

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

**ASSISTING FEDERAL FACILITIES WITH ENERGY CONSERVATION
TECHNOLOGIES (AFFECT) 2020**

**Federal Agency Call (FAC) Number: DE-FOA-0002329
CFDA Number: 81.117**

FAC Issue Date:	June 29, 2020
Submission Deadline for Application:	July 31, 2020 at 5:00pm ET
Expected Date for EERE Selection Notifications:	October 5, 2020
Expect Timeframe for Award Negotiations:	October 7 – October 30, 2020

- To apply to this FAC, 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.

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I. Federal Agency Call Description

A. Background and Context

As part of the Department of Energy's (DOE) Office of Energy Efficiency and Renewable Energy (EERE), the Federal Energy Management Program (FEMP)'s mission is to help federal agencies advance the energy efficiency, resilience, and security of their operations. FEMP assists Federal agencies in meeting energy-related goals by bringing expertise from all levels of project and policy implementation to identify affordable solutions and facilitate public-private partnerships.

FEMP's Assisting Federal Facilities with Energy Conservation Technologies (AFFECT) 2020 Federal Agency Call (FAC) will build on FEMP's prior AFFECT grant program efforts to provide direct funding to Federal agencies for the development of energy and water efficiency projects and processes. The purpose of the AFFECT 2020 FAC funding is to initiate, supplement, improve or otherwise increase the viability and adoption of energy efficiency and operational resilience at U.S. Federal government-owned facilities. This is accomplished through leveraging the use of a privately financed performance contract in the form of an Energy Savings Performance Contract (ESPC), ENABLE contract, or Utility Energy Service Contract (UESC) to enhance Federal agency energy efficiency goals at mission critical sites. In addition, AFFECT will address the issue of aging infrastructure and deferred maintenance and repairs. The AFFECT 2020 FAC is expected to provide 'value added' additions to projects allowing for greater impact from the projects in terms of energy cost savings, enhanced resilience, or improved energy- or cyber-security. FEMP also intends for the AFFECT 2020 FAC to provide demonstrated opportunities for replication of projects at other Federal facilities.

Applications must address one or more of the Resilient/Efficient/Secure Areas of Interest identified below, describing a Replicability Plan for (a) replication and/or scalability across the agencies' enterprises, and agreeing to develop a (b) Government Use Case for leveraging across applicable U.S. Federal government-owned facilities.

Through the AFFECT 2020 FAC, FEMP intends to facilitate and promote the use of energy performance contracts to leverage a wider adoption of Resilient/Efficient/Secure projects and processes at all Federal facilities.

B. Areas of Interest

Applications are sought from Federal agencies for technical solutions that are in alignment with the following DOE EERE priority areas of interest: Resilient/Efficient/Secure (these areas of interest are not mutually exclusive and may overlap).

Resilient

Projects addressing the Resilient Area of Interest could include, but are not limited to:

- Battery energy storage systems
- Thermal storage

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- Combined Heat and Power (CHP)
- Energy Sales Agreements (ESAs) in combination with renewable generation and storage, which involve the use of an ESPC to implement electricity generation for the government under private ownership of the generation source, which may permit the contractor to take advantage of the available tax credits and accelerated depreciation
- Micro-grids
- Energy-water security

Efficient

Projects addressing the Efficient Area of Interest could include, but are not limited to:

- Infrastructure/deferred maintenance/operations and maintenance (O&M) savings
- 50001 Ready (energy.gov/50001Ready), a streamlined and standardized platform for energy management, energy project prioritization, energy tracking, and reporting, across a site or grouping of the Agency's sites
- Data center energy efficiency

Secure

Projects addressing the Secure Area of Interest could include, but are not limited to:

- Cybersecurity Control Measures for Energy Conservation Measures (ECMs) that may present cybersecurity concerns (e.g., building automation systems and energy management systems controls). The Cybersecurity Control Measures may take the form of actions, procedures, software, and/or hardware that lower risk and introduce enhanced cyber security associated with the installation of certain ECMs in the energy performance project.
- Measures to ensure the security of energy supply, e.g., back-up sources of energy; dual-fuel, and supply redundancy

The goals of the AFFECT 2020 FAC funding are to:

- Leverage AFFECT grant funds by at least 10:1 by using performance contracting (ESPC, ENABLE, or UESC)
- Demonstrate the use of a performance contracting vehicle that addresses one or more of the Areas of Interest through the submission of a new draft or modified Notice of Opportunity (NOO) for ESPC or ENABLE proposed projects; or, for UESC proposed projects, a new draft or modified Letter of Interest (LOI) or new draft or modified Sources Sought Request for Proposal (RFP)
- Demonstrate potential project replicability and/or scalability across the Agency enterprise or other government sites, as demonstrated in a Replicability Plan that describes plans to expand the use of the technology at other facilities
- Explain how AFFECT funds will be used in carrying out the project and its potential replication and/or scalability; anticipated project impact; and how the funds will help advance the project's success

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Any awarded project under this FAC is strongly encouraged to coordinate with and incorporate technical, programmatic, policy, and training resources provided by FEMP and the experiences of other Federal agencies and external entities advancing energy affordability and resiliency, including Energy Service Companies (ESCOs), utilities, Resource Efficiency Managers (REMs), and other entities supporting Federal agencies.

All work under EERE funding agreements must be performed in the United States and/or United States Territories.

FEMP will not consider any application under this FAC that seeks funding for a project previously funded through an AFFECT grant.

Funding for this program, in addition to leveraging investment through a performance contract (i.e., ESPC, ENABLE, or UESC), will provide ‘value added’ additions to projects allowing for greater impact from the project in terms of enhanced resiliency, efficiency, and/or security.

Consideration of award will take into account several factors. Projects are encouraged to identify opportunities that meet as many of the following as possible:

1. Impact of Projects. AFFECT 2020 FAC applications must show how the FEMP AFFECT funding will be used to support the project and its replication and/or scalability across the Agency enterprise or at other Federal facilities. In addition, FEMP also seeks a clear description of the project’s impacts in terms of:
 - a. The impact that FEMP AFFECT 2020 FAC funding will have on the proposed project. Applicants should specifically explain how FEMP AFFECT funding, relative to prior, current, or anticipated funding from Federal or non-Federal sources, will help achieve the project objectives and how the project will help meet the Agency’s primary mission.
 - b. The direct and indirect impacts the proposed project will have on meeting Federally-mandated energy management requirements for Federal facilities as reflected in reporting requirements such as the OMB Sustainability and Energy Scorecard.
2. Project Replicability and Scalability. AFFECT 2020 FAC applications must show how the experience gained through the proposed project will serve as an example that (a) can lend itself to similar efforts within the Agency’s enterprise and/or at other Federal facilities and/or (b) how the proposed project can be scaled up to enhance its impact and benefit. Applications will be evaluated not only in terms of the merits of the project itself, but also on the replicability and/or scalability of the proposed project.

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To further the impact of the AFFECT 2020 FAC grant and leveraged dollars, Federal agencies must therefore demonstrate how the project would contribute to the following:

- a. A Replicability Plan describing an institutionalized, enterprise-wide process that could lead to directly reproducible projects that promote much broader adoption and increased uptake of the advanced energy efficiency and resilient/efficient/secure technology(ies) proposed.
- b. A Scalability Plan, illustrating how the proposed project results could be scaled for broader adoption at other Federal facilities. This plan should describe how the project can be increased in size and scope, resulting in an increased impact and benefit.

Upon project completion, supported Federal agencies agree to develop a Government Use Case publication for public dissemination on how leveraged partnerships provided the Agency the opportunity to pursue advanced resilient/efficient/secure technology(ies) to meet the Agency's primary mission.

3. **Project Management.** AFFECT 2020 FAC applications shall include a Project Management Plan indicating how the proposed project will be developed, implemented, and monitored. The Project Management Plan, at a minimum, should identify the Agency's key project personnel; indications of support from the Agency's decision makers who will participate in project approval; major milestones, and timelines.

AFFECT 2020 FAC applications shall also include a Project Development Schedule that indicates the milestone schedule for issuing the proposed project's (a) new draft or modified NOO (for ESPC or ENABLE projects) or new draft of modified LOI or new draft or modified Sources Sought RFP (for UESC projects), and (b) Notice of Intent to Award (NOITA) (to an eligible ESCO for ESPC or ENABLE projects) or Notice to Proceed with Preliminary Assessment (NTPPA) (to a UESC serving utility).

Applications are encouraged to plan to issue a final NOO, final LOI or final Sources Sought RFP within 3 months of the grant award, and encouraged to plan to issue a final NOITA or final NTPPA within 9 months of the grant award. Applications submitting a modified NOO, LOI or Sources Sought RFP with an already selected ESCO/Utility are encouraged to coordinate with the selected ESCO/Utility to issue the final project proposal within 18 months of grant award.

4. **Funding Leverage.** AFFECT 2020 FAC applications must provide cost leverage by using performance contracting (ESPC, ENABLE, or UESC). The use of a performance contracting vehicle must be demonstrated by including with the application a new draft or modified NOO, new draft of modified LOI or new draft of modified Sources

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Sought RFP. The proposed project and planned performance contract must achieve leveraging of the AFFECT 2020 FAC grant funds by at least 10:1 (e.g., a \$500,000 AFFECT 2020 FAC grant would have to result in a project of at least \$5 million). Applications will be scored, in part, based on the amount of leveraging provided above the 10:1 minimum requirement.

C. Project Performance Targets

Final Deliverables: The timing of funding for projects selected under this FAC will depend on the stage of project development.

1. **New Draft NOOs, New Draft LOIs or New Draft Sources Sought RFPs (not yet issued)**. AFFECT funding for Applicants submitting new draft NOOs, new draft LOIs or new draft Sources Sought RFPs will be issued in two phases based on a selected Applicant's execution of the following Final Deliverables. The Final Deliverables must be documents providing tangible evidence that ensures with a high degree of confidence that the project will ultimately be executed, as follows:
 - a. Phase 1 Deliverable: The Phase 1 Final Deliverable is the Agency's submitted and approved NOO (for ESPC or ENABLE projects), or LOI or Sources Sought RFP (for UESC projects). The first 50% of AFFECT 2020 FAC grant funding will be approved for release when the Agency issues the selected project's NOO (to eligible ESCOs for ESPC or ENABLE projects), or LOI or Sources Sought RFP (to the UESC serving utility).
 - b. Phase 2 Deliverable: The Phase 2 Final Deliverable is the Agency's submitted and approved NOITA for a selected project using ESPC or ENABLE; or NTPPA for a selected project using UESC. The remaining 50% of AFFECT 2020 FAC grant funding will be approved for release when the Agency issues the NOITA to its selected ESCO for a selected project using ESPC or ENABLE; or NTPPA for a selected project using UESC.
2. **Modified NOOs, modified LOIs or modified Sources Sought RFPs (where an ESCO/Utility has not yet been selected)**. The timing of AFFECT funding for Applicants submitting modified NOOs, modified LOIs or modified Sources Sought RFPs that have not selected an ESCO/Utility will follow the same process described in paragraph 1) above.
3. **Modified NOOs, modified LOIs or modified Sources Sought RFPs (where an ESCO/Utility has been selected)**. The timing of AFFECT funding for Applicants submitting modified NOOs, modified LOIs or modified Sources Sought RFPs that have already selected an ESCO/Utility will be as follows:

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Single-Phase, Single-Final Deliverable: For Applicants under this scenario, the entire 100% of AFFECT funding will be released in a lump-sum upon submission of the project final proposal from the ESCO/Utility to the Agency.

Project Schedule: It is the Applicant’s responsibility to propose a project schedule that is both challenging and achievable. An overly aggressive and unrealistic schedule should be avoided because awards may be terminated, canceled, and/or payments may be withheld if the Final Deliverable is not met in accordance with the project schedule. Conversely, an overly conservative schedule is not desirable because of the potential negative impact on completing the project in a timely manner. The project schedule will be based on the content of the application and finalized during award negotiations.

D. 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 FAC):

- Applications that fall outside the technical parameters specified in Section I.A. and I.B. of the FAC
- Applications for proposed technologies that are not based on sound scientific principles (e.g., violates the laws of thermodynamics)
- Applications that do not propose a project to be implemented by leveraging funding in an energy performance contract (i.e., ESPC, ENABLE, or UESC)
- Applications that do not meet the minimum required 10:1 Cost Leverage Ratio
- Applications that include research and development activities
- Applications that have not identified implementation sites
- Applications that do not include a new draft, or modified NOO (for ESPC or ENABLE projects), or a new draft or modified LOI or new draft or modified Sources Sought RFP (for UESC projects)
- Applications that seek funding for a project previously funded through an AFFECT grant
- Applications that do not contain a Replicability Plan

E. Authorizing Statutes

The programmatic authorizing statute is Section 152 (f) of the Energy Policy Act of 1992 (EPAct 1992), Public Law 102-486, as codified in 42 USC § 8256 (b). This statute authorized the Secretary of Energy to establish a Federal Energy Efficiency Fund (FEEF) with the stated purpose of providing competitive grants to agencies to assist them in meeting the energy and water conservation requirements of the National Energy Conservation Policy Act (NECPA), 42 USC § 8253(a)-(b). Since 1992, these goals have been amended and additional goals have been established by Executive Order and the

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Energy Independence and Security Act of 2007. The FEEF is the source of funding for the AFFECT 2020 FAC.

II. Award Information

A. Award Overview

i. Estimated Funding

FEMP expects to make a total of approximately \$11,000,000 of Federal funding available for new awards under this FAC, subject to the availability of appropriated funds. FEMP anticipates making up to 22 awards under this FAC. FEMP may issue one, multiple, or no awards. Agencies may request individual awards from \$200,000 to \$1,000,000. DOE anticipates that the average award amount will be approximately \$500,000. DOE reserves the right to award any amount less than proposed.

ii. Period of Performance

FEMP anticipates making awards that will run approximately 12-15 months in length, comprised of one budget period associated with completing the proposed project deliverables as outlined in Section I.C. of the FAC.

DOE reserves the right to terminate the grant if the recipient has not issued a final NOO, final LOI or final Sources Sought RFP within 6 months of the grant award or if the recipient has not issued a final NOITA or final NTPPA within 9 months after issuing the final NOO, final LOI or final Sources Sought RFP. DOE also reserves the right to terminate the grant if the recipient with an already selected ESCO/Utility has not issued the final project proposal with 24 months of grant award.

iii. New Applications Only

FEMP will accept only new applications under this FAC. FEMP will not consider applications for renewals of existing EERE-funded awards through this FAC. FEMP will not consider any application under this FAC that seeks funding for a project previously funded through an AFFECT grant.

An Applicant may submit more than one application to this FAC, provided that each application describes a unique, distinct project.

B. EERE Funding Agreements

As authorized by 42 USC § 8256 (b), the funding for projects selected under this FAC will be provided through Grants. Any proposals, resulting terms (including payment terms), schedules, and deliverables will be incorporated and described in the funding agreement.

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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.

Pursuant to the eligibility requirements of 42 U.S.C. §8256(b), Federal agencies are the only eligible Applicants for this Federal Agency Call. Grant awards will be issued through STRIPES, using the Intra Governmental Payment and Collection (IPAC) payment method.

This FAC is for new applications **ONLY**. FEMP will not consider applications for renewals of existing EERE-funded agreements. FEMP will not consider any application under this FAC that seeks funding for a project previously funded through an AFFECT grant.

A. Eligible Applicants

The Federal Agency Call is available to Federal agencies **ONLY**.

Only U.S. Federal Agencies and Sub-Agencies are eligible to apply for funding under this FAC. Only domestic facilities (within the United States and/or a U.S. Territory) that are owned by the U.S. Federal government are eligible for funding under this FAC.

B. Cost Leverage

Cost Leverage

Cost leverage means the extent that an application leverages funding from other Federal and non-Federal sources. Projects with greater cost leverage will be scored higher during the technical review. The Cost Leverage Ratio is defined as follows:

$CL = (TI - G)/G$ where

CL = Cost Leverage Ratio

TI = Total Investment (i.e. the sum of the EERE grant and the Recipient amount of cost leverage)

G = Amount of the grant awarded under this FAC

The Applicant's cost leverage must come, at least in part, from an energy performance contract: ESPC, ENABLE, or UESC. The Applicant's cost leverage may include additional subsidies such as from a state or local government entity. The minimum required Cost Leverage Ratio is 10:1 (10 to 1).

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i. Cost Leverage Allocation

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

ii. Cost Leverage Types and Allowability

Every cost leverage contribution must be allowable under the applicable federal cost principles, as described in Section IV.G. of the FAC. In addition, source and amount of cost leverage, along with required supporting documentation, must be included upon submission of the application.

Pursuant to the considerations identified in 42 USC § 8256 (b) (3) (c)-(d), the cost leveraging may come from either Federal or non-Federal sources. Private sector cost leveraging through an alternative financing mechanism—such as an ESPC, ENABLE or UESC contract—is allowed. However, recipients may not use the same cost leverage contributions to meet cost leverage requirements for more than one project or program, or AFFECT cost leverage contributions of the previous year(s).

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

iii. Cost Leverage Verification

Applicants are required to provide written assurance of their proposed cost leverage contributions in their application(s).

Upon selection for award negotiations, Applicants are required to provide additional information and documentation regarding their cost leverage contributions. See Section IV.D of the FAC for additional information.

c. Compliance Criteria

Applications must meet all compliance criteria listed below or they will be considered noncompliant. FEMP will not review or consider noncompliant submissions, including applications that were: submitted through means other than EERE Exchange; submitted after the applicable deadline; and/or submitted incomplete. FEMP will not extend the

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submission deadline for Applicants that fail to submit required information due to server/connection congestion.

Compliance Criteria

Applications are deemed compliant if:

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

D. Responsiveness Criteria

All “Applications Specifically Not of Interest,” as described in Section I.D. of the FAC, are deemed non-responsive and will not be reviewed or considered.

E. Questions Regarding Eligibility

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

IV. Application and Submission Information

A. Application Process

FEMP performs an initial eligibility review of the applications to determine whether they meet the eligibility requirements of Section III of the FAC. FEMP will not review or consider applications that do not meet the eligibility requirements of Section III. All applications 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. **FEMP will not review or consider submissions submitted through means other than EERE Exchange, submissions submitted after the applicable deadline, or incomplete submissions.** FEMP 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 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 Times New Roman typeface, a black font color,

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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, FEMP will review only the authorized number of pages and disregard any additional pages.

Applicants are responsible for meeting each submission deadline. **Applicants are strongly encouraged to submit their applications at least 48 hours in advance of the submission deadline.** Under normal conditions (i.e., at least 48 hours in advance of the submission deadline), Applicants should allow at least 1 hour to submit an application. Once the application is submitted in EERE Exchange, Applicants may revise or update that submission until the expiration of the applicable deadline. If changes are made to any of these documents, the Applicant must resubmit the application before the applicable deadline.

FEMP urges Applicants to carefully review their application(s) and to allow sufficient time for the submission of required information and documents. All applications that pass the initial eligibility review will undergo comprehensive merit review according to the criteria identified in Section V.A.i. of the FAC.

Additional Information on EERE Exchange

EERE Exchange is designed to enforce the deadlines specified in this FAC. 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 FAC 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.

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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 FAC, it must be broken into parts and denoted to that effect. For example:

ControlNumber_LeadOrganization_Project_Part_1

ControlNumber_LeadOrganization_Project_Part_2

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

C. Content and Form of the Application

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

All application documents must be marked with the Control Number issued to the applicant. Applicants will receive a control number upon beginning the application process in EERE Exchange, and should include that control number in the file name of their application submission (i.e., *Control number_Applicant Name_Application*).

i. Application Content Requirements

FEMP will not review or consider ineligible applications (see Section III. of the FAC).

The content of an Applicant’s technical volume must be responsive to the purpose, criteria, and requirements set forth in this FAC. **Applicants must include all content they wish to have reviewed in the ten (10) page application**, not including the new draft or modified NOO for ESPC or ENABLE projects; or, for UESC projects, a new draft or modified LOI or new draft or modified Sources Sought RFP. **Reviewers will not review any information beyond the first ten (10) pages of the application.** The Statement of Project Objectives, SF424, Budget Justification, Summary Slides, and new draft or modified NOO, LOI or Sources Sought RFP do not count toward the 10 page limit.

Submission	Components	File Name
Application (PDF, unless stated otherwise)	Technical Volume (PDF format. See Section IV.C.ii.)	ControlNumber_LeadOrganization_TechnicalVolume
	Draft Statement of Project Objectives (SOPO) (Microsoft Word format)	ControlNumber_LeadOrganization_SOPO

Questions about this FAC? Email AFFECT2020@ee.doe.gov.

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

	SF-424 Application for Federal Assistance (PDF format)	ControlNumber_LeadOrganization_App424
	Budget Justification (Microsoft Excel format. Applicants must use the template available in EERE Exchange)	ControlNumber_LeadOrganization_Budget_Justification
	Summary Slides (Microsoft PowerPoint format. 1 page limit per slide)	ControlNumber_LeadOrganization_EvaluationSummarySlide ControlNumber_LeadOrganization_BriefingSummarySlide
	New Draft or Modified NOO (for ESPC or ENABLE projects) OR LOI OR Sources Sought RFP (for UESC projects)	ControlNumber_LeadOrganization_NOO_LOI_RFP
	Addendum for Cost Leverage Supporting Documentation	ControlNumber_LeadOrganization_AddendumCostLeverage

ii. Technical Volume

The Technical Volume must be submitted in Adobe PDF format. The Technical Volume must conform to the following content and form requirements, including maximum page lengths. If Applicants exceed the maximum page lengths indicated below, FEMP will review only the authorized number of pages and disregard any additional pages. This Technical Volume must address the Technical Review Criteria as discussed in Section V.A.i. of the FAC. 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, FEMP and reviewers are under no obligation to review cited sources.

The Technical Volume to the application may not be more than **ten (10)** 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 ten page limit does not include the new draft or modified NOO for ESPC or ENABLE projects, or for UESC projects, a new draft or modified LOI or new draft or modified Sources Sought RFP. The Applicant should consider the weighting of each of the Technical Review Criteria (see Section V.A.i of the FAC) when preparing the Technical Volume.

The Technical Volume must conform to the following content requirements:

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

SECTION/PAGE LIMIT	DESCRIPTION
<p>Project Overview (1 page)</p>	<p>The Project Overview should include the project title, area(s) of interest, project description, requested funding, proposed cost leverage, project principal investigator (with contact information), and any statements regarding confidentiality.</p>
<p>Project Background, Goal, and Impact (approximately 1-2 pages)</p>	<p>The Project Background, Goal, and Impact should contain the following information:</p> <ul style="list-style-type: none"> • Background. The Applicant should discuss the background of their organization’s efforts as related to the area(s) of interest, including the history, successes, and current status relevant to the Areas of Interest being addressed in the application. • Project Goal. The Applicant should explicitly identify the targeted improvements to the baseline and the critical success factors in achieving that goal, including clearly defined, aggressive and quantitative, easily-communicated end-of-project goal that aligns with the purpose, criteria, and requirements set forth in this FAC. Any additional detail required on the technical aspects and outcomes should be included in Technical Description section (below) to explain the specific technical areas to be addressed. • Impact. The Applicant should discuss the impact that AFFECT 2020 FAC grant funding would have on the proposed project and how it will advance the Agency’s mission. Applicants should specifically explain how AFFECT 2020 FAC grant funding, relative to prior, current, or anticipated funding from other public and private sources, is necessary to achieve the project objectives.
<p>Technical Description (approximately 3-4 pages)</p>	<p>The Technical Description should contain the following information:</p> <ul style="list-style-type: none"> • Impact of Project and Funding Leveraged. AFFECT projects must lead to energy cost savings through the installation of energy related technologies. These proposed projects must include a minimum 10:1 cost leverage ratio, show how the project will leverage external funding, and describe how the AFFECT 2020 FAC grant funding will be used to support the project. Proposed projects must include an energy performance contracting mechanism (ESPC, ENABLE, or UESC), and

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those with greater contribution from non-Federal sources will be scored higher during merit review.

- Project Replicability and Scalability. To further the impact of the AFFECT 2020 FAC grant and leveraged dollars, Federal agencies are also required to develop a Replicability Plan for enterprise-wide processes that could lead to much broader adoption and increased uptake of the resilient/efficient/secure technology(ies) proposed. Upon project completion, supported Federal Agencies agree to produce a Government Use Case publication for public dissemination on how leveraged partnerships provided the Agency the opportunity to pursue resilient/efficient/secure technology(ies). Scalability of a proposed project should describe how it could be increased in size and scope, resulting in an increased impact and benefit of the proposed project.
- New draft or modified NOO for ESPC or ENABLE projects; or for UESC projects, a new draft or modified LOI or new draft or modified Sources Sought RFP. Draft NOOs, draft LOIs or draft Sources Sought RFPs may be new and unissued; or modified NOOs, LOIs or Sources Sought RFPs may be submitted for pending projects.
 - Applicants submitting a modified NOO, modified LOI or modified Sources Sought RFP are required to explicitly describe how AFFECT 2020 FAC grant funding will be utilized to augment or scale the proposed project.
 - If the modified NOO, modified LOI, or modified Sources Sought RFP has been issued, but the ESCO/Utility has not yet been selected, the applicant must submit the original NOO, original LOI, or original Sources Sought RFP, in addition to the modified NOO, modified LOI, or modified Sources Sought RFP illustrating how the AFFECT 2020 grant funding will be utilized to augment or scale the project described originally.
 - If an ESCO/Utility has been selected as a result of the NOO/LOI/RFP, the applicant must submit relevant documents, such as the Preliminary Assessment (PA) results or early-phase Investment Grade Audit (IGA) results, demonstrating that the ECM(s) being proposed to leverage the AFFECT 2020 grant funding are: 1) within the scope of the original NOO/LOI/RFP, and 2) would not have

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	<p>been included in the project in the absence of the AFFECT 2020 grant funds.</p>
<p>Project Management & Outcome (approximately 2-3 pages)</p>	<p>The Project Management & Outcome should contain the following information:</p> <ul style="list-style-type: none"> • <u>Project Objectives</u>. The Applicant should provide a clear and concise (high-level) statement of the goals and objectives of the proposed project as well as the expected outcomes. • <u>Technical Scope Summary</u>. 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 quarterly performance periods. The Applicant should describe the specific expected end result of each quarterly performance period. • <u>Roles & Responsibilities</u>. A description of each performer's role and responsibility and how individual efforts will be coordinated to achieve the overall project goal, especially for multi-site projects. • <u>Project Management Plan</u>. The Applicant should include a Project Management Plan indicating how the proposed project will be developed, implemented, and monitored. At a minimum the plan should indicate the Agency's key project personnel; indications of support from the Agency's decision makers who will participate in project approval; how AFFECT 2020 grant funding will be used to develop, implement, monitor, and disseminate results of the project; major milestones and timelines. • <u>Milestone Summary</u>. 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. 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.

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- Enterprise-Wide Impact. The potential for the project to be replicated across other sites within the Agency or across other Federal agencies.
- Final Deliverables. The Applicant should clearly specify the expected outcomes of the project including a summary of the end of project goal(s).
 - For Applicants submitting a new draft NOO (for ESPCs and ENABLE projects) or new draft LOI or new draft Sources Sought RFP (for UESC projects): the Phase 1 Final Deliverable is the proposed project’s final NOO (to eligible ESCOs) or final LOI or final Sources Sought RFP (to the UESC serving utility); and the Phase 2 Final Deliverable is the final NOITA to its selected ESCO for a proposed project using ESPC or ENABLE; or final NTPPA for a proposed project using an UESC.
 - For Applicants submitting a modified NOO (for ESPCs and ENABLE projects) or modified LOI or Sources Sought RFP (for UESC projects) that have **not yet selected** an ESCO/Utility: the Phase 1 Final Deliverable is the proposed project’s final NOO (to eligible ESCOs) or final LOI or final Sources Sought RFP (to the UESC serving utility); and the Phase 2 Final Deliverable is the final NOITA to its selected ESCO for a proposed project using ESPC or ENABLE; or final NTPPA for a proposed project using a UESC.
 - For Applicants submitting a modified NOO, modified LOI or modified Sources Sought RFP that **have already selected** an ESCO/Utility and **have already issued** an NOITA or NTPPA: these Applicants must submit additional relevant documents, including the Preliminary Assessment (PA) results or early-phase Investment Grade Audit (IGA) results, demonstrating that the ECM(s) being proposed to leverage the AFFECT 2020 grant funding are: 1) within the scope of the original NOO, and 2) demonstrate that the proposed ECMs would not have been included in the project in the absence of the AFFECT 2020 grant funds. For Applicants under this scenario, the single-Phase, single-Final Deliverable will be the submission of the project final proposal from the ESCO/Utility to the Agency.

Questions about this FAC? Email AFFECT2020@ee.doe.gov.

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

iii. Draft Statement of Project Objectives (SOPO)

Applicants are required to submit an initial, draft SOPO. A final, negotiated SOPO will be submitted once they have been selected as an awardee. A SOPO template is available on EERE Exchange at <https://eere-Exchange.energy.gov/>. The SOPO, including the Milestone Table, must not exceed **ten (10)** pages 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."

iv. SF-424: Application for Federal Assistance

Complete all required fields 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_App424."

v. 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/>. Recipients must complete the "Instructions and Summary" tab only of the Budget Justification Workbook for the project as a whole, including all work to be performed by the recipient and its subrecipients and contractors. Save the Budget Justification Workbook in a single Microsoft Excel file using the following convention for the title
"ControlNumber_LeadOrganization_Budget_Justification."

vi. Summary Slides

Applicants are required to provide two PowerPoint slides summarizing information requested for Evaluation and Briefing, demonstrating how the proposed project is responsive to the AFFECT 2020 FAC criteria. The slides must be submitted in Microsoft PowerPoint format. Save the Summary Slides as single files using the following convention for the titles:

"ControlNumber_LeadOrganization_EvaluationSummarySlide."

"ControlNumber_LeadOrganization_BriefingSummarySlide."

The Evaluation Summary Slide Template requires:

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- Summary of Approach to AFFECT 2020 FAC Goals including AFFECT Grant Funds Leveraged by at least 10:1
- Overview of Areas of Interest and Technology(ies) Pursued
- Summary of Response to Evaluation Criteria
- Listing Recipient, Principal Investigator, Key Participants, and Requested AFFECT Grant Funds Amount

The Briefing Summary Slide Template requires:

- Application Overview Information
- Areas of Interest and Technology(ies) Pursued and an Impact Summary including barriers overcome
- Summary of Proposed ESPC, ENABLE or UESC Project including demonstration of a Replicability Plan and/or Scalability
- Image of Recipient Logo

vii. New Draft or Modified NOO (for ESPC or ENABLE projects) OR New Draft or Modified LOI OR New Draft or Modified Sources Sought RFP (for UESC projects)

Applicants are required to submit a new draft or modified NOO (for ESPC or ENABLE projects) **OR** new draft or modified LOI **OR** new draft or modified Sources Sought RFP (for UESC projects). Save the draft or modified NOO, LOI, or Sources Sought RFP in a single PDF file using the following corresponding convention for the title, depending on which type of document submitted “ControlNumber_LeadOrganization_NOO_LOI_RFP.”

Applicants can access and develop an ESPC IDIQ NOO template at <https://eprojectbuilder.lbl.gov/home/#/login>.

Applicants can access and develop an ESCP ENABLE NOO template at <https://www.energy.gov/eere/femp/downloads/espc-enable-request-quotenotice-opportunity-template>.

Applicants can access an UESC LOI **OR** Sources Sought RFP template on EERE Exchange at

<https://eere-Exchange.energy.gov/>

viii. Addendum for Cost Leverage Supporting Documentation

Information contained in the required Addendum for supporting documentation for cost leverage. This addendum has a total maximum of five (5) pages, and should include at a minimum, the information listed below. Save the Addendum in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_AddendumCostLeverage.”

- Cost leverage source and vehicle (ESPC, ENABLE, or UESC)
- Cost leverage amount

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- Cost leverage terms or requirements
- Any additional supporting documentation that provides additional detail, and/or attests to an application's cost leverage

D. Post Selection Information Requests

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

- Additional budget information
- Additional Commitment Letters from third parties contributing to cost leverage, if applicable, or
- Information addressing potential project impacts to the human or natural environment, including but not limited to EERE's Environmental Questionnaire

E. 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 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.

F. Submission Dates and Times

Applications must be submitted in EERE Exchange no later than 5 p.m. Eastern Time on the date provided on the cover page of this FAC.

G. Funding Restrictions

Allowable Costs

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

V. Application Review Information

A. Technical Review Criteria

Applications

Applications will be evaluated against the Technical Review Criteria shown below. All sub-criteria are of equal weight.

Criterion 1: Project Impact Relative to DOE Areas of Interest and to Meeting the Applicant Agency's Primary Mission (Weight: 35%)

This criterion involves consideration of the following factors:

- Degree to which application addresses one or more of the FAC's Resilient/Efficient/Secure Areas of Interest
- Degree to which application advances the applicant Agency's primary mission
- Extent to which the proposed project is technically and economically viable and cost effective
- Degree of technical and economic benefit of the proposed project as compared to the current baseline system at the proposed site(s)
- Impact this FAC grant funding would have on the Agency's ability to implement the proposed project
- Impact this FAC grant funding would have on Resilience, Security, and Mission Critical functionality

Criterion 2: Replicability and Scalability (Weight: 25%)

This criterion involves consideration of the following factors:

- Degree to which the proposed project results are conducive to replication and/or scaling for a larger deployment across multiple facilities within the proposing Agency and/or at other Federal facilities
- Degree to which the application demonstrates how the Applicant will use the experience gained through the proposed project as an example that can lend itself to similar efforts within the Agency's enterprise and/or at other Federal facilities, including the following:
 - A Replicability Plan described in the application, demonstrating an institutionalized, enterprise-wide process within the Agency that could lead to much broader adoption and increased uptake of the advanced energy efficiency and resilient/efficient/secure technology(ies) proposed
 - The applicant's commitment, as described in the application, to demonstrating to other Federal agencies how the proposed project results are conducive to broader adoption at other Federal facilities

Questions about this FAC? Email AFFECT2020@ee.doe.gov.

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Criterion 3: Project Management: Approach, Proposed Work Plan, and Project Development Schedule (Weight: 20%)

This criterion involves consideration of the following factors:

- Adequacy of the applicant’s Project Management Plan
- Extent to which the Project Develop Schedule provides for the final NOO, final LOI or final Sources Sought RFP to be issued within 3 months of the grant award, and the final NOITA or final NTPPA to be issued within 9 months of the grant award **OR** the extent to which the Project Development Schedule provides for the selected ESCO/Utility to issue the final project proposal within 18 months of grant award
- If pursuing ISO 50001 Ready: the adequacy of the plan to integrate and deploy ISO 50001 Ready, including documented commitment from Senior Leadership and identification of an Energy Champion or Project Team

Criterion 4: Cost Leverage (Weight: 20%)

This criterion involves consideration of the following factors:

- Extent to which proposed project will exceed minimum 10:1 Cost Leveraging
- Sufficiency of documentation supporting Cost Leverage

B. Standards for Application Evaluation

Applications that are determined to be eligible will be evaluated in accordance with this FAC, 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

Program Policy Factors

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

- The diversity of technologies and approaches (including the degree to which the proposed project would be complementary to and support the existing portfolio of projects to achieve the overall goals and objectives of FEMP)
- The geographic distribution of projects
- The diversity of agencies or sub-agencies in the project portfolio

Questions about this FAC? Email AFFECT2020@ee.doe.gov.

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

D. Evaluation and Selection Process

All applications received in EERE Exchange by the submittal deadline, and meeting the compliance requirements stated in section III.C.i, will then undergo a thorough merit review by expert reviewers familiar with the FEMP portfolio, goals, and objectives. Reviewers will evaluate each application based on the criteria described above. The FEMP Selection Official will consider the merit review results, alignment with criteria, and extent of leveraging resources across the national Federal Agency complex to make the final project selections. For transparency, FEMP will provide summaries of the review results to assist Agencies in understanding how their application rated and reason(s) for non-selection.

i. Overview

The evaluation process consists of two phases: 1) an initial eligibility/compliance review and 2) a thorough merit review. Rigorous technical reviews of eligible submissions are conducted by reviewers that are experts in the subject matter of the FAC. 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

FEMP may determine that pre-selection clarifications are necessary from one or more Applicants. These pre-selection clarifications will solely be for the purposes of clarifying the application, and will be limited to information already provided in the application documentation. The pre-selection clarifications may occur before, during or after the 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 FEMP's written clarification questions or video or conference calls with FEMP representatives.

The information provided by Applicants to FEMP through pre-selection clarifications is incorporated in their applications and contributes to the merit review evaluation and FEMP's selection decisions. If FEMP 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. **FEMP 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. Selection

In making his/her selections for award, the Selection Official may consider each application's technical merit, as evaluated by the merit reviewers, program policy factors, as well as the amount of funding available under the FAC.

Questions about this FAC? Email AFFECT2020@ee.doe.gov.

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

E. Anticipated Notice of Selection and Award Negotiation Dates

FEMP anticipates notifying Applicants selected for negotiation of award and negotiating awards by the dates provided on the cover page of this FAC.

VI. Award Administration Information

A. Award Notices

i. Rejected Submissions

Noncompliant and nonresponsive 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 application is rejected.

ii. Application Notifications

FEMP will notify Applicants of its selection 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 application was selected for award negotiations. Alternatively, FEMP may notify one or more Applicants that a final selection determination on particular applications will be made at a later date, subject to the availability of funds or other factors.

iii. Successful Applicants

Receipt of a notification letter selecting an application for award negotiations does not authorize the applicant to commence performance of the project. If an application is selected for award negotiations, it is not a commitment by FEMP to issue an award. Applicants do not receive an award until award negotiations are complete and the Contracting Officer executes the funding agreement.

The award negotiation process may take up to 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, FEMP will cancel the award negotiations and rescind the selection. FEMP reserves the right to terminate award negotiations at any time for any reason.

Questions about this FAC? Email AFFECT2020@ee.doe.gov.

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

iv. **Alternate Selection Determinations**

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

v. **Unsuccessful Applicants**

FEMP 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. **Registration Requirements**

There are several one-time actions before submitting an application in response to this FAC, 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 FAC, 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 FOA/FACs 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 FAC.**

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 FAC.**

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**

Questions about this FAC? Email AFFECT2020@ee.doe.gov.

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

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 FAC are posted. However, please note that 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 FAC through electronic systems used by the DOE, including EERE Exchange and FedConnect.net, constitutes the authorized representative's approval and electronic signature.

ii. Foreign National Access Under DOE Order 142.3A, "Unclassified Foreign Visits and Assignments Program"

All Applicants selected for an award under this FOA may be required to provide information to 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 (including any of its subrecipients, contractors or vendors) anticipates involving foreign nationals in the performance of its award, the selected applicant may be required to provide DOE with specific information about each foreign national to ensure compliance with the requirements for access approval. National laboratory personnel already cleared for site access may be excluded. Access approval for foreign nationals from countries identified on the U.S. Department of State's list of [State Sponsors of Terrorism](#) must receive final approval authority from the Secretary of Energy or the Secretary's assignee before they commence any work under the award.

iii. 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>.

Questions about this FAC? Email AFFECT2020@ee.doe.gov.

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

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

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

While NEPA compliance is a Federal agency responsibility and the ultimate decisions remain with the applicant 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 costs to prepare the necessary records may be included as part of the project costs.

v. Statement of Federal Stewardship

FEMP 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.

vi. Intellectual Property Provisions

Intellectual property rights for non-Federal contractors, such as ESPC contractors, will be set forth in the contracts between the Recipient and the contractor(s).

vii. Reporting

Periodic project status reports, calls, and meetings may be required.

VII. Questions/Agency Contacts

Upon the issuance of a FAC, FEMP personnel are prohibited from communicating (in writing or otherwise) with Applicants regarding the FAC except through the established question and answer process as described below. Specifically, questions regarding the content of this FAC must be submitted to: AFFECT2020@ee.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 applications will not be provided through Q&A.

Questions about this FAC? Email AFFECT2020@ee.doe.gov.

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

All questions and answers related to this FAC 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 FAC.** 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.

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. FAC Modifications

Amendments to this FAC 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 FAC is posted on these sites if you register for email notifications for this FAC in Grants.gov. EERE recommends that you register as soon after the release of the FAC as possible to ensure you receive timely notice of any amendments or other FACs.

B. Right to Reject or Negotiate

EERE reserves the right, without qualification, to reject any or all applications received in response to this FAC 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 FAC. 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

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restriction does not limit the Government's right to use the information if it is obtained from another source.

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 application 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. Administration by Non-Federal Personnel

FEMP may 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 administrators. Non-federal personnel conducting administrative activities must sign a Non-Disclosure Agreement (NDA).

F. Notice Regarding Eligible/Ineligible Activities

Eligible activities under this FAC include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

G. 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.

H. Retention of Submissions

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

I. Rights in Technical Data

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

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

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

J. 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 recipient's responsibility to determine when its project activities trigger Export Controls and to ensure compliance.

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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.

K. 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, or 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) 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).

Appendix A. Summary Slide Templates

The Summary Slide Templates are included as a separate Microsoft PowerPoint Slide in this Federal Agency Call. Applicants are required to complete both an Evaluation and a Briefing Summary Slide with the information detailed in Section IV.C.vi. above. The below templates are provided as a suggested format.

Evaluation Summary Slide:

<h2 style="margin: 0;">Project Title</h2>	Control Number
<p>Summarize Approach to AFFECT 2020 FAC Goals</p> <ol style="list-style-type: none"> 1) AFFECT Grant Funds Leveraged By At Least 10-1; 2) Submission Of A Draft NOO (ESPC or ENABLE) Or Letter of Interest OR Sources Sought RFP (UESC); 3) Demonstrated Replicability Plan And/Or Scalability; 4) Explanation Of AFFECT Grant Funds' Impact On: <ol style="list-style-type: none"> 1) Proposed Project; 2) Potential Replicability; 3) Advancement Of Project Success. 	<p>Summarize Response to Evaluation Criteria</p> <ol style="list-style-type: none"> 1) Project Impact Relative To DOE Areas Of Interest And Applicant Agency's Primary Mission; 2) Replicability And/Or Scalability; 3) Project Management: <ol style="list-style-type: none"> 1) Approach; 2) Proposed Work Plan; 3) Project Development Schedule. 4) Cost Leverage.
<p>Overview of Areas of Interest Technology(ies) Pursued</p> <ol style="list-style-type: none"> 1) Resilient; 2) Efficient; 3) Secure. 	<p>List Recipient, Principal Investigator, Key Participants, and Requested AFFECT Grant Funds</p> <ol style="list-style-type: none"> 1) Recipient; 2) Principal Investigator; 3) Key Participants; 4) Requested AFFECT Grant Funds.
U.S. DEPARTMENT OF ENERGY OFFICE OF ENERGY EFFICIENCY & RENEWABLE ENERGY	
1	

Briefing Summary Slide:

Control Number

Control Number – Recipient

Application Overview

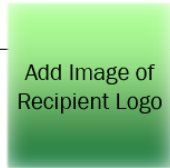
- 1) Project Title;
- 2) Requested AFFECT Grant Funds;
- 3) AFFECT Grant Funds Cost Leverage;
- 4) Principal Investigator;
- 5) Key Participants.

Areas of Interest Technology(ies) Pursued & Impact Summary

- 1) Explanation Of Proposed Project's Impact Relative To DOE Areas Of Interest:
 - 1) Resilient;
 - 2) Efficient;
 - 3) Secure.
- 2) Explanation Of Proposed Project's Impact on Advancing Applicant Agency's Primary Mission:
 - 1) Explanation of AFFECT Grant Funds' and Proposed Project's Impact on Barrier(s) Overcome.
- 3) Explanation Of AFFECT Grant Funds' Impact On:
 - 1) Proposed Project;
 - 2) Advancement Of Project Success.

Summarize Proposed Project, Replicability And/Or Scalability

- 1) Proposed Project Energy Performance Contract Mechanism;
- 2) Proposed Project ESCO (ESPC or ENABLE) Or Utility (UESC);
- 3) Overview of Proposed Project:
 - 1) Goal(s)/Objective(s);
 - 2) Approach;
 - 3) Proposed Work Plan;
 - 4) Project Development Schedule.
- 4) Demonstrated Replicability Plan And/Or Scalability.



Appendix B. Definitions and Acronyms

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

"Application" means the documentation submitted in response to Agency Call.

"Award" means the written documentation executed by a Contracting Officer, after an Applicant is selected, which contains the negotiated terms and conditions for providing Financial Assistance to the Applicant. A Financial Assistance Award may be a Grant, Cooperative Agreement, or Technology Investment Agreement.

"Budget" means the cost expenditure plan submitted in the application, including both the EERE contribution and the Applicant Cost Leverage.

"Combined Heat and Power" is an approach to generating electric power and useful thermal energy from a single fuel source.

"Compliance" is an eligibility determination that refers to the non-technical requirements outlined in Agency Call (e.g., formatting, timeliness of submission, or satisfaction of prerequisites).

"Contracting Officer" means the EERE official authorized to execute Awards on behalf of EERE and who is responsible for the business management and non-Technology Office aspects of the Financial Assistance process.

"Cost Leverage Ratio (CL)" can be represented by the following formula: $CL = (TI-G)/G$ where TI is total investment (i.e. the sum of the EERE grant and the Recipient amount of cost leverage) and G is the value of the grant awarded by the Office of Energy Efficiency and Renewable Energy.

"DOE" is the Department of Energy.

"EERE" is the Office of Energy Efficiency and Renewable Energy.

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

"ESPC" is an Energy Savings Performance Contract.

"ESPC ENABLE" is an Energy Savings Performance Contract designed to permit a standardized and streamlined procurement process for small federal projects to install energy conservation measures (ECMs) in six to twelve months.

"FAC" means Federal Agency Call.

"FEMP" is the Federal Energy Management Program.

"Final Deliverable" is a document or other tangible evidence that ensures with a high degree of confidence that the project will ultimately be executed. The Recipient will receive Agency Call funds only after the Final Deliverable has been accomplished in accordance with the schedule negotiated between EERE and the Recipient.

"Financial Assistance" means the transfer of money or property to an Applicant or Participant to accomplish a public purpose of support authorized by Federal statute.

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

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

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

“**MPIN**” is a Marketing Partner ID Number.

“**NEPA**” is the National Environmental Policy Act.

“**NDA**” is a Non-Disclosure Acknowledgement.

“**PII**” is Personal Identifiable Information

“**Principal Investigator**” refers to the technical point of contact/Project Manager for a specific project award.

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

“**Project Team**” means the team which consists of the Recipient, Subrecipients, and others performing or otherwise supporting work under an EERE funding agreement.

“**Recipient**” means the organization or other entity that receives a Financial Assistance Award from EERE (i.e., is the signatory on the award), is financially accountable for the use of any EERE funds or property provided for the performance of the Project, and is legally responsible for carrying out the terms and condition of the award.

“**Renewable Energy**” is the electric or thermal energy generated from solar, wind, geothermal, biomass, landfill gas, municipal solid waste, and/or hydropower/ocean energy (for purposes of this Agency Call).

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

“**SAM**” is the System for Award Management.

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

"**Selection Official**" means the EERE official designated to select applications for negotiation toward Award under a subject Agency Call.

“**SOPO**” is the Statement of Project Objectives.

“**STRIPES**” is the Strategic Integrated Procurement Enterprise System.

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

“**UESC**” is a Utility Energy Service Contract.

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