

ADMINISTRATION OF THE WAVE ENERGY CONVERTER PRIZE

FOA Webinar
DE-FOA-0000979
03-24-14

Agenda

- 1) FOA Information
- 2) Award Information
- 3) Concept Paper
- 4) Full Application
- 5) Review Process
- 6) Registration Requirements
- 7) Questions

Notice

- All Applicants are strongly encouraged to carefully read the Funding Opportunity Announcement DE-FOA-0000979 (“FOA”) and adhere to the stated submission requirements. The content included in this presentation is intended to summarize the contents of FOA. If there are any inconsistencies between the content of this presentation and the information presented in the FOA please contact WECFOA979@go.doe.gov. In the event there is an inconsistency, the Funding Opportunity Announcement is the controlling document and applicants should rely on the FOA language.

ADMINISTRATION OF THE WAVE ENERGY CONVERTER PRIZE

Anticipated Schedule:

FOA Issue Date:	03/10/2014
FOA Informational Webinar:	03/24/2014
Submission Deadline for Concept Papers:	04/07/2014
Submission Deadline for Full Applications:	05/14/2014
Submission Deadline for Replies to Reviewer Comments:	06/10/2014
Expected Date for EERE Selection Notifications:	07/28/2014
Expected Timeframe for Award Negotiations:	07/29/2014 to 09/30/2014

FOA Description

- The objective of this FOA, *Administration of the Wave Energy Converter (WEC) Prize*, is to select a single entity to administer the WEC Prize which is comprised of phases including: **prize development** based on achieving the broad Program Goal, **implementation** of the WEC Prize competition stages (e.g. design, build, and test and evaluation), and post-competition publicity and wrap-up.
- The Program supports the current U.S. Administration's views that prizes can be tools to advance innovation and believes that the WEC Prize competition will rapidly advance WEC technology. This competition will attract innovative ideas from developers new to the industry and next generation ideas from existing developers by offering a monetary prize purse and providing an opportunity for tank testing and evaluation of scaled WEC prototypes.

Broad Program Goal versus Prize-Specific Objectives

- **“Program Goal”** means the broad goal for the WEC Prize: spurring innovations for new and next generation WEC technologies to be cost-competitive at a levelized cost of energy (LCOE) of 15 cents per kilowatt hour (¢/kWh).
- **“Prize-Specific Objectives”** refers to a set of measurable aims, conceived and to be achieved by the Prize Administrator. These objectives, once accomplished, will provide the pathway to achieving the broad Program Goal or the refined goal.

Topic Areas/Technical Areas of Interest

- The single awardee of this WEC Prize Administration FOA (the Prize Administrator) should have expertise in developing and implementing prize competitions. Prize Administrator tasks include:
 - Formulation of a concrete set of Prize-Specific Objectives that once met, provide the pathway to achieving the LCOE goal;
 - Design of the competition, including the competition structure, schedule, rules, monetary award distribution, and participant rights;
 - Implementation of the competition, including outreach and execution of the design, build, and test and evaluation stages;
 - Disbursement of monetary awards, including any seed funding and the final prize; and
 - Conversion of the competition's result into longer-term industry impact (i.e. publicizing winning technologies and achieved WEC performance, disseminating prize impact to stakeholders and the general public, etc.) and evaluation of whether the competition achieved its intended objectives.

Applications Specifically Not of Interest

- EERE performs a preliminary eligibility review of Full Applications
 - Any “Applications Specifically Not of Interest,” as described in Section I.C of the FOA, are deemed nonresponsive and are not reviewed or considered
 - Applications not of interest fall outside the technical parameters specified in Section I.B of the FOA, including but not limited to
 - Applications relating to MHK device design, building, and testing.

FOA Description

Desired FOA outcomes:

- quickly yield a number of game-changing solutions which exceed aggressive but achievable Performance Metrics and provide a pathway to dramatic cost reductions,
- mobilize new and existing talent,
- increase the visibility of these wave energy devices as renewable energy technologies,
- successfully enable the top performers to become viable and competitive industry members

Program-Identified Partners

- In addition to selecting a Prize Administrator via this FOA, the Program intends to fund:
 - Technical experts from DOE FFRDC(s), the National Renewable Energy Laboratory and/or Sandia National Laboratories, to assist the selected Prize Administrator with the development of the competition design, criteria and technical Performance Metric(s) and
 - Staff of the non-DOE FFRDC, the Naval Surface Warfare Center, Carderock Division, for use of the Maneuvering and SeaKeeping (MASK) Basin wave tank testing facility for the final testing and evaluation stage.

Program-Identified Partners – Continued

- These Program-Identified Partners will be funded directly from DOE
 - Up to \$1.5M of Program funds are budgeted in total to the Program-Identified Partners, beyond the \$6.5M ceiling award to the Prize Administrator
 - Upon selection, the Prize Administrator will coordinate a work agreement (see Section III.E.2.vi.) with each of the Program-Identified Partners regarding the project management authority, structure for information flow between the entities, and the scope and distribution of tasks

Program-Identified Partners – Technical Experts (National Labs)

- The Program-Identified technical experts are anticipated to provide technical support to the Prize Administrator during the design and implementation of the competition on matters such as:
 - Stakeholder identification;
 - Determining Competition Criteria and Performance Metric(s) the participants will be evaluated against throughout the various stages of the competition;
 - Collaboration with the tank testing facility staff to determine tank test plans for the test and evaluation stage;
 - Providing direction in the selection of experts for judging panel(s) and/or potentially serving as judges themselves;
 - Aiding with processing/evaluation of competition participants' submissions to determine the extent to which Competition Criteria are met; and
 - Developing any tank test instrumentation and data acquisition interface (in conjunction with the tank testing facility staff) for quantifying device performance.

FOA Description

Program-Identified Partners – Carderock

The Program-identified test facility, the MASK Basin at the Naval Surface Warfare Center, is an indoor freshwater basin equipped with 216 independently-controlled wave paddles, capable of producing model sea state spectra with various distributions.



Program-Identified Partners – Carderock

- In addition to providing access to the test facility, the test facility staff are anticipated to provide support on matters such as:
 - Scheduling the test and evaluation stage and developing test plans;
 - Determining Competition Criteria;
 - Developing any tank test instrumentation and data acquisition interface (in conjunction with the technical experts); and
 - Any site logistics that require test facility staff involvement.
- Applicants should not contact the Program-Identified Partners.

Award Information

Maximum Award Amount*	\$6,500,000
Award Distribution Constraints	Maximum \$2,000,000 for Prize administration activities (not including monetary awards for disbursement) The remainder is for use as Monetary Awards for disbursement to competitors
Types of Funding Agreements	Cooperative Agreement
Period of Performance	24 months

*Subject to the availability of appropriated funds

Statement of Substantial Involvement

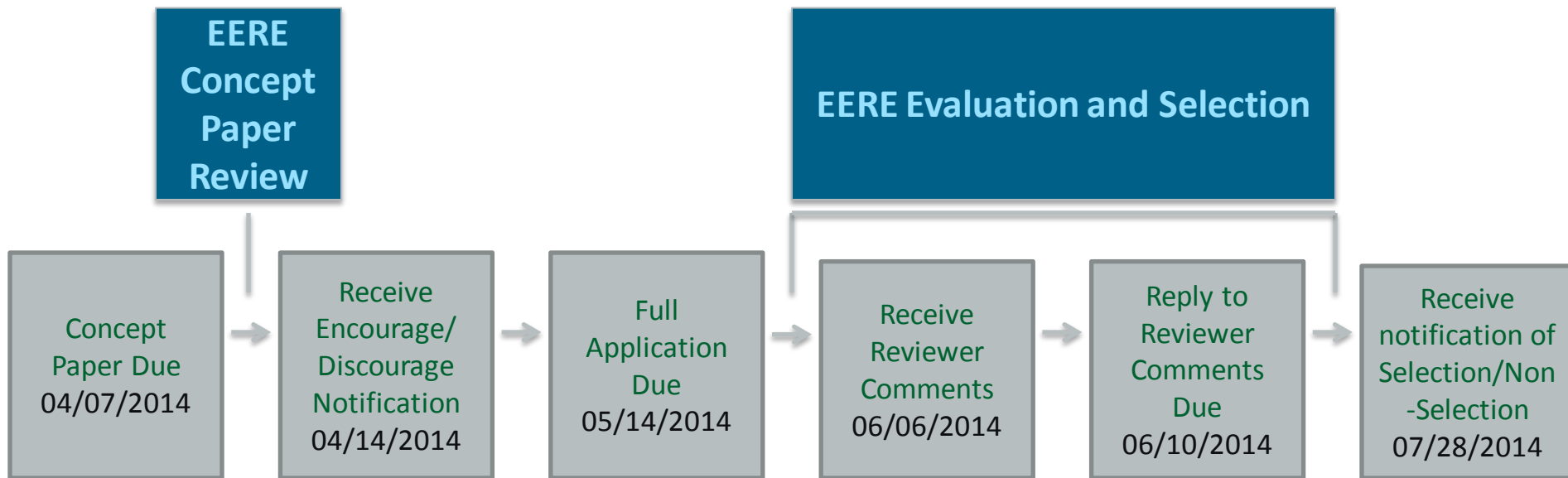
There will be a substantial involvement between EERE (i.e. the Program) and the Prime Recipient during the performance of a resultant cooperative agreement. The broad Program Goal and prize objectives addressed by the project are of such importance that shared responsibility for the management, control, direction and performance of the project is needed to ensure the goal and objectives are met.

EERE has the right to intervene in the conduct or performance of project activities for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities. EERE does not limit its involvement to the administrative requirements of this Award. Instead, EERE has substantial involvement in the direction and redirection of any aspects of the project as a whole.

Statement of Substantial Involvement - Continued

- EERE participates in project decision-making processes, such as approval of work agreements with Program-Identified Partners, decisions regarding refinement of the broad Program Goal, Performance Metric(s), the competition rules, establishing the minimum number of competition participants for WEC Prize continuation, distribution between any seed funding and the final prize purse, number of prize purse winners, the Data Plan, selection of judges, and approval enabling the Prize Administrator to accept any external financial, resource, or incentive offers.
- The Prime Recipient is expected to coordinate the publicity and announcement strategy with EERE.
- EERE will have the option to be present and interactive at all judging sessions, the competition test and evaluation stage, etc.

Anticipated FOA Review Timeline



EERE anticipates making awards by the end of September, 2014.

Concept Papers

- EERE conducts an initial eligibility review of Concept Papers. For the Concept Paper to be considered eligible for the technical review, the Applicant must:
 - Submit the Concept Paper through EERE Exchange
 - Include the required information as a single document
 - Submit the Concept Paper by 04/07/2014
- See Section IV.C of the FOA for information on the content requirements for Concept Papers
- If an Applicant fails to submit an eligible Concept Paper, the Applicant will not be eligible to submit a Full Application

Concept Papers – Content Requirements

Prize Administration Description (3 pages maximum)

- Applicants are required to describe succinctly:
 - The proposed approach to developing and implementing the WEC Prize to meet the broad Program Goal;
 - The best practices in prize administration;
 - The key shortcomings, limitations, and challenges associated with the proposed approach;
 - How the proposed approach will overcome the shortcomings, limitations, and challenges in prize administration; and
 - The potential impact that the proposed project would have on wave energy converter technology and market interest.

Concept Papers – Content Requirements

Addendum

(1 page maximum)

- Applicants may provide graphs, charts, or other data to supplement their Description.
- Applicants are required to describe succinctly the following qualifications, experience, and capabilities of the proposed Project Team (not including the Program-Identified Partners):
- Skill and expertise of the Principal Investigator (PI), Project Team, and any Subrecipients needed to successfully execute the project plan;
- The Applicant's prior experience which demonstrates an ability to perform tasks of similar risk and complexity, and with prizes in particular; and
- Whether the Applicant has worked together with its partners (if applicable) on prior projects or programs.

Concept Paper Review

- Each eligible Concept Paper will be reviewed based on the criteria in Section V of the FOA
- Applicants will be notified of an Encourage/Discourage decision, and review comments on their Concept Paper will be available in EERE Exchange

Who's Eligible to Apply?

Eligible applicants for this FOA include:

1. Individuals
2. Domestic Entities
3. Foreign Entities
4. Incorporated Consortia
5. Unincorporated Consortia

For more detail about each eligible applicant, please see Section III.A of the FOA for eligibility requirements.

DOE/NNSA Federally Funded Research and Development Centers (FFRDCs) and DOE Government-Owned, Government-Operated laboratories (GOGOs) are eligible to apply for funding as a Prime Recipient or Subrecipient.

Program-Identified Partners are not eligible to apply for funding as a Prime Recipient or Subrecipient, as this may create a conflict of interest and/or an unfair advantage.

Multiple Applications

- ***Applicants may only submit one Concept Paper for consideration under this FOA.*** If an Applicant submits more than one Concept Paper, EERE will only consider the last timely submission for evaluation. Any other submissions received listing the same Applicant will be considered non-compliant and not eligible for further consideration.
- This limitation does not prohibit an Applicant from collaborating on other applications (e.g., as a potential Subrecipient) so long as the entity is only listed as the Prime Applicant on one Concept Paper and Full Application submitted under this FOA.

Merit Review and Selection Process - Overview

Applications will be evaluated against the merit review criteria (*See Section V.A.2*) :

- **Criterion 1: Prize Administration Merit and Impact (40%)**
 - Prize Administration Merit
 - Impact
- **Criterion 2: Project Plan (40%)**
 - Approach, Work Plan, and Schedule
 - Milestones and Deliverables
 - Project Management
 - Data Plan
 - Outreach and Publicity Plan
- **Criterion 3: Team and Resources (20%)**
- The Selection Official may consider the additional program policy factors in determining which Full Applications to select for award negotiations. See Section V.C.1. in the FOA for complete list.

Replies to Reviewer Comments

- EERE will provide Applicants with reviewer comments in EERE Exchange following evaluation of all eligible Full Applications
- Applicants will have two business days to prepare a short Reply to Reviewer Comments responding to comments
- Replies to reviewer comments will be considered in the merit review along with the Full Application
- Please see Sections IV.F. and V.A.3 for additional information regarding replies to reviewer comments

Registration Requirements

- To apply to this FOA, Applicants must register with and submit application materials through EERE Exchange: <https://eere-Exchange.energy.gov>
- Obtain a “control number” at least 24 hours before the first submission deadline
- Although not required in order to submit an Application, the following registrations must be complete to received an award under this FOA:

Registration Requirement	Website
DUNS Number	http://fedgov.dnb.com/webform
SAM	https://www.sam.gov
FedConnect	https://www.fedconnect.net
Grants.gov	http://www.grants.gov

Means of Submission

- Concept Papers, Full Applications, and Replies to Reviewer Comments must be submitted through EERE Exchange at <https://eere-Exchange.energy.gov>
 - EERE will not review or consider applications submitted through other means
- The Users' Guide for Applying to the Department of Energy EERE Funding Opportunity Announcements can be found at <https://eere-Exchange.energy.gov/Manuals.aspx>

Key Submission Points

- Check entries in EERE Exchange
 - Submissions could be deemed ineligible due to an incorrect entry
- EERE strongly encourages Applicants to submit 1-2 days prior to the deadline to allow for full upload of application documents and to avoid any potential technical glitches with EERE Exchange
- Make sure you hit the submit button
 - Any changes made after you hit submit will un-submit your application and you will need to hit the submit button again
- For your records, print out the EERE Exchange Confirmation page at each step, which contains the application's Control Number

Applicant Points-of-Contact

- Applicants must designate primary and backup points-of-contact in EERE Exchange with whom EERE will communicate to conduct award negotiations
- 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
 - Please refer to the gray boxes on Slide 18 which represent the actions that apply to applicants throughout the FOA process.

Questions

- Questions about this FOA? Email WECFOA979@go.doe.gov
 - All Q&As related to this FOA will be posted on EERE Exchange
 - You must first select this specific FOA Number in order to view the Q&As
 - EERE will attempt to respond to a question within 3 business days, unless a similar Q&A has already been posted on the website
- Problems logging into EERE Exchange or uploading and submitting application documents with EERE Exchange? Email EERE-ExchangeSupport@hq.doe.gov.
 - Include FOA name and number in subject line
- All questions asked during this presentation will be posted on EERE Exchange