over 350~1000nm ASTM173 spectrum	9	3
2.0	Coating Area & Uniformity	Milestone	2.3	Demonstrate a 1x1 m2 batch size with a >2.5% absolute performance improvement for entire device over a non-coated device	Send 5 slides/sheets to NREL for transmission test measured at the center and 4 corners, 3 must meet pass over 350~1000nm ASTM173 spectrum	15	5
3.0	Tool development						
3.1	Pilot Tool	Milestone	3.1.1	Pilot Tool - Design, Fabrication, Debug Complete, Switch-On	Video of tool operation, including full sequence of glass panel from input to output. Uploaded to DOE web site	18	6
3.1	Pilot Tool	Milestone	3.1.2	Demonstrate Pilot-Tool cycling of material through coat & dry process steps with IPA as simulated coating fluid	Video of tool operation, including full sequence of glass panel from input to output. Uploaded to DOE web site	18	6
3.1	Pilot Tool	Milestone	3.1.3	Demonstrate air handling system, VOC abatement systems operational	Video includes sequence showing HVAC & VOC Oxidizer systems in operation	18	6
3.1	Pilot Tool	Milestone	3.1.4	Demonstrate safety systems & interlocks operational	Video includes sequence showing operation of safety interlocks	18	6
3.1	Pilot Tool	Milestone	3.1.5	Demonstrate ability to coat 2x1m glass panel in Pilot tool.	Coating process documented by video, uploaded to DOE web site	18	6
3.1	Pilot Tool	Milestone	3.1.6	Achieve average 2% absolute performance improvements 6 sample points	Send 6 coupons to NREL cut according to 2x1m test grid, 4/6 must meet	21	7

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Milestone Summary Table							
Recipient Name:							
Project Title:							
Task Number	Task or Subtask (if applicable) Title	Milestone Type (Milestone)	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
					requirement over 350~1000nm ASTM173 spectrum		
3.1	Pilot Tool	Milestone	3.1.7	Coat, assembly and test full size 1x2m panels	Coating process documented by video, Confirm assembly success by providing post assembly flash test data to DOE	24	8
3.1	Pilot Tool	Milestone	3.1.8	Achieve at least 75% yield against defect spec.	No significant visible defect detected by eye at a distance of 2m with optimal lighting for defect detection	24	8
3.2	Production Tool	Milestone	3.2.1	Production Tool - Design, Fabrication, Debug Complete, Switch-On	Video of tool operation, including full sequence of glass panel from input to output. Uploaded to DOE web site	25	9
3.2	Production Tool	Milestone	3.2.2	Demonstrate air handling system, VOC abatement systems operational	Video includes sequence showing HVAC & VOC Oxidizer systems in operation	26	9
3.2	Production Tool	Milestone	3.2.3	Demonstrate safety systems & interlocks operational	Video includes sequence showing operation of safety interlocks	27	9
3.2	Production Tool	Milestone	3.2.4	Produce 1st articles of coated glass to full design spec.	Panels tested with hand-held Konica 2600d reflectometer, using 5-point pattern in 2x1m test grid	27	9
3.2	Production Tool	Milestone	3.2.5	Demonstrate operation at design through-put (at least 50 units per hour).	Video of tool operation, including full sequence of glass panel from input to output. Uploaded to DOE web site	28	10
3.2	Production Tool	Milestone	3.2.6	Demonstrate coating of one or more glass panels to customer agreed coating spec.	Panels tested with hand-held Konica 2600d reflectometer, using 5-point pattern in 2x1m test grid	32	11
3.2	Production Tool	Milestone	3.2.7	Sign-off on safety systems & Ready to ship	Provide copy of release to ship paperwork to DOE	34	12

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Milestone Summary Table							
Recipient Name:							
Project Title:							
Task Number	Task or Subtask (if applicable) Title	Milestone Type (Milestone)	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
4.0	Customer Engagement						
4.1	LOI	Milestone	4.1.1	Provide LOI from prospective customer for delivery of a production tool	Copy of letter provided to DOE	16	6
4.1	LOI	Milestone	4.1.2	Provide LOI from 2 additional prospective customer for delivery of a production tool	Copy of letters provided to DOE	30	10
4.2	Customer Acceptance	Milestone	4.2.1	Tool acceptance specification agreed and signed by customer	Provide copy of signed document to DOE	33	11
4.2	Customer Acceptance	Milestone	4.2.2	Sign-off of tool acceptance specification by customer. Verification & agreement that all performance metrics have been met or exceeded.	Provide copy of release to ship paperwork to DOE	34	12
4.3	Customer Sales	Milestone	4.3.1	Customer sign-off on supply agreement for high volume manufacturing supply chain and quality assurance process	Provide copy of signed supply agreement to DOE	36	12
5.0	Reliability						
5.1	Outdoor Testing	Milestone	5.1.1	Coat 6 units send coated units to NREL with 6 uncoated units to perform outdoor testing	Letter from NREL verifying receipt and installation will be sent to DOE.	1	1
5.2	Initial Lifetime Testing	Milestone	5.2.1	Submit 6 coated units to NREL for lifetime testing	Report from NREL documenting testing results will be sent to the DOE	1	1
5.2	Pass lifetime Test	Milestone	5.2.2	Submit 6 coated units to NREL lifetime testing with 5 units passing	Report from NREL documenting testing results will be sent to the DOE	21	7

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Milestone Summary Table							
Recipient Name:							
Project Title:							
Task Number	Task or Subtask (if applicable) Title	Milestone Type (Milestone)	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
5.3	Initial Abrasion Test	Milestone	5.3.1	Submit 6 coated units to NREL abrasion testing	Report from NREL documenting testing results will be sent to the DOE	1	1
5.3	Pass Abrasion Test	Milestone	5.3.2	Submit 6 coated units to NREL abrasion testing with 5 units passing with 5 units passing	Report from NREL documenting testing results will be sent to the DOE	21	7

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Example 2: Milestone Summary Table for an offshore wind demonstration project that will complete the initial engineering design, as well as initiation of all permitting or studies required for regulatory compliance and the NEPA review process, with a DOE down-select of funded projects at the end of the first budget period.

Milestone Summary Table							
Recipient Name:		ABC Wind Company					
Project Title:		Offshore Wind Demonstration Project					
Task Number	Task or Subtask (if applicable) Title	Milestone Type	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
1	Engineering Design	Milestone	M1.1	Selection of foundation type, support structure and tower design.	Verification of the foundation selection process and selected foundation will be reviewed by DOE and NREL personnel. If DOE project manager deems it necessary, a critical design review with DOE and third party experts will be convened.	4	2
1	Engineering Design	Milestone	M1.2	Complete scale model testing of platform in wind/wave basin to verify model performance/results.	Verify data collection and experiment execution through testing report and/or site visit during test period.	4	2
1	Engineering Design	Milestone	M1.3	Foundation certification	Achieve type certification for foundation design from third party verification agency (i.e. ABS or DNV). Verify certificate from third party agency.	9	3
2	Site Characterization	Milestone	M2.1	Complete geotechnical studies of site to inform anchor/mooring design. Identify at least 3 viable anchor sites per turbine.	DOE project manager to verify collection and analysis of at least 1 core sample at each potential turbine site to inform foundation/anchor design. Verification completed through report review.	2	1

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Milestone Summary Table							
Recipient Name:		ABC Wind Company					
Project Title:		Offshore Wind Demonstration Project					
Task Number	Task or Subtask (if applicable) Title	Milestone Type	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
2	Site Characterization	Milestone	M2.2	Complete geophysical mapping of potential mooring corridor obstructions	DOE project manager to verify that side-scan sonar of entire field, with focus and higher resolution for mooring corridors completed. Verify that a complete geophysical map of entire wind turbine site to appropriate resolution to document seabed conditions and identify any objects of interest. Verification conducted through report review and site visits.	2	1
3	Metocean and Environmental Monitoring	Milestone	M3.1	Collection of site specific data including wind, current, wave data	DOE project manager to verify that instrumented buoy(s) are deployed at project site through quarterly reporting or site visit.	5	2
3	Metocean and Environmental Monitoring	Milestone	M3.2	Complete Avian Monitoring study	Traditional thermal imaging (FLIR) and near infra-red (NIR) video systems will be used to assess the presence and behavior of avian and bat species around offshore wind turbine site. Verify that instruments are deployed and collecting data.	9	3
4	Turbine testing	Milestone	M4.1	Certification of turbine	Verify testing will be performed in accordance with International Electrotechnical Commission (IEC) 61400-22 through review of type certification report.	12	4

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Milestone Summary Table							
Recipient Name:		ABC Wind Company					
Project Title:		Offshore Wind Demonstration Project					
Task Number	Task or Subtask (if applicable) Title	Milestone Type	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
5	Regulatory Approvals and Permitting	Milestone	M5.1	Initiate process for all required permits and regulatory approvals for wind farm site, interconnection, rights of way.	DOE project manager reviews report on progress towards permitting and regulatory compliance, verifying that all requirements have been initiated.	12	4
6	Vendor Request for Proposals	Milestone	M6.1	Vendor quotes received	DOE personnel review vendor quotes and verify for legitimacy.	11	4
7	Economic Analysis	Milestone	M7.1	Refine levelized cost of energy (LCOE) estimates based on engineering design. The proposed design must meet the local hurdle price of \$0.10/kWh.	Verify submitted LCOE estimates through third party independent review during down select review process.	11	4
8	Budget Period 2 Tasks and milestones to be negotiated after down selection process completed.			TBD	TBD	15	5

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Example 3: Milestone Summary Table for an Integrated Bio-Refinery (IBR) demonstration project.

Milestone Summary Table							
Recipient Name:		Biofuels Maker					
Project Title:		250 Ton/Day Biofuel Demonstration Facility					
Task Number	Task or Subtask (if applicable) Title	Milestone Type	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
1	Budget Period 1 Planning Activities	Milestone	M1.1	Critical Decision-2 Approve Performance Baseline (DOE Core)	DOE (with consultation from DOE's Independent Engineer) and Recipient Agree to Performance Baseline for Project		
2.1	Engineering and Environmental-NEPA	Milestone	M2.1	NEPA Approval to Proceed Detailed Design and Construction (DOE Core)	NEPA decision issued. Current schedule assumes Environmental Assessment with associated Finding of No Significant Impact Issued by DOE. If determined that an EIS is required, NEPA scope and associated baseline will be revised through change control process.		
2.6	Engineering and Environmental-Equipment Specification	Milestone	M2.6	Completion of Equipment Specification Data Sheets	Equipment Data Sheets will be provided to DOE's Independent Engineer for verification of completion and adequacy. Data sheets must meet the requirements of Recipients data sheet definitions, as defined in the PMP.		
2.8	Engineering and Environmental-Building Design	Milestone	M2.8	Completion of building design specifications.	Building design, specifications, and detailed costing data will be provided to DOE's Independent Engineer for review and verification against all applicable building codes and architectural standards.		

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Milestone Summary Table							
Recipient Name:		Biofuels Maker					
Project Title:		250 Ton/Day Biofuel Demonstration Facility					
Task Number	Task or Subtask (if applicable) Title	Milestone Type	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
2.12	Engineering and Environmental-Permitting	Milestone	M2.12	Approval of Construction Permit	All required construction permits will be obtained and verified on site by DOE's Independent Engineer		
2.12	Engineering and Environmental-Permitting	Milestone	M2.13	Approval of Operating Permit	All required operating permits (including Title V, water use, and sewer discharge) will be obtained and verified on site by DOE's Independent Engineer.		
2.14	Engineering and Environmental-External Independent Review, Detailed Review	Milestone	M2.14	Submission to and Approval by the DOE (EIR-2)	Recipient will submit all detailed engineering, design, cost models, sites studies, etc. to DOE's Independent Engineer as defined in the EIR-2 guidelines. The Independent Engineer will submit an independent report to DOE. Recipient must adequately address all deficiencies and risk items to DOE's satisfaction before the project will be authorized to continue.		
3	Final Optimization of Operating Parameters at Pilot Scale	Milestone	M3.1	Hydrolysis, Fractionation & Purification Optimization (xx C5 and XX C6 sugar yield per lb/feedstock with contamination levels below those specified in the lab data report x-x). Process set points are determined.	Recipient will conduct triplicate reproduction of data for a minimum of xx hours. All data will be provided to DOE. DOE will be on site for at least one run.		

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Milestone Summary Table							
Recipient Name:		Biofuels Maker					
Project Title:		250 Ton/Day Biofuel Demonstration Facility					
Task Number	Task or Subtask (if applicable) Title	Milestone Type	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
3.4	Biocatalyst operation optimization	Milestone	M3.4	x % v/v fuel titer at xx hours with a x% weight yield. Process setpoints are determined.	DOE's National Laboratory Designee will be on site for minimum of 2 runs. Data for at least 3 runs will be provided to National Lab for review.		
3.5	Co-product catalyst optimization	Milestone	M3.5	Demonstration of x cycles with x% original catalyst activity. Process setpoints are determined.	Full data report will be provided to DOE's technical expert for review and validation.		
4.6	Pre-construction: Risk Mitigation Plan Refinement	Milestone	M4.6	DOE Approval of final risk mitigation plan.	Recipient will provide final risk mitigation plan to DOE for review and approval.		
4.7	Pre-construction: EPC	Milestone	M4.7	EPC Contract Finalized and Signed - (DOE Core)	DOE's Independent Engineer will verify that the EPC contract is fully executed.		
4.8	Pre-construction: Finances	Milestone	M4.8	Financial Closing or Financial Commitment Letter - (DOE Core)	Recipient will send to DOE all financial closing documentation.		
4.11	Pre-construction: Operations Definitions	Milestone	M4.11	Define Commissioning Criteria (DOE Core)	DOE (with consultation from its Independent Engineer) and Recipient agree to final commissioning criteria		
5.2	Pilot Plant Construction	Milestone	M5.2	Construction Contractors Selected by Recipient and Approved by DOE	All major contractors are selected and budgets and scopes of work submitted to DOE for approval.		

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Milestone Summary Table							
Recipient Name:		Biofuels Maker					
Project Title:		250 Ton/Day Biofuel Demonstration Facility					
Task Number	Task or Subtask (if applicable) Title	Milestone Type	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)	Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)
5.7	Commission and Start-up	Milestone	M5.7	Commissioning complete. All criteria in commissioning plan achieved.	DOE's Independent Engineer performs site visit and reviews Recipient's logs and data to verify.		
6.4	Operations-Performance Test	Milestone	M6.4	Performance Test Completed	Recipient runs demonstration facility in accordance with performance test plan (approved by DOE) for a minimum of 40 hours. DOE and DOE's Independent Engineer are on site for portions of the test and Recipient delivers all data logs outlined in the performance test plan.		
6.5	Operations-Continued Long Term Optimization	Milestone	M6.5	Recipient completes 1500 hours of continuous operation with x% uptime, x conversion of biomass to fuel, at a minimum of 250 tons/day of feedstock.	Recipient provides summary reports as defined in deliverables requirements. DOE and DOE's Independent Engineer randomly sample data logs at Recipient site.		
7	Final Economic and Commercial Validation	Milestone	M7	Final Report Delivered to DOE	After xxx months of operation, Recipient provides final report which includes updated economic models, life cycle analysis, and plant performance (inputs, outputs, yields, etc.) as defined in the deliverable requirements		

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## APPENDIX D – SUMMARY SLIDE TEMPLATE

### Title

TRIBE / ORGANIZATION

Insert Control Number

#### Project Summary

Summary of the proposed effort including goals and objectives of the proposed effort, the specific need to issue the effort addresses, and how the proposed effort integrates into the long-term energy goals/vision of the Applicant

#### Key Personnel/Organizations

Applicant description and list of key personnel and project partners

#### Budget and Timeline

Federal funds: \$	Cost-share: \$	Total: \$
-------------------	----------------	-----------

#### Key Milestones & Deliverables

Year 1:	Insert key milestones and deliverables for each year as appropriate.
Year 2:	

Insert a picture or chart summarizing key project milestones and outcomes.

#### Project Outcomes

Description of intended specific outcomes (measureable results or end-products) that will lead to the development and deployment of energy solutions, and/or build knowledge or skills necessary to implement successful strategic energy solutions (e.g., number of people trained, establishment of building codes, establishment of an energy baseline, establishment of an energy organization, completion of X energy audits).

*Insert one sentence summarizing the main idea(s) of the proposed project.*

U.S. DEPARTMENT OF ENERGY | Office of Indian Energy

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