
Department of Energy (DOE)
Office of Energy Efficiency and Renewable Energy (EERE)

SuperTruck 3

Funding Opportunity Announcement (FOA) Number: DE-FOA-0002450

FOA Type: Amendment 000002

CFDA Number: 81.087

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|--|------------------------------|
| FOA Issue Date: | 04/15/2021 |
| Submission Deadline for Concept Papers: | 05/13/2021 5:00pm ET |
| Anticipated date for Concept Paper Notifications: | 06/07/2021 |
| Submission Deadline for Full Applications: | 07/12/2021 5:00pm ET |
| Expected Date for EERE Selection Notifications: | October 2021 |
| Expected Timeframe for Award Negotiations: | October 2021 - December 2021 |

- Applicants must submit a Concept Paper by 5:00pm ET on the due date listed above to be eligible to submit a Full Application.
- To apply to this FOA, applicants must register with and submit application materials through EERE Exchange at <https://eere-exchange.energy.gov>, EERE's online application portal.
- Applicants must designate primary and backup points-of-contact in EERE Exchange with whom EERE 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.

AMENDMENT 00001

All changes to the Funding Opportunity Announcement as a result of this amendment are highlighted in yellow.

| Amendment No. | Date | Description of Amendment |
|----------------------|-------------|---|
| 000001 | 04/20/2021 | The purpose of this amendment is to provide further information regarding Cost Share Payments and provide clarification that FFRDCs will be treated as a subrecipient instead of doing work through a Field Work Proposal. See the highlighted yellow sections on page 24 and 26 for reference. |
| 000002 | 05/12/2021 | The purpose of this amendment is to revise Section IV.D, Content and Form of the Full Application, to add a required Location of Work component. See the highlighted yellow sections on page 32 and 41 for reference. |

NOTE: REGISTRATION/SUBMISSION REQUIREMENTS

Registration Requirements

There are several one-time actions you must complete in order to submit an application in response to this Announcement (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with EERE eXCHANGE.gov, register with the System for Award Management (SAM), register with Grants.gov, and, if selected for award, be registered in FedConnect). Applicants who are not registered with SAM and Grants.gov, should allow at least 44 days to complete these requirements. It is suggested that the process be started as soon as possible.

Applicants must obtain a DUNS number (including the plus 4 extension, if applicable) from Dun and Bradstreet (D&B).

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

Applicants must register through the EERE eXCHANGE.

EERE eXCHANGE website: <https://eere-exchange.energy.gov/>.

Applicants must register with the SAM.

SAM website: <http://www.sam.gov/> NOTE: Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in SAM registration. More information about SAM registration for applicants is found at: [https://www.sam.gov/SAM/transcript/Quick Guide for Grants Registrations.pdf](https://www.sam.gov/SAM/transcript/Quick%20Guide%20for%20Grants%20Registrations.pdf).

Applicants must register with Grants.gov.

Grants.gov website: <http://grants.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. More information about the registration steps for Grants.gov is provided at: <https://www.grants.gov/web/grants/applicants/registration.html>.

Applicants must register with FedConnect.

FedConnect website: 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. For more information regarding registration with FedConnect review the FedConnect Ready, Set, Go! Guide at

Questions about this FOA? Email [\[DE-FOA-0002450@netl.doe.gov\]](mailto:DE-FOA-0002450@netl.doe.gov).

Problems with EERE Exchange? Email EERE-ExchangeSupport@hq.doe.gov Include FOA name and number in subject line.

https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf.

Submission Requirements

All application submissions are to be made via the EERE eXCHANGE at <https://eere-exchange.energy.gov/>. 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 EERE 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 <https://eere-exchange.energy.gov/Manuals.aspx> after logging in to the system.

To receive notices via email regarding an FOA in EERE 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 and submit 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-FOA-0002450@netl.doe.gov and shall be submitted not later than three (3) business days prior to the application due date and time. 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 <https://eere-exchange.energy.gov/FAQ.aspx>. Applicants are encouraged to check the FAQ prior to submitting a question. DOE will try to respond to questions within 5 business days. 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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I. Funding Opportunity Description

A. Background and Context

The Office of Energy Efficiency and Renewable Energy (EERE) is issuing, on behalf of the Vehicle Technologies Office (VTO) and the Hydrogen and Fuel Cell Technologies Office (HFTO), a Funding Opportunity Announcement (FOA) titled “SuperTruck 3.”

i. Background and Purpose

Building a clean energy economy and addressing the climate crisis is a top priority of the Biden Administration. This FOA will advance the Biden Administration’s goals to achieve carbon pollution-free electricity by 2035 and to “deliver an equitable, clean energy future, and put the United States on a path to achieve net-zero emissions, economy-wide, by no later than 2050.”¹ to the benefit of all Americans. The Department of Energy (DOE) is committed to pushing the frontiers of science and engineering, catalyzing clean energy jobs through research, development, demonstration, and deployment (RDD&D), and ensuring environmental justice and inclusion of disadvantaged communities.

The RDD&D activities to be funded under this FOA will support the government-wide approach to the climate crisis by driving the innovation that can lead to the deployment of clean energy technologies, which are critical for climate protection. Specifically, this FOA will support the Administration goal of net-zero GHG emissions by 2050 by accelerating the development of battery electric, hydrogen fuel cell, and hybrid electric powertrains for medium- and heavy-duty commercial vehicles.

How freight moves is changing dramatically due to a number of factors including new technologies, business models, and consumer demands. Although Class 7/8 trucks are still the most significant consumer of fuel, the average length-of-haul for dry van (box trailer) truckloads has decreased by 37% since 2000.² The medium- and heavy-duty trucking sector currently accounts for 23% of greenhouse gas emissions from transportation, and is the largest contributor to mobile NOx emissions in the U.S.³ Driver shortages are influencing vehicle

¹ Executive Order 14008, “Tackling the Climate Crisis at Home and Abroad,” January 27, 2021.

² American Trucking Association, 2018. Trucking Activity Report (TRAC) 2018, September 2018.

U.S. Environmental Protection Agency. “Fast Facts on Transportation Greenhouse Gas Emissions”. February 2021.
<https://www.epa.gov/greenvehicles/fast-facts-transportation-greenhouse-gas-emissions>

³ U.S. Environmental Protection Agency. “Cleaner Trucks Initiative”. Accessed February 2021
<https://www.epa.gov/regulations-emissions-vehicles-and-engines/cleaner-trucks-initiative>

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design and operating patterns as a new hub and spoke freight system has developed. Package delivery is up 50% due to “real time” delivery expectations, creating potential opportunities in short hauls and last-mile delivery. There are new opportunities in all commercial vehicle classes to dramatically reduce or even eliminate GHG emissions through new energy sources such as electricity, biofuels, and hydrogen. The combination of these changes in business models, operations, technology and fuel use present a unique opportunity to re-envision how freight is moved and to provide a more economical and sustainable trucking sector that supports domestic jobs, the nation’s economy and its clean energy goals.

Trucks carry 72% of the nation’s freight on a tonnage basis and 73% of freight on a value basis.⁴ Virtually all goods consumed in the United States are shipped by truck for at least part of the trip to the consumer. In 2016, the trucking industry collected around 80 cents of every dollar spent on freight transportation.⁵ The trucking industry paid over \$17 billion in annual federal highway user taxes in 2016.⁶ Trucking is also an important source of U.S. employment. The trucking sector is a \$700 billion industry.⁷ About 90% of the regulated carriers in the United States are relatively small businesses, operating fewer than 10 trucks.⁸ The truck and engine manufacturing industry represent almost a million U.S. manufacturing jobs.⁹ Trucks are a major energy consumer in the U.S. and globally. Commercial trucks in classes 4 through 8 used a total of approximately 44 billion gallons of fuel in 2015.¹⁰ Class 4-8 trucks are only 4% of the total number of U.S. on-road vehicles but represent a quarter of the annual vehicle fuel use.¹¹

In partnership with industry, VTO has established aggressive targets to focus research on cost-reduction, efficiency, and performance. VTO-funded research has reduced the cost of advanced batteries by 75% since 2008, and nearly every plug-in electric vehicle (PEV) on the road today uses VTO-developed battery technology. However, to enable greater affordability and PEV accessibility for all Americans, VTO seeks new battery chemistries and cell technologies to reduce costs even further, by more than half, to less than \$100/kWh, while increasing driving range to 300 miles and decreasing charge time to less than 15 minutes by

⁴ U.S. Department of Transportation, 2020. “2017 Commodity Flow Survey Preliminary Data,” Table 1, https://www.bts.gov/sites/bts.dot.gov/files/Table%201_Mode%20of%20Transportation.xlsx.

⁵ American Trucking Associations, 2018. American Trucking Trends 2018.

⁶ American Trucking Associations, 2018. American Trucking Trends 2018.

⁷ American Trucking Associations, 2018. American Trucking Trends 2018.

⁸ U.S. Department of Transportation, 2018. Pocket Guide to Large Truck and Bus Statistics, table 1-11, <https://www.fmcsa.dot.gov/sites/fmcsa.dot.gov/files/docs/safety/data-and-statistics/413361/fmcsa-pocket-guide-2018-final-508-compliant-1.pdf> [7] American Trucking Associations, 2018. American Trucking Trends 2018.

⁹ American Trucking Associations, 2018. American Trucking Trends 2018.

¹⁰ Oak Ridge National Laboratory, 2017. Transportation Energy Data Book 36, tables 5.1, and 5.2.

¹¹ Oak Ridge National Laboratory, 2017. Transportation Energy Data Book 36, tables 4.1, 4.2, 5.1, and 5.2.

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2028 for light duty vehicles. In addition, building on prior research, VTO has identified opportunities to significantly increase the power density of electric drive systems. New innovations in motor technology – printable magnets, high-conductivity windings, and novel architectures – could lead to much smaller, very high energy density systems with twice the useful life that can enable more affordable, better performing PEVs. Based on these prior successes in these light-duty programs, VTO/HFTO now seeks to achieve similar breakthroughs in the electrification of medium and heavy-duty vehicles.

HFTO is focused on enabling large scale hydrogen production, delivery, storage, and use across applications and sectors, including medium and heavy-duty transportation. Interest in hydrogen powered heavy-duty fuel cell electric vehicles is growing rapidly due to the benefits of zero tailpipe emissions (i.e., carbon, NOx, SOx, etc.) and low life-cycle greenhouse gas emissions, along with high power operation, and zero noise pollution. In addition, hydrogen powered fuel cell technology would allow medium and heavy-duty trucks to operate under similar operation regimes as incumbent technologies including extended driving ranges (i.e., upwards of 750 miles) and quick turnaround refueling (i.e., 6-10 minutes), both of which help increase overall freight shipping efficiency and reduce cost. In 2019, HFTO established cost, efficiency, and performance targets for hydrogen-fueled long-haul Class 8 trucks.¹² Key metrics include fuel cell lifetime durability (i.e., 25,000 - 30,000 hours), fuel cell system cost (\$60-80/kWh), fuel cell efficiency (68-72%), hydrogen fill rate (8 – 10 kg/min average). Since 2008, HFTO has successfully reduced fuel cell system cost by 70%¹³ and hydrogen storage system cost by 30% since 2013.¹⁴ However, demonstrations are necessary to showcase the technology and enable commercially viable systems with validated total cost of ownership that can meet the demanding needs of medium and heavy-duty applications.

There are also efficiency opportunities beyond vehicle components and systems. Freight often moves through multiple vehicles and operations between the factory and the end customer. Viewing the movement of freight from an overall transportation system perspective, from beginning to end, increases the opportunity to improve overall freight efficiency, in terms of cost, time, GHG and local emissions. Advances in connectivity and automation have the potential to dramatically improve transportation system-level energy efficiency, energy

¹² Technical Targets for Hydrogen-Fueled Long-Haul Tractor-Trailer Trucks, https://www.hydrogen.energy.gov/pdfs/19006_hydrogen_class8_long_haul_truck_targets.pdf

¹³ DOE Hydrogen Program Record #21001, “Durability-Adjusted Fuel Cell System Cost,” <https://www.hydrogen.energy.gov/pdfs/21001-durability-adjusted-fcs-cost.pdf>

¹⁴ DOE Hydrogen Program Record #19008, “Onboard Type IV Compressed Hydrogen Storage System – Cost and Performance Status,” https://www.hydrogen.energy.gov/pdfs/19008_onboard_storage_cost_performance_status.pdf

productivity, and affordability. Leveraging high performance computing resources unique to the national laboratory system, EERE has developed robust modeling, simulation, and big data analytics capabilities, while research of advanced sensing and perception technologies, system controls, and other connected and automated technologies has advanced rapidly. Partnerships between academia and industry can apply advanced computing and data analytics capabilities with new mobility technologies to create state-of-the-art test beds that validate and support new, optimized, highly-efficient, and affordable transportation systems.

ii. **Technology Space and Strategic Goals**

The purpose of the announcement is to solicit innovative R&D concepts to enable medium- and heavy-duty original equipment manufacturers (OEMs), suppliers, and fleet partners to develop higher efficiency trucks and freight systems that significantly reduce CO₂ emissions while meeting future criterion emission standards. DOE is seeking vehicle-level efficiency improvements for Class 7-8 regional-haul/long-haul trucks and Class 4-6 vocational trucks as well as system-level freight efficiency improvement (Class 4-8) beyond vehicle hardware. Projects will focus on real world operation with drive-cycle-based fuel economy including representative hub-to-hub routes and last-mile delivery. Predictive models will be developed to guide highest freight efficiency and lowest carbon footprint. Continued engine research will further optimize efficiency, reduce emissions and allow the use of biofuels and hydrogen, including powertrain artificial intelligence (AI) control for hybrid applications. Projects will pursue a focus on electrification, including hydrogen and fuel cell technology (including hybridization strategies such as fuel cell range extenders), battery electric and plug-in hybrid systems. Projects may also utilize automation/connectivity capabilities to further improve freight efficiency. Fleets operators and companies with large captive fleets are encouraged to be integral parts of teams, from analysis to technology development, and may also lead teams, along with vehicle manufacturers or major suppliers.

iii. **Diversity, Equity and Inclusion**

It is the policy of the Biden Administration that:

[T]he Federal Government should pursue a comprehensive approach to advancing equity¹⁵ for all, including people of color

¹⁵ The term “equity” means the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved communities that have been denied such treatment, such as Black, Latino, and Indigenous and Native American persons, Asian Americans and Pacific Islanders and other persons of color; members of religious minorities; lesbian, gay, bisexual, transgender, and queer (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality.

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and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality. Affirmatively advancing equity, civil rights, racial justice, and equal opportunity is the responsibility of the whole of our Government. Because advancing equity requires a systematic approach to embedding fairness in decision-making processes, executive departments and agencies (agencies) must recognize and work to redress inequities in their policies and programs that serve as barriers to equal opportunity.

By advancing equity across the Federal Government, we can create opportunities for the improvement of communities that have been historically underserved, which benefits everyone.¹⁶

As part of this whole of government approach, this FOA seeks to encourage the participation of underserved communities¹⁷ and underrepresented groups. Applicants are highly encouraged to include individuals from groups historically underrepresented^{18,19} in STEM on their project teams. As part of the application,

¹⁶ Executive Order 13985, “Advancing Racial Equity and Support for Underserved Communities Through the Federal Government” (Jan. 20, 2021).

¹⁷ The term “underserved communities” refers to populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life, as exemplified by the list of in the definition of “equity.” E.O. 13985. For purposes of this FOA, as applicable to geographic communities, applicants can refer to economically distressed communities identified by the Internal Revenue Service as Qualified Opportunity Zones; communities identified as disadvantaged or underserved communities by their respective States; communities identified on the Index of Deep Disadvantage referenced at <https://news.umich.edu/new-index-ranks-americas-100-most-disadvantaged-communities/>, and communities that otherwise meet the definition of “underserved communities” stated above.

¹⁸ According to the National Science Foundation’s 2019 report titled, “Women, Minorities and Persons with Disabilities in Science and Engineering”, women, persons with disabilities, and underrepresented minority groups—blacks or African Americans, Hispanics or Latinos, and American Indians or Alaska Natives—are vastly underrepresented in the STEM (science, technology, engineering and math) fields that drive the energy sector. That is, their representation in STEM education and STEM employment is smaller than their representation in the U.S. population. <https://nces.nsf.gov/pubs/nsf19304/digest/about-this-report> For example, in the U.S., Hispanics, African Americans and American Indians or Alaska Natives make up 24 percent of the overall workforce, yet only account for 9 percent of the country’s science and engineering workforce. DOE seeks to inspire underrepresented Americans to pursue careers in energy and support their advancement into leadership positions. <https://www.energy.gov/articles/introducing-minorities-energy-initiative>

¹⁹ See also. Note that Congress recognized in section 305 of the American Innovation and Competitiveness Act of 2017, Public Law 114-329:

(1) [I]t is critical to our Nation’s economic leadership and global competitiveness that the United States educate, train, and retain more scientists, engineers, and computer scientists; (2) there is currently a disconnect between the availability of and growing demand for STEM-skilled workers; (3) historically, underrepresented populations are the largest untapped STEM talent pools in the United States; and (4) given the shifting demographic landscape, the United States should encourage full participation of individuals from underrepresented populations in STEM fields.

Questions about this FOA? Email [\[DE-FOA-0002450@netl.doe.gov\]](mailto:DE-FOA-0002450@netl.doe.gov).

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applicants are required to describe how diversity, equity, and inclusion objectives will be incorporated in the project. Specifically, applicants are required to submit a Diversity, Equity, and Inclusion Plan that describes the actions the applicant will take to foster a welcoming and inclusive environment, support people from underrepresented groups in STEM, advance equity, and encourage the inclusion of individuals from these groups in the project; and the extent the project activities will be located in or benefit underserved communities. (See Section IV.D.xvi). The plan should include SMART (Specific, Measurable, Assignable, Realistic and Time-Related) milestones supported by metrics to measure the success of the proposed actions. This plan will be evaluated as part of the technical review process.

Further, Minority Serving Institutions²⁰, Minority Business Enterprises, Minority Owned Businesses, Woman Owned Businesses, Veteran Owned Businesses, or entities located in a underserved community that meet the eligibility requirements (See Section III) are encouraged to apply as the prime applicant or participate on an application as a proposed partner to the prime applicant. The Selection Official may consider the inclusion of these types of entities as part of the selection decision (See Section V.C.i.).

B. Topic Area

Objective

The purpose of this announcement is to solicit applications for co-funded projects that will enable class 4 through 8 medium- and heavy-duty original equipment manufacturers (OEMs), suppliers, and fleet partners to develop higher efficiency trucks and freight systems that significantly reduce CO₂ emissions while meeting future criterion emission standards. Technologies to improve the vehicle system-level efficiency may include powertrain electrification (including hydrogen and fuel cell technologies, batteries, electric machines, and hybridization strategies such as fuel cell range extenders or plug-in electric vehicles), refueling or charging, vehicle light-weighting and freight system optimization. Projects can include multiple vehicle types, reflecting that freight usually moves over multiple vehicles before reaching its end destination. The overall objective of each project should be to demonstrate how a substantial (75% or greater) reduction in the GHGs and local pollutants from the movement of goods in trucks can be achieved in a way that is economical and scalable. As part of the project analysis, the applicant will include a baseline reference

²⁰ Minority Serving Institutions (MSIs), including Historically Black Colleges and Universities/Other Minority Institutions) as educational entities recognized by the Office of Civil Rights (OCR), U.S. Department of Education, and identified on the OCR's Department of Education U.S. accredited postsecondary minorities' institution list. See <https://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>.

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vehicle(s) and the underlying system in which they operate that is equal in scope to the proposed project.

Tables developed by the VTO and HFTO based on program goals are provided in Appendix E to assist the applicant in developing project performance targets.

Applications **must**:

- Identify vehicle(s) baseline(s) and freight system baseline(s) for validation of performance improvement. Projects will be validated against these baselines to demonstrate meeting the project performance targets such as, but not limited to, cost reduction, GHG reduction, vehicle efficiency, freight efficiency, fuel economy, weight reduction, and total cost of ownership. Baseline information should describe the type of vehicle(s) used and the typical or representative duty cycle(s) experienced by each vehicle in the baseline system. The baseline should include sufficient refueling information, dwell times, overnighting and other operational patterns to allow for meaningful comparison to future advanced powertrain technologies and freight systems that will have different operational and refueling patterns.
- Identify vehicle freight system missions or vocations for the baseline and proposed vehicle such as first-mile/last mile, regional hub-to-hub, local delivery, or straight trucks and tractor trailers used in regional haul and long-haul operation, etc.
- Identify fleet partner hub-to-hub and regional distribution routes.
- Identify models for use in predicting optimal powertrain architecture and vehicle configurations for highest freight efficiency and lowest life-cycle carbon footprint.
- Identify planned optimization technologies that could include vehicle-to-vehicle and vehicle-to-infrastructure connectivity, onboard energy management systems, route optimization, geo-fencing, dynamic in-route load dispatching, electrical grid and vehicle charging load management, and communication protocols.
- Identify plans to optimize total cost of operation by leveraging onboard and real-time connectivity solutions (optimized energy management, dynamic route management).
- Specifically identify the measurable improvement in vehicle performance, cost, durability, and freight system efficiency to be achieved under the project.
- Identify and describe in detail, the technologies to be developed, integrated, and demonstrated under the project.
- Address fueling/charging that will be required to demonstrate the vehicles that will be developed.
- Identify the planned performance of the technologies to be developed in relation to the targets identified in Appendix E to this FOA.

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-
- Identify and plan for testing of component-level, vehicle system-level, and freight system-level technologies test data including overall vehicle design will be provided to DOE for further data analysis. These studies will be compared to vehicle and freight system baselines to demonstrate compliance with proposed performance, cost, durability, and freight system efficiency targets identified.
 - Organize project activities in four phases: 1) simulation and analysis, 2) design, 3) vehicle integration, and 4) vehicle demonstration. If the baseline and proposed project scope includes a scale that is so large it is not practical to fully demonstrate, the proposal should indicate what portions of the freight system will be physically demonstrated and what portions will be simulated. Any simulations should be based on data that is developed in the project. The data and tools used for any simulation of system level benefits should be clearly identified.
 - Identify total cost of ownership for the planned system as compared to the baseline.

Specific Deliverables

None.

Teaming Arrangements

Applicants are highly encouraged to form teams that include fleet operators or companies with large captive fleets, vehicle manufacturers, Tier-1 suppliers, energy supplier(s) and fueling/charging equipment suppliers, universities and National Laboratories.

Applications Discouraged

None.

Special Deliverables

None.

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):

- Applications that fall outside the technical parameters specified in Section I.A. and I.B. of the FOA.
- Applications for proposed technologies that are not based on sound scientific principles (e.g., violates the laws of thermodynamics).
- Applications that do not include a Class 4,5,6,7 or 8 vehicle manufacturer as a project partner.

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D. Authorizing Statutes

The programmatic authorizing statutes are P.L. 102-486, Energy Policy Act (EPAct) of 1992, amended by P.L. 109-58, EPAct 2005, Section 911, as amended (codified at 42 U.S.C. § 16191) and Sections 801 and 805, as amended (codified at 42 U.S.C. § 16154), and P.L. 110-140, Energy Independence and Security Act of 2007 (EISA), Section 131, as amended (codified at 42 U.S.C. § 17011).

Awards made under this announcement will fall under the purview of 2 Code of Federal Regulation (CFR) Part 200 as amended by 2 CFR Part 910.

II. Award Information

A. Award Overview

i. Estimated Funding

EERE expects to make a total of approximately \$100,000,000 of federal available for new awards under this FOA, subject to the availability of appropriated funds. EERE anticipates making approximately 3 to 6 awards under this FOA. EERE may issue one, multiple, or no awards. Individual awards are anticipated to vary between \$16,000,000 and \$33,000,000.

| Topic Area Number | Topic Area Title | Anticipated Number of Awards | Anticipated Minimum Award Size for Any One Individual Award (Fed Share) | Anticipated Maximum Award Size for Any One Individual Award (Fed Share) | Approximate Total Federal Funding Available for All Awards | Anticipated Period of Performance (months) |
|-------------------|---|------------------------------|---|---|--|--|
| 1 | Efficient freight transport systems using one or more vehicles in classes 4 through 8 | 3-6 | \$16,000,000 | \$33,000,000 | \$100,000,000 | 27-51 |

EERE may establish more than one budget period for each award and fund only the initial budget period(s). Funding for all budget periods, including the initial budget period, is not guaranteed.

ii. Period of Performance

EERE anticipates making awards that will run from 27 months up to 51 months in length, comprised of one or more budget periods.

| Budget Period | Budget Period Length |
|---------------|----------------------|
| 1 | 15 months |
| 2 | 12 months |
| 3 | 12 months |
| 4 | 12 months |

EERE anticipates making awards with the first budget period being 15 months and all budget periods thereafter being 12 months. Project continuation will be

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contingent upon several elements, including satisfactory performance and Go/No-Go decision point reviews. For a complete list, see Section VI.B.xiv. At the Go/No-Go decision points, EERE will evaluate project performance, project schedule adherence, the extent milestone objectives were met, compliance with reporting requirements, and overall contribution to the program goals and objectives. As a result of this evaluation, EERE may, at its discretion, authorize the following actions: (1) continue to fund the project, contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority; (2) recommend redirection of work under the project; (3) place a hold on federal funding for the project, pending further supporting data or funding; or (4) discontinue funding the project because of insufficient progress, change in strategic direction, or lack of funding.

iii. New Applications Only

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

B. EERE Funding Agreements

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

i. Cooperative Agreements

EERE generally uses cooperative agreements to provide financial and other support to prime recipients.

Through cooperative agreements, EERE provides financial or other support to accomplish a public purpose of support or stimulation authorized by federal statute. Under cooperative agreements, the government and prime recipients share responsibility for the direction of projects.

EERE has substantial involvement in all projects funded via cooperative agreement. See Section VI.B.ix of the FOA for more information on what substantial involvement may involve.

ii. Funding Agreements with Federally Funded Research and Development Center (FFRDCs)

FFRDCs will be funded through the prime recipient as a member of the project team.

III. Eligibility Information

To be considered for substantive evaluation, an applicant's submission must meet the criteria set forth below. If the application does not meet these eligibility requirements, it will be considered ineligible and removed from further evaluation.

A. Eligible Applicants

i. Restricted Eligibility

The National Energy Technology Laboratory is ineligible to participate as a prime applicant or as a team member/sub-recipient on any application because of its role in developing the requirements for this announcement.

This FOA will restrict foreign entities from applying as prime recipients unless they have a U.S. incorporated subsidiary or affiliate with a physical location for business operations in the United States. No waivers will be provided for this restriction.

ii. Individuals

U.S. citizens and lawful permanent residents are eligible to apply for funding as a prime recipient or subrecipient.

iii. Domestic Entities

For-profit entities, educational institutions, and nonprofits that are incorporated (or otherwise formed) under the laws of a particular state or territory of the United States and have a physical location for business operations in the United States are eligible to apply for funding as a prime recipient or subrecipient.

Nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995 are not eligible to apply for funding.

State, local, and tribal government entities are eligible to apply for funding as a prime recipient or subrecipient.

DOE/NNSA FFRDCs are eligible to apply for funding as a subrecipient, but are not eligible to apply as a prime recipient.

Non-DOE/NNSA FFRDCs are eligible to apply for funding as a subrecipient, but are not eligible to apply as a prime recipient.

Federal agencies and instrumentalities (other than DOE) are eligible to apply for funding as a subrecipient, but are not eligible to apply as a prime recipient.

iv. Foreign Entities

Other than as provided in the “Individuals” or “Domestic Entities” sections above, all prime recipients receiving funding under this FOA must be incorporated (or otherwise formed) under the laws of a State or territory of the United States and have a physical location for business operations in the United States. If a foreign entity applies for funding as a prime recipient, it must designate in the Full Application a subsidiary or affiliate incorporated (or otherwise formed) under the laws of a State or territory of the United States to be the prime recipient. The Full Application must state the nature of the corporate relationship between the foreign entity and domestic subsidiary or affiliate.

A foreign entity may receive funding as a subrecipient.

v. Incorporated Consortia

Incorporated consortia, which may include domestic and/or foreign entities, are eligible to apply for funding as a prime recipient or subrecipient. For consortia incorporated (or otherwise formed) under the laws of a state or territory of the United States, please refer to “Domestic Entities” above.

Each incorporated consortium must have an internal governance structure and a written set of internal rules. Upon request, the consortium must provide a written description of its internal governance structure and its internal rules to the EERE Contracting Officer.

vi. Unincorporated Consortia

Unincorporated Consortia, which may include domestic and foreign entities, must designate one member of the consortium to serve as the prime recipient/consortium representative. The prime recipient/consortium representative must be incorporated (or otherwise formed) under the laws of a state or territory of the United States. The eligibility of the consortium will be determined by the eligibility of the prime recipient/consortium representative under Section III.A. of the FOA.

Upon request, unincorporated consortia must provide the EERE Contracting Officer with a collaboration agreement, commonly referred to as the articles of collaboration, which sets out the rights and responsibilities of each consortium member. This agreement binds the individual consortium members together and should discuss, among other things, the consortium’s:

-
- Management structure;
 - Method of making payments to consortium members;
 - Means of ensuring and overseeing members' efforts on the project;
 - Provisions for members' cost sharing contributions; and
 - Provisions for ownership and rights in intellectual property developed previously or under the agreement.

B. Cost Sharing

The cost share must be at least 50% of the total allowable costs for demonstration projects (i.e., the sum of the government share, including FFRDC costs if applicable, and the recipient share of allowable costs equals the total allowable cost of the project) and must come from non-federal sources unless otherwise allowed by law. (See 2 CFR 200.306 and 2 CFR 910.130 for the applicable cost sharing requirements.)

To assist applicants in calculating proper cost share amounts, EERE has included a cost share information sheet and sample cost share calculation as Appendices A and B to this FOA.

i. 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 prime recipient, the prime recipient is legally responsible for paying the entire cost share. If the funding agreement is terminated prior to the end of the project period, the prime recipient is required to contribute at least the cost share percentage of total expenditures incurred through the date of termination.

The prime 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.

ii. 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.

iii. Cost Share Types and Allowability

Every cost share contribution must be allowable under the applicable federal cost principles, as described in Section IV.I.i. of the FOA. In addition, cost share must be verifiable upon submission of the Full Application.

Project teams may provide cost share in the form of cash or in-kind contributions. Cost share may be provided by the prime recipient, subrecipients, or third parties (entities that do not have a role in performing the scope of work). Vendors/contractors may not provide cost share. Any partial donation of goods or services is considered a discount and is not allowable.

Cash contributions include, but are not limited to: personnel costs, fringe costs, supply and equipment costs, indirect costs and other direct costs.

In-kind contributions are those where a value of the contribution can be readily determined, verified and justified but where no actual cash is transacted in securing the good or service comprising the contribution. Allowable in-kind contributions include, but are not limited to: the donation of volunteer time or the donation of space or use of equipment.

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.

The prime 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); or
- Expenditures that were reimbursed under a separate federal program.

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 prime 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 2 CFR 200.306 as amended by 2 CFR 910.130 for additional cost sharing requirements.

iv. Cost Share Contributions by FFRDCs

Because FFRDCs are funded by the federal government, costs incurred by FFRDCs 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.

v. Cost Share Verification

Applicants are required to provide written assurance of their proposed cost share contributions in their Full Applications.

Upon selection for award negotiations, applicants are required to provide additional information and documentation regarding their cost share contributions. Please refer to Appendix A of the FOA.

vi. Cost Share Payment

EERE requires prime recipients to contribute the cost share amount incrementally over the life of the award. Specifically, the prime 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 EERE Contracting Officer may allow the prime recipient to meet its cost share requirements on a less frequent basis, such as by budget period. Regardless of the interval requested, the prime recipient must be up-to-date on cost share at each interval. Such requests must be sent 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 prime recipient has complied with its cost share obligations to date. The Contracting Officer must approve all such requests before they go into effect.

C. Compliance Criteria

Concept Papers and Full Applications must meet all compliance criteria listed below or they will be considered noncompliant. EERE will not review or consider noncompliant submissions, including Concept Papers and Full Applications that were: submitted through means other than EERE Exchange; submitted after the applicable deadline; and/or submitted incomplete. EERE will not extend the submission deadline for applicants that fail to submit required information by the applicable deadline due to server/connection congestion.

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i. Compliance Criteria**1. Concept Papers**

Concept Papers are deemed compliant if:

- The Concept Paper 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 this FOA.

2. Full Applications

Full Applications are deemed compliant if:

- The applicant submitted a compliant Concept Paper;
- The Full Application complies with the content and form requirements in Section IV.D. 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

All “Applications Specifically Not of Interest,” as described in Section I.C. of the FOA, are deemed nonresponsive and are not reviewed or considered.

E. Other Eligibility Requirements**i. Requirements for DOE/NNSA and non-DOE/NNSA Federally Funded Research and Development Centers Included as a Subrecipient**

DOE/NNSA and non-DOE/NNSA FFRDCs may be proposed as a subrecipient on another entity’s application subject to the following:

1. Authorization for non-DOE/NNSA FFRDCs

The federal agency sponsoring the FFRDC must authorize in writing the use of the FFRDC on the proposed project and this authorization must be submitted with the application. The use of a FFRDC must be consistent with its authority under its award.

2. Authorization for DOE/NNSA FFRDCs

The cognizant Contracting Officer for the FFRDC must authorize in writing the use of the FFRDC on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization:

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

3. *Value/Funding*

The value of, and funding for, the FFRDC/NL portion of the work will be included in the award to a successful applicant. DOE/NNSA will not fund a DOE/NNSA FFRDC/NL through the DOE field work authorization process and other FFRDC/NLs through an interagency agreement with the sponsoring agency. FFRDCs/NLs will be treated as subawards for applicants. Therefore, applicants should prepare the budgets utilizing rates appropriate for such an arrangement. For subawards to DOE FFRDCs, the recipient shall use the Department's strategic partnership projects program and the terms and conditions established for that program. The value of and funding for the FFRDC portion of the work will not normally be included in the award to a successful applicant. Usually, DOE will fund a DOE/NNSA FFRDC contractor through the DOE field work proposal (WP) system and non-DOE/NNSA FFRDC through an interagency agreement with the sponsoring agency.

4. *Cost Share*

The applicant's cost share requirement will be based on the total cost of the project, including the applicant's, the subrecipient's, and the FFRDC's portions of the project.

5. *Responsibility*

The prime recipient 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 prime recipient and the FFRDC contractor.

6. *Limit on FFRDC Effort*

The FFRDC effort, in aggregate, shall not exceed 25% of the total estimated cost of the project, including the applicant's and the FFRDC's portions of the effort.

F. Limitation on Number of Concept Papers and Full Applications Eligible for Review

An entity may submit more than one Concept Paper and Full Application to this FOA, provided that each application describes a unique, scientifically distinct

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project and provided that an eligible Concept Paper was submitted for each Full Application.

G. Questions Regarding Eligibility

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

IV. Application and Submission Information

A. Application Process

The application process will include two phases: a Concept Paper phase and a Full Application phase. **Only applicants who have submitted an eligible Concept Paper will be eligible to submit a Full Application.**

At each phase, EERE performs an initial eligibility review of the applicant submissions to determine whether they meet the eligibility requirements of Section III of the FOA. EERE will not review or consider submissions that do not meet the eligibility requirements of Section III. 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. **EERE will not review or consider submissions submitted through means other than EERE Exchange, submissions submitted after the applicable deadline, or incomplete submissions.** EERE 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 EERE Exchange application process. This control number must be included with all application documents, as described below .

The Concept Paper and Full Application must conform to the following requirements:

- Each 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 Calibri typeface, a black font color, and a font size of 12 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; and
- Each submission 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 applicants exceed the maximum page lengths indicated below, EERE will review only the authorized number of pages and disregard any additional pages.

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Applicants are responsible for meeting each submission deadline. **Applicants are strongly encouraged to submit their Concept Papers and Full 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 a Concept Paper or Full Application. Once the Concept Paper or Full Application is submitted in EERE Exchange, applicants may revise or update that submission until the expiration of the applicable deadline. If changes are made to any of these documents, the applicant must resubmit the Concept Paper or Full Application before the applicable deadline.

EERE urges applicants to carefully review their Concept Papers and Full Applications to allow sufficient time for the submission of required information and documents. All Full Applications that pass the initial eligibility review will undergo comprehensive technical merit review according to the criteria identified in Section V.A.ii. of the FOA.

i. 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 EERE 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 EERE Exchange helpdesk for assistance (EERE-ExchangeSupport@hq.doe.gov). The EERE Exchange helpdesk and/or the EERE Exchange system administrators will assist applicants in resolving issues.

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.

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:

TechnicalVolume_Part_1

TechnicalVolume_Part_2

C. Content and Form of the Concept Paper

To be eligible to submit a Full Application, applicants must submit a Concept Paper by the specified due date and time.

i. Concept Paper Content Requirements

EERE will not review or consider ineligible Concept Papers (see Section III of the FOA).

Each Concept Paper must be limited to a single concept or technology. Unrelated concepts and technologies should not be consolidated into a single Concept Paper.

The Concept Paper must conform to the following content requirements:

| Section | Page Limit | Description |
|---------------------------------------|----------------|--|
| Cover Page Section | 1 page maximum | The cover page should include the project title, the specific announcement Area of Interest being addressed, both the technical and business points of contact, names of all team member organizations, and any statements regarding confidentiality. |
| Technology/Project Description | 3 page maximum | Applicants are required to describe succinctly: <ul style="list-style-type: none"> • The proposed technology, including its basic operating principles and how it is unique and innovative; • The proposed technology’s target level of performance (applicants should provide technical data or other support to show how the proposed target could be met); • The current state-of-the-art in the relevant field and application, including key shortcomings, limitations, and challenges; • How the proposed technology will overcome the shortcomings, limitations, and challenges in the relevant field and application; • The potential impact that the proposed project would have on the relevant field and application; • The key technical risks/issues associated with the proposed technology development plan; and • The impact that EERE funding would have on the proposed project. Applicants are required to describe succinctly the qualifications, experience, and capabilities of the proposed Project Team, including: <ul style="list-style-type: none"> • Whether the Principal Investigator (PI) and Project Team have the skill and expertise needed to successfully execute the project plan; |

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| | | |
|--|--|---|
| | | <ul style="list-style-type: none"> • Whether the applicant has prior experience which demonstrates an ability to perform tasks of similar risk and complexity; • Whether the applicant has worked together with its teaming partners on prior projects or programs; and • Whether the applicant has adequate access to equipment and facilities necessary to accomplish the effort and/or clearly explain how it intends to obtain access to the necessary equipment and facilities. • Applicants may provide graphs, charts, or other data to supplement their Technology Description. |
|--|--|---|

EERE makes an independent assessment of each Concept Paper based on the criteria in Section V.A.i. of the FOA. EERE will encourage a subset of applicants to submit Full Applications. Other applicants will be discouraged from submitting a Full Application. An applicant who receives a “discouraged” notification may still submit a Full Application. EERE will review all eligible Full Applications. However, by discouraging the submission of a Full Application, EERE intends to convey its lack of programmatic interest in the proposed project in an effort to save the applicant the time and expense of preparing an application that is unlikely to be selected for award negotiations.

EERE may include general comments provided from reviewers on an applicant’s Concept Paper in the encourage/discourage notification posted on EERE Exchange at the close of that phase.

While the content and form of the Concept Paper does not require proposing a cost share amount during the concept paper submission phase, the EERE Exchange system will require entering proposed project costs as a step in the submission process. Any proposed costs at the Concept Paper stage of the application process can be updated or amended at the time of full application submission.

D. Content and Form of the Full Application

Applicants must submit a Full Application by the specified due date and time 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.

Applicants will have approximately 30 days from receipt of the Concept Paper Encourage/Discourage notification on EERE Exchange to prepare and submit a Full Application. Regardless of the date the applicant receives the Encourage/Discourage notification, the submission deadline for the Full Application remains the date and time stated on the FOA cover page.

All Full Application documents must be marked with the Control Number issued to the applicant. Applicants will receive a control number upon clicking the “Create Concept Paper” button in EERE Exchange, and should include that control number in the file name of their Full Application submission (i.e., *Control number_Applicant Name_Full Application*).

i. Full Application Content Requirements

EERE will not review or consider ineligible Full Applications (see Section III. of the FOA).

Each Full Application shall be limited to a single concept or technology. Unrelated concepts and technologies shall not be consolidated in a single Full Application. Full Applications must conform to the following requirements:

| Component | File Format | Page Limit | File Name |
|--|---------------|--------------|--|
| Technical Volume | PDF | 30 | ControlNumber_LeadOrganization_TechnicalVolume |
| Resumes | PDF | 2 per resume | ControlNumber_LeadOrganization_Resumes |
| Letters of Commitment | PDF | 2 per letter | ControlNumber_LeadOrganization_LOCs |
| Statement of Project Objectives | MS Word | 10 | ControlNumber_LeadOrganization_SOPO |
| SF-424 | PDF | N/A | ControlNumber_LeadOrganization_App424 |
| Budget Justification Workbook | MS Excel | N/A | ControlNumber_LeadOrganization_Budget_Justification |
| Summary/Abstract for Public Release | PDF | 1 | ControlNumber_LeadOrganization_Summary |
| Summary Slide | MS PowerPoint | 1 | ControlNumber_LeadOrganization_Slide |
| Subrecipient Budget Justification | MS Excel | N/A | ControlNumber_LeadOrganization_Subrecipient_Budget_Justification |
| Authorization from cognizant Contracting Officer for FFRDC | PDF | N/A | ControlNumber_LeadOrganization_FFRDCAuth |
| SF-LLL Disclosure of Lobbying Activities | PDF | N/A | ControlNumber_LeadOrganization_SF-LLL |
| Foreign Work | PDF | N/A | ControlNumber_LeadOrganization_Waiver |
| Location(s) of work | MS Excel | N/A | ControlNumber_LeadOrganization_LOWs |
| U.S. Manufacturing Plan | PDF | N/A | ControlNumber_LeadOrganization_USMP |
| Data Management Plan | MS Word | N/A | ControlNumber_LeadOrganization_DMP |

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| Diversity, Equity and Inclusion Plan | PDF | 10 | ControlNumber_LeadOrganization_DEIP |
|--------------------------------------|-----|----|-------------------------------------|

Note: The maximum file size that can be uploaded to the EERE Exchange website is 10MB. Files in excess of 500MB 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:

TechnicalVolume_Part_1

TechnicalVolume_Part_2

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

EERE provides detailed guidance on the content and form of each component below.

ii. **Technical Volume**

The Technical Volume must be submitted in PDF format. The Technical Volume must conform to the following content and form requirements, including maximum page lengths. If applicants exceed the maximum page lengths indicated below, EERE 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.ii. of the FOA. Save the Technical Volume in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_TechnicalVolume”.

Applicants must provide sufficient citations and references to the primary research literature to justify the claims and approaches made in the Technical Volume. However, EERE and reviewers are under no obligation to review cited sources.

The Technical Volume to the Full Application may not be more than [Enter Number] pages, including the cover page, table of contents, and all citations, charts, graphs, maps, photos, or other graphics, and must include all of the information in the table below. The applicant should consider the weighting of each of the evaluation criteria (see Section V.A.ii. of the FOA) when preparing the Technical Volume.

The Technical Volume should clearly describe and expand upon information provided in the Concept Paper. The Technical Volume must conform to the following content requirements:

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| SECTION/PAGE LIMIT | DESCRIPTION |
|---|---|
| Cover Page | The cover page should include the project title, the specific FOA Topic Area being addressed, both the technical and business points of contact, names of all team member organizations, and any statements regarding confidentiality. |
| Project Overview (Approximately 10% of the Technical Volume) | <p>The Project Overview should contain the following information:</p> <ul style="list-style-type: none"> • Background: The applicant should discuss the background of their organization, including the history, successes, and current research and development status (i.e., the technical baseline) relevant to the technical topic being addressed in the Full Application. • Project Goal: The applicant should explicitly identify the targeted improvements to the baseline technology and the critical success factors in achieving that goal. • DOE Impact: The applicant should discuss the impact that DOE funding would have on the proposed project. Applicants should specifically explain how DOE funding, relative to prior, current, or anticipated funding from other public and private sources, is necessary to achieve the project objectives. |
| Technical Description, Innovation, and Impact (Approximately 30% of the Technical Volume) | <p>The Technical Description should contain the following information:</p> <ul style="list-style-type: none"> • Relevance and Outcomes: The applicant should provide a detailed description of the technology, including the scientific and other principles and objectives that will be pursued during the project. This section should describe the relevance of the proposed project to the goals and objectives of the FOA, including the potential to meet specific DOE technical targets or other relevant performance targets. The applicant should clearly specify the expected outcomes of the project. • Feasibility: The applicant should demonstrate the technical feasibility of the proposed technology and capability of achieving the anticipated performance targets, including a description of previous work done and prior results. • Innovation and Impacts: The applicant should describe the current state-of-the-art in the applicable field, the specific innovation of the proposed technology, the advantages of proposed technology over current and emerging technologies, and the overall impact on advancing the state-of-the-art/technical baseline if the project is successful. • Describe how the project may directly or indirectly benefit underserved communities [include in the Diversity and Inclusion Plan]. |
| Workplan and Market Transformation Plan | The Workplan should include a summary of the Project Objectives, Technical Scope, Work Breakdown Structure (WBS), Milestones, Go/No-Go |

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| <p>(Approximately 40% of the Technical Volume)</p> | <p>Decision Points, and Project Schedule. A detailed SOPO is separately requested. The Workplan should contain the following information:</p> <ul style="list-style-type: none"> • 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. • Technical Scope Summary: The applicant should provide a summary description of the overall work scope and approach to achieve the objective(s). The overall work scope is to be divided by performance periods that are separated by discrete, approximately annual decision points (see below for more information on Go/No-Go decision points). The applicant should describe the specific expected end result of each performance period. • WBS and Task Description Summary: The Workplan should 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 WBS for any project. The Workplan shall contain a concise description of the specific activities to be conducted over the life of the project. The description shall be 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. The summary provided should be consistent with the SOPO. The SOPO will contain a more detailed description of the WBS and tasks. • Milestone Summary: The applicant should provide a summary of appropriate milestones throughout the project to demonstrate success. A milestone may be either a progress measure (which can be activity based) or a SMART technical milestone. SMART milestones should be Specific, Measurable, Achievable, Relevant, and Timely, and must demonstrate a technical achievement rather than simply completing a task. 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 with at least one SMART technical milestone per year (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. The summary provided should be consistent with the Milestone Summary Table in the SOPO. • Go/No-Go Decision Points: The applicant should provide a summary of project-wide Go/No-Go decision points at appropriate points in the Workplan. A Go/No-Go decision point is a risk management tool and a project management best practice to |
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ensure that, for the current phase or period of performance, technical success is definitively achieved and potential for success in future phases or periods of performance is evaluated, prior to actually beginning the execution of future phases. At a minimum, each project must have at least one project-wide Go/No-Go decision point for each budget period (12 to 18-month period) of the project. See Section VI.B.xiv. The applicant should also provide the specific technical criteria to be used to evaluate the project at the Go/No-Go decision point. The summary provided should be consistent with the SOPO. Go/No-Go decision points are considered “SMART” and can fulfill the requirement for an annual SMART milestone.

- End of Project Goal: The applicant should provide a summary of the end of project goal(s). At a minimum, each project must have one SMART end of project goal. The summary provided should be consistent with the SOPO.
- Project Schedule (Gantt Chart or similar): The applicant should provide a schedule for the entire project, including task and subtask durations, milestones, and Go/No-Go decision points.
- Project Management: The applicant should discuss the team’s proposed 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 technical and management aspects of the management plan, including systems and practices, such as financial and project management practices
 - The approach to project risk management
 - A description of how project changes will be handled
 - If applicable, the approach to Quality Assurance/Control
 - How communications will be maintained among project team members
- Market Transformation Plan: The applicant should provide a market transformation plan, including the following:
 - Identification of target market, competitors, and distribution channels for proposed technology along with known or perceived barriers to market penetration, including a mitigation plan
 - Identification of a product development and/or service plan, commercialization timeline, financing, product marketing, legal/regulatory considerations including

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| | <p>intellectual property, infrastructure requirements, data dissemination, U.S. Manufacturing Plan, and product distribution.</p> |
| <p>Technical Qualifications and Resources (Approximately 20% of the Technical Volume)</p> | <p>The Technical Qualifications and Resources should contain the following information:</p> <ul style="list-style-type: none"> • Describe the project team’s unique qualifications and expertise, including those of key subrecipients. • Describe the project team’s existing equipment and facilities that will facilitate the successful completion of the proposed project; include a justification of any new equipment or facilities requested as part of the project. • This section should also include relevant, previous work efforts, demonstrated innovations, and how these enable the applicant to achieve the project objectives. • Describe the time commitment of the key team members to support the project. • Describe the technical services to be provided by DOE/NNSA FFRDCs, if applicable. • Diversity, Equity and Inclusion Plan (submitted separately) that addresses how diversity, equity and inclusion objectives will be incorporated in the project. • For multi-organizational or multi-investigator projects, describe succinctly: <ul style="list-style-type: none"> ○ The roles and the work to be performed by each PI and Key Participant; ○ Business agreements between the applicant and each PI and Key Participant; ○ How the various efforts will be integrated and managed; ○ Process for making decisions on scientific/technical direction; ○ Publication arrangements; ○ Intellectual Property issues; and ○ Communication plans |
| <p>Diversity, Equity, Inclusion (Address in the Diversity, Equity, and Inclusion Plan)</p> | <p>The Diversity, Equity, and Inclusion Plan should contain the following information:</p> <ul style="list-style-type: none"> • Equity Impacts: the impacts of the proposed project on underserved communities, including social and environmental impacts. |

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| | <ul style="list-style-type: none"> • Benefits: The overall benefits of the proposed project, if funded, to underserved communities; and • How diversity, equity, and inclusion objectives will be incorporated in the project. <p>See Section IV.D.xvi for more information on the contents of the Diversity, Equity, and Inclusion Plan.</p> |
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iii. Resumes

Applicants are required to submit resumes (not to exceed 2 pages per resume) for key participating team members. Save the resumes in a single file using the following convention for the title “ControlNumber_LeadOrganization_Resumes”.

iv. Letters of Commitment

Submit letters of commitment from all subrecipient and third party cost share providers. If applicable, also include any letters of commitment from partners/end users (2-page maximum per letter). Save the letters of commitment in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_LOCs”.

v. Statement of Project Objectives (SOPO)

Applicants are required to complete a SOPO. A SOPO template is available on EERE Exchange at <https://eere-exchange.energy.gov/>. The SOPO, including the Milestone Table, must not exceed 10 pages. The SOPO must not exceed the page limit when printed using standard 8.5 x 11 paper with 1” margins (top, bottom, left, and right) with font not smaller than 12 point. Save the SOPO in a single Microsoft Word file using the following convention for the title “ControlNumber_LeadOrganization_SOPO”.

vi. SF-424: Application for Federal Assistance

Complete all required fields in the EERE Exchange system in accordance with the instructions on the form. 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_424”.

vii. Budget Justification Workbook

Applicants are required to complete the Budget Justification Workbook. This form is available on EERE Exchange at <https://eere-exchange.energy.gov/>.

Prime recipients must complete each tab of the Budget Justification Workbook for the project as a whole, including all work to be performed by the prime recipient and its subrecipients and contractors.

Applicants should include costs associated with required annual audits and incurred cost proposals in their proposed budget documents. The “Instructions and Summary” included with the Budget Justification Workbook will auto-populate as the applicant enters information into the Workbook.

Applicants must 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”.

viii. Summary/Abstract for Public Release

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 project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (e.g., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as DOE 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 12 point. Save the Summary for Public Release in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_Summary”.

ix. Summary Slide

Applicants are required to provide a single MS Powerpoint slide summarizing the proposed project. This slide is used during the evaluation process.

The Summary Slide template requires the following information:

- A technology summary;
- A description of the technology’s impact;
- Proposed project goals;
- Any key graphics (illustrations, charts and/or tables);
- The project’s key idea/takeaway;

-
- Project title, prime recipient, Principal Investigator, and Key Participant information; and
 - Requested EERE funds and proposed applicant cost share.

Save the Summary Slide in a single Microsoft Powerpoint file using the following convention for the title “ControlNumber_LeadOrganization_Slide”.

x. Subrecipient Budget Justification (if applicable)

Applicants must provide a separate budget justification for each subrecipient 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. Save each subrecipient budget justification in a Microsoft Excel file using the following convention for the title “ControlNumber_LeadOrganization_Subrecipient_Budget_Justification”.

xi. Authorization for non-DOE/NNSA or DOE/NNSA FFRDCs (if applicable)

The federal agency sponsoring the FFRDC must authorize in writing the use of the FFRDC on the proposed project and this authorization must be submitted with the application. The use of a FFRDC must be consistent with the contractor’s authority under its award. Save the Authorization in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_FFRDCAuth”.

xii. SF-LLL: Disclosure of Lobbying Activities (required)

Prime 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.

Prime recipients and subrecipients are required to complete and submit SF-LLL, “Disclosure of Lobbying Activities”

(<https://www.grants.gov/web/grants/forms/sf-424-individual-family.html>) to ensure that non-federal funds have not been paid and will not be paid to any person for influencing or attempting to influence any of the following in connection with the 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.

Save the SF-LLL in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_SF-LLL”.

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xiii. Waiver Requests: Foreign Work (if applicable)**Performance of Work in the United States (Foreign Work Waiver)**

As set forth in Section IV.I.iii., all work under EERE funding agreements must be performed in the United States. This requirement does not apply to the purchase of supplies and equipment, so a waiver is not required for foreign purchases of these items. However, the prime recipient should make every effort to purchase supplies and equipment within the United States. Appendix C lists the necessary information that must be included in a foreign work waiver request.

Save the Waivers in a single PDF file using the following convention for the title "ControlNumber_LeadOrganization_Waiver".

xiv. Location(s) of Work

The applicant must complete the supplied template by listing the City and State for each location where project work will be performed by the prime recipient or subrecipient(s).

xv. U.S. Manufacturing Commitments

Pursuant to the DOE Determination of Exceptional Circumstances (DEC) dated September 9, 2013, each applicant is required to submit a U.S. Manufacturing Plan as part of its application. The U.S. Manufacturing Plan represents the applicant's measurable commitment to support U.S. manufacturing as a result of its award.

Each U.S. Manufacturing Plan must include a commitment that any products embodying any subject invention or produced through the use of any subject invention will be manufactured substantially in the United States, unless the applicant can show to the satisfaction of DOE that it is not commercially feasible to do so (referred to hereinafter as "the U.S. Competitiveness Provision"). The applicant further agrees to make the U.S. Competitiveness Provision binding on any subawardee and any assignee or licensee or any entity otherwise acquiring rights to any subject invention, including subsequent assignees or licensees. A subject invention is any invention conceived of or first actually reduced to practice under an award.

Due to the lower technology readiness levels of this FOA, DOE does not expect the U.S. Manufacturing Plans to be tied to a specific product or technology. However, in lieu of the U.S. Competitiveness Provision, an applicant may propose a U.S. Manufacturing Plan with more specific commitments that would be beneficial to the U.S. economy and competitiveness. For example, an applicant may commit specific products to be manufactured in the U.S., commit

to a specific investment in a new or existing U.S. manufacturing facility, keep certain activities based in the U.S. or support a certain number of jobs in the U.S. related to the technology. An applicant which is likely to license the technology to others, especially universities for which licensing may be the exclusive means of commercialization the technology, the U.S. Manufacturing Plan may indicate the applicant's plan and commitment to use a specific licensing strategy that would likely support U.S. manufacturing.

If DOE determines, at its sole discretion, that the more specific commitments would provide a sufficient benefit to the U.S. economy and industrial competitiveness, the specific commitments will be part of the terms and conditions of the award. For all other awards, the U.S. Competitiveness Provision shall be incorporated as part of the terms and conditions of the award as the U.S. Manufacturing Plan for that award.

The U.S. Competitiveness Provision is also a requirement for the Class Patent Waiver that applies to domestic large business under this FOA (see Section VIII.J. Title to Subject Inventions).

Save the U.S. Manufacturing Plan in a single PDF file using the following convention for the title "ControlNumber_LeadOrganization_USMP".

xvi. Data Management Plan (DMP)

Applicants are required to submit a DMP with their Full Application.

An applicant may select one of the template Data Management Plans (DMP) listed below. Alternatively, instead of selecting one of the template DMPs below, an applicant may submit another DMP provided that the DMP, at a minimum, (1) describes how data sharing and preservation will enable validation of the results from the proposed work, how the results could be validated if data are not shared or preserved and (2) has a plan for making all research data displayed in publications resulting from the proposed work digitally accessible at the time of publications. DOE Public Access Plan dated July 24, 2014 provides additional guidance and information on DMPs.

Option 1 (when protected data is allowed): For the deliverables under the award, the recipient does not plan on making the underlying research data supporting the findings in the deliverables publicly-available for up to five (5) years after the data were first produced because such data will be considered protected under the award. The results from the DOE deliverables can be validated by DOE who will have access, upon request, to the research data. Other than providing deliverables as specified in the award, the recipient does not intend to publish the results from the project. However, in an instance where a publication includes results of the project, the underlying research data will be made

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available according to the policies of the publishing media. Where no such policy exists, the recipient must indicate on the publication a means for requesting and digitally obtaining the underlying research data. This includes the research data necessary to validate any results, conclusions, charts, figures, images in the publications.

Option 2: For any publication that includes results of the project, the underlying research data will be made available according to the policies of the publishing media. Where no such policy exists, the recipient must indicate on the publication a means for requesting and digitally obtaining the underlying research data. This includes the research data necessary to validate any results, conclusions, charts, figures, images in the publications..

Save the DMP in a single Microsoft Word file using the following convention for the title "ControlNumber_LeadOrganization_DMP".

xvii. Diversity, Equity and Inclusion Plan

As part of the application, applicants are required to describe how diversity, equity, and inclusion objectives will be incorporated in the project. Specifically, applicants are required to submit a Diversity, Equity, and Inclusion Plan that describes the actions the applicant will take to foster a welcoming and inclusive environment, support people from groups underrepresented in STEM, advance equity, and encourage the inclusion of individuals from these groups in the project; and the extent the project activities will be located in or benefit underserved communities (also see Section I.A.iii). The plan should include SMART milestones supported by metrics to measure the success of the proposed actions.

The following is a non-exhaustive list of actions that can serve as examples of ways the proposed project could incorporate diversity, equity, and inclusion elements. These examples should not be considered either comprehensive or prescriptive. Applicants may include appropriate actions not covered by these examples.

- a. Include persons from groups underrepresented in STEM as PI, co-PI, and/or other senior personnel;
- b. Include persons from groups underrepresented in STEM as student researchers or post-doctoral researchers;
- c. Include faculty or students from Minority Serving Institutions as PI/co-PI, senior personnel, and/or student researchers, as applicable;
- d. Enhance or collaborate with existing diversity programs at your home organization and/or nearby organizations;

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- e. Collaborate with students, researchers, and staff in Minority Serving Institutions;
- f. Disseminate results of research and development in Minority Serving Institutions or other appropriate institutions serving underserved communities;
- g. Implement evidence-based, diversity-focused education programs (such as implicit bias training for staff) in your organization;
- h. Identify Minority Business Enterprises, Minority Owned Businesses, Woman Owned Businesses and Veteran Owned Businesses to solicit as vendors and sub-contractors for bids on supplies, services and equipment.

Save the Diversity, Equity and Inclusion Plan in a single PDF file using the following convention for the title "ControlNumber_LeadOrganization_DEIP".

E. Post Selection Information Requests

If selected for award, EERE reserves the right to request additional or clarifying information regarding the following (non-exhaustive list):

- Indirect cost information;
- Other budget information;
- Updated Commitment Letters from Third Parties Contributing to Cost Share, if applicable;
- 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;
- Environmental Questionnaire; and
- Foreign National Involvement.

F. Dun and Bradstreet Universal Numbering System (DUNS) Number and System for Award Management (SAM)

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: (1) Be registered in the SAM at <https://www.sam.gov> before submitting its application; (2) provide a valid DUNS number in its application; and (3) 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

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the time DOE is ready to make a federal award, the DOE will 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.

G. Submission Dates and Times

All required submissions must be submitted in EERE Exchange no later than 5 p.m. Eastern Time on the dates provided on the cover page of this FOA.

H. Intergovernmental Review

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

I. Funding Restrictions

i. 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:

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

ii. Pre-Award Costs

Selectees must request prior written approval to charge pre-award costs. 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 signing the Selection Statement and Analysis.

Pre-award expenditures are made at the selectee's risk. EERE 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.

1. National Environmental Policy Act (NEPA) Requirements Related to Pre-Award Costs

EERE'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 EERE completing the NEPA review process.

EERE does not guarantee or assume any obligation to reimburse pre-award costs incurred prior to receiving written authorization from the Contracting Officer. If the applicant elects to undertake activities that DOE determines 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 for their project 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. Likewise, if an application is selected for negotiation of award, and the prime recipient elects to undertake activities that are not authorized for federal funding by the Contracting Officer in advance of EERE completing a NEPA review, the prime recipient is doing so at risk of not receiving federal funding and such costs may not be recognized as allowable cost share.

iii. Performance of Work in the United States (Foreign Work Waiver)

1. Requirement

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

2. Failure to Comply

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

3. 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 foreign work waiver, the applicant must submit a written waiver request to EERE. Appendix C lists the necessary information that must be included in a request for a foreign work waiver.

The applicant must demonstrate to the satisfaction of EERE that a waiver would further the purposes of the FOA and is in the economic interests of the United States. EERE may require additional information before considering a waiver request. Save the waiver request(s) in a single PDF file. The applicant does not have the right to appeal EERE's decision concerning a waiver request.

iv. Construction

Recipients are required to obtain written authorization from the Contracting Officer before incurring any major construction costs.

v. Foreign Travel

If international travel is proposed for your project, please note that your organization must comply with the International Air Transportation Fair Competitive Practices Act of 1974 (49 USC 40118), commonly referred to as the "Fly America Act," and implementing regulations at 41 CFR 301-10.131 through 301-10.143. The law and regulations require air transport of people or property to, from, between, or within a country other than the United States, the cost of which is supported under this award, to be performed by or under a cost-sharing arrangement with a U.S. flag carrier, if service is available. Foreign travel costs are allowable only with the written prior approval of the Contracting Officer assigned to the award.

vi. Equipment and Supplies

To the greatest extent practicable, all equipment and products purchased with funds made available under this FOA should be American-made. This requirement does not apply to used or leased equipment.

Property disposition will be required at the end of a project if the current fair market value of property exceeds \$5,000. For-profit entity disposition requirements are set forth at 2 CFR 910.360. Property disposition requirements for other non-federal entities are set forth in 2 CFR 200.310 – 200.316.

vii. Domestic Preference – Infrastructure Projects

As appropriate and to the extent consistent with law, Applicants shall ensure that, to the greatest extent practicable, iron and aluminum as well as steel,

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cement, and other manufactured products (items and construction materials composed in whole or in part of non-ferrous metals such as aluminum; plastics and polymer-based products such as polyvinyl chloride pipe; aggregates such as concrete; glass, including optical fiber; and lumber) used in the proposed project shall be produced in the United States. This requirement shall flow down to all sub-awards including all contracts, subcontracts and purchase orders for work performed under the proposed project.

viii. 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.

Recipients and subrecipients are required to complete and submit SF-LLL, “Disclosure of Lobbying Activities” (<https://www.grants.gov/web/grants/forms/sf-424-individual-family.html>) to ensure that non-federal funds have not been paid and will not be paid to any person for influencing or attempting to influence any of the following in connection with the 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.

ix. 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 Office of Management and Budget (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 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.

x. Invoice Review and Approval

DOE employs a risk-based approach to determine the level of supporting documentation required for approving invoice payments. Recipients may be required to provide some or all of the following items with their requests for reimbursement:

- Summary of costs by cost categories;
- Timesheets or personnel hours report;
- Invoices/receipts for all travel, equipment, supplies, contractual, and other costs;
- UCC filing proof for equipment acquired with project funds by for-profit recipients and subrecipients;
- Explanation of cost share for invoicing period;
- Analogous information for some subrecipients; and
- Other items as required by DOE.

V. Application Review Information

A. Technical Review Criteria

i. Concept Papers

Concept Papers are evaluated based on consideration the following factors. All sub-criteria are of equal weight.

Concept Paper Criterion: Overall FOA Responsiveness and Viability of the Project (Weight: 100%)

This criterion involves consideration of the following factors:

- The applicant clearly describes the proposed technology, describes how the technology is unique and innovative, and how the technology will advance the current state-of-the-art;
- The applicant has identified risks and challenges, including possible mitigation strategies, and has shown the impact that EERE funding and the proposed project would have on the relevant field and application;
- The applicant has the qualifications, experience, capabilities and other resources necessary to complete the proposed project; and
- The proposed work, if successfully accomplished, would clearly meet the objectives as stated in the FOA.

ii. Full Applications

Applications will be evaluated against the merit review criteria shown below. All sub-criteria are of equal weight.

Criterion 1: Technical Merit, Innovation, and Impact (45%)

This criterion involves consideration of the following factors, all of which are equal weight:

- Extent to which the application demonstrates knowledge of the current state-of-the-art (SOA) or baseline technology and how the proposed project will move the state-of-the-art;
- Extent to which the proposed project will likely achieve prescribed goals, targets, or requirements as described in the area of interest; and
- Extent to which the proposed project is technically sound, viable, and is supported by relevant data, calculations, technical assumptions, design

rationale, alternatives, discussion of prior work, and references to literature.

Criterion 2: Project Plan (30%)

This criterion involves consideration of the following factors, all of which are equal weight:

- Extent to which the approach comprehensively and logically addresses research, development, validation, technology integration, risks, and risk mitigation strategies as well as provides appropriate tasks and detailed task descriptions;
- Extent to which the project schedule includes all required tasks, reasonable task durations, logical predecessor and successor task ordering, and a defined critical path;
- Extent to which the baseline performance is defined, performance metrics quantify interim performance progress, appropriately scheduled SMART milestones demonstrate project advancement based upon significant project outcomes, and appropriately scheduled SMART Go/No Go Decision Points represent decisions regarding project continuation; and
- Extent to which the U.S. Manufacturing Plan demonstrates knowledge of the target market(s), distribution channels, required licensing, and competitors as well as the risks and risk mitigation strategies associated with each.

Criterion 3: Project Team and Resources (15%)

This criterion involves consideration of the following factors, all of which are equal weight:

- Extent to which the qualifications, relevant experience, and time commitment of the individuals on the proposed project team are aligned and integrated for successful completion of the proposed project;
- Extent to which existing equipment and facilities, along with proposed acquisition of equipment, support successful completion of the proposed project; and
- Extent and appropriateness of resource commitment to the proposed project by project partners or other key participants validated by letters of commitment.

Criterion 4: Diversity, Equity, and Inclusion (10%)

This criterion involves consideration of the following factors:

-
- The quality and manner in which the measures incorporate diversity, equity and inclusion goals in the project; and
 - Extent to which the project benefits underserved communities.

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 EERE's Notice of Objective Merit Review Procedure (76 Fed. Reg. 17846, March 31, 2011) and the guidance provided in the "DOE Merit Review Guide for Financial Assistance," effective April 14, 2017, which is available at:

<https://energy.gov/management/downloads/merit-review-guide-financial-assistance-and-unsolicited-proposals-current>.

C. Other Selection Factors

i. Program Policy Factors

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

- Whether the proposed project exhibits technological diversity when compared to the existing DOE project portfolio and other projects selected from the subject FOA;
- Whether the proposed project collectively represents diversity of applicant organizations, organization types, and/or organization sizes;
- The level of industry involvement and demonstrated ability to accelerate commercialization and overcome key market barriers;
- Whether the proposed project is likely to lead to increased employment and manufacturing in the United States;
- Whether the proposed project will accelerate transformational technological advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty;
- Whether the proposed project, or group of projects, represent a desired geographic distribution (considering past awards and current applications);
- Whether the proposed project, including proposed cost share, optimizes the use of available EERE funding to achieve programmatic objectives.
- Whether the proposed project incorporates diversity, equity, and inclusion elements, including but not limited to team members from Minority Serving Institutions (e.g. Historically Black Colleges and Universities (HBCUs)/Other Minority Institutions), Minority Business Enterprises, Minority Owned Businesses, Woman Owned Businesses, Veteran Owned Businesses, or members within underserved communities;

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D. Evaluation and Selection Process

i. Overview

The evaluation process consists of multiple phases; each includes an initial eligibility review and a thorough technical review. Rigorous technical reviews of eligible submissions 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.

ii. Pre-Selection Clarification

EERE may determine that pre-selection clarifications are necessary from one or more applicants. Pre-selection clarifications are distinct from and less formal than pre-selection interviews. 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 merit review 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 EERE's written clarification questions or video or conference calls with EERE representatives.

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

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

iii. Recipient Integrity and Performance Matters

DOE, prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313).

The applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

DOE will consider any written comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. § 200.205.

iv. 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 Negotiation Dates

EERE anticipates notifying applicants selected for negotiation of award and negotiating awards by the dates provided on the cover page of this FOA.

VI. Award Administration Information

A. Award Notices

i. Ineligible Submissions

Ineligible Concept Papers and Full Applications will not be further reviewed or considered for award. 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 Concept Paper or the Full Application is ineligible and not considered for further review.

ii. Concept Paper Notifications

EERE will notify applicants of its determination to encourage or discourage the submission of a Full Application. EERE will post these notifications to EERE Exchange.

Applicants may submit a Full Application even if they receive a notification discouraging them from doing so. By discouraging the submission of a Full Application, EERE intends to convey its lack of programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. The purpose of the Concept Paper phase is to save applicants the considerable time and expense of preparing a Full Application that is unlikely to be selected for award negotiations.

A notification encouraging the submission of a Full Application does not authorize the applicant to commence performance of the project. Please refer to Section IV.I.ii. of the FOA for guidance on pre-award costs.

iii. Full Application Notifications

EERE will notify applicants 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 whether or not its Full Application was selected for award negotiations.

iv. Successful Applicants

Receipt of a notification letter selecting a Full 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 by EERE to issue an award. Applicants do not receive an award until award negotiations are

complete and the Contracting Officer executes the funding agreement, accessible by the prime recipient in FedConnect.

The award negotiation process will take approximately 60 days. Applicants must designate a primary and a backup point-of-contact in EERE Exchange with whom EERE will communicate to conduct award negotiations. The applicant must be responsive during award negotiations (i.e., provide requested documentation) and meet the negotiation deadlines. If the applicant fails to do so or if award negotiations are otherwise unsuccessful, EERE will cancel the award negotiations and rescind the Selection. EERE reserves the right to terminate award negotiations at any time for any reason.

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

v. Alternate Selection Determinations

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

vi. Unsuccessful Applicants

EERE shall promptly 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.

B. Administrative and National Policy Requirements

i. Pending and Current Sources of Support

Current and Pending support is intended to allow the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support. If selected for award negotiations, the principal investigator and each senior/key person at the recipient and subrecipient level must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual's research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All foreign government-sponsored

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talent recruitment programs must be identified in current and pending support. The information may be provided in the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vita (SciENCv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at <https://www.nsf.gov/bfa/dias/policy/nsfapprovedformats/cps.pdf>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.

For every activity, list the following items:

- The sponsor of the activity or the source of funding
- The award or other identifying number
- The title of the award or activity. If the title of the award or activity is not descriptive, add a brief description of the research being performed that would identify any overlaps or synergies with the proposed research.
- The total cost or value of the award or activity, including direct and indirect costs and cost share. For pending proposals, provide the total amount of requested funding.
- The award period (start date – end date).
- The person-months of effort per year being dedicated to the award or activity
- If required to identify overlap, duplication of effort, or synergistic efforts, append a description of the other award or activity to the current and pending support.
- Details of any obligations, contractual or otherwise, to any program, entity, or organization sponsored by a foreign government must be provided on request to either the applicant institution or DOE.

ii. **Registration Requirements**

There are several one-time actions before submitting an application in response to this FOA, and it is vital that applicants address these items as soon as possible. Some 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. These requirements are as follows:

1. **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. Applicants should

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

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.**

2. DUNS Number

Obtain a DUNS number (including the plus 4 extension, if applicable) at <http://fedgov.dnb.com/webform>.

3. System for Award Management

Register with the SAM at <https://www.sam.gov>. Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called a Marketing Partner ID Number (MPIN) are important steps in SAM registration. Please update your SAM registration annually.

4. FedConnect

Register in FedConnect at <https://www.fedconnect.net>. To create an organization account, your organization's SAM MPIN 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.

5. 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 Concept Papers and Full Applications will not be accepted through Grants.gov.

6. Electronic Authorization of Applications and Award Documents

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

iii. 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.

iv. Foreign National Access – Unclassified Foreign Visits And Assignment Program

All applicants selected for an award under this FOA are required to provide information to the Department of Energy (DOE) in order to satisfy requirements for foreign nationals' access to DOE sites, information, technologies, equipment, programs, or personnel. A "foreign national" is defined as any person who is not a U.S. citizen by birth or naturalization.

If a selected applicant anticipates involving foreign nationals in the performance of its Award, the selected applicant must provide specific information about each foreign national to DOE for review and consideration. The selected applicant must provide this information for any foreign national who will participate in the performance of the Award for the selected applicant or any subrecipient. The information must also be provided for any foreign national who will provide a service under a contract and who will be exposed to Official Use Only (OUO) or business sensitive information, or information or technology developed under the Award that may be included under any category of national or state security.

The Secretary of Energy or the Secretary's assigned approval authority must approve foreign national participation before any foreign national may gain access to DOE sites, information, technologies, equipment, programs, or personnel or begin performance of any work under the Award.

v. 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. Prime recipients must register with the new FFATA Subaward Reporting System database and report the required data on their first tier subrecipients. Prime recipients must report the executive compensation for their own executives as part of their registration profile in SAM.

vi. National Policy Requirements

The National Policy Assurances that are incorporated as a term and condition of award are located at: <http://www.nsf.gov/awards/managing/rtc.jsp>.

vii. Environmental Review in Accordance with National Environmental Policy Act (NEPA)

EERE's decision whether and how to distribute federal funds under this FOA is subject to NEPA (42 U.S.C. 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

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additional background on NEPA, please see DOE's NEPA website, at <https://www.energy.gov/nepa>.

While NEPA compliance is a federal agency responsibility and the ultimate decisions remain with the federal agency, all recipients selected for an award will be required to assist in the timely and effective 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 recipient may be required to prepare the records and the costs to prepare the necessary records may be included as part of the project costs.

viii. Applicant Representations and Certifications

1. Lobbying Restrictions

By accepting funds under this award, the prime 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.

2. Corporate Felony Conviction and Federal Tax Liability Representations

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

- a.** It is **not** a corporation that has been convicted of a felony criminal violation under any federal law within the preceding 24 months; and
- b.** 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.

3. Nondisclosure and Confidentiality Agreements Representations

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

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- a. 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.
- b. 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:
- (1) *“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.”*
- (2) The limitation above shall not contravene requirements applicable to Standard Form 312 Classified Information Nondisclosure Agreement (<https://fas.org/sgp/othergov/sf312.pdf>), Form 4414 Sensitive Compartmented Information Disclosure Agreement (<https://fas.org/sgp/othergov/intel/sf4414.pdf>), or any other form issued by a federal department or agency governing the nondisclosure of classified information.
- (3) Notwithstanding the 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.

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ix. Statement of Federal Stewardship

EERE will exercise normal federal stewardship in overseeing the project activities performed under EERE awards. Stewardship Activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing assistance and/or temporary intervention in unusual 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.

x. Statement of Substantial Involvement

EERE has substantial involvement in work performed under awards made as a result of this FOA. EERE does not limit its involvement to the administrative requirements of the award. Instead, EERE has substantial involvement in the direction and redirection of the technical aspects of the project as a whole. Substantial involvement includes, but is not limited to, the following:

1. EERE shares responsibility with the recipient for the management, control, direction, and performance of the project.
2. EERE may intervene in the conduct or performance of work under this award for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities.
3. EERE may redirect or discontinue funding the project based on the outcome of EERE's evaluation of the project at the Go/No-Go decision point(s).
4. EERE participates in major project decision-making processes.

xi. Subject Invention Utilization Reporting

In order to ensure that prime recipients and subrecipients holding title to subject inventions are taking the appropriate steps to commercialize subject inventions, EERE may require that each prime recipient holding title to a subject invention submit annual reports for ten (10) years from the date the subject invention was disclosed to EERE on the utilization of the subject invention and efforts made by prime recipient or their licensees or assignees to stimulate such utilization. The reports must include information regarding the status of development, date of first commercial sale or use, gross royalties received by the prime recipient, and such other data and information as EERE may specify.

xii. 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>.

xiii. Reporting

Reporting requirements are identified on the Federal Assistance Reporting Checklist, attached to the award agreement. This helpful EERE checklist can be accessed at <https://www.energy.gov/eere/funding/eere-funding-application-and-management-forms>. See Attachment 2 Federal Assistance Reporting Checklist, after clicking on "Model Cooperative Agreement" under the Award Package section.

Specific reporting and meeting attendance requirements for projects selected from this FOA will include, but are not limited to:

- Yearly participation at the VTO and/or HFTO Program Merit Review and Peer Evaluation (AMR) meeting, typically held in Washington, D.C.
- Project Safety Plan: Safe practices in the production, storage, distribution, and use of hydrogen are essential for the widespread acceptance of hydrogen and fuel cell technologies. For projects that include hydrogen, the recipient must comply with the following requirements:

1. The recipient is required to coordinate with the Hydrogen Safety Panel (HSP), a resource of the DOE Hydrogen and Fuel Cells Program, throughout the project life cycle. Examples of opportunities for HSP involvement include participation in post-award project kickoff meetings, project design and document reviews, risk assessments, and pre-startup reviews prior to beginning field demonstrations. To minimize project impacts, these engagements should be coordinated with regularly scheduled project activities rather than be unique efforts, and should be based on discussions with HSP.

2. All projects are required to submit safety plans. Guidance for the creation of the Safety Plan can be found at https://h2tools.org/sites/default/files/Safety_Planning_for_Hydrogen_and_Fuel_Cell_Projects.pdf. The Safety Plan should cover the full scope of the project, including work by the prime as well as any subrecipients, and should be complete before the work is started. The Safety Plan is due to DOE within 90 days after the award is signed unless alternative timing is approved due to project constraints. The HSP will review the Safety Plan and provide feedback to the Recipient (through DOE) within approximately 30 days of receipt. The Recipient will then have 30 days to respond to the HSP's feedback (e.g., either by incorporating comments into the Plan or by providing rationale for not incorporating comments) and resubmit a revised Safety Plan to DOE.

3. DOE may request HSP involvement in site visits or via teleconferences. If a safety-focused site visit/teleconference is requested, the HSP will provide a written site visit report to the recipient for review and comment, and may conduct a follow-up interview with the recipient and their project team. All such HSP reports are also provided to DOE.

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For all of the items noted above, please ensure that estimated costs associated with the requirements are included within the proposed budget.

xiv. Go/No-Go Review

Each project selected under this FOA will be subject to a periodic project evaluation referred to as a Go/No-Go Review. At the Go/No-Go decision points, EERE will evaluate project performance, project schedule adherence, meeting milestone objectives, compliance with reporting requirements, and overall contribution to the EERE program goals and objectives. Federal funding beyond the Go/No-Go decision point (continuation funding) is contingent upon (1) availability of federal funds appropriated by Congress for the purpose of this program; (2) the availability of future-year budget authority; (3) recipient's technical progress compared to the Milestone Summary Table stated in Attachment 1 of the award; (4) recipient's submittal of required reports; (5) recipient's compliance with the terms and conditions of the award; (6) EERE's Go/No-Go decision; (7) the recipient's submission of a continuation application; and (8) written approval of the continuation application by the Contracting Officer.

As a result of the Go/No-Go Review, DOE may, at its discretion, authorize the following actions: (1) continue to fund the project, contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority; (2) recommend redirection of work under the project; (3) place a hold on federal funding for the project, pending further supporting data or funding; or (4) discontinue funding the project because of insufficient progress, change in strategic direction, or lack of funding.

The Go/No-Go decision (including a DOE determination that continuation is in the best interests of the EERE program goals and objectives) is distinct from a non-compliance determination. In the event a recipient fails to comply with the requirements of an award, EERE may take appropriate action, including but not limited to, redirecting, suspending or terminating the award.

xv. 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.

xvi. Uniform Commercial Code (UCC) Financing Statements

Per 2 CFR 910.360 (Real Property and Equipment) when a piece of equipment is purchased by a for-profit recipient or subrecipient with federal funds, and when the federal share of the financial assistance agreement is more than \$1,000,000, the recipient or subrecipient must:

Properly record, and consent to the Department's ability to properly record if the recipient fails to do so, UCC financing statement(s) for all equipment in excess of \$5,000 purchased with project funds. These financing statement(s) must be approved in writing by the Contracting Officer prior to the recording, and they shall provide notice that the recipient's title to all equipment (not real property) purchased with federal funds under the financial assistance agreement is conditional pursuant to the terms of this section, and that the government retains an undivided reversionary interest in the equipment. The UCC financing statement(s) must be filed before the Contracting Officer may reimburse the recipient for the federal share of the equipment unless otherwise provided for in the relevant financial assistance agreement. The recipient shall further make any amendments to the financing statements or additional recordings, including appropriate continuation statements, as necessary or as the Contracting Officer may direct.

xvii. Table of Personnel

If selected for award negotiations, the selected applicant must submit a list of personnel who are proposed to work on the project, both at the recipient and subrecipient level. The table should include the individuals' names, job titles, role in the project and their organization. Recipients will have an ongoing responsibility to notify DOE of changes to the personnel and submit an updated list during the life of the award as there are changes to the personnel working on the project.

VII. Questions/Agency Contacts

Upon the issuance of a FOA, EERE 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 DE-FOA-0002450@netl.doe.gov. Questions must be submitted not later than 3 business days prior to the application due date and time. Please note, feedback on individual concepts will not be provided through Q&A.

All questions and answers related to this FOA will be posted on EERE Exchange at: <https://eere-exchange.energy.gov>. **Please note that you must first select this specific FOA Number in order to view the questions and answers specific to this FOA.** EERE will attempt to respond to a question within 3 business days, unless a similar question and answer has already been posted on the website. . If the question involves sensitive application information, please email it to DE-FOA-0002450@netl.doe.gov. The response will be sent by return email.

Questions related to the registration process and use of the EERE Exchange website should be submitted to: EERE-ExchangeSupport@hq.doe.gov.

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 or a FOA is posted on these sites if you register for email notifications for this FOA in Grants.gov. EERE 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. Government Right to Reject or Negotiate

EERE 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.

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 anyone other than the Contracting Officer, either express or implied, is invalid.

D. Treatment of Application Information

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. Applicants are advised to not include any critically sensitive proprietary detail.

If an application includes trade secrets or information that is commercial or financial, or information that is confidential or privileged, it is furnished to the Government in confidence with the understanding that the information shall be used or disclosed only for evaluation of the application. Such information will be withheld from public disclosure to the extent permitted by law, including the Freedom of Information Act. Without assuming any liability for inadvertent disclosure, EERE will seek to limit disclosure of such information to its employees and to outside reviewers when necessary for merit review of the application or as otherwise authorized by law. This restriction does not limit the Government's right to use the information if it is obtained from another source.

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subject line.*

Concept Papers, Full Applications, and other submissions containing confidential, proprietary, or privileged information must be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the Freedom of Information Act 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.

The cover sheet of the Concept Paper, Full Application, and other submission must be marked as follows and identify the specific pages containing trade secrets, confidential, proprietary, or privileged information:

Notice of Restriction on Disclosure and Use of Data:

Pages [list applicable pages] of this document may contain trade secrets, 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 or loan 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. [End of Notice]

The header and footer of every page that contains confidential, proprietary, or privileged information must be marked as follows: “Contains Trade Secrets, Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure.” In addition, each line or paragraph containing proprietary, privileged, or trade secret information must be clearly marked with double brackets or highlighting.

E. Evaluation and Administration by Non-Federal Personnel

In conducting the merit review evaluation, the Go/No-Go Reviews and Peer Reviews, 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, including EERE contractors. The applicant, by submitting its application, consents to the use of non-federal reviewers/administrators. Non-federal reviewers must sign conflict of interest (COI) and non-disclosure acknowledgements (NDA) prior to reviewing an application. Non-federal personnel conducting administrative activities must sign an NDA.

F. Notice Regarding Eligible/Ineligible Activities

Eligible activities under this FOA include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies,

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but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

G. Notice of Right to Conduct a Review of Financial Capability

EERE 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).

H. 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 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.

I. Retention of Submissions

EERE expects to retain copies of all Concept Papers and Full Applications and other submissions. No submissions will be returned. By applying to EERE for funding, applicants consent to EERE's retention of their submissions.

J. Title to Subject Inventions

Ownership of subject inventions is governed pursuant to the authorities listed below:

- Domestic Small Businesses, Educational Institutions, and Nonprofits: Under the Bayh-Dole Act (35 U.S.C. § 200 et seq.), domestic small businesses, educational institutions, and nonprofits may elect to retain title to their subject inventions;
- All other parties: The federal Non-Nuclear Energy Act of 1974, 42. U.S.C. 5908, provides that the government obtains title to new inventions unless a waiver is granted (see below);
- Class Patent Waiver:

DOE has issued a class waiver that applies to this FOA. Under this class waiver, domestic large businesses may elect title to their subject inventions similar to the

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right provided to the domestic small businesses, educational institutions, and nonprofits by law. In order to avail itself of the class waiver, a domestic large business must agree that any products embodying or produced through the use of a subject invention first created or reduced to practice under this program will be substantially manufactured in the United States, unless DOE agrees that the commitments proposed in the U.S. Manufacturing Plan are sufficient.

- **Advance and Identified Waivers:** Applicants may request a patent waiver that will cover subject inventions that may be invented under the award, in advance of or within 30 days after the effective date of the award. Even if an advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver for identified inventions, i.e., individual subject inventions that are disclosed to EERE within the timeframes set forth in the award’s intellectual property terms and conditions. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.
- Applicants are required to submit a U.S. Manufacturing Plan as part of their application. If selected, the U.S. Manufacturing Plan shall be incorporated into the award terms and conditions for domestic small businesses and nonprofit organizations. DOE has determined that exceptional circumstances exist that warrants the modification of the standard patent rights clause for small businesses and non-profit awardees under Bayh-Dole to the extent necessary to implement and enforce the U.S. Manufacturing Plan. Any Bayh-Dole entity (domestic small business or nonprofit organization) affected by this DEC has the right to appeal it.

K. Government Rights in Subject Inventions

Where prime recipients and subrecipients retain title to subject inventions, the U.S. government retains certain rights.

7. Government Use License

The U.S. government retains a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States any subject invention throughout the world. This license extends to contractors doing work on behalf of the government.

8. March-In Rights

The U.S. government retains march-in rights with respect to all subject inventions. Through “march-in rights,” the government may require a prime recipient or subrecipient who has elected to retain title to a subject invention (or their assignees or exclusive licensees), to grant a license for use of the invention to a third party. In addition, the government may grant licenses for use of the

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subject invention when a prime recipient, subrecipient, or their assignees and exclusive licensees refuse to do so.

DOE may exercise its march-in rights only if it determines that such action is necessary under any of the four following conditions:

- The owner or licensee has not taken or is not expected to take effective steps to achieve practical application of the invention within a reasonable time;
- The owner or licensee has not taken action to alleviate health or safety needs in a reasonably satisfied manner;
- The owner has not met public use requirements specified by federal statutes in a reasonably satisfied manner; or
- The U.S. manufacturing requirement has not been met.

Any determination that march-in rights are warranted must follow a fact-finding process in which the recipient has certain rights to present evidence and witnesses, confront witnesses and appear with counsel and appeal any adverse decision. To date, DOE has never exercised its march-in rights to any subject inventions.

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 normally retains unlimited rights in technical data produced under government financial assistance awards, including the right to distribute to the public. However, pursuant to special statutory authority, certain categories of data generated under EERE awards may be protected from public disclosure for up to five years after the data is generated (“Protected Data”). For awards permitting Protected Data, the protected data must be marked as set forth in the awards intellectual property terms and conditions and a listing of unlimited rights data (i.e., non-protected data) must be inserted into the data clause in the award. In addition, invention disclosures may be protected from public disclosure for a reasonable time in order to allow for filing a patent application.

M. Copyright

The prime recipient and subrecipients may assert copyright in copyrightable works, such as software, first produced under the award without EERE 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. In addition, for those awards requiring distribution of software as Open-Source Software (OSS), the additional information in Appendix D must be addressed in the application.

N. Export Control

The U.S. government regulates the transfer of information, commodities, technology, and software considered to be strategically important to the U.S. to protect national security, foreign policy, and economic interests without imposing undue regulatory burdens on legitimate international trade. There is a network of federal agencies and regulations that govern exports that are collectively referred to as “Export Controls”. To ensure compliance with Export Controls, it is the prime recipient’s responsibility to determine when its project activities trigger Export Controls and to ensure compliance.

Export Controls may apply to individual projects, depending on the nature of the tasks. When Export Controls apply, the recipient must take the appropriate steps to obtain any required governmental licenses, monitor and control access to restricted information, and safeguard all controlled materials. Under no circumstances may foreign entities (organizations, companies or persons) receive access to export controlled information unless proper export procedures have been satisfied and such access is authorized pursuant to law or regulation.

O. Personally Identifiable Information (PII)

All information provided by the applicant must to the greatest extent possible exclude PII. The term “PII” refers to information which can be used to distinguish or trace an individual's identity, such as their name, social security number, biometric records, alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother’s maiden name. (See OMB Memorandum M-07-16 dated May 22, 2007, found at:

<https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/memoranda/2007/m07-16.pdf>

By way of example, applicants must screen resumes to ensure that they do not contain PII such as personal addresses, personal landline/cell phone numbers, and personal emails. **Under no circumstances should Social Security Numbers (SSNs)**

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be included in the application. Federal agencies are prohibited from the collecting, using, and displaying unnecessary SSNs. (See, the Federal Information Security Modernization Act of 2014 (Pub. L. No. 113-283, Dec 18, 2014; 44 U.S.C. §3551).

P. Annual Independent Audits

If a for-profit entity is a prime recipient and has expended \$750,000 or more of DOE awards during the entity's fiscal year, an annual compliance audit performed by an independent auditor is required. For additional information, please refer to 2 C.F.R. § 910.501 and Subpart F.

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 awards during the non-federal entity's fiscal year, then a Single or Program-Specific Audit is required. For additional information, please refer to 2 C.F.R. § 200.501 and Subpart F.

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

Q. Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment

Recipients and subrecipients are prohibited from obligating or expending federal funds to procure or obtain; extend or renew a contract to procure or obtain; or enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. As described in Public Law 115-232, section 889, covered telecommunications equipment is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

- a. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
- b. Telecommunications or video surveillance services provided by such entities or using such equipment.

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- c. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

Certain prohibited equipment, systems, or services, including equipment, systems, or services produced or provided by entities identified in Public Law 115-232, section 889, are recorded in the System for Award Management exclusion list.

R. Foreign Government-Sponsored Talent Recruitment Program Prohibition (October 2020)

Recipients of DOE financial assistance awards and project participants are prohibited from participating in certain foreign-government sponsored talent recruitment programs. The purpose of this prohibition is to ensure the protection of U.S. competitive and national security interests and DOE program objectives; prevent potential conflicts of interest; and limit unauthorized transfers of scientific and technical information.

Selected applicants and Recipients of financial assistance awards under this FOA may be required to submit disclosures and/or certifications to ensure compliance with the prohibition; individual certifications and/or disclosures may be required for the selected applicant, Recipient, and certain project participants (at the recipient, subrecipient, and contractor levels). Further, to exercise due diligence, Recipients of a financial assistance award under this FOA may be required to submit updated disclosures and/or certifications during the life of the award to ensure that neither they nor certain project participants (at the recipient, subrecipient, and contractor levels) are participating in certain foreign government-sponsored talent recruitment programs.

S. Implementation of Executive Order 13798, Promoting Free Speech and Religious Liberty

States, local governments, or other public entities may not condition sub-awards in a manner that would discriminate, or disadvantage sub-recipients based on their religious character.

APPENDIX A – 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 200.306, use both of the terms in the titles specific to regulations applicable to cost sharing. EERE 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. FFRDC costs must be included in Total Project Costs. The 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%

What Qualifies For Cost Sharing

While it is not possible to explain what specifically qualifies for cost sharing in one or even a couple of sentences, in general, if a cost is allowable under the cost principles applicable to the organization incurring the cost and is eligible for reimbursement under an EERE 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.

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:

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- 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, EERE 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, EERE generally does not allow pre-award costs prior to the signing of the Selection Statement by the EERE Selection Official.

General Cost Sharing Rules on a DOE Award

- 1. Cash Cost Share** – encompasses all contributions to the project made by the recipient or subrecipient(s), for costs incurred and paid for during the project. This includes when an organization pays for personnel, supplies, equipment for their own company with organizational resources. If the item or service is reimbursed for, it is cash cost share. All cost share items must be necessary to the performance of the project.
- 2. In-Kind Cost Share** – encompasses all contributions to the project made by the recipient or subrecipient(s) that do not involve a payment or reimbursement and represent donated items or services. In-Kind cost share items include volunteer personnel hours, donated existing equipment, donated existing supplies. The cash value and calculations thereof for all In-Kind cost share items must be justified and explained in the Cost Share section of the project Budget Justification. All cost share items must be necessary to the performance of the project. If questions exist, consult your DOE contact before filling out the In-Kind cost share section of the Budget Justification.
- 3. Funds from other federal sources MAY NOT be counted as cost share.** This prohibition includes FFRDC subrecipients. Non-federal sources include any source not originally derived from federal funds. Cost sharing commitment letters from subrecipients must be provided with the original application.
- 4. Fee or profit, including foregone fee or profit, are not allowable as project costs** (including cost share) under any resulting award. The project may only incur those costs that are allowable and allocable to the project (including cost share) 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.

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 prime 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 the 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:
 - 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 FAR, 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; and
 - b.** Other types of organizations. For all other non-federal entities, allowability of costs is determined in accordance with 2 CFR Part 200 Subpart E.
- (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 will be consumed in the performance of the award or fully depreciated by the end of

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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

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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 B – SAMPLE COST SHARE CALCULATION FOR BLENDED COST SHARE PERCENTAGE

The following example shows the math for calculating required cost share for a project with \$2,000,000 in federal funds with four tasks requiring different non-federal cost share percentages:

| Task | Proposed Federal Share | Federal Share % | Recipient Share % |
|------------------------|------------------------|-----------------|-------------------|
| Task 1 (R&D) | \$1,000,000 | 80% | 20% |
| Task 2 (R&D) | \$500,000 | 80% | 20% |
| Task 3 (Demonstration) | \$400,000 | 50% | 50% |
| Task 4 (Outreach) | \$100,000 | 100% | 0% |

Federal share (\$) divided by federal share (%) = Task Cost

Each task must be calculated individually as follows:

Task 1

\$1,000,000 divided by 80% = \$1,250,000 (Task 1 Cost)

Task 1 Cost minus federal share = non-federal share

\$1,250,000 - \$1,000,000 = \$250,000 (non-federal share)

Task 2

\$500,000 divided 80% = \$625,000 (Task 2 Cost)

Task 2 Cost minus federal share = non-federal share

\$625,000 - \$500,000 = \$125,000 (non-federal share)

Task 3

\$400,000 / 50% = \$800,000 (Task 3 Cost)

Task 3 Cost minus federal share = non-federal share

\$800,000 - \$400,000 = \$400,000 (non-federal share)

Task 4

Federal share = \$100,000

Non-federal cost share is not mandated for outreach = \$0 (non-federal share)

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The calculation may then be completed as follows:

| Tasks | \$ Federal Share | % Federal Share | \$ Non-Federal Share | % Non-Federal Share | Total Project Cost |
|--------|------------------|-----------------|----------------------|---------------------|--------------------|
| Task 1 | \$1,000,000 | 80% | \$250,000 | 20% | \$1,250,000 |
| Task 2 | \$500,000 | 80% | \$125,000 | 20% | \$625,000 |
| Task 3 | \$400,000 | 50% | \$400,000 | 50% | \$800,000 |
| Task 4 | \$100,000 | 100% | \$0 | 0% | \$100,000 |
| Totals | \$2,000,000 | | \$775,000 | | \$2,775,000 |

Blended Cost Share %

Non-federal share (\$775,000) divided by Total Project Cost (\$2,775,000) = 27.9% (non-federal)

Federal share (\$2,000,000) divided by Total Project Cost (\$2,775,000) = 72.1% (federal)

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APPENDIX C – WAIVER REQUESTS AND APPROVAL PROCESSES: PERFORMANCE OF WORK IN THE UNITED STATES (FOREIGN WORK WAIVER)

As set forth in Section IV.I.iii., all work under EERE funding agreements must be performed in the United States. This requirement does not apply to the purchase of supplies and equipment, so a waiver is not required for foreign purchases of these items. However, the prime recipient should make every effort to purchase supplies and equipment within the United States. 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 applicant must submit an explicit waiver request in the Full Application. A separate waiver request must be submitted for each entity proposing performance of work outside of the United States.

Overall, a waiver request must demonstrate to the satisfaction of EERE that it would further the purposes of this FOA and is otherwise in the economic interests of the United States to perform work outside of the United States. A request to waive the *Performance of Work in the United States* requirement must include the following:

- The rationale for performing the work outside the U.S. (“foreign work”);
- A description of the work proposed to be performed outside the U.S.;
- An explanation as to how the foreign work is essential to the project;
- A description of the anticipated benefits to be realized by the proposed foreign work and the anticipated contributions to the US economy;
- 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;
- A description of the likelihood of Intellectual Property (IP) being created from the foreign work and the treatment of any such IP;
- The total estimated cost (DOE and recipient cost share) of the proposed foreign work;
- The countries in which the foreign work is proposed to be performed; and
- The name of the entity that would perform the foreign work.

EERE may require additional information before considering the waiver request.

The applicant does not have the right to appeal EERE’s decision concerning a waiver request.

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APPENDIX D – GLOSSARY

Applicant – The lead organization submitting an application under the FOA.

Continuation application – A non-competitive application for an additional budget period within a previously approved project period. At least ninety (90) days before the end of each budget period, the Recipient must submit to EERE its continuation application, which includes the following information:

- i. A report on the Recipient’s progress towards meeting the objectives of the project, including any significant findings, conclusions, or developments, and an estimate of any unobligated balances remaining at the end of the budget period. If the remaining unobligated balance is estimated to exceed 20 percent of the funds available for the budget period, explain why the excess funds have not been obligated and how they will be used in the next budget period.
- ii. A detailed budget and supporting justification if there are changes to the negotiated budget, or a budget for the upcoming budget period was not approved at the time of award.
- iii. A description of any planned changes from the negotiated Statement of Project Objectives and/or Milestone Summary Table.

Cooperative Research and Development Agreement (CRADA) – a contractual agreement between a national laboratory contractor and a private company or university to work together on research and development. For more information, see <https://www.energy.gov/gc/downloads/doe-cooperative-research-and-development-agreements>

Federally Funded Research and Development Centers (FFRDC) - FFRDCs are public-private partnerships which conduct research for the United States government. A listing of FFRDCs can be found at <http://www.nsf.gov/statistics/ffrdclist/>.

Go/No-Go Decision Points: – A decision point at the end of a budget period that defines the overall objectives, milestones and deliverables to be achieved by the recipient in that budget period. As a result of EERE’s review, EERE may take one of the following actions: 1) authorize federal funding for the next budget period; 2) recommend redirection of work; 3) discontinue providing federal funding beyond the current budget period; or 4) place a hold on federal funding pending further supporting data.

Project – The entire scope of the cooperative agreement which is contained in the recipient’s Statement of Project Objectives.

Recipient or “Prime Recipient” – A non-federal entity that receives a federal award directly from a federal awarding agency to carry out an activity under a federal program. The term recipient does not include subrecipients.

Subrecipient – A non-federal entity that receives a subaward from a pass-through entity to carry out part of a federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency. Also, a DOE/NNSA and non-DOE/NNSA FFRDC may be proposed as a subrecipient on another entity’s application. See section III.E.i.

APPENDIX E – PERFORMANCE TARGETS

| Table 1: Electric Motor Performance Targets | | | |
|---|--|----------------|----------------|
| Metric | Baseline (Class 8) | 2030 (Class 8) | 2030 (Class 6) |
| Mass | 250 kg | 150 kg | 57 kg |
| Volume | 75-175 liters (15-20 kW/liter) | 150 liters | 47 liters |
| Rated (efficiency at cruising operation point) Efficiency | >90% | >96% | >96% |
| Cost | \$5000 | \$3,000 | \$1,670 |
| Maximum Speed | <10,000 rpm | >12,000 rpm | >12,000 rpm |
| CPSR | >3 | >3 | >3 |
| Volumetric (Peak) Power Density (calculated) | 6-2.6 kW/liter (2025 Target 50 kW/liter) | 3 kW/liter | 3 kW/liter |
| Gravimetric (Peak) Power Density (calculated) | 1.8 kW/kg (2020 Target 1.6) | N/A | N/A |

| Table 2: Inverter Performance Targets | | | |
|---|--|----------------|----------------|
| Metric | Baseline (Class 8) | 2030 (Class 8) | 2030 (Class 6) |
| Mass | 30 kg | 25 kg | 13.9 kg |
| Volume | 30 liters | 15 liters | 8.33 liters |
| Rated (efficiency at cruising operation point) Efficiency | >97% | >98% | >98% |
| Cost | \$3,500 | \$3,000 | \$1,670 |
| DC Link Voltage | 700V nominal | 1200V nominal | 1200V nominal |
| Volumetric (Peak) Power Density (calculated) | 15 kW/liter (2025 Target 100 kW/liter) | 30 kW/liter | 30 kW/liter |
| Gravimetric (Peak) Power Density (calculated) | 15 kW/kg (2020 Target 14.1) | 18 kW/kg | 18 kW/kg |

| Table 3: Energy Storage (Battery Pack) Performance Targets (2030) | | |
|--|----------------|--------------------------------|
| Pack Performance at End of Life (30°C)* | Class 6 | Class 8 Line-haul Truck |
| Useable Energy | 165 kWh | 900 kWh |
| Cost | \$75/kWh | \$83/kWh |
| Energy Density | 150 Wh/L | 500 Wh/L |
| Specific Energy | 252 Wh/kg | 273 Wh/kg |
| Peak Discharge Power (30 s) | 200 kW | 600 kW |
| Regen Power (continuous) | 120 kW | 480 kW |
| Calendar Life | 10 y | 10 y |
| Cycle Life | 2400 | 2000 |

*Assumes 45% cell to pack volume ratio; 70% cell to pack mass ratio.

| Table 4: Engine Performance Targets | | |
|--|---|--|
| Metric | CLASS 7/8 | CLASS 4-6 |
| Brake Thermal Efficiency (BTE) | 57% BTE in over-the-road cruise condition | 48% BTE in over-the-road cruise condition (CI), 45% BTE in over-the-road cruise condition (SI Gas) |
| Emissions | Prevailing Federal Emissions levels | Prevailing Federal Emission Levels |
| Fuel Consumption | N/A | 25% reduction versus 2017 |

| Table 5: Targets for Hydrogen-Fueled Long Haul Class 8 Trucks | | |
|--|--|--|
| | Interim (2030) | Ultimate (2050) |
| Fuel Cell System Lifetime | 25,000 hours | 30,000 hours |
| Fuel Cell System Cost | \$80/kW | \$60/kW |
| Fuel Cell Efficiency (peak) | 68% | 72% |
| Hydrogen Fill Rate | 8 kg H ₂ /min | 10 kg H ₂ /min |
| Storage System Cycle Life | 5,000 cycles | 5,000 cycles |
| Pressurized Storage System Cycle Life | 11,000 cycles | 11,000 cycles |
| Hydrogen Storage System Cost | \$9/kWh (\$300/kg H ₂ stored) | \$8/kWh (\$266/kg H ₂ stored) |

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* See Technical Targets for Hydrogen-Fueled Long-Haul Tractor-Trailer Trucks,
https://www.hydrogen.energy.gov/pdfs/19006_hydrogen_class8_long_haul_truck_targets.pdf
for more information and list of assumptions.

APPENDIX F – LIST OF ACRONYMS

Insert other acronyms applicable to this FOA (e.g., technology office name, technical terms or metrics)

| | |
|-------|--|
| COI | Conflict of Interest |
| DEC | Determination of Exceptional Circumstances |
| DMP | Data Management Plan |
| DOE | Department of Energy |
| DOI | Digital Object Identifier |
| EERE | Energy Efficiency and Renewable Energy |
| FAR | Federal Acquisition Regulation |
| FFATA | Federal Funding and Transparency Act of 2006 |
| FOA | Funding Opportunity Announcement |
| FOIA | Freedom of Information Act |
| FFRDC | Federally Funded Research and Development Center |
| GAAP | Generally Accepted Accounting Principles |
| IPMP | Intellectual Property Management Plan |
| M&O | Management and Operating |
| MPIN | Marketing Partner ID Number |
| MYPP | Multi-Year Program Plan |
| NDA | Non-Disclosure Acknowledgement |
| NEPA | National Environmental Policy Act |
| NNSA | National Nuclear Security Agency |
| OMB | Office of Management and Budget |
| OSTI | Office of Scientific and Technical Information |
| PII | Personal Identifiable Information |
| R&D | Research and Development |
| RFI | Request for Information |
| RFP | Request for Proposal |
| SAM | System for Award Management |
| SOPO | Statement of Project Objectives |
| SPOC | Single Point of Contact |
| TIA | Technology Investment Agreement |
| TRL | Technology Readiness Level |
| UCC | Uniform Commercial Code |
| WBS | Work Breakdown Structure |
| WP | Work Proposal |