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

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



Cost Sharing Requirements

Topic Areas 1 and 2: Cost Share 20%

- The cost share must be at least 20% of the total allowable costs for research and development projects (i.e., the sum of the Government share, including FFRDC costs if applicable, and the recipient share of allowable costs equals the total allowable cost of the project) and must come from non-Federal sources unless otherwise allowed by law. (See 2 CFR 200.306 and 2 CFR 910.130 for the applicable cost sharing requirements.)

Topic Area 3: Cost Share 0%

- Cost share is not required for education and information dissemination projects.



Cost Share Contributions

- Contributions must be:
 - Specified in the project budget
 - Verifiable from the Prime Recipient's records
 - Necessary and reasonable for proper and efficient accomplishment of the project
- Every cost share contribution must be reviewed and approved in advance by the Contracting Officer and incorporated into the project budget before the expenditures are incurred



Allowable Cost Share

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

| Entity | Cost Principles |
|--------------------------------|--|
| For-profit entities | FAR Part 31 |
| All other non-federal entities | 2 CFR Part 200 Subpart E - Cost Principles |



Allowable Cost Share

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



Unallowable Cost Share

- The Prime Recipient may not use the following sources to meet its cost share obligations including, but not limited to:
 - Revenues or royalties from the prospective operation of an activity beyond the project period
 - Proceeds from the prospective sale of an asset of an activity
 - Federal funding or property
 - Expenditures reimbursed under a separate Federal Technology Office
 - Independent research and development (IR&D) funds
 - The same cash or in-kind contributions for more than one project or program



Cost Share Payment

- Recipients must provide documentation of the cost share contribution, incrementally over the life of the award
- The cumulative cost share percentage provided on each invoice must reflect, at a minimum, the cost sharing percentage negotiated
- In limited circumstances, and where it is in the government's interest, the EERE Contracting Officer may approve a request by the Prime Recipient to meet its cost share requirements on a less frequent basis, such as monthly or quarterly. See Section III.B.vi of the FOA.



Concept Papers

- Applicants must submit a Concept Paper
 - Each Concept Paper must be limited to a single concept or technology
- The Concept Paper must include a technology description (See Section IV.C of the FOA)
 - The technology description is limited to 3 pages
 - The Concept Paper can also include graphs, charts, or other data (limited to 3 pages)
- Concept Papers must be submitted by 5/31/18, 5:00 pm ET, through EERE Exchange, and must comply with the content and form requirements in Section IV.C of the FOA
- EERE provides applicants with: (1) an “encouraged” or “discouraged” notification, and (2) the reviewer comments



Concept Paper Review

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

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



Full Applications

- The Full Application includes:
 - **Technical Volume:** The key technical submission - info relating to the technical content, project team members, etc..
 - **SF-424 Application for Federal Assistance:** The formal application signed by the authorized representative of the applicant.
 - **SF-424A Budget & Budget Justification:** a detailed budget and spend plan for the project.
 - **Summary for Public Release**
 - **Summary Slide**
 - **Calculation Addendum** (Topic Area 1 and Topic Area 2 only)
 - **Administrative Documents:** E.g., U.S. Manufacturing Plan, FFRDC Authorization (if applicable), Disclosure of Lobbying Activities, etc.



Full Applications: Technical Volume Content

Technical Volume: the key technical component of the Full Application

| Content of Technical Volume | Suggested % of Technical Volume |
|--|---------------------------------|
| Cover Page | |
| Project Overview | 10% |
| Technical Description, Innovation and Impact | 30% |
| Workplan and Market Transformation Plan | 40% |
| Technical Qualifications and Resources | 20% |



Full Application Eligibility Requirements

- Applicants must submit a Full Application by 7/17/2018
- Full Applications are eligible for review if:
 - The Applicant is an eligible entity (Section III.A of FOA);
 - The Applicant submitted an eligible Concept Paper;
 - The Cost Share requirement is satisfied (Section III.B of FOA);
 - The Full Application is compliant (Section III.C of FOA); and
 - The proposed project is responsive to the FOA Section III.D of FOA
 - The Full Application meets any other eligibility requirements listed in Section III.E of the FOA.



Who's Eligible to Apply?

Eligible applicants for this FOA include:

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

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

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



Who's Eligible to Apply?

DOE/NNSA Federally Funded Research and Development Centers (FFRDCs) and DOE Government-Owned, Government-Operated laboratories (GOGOs) are not eligible to apply for funding as a Prime Recipient.

Non-DOE/NNSA FFRDCs are eligible to apply for funding as a Subrecipient, but are not eligible to apply as a Prime Recipient.

Federal agencies and instrumentalities (other than DOE) are eligible to apply for funding as a Subrecipient, but are not eligible to apply as a Prime Recipient.



Multiple Applications

Applicants may only submit one Full Application for each topic area of this FOA. If an applicant submits more than one Full Application to the same topic area, EERE will only consider the last timely submission for evaluation. Any other submissions received listing the same applicant for the same topic area will be considered noncompliant and not eligible for further consideration. This limitation does not prohibit an applicant from collaborating on other applications (e.g., as a potential Subrecipient or partner) so long as the entity is only listed as the prime applicant on one Full Application submitted under this FOA.



Merit Review and Selection Process: Full Applications

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



Technical Merit Review Criteria

Criterion 1: 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.



Technical Merit Review Criteria - Continued

Criterion 2: Project Research and Market Transformation Plan (30%)

Research Approach, Workplan and SOPO

- 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 and SOPO 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 mid-point deliverables defined in the application, such that meaningful interim progress will be made.



Technical Merit Review Criteria - Continued

Criterion 2, Continued

Market Transformation Plan

- Identification of target market, competitors, and distribution channels for proposed technology along with known or perceived barriers to market penetration, including mitigation plan; and
- Comprehensiveness of market transformation plan including but not limited to product development and/or service plan, commercialization timeline, financing, product marketing, legal/regulatory considerations including intellectual property, infrastructure requirements, Data Management Plan, U.S. Manufacturing Plan etc., and product distribution.



Technical Merit Review Criteria - Continued

Criterion 3: 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

- EERE provides applicants with reviewer comments
- Applicants are not required to submit a Reply - it is optional
- To be considered by EERE, a Reply must be submitted by 8/22/18, 5:00 pm ET and submitted through EERE Exchange
- Content and form requirements:

| Section | Page Limit | Description |
|----------|-------------|--|
| Text | 2 pages max | Applicants may respond to one or more reviewer comments or supplement their Full Application. |
| Optional | 1 page max | Applicants may use this page however they wish; text, graphs, charts, or other data to respond to reviewer comments or supplement their Full Application are acceptable. |



Selection Factors

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



Program Policy Factors

- The Selection Official may consider the following program policy factors in making his/her selection decisions:
 - The degree to which the proposed project, including proposed cost share, optimizes the use of available EERE funding to achieve programmatic objectives
 - The level of industry involvement and demonstrated ability to commercialize energy or related technologies
 - Technical, market, organizational, and environmental risks associated with the project
 - Whether the proposed project is likely to lead to increased employment and manufacturing in the United States
 - Whether the proposed project will accelerate transformational technological advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty
 - The degree to which the proposed project directly addresses EERE's statutory mission and strategic goals



Registration Requirements

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

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



Means of Submission

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



Key Submission Points

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



Applicant Points-of-Contact

- Applicants must designate primary and backup points-of-contact in EERE Exchange with whom EERE will communicate to conduct award negotiations
- It is imperative that the Applicant/Selectee be responsive during award negotiations and meet negotiation deadlines
 - Failure to do so may result in cancellation of further award negotiations and rescission of the Selection



Questions

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



Thank you

The Water Power Technologies Office appreciates your interest in this funding opportunity!