

BIOENERGY TECHNOLOGIES OFFICE

U.S. DEPARTMENT OF
ENERGY

Energy Efficiency &
Renewable Energy



Bioenergy Technologies incubator

BETOIncubator@go.doe.gov

**Informational Webinar for FOA
Applicants**

DE-FOA-000974

March 3, 2014, 1 pm EST

Notice

- All applicants are strongly encouraged to carefully read the Funding Opportunity Announcement DE- FOA-0000974 (**“Bioenergy Technologies Incubator FOA”**) and adhere to the stated submission requirements.
- This presentation summarizes the contents of FOA. If there are any inconsistencies between the FOA and this presentation or statements from DOE personnel, the FOA is the controlling document and applicants should rely on the FOA language and seek clarification from EERE.
- If you believe there is an inconsistency, please contact BETOIncubator@go.doe.gov

Agenda

- 1) EERE/BETO Incubator Background and Overview
- 2) Award Information
- 3) Concept Papers
- 4) Full Applications
- 5) Merit Review and Selection Process
- 6) Registration Requirements
- 7) Statement of Substantial Involvement
- 8) Cost Sharing

EERE Incubator Background

- The Office of Energy Efficiency and Renewable Energy (EERE) leads the U.S. Department of Energy's efforts to develop and deliver market-driven solutions for energy-saving homes, buildings, and manufacturing; sustainable transportation; and renewable electricity generation.
- EERE focuses the majority of its resources on a limited number of "highest probability of success" pathways/approaches to ensure that the program initiatives are supported at a critical mass (both in terms of dollars and time) for maximum impact.
- EERE is expanding the "Sunshot Incubator Program" from the Solar Energy Technologies Program to other technology offices within EERE.
- Goal of the EERE Incubator is to enable on-going "on-ramp" for "off-roadmap" emerging technology approaches.

BETO Incubator Overview: Current Goals and Plans

- The mission of the Bioenergy Technologies Office (BETO) within EERE is to develop and transform biomass resources into commercially viable, high performance biofuels, as well as bioproducts, and biopower that enable biofuels production through targeted research, development, demonstration, and deployment supported through public -private partnerships.
- To accomplish this mission, BETO develops a strategic plan, or multi-year program to identify the technical challenges and barriers that need to be overcome.
- Link for multi-year program plan:
 - http://www1.eere.energy.gov/bioenergy/key_publications.html#PLANS_ROADMAPS_AND_REPORTS
- Link for current portfolio:
 - http://www1.eere.energy.gov/bioenergy/peer_review2013.html

BETO Incubator: Areas of non-interest

- This FOA is intended to identify the potentially impactful ideas that are novel and potentially game-changing that are NOT meaningfully addressed in BETO's strategic plan or project portfolio.
- This FOA is NOT intended to fund projects that are incremental improvements to current products or processes or for established work in BETO's strategic plan or current portfolio.
- In addition, there are a number of other areas of non-interest highlighted in the FOA, in Section 1C (pgs. 2-3)

Award Information

Total Amount to be Awarded	Up to \$10 million* (Subject to the availability of appropriated funds)
Average Award Amount	EERE anticipates making awards that range from \$500,000 to \$2 million
Types of Funding Agreements	Cooperative Agreements, Work Authorizations, and Interagency Agreements
Period of Performance	12-24 months
Expected TRL	2-4
Cost Share Requirement	Cost share must be greater than or equal to 20% of total project costs.

DE-FOA-0000974

Bioenergy Technologies Incubator

Anticipated Schedule:

FOA Issue Date:	February 25, 2014
FOA Informational Webinar:	March 3, 2014
Submission Deadline for Concept Papers:	March 31, 2014, 5p.m. Eastern
Submission Deadline for Full Applications:	May 23, 2014, 5p.m. Eastern
Submission Deadline for Replies to Reviewer Comments:	June 27, 2014, 5p.m. Eastern
Expected Date for EERE Selection Notifications:	August 1, 2014
Expected Timeframe for Award Negotiations:	August 1 through August 29, 2014

Concept Papers

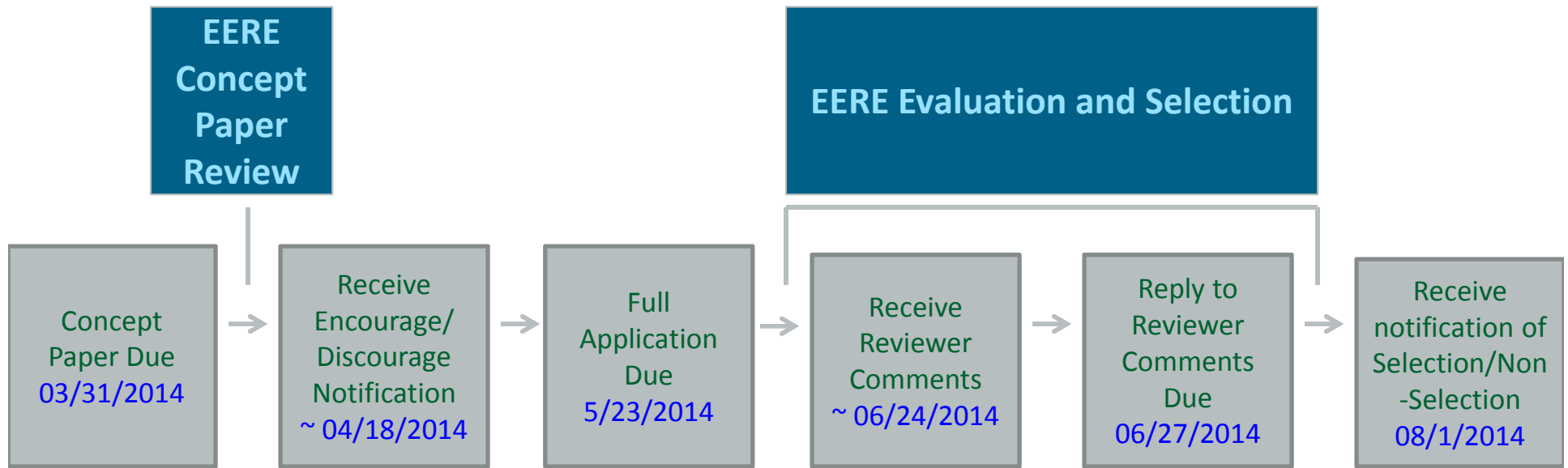
- Applicants must submit a Concept Paper
 - Each Concept Paper must be limited to a single concept or technology
- The Concept Paper must include a technology description (See Section IV.C of the FOA)
 - The technology description is limited to 2 pages, with 1 page addendum
- Concept Papers must be submitted by March 31, 2014, 5pm Eastern through EERE Exchange, and must meet the content and form requirements (See Section IV.C of the FOA).
- EERE provides applicants with: (1) an “encouraged” or “discouraged” notification, and (2) the reviewer comments
- A "discouraged" notification conveys EERE's lack of programmatic interest in the proposed project. An Applicant who receives a "discouraged" notification may still submit a Full Application.

Concept Paper Criteria (Section V.A.1)

EERE will evaluate Concept Papers based on the following technical review criteria:

- **Criterion 1: Extent to Which the Proposed Approach/Solution is New to the Office Portfolio (60%)**
 - The proposed technology represents a novel approach to address the mission and goals of the Bioenergy Technologies Office (BETO) that is not represented in a significant way in the BETO Multi-Year Program Plan and current project portfolio.
- **Criterion 2: Impact of the Proposed Technology Relative to the State of the Art (20%)**
 - Method used to identify current state of the art technology
 - If technical success is achieved, the proposed idea would significantly improve technical and economic performance relative to the state of the art.
- **Criterion 3: Overall Technical Merit (20%)**
 - The proposed technology is unique and innovative; and
 - The proposed approach is without major technical flaws.

FOA Timeline



EERE anticipates making awards by 08/29/2014

Full Applications

- The Full Application includes:
 - **Technical Volume:** The key technical submission - info relating to the technical content, project team members, etc.
 - **SF-424 Application for Federal Assistance:** The formal application signed by the authorized representative of the applicant.
 - **SF-424A Budget & Budget Justification (EERE 159):** a detailed budget and spend plan for the project.
 - **Summary/Abstract for Public Release**
 - **Summary Slide**
 - **Administrative Documents:** E.g., U.S. Manufacturing Plan, FFRDC Authorization (if applicable), Disclosure of Lobbying Activities, etc

Full Applications: Technical Volume Content (Section IV.D.2)

- **Technical Volume: the key technical component of the Full Application (30 pages)**

Content of Technical Volume	Approximate % of Technical Volume
Cover Page	
Project Overview	~ 5%
Technical Description, Innovation and Impact	~ 25-33%
Workplan	~ 33-50%
Technical Qualifications and Resources	~ 10- 15%

Full Application Eligibility Requirements

- Applicants must submit a Full Application by May 23, 2014
- Full Applications are eligible for review if:
 - The Applicant is an eligible entity (Section III.A of FOA);
 - The Applicant submitted an eligible Concept Paper;
 - The Cost Share requirement is satisfied (Section III.B of FOA);
 - The Full Application is compliant (Section III.C of FOA of FOA); and
 - The proposed project is responsive to the FOA (Section III.D of FOA)
 - The Full Application meets any other eligibility requirements listed in Section III of the FOA.

Who's Eligible to Apply?

Eligible applicants for this FOA include:

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

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

Multiple Applications

Applicants may submit only one application to this FOA as the Prime Recipient.

This limitation does not prohibit an applicant from collaborating on other applications (e.g., as a potential Subrecipient or partner) so long as the entity is only listed as the Prime Applicant on one Concept Paper and Full Application submitted under this FOA.

Merit Review and Selection Process (Full Applications)

- The Merit Review process consists of multiple phases that each include an initial eligibility review and a thorough technical review
- Rigorous technical reviews are conducted by reviewers that are experts in the subject matter of the FOA
- Ultimately, the Selection Official considers the recommendations of the reviewers, along with other considerations such as program policy factors, to make the selection decisions

Evaluation criteria Weighting for Full Applications

- Section V.A.2

	Criterion	Weighting
1	Impact of the Proposed Project Relative to Current Approach or Technology	40%
2	Overall Scientific and Technical Merit	30%
3	Qualifications, Experience, Capabilities, and Soundness of Management Plan for the Proposed Project Team	30%

Full Application Merit Review Criteria 1 (40%)

Impact of Proposed Technology Relative to Current Approach

- The extent to which the proposed approach or technology, if successful, represents a measureable and significant advancement over current state of the art.
- The degree to which the application demonstrates a profound understanding of the current state approach and/or state of the art.
- The clarity of the application's demonstration of an awareness of competing approaches or technologies and identification of how the proposed project has advantages over these competing approaches.
- Validity and likelihood of success of the proposed manufacturing and/or commercialization strategy

Full Application Merit Review Criteria 2 (30%)

Overall Scientific and Technical Merit

- Degree that the proposed project is innovative and unique
- Extent to which the proposed project clearly defines project outcome and deliverables
- Demonstration of a sound technical approach to accomplish the proposed objectives
- Submission of a sound development plan, technical information, test results, and data that demonstrates credible and well-justified technical potential to meet or exceed any defined targets or goals.

Full Application Merit Review Criteria 3 (30%)

Qualifications, Experience, Capabilities, and Soundness of Management Plan for the Proposed Project Team

- Degree to which the roles and responsibilities of the project team members are clearly defined and demonstrate an effective plan to manage the resources.
- Demonstrated experience and commitment of the project team to manage and implement projects of similar risk and complexity (all project aspects, including scope, cost, and schedule) that have led to successful development and commercialization.
- Collaboration of teaming partners on past projects.
- Credentials, capabilities, and experience of proposed team members/key personnel.
- Access to the facilities and equipment necessary to accomplish the project or clearly define how the necessary equipment and facilities will be obtained.
- Adequacy of the project timetable/schedule and milestones to successfully accomplish project objectives on time and within the proposed budget.

Replies to Reviewer Comments

- EERE provides applicants with reviewer comments
- Applicants have from approximately 6/24/2014 to 6/27/2014 5p.m. Eastern to prepare a Reply to Reviewer Comments (“Reply”) to respond to comments
 - Page Limit: 3 Pages, including charts, graphs, etc.
- Applicants are not required to submit a Reply. It is optional.
- To be considered by EERE, a Reply must be submitted by the deadline and submitted through EERE Exchange.
- Please see Sections IV.F. and V.A.3 for additional information regarding Replies to Reviewer Comments

Selection Factors

The Selection Official may consider the merit review recommendation, program policy factors, and the amount of funds available in arriving at selections for this FOA

Program Policy Factors (Section V.C.1)

- The Selection Official may consider the following program policy factors in making his/her selection decisions:
 - Likelihood that the successful completion of the proposed project would result in a technology or solution that could be incorporated in the BETO Multi-year program plan
 - The degree to which the proposed project, including proposed cost share, optimizes the use of available EERE funding to achieve programmatic objectives
 - The level of industry involvement and demonstrated ability to commercialize energy or related technologies
 - Technical, market, organizational, and environmental risks associated with the project
 - 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
 - The degree to which the proposed project directly addresses EERE's statutory mission and strategic goals
 - Whether the proposed project has significant potential to impact the market while not being detrimental to the overall objectives of the program

Registration Requirements

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

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

Means of Submission

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

Key Submission Points

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

Applicant Points-of-Contact

- Applicants must designate primary and backup points-of-contact in EERE Exchange with whom EERE will communicate to conduct award negotiations
- It is imperative that the Applicant/Selectee be responsive during award negotiations and meet negotiation deadlines, expected to take place between 08/01/2014 through 08/29/2014
 - Failure to do so may result in cancelation of further award negotiations and rescission of the Selection

Statement of Substantial Involvement

EERE has substantial involvement in work performed under Awards made following 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 Prime Recipient for the management, control, direction, and performance of work under this award.
2. EERE reviews and approves in a timely manner project plans, including project management, testing and technology transfer plans, and recommending alternate approaches, if the plans do not address the critical programmatic issues.
3. EERE participates in project management planning activities, including risk analysis, to ensure EERE Technology Office requirements or limitations are considered in performance of the work elements.
4. 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.
5. EERE promotes and facilitates technology transfer activities, including disseminating Technology Office results through presentations and publications.
6. EERE may redirect or discontinue funding projects that fail to fully and satisfactorily complete the work described in the Statement of Project Objectives as evaluated at the Go/No-Go decision points.
7. EERE participates in major project decision-making processes.

Cost Share Contributions

- Applicants must contribute a minimum of 20% of the total project costs for R&D projects.
- Contributions must be:
 - Specified in the project budget
 - Verifiable from the Prime Recipient's records
 - Necessary and reasonable for proper and efficient accomplishment of 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

Allowable Cost Share

- Cost Share must be allowable and must be verifiable upon submission of the Full Application
- Refer to the following applicable Federal cost principles:

Entity	Cost Principles
Educational Institutions	2 CFR Part 220
State, Local, and Indian Tribal Governments	2 CFR Part 225
Non-profit Organizations	2 CFR Part 230
For-profit Organizations	FAR Part 31

Allowable Cost Share

- Cash Contributions
 - May be provided by the Prime Recipient, Subrecipients, or a Third Party
- In-Kind Contributions
 - Can include, but are not limited to: personnel costs, indirect costs, facilities and administrative costs, rental value of buildings or equipment, and the value of a service, other resource, or third party in-kind contribution

Unallowable Cost Share

- 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
 - Expenditures reimbursed under a separate Federal Technology Office
 - Independent research and development (IR&D) funds
 - The same cash or in-kind contributions for more than one project or program

Cost Share Payment

- Recipients must provide documentation of the cost share contribution, incrementally over the life of the award
- The cumulative cost share percentage provided on each invoice 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 approve a request by the Prime Recipient to meet its cost share requirements on a less frequent basis, such as monthly or quarterly. See Section III.B.7 of the FOA.

Questions

- Questions about this FOA? Email BETOIncubator@go.doe.gov
 - All Q&As related to this FOA will be posted on EERE Exchange
 - You must select this specific FOA Number in order to view the Q&As
 - EERE will attempt to respond to a question within 3 business days, unless a similar Q&A has already been posted on the website
- Problems logging into EERE Exchange or uploading and submitting application documents with EERE Exchange? Email: EERE-ExchangeSupport@hq.doe.gov.
 - Include FOA name and number in subject line
- A digital copy of the slides will be posted on EERE Exchange following today's webinar