SunShot
U.S. Department of Energy

HOW SUNSHOTFUNDING OPPORTUNITIES AND AWARDS WORK: THE PVRD FUNDING OPPORTUNITY

Full Applications to Awards Management – PVRD FOA

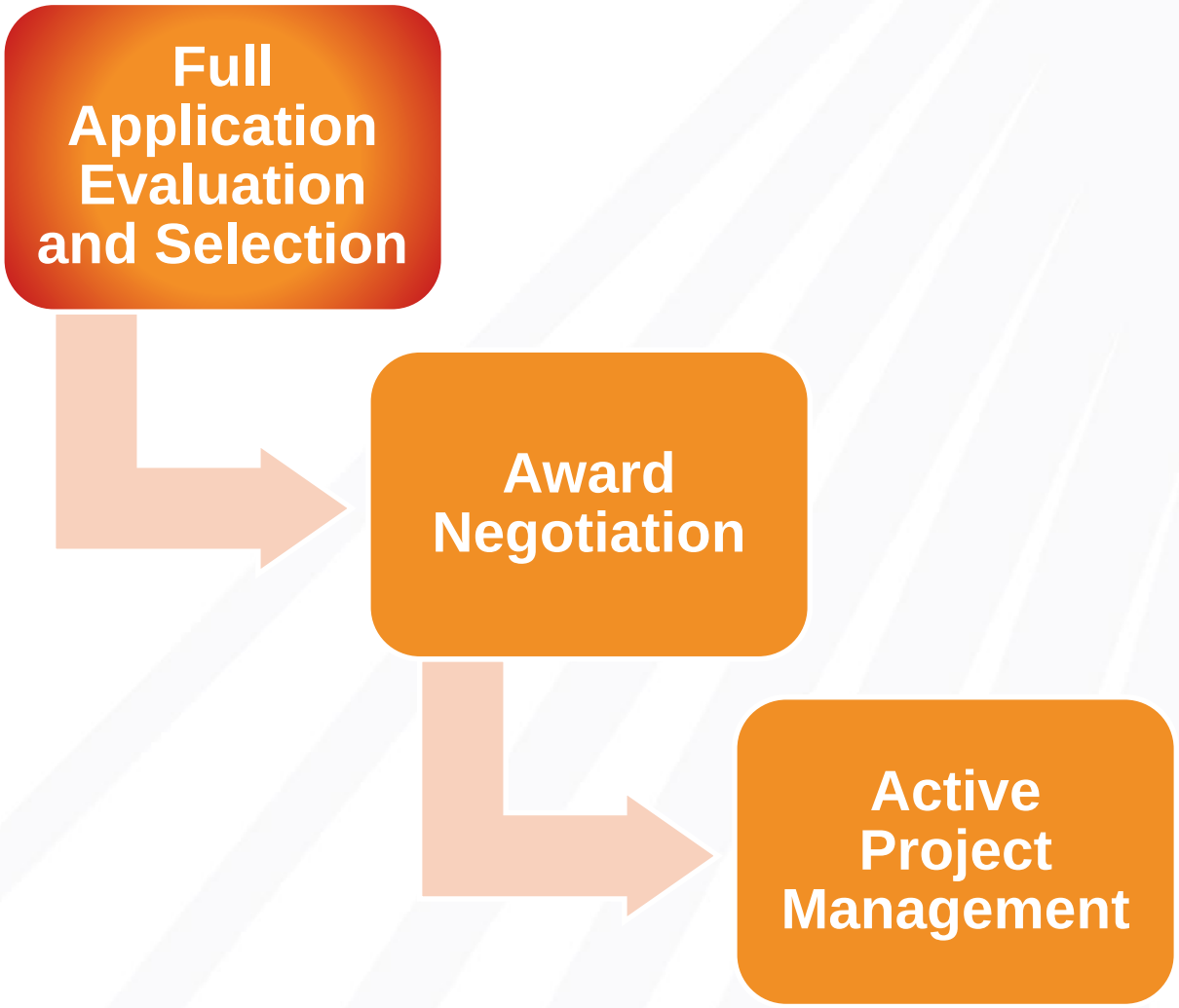
12/8/2015

SunShot Staff

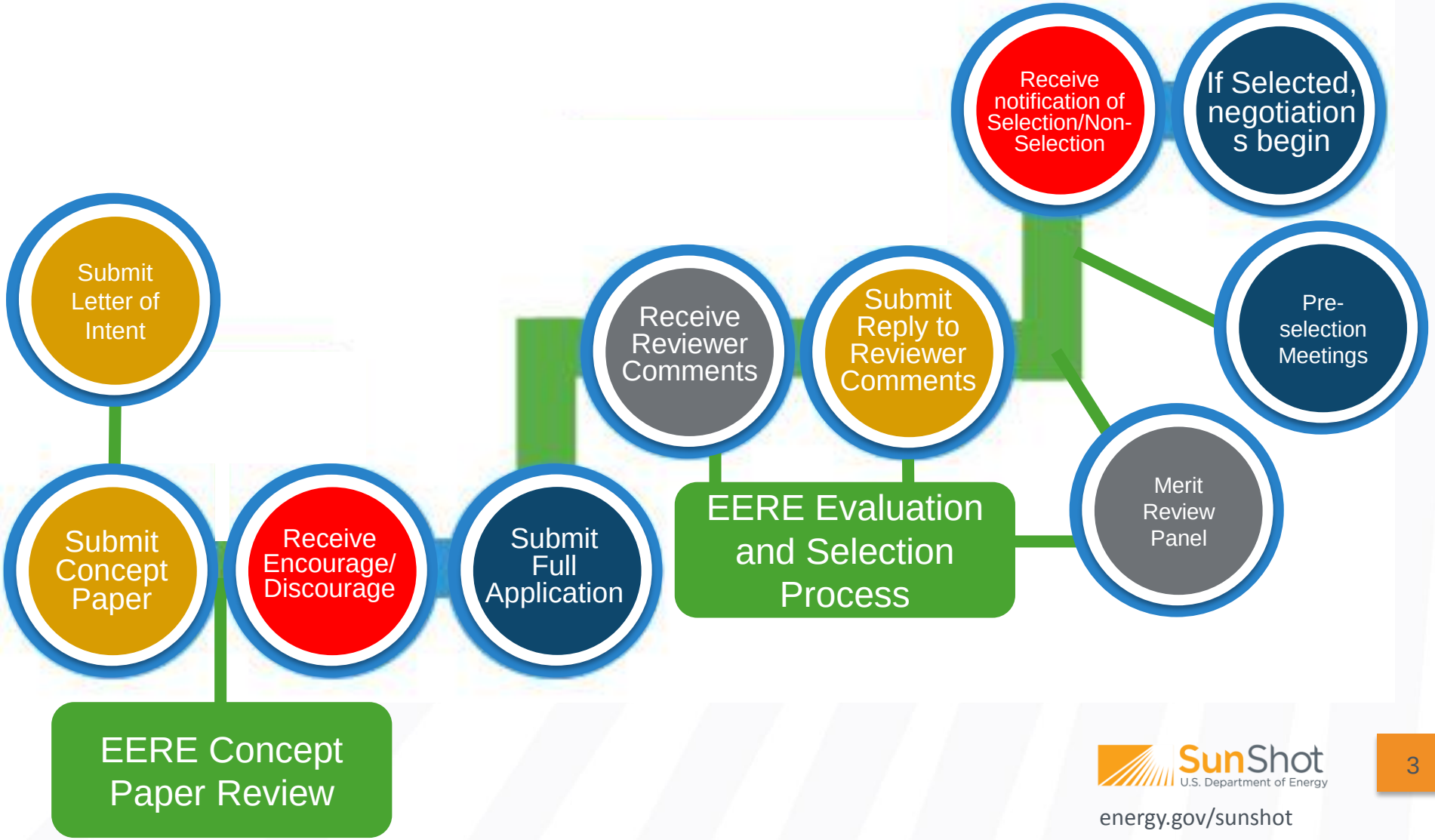
Important Disclaimer

None of the information presented here is legally binding. The content included in this presentation is intended only to summarize the general DOE EERE funding process, as well as the contents of funding opportunity **DE-FOA-0001387**. Any content within this presentation that appears discrepant from the FOA language is superseded by the FOA language. All Applicants are strongly encouraged to carefully read the FOA guidelines and adhere to them. Neither the U.S. Department of Energy (DOE) nor the employees associated with DOE working on this presentation shall be held liable for errors committed by applicants based on potentially incorrect or inaccurate information presented herein.

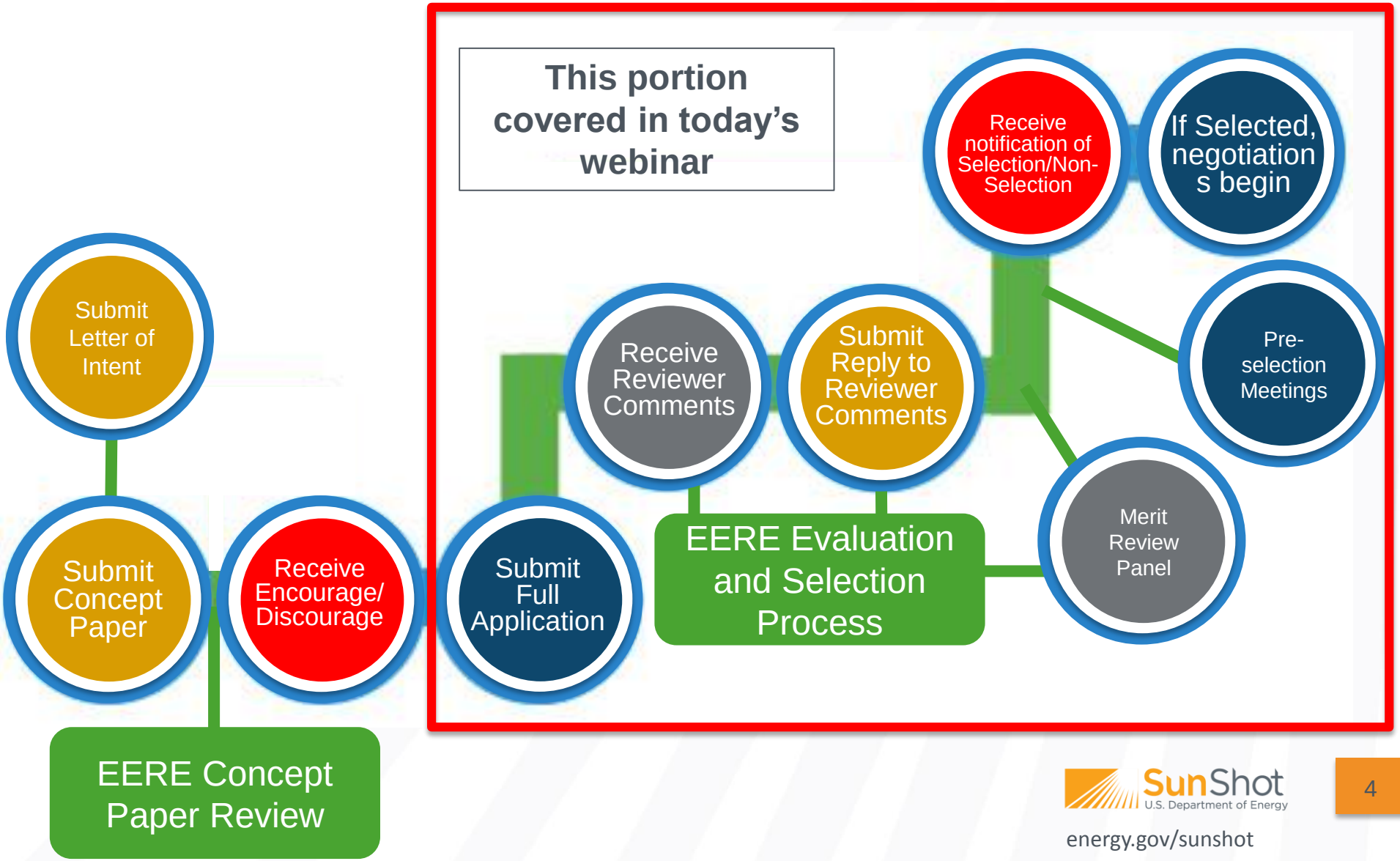
Today's Agenda



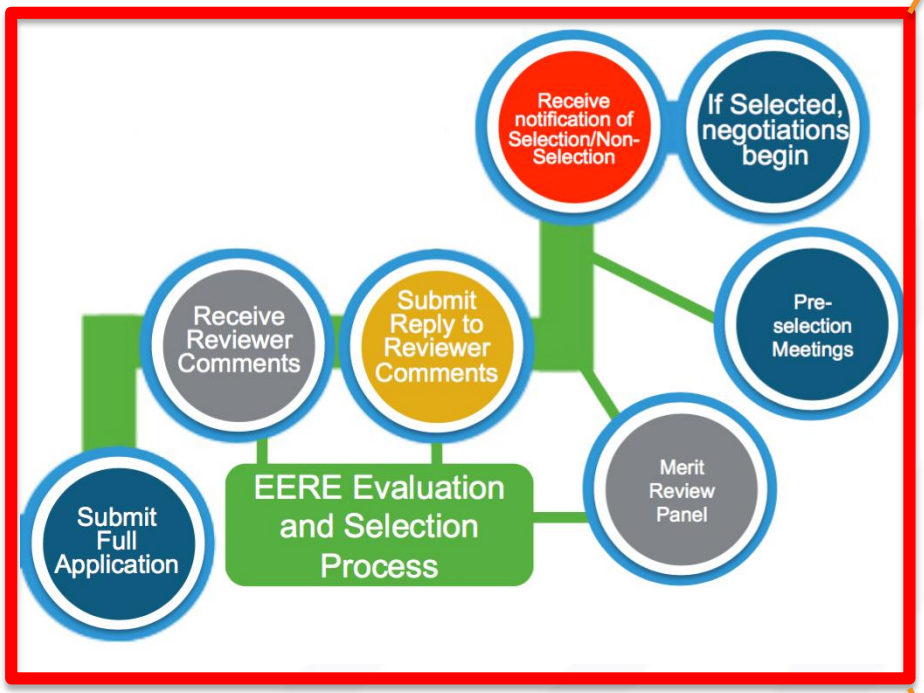
Application and Evaluation Process: Topics 2 & 3



Full Applications and Submission Selections



Full Applications Detailed Breakdown



- Applicants are **welcome to submit** a Full Application even if they received a Discourage notification earlier
- A Concept Paper <u>must have been submitted</u> in order for an applicant to submit a Full Application

Full Applications submitted

↓

Eligibility Review

↓

Reviewers evaluate based on Full App Evaluation Criteria and provide comments

↓

Replies to Reviewer Comments

↓

Independent Merit Reviewer Meeting

↓

Pre-Selection Clarifications

↓

Selection for negotiation – Selection Official

PVRD Awards Overview

Total Amount to Be Awarded	$20,000,000
Anticipated Awards	30-35 Awards Anticipated
Anticipated Award Size	$100,000 to $1,125,000
Types of Funding Agreements	Cooperative Agreements
Period of Performance	**Topic 1:** 1 year **Topic 2:** 2 years, with possibility of 2 year extension **Topic 3:** 2 or 3 years, dependent on proposed work
Cost Share Requirement	20% Cost Share, with 10% cost share waivers possible

$$\text{Cost Share (\%)} = \frac{\text{Non-Federal Share (\$)}}{\text{Total Project Costs (\$)}}$$

Full Application Deadline

Only applicants that have submitted a compliant Concept Paper for Topics 2 and 3 are eligible to submit a Full Application for those Topics

Submit Application in EERE Exchange by

5:00 PM ET, January 11, 2016

We strongly encourage you to submit

1-2 days prior to avoid any potential technical glitches with EERE Exchange

Format Requirements - Full Application

Extra material beyond page limits stated in the FOA will be REDACTED OR REMOVED and will NOT be provided to reviewers

Note that more details may be found in FOA Section IV.D.1 and that required forms and an optional template for Full Application Technical Volume are available on EERE Exchange at:

https://eere-Exchange.energy.gov

- ✓ ***Technical Volume***
- ✓ SF-424
- ✓ Budget Justification (EERE 335)
- ✓ Summary for Public Release
- ✓ Summary Slide for Public Release
- ✓ Subaward Budget Justification
- ✓ Budget for FFRDC, if applicable
- ✓ Authorization from cognizant Contracting Officer for FFRDC, if applicable
- ✓ SF-LLL Disclosure of Lobbying Activities
- ✓ Foreign Entity and Performance of Work in the United States waiver requests, if applicable
- ✓ U.S. Manufacturing Plans

PDF format unless otherwise stated

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Milestones and Go/No-Go Criteria

- Time periods between major milestone evaluations:
  - **Budget Periods:** 12 months each typically
- At the end of each budget period:
  - DOE will make a **Go/No-Go decision** to decide whether to proceed to the next budget period (as described in Section V.A.3 of the FOA)
  - Milestones and Go / No-Go Criteria will be carefully evaluated by the Reviewers
  - Milestones should be **quantifiable**

Preparing your Full Application

How to stay on track

- Write your application as if corporate Fellows at a major multinational company or **Nobel Laureate scientists will be reading it** – because they will.

- As with the Concept Paper phase – **follow the FOA instructions and include all required documents** for the Full Application so your submission isn't deemed non-compliant and ineligible for consideration

Question Time

Let's take a moment to review what we've discussed thus far

Answer

When are Full Applications due?

A. February 25, 2016 by 5:00 PM ET
B. December 24, 2016 by 11:59 PM ET
C. January 1, 2016 by 11:59 PM PT
D. February 4, 2016 by 5:00 PM ET
E. **January 11, 2016 by 5:00 PM ET**

Question Time

Next Question

Answer

True or False: If I submitted a Concept Paper that was considered non-compliant, I am still eligible to submit a Full Application.

True

False

Question Time

Next Question

Answer

If not otherwise stated, which of the following formats should you use to submit your Full Application documents?

A. MS Word
B. Text
C. JPEG
D. PDF
E. Any of the above

Criteria Weighting for Full Applications

Technical Merit, Innovation, and Impact	50%
Project Research and Market Transformation Plan	30%
Team and Resources	20%

Selection Criteria – Part I

***Technical Merit, Innovation, and Impact* (50%)**

Technical Merit and Innovation

- Extent to which the proposed technology or process is innovative;
- Degree to which the current state of the technology and the proposed advancement are clearly described;
- Extent to which the application specifically and convincingly demonstrates how the applicant will move the state of the art to the proposed advancement; and
- Sufficiency of technical detail in the application to assess whether the proposed work is scientifically meritorious and revolutionary, including relevant data, calculations and discussion of prior work in the literature with analyses that support the viability of the proposed work.

Impact of Technology Advancement

- How the project supports the topic area objectives and target specifications and metrics; and
- The potential impact of the project on advancing the state-of-the-art.

Selection Criteria – Part II

Project Research and Market Transformation *Plan* (30%)

Research Approach and Workplan

- Degree to which the approach and critical path have been clearly described and thoughtfully considered; and
- Degree to which the task descriptions are clear, detailed, timely, and reasonable, resulting in a high likelihood that the proposed Workplan will succeed in meeting the project goals.

Identification of Technical Risks

- Discussion and demonstrated understanding of the key technical risk areas involved in the proposed work and the quality of the mitigation strategies to address them.

Baseline, Metrics, and Deliverables

- The level of clarity in the definition of the baseline, metrics, and milestones; and
- Relative to a clearly defined experimental baseline, the strength of the quantifiable metrics, milestones, and/or mid-point deliverables defined in the application, such that meaningful interim progress will be made.
- The ability of the proposed metrics and milestones to support the goals described in Section I of the FOA.

Selection Criteria – Part II-2

Project Research and Market Transformation *Plan cont'd…* (30%)

Market Transformation Plan

- Quality of the Market Transformation plan at identifying target market, competitors, and potential distribution channels for the proposed technology along with known or perceived barriers to market penetration including but not limited to product development and/or commercialization timeline, financing, product marketing, legal/regulatory considerations including intellectual property, infrastructure requirements, data dissemination, and product distribution.

Selection Criteria – Part III

Team and Resources (20%)

- The capability of the Principal Investigator(s) and the proposed team to address all aspects of the proposed work with a high probability of success. The qualifications, relevant expertise, and time commitment of the individuals on the team;
- The sufficiency of the facilities to support the work;
- The degree to which the proposed consortia/team demonstrates the ability to facilitate and expedite further development and commercial deployment of the proposed technologies;
- The level of participation by project participants as evidenced by letter(s) of commitment and how well they are integrated into the Workplan; and
- The reasonableness of the budget and spend plan for the proposed project and objectives.

Replies to Reviewer Comments

Details on the Criteria for Replies to Reviewer Comment can be found in Section IV.F of the FOA

- 3 pages max, including Figures and Tables.
- Extra material will be REDACTED OR REMOVED and will NOT be provided to reviewers

Expected deadline for Reply to Reviewer Comments:

5:00 PM ET, February 25, 2016

Full Application Deadline

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Submit Application in EERE Exchange by

5:00 PM ET, January 11, 2016

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Question Time

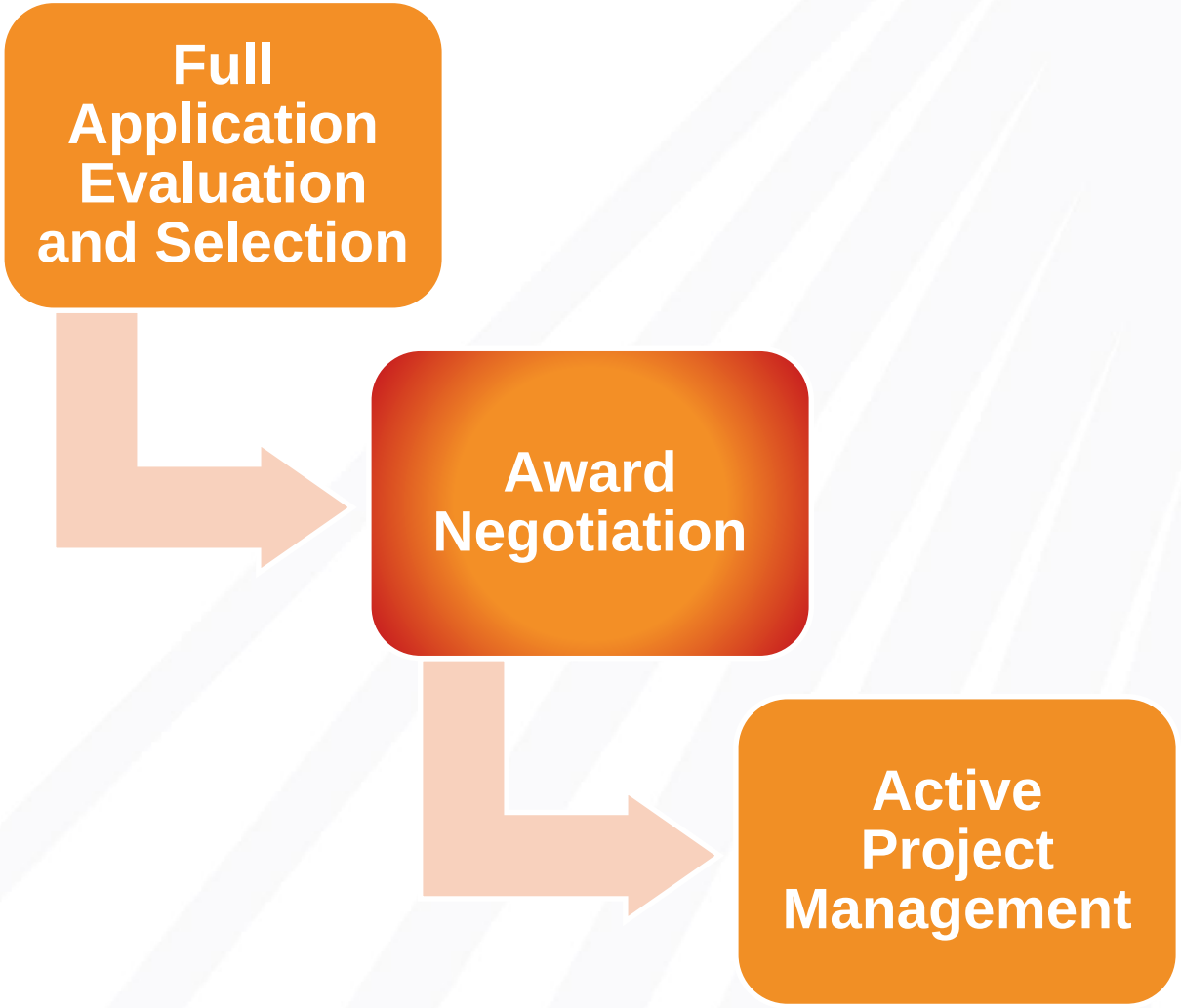
Let's take a moment to review what we've discussed thus far

Answer

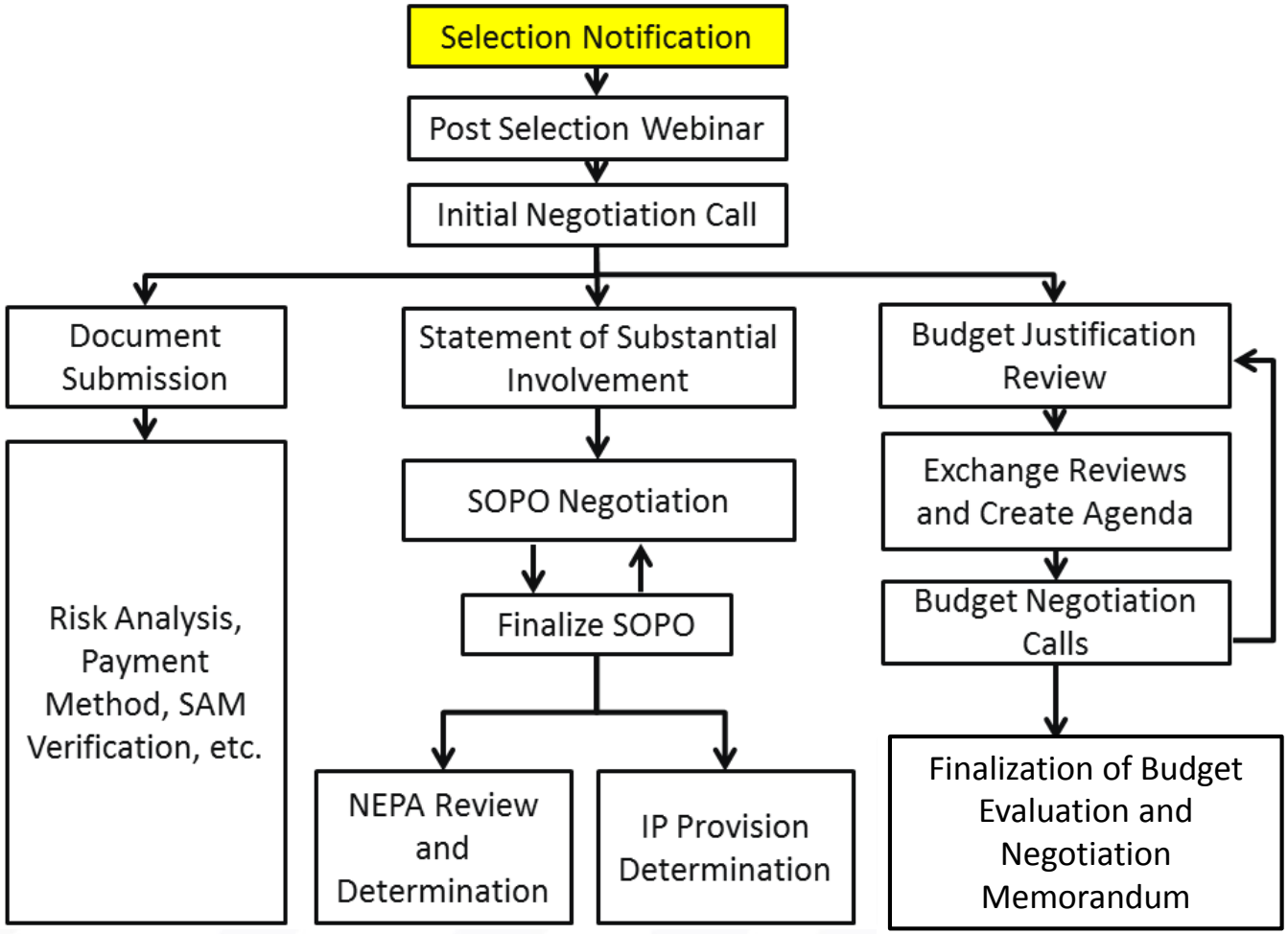
Which of the following areas are evaluated as part of the Project Research and Market Transformation Plan evaluation criterion?

A. Research Approach and Workplan
B. Identification of Technical Risks
C. Baseline, Metrics, and Deliverables
D. Market Transformation Plan
E. A and D
F. All of the above

Today's Agenda

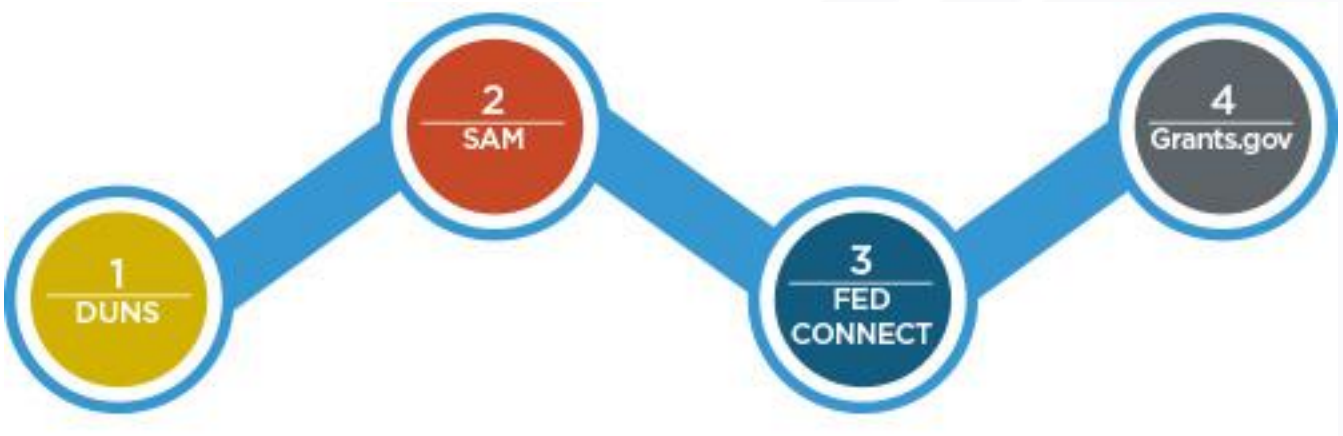


Award Negotiation



SOPO = Statement of Project Objectives

Don’t forget to register everywhere to receive the money!



- Be registered in the System for Award Management (SAM) at https://www.sam.gov before submitting an application
- Obtain a Dun and Bradstreet Data Universal Numbering System (**DUNS**) number.
- 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
- To see executed award documents, register at FedConnect (www.fedconnect.net)
- See http://www1.eere.energy.gov/financing/process.html for more information

What is the Statement of Project Objectives?

- The **statement of project objectives**: **SOPO**
- Consists of **distinct budget periods** comprised of:
  - Tasks, quarterly progress indicators, and milestones
  - Culminating in **go/no-go** decision points
- Defines the **path of success** for the project
- Sets **SMART** project objectives:
  - **S**pecific
  - **M**easurable
  - **A**ggressive
  - **R**ealistic
  - **T**ime-bound

Negotiations: Crafting an Authoritative SOPO

Be SMART: Specific, Measurable, Aggressive, Relevant, Time-bound

- **Milestones** enable the applicant/awardee to **demonstrate** that the applicant/awardee has:
  - A **mastery** of the field and state-of-the-art
  - An **awareness** of the **major challenges**
  - An understanding of the **market** and what will represent a '**disruptive' improvement**
  - An ability to define an aggressive **success value**, pursue **efficiencies** of effort, and implement **quality controls**
  - A mechanism to compare the measured results to the pre-stated success value to formulate a **rigorous conclusion**

Substantial Involvement and Success in Negotiating SOPOs

How to stay on track

- Place as much thought and effort into the project **management**, **SOPO**, and **capabilities** as is expended on the technical narrative
- **Spend time on the SOPO**: milestones and final deliverables should be in alignment with those presented in the technical narrative of the application
- Employ quantitative tools (i.e. uncertainty analysis) to **compare measured** outcomes and stated **success values**

Negotiations: Beyond the SOPO

A DOE technical project officer and grants management specialist **will work with you** during these negotiations

- Three areas of focus during your negotiation are:

    1. **Cost share**
    2. **NEPA assessment**
    3. **Budget Negotiation**

A **DOE contracting officer** is the **final signoff** needed to finalize the award

Statement of Substantial Involvement

- The default award instrument is a **cooperative agreement**
  - With **substantial federal contribution** to the technical aspects necessary for the project's accomplishment
  - Involvement may include:
    - Collaboration
    - Participation in the management of the project
    - Intervention in the activity

Management of activities occurs through the **statement of project objectives (SOPO).**

Monster.com

Question Time

Let's take a moment to review what we've discussed thus far

Answer

Which phrase best describes the relationship between the DOE and an awardee?

A. Minimal involvement
B. Cooperative agreement
C. Complacent management
D. Dysfunctional partnership
E. All of the above

Question Time

Next Question

Answer

Which of the following is <u>not</u> part of a SMART milestone?

A. **R**elevant
B. **Abstract**
C. **T**ime-bound
D. **A**ggressive
E. Both C & D

Question Time

Next Question

Answer

True or False: the Technical Project Officer and Grants Management Specialist are tasked with negotiating the Statement of Project Objectives with you.

A. True

B. False

Key Take Aways for Negotiation

- Realize that DOE will be involved in the **structuring**, **planning**, and **execution** of the award
- **Be prepared** for DOE representatives to ask lots of **technically rigorous questions** to clarify the details of your project
- Be open to **constructive criticism**

Negotiation Done and Award Begins!

- **Notice of Award**: When the Award is approved and executed by the DOE Contracting Officer, your organization will receive an **Assistance Agreement** through FedConnect.gov
- DOE usually announces the finalized awards through a **press release**
- The **SunShot Communications Team** will contact your project manager or communications contact to discuss the **announcement strategy**

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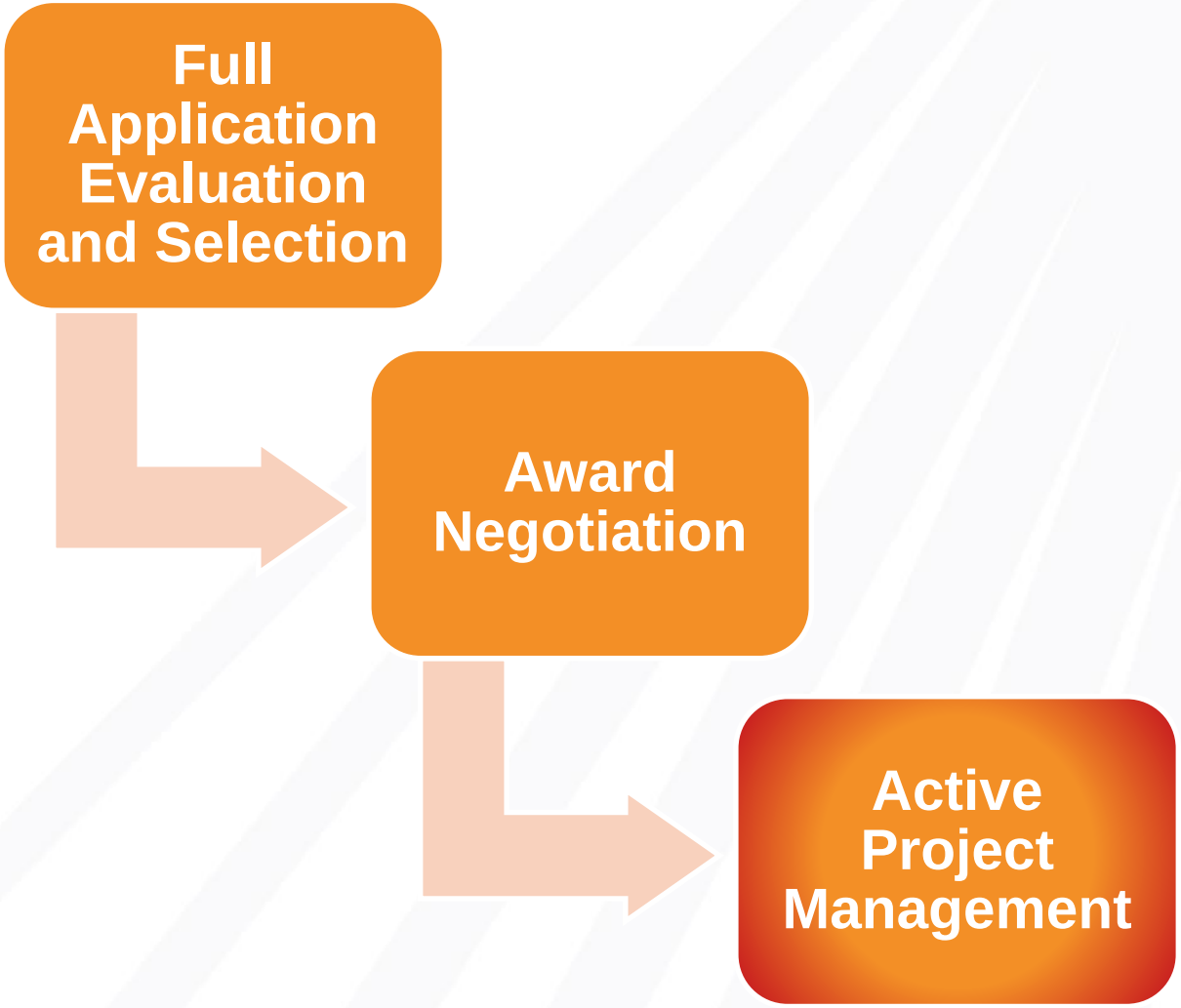

Active Program Management (APM)

Accountability

Communicating your success

- **Stay in touch** with our communications team to:
  - Fill them in on important **developments**, **press releases**, **successes**, or **announcements**
  - Ask for **feedback** on communication strategies
  - Craft your success stories so they are **easy to understand** for the average American

Active Program Management

How to stay on track

- **Be proactive**. Stay up-to-date on the literature. Implement any new findings you find into your work
- Set and implement designs for experiments that **maximize efficiency and effectiveness**
- **Be forthcoming** about challenges and failures – **present strategies** to overcome them
- The **"terms and conditions"** of your award document details of how your award will operate

Commercialization and Technology to Market

The Solar Energy Technologies Office (SETO) funds awards so that they may **advance the technology** or **concept** to 'graduation'

- Graduation means:
  - Commercialization
  - Follow-on funding from investors or other government funding opportunity
- Be pro-active in identifying the **interested stakeholders**
- Be **SMART**! Capture concrete 'terms' from the industry stakeholders that if achieved would spark their interest

Commercialization Opportunities

How to stay on track

- Keep DOE informed if you bring in **industry sponsors** or make progress on your path to commercialization

Question Time

Let's take a moment to review what we've discussed thus far

Answer

Active program management of an award will NOT include which of the following?

A. Quarterly calls
B. Site visits
C. Technically Rigorous Continuation Reviews
D. A one-time assessment of the budget and timeline

Question Time

Next Question

Question X + 2

True or False: I should regularly share significant developments and successes with the DOE SunShot Communications Team.

A. **True**
B. False

Question Time

Next Question

Question X

Which of the following is a way in which the DOE is involved with an award?

A. Project management
B. Intervention in project activities
C. Filling out invoices for project expenditures
D. Both A & B
E. All of the above

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We look forward to building the future of solar with you!

Please submit your questions in the chat bar or via email to PVRD@ee.doe.gov. Written responses will be distributed via the FOA FAQ page on EERE eXCHANGE as soon as possible.

These slides and the script for today will be posted on EERE eXCHANGE along with the other FOA documents.

THANK YOU! !

SunShot
U.S. Department of Ene