

**FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT**



U. S. Department of Energy

**National Energy Technology Laboratory
Office of Energy Efficiency and Renewable Energy**

**Clean Cities - Implementation Initiatives to Advance
Alternative Fuel Markets**

Funding Opportunity Number: DE-FOA-0000708

Announcement Type: Initial

CFDA Number: 81.086 Conservation Research and Development

Issue Date:	05/08/2012
Letter of Intent Due Date:	Not Applicable
Pre-Application Due Date:	Not Applicable
Application Due Date:	06/18/2012 at 8:00:00 PM Eastern Time

NOTE: Applications must be submitted through the Energy Efficiency and Renewable Energy (EERE) eXCHANGE SYSTEM to be considered under this announcement. Applications submitted by any other means will not be accepted. You cannot submit an application unless you are registered with EERE eXCHANGE. Application forms and/or instructions can be found with this announcement on the EERE eXCHANGE website at <http://eere.energy.gov/financing/exchange>.

NOTE: REGISTRATION/SUBMISSION REQUIREMENTS

Registration Requirements

There are several one-time actions (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) you must complete in order to submit an application in response to this Announcement number:

Applicants must register through the EERE eXCHANGE.

EERE eXCHANGE website: <http://eere.energy.gov/financing/exchange>.

Applicants must obtain a DUNS number.

DUNS website: <http://fedgov.dnb.com/webform>.

Applicants must register with the CCR.

CCR website: <http://www.ccr.gov/>.

Applicants must register with Grants.gov, in order to receive automatic updates, in the event that, Amendments to this FOA are posted. However, please note that applications will not be accepted through Grants.gov.

Grants.gov website: <http://grants.gov/>.

Applicants must register with FedConnect. In the event that an application is selected for negotiation of award, Applicants must be registered with FedConnect to receive the award. To create an organization account, your organization's CCR MPIN is required. For more information about the CCR MPIN or other registration requirements, review the FedConnect Ready, Set, Go! Guide at

https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf.

FedConnect website: www.fedconnect.net.

Applicants who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible

EERE Web-Based Submission Information

All application submissions are to be made via the EERE eXCHANGE at <http://eere.energy.gov/financing/exchange>. To gain access to the EERE eXCHANGE system, the applicant must first register and create an account on the main EERE eXCHANGE site. This account will then allow the user to submit an application for open EERE Funding Opportunity Announcements (FOAs) that are currently in eXCHANGE. It is recommended that each organization or business unit, whether acting as a team or a single entity, utilize one account as the appropriate contact information for each submission.

Applicants will receive an automated response when the Application is received; this will serve as a confirmation of EERE receipt. Please do not reply to the automated response. A "User Guide" for the EERE eXCHANGE can be found on the EERE website at <http://eere.energy.gov/financing/exchange/Manuals.aspx> after logging in to the system.

To receive notices via email regarding an FOA in eXCHANGE, such as amendments to the announcement or the posting of new questions and answers from eXCHANGE you must initiate

an application submission to the FOA of interest. Please note that you must finalize your application before the specified due date and time to be considered for award.

Questions

Questions related to the use of the EERE eXCHANGE website or technical issues concerning the application submittal should be submitted to: EERE-ExchangeSupport@hq.doe.gov.

Questions related to the content of the Funding Opportunity Announcement must be submitted to DE-FOA0000708@netl.doe.gov and shall be submitted not later than 3 calendar days prior to the final application due date. Questions submitted after that date may not allow the Government sufficient time to respond.

All questions and answers related to the content of this FOA will be posted at <http://eere.energy.gov/financing/exchange>. DOE will try to respond to questions within 3 to 5 business days, unless a similar question and answer have already been posted on the website. Applicants are encouraged to review the posted questions and answers daily. **Please note that you must first select this FOA Number in order to view the questions and answers specific to this FOA.**

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Section I - FUNDING OPPORTUNITY DESCRIPTION

Description

The Department of Energy's (DOE), Office of Energy Efficiency and Renewable Energy (EERE) is seeking applications that address and assist in reducing multiple barriers to alternative fuel vehicle adoption and use. Overall, this Funding Opportunity Announcement (FOA), issued on behalf of EERE by the National Energy Technology Laboratory (NETL), aims to decrease the nation's dependence on petroleum and reduce greenhouse gas emissions by accelerating the deployment of alternative fuels. Efforts should focus only on the alternative fuels defined by the Energy Policy Act of 1992, as amended by the Energy Policy Act of 2005 and further augmented by the Energy Independence and Security Act of 2007.

The expanded use of alternative fuel vehicles and domestically produced alternative transportation fuels can create and retain jobs, stimulate and support domestic economies, and help protect the environment. The Clean Cities program has identified the following four critical areas that provide significant obstacles to alternative fuel vehicle use: 1) Policies, 2) Barrier Reduction, 3) Safety and Training, and 4) Market Development/Outreach. The U.S. Department of Energy's Clean Cities program wishes to fund projects that target and remedy these specific obstacles to alternative fuel vehicle adoption and use in local, regional and/or statewide sectors and niche markets.

This Funding Opportunity Announcement (FOA), is fuel neutral; therefore applications should focus on one or more alternative fuels, (identified at <http://www.afdc.energy.gov/afdc/fuels/index.html>), depending on what fuels and technologies make the most sense for the proposed geographic area and activities to be performed under the proposed project. Proposed efforts regarding the use of biodiesel should not include blends less than 20% biodiesel (B20), and efforts regarding the use of ethanol should not include blends less than 70% ethanol (or below the current American Society for Testing and Materials (ASTM) specification for E85).

Applications should address each of the following four initiatives: 1) Policy, 2) Barrier Reduction, 3) Safety and Training, and 4) Market Development/Outreach. Applications can focus on certain elements within each initiative but each area should be addressed. Where appropriate, applications should include activities and standardized approaches that are replicable across other states, regions or nationally. Examples/guidance for activities associated with each initiative are listed below. In general, proposed activities should focus upon implementation. Note, that no more than 35% of the requested budget should be allocated to the Market Development/Outreach Initiative.

1. Policy Initiatives that positively impact local/regional/state regulations, plans, codes, and/or incentives regarding the use of alternative transportation fuel(s). Proposed activities can include but are not limited to the following examples:

- Update/ renovate Transportation Improvement Plans (TIPs)/ State Implementation Plans (SIPs) and regional transportation plans to allow/encourage/enhance the use of alternative fuel vehicles.
- Assist local agencies, governments, code officials, fire marshals and other relevant parties in the development and support of uniform codes and streamlined permitting processes for alternative fuel(s).

- Develop and implement monetary and non-monetary Alternative Fuel Vehicle (AFV) incentives (i.e.; motor vehicle registration fees and policies, high occupancy vehicle lane access, utility-based incentives, public/private employee incentive programs, preferred parking, front-of-the-line queuing at airports/stadiums/hotels/transportation hubs, etc.).
- Assist in the development of state and local government procurement and/or purchase policies that encourage contract service providers to use alternative fuel powered trucks and buses (i.e. refuse trucks, transit buses, airport ground services, delivery and utility fleets).
- Assist utility regulators to address outdated sale-for-resale restrictions that prevent the sale of alternative fuel by independent fuel providers or entities other than chartered utility companies.
- Assist authorities, having jurisdiction, to determine appropriate and simplified methods to handle road tax on the retail sale of alternative transportation fuels (i.e. annual tax stamps or flat fees, mileage based fees, or other creative approaches).
- Develop uniform policies, for road signage that identify highway exits and directs drivers to fueling/charging stations for AFVs.

2. Barrier Reduction Initiatives that identify, address, and/or mitigate various local/regional/state barriers to the use of alternative fuel vehicles. Proposed activities can include but are not limited to the following examples:

- Deliver workshops/training to fleet managers, decision makers, code officials, first responders and fire marshals regarding alternative fuel infrastructure and alternative fuel vehicles.
- Assess, analyze, and develop strategies to reduce local/regional/state barriers to alternative fuel vehicle adoption.
- Update existing restrictions that prevent the movement of alternative fuel vehicles and vehicles that deliver alternative fuel in and around metropolitan areas.
- Identify local/regional/state problems with standardizing weights and measures (i.e. uniform gallon equivalency standards, motor fuel taxation challenges, laws, regulations, and methods of practice) and develop strategies for mitigation.
- Consult with fleet managers to develop fleet-specific petroleum reduction plans.
- Develop streamlined AFV and infrastructure procurement policies/practices that allow multiple local, regional and state agencies to coordinate group vehicle purchases and to share fueling infrastructure.
- Educate fuel retailers concerning selling and dispensing alternative fuels and related fuel supplier responsibilities.

3. Safety and Training Initiatives that address needs for training of first-responders, service technicians, mechanics, code officials, fleet managers and/or decision makers regarding the use of alternative fuel vehicles and petroleum reduction strategies. Training materials, curricula, websites, on-line tools, and other relevant information resources developed by DOE should be utilized and leveraged to the greatest extent possible.

Proposed activities can include but are not limited to the following examples:

- Deliver training to first responders to address local/regional safety issues.
- Provide training or certification to fleet mechanics, vehicle maintenance technicians, and infrastructure installers to promote safe and appropriate repair, maintenance and installation of AFV/station equipment.
- Deliver workshops and/or training to code officials, fleet managers, decision makers, regarding safe operation and maintenance of alternative fueling infrastructure and/or AFVs.
- Assist labor and trade unions with coordinating effective safety training for fleet drivers and maintenance operations.
- Assist garage and maintenance shops with identification of code and safety compliance concerns and recommend solutions regarding AFVs.
- Develop and adopt general safety guidelines and recommended best practices for vehicle conversions in the geographic area covered by the proposed project. For example: statewide/region-wide guidelines requiring vehicle conversions to be compliant with emissions and safety regulations applicable to the area in which the vehicles operate; and/or guidelines requiring that vehicle conversions should be performed only by properly trained and qualified technicians and mechanics.

4. Market Development/Outreach Initiatives that address needed outreach, education, coordination among key infrastructure development partners, and/or information dissemination regarding the use of alternative fuel vehicles. Proposed activities can include but are not limited to the following examples:

- Develop/administer local/regional/state recognition program(s) for fleets to encourage petroleum reduction.
- Facilitate collaborative infrastructure development efforts between large utility companies, smaller rural or municipal utilities, and private sector fuel providers.
- Develop a comprehensive strategy to help local/regional businesses and governments reduce fleet-wide petroleum use.
- Educate fleet managers, consumers, and decision-makers about using alternative fuels and increasing fleet-wide fuel efficiency and provide direct support to fleets to implement petroleum reduction strategies.
- Organize alternative-fuel-specific end-user group(s) comprised of end-users (i.e. fleets) and suppliers dedicated to supporting and promoting the use of an alternative transportation fuel. Groups can be focused on (but are not limited to) increasing public awareness and usage of such fuels, analyzing and reducing barriers to use in the local region, providing technical assistance and sharing of best practices among end users.
- Organize alternative-fuel-specific workshops to potential fleet users.
- Develop a baseline analysis for local/regional/state current and future alternative fuel use, and a strategic plan or “road map” for the near and long term deployment and location of alternative fueling infrastructure.
- Assist fuel wholesalers/retailers to increase the availability of alternative transportation fuels.

Funds may not be used for the purchase or installation of fueling infrastructure or vehicles. Applications that propose to use funds for either of these unallowable items may be considered non-responsive.

General Requirements:

1. Applications should include a detailed approach for how the project will be carried out including the partners involved (if applicable), a detailed budget, timeline/milestones, and key staff personnel with assigned roles/duties.
2. Applications should focus primarily on the use of on-road alternative fuel vehicles. However, applications that include off-road vehicles (i.e. ground support vehicles at public airports; medium and heavy duty freight loading and handling vehicles at ports and freight operations) as a secondary aspect may be considered, as long as the activities help to leverage the development of programs, policies, and infrastructure that will significantly advance the deployment of on-road alternative fuel vehicles.

NOTE: Activities designed to promote the use of alternative fuels in marine applications, locomotives, prototype or novelty vehicles, golf carts, snowmobiles, and other off-road recreational or sport vehicles are not eligible under this FOA.

3. Where appropriate, applications should provide information about the methods the applicant will use to develop standardized sets of best practices, and provide regional and/or national models of efforts that can be used by other communities.
4. The application should include a business case or statement of need, explaining how this project will impact the alternative fuel market in the geographic area.
5. DOE recognizes that applicants will have varied needs and approaches. There is flexibility on the content involved with each initiative focus areas, but applications must address each of the four initiatives in some manner. Applications must identify specific policies, incentives, and barriers that will be addressed and solutions to be implemented under the project. The activity descriptions associated with each initiative should be used as examples/guidance as those desirable to be funded under this FOA.
6. Teaming arrangements are strongly encouraged under this area of interest that include one or more active designated Clean Cities Coalition(s) (http://www.eere.energy.gov/cleancities/progs/coalition_locations.php) and other partners with relevant experience and expertise. Team members of particular interest to the DOE include state agencies (e.g. state energy offices) and/or local government agencies/organizations/transit agencies (MTAs), utilities and utility regulators, fuel providers and fuel retailers, auto/truck/bus dealerships, public or private fleets, vehicle and equipment manufacturers, energy marketers, energy companies, standards development organizations (SDOs), universities, labor and trade unions, and training organizations. Teams may span more than one municipality, region or state.
7. Commitment letters from each of the project partners (if applicable), indicating the amount, timeline, and type of technical, financial, or other resources and support being provided to the project, along with affirming their role/commitment to the project, must be included in the application. Commitment letters should be limited to project partners. Letters of support from

other organizations (i.e. not project partners) interested in lending their support to the worthiness of the project will not be considered and should not be included as part of the application.

8. DOE will consider funding applications that request funding outside of the anticipated award size if the applicant proposes a comprehensive multiple city, state, regional or national approach.

9. Materials developed under this award will be publicly releasable.

10. DOE recognizes that applicants may have already made achievements in implementing alternative fuel policies and petroleum reduction activities in their communities. If applicants or their partners have received federal funds for efforts similar to those proposed, the application must clearly describe how the new activities will be distinctly different from those already being funded under the other awards.

11. It is expected that resultant awards will have the following requirements:

- a. Applicants must provide data and other information (e.g. status of key activities, milestones, accomplishments, etc.) as required, to accurately track the status of their project. This status information may also be tracked and reported on, using an on-line tracking tool such as a scorecard.
- b. Deliverable of quarterly written progress reports.
- c. Participation in various forums organized by DOE to report on progress and share lessons learned, such as conference calls, meetings, merit reviews, and workshops. Applicants should include (in the proposed budget) travel costs for approximately two (2) meetings and/or merit reviews, in Washington, DC, and/or other DOE-sponsored workshops/meetings or other forums.
- d. Final Report that includes publishable materials, such as lessons learned, best practices, etc. developed through the project.

Section II - AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT

DOE anticipates awarding grants under this funding opportunity announcement.

B. ESTIMATED FUNDING

Approximately \$5,000,000 is expected to be available for new awards under this announcement. Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

C. MAXIMUM AND MINIMUM AWARD SIZE

Ceiling (i.e., the maximum amount for an individual award made under this announcement):
\$ 1,000,000*

Floor (i.e., the minimum amount for an individual award made under this announcement):
\$ 200,000*

*These amounts represent awards with 100% Federal funds – any proposed cost share (which is encouraged but not required) would be above and beyond this amount.

D. EXPECTED NUMBER OF AWARDS

DOE anticipates making 10 – 20 awards under this announcement depending on the size of the awards.

E. ANTICIPATED AWARD SIZE

DOE anticipates that awards will be in the \$250,000 - \$500,000 range for the total project period. While it is highly preferred that projects are within this specified range, applications outside of this range and within the above maximum and minimum award size may be considered. For projects to be considered for funding above the specified range, the application must demonstrate significant benefits, impact, and implementation across a broad geographic area.

F. PERIOD OF PERFORMANCE

DOE anticipates making awards with an estimated period of performance not to exceed two (2) years.

G. TYPE OF APPLICATION

DOE will only accept new applications under this announcement.

Section III - ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS

All types of domestic entities including DOE National Laboratories/Federally Funded Research and Development Centers (FFRDC) (as defined by EPAct 2005, Section 989) and Non-DOE FFRDC contractors are eligible to apply, as either prime Recipients or sub-recipients /subcontractors except for NETL or other Federal agencies, and nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995. Please reference the following website for a listing of eligible FFRDC's <http://www.nsf.gov/statistics/ffrdclist/start.cfm>.

If a DOE National Laboratory/FFRDC is selected as a prime recipient under this announcement, it is DOE's intent to award the selection through the Field Work Proposal process.

However, if a project is selected with a DOE National Laboratory/FFRDC sub-recipient/subcontractor, it is not the intent of the DOE to award that portion through the Field Work Proposal process. Rather, the anticipated approach is a Work for Others (WFO) agreement/subcontract between the recipient and the DOE National Laboratory/FFRDC.

Likewise, if a project is selected with a Non-DOE FFRDC sub-recipient, DOE will not fund that Non-DOE FFRDC through an interagency agreement with the sponsoring agency.

The value of, and funding for, any FFRDC subcontracted/WFO portion of the work shall be included in the award to a successful applicant.

B. COST SHARING {or MATCHING}

Cost sharing is encouraged but not required.

C. OTHER ELIGIBILITY REQUIREMENTS

FFRDC/National Laboratories

DOE National Laboratory Participation: A DOE National Laboratory is eligible to apply for funding as a lead participant or team member on another entity's application, under this announcement if its cognizant contracting officer provides written authorization and this authorization is submitted with the application.

Authorization for DOE FFRDC/National Laboratory: The cognizant contracting officer for the FFRDC must authorize in writing, the use of a DOE FFRDC/National Laboratory contractor on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization:

"Authorization is granted for the [Name] Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complimentary to the missions of the laboratory and will not adversely impact execution of the DOE assigned programs at the laboratory."

Non-DOE FFRDC/National Laboratories Contractors:

Non-DOE FFRDC contractors may be proposed as a lead participant or team member on another entity's application subject to the following guidelines:

Authorization for non-DOE FFRDCs: The cognizant contracting officer for the FFRDC must authorize in writing the use of an FFRDC contractor on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization.

"Authorization is granted for the [Name] Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complimentary to the missions of the laboratory, will not adversely impact execution of the DOE assigned programs at the laboratory, and will not place the laboratory in direct competition with the domestic private sector."

Responsibility: The applicant, if successful, will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to, disputes and claims arising out of any agreement between the applicant and the FFRDC contractor.

Foreign Entity Participation as a Team Member

The foreign entity contractor effort, in aggregate, shall be no more than 20% of the total award amount.

Section IV - APPLICATION AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST APPLICATION PACKAGE

Application forms and/or instructions can be found on the EERE eXCHANGE website at <http://eere.energy.gov/financing/exchange>.

B. LETTER OF INTENT AND PRE-APPLICATION

1. Letter of Intent.

Letters of Intent are not required.

2. Pre-application

Pre-applications are not required.

C. CONTENT AND FORM OF APPLICATION

Applicants must complete the required application documents and any applicable optional documents in accordance with the instructions provided on the application documents and the additional instructions provided below, as required by this FOA. Templates for many of the application documents required for this specific FOA are provided with this announcement at the EERE eXCHANGE website at <http://eere.energy.gov/financing/exchange> under "Required Application Documents." **Please be sure to select the subject FOA to download the applicable application documents.** All application files must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.

A control number will be issued when an Applicant begins the application submission process. This control number will automatically be included in the file name upon upload in eXCHANGE.

1. SF 424 - Application for Federal Assistance (Mandatory)

A template SF 424 Application for Federal Assistance is provided with this announcement under "Required Application Documents". Complete all required fields in accordance with the instructions on the form. The list of certifications and assurances referenced in Field 21 of the form can be found at: <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>.

Note: The dates and dollar amounts on the SF 424 are for the complete project period and not just the first year, first phase, or other subset of the project period.

Save the information in a single file named "SF424Application.pdf."

2. Public Project Summary/Abstract (Mandatory)

The Public 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 project director/principal investigator(s), the project title, the program area of interest that the application addresses, the objectives of the project, a description of the project, including methods to be employed, 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 award. **The Abstract must not exceed 1 page**, single-spaced, when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font not smaller than 11 point.

Save the information in a single file named "ProjectSummary.pdf."

3. Project Narrative File (Mandatory)

The project narrative must not exceed 25 pages, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) single spaced. **EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE.** The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application. See Part VIII.D for instructions on how to mark proprietary application information.

Save the information in a single file named "ProjectNarrative.pdf."

The project narrative must include:

Cover Page (included in the 25-page limit). The Project Narrative File cover page should indicate the prime applicant's name and type of organization, the announcement number, the project title, and both the technical and business points of contact for the applicant, denoting the names, titles, addresses, telephone numbers, and electronic mail addresses. The cover page should also include a table providing:

- Participants' names, city, state and zip code (both prime and sub-recipients);
- Total budget for each participant (both DOE share and cost share, if applicable);
- Entity type for each participant (Non-profit, Institution of Higher Education, FFRDC, or Other – see Section III.A).

Project Objectives: This sub-section should provide a clear, concise statement of the specific objectives/aims of the proposed project and shall include the anticipated outcome or advancement of the proposed approach. This section should also include a statement of need/business case for the proposed work.

Merit Review Criterion Discussion: The section should be formatted to address each of the merit review criterion and sub-criterion listed in Section V. A. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. **DOE/ WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION AND SUB-CRITERION.**

Project Timetable: This section should outline as a function of time all the important activities or phases of the project, including the duration and sequencing of tasks and the

scheduling of project milestones verifying that the project will be completed within the proposed period of performance. Successful applicants must use this project timetable to report progress.

Relevance and Outcomes/Impacts: This section should explain the relevance of the effort to the objectives in the program announcement and the expected outcomes and/or impacts. The justification for the proposed project should include a clear statement of the importance of the project in terms of the utility of the outcomes and the target community of beneficiaries.

Roles of Participants: For multi-organizational or multi-investigator projects, describe the roles and the work to be performed by each participant/investigator, business agreements between the applicant and participants, and how the various efforts will be integrated and managed.

Equipment: List important items of equipment already available for this project and, if appropriate, note the location and pertinent capabilities of each. If you are proposing to acquire equipment, describe comparable equipment, if any, already at your organization and explain why it cannot be used. **As noted in the description section, equipment should not include the purchase or installation of fueling infrastructure or vehicles. Applications that propose to use funds for either of these unallowable items may be considered non-responsive.**

Bibliography And References, If Applicable: Provide a bibliography for any references cited in the Project Narrative section. This section must include only bibliographic citations.

Statement Of Project Objectives (SOPO): The project narrative file must contain a single, detailed Statement of Project Objectives that addresses how the project objectives will be met. The SOPO must contain a clear, concise description of the major activities to be completed during project performance and follow the structure discussed below. It is therefore required that it shall not contain proprietary or confidential business information.

The Statement of Project Objectives is generally less than four (4) pages in total for the proposed work. Applicants shall prepare the Statement of Project Objectives in the following format:

TITLE OF WORK TO BE PERFORMED (Insert the title of work to be performed. Be concise and descriptive.)

A. OBJECTIVES

Include one paragraph on the overall objective(s) of the work.

B. SCOPE OF WORK

This section should not exceed one-half page and should summarize the effort and approach to achieve the objective(s).

C. TASKS TO BE PERFORMED

Tasks should be provided in a logical sequence. This section provides a brief summary of the planned approach to this project.

Task 1.0 - Project Management/Administration

(Description includes work elements required to manage and report on activities in accordance with the applicants proposed project)

Task 2.0 – Policy Initiatives and Activities

Subtask 2.1 (subtask to be determined by the activities submitted by the applicant)
Subtask 2.2 (subtask to be determined by the activities submitted by the applicant)
Subtask 2.3 (subtask to be determined by the activities submitted by the applicant)

Task 3.0 – Barrier Reduction Initiatives and Activities

Subtask 3.1 (subtask to be determined by the activities submitted by the applicant)
Subtask 3.2 (subtask to be determined by the activities submitted by the applicant)
Subtask 3.3 (subtask to be determined by the activities submitted by the applicant)

Task 4.0 – Safety and Training Initiatives and Activities

Subtask 4.1 (subtask to be determined by the activities submitted by the applicant)
Subtask 4.2 (subtask to be determined by the activities submitted by the applicant)
Subtask 4.3 (subtask to be determined by the activities submitted by the applicant)

Task 5.0 – Market Development/Outreach Initiatives and Activities

Subtask 5.1 (subtask to be determined by the activities submitted by the applicant)
Subtask 5.2 (subtask to be determined by the activities submitted by the applicant)
Subtask 5.3 (subtask to be determined by the activities submitted by the applicant)

D. DELIVERABLES

Reports will be submitted in accordance with the attached “Federal Assistance Reporting Checklist” and the instructions accompanying the checklist. In addition, the following deliverables are required.

[Note: The Recipient shall provide a list of deliverables other than those identified on the "Federal Assistance Reporting Checklist" that will be delivered. These reports shall also be identified within the text of the Statement of Project Objectives.]

Deliverable 1 - (deliverable to be determined by the applicant)

Deliverable 2 - (deliverable to be determined by the applicant)

E. BRIEFINGS/TECHNICAL PRESENTATIONS

Recipient shall prepare detailed briefings to explain the plans, progress, and results of the technical effort during the performance period of the award. These briefings shall be made at one of the DOE locations (Washington DC/ Pittsburgh, PA/ Morgantown, WV/ Golden, CO) or at one of the project team sites as appropriate. These briefings may be done in person or remotely via teleconference/webcast, on an "as needed basis". In addition, reports/presentations shall be developed and delivered as appropriate at Program Merit Reviews, or at various forums organized by DOE to report on progress and share lessons learned, such as conference calls, meetings, and workshops. Up to two Program Merit Review briefings, along with up to two additional project briefings may be required during the project period.

4. Resume File (Mandatory)

Provide a resume for each key person proposed, including subawardees and consultants if they meet the definition of key person. 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 named "bio.pdf" and click on "Add Optional Other Attachment" to attach. The biographical information for 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 no smaller than 11 point and should include the following information, if applicable:

Education and Training: Undergraduate, graduate, and postdoctoral training; provide institution, major/area, degree, and year.

Professional Experience: Beginning with the current position list, in chronological order, professional/academic positions with a brief description. Expertise or professional expertise relevant to the proposed work should be emphasized.

Publications: Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically.

Patents, copyrights, and software systems developed may be provided in addition to or substituted for publications.

Synergistic Activities: List no more than 5 professional and scholarly activities related to the effort proposed.

Save the information in a single file named "[Name].Resume.doc or docx."

5. Prime Applicant - SF 424A Excel, Budget Information (Mandatory)

Applicants must provide a cumulative budget (SF 424A) for the total project period. This is required for FFRDCs and other DOE National Laboratories if they are proposing as the Prime Applicant. Applicants may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement. A template SF 424A "Budget Information Non-Construction Programs" is provided with this announcement under "Required Application Documents".

Save the information in a single file named "PrimeBudget424A.xls or.xlsx."

6. Prime Applicant - Budget Justification File (Mandatory)

Applicants must justify the costs proposed in each Object Class Category by providing a basis of cost. A template PMC 123.1 (OMB Number: 1910-5162) Detailed Budget Justification form is provided with this announcement under "Required Application Documents".

Save the budget justification information in a single file named "PrimeBudgetJustification.xls or.xlsx."

7. Subrecipient Budget File(s) (If applicable)

Applicants must also provide a separate budget file (i.e. cumulative budget) for each subrecipient that is expected to perform work estimated to be more than \$100,000 or 50% of

the total work effort (whichever is less). A template SF 424A "Budget Information Non-Construction Programs" form is provided with this announcement under "Required Application Documents".

If a Non-DOE FFRDC contractor or DOE National Laboratory is being proposed as a subrecipient, a Subrecipient Budget File is required for their effort.

Save the information in a single file named "SubrecipientBudget424A.xls or.xlsx."

8. Subrecipient Budget Justification (If applicable)

Applicants must also provide a separate budget justification (i.e., budget for each year and a cumulative budget) for each subrecipient that is expected to perform work estimated to be more than \$100,000 or 50% of the total work effort (whichever is less). A template PMC 123.1 (OMB Number: 1910-5162) Detailed Budget Justification form is provided with this announcement under "Required Application Documents".

If a Non-DOE FFRDC contractor or DOE National Laboratory is being proposed as a subrecipient, a Subrecipient Budget Justification is required for their effort.

Save the subrecipient budget justification information in a single file named "SubrecipientBudgetJustification.xls or.xlsx."

9. SF-LLL Disclosure of Lobbying Activities (If applicable)

Complete the SF- LLL form found with this announcement provided with this announcement under "Required Application Documents".

Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

Save the information in a single file named "SF-LLL.pdf."

Summary of Required Forms/Files

Your application must include the following documents:

Name of Document	Format	File Name
SF424 Application for Federal Assistance	Form	SF424Application.pdf
Project Summary/Abstract	Form	ProjectSummary.pdf
Project Narrative File	PDF	ProjectNarrative.pdf
Resume File	PDF	[Name].Resume.doc or docx
SF424A File - Budget Information for	Excel	PrimeBudget424A.xls or.xlsx

Non-Construction Programs		
Budget Justification File	PDF	PrimeBudgetJustification.xls or xlsx
Subrecipient Budget File(s) (if applicable)	Excel	SubrecipientBudget424A.xls or xlsx
Subrecipient Budget Justification (if applicable)	PDF	SubrecipientBudgetJustification.xls or xlsx
SF-LLL Disclosure of Lobbying Activities (if applicable)	Form	SF-LLL.pdf

D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS

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
- 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
- Commitment Letter from Third Parties Contributing to Cost Sharing, if applicable

E. SUBMISSION DATES AND TIMES

1. Pre-application Due Date

Pre-applications are not required.

2. Application Due Date

Applications must be received by 06/18/2012, not later than 8:00 PM Eastern Time. You are encouraged to transmit your application well before the deadline. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

F. INTERGOVERNMENTAL REVIEW

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

G. FUNDING RESTRICTIONS

Cost Principles: Costs must be allowable, allocable and reasonable in accordance with the applicable Federal cost principles referenced in 10 CFR 600. The cost principles for commercial organization are in FAR Part 31.

Pre-Award Costs: Pre-award costs are subject to the following:

- For awards with Educational Institutions: Consistent with OMB Circular A-21, educational institutions may not incur pre-award costs prior to award, without prior approval of the DOE Contracting Officer.

- For awards with State or Local Governments: Consistent with OMB Circular A-87, State or Local Governments may not incur pre-award costs prior to award, without prior approval of the DOE Contracting Officer.
- For awards with Other Non-Profit Recipients (not including hospitals): Consistent with OMB Circular A-122, other non-profit recipients may not incur pre-award costs prior to award, without prior approval of the DOE Contracting Officer.
- For awards with For-Profit Recipients: Consistent with 10 CFR 600.317, for-profit recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR 600. Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period. Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs including if for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

Funding Availability: Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

Property Management: Consistent with 10 CFR 600.134 (Non-Profits), 10 CFR 600.232 (States and Local Governments), and 10 CFR 600.321 (For Profits), title to real property, equipment and supplies (excluding Government-furnished property) acquired by or on behalf of the Recipient in connection with performance of the project will not vest in the Recipient unconditionally at the end of the project. The Government retains its equitable interest in the property purchased by the Recipient. If the property is sold or Recipient otherwise receives financial benefit from the property disposition, the Recipient shall share the financial benefit with the Government in the same share ratio as the total project cost sharing.

H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

1. Where to Submit

APPLICATIONS MUST BE SUBMITTED THROUGH THE EERE eXCHANGE SYSTEM (<http://eere.energy.gov/financing/exchange>) TO BE CONSIDERED FOR AWARD UNDER THIS ANNOUNCEMENT. Applications submitted by any other means will not be accepted. You cannot submit an application unless you are registered.

2. Registration Process

There are several one-time actions the Applicant must complete. The applicant must:

- Register through the EERE eXCHANGE at <http://eere.energy.gov/financing/exchange>;
- Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number at <http://fedgov.dnb.com/webform>;
- Register with the Central Contractor Registry (CCR) at <https://www.bpn.gov/ccr/default.aspx>;
- Register in FedConnect at <https://www.fedconnect.net/>. In the event that an application is selected for negotiation of award, Applicants must be registered with FedConnect to receive the award. To create an organization account, your organization's CCR MPIN is

- required. For more information about the CCR MPIN or other registration requirements, review the FedConnect Ready, Set, Go! Guide at https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf;
- Register in Grants.gov at <http://grants.gov/>; in order to receive automatic updates, in the event that, Amendments to this FOA are posted. However, please note that applications will not be accepted through Grants.gov.

In addition to the eXCHANGE registration system, which does not have a delay, these registration requirements could take several weeks to process and are necessary in order for a potential Applicant to receive an award under this announcement.

EERE Web-Based Submission Information

All application submissions are to be made via the EERE eXCHANGE at <http://eere.energy.gov/financing/exchange>. To gain access to the EERE eXCHANGE system, the applicant must first register and create an account on the main EERE eXCHANGE site. This account will then allow the user to submit an application for open EERE Funding Opportunity Announcements (FOAs) that are currently in eXCHANGE. It is recommended that each organization or business unit, whether acting as a team or a single entity, utilize one account as the appropriate contact information for each submission.

The Applicant will receive an automated response when the application is received; this will serve as a confirmation of EERE receipt. Please do not reply to the automated response. A “User Guide” for the EERE eXCHANGE can be found at <http://eere.energy.gov/financing/exchange/Manuals.aspx> after logging in to the system.

To receive notices via email regarding an FOA in eXCHANGE, such as amendments to the announcement or the posting of new questions and answers from eXCHANGE you must initiate an application submission to the FOA of interest. Please note that you must finalize your application before the specified due date and time to be considered for award.

3. Electronic Authorization of Applications and Award Documents

Submission of an application and supplemental award information under this announcement through electronic systems used by the Department of Energy, including EERE eXCHANGE, constitutes the authorized representative’s approval and electronic signature.

Submission of award documents, including modifications, through electronic systems used by the Department of Energy, including FedConnect, constitutes the authorized representative’s approval and acceptance of the terms and conditions of the award. Award acknowledgement via FedConnect constitutes the authorized representative’s electronic signature.

Section V - APPLICATION REVIEW INFORMATION

A. CRITERIA

1. Initial Review Criteria

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the information required by the funding opportunity announcement has been submitted; and (3) the proposed project is responsive to the objectives of the funding opportunity announcement. Applications that fail to meet all of mandatory requirements will not pass the initial review, and the application will not be forwarded for comprehensive merit review and the application will be eliminated from further consideration.

2. Merit Review Criteria

Criterion 1: Probability of Project Success Based on Technical Approach and Project Narrative/ Statement of Project Objectives (30%)

- a. Responsiveness and relevance of the application to the objectives and requirements identified in this announcement.
- b. Adequacy, reasonableness, and soundness of the proposed effort including the duration and sequencing of tasks and the scheduling of project milestones verifying that the project will be completed within the proposed period of performance.
- c. Completeness and strength of proposed project narrative.
- d. Adequacy, appropriateness, and reasonableness of the proposed work and budget distribution to accomplish the project objectives.

Criterion 2: Potential Impact (35%):

- a. Clarity, completeness, and adequacy of statement of need/business case for the proposed activities and work to be accomplished.
- b. Degree to which the proposed activities can be replicated through the dissemination of lessons learned/best practices, etc.
- c. Degree to which the technical approach demonstrates how the project will lead to market transformation and bring about significant and sustainable use of alternative fuel vehicles.
- d. Degree to which proposed activities leverage the strengths, capabilities, and resources (i.e. materials and tools) of the Clean Cities program and its stakeholders, helping to strengthen their effectiveness and maximize their potential to achieve programmatic goals over the next several years.
- e. Degree to which the proposed activities positively influence local/regional/state policies to allow/encourage/enhance the use of alternative fuel vehicles. (See Policy Initiative activities)
- f. Degree to which the proposed activities to identify, address and mitigate local/regional/state barriers to the adoption and use of alternative fuel(s). (See Barrier Reduction Initiative activities)
- g. Degree to which the proposed activities provide petroleum reduction/alternative fuel educational and training opportunities to fleet managers, first-responders, safety officials and decision makers. (See Safety and Training Initiative activities)
- h. Degree to which the proposed activities engage fleet managers, local regulators/regulatory bodies, decision makers, and the public regarding petroleum reduction and the deployment of alternative fuel vehicles and the associated fueling infrastructure. (See Market Development/Outreach Initiative activities)

Criterion 3: Probability of Project Success Based on Team Expertise (35%)

- a. Qualifications, expertise, and experience of both the identified key personnel and the applicant organization and/or partners in areas relevant to the proposed work
- b. Identification of specific personnel assigned to major project tasks, their roles in relation to the work required, percent of their time on the project, and special qualifications they may bring to the project.
- c. Degree to which the applicant and/or team resources are allocated to successfully complete the proposed work
- d. Strength of partnerships and extent of active participation of the relevant entities to ensure the success of the project.
- e. Strength of partnerships and extent of active participation of Clean Cities Coalitions and their stakeholders.
- f. Quality and strength of commitment letters documenting technical and/or financial support from all team partners.

3. Other Selection Factors

Program Policy Factors

The selection official may consider the following program policy factors in the selection process:

- It may be desirable to select projects for award of less technical merit than other projects, if such a selection will optimize use of available funds by allowing more projects to be supported while not being detrimental to the overall objectives of the Clean Cities Program
- It may be desirable to select projects that represent a broad geographic distribution, encompassing varying population densities.
- It may be desirable to select projects that collectively represent diverse types and sizes of applicant organizations. This includes, but is not limited to, limiting the number of applications selected from one applicant organization.
- It may be desirable to select projects that optimize Federal investment and maximize commitment as demonstrated by cost share.
- It may be desirable to select projects that include a comprehensive multiple city, state, regional, or national approach.

B. REVIEW AND SELECTION PROCESS

1. Merit Review

Applications Subject to Merit Review

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance."

This guide is available

at <http://energy.gov/management/office-management/operational-management/financial-assistance>, under "Financial Assistance Policy and Guidance."

2. Selection

The Selection Official will consider the merit review results, program policy factors, and the amount of funds available.

3. Discussions and Award

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES

DOE anticipates notifying applicants selected for award by September 2012 and making awards either by the end of September 2012 or in Fiscal Year 2013.

Section VI - AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES

1. Notice of Selection

Selected Applicants Notification: DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance.

Non-Selected Notification: Organizations whose applications have not been selected for award will be advised as promptly as possible. This notice will explain why the application was not selected.

2. Notice of Award

An Assistance Agreement issued by the contracting officer is the authorizing award document. It normally includes either as an attachment or by reference: (1) Special Terms and Conditions; (2) Applicable program regulations, if any; (3) Application as approved by DOE; (4) DOE assistance regulations at 10 CFR part 600, or, for Federal Demonstration Partnership (FDP) institutions, the FDP terms and conditions; (5) National Policy Assurances To Be Incorporated As Award Terms; (6) Budget Summary; and (7) Federal Assistance Reporting Checklist, which identifies the reporting requirements.

For grants and cooperative agreements made to universities, non-profits and other entities subject to Title 2 CFR the Award also includes the Research Terms and Conditions located at <http://www.nsf.gov/bfa/dias/policy rtc/index.jsp>.

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

1. Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR 600 (See: <http://ecfr.gpoaccess.gov>). Grants and cooperative agreements made to universities, non-profits and other entities subject to Title 2 CFR are subject to the Research Terms and Conditions located on the National Science Foundation web site at <http://www.nsf.gov/bfa/dias/policy rtc/index.jsp>.

DUNS AND CCR REQUIREMENTS

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR, Part 25 (See: <http://ecfr.gpoaccess.gov>). Prime awardees must keep their data at CCR current. Subawardees at all tiers must obtain DUNS numbers and provide the DUNS to the prime awardee before the subaward can be issued.

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. (See: <http://ecfr.gpoaccess.gov>). Prime awardees must register with the new FSRs database and report the required data on their first tier subawardees. Prime awardees must report the executive compensation for their own executives as part of their registration profile in

the CCR.

2. Special Terms and Conditions and National Policy Requirements

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located

at http://energy.gov/sites/prod/files/maprod/documents/SPECIAL_TERMS_AND_CONDITIONS_FOR_USE_IN_MOST_GRANTS_AND_COOPERATIVE_AGREEMENTS.pdf.

Applicant Lighting Efficiency Certification (April 2012)

In submitting an application in response to this FOA the Applicant certifies that if chosen for a grant award and the award is in excess of \$1,000,000 it will, by the end of the Federal Government's fiscal year, upgrade the efficiency of its facilities by replacing any incandescent lighting of the type for which section 325 of the Energy Policy and Conservation Act (42 USC 6295) establishes a standard that does not meet or exceed the energy efficiency standard for incandescent light bulbs set forth in that section with a lamp that meets or exceeds the standards for lamps established in or pursuant to that section.

Incandescent reflector lamps shall meet or exceed the lamp efficacy standards shown in the table:

Rated lamp wattage	Lamp spectrum	Lamp diameter (inches)	Rated voltage	Minimum average lamp efficacy (lm/W)
40–205	Standard Spectrum	>2.5	≥125V	$6.8 * P^{0.27}$
			<125V	$5.9 * P^{0.27}$
		≤2.5	≥125V	$5.7 * P^{0.27}$
			<125V	$5.0 * P^{0.27}$
40–205	Modified Spectrum	>2.5	≤125V	$5.8 * P^{0.27}$
			<125V	$5.0 * P^{0.27}$
		≤2.5	≥125V	$4.9 * P^{0.27}$
			<125V	$4.2 * P^{0.27}$

Note 1: P is equal to the rated lamp wattage, in watts.

Note 2: Standard Spectrum means any incandescent reflector lamp that does not meet the definition of modified spectrum in 10 CFR 430.2.

Subject to the exemption below, the standards specified in this section shall apply to ER incandescent reflector lamps, BR incandescent reflector lamps, BPAR incandescent reflector lamps, and similar bulb shapes.

Subject to the exemption below, the standards specified in this section shall apply to incandescent reflector lamps with a diameter of more than 2.25 inches, but not more than 2.75 inches.

Exemption: The standards specified in this section shall not apply to the following types of incandescent reflector lamps:

(A) Lamps rated at 50 watts or less that are ER30, BR30, BR40, or ER40 lamps;

(B) Lamps rated at 65 watts that are BR30, BR40, or ER40 lamps; or

(C) R20 incandescent reflector lamps rated 45 watts or less.

For purposes of this Certification, the following definitions apply:

- (A) Facilities mean the room(s), area(s), or building(s) that are used to complete a majority of the work under the project.
- (B) In excess of \$1,000,000 means the total value of the grant including all budget periods funded with Federal funds and recipient cost share is greater than \$1,000,000.
- (C) Federal Government's fiscal year begins October 1st and ends September 30th.
- (D) Except as provided in subparagraph (4) below, the term "incandescent lamp" means a lamp in which light is produced by a filament heated to incandescence by an electric current, including only the following:
 - (1) Any lamp (commonly referred to as lower wattage nonreflector general service lamps, including any tungsten-halogen lamp) that has a rated wattage between 30 and 199 watts, has an E26 medium screw base, has a rated voltage or voltage range that lies at least partially within 115 and 130 volts, and is not a reflector lamp.
 - (2) Any lamp (commonly referred to as a reflector lamp) which is not colored or designed for rough or vibration service applications, that contains an inner reflective coating on the outer bulb to direct the light, an R, PAR, ER, BR, BPAR, or similar bulb shapes with E26 medium screw bases, a rated voltage or voltage range that lies at least partially within 115 and 130 volts, a diameter which exceeds 2.25 inches, and has a rated wattage that is 40 watts or higher.
 - (3) Any general service incandescent lamp (commonly referred to as a high- or higher-wattage lamp) that has a rated wattage above 199 watts (above 205 watts for a high wattage reflector lamp).
 - (4) The term "incandescent lamp" does not include any lamp excluded by the Secretary, by rule, as a result of a determination that standards for such lamp would not result in significant energy savings because such lamp is designed for special applications or has special characteristics not available in reasonably substitutable lamp types.
- (E) The term "base" means the portion of the lamp which connects with the socket as described in ANSI C81.61-1990.
- (F) The term "bulb shape" means the shape of lamp, especially the glass bulb with designations for bulb shapes found in ANSI C79.1-1980 (R1984).
- (G) The term "lamp efficacy" means the lumen output of a lamp divided by its wattage, expressed in lumens per watt (LPW).

- (H) The term “lamp wattage” means the total electrical power consumed by a lamp in watts, after the initial seasoning period referenced in the appropriate IES standard test procedure and including, for fluorescent, arc watts plus cathode.

Corporate Felony Conviction and Federal Tax Liability Representations (March 2012)

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

- (1) It is **not** a corporation that has been convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal law within the preceding 24 months,
- (2) **No** officer or agent of the corporation have been convicted of a felony criminal violation for an offense arising out of actions for or on behalf of the corporation under Federal law in the past 24 months,
- (3) 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:

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.

Lobbying Restrictions: By accepting funds under this award, you agree 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.

National Policy Assurances: The National Policy Assurances To Be Incorporated As Award Terms are located at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>.

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>

C. REPORTING

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. The checklist is available at: <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Forms.

Section VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS

Questions related to the use of the EERE eXCHANGE website or technical issues concerning the application submittal should be submitted to: EERE-ExchangeSupport@hq.doe.gov.

Questions related to the content of the Funding Opportunity Announcement must be submitted to DE-FOA0000708@netl.doe.gov and shall be submitted not later than 3 calendar days prior to the final application due date. Questions submitted after that date may not allow the Government sufficient time to respond.

All questions and answers related to the content of this FOA will be posted at <http://eere.energy.gov/financing/exchange>. DOE will try to respond to questions within 3 to 5 business days, unless a similar question and answer have already been posted on the website. Applicants are encouraged to review the posted questions and answers daily. **Please note that you must first select this FOA Number in order to view the questions and answers specific to this FOA.**

B. AGENCY CONTACT

Name:	Kellyn L. Cassell
E-mail:	kellyn.cassell@netl.doe.gov
FAX:	304-285-4683
Telephone (Optional):	304-285-4554

Section VIII - OTHER INFORMATION

A. AMENDMENTS TO ANNOUNCEMENT

Notices of any Amendments to this announcement will be posted on the EERE eXCHANGE web site and the Grants.gov system. However, you will only receive an email when an amendment or an announcement is posted on these sites if you register for email notifications for this FOA in Grants.gov or initiate a proposal in eXCHANGE. 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 announcements.

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE

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

C. 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 other than the Contracting Officer, either explicit or implied, is invalid.

Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

D. PROPRIETARY APPLICATION INFORMATION

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

"The data contained in pages [Insert pages] of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government's right to use or disclose data obtained without restriction from any source, including the applicant."

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

"The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation."

E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL

In conducting the merit review evaluation, 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.

F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM

Nonprofit organizations are subject to the intellectual property requirements at 10 CFR 600.136(a), (c) and (d):

Recipients may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. DOE reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish or otherwise use the work for Federal purposes and to authorize others to do so.

The DOE has the right to:

- (1) Obtain, reproduce, publish or otherwise use the data first produced under this award; and
- (2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

In response to a Freedom of Information Act (FOIA) request for research data relating to published research findings produced under an award that were used by the Federal Government in developing an agency action that has the force and effect of law, the DOE shall request, and the recipient shall provide, within a reasonable time, the research data so that they can be made available to the public through the procedures established under the FOIA. If the DOE obtains the research data solely in response to a FOIA request, the agency may charge the requester a reasonable fee equaling the full incremental cost of obtaining the research data. This fee should reflect costs incurred by the agency, the recipient, and applicable subrecipients. This fee is in addition to any fees the agency may assess under the FOIA (U.S.C. 552(a)(4)(A)).

The following definitions apply for purposes of the above paragraph:

- (1) Research data is defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings, but not any of the following: preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues. This “recorded” material excludes physical objects (e.g., laboratory samples). Research data also do not include:
 - a. Trade secrets, commercial information, materials necessary to be held confidential by a researcher until they are published, or similar information which is protected under law; and
 - b. Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study.
- (2) Published is defined as either when:

- a. Research findings are published in a peer-reviewed scientific or technical journal;
or
 - b. A Federal agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.
- (3) Use by the Federal Government in developing an agency action that has the force and effect of law is defined as when an agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.

For all other organizations, the following intellectual property provisions shall apply:

(a) Recipients may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. DOE reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish or otherwise use the work for Federal purposes and to authorize others to do so.

(b) The DOE has the right to: (1) obtain, reproduce, publish or otherwise use the data first produced under an award; and (2) authorize others to receive, reproduce, publish or otherwise use such data for Federal purposes.

G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER

Not applicable.

H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific 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.