Department of Energy (DOE)

Office of Energy Efficiency and Renewable Energy (EERE) and Office of Indian Energy Policy and Programs (IE)

Remote Alaska Communities Energy Efficiency Competition – Implementation Phase (RACEE Phase 3)

**Funding Opportunity Announcement (FOA) Number: DE-FOA-**0001567

**FOA Type: Modification 0001**

**CFDA Number:** 81.087

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| --- | --- |
| **FOA Issue Date:** | June 6, 2016 |
| **Informational Conference Call:** | June 9, 2016 |
| **Submission Deadline for Full Applications:** | September 6, 20165pm AD |
| **Expected Date for DOE Selection Notifications:** | October/November 2016 |
| **Expected Timeframe for Award Negotiations** | November 2016 -January 2017 |

* To apply to this FOA, applicants must register with and submit application materials through EERE Exchange at <https://eere-Exchange.energy.gov>, EERE’s online application portal.
* Applicants must designate primary and backup points-of-contact in EERE Exchange with whom DOE 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.

All modifications to the Funding Opportunity Announcement are highlighted in yellow in the body of the FOA.

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| --- | --- | --- |
| **Mod. No.** | **Date** | **Description of Modification** |
| 0001 | 09/01/2016 | DATE CHANGES:1. Submission Deadline for Full Applications: Changed from August 31, 2016 to September 6, 2016 5:00pm AD
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1. Funding Opportunity Description
	1. Description/Background

**Background**

 As part of President Obama’s commitment to fight climate change and assist remote Alaskan Communities, the Department of Energy (DOE) launched a $4 million initiative to significantly accelerate efforts by remote Alaskan communities to adopt sustainable energy strategies. The Remote Alaskan Communities Energy Efficiency (RACEE) competition is intended to empower remote Alaskan communities to develop and implement energy solutions that can effectively advance the use of reliable, affordable, clean-energy and energy-efficient solutions that are replicable throughout rural Alaska and potentially in other Arctic regions.

Remote Alaskan communities face a number of unique energy challenges, with the harsh climate and isolation combining to drive up energy costs. DOE is keenly aware of Alaska’s climate challenges, and is committed to helping remote Alaskan communities deploy sustainable energy solutions.

The RACEE Competition is composed of three phases. DOE executed Phase 1 and 2 with communities pledging to reduce energy consumption by 15 percent by 2020 and the release of Notice of Opportunity for Technical Assistance (NOTA) for Remote Alaska Communities Energy Efficiency Competition DE-FOA-0001479. Eligibility for Phase 1 of the NOTA was restricted to Alaska Native villages, tribes and corporations and remote communities, under 8,000 in population (please see NOTA for details). In Phase 1, 64 remote Alaska communities pledged to reduce energy consumption and were designated by DOE as Community Efficiency Champions. The 64 designated Community Efficiency Champions became part of a peer network and were then eligible to compete for technical assistance (TA) in Phase 2 and become part of a peer network. A total of 13 Community Efficiency Champion communities were selected in Phase 2 to receive technical assistance. This Funding Opportunity Announcement (FOA) represents the beginning of Phase 3 of the RACEE Competition. Only the 13 communities selected to receive technical assistance in the RACEE NOTA are eligible to apply to this FOA and to compete for up to $1.1 million in grant funding ($3.4 million total) to implement their energy saving measures.

**Phase 3 Requirements**

In Phase 3 of the RACEE Competition, DOE is seeking applications from the 13 Community Efficiency Champion communities that received technical assistance under Phase 2 of RACEE to implement energy efficiency plans.

* 1. Technical Areas of Interest

The goal of Phase 3 of the RACEE Competition is to implement one or more energy strategies to help communities meet their pledge of a 15 percent energy use reduction by 2020. Communities can achieve the total pledged reduction by implementing energy efficiency and renewable integration projects, in any combination of size and number- so long as the applications demonstrate through feasibility, economic, engineering and other analysis that with implementation the community will make substantial progress toward the pledged 15 percent energy use reduction.

The RACEE competition is focused on developing and implementing effective, reliable solutions that fit the community’s needs, not necessarily deploying new technology for the sake of the technology’s innovative qualities. For the purposes of this FOA, innovation is based on the process and potential for transformative and sustainable impacts on how the community currently uses energy, and/or the potential for replication in other Alaskan communities. For example, communities that develop and implement effective strategies not currently in practice, strategies that engage the entire community to implement the energy plan, demand or supply-side projects to achieve the pledged targets, could be considered innovative.

**Application Content**

Applications must be submitted with all the requested information by the deadline of September 6, 2016 at 5 p.m. AD. Incomplete applications will not be reviewed.

Applications should clearly describe the planned activities, expected outcomes, and the analysis to support the expected outcomes (for example, feasibility, economic or other engineering studies). Please include a description of which community partners will work together and how they will implement that planned work. Additionally, the application should explain how the activities will help the community meet their pledged of 15 percent per capita energy use reduction.

Specifically, it is expected that the project will report on each of the following metrics (if applicable):

* Energy saved: The “energy saved” data is based on measuring energy use before the project, implementing the project, and then measuring energy usage after the project, where the difference being the amount of energy saved.
* Fuel saved: The “fuel saved” data is based on measuring fuel use before the project, implementing the project, and then measuring fuel usage after the project, where the difference is the amount of fuel saved. Other factors that may influence fuel usage should be considered and incorporated into this data. For example, if fuel usage declined because building occupancy declined, this should be incorporated into the projected savings, or identified as part of the actual results.
* Cost savings: Cost savings data should be calculated based on the energy and fuel savings and reported on a frequency that works for the community, such as monthly or annually.
* Amount of renewable energy generated or energy displaced (for eligible renewable systems that are building-integrated, or replace existing inefficient capacity and equipment): Data for renewable energy systems should measure actual energy produced (kWh) based on the measured energy generation, not the nameplate generating capacity. The energy displaced should also be reported based on the actual amount of energy displaced (e.g., for a biomass-fired CHP system, the reduction in fuel consumption based on both the heat and electricity generated).

The application should describe both the expected outcomes (e.g., an estimate of how much energy will be saved) and how these metrics will be measured. More detailed information on metrics data is available in the Data Management Plan guidance in Appendix C.

The application should also include how the proposed activities will address other community needs or challenges (e.g., economic need, high energy costs, and the need for maintenance and/or retrofits) and identify any other benefits such as health and environmental benefits.

In describing the proposed activities, the application should clearly explain what work needs to be done, what, if any, partners will be involved and their role in the project, what the timeline will be for each activity, and the measurable milestones. The application should also identify risks to the project success, and describe ways that these risks will be managed or mitigated.

Applications may include but are not limited to implementation projects such as: Weatherization and retrofitting, developing and implementing improved long‐term maintenance programs; heat pumps; solar and biomass fueled systems (space and water); heat recovery systems; remote monitoring systems; digital control systems; upgrades to generators and power controls; water treatment system operations improvements; LED lighting and outdoor lighting upgrades; more efficient boilers; combined heat and power (CHP); thermally activated technologies; and electric distribution demand response.

Applications may include building envelope improvements (improvements to walls, roofs, foundation slab, ceiling, windows, doors, insulation), the installation of energy efficient equipment, high-efficiency lighting, efficient appliances, air sealing, moisture management, controlled ventilation, high R-value (high thermal resistance) insulation, high efficiency windows, efficient heating systems (furnaces, boilers, passive solar), efficient cooling systems (air conditioners, evaporative coolers), ground source heat pumps, high efficiency office equipment, energy saving building electrical equipment, and efficient mechanical systems and heat recovery ventilation units. Industrial process efficiencies may include, but are not limited to, insulating piping, tank walls and roofs, the installation of higher efficiency equipment (e.g., heat exchangers, compressors, blowers, pumps, and fans), minimizing air leaks, optimizing air systems through the use of variable speed drives, and adding or optimizing controls.

Key areas of interest are in heating and weatherization, addressing community infrastructure with high energy usage/costs (such as, but not limited to, water treatment and distribution systems, washeterias, and schools), and electrical efficiency improvements, with a priority on first, end‐use energy efficiency measures, and second, supply side energy efficiency measures. This includes proposals to integrate renewable generation that replaces existing inefficient capacity and equipment.

**Applications to add electrical generation capacity will be considered non‐responsive.**

Applications may not include activities such as pre-paid meter, conducting energy audits on buildings, baseline data collection, monitoring and analysis, community education activities, feasibility planning, policy and regulatory planning, tools, modeling, engineering and design assistance, conducting an energy options analysis to identify potential future energy projects, evaluation of Powerhouse efficiency opportunities; energy use and project cash flow analysis and other project development assistance.

DOE will only consider commercially-proven energy efficiency measures. “Energy Efficiency Measures (EEMs)” for purposes of this FOA, means the implementation of building efficiency or industrial process efficiencies that use less energy to provide the same service. Energy efficiency measures include proposals for building-integrated renewable systems, or renewable generation that replaces existing inefficient capacity and equipment. Applications to add electrical generation capacity will be considered non‐responsive.

Note that, for purposes of this announcement, energy efficiency is not energy conservation. ”Energy conservation,” for purposes of this FOA, means decreasing energy consumption by reducing or going without a service to save energy. Energy conservation typically involves a behavioral change and may include meters or other indicators to induce that behavioral change. If energy conservation is proposed, the application will be deemed nonresponsive and will not be reviewed or considered.

To be considered “commercially-proven” for purposes of this FOA, the technology must be at least a Technology Readiness Level (TRL) 9, where TRL 9 is “Commercial-Scale Production/Application” and represents an in-service application of the technology in its final form and under mission condition. At TRL 9, the actual, commercial-scale system is proven through successful mission operations, whereby it is fielded and being used in commercial application. Information relative to the technology and its TRL should be provided as part of the FOA application. For more on TRL, see <http://en.wikipedia.org/wiki/Technology_readiness_level>.

“**Renewable Energy System**”, for purposes of this announcement, includes systems for: (1) electric power generation; and/or (2) heating or cooling systems. Renewable energy systems also include renewable energy fueled combined heat and power systems (see Combined Heat and Power).

1. Renewable energy systems for electric power generation include, but are not limited to, photovoltaic (solar electric), biomass (including waste to energy), wind power, run-of-the-river hydropower, incremental hydropower, or other renewable energy hybrid systems for electricity power generation. Note that for purposes of this FOA, ground source heat pumps are considered an energy efficiency measure and included.
2. Heating or cooling systems include, but are not limited to, the use of biomass for high efficiency combustion systems (i.e., stoves and boilers), active solar thermal systems for space or water heating, wind energy for heating, direct-use hydrothermal (geothermal) resources for water and space heating, or other renewable energy hybrid systems for heating and/or cooling.

Ensuring that the energy solutions developed through this FOA can be shared with other remote Alaskan communities is a major goal of the RACEE competition. Therefore, all applications should describe steps to share results of the project, including energy data, lessons learned and best practices, with other communities. Data related to energy use reductions is expected to be publically shared through the RACEE Peer Network and public databases. If selected, the applicant will need to develop a Data Management Plan. Guidance for the plan is provided in Appendix C.

The funding for this FOA comes from both EERE and IE. **A portion of the funding is only available to applicants who qualify for IE funding, specifically Indian tribes, including Alaska Native villages or regional or village corporations as defined in under Section III.B**. To be eligible for this portion of the DOE funding, applicants must indicate on the cover page of the Technical Volume that they (or one of their community partners) is an Indian tribes, including Alaska Native villages or regional or village corporations as defined in under Section III.A., and must provide appropriate documentation, for example a Tribal Resolution or as specified in the Statements of Commitment and Cost Sharing File, Section IV.C.

All work performed as a result of this this FOA must be performed in the United States. See Section IV.J.3 and Appendix B.

* 1. Applications Specifically Not of Interest

The following types of applications will be deemed nonresponsive and will not be reviewed or considered (See Section III.D of the FOA):

* Applications that fall outside the parameters specified in Section I.B of the FOA, including but not limited to applications for activities that do not reduce energy use and that propose to add electrical generation capacity (renewable or conventional) or are energy conservation measures. Applications for activities that do not reduce energy use and that propose to add electrical generation capacity (renewable or conventional) or are energy conservation measures. Renewable energy activities are acceptable as integrated generation when replacing existing generating capacity or building-integrated.
* Applications that propose activities that are exclusive to a specific community and not replicable to other remote Alaskan or Arctic communities. Applications that propose activities that are exclusive to a specific community and not replicable to other remote Alaskan or Arctic communities.
* Applications that propose Research and Development activities.
* Applications that propose product development.
* Applications that propose technology that is not commercially-proven and warrantied.
* Applications proposing building audits, community education activities, feasibility planning, policy and regulatory planning, tools, modeling, engineering and design assistance, and other project development assistance. Major construction (i.e., construction of new buildings, major renovations, or additions to existing buildings). Note that installation of energy efficiency measures are not considered major construction.
	1. Authorizing Statutes

The programmatic authorizing statute is the Energy Policy Act of 2005 (EPAct 2005), Section 931(a)(2)(A)(iii)) and Title V of EPAct 2005.

Awards made under this announcement will fall under the purview of 2 CFR Part 200 as amended by 2 CFR Part 910.

1. Award Information
	1. Award Overview
2. Estimated Funding

DOE expects to make approximately $3.4 million of Federal funding available for new awards under this FOA, subject to the availability of appropriated funds. DOE anticipates making approximately 3-5 awards under this FOA. DOE may issue one, multiple, or no awards. Individual awards may vary between $200,000 and $1.1 million.

1. Period of Performance

DOE anticipates making awards of 3 years.

1. New Applications Only

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

* 1. DOE Funding Agreements

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

1. Cooperative Agreements

DOE generally uses Cooperative Agreements to provide financial and other support to Prime Recipients.

Through Cooperative Agreements, DOE provides financial or other support to accomplish a public purpose of support or stimulation authorized by Federal statute. Under Cooperative Agreements, the Government and Prime Recipients share responsibility for the direction of projects.

DOE has substantial involvement in all projects funded via Cooperative Agreement. See Section VI.B.9 of the FOA for more information on what substantial involvement may involve.

1. Funding Agreements with FFRDCs

In most cases, Federally Funded Research and Development Centers (FFRDC), such as DOE National Laboratories, are funded independently of the remainder of the Project Team. The FFRDC then executes an agreement with any non-FFRDC Project Team members to arrange work structure, project execution, and any other matters. Regardless of these arrangements, the entity that applied as the Prime Recipient for the project will remain the Prime Recipient for the project.

1. Grants

Although DOE has the authority to provide financial support to Prime Recipients through Grants, DOE generally does not fund projects through Grants. DOE may fund a limited number of projects through Grants, as appropriate.

1. Technology Investment Agreements

In rare cases and if determined appropriate, EERE will consider awarding a Technology Investment Agreement (TIA) to a non-FFRDC applicant. TIAs, governed by 10 CFR Part 603, are assistance instruments used to increase the involvement of commercial entities in the Department’s research, development, and demonstration programs. A TIA may be either a type of cooperative agreement or an assistance transaction other than a cooperative agreement, depending on the intellectual property provisions. In both cases, TIAs are not necessarily subject to all of the requirements of 2 CFR Part 200 as amended by 2 CFR Part 910.

In a TIA, EERE may modify the standard Government terms and conditions, including but not limited to:

* Intellectual Property Provisions: EERE may negotiate special arrangements with recipients to avoid the encumbrance of existing intellectual property rights or to facilitate the commercial deployment of inventions conceived or first actually reduced to practice under the EERE funding agreement.
* Accounting Provisions: EERE may authorize the use of generally accepted accounting principles (GAAP) where recipients do not have accounting systems that comply with Government recordkeeping and reporting requirements.

EERE will be more amenable to awarding a TIA in support of an application from a consortium or a team arrangement that includes cost sharing with the private sector, as opposed to an application from a single organization. Such a consortium or teaming arrangement could include a FFRDC. If a DOE/NNSA FFRDC is a part of the consortium or teaming arrangement, the value of, and funding for the DOE/NNSA FFRDC portion of the work will be authorized and funded under the DOE field work authorization system and performed under the laboratory’s Management and Operating contract. Funding for a non-DOE/NNSA FFRDC would be through an interagency agreement under the Economy Act or other statutory authority. Other appropriate contractual accommodations, such as those involving intellectual property, may be made through a “funds in” agreement to facilitate the FFRDCs participation in the consortium or teaming arrangement. If a TIA is awarded, certain types of information described in 10 CFR 603.420(b) are exempt from disclosure under the Freedom of Information Act for five years after DOE receives the information.

An applicant may request a TIA if it believes that using a TIA could benefit the RD&D objectives of the program (see section 603.225) and can document these benefits. If an applicant is seeking to negotiate a TIA, the applicant must include an explicit request in its Full Application. After an applicant is selected for award negotiation, the Contracting Officer will determine if awarding a TIA would benefit the RD&D objectives of the program in ways that likely would not happen if another type of assistance agreement (e.g., cooperative agreement subject to the requirements of 2 CFR Part 200 as amended by 2 CFR Part 910). The Contracting Officer will use the criteria in 10 CFR 603, Subpart B, to make this determination.

1. 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 initial requirements, it will be considered non-responsive, removed from further evaluation, and ineligible for any award.

* 1. Eligible Applicants

EERE and IE intend to restrict eligibility for this Funding Opportunity Announcement to Communities who meet the following criteria:

1. Submitted a valid pledge during Phase 1 of the competition; and
2. Submitted a valid application to the NOTA, which was then selected for Technical Assistance.

As the language of the restriction suggests, communities which submitted a valid application to the NOTA but whose applications were **not** selected to receive RACEE technical assistance are not eligible to apply to this FOA. Any applications that do not meet the criteria of this part will not be reviewed or considered.

**Subrecipient Eligibility**

Individuals

U.S. citizens and lawful permanent residents are eligible to apply for funding as a Subrecipient.

Domestic Entities

For-profit entities, educational institutions, and nonprofits that are incorporated (or otherwise formed) under the laws of a particular State or territory of the United States are eligible to apply for funding as a Subrecipient. Nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995, are not eligible to apply for funding.

State, local, and tribal government entities are eligible to apply for funding as a Subrecipient.

DOE/NNSA Federally Funded Research and Development Centers (FFRDCs) and DOE Government-Owned, Government-Operated laboratories (GOGOs) are eligible to apply for funding as a Subrecipient.

Non-DOE/NNSA FFRDCs and non-DOE GOGOs are eligible to apply for funding as a Subrecipient.

Federal agencies and instrumentalities (other than DOE) are eligible to apply for funding as a Subrecipient.

Foreign Entities

Foreign entities, whether for-profit or otherwise, are eligible to apply for funding under this FOA as a Subrecipient.

**Incorporated Consortia**

Incorporated consortia, which may include domestic and/or foreign entities, are eligible to apply for funding as a Subrecipient. For consortia incorporated (or otherwise formed) under the laws of a State, Indian tribe by Resolution or territory of the United States, please refer to “Domestic Entities” above. For consortia incorporated in foreign countries, please refer to the requirements in “Foreign Entities” above.

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

Unincorporated Consortia

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

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

* Management structure;
* Method of making payments to consortium members;
* Means of ensuring and overseeing members’ efforts on the project;
* Provisions for members’ cost sharing contributions; and
* Provisions for ownership and rights in intellectual property developed previously or under the agreement.
	1. Special Funding Eligibility for Indian Tribes

Funding for this FOA comes from both EERE and IE. A portion of the funding is only available to applicants who are eligible for IE funding, specifically Indian tribes (including Alaska Native villages, regional or village corporations) or Tribal Energy Resource Development Organizations, as those terms are more fully defined below. To qualify for this portion of the DOE funding, (1) the applicant (and/or a community partner) must be eligible to receive IE funding; and (2) the proposed project or a specific sub-set of activities under the project is on Indian Land, as that term is more fully defined below.

Applicants who qualify for IE funding must also provide evidence to support their representations of #1 and #2 above as part of the Statements of Commitment and Cost Sharing File, Section IV.C. For Indian tribes (including Alaska Native villages), this evidence must be in the form of a Tribal Council Resolution. For Alaska regional or village corporations, the evidence should be in the form of a Board Resolution (preferred) or declaration signed by an authorized representative of the regional or village corporation. For Tribal Energy Resource Development Organizations, evidence should be in the form of a declaration signed by an authorized representative of that organization.

For purposes of this FOA, and in accordance with EPAct 2005 authorities and 2 CFR 910.126(b), eligibility for IE funding is restricted to: (1) an Indian Tribe; or (2) Tribal Energy Resource Development Organization; and on whose (3) Indian Land the project(s) will be located. More specifically,

1. “Indian Tribe,” for purposes of receiving IE funding, means any “Indian Tribe, Band, Nation or other organized group or community,” including any Alaska Native village, which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians, or any regional corporation or village corporation as defined in and established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C. §§ 1601 et seq.].

“Indian Tribe, Band, Nation or other organized group or community” (including Alaska Native villages, but not regional or village corporations), must be federally recognized as listed in *Indian Entities Recognized and Eligible to Receive Services from the United States Bureau of Indian Affairs*, published by the Department of Interior’s Bureau of Indian Affairs in the Federal Register on [January 14, 2015, 80 FR 1942](http://www.bia.gov/WhoWeAre/BIA/OIS/TribalGovernmentServices/TribalDirectory/index.htm), as supplemented by the Bureau of Indian Affairs Final Determination for Federal Acknowledgment of the Pamunkey Indian Tribe effective October 6, 2015.

1. “Tribal Energy Resource Development Organization,” for purposes of receiving IE funding, means an “organization” of two or more entities, at least one of which is an Indian Tribe (see “Indian Tribe” above) that has the written consent of the governing bodies of all Indian Tribes participating in the organization to apply for a grant or loan, or other assistance under 25 U.S.C. § 3503, where “organization” means a partnership, joint venture, Limited Liability Company (LLC) or other unincorporated association or entity that is established to develop Indian energy resources.
2. “Indian Land,” for purposes of receiving IE funding, is defined as:
	1. any land located within the boundaries of an “Indian reservation” (see definition below), pueblo, or rancheria;
	2. any land not located within boundaries of an Indian reservation, pueblo, or rancheria, the title to which is held –
		1. in trust by the United States for the benefit of an Indian Tribe or an individual Indian;
		2. by an Indian Tribe or an individual Indian, subject to restriction against alienation under laws of the United States; or
		3. by a dependent Indian community; and
	3. land that is owned by an Indian Tribe and was conveyed by the United States to a Native Corporation pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. § 1601 et seq.), or that was conveyed by the United States to a Native Corporation in exchange for such land;
	4. lands held in fee simple (purchased or owned);
	5. lands held under a long-term Federal land lease (at least 20 years); and
	6. land that was conveyed to a Native Corporation pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. § 1601 et seq.) and subsequently conveyed to another entity, provided that entity is either a Native village or Tribal governmental entity or the land is held, invested, managed for and on behalf of a Native village or Tribal governmental entity.

For purposes of receiving IE funding, and as defined under Part 503 of EPAct 2005, the term “Indian Reservation” includes an Indian reservation in existence in any State or States as of the date of enactment of Title V of EPAct 2005; a public domain Indian allotment; and a dependent Indian community located within the borders of the United States, regardless of whether the community is on original or acquired territory of the community; or within or outside the boundaries of any State or States.

* 1. Cost Sharing

The Under Secretary for the Office of Science and Energy has approved a Cost Share Reduction determination pursuant to Section 988(b)(3) of the Energy Policy Act of 2005 for this FOA. Specifically, the recipient cost share requirement for demonstration and commercial applications is reduced from 50% to 10%. Therefore, the cost share must be at least 10% of the total allowable costs for demonstration projects (i.e., the sum of the Government share, including FFRDC costs if applicable, and the recipient share of allowable costs equals the total allowable cost of the project) and must come from non-Federal sources unless otherwise allowed by law. (See 2 CFR 200.306 and 2 CFR 910.130 for the applicable cost sharing requirements.)

If the funds being proposed as non-Federal cost share against this announcement are from a Federal source, allowed by law, the Applicant must specifically identify those funds and that authority as part of the application.

To assist applicants in calculating proper cost share amounts, DOE has included cost share information in Appendix A of this FOA.

1. Legal Responsibility

Although the cost share requirement applies to the project as a whole, including work performed by members of the project team other than the Prime Recipient, the Prime Recipient is legally responsible for paying the entire cost share. The Prime Recipient’s cost share obligation is expressed in the Assistance Agreement as a static amount in U.S. dollars (cost share amount) and as a percentage of the Total Project Cost (cost share percentage). If the funding agreement is terminated prior to the end of the project period, the Prime Recipient is required to contribute at least the cost share percentage of total expenditures incurred through the date of termination.

The Prime Recipient is solely responsible for managing cost share contributions by the Project Team and enforcing cost share obligation assumed by Project Team members in subawards or related agreements.

1. Cost Share Allocation

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

1. Cost Share Types and Allowability

Every cost share contribution must be allowable under the applicable Federal cost principles, as described in Section IV.J.1 of the FOA. In addition, cost share must be verifiable upon submission of the Full Application.

Project Teams may provide cost share in the form of cash or in-kind contributions. Cash contributions may be provided by the Prime Recipient or Subrecipients. Allowable in-kind contributions include, but are not limited to: rental value of buildings or equipment, the value of a donated service or resource, or third party in-kind contribution.

Project teams may use funding or property received from state or local governments to meet the cost share requirement, so long as the funding was not provided to the state or local government by the Federal Government.

The Prime Recipient may not use the following sources to meet its cost share obligations including, but not limited to:

* Revenues or royalties from the prospective operation of an activity beyond the project period;
* Proceeds from the prospective sale of an asset of an activity;
* Federal funding or property (e.g., Federal grants, equipment owned by the Federal Government); or
* Expenditures that were reimbursed under a separate Federal Program.

Project Teams may not use the same cash or in-kind contributions to meet cost share requirements for more than one project or program.

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

Applicants are encouraged to refer to 2 CFR 200.306 as amended by 2 CFR 910.130 & 10 CFR 603.525-555 for additional guidance on cost sharing.

1. Cost Share Contributions by FFRDCs

Because FFRDCs, such as DOE National Laboratories, are funded by the Federal Government, costs incurred by FFRDCs generally may not be used to meet the cost share requirement. FFRDCs may contribute cost share only if the contributions are paid directly from the contractor’s Management Fee or another non-Federal source.

1. Cost Share Verification

Applicants are required to provide written assurance of their proposed cost share contributions in their Full Applications (see Statement of Commitment and Cost Sharing under Section IV.D.

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

1. Cost Share Payment

DOE requires Prime Recipients to contribute the cost share amount incrementally over the life of the award. Specifically, the Prime Recipient’s cost share for each billing period must always reflect the overall cost share ratio negotiated by the parties (i.e., the total amount of cost sharing on each invoice when considered cumulatively with previous invoices must reflect, at a minimum, the cost sharing percentage negotiated).

In limited circumstances, and where it is in the government’s interest, the DOE 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. Regardless of the interval requested, the Prime Recipient must be up-to-date on cost share at each interval. Such requests must be sent to the Contracting Officer during award negotiations and include the following information: (1) a detailed justification for the request; (2) a proposed schedule of payments, including amounts and dates; (3) a written commitment to meet that schedule; and (4) such evidence as necessary to demonstrate that the Prime Recipient has complied with its cost share obligations to date. The Contracting Officer must approve all such requests before they go into effect.

* 1. Compliance Criteria

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

Compliance Criteria

Full Applications are deemed compliant if:

* The Full Application complies with the content and form requirements in Section IV.D of the FOA; and
* The applicant successfully uploaded all required documents and clicked the “Submit” button in EERE Exchange by the deadline stated in the FOA.
	1. Responsiveness Criteria

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

* 1. Other Eligibility Requirements
1. Requirements for DOE/NNSA Federally Funded Research and Development Centers (FFRDC) Listed as a Subrecipient

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

* + - 1. **Authorization for non-DOE/NNSA FFRDCs**

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

* + - 1. **Authorization for DOE/NNSA FFRDCs**

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

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

* + - 1. **Value/Funding**

The value of and funding for the FFRDC portion of the work will not normally be included in the award to a successful applicant. Usually, DOE will fund a DOE/NNSA FFRDC contractor through the DOE field work proposal system and non-DOE/NNSA FFRDC through an interagency agreement with the sponsoring agency.

* + - 1. **Cost Share**

Although the FFRDC portion of the work is usually excluded from the award to a successful applicant, the applicant’s cost share requirement will be based on the total cost of the project, including the applicant’s and the FFRDC’s portions of the project.

* + - 1. **Responsibility**

The Prime Recipient will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues including, but not limited to disputes and claims arising out of any agreement between the Prime Recipient and the FFRDC contractor.

* 1. Limitation on Number of Full Applications Eligible for Review

Each eligible Community Efficiency Champion community may only submit one Full Application for consideration under this FOA. If an applicant submits more than one Full Application, DOE will only consider the last timely submission for evaluation. Any other submissions received listing the same applicant 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.

* 1. Questions Regarding Eligibility

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

1. Application and Submission Information
	1. Application Process

The application process will include one phase: a Full Application phase. DOE will perform an initial eligibility review of the applicant submissions to determine whether they meet the eligibility requirements of Section III of the FOA. DOE will not review or consider submissions that do not meet the eligibility requirements of Section III. All submissions must conform to the following form and content requirements, including maximum page lengths (described below) and must be submitted via EERE Exchange at <https://eere-exchange.energy.gov/>, unless specifically stated otherwise. **DOE will not review or consider submissions submitted through means other than EERE Exchange, submissions submitted after the applicable deadline, and incomplete submissions**. DOE 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 Exchange application process. This control number must be included with all Application documents, as described below.

The Full Application must conform to the following requirements:

* Each must be submitted in Adobe PDF format unless stated otherwise.
* Each must be written in English.
* All pages must be formatted to fit on 8.5 x 11 inch paper with margins not less than one inch on every side. Use Times New Roman typeface, a black font color, and a font size of 12 point or larger (except in figures or tables, which may be 10 point font). A symbol font may be used to insert Greek letters or special characters, but the font size requirement still applies. References must be included as footnotes or endnotes in a font size of 10 or larger. Footnotes and endnotes are counted toward the maximum page requirement.
* The Control Number must be prominently displayed on the upper right corner of the header of every page. Page numbers must be included in the footer of every page.
* 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, DOE will review only the authorized number of pages and disregard any additional pages.

Applicants are responsible for meeting the submission deadline. **Applicants are strongly encouraged to submit their Full Applications at least 48 hours in advance of the submission deadline**. Under normal conditions (i.e., at least 48 hours in advance of the submission deadline), applicants should allow at least 1 hour to submit a Full Application. Once the Full Application is submitted in EERE Exchange, applicants may revise or update that submission until the expiration of the applicable deadline. If changes are made, the applicant must resubmit the Full Application before the applicable deadline.

DOE urges applicants to carefully review their Full Applications and to allow sufficient time for the submission of required information and documents. All Full Applications that pass the initial eligibility review will undergo comprehensive technical merit review according to the criteria identified in Section V.A.2 of the FOA.

1. Additional Information on EERE Exchange

EERE Exchange is designed to enforce the deadlines specified in this FOA. The “Apply” and “Submit” buttons will automatically disable at the defined submission deadlines. Should applicants experience problems with Exchange, the following information may be helpful.

Applicants that experience issues with submission PRIOR to the FOA deadline: In the event that an applicant experiences technical difficulties with a submission, the Application should contact the Exchange helpdesk for assistance (EERE-ExchangeSupport@hq.doe.gov). The Exchange helpdesk and/or the EERE Exchange system administrators will assist Applicants in resolving issues.

Applicants that experience issue with submissions that result in late submissions: In the event that an applicant experiences technical difficulties so severe that they are unable to submit their application by the deadline, the applicant should contact the Exchange helpdesk for assistance (EERE-ExchangeSupport@hq.doe.gov). The Exchange helpdesk and/or the EERE Exchange system administrators will assist the applicant in resolving all issues (including finalizing submission on behalf of and with the applicant’s concurrence). PLEASE NOTE, however, those applicants who are unable to submit their application on time due to their waiting until the last minute when network traffic is at its heaviest to submit their materials will not be able to use this process.

* 1. Application Forms

The application forms and instructions are available on EERE Exchange. To access these materials, go to <https://eere-Exchange.energy.gov> and select the appropriate funding opportunity number.

Note: The maximum file size that can be uploaded to the EERE Exchange website is 10MB. Files in excess of 10MB cannot be uploaded, and hence cannot be submitted for review. If a file exceeds 10MB but is still within the maximum page limit specified in the FOA, it must be broken into parts and denoted to that effect. For example:

**ControlNumber\_LeadOrganization\_Project\_Part\_1**

**ControlNumber\_LeadOrganization\_Project\_Part\_2**, etc.

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

* 1. Content and Form of the Full Application

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

All Full Application documents must be marked with the FOA Control Number issued to the applicant.

1. Full Application Content Requirements

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

Each Full Application shall be limited to the projects related to the implementation of a Community Efficiency Champion’s energy strategy. Unrelated concepts and technologies shall not be consolidated in a single Full Application.

Full Applications must conform to the following requirements:

|  |  |  |
| --- | --- | --- |
| **Submission** | **Components** | **File Name** |
| **Full Application (PDF, unless stated otherwise)** | Technical Volume (See Chart in Section IV.D.2) (20 page limit) | ControlNumber\_LeadOrganization\_TechnicalVolume |
| Workplan (Microsoft Word format) (10 page limit) | ControlNumber\_LeadOrganization\_Workplan |
| Statements of Commitment and Cost Sharing File | ControlNumber\_LeadOrganization \_Commitments |
| SF-424  | ControlNumber\_LeadOrganization\_App424 |
| Budget Justification (EERE 335) (Microsoft Excel format. Applicants must use the template available in EERE Exchange) | ControlNumber\_LeadOrganization\_Budget\_Justification |
| Summary for Public Release (1 page limit) | ControlNumber\_LeadOrganization\_Summary |
| Summary Slide (1 page limit, Microsoft PowerPoint format) | ControlNumber\_LeadOrganization\_Slide |
| Subaward Budget Justification (EERE 335) (Microsoft Excel format. Applicants must use the template available in EERE Exchange) | ControlNumber\_LeadOrganization\_Subawardee\_Budget\_Justification |
| Budget for FFRDC, if applicable | ControlNumber\_LeadOrganization\_FWP |
| Authorization from cognizant Contracting Officer for FFRDC, if applicable | ControlNumber\_LeadOrganization\_FFRDCAuth |
| SF-LLL Disclosure of Lobbying Activities | ControlNumber\_LeadOrganization\_SF-LLL |
| Performance of Work in the United States waiver requests, if applicable | ControlNumber\_LeadOrganization\_Waiver |

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

1. 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, DOE will review only the authorized number of pages and disregard any additional pages. This volume must address the Merit Review Criteria as discussed in Section V.A.i of the FOA. Save the Technical Volume in a single PDF file using the following convention for the title: “ControlNumber\_LeadOrganization\_TechnicalVolume”.

Applicants may provide citations and references to justify the claims and approaches made in the Project Summary and Technical Volume. However, DOE and reviewers are under no obligation to review cited sources (e.g., websites).

The Technical Volume to the Full Application may not be more than 20 pages, excluding the cover page, table of contents, but including all citations, charts, graphs, maps, photos, or other graphics, and must include all of the information in the table below. The 20-page limit of the Technical Volume does not include the 10 page workplan. The applicant should consider the weighting of each of the evaluation criteria (see Section V.A.i of the FOA) when preparing the Technical Volume.

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| --- | --- |
| **Section/Page Limit** | **Description** |
| **Cover Page**(1 page, does not count toward the page limit) | The cover page should include the project title, the specific FOA Topic Area being addressed (if applicable), both the technical and business points of contact, names of all team member organizations, and any statements regarding confidentiality.The cover page of the Technical Volume must also indicate: (1) whether the applicant (and/or a community partner) is eligible to receive IE funding; and (2) whether the proposed project or a specific sub-set activities under the project are on Indian Land, as those terms are more fully defined under Section III, Eligibility. |
| **Table of Contents**(optional, 1-2 pages, does not count toward the page limit) | The Table of Contents should include a list of the elements of the Technical Volume organized in the order in which the parts appear, and page numbers. |
| **Project Overview** (Approximately 3 pages) | The Project Overview should contain the following information:* Background: The Applicant should discuss the background of their community, including the current energy use status (i.e., the technical baseline), such as yearly community electricity and fuel use, relevant to the project being addressed in the Full Application, and any previous energy activities relevant to the proposed work.
* Project Goal: The Applicant should explicitly identify the targeted improvements to the baseline energy use and the critical success factors in achieving the RACEE pledge goal of reducing per capita energy usage in the community by at least 15% by 2020, using a 2010 baseline. The goal discussion should include the relevant performance metrics (energy saved, fuel saved, cost savings, amount of energy generated from building-integrated renewable sources and displaced energy use), and any other major project benefits for the community.
* DOE Impact: The Applicant should discuss the measurable impacts that DOE funding would have on the proposed project, reduction in energy use and economic or other benefits to the community.  Applicants should specifically explain how DOE funding, relative to prior, current, or anticipated funding from other public and private sources, is necessary to achieve the project objectives and the implications if the proposed project is not funded.
 |
| **Project Description, Innovation, and Impact** (Approximately 12 pages) | The Project Description, Innovation, and Impact should contain the following information:* Relevance and Outcomes: The Applicant should provide a detailed description of the proposed project, including the technical, economic, environmental, and other objectives that will be pursued during the project. This section should describe the relevance of the proposed project to the goals and objectives of the FOA, including the potential to contribute to meeting the community pledge of reducing per capita community energy use by at least 15% by 2020. The Applicant should clearly specify the expected outcomes of the project.
* Feasibility: The Applicant should demonstrate the technical feasibility of the proposed project and capability of achieving anticipated goals and objectives, including a description of previous work and prior results.
* Innovation and Impacts: The Applicant should describe the specific innovation of the proposed project, the advantages of proposed project work over current and alternative solutions, the overall impact on the community if the project is successful, and the ability of a successful project to impact and drive replication in other Alaskan and arctic communities. The applicant should also describe plans to share the data and lessons learned during the last year of the project. For the RACEE competition, innovation is defined based on the process and potential impact on the community rather than on the technologies used. For example, effective strategies that engage all community members in working to reach the pledge targets would be considered innovative, as would the implementation of strategies that would substantially change the energy use in a community such as a major reduction in fuel use or energy demand.
* Project Narrative: The Project Narrative should, to the extent practical, follow the outline below in its organization and content; however, additional topics may be covered as necessary for the applicant to deliver a full explanation of the proposal.
1. Project overview
2. Approach and strategies to achieve objectives and goals
3. Estimated impacts
4. Existing efforts and how they will be leveraged
5. Identification of barriers and how they will be overcome
6. Project team, roles and structure, including partners and capabilities
7. Plans to ensure replicability of work across other communities
8. Stakeholders and plan for engagement
9. Information and data needs

Please note that merit reviewers will be evaluating application based on how well the application addresses each of the merit review criteria and subcriteria. |
| **Qualifications, Capabilities, and Resources** (Approximately 5 pages | The Qualifications, Capabilities and Resources should contain the following information:* Describe the Project Team’s unique qualifications and expertise, including those of key partners and Subrecipients, and specifically including any other community groups involved in the work
* Describe the Project Team’s existing equipment and facilities that will facilitate the successful completion of the proposed project
* This section should also include relevant previous work experience and how these enable the Applicant to achieve the project objectives.
* Describe the time commitment of the key team members to support the project.
* Attach two-page resumes for key participating team members as an appendix in a separate file.  Resumes do not count towards the page limit.
* Describe the technical services to be provided by DOE/NNSA FFRDCs and GOGOs as Subrecipients, if applicable.
* Attach any letters of commitment and cost sharing from all of the community entities working together on the project as an attachment (2 page maximum per letter) in a separate file.  Letters of commitment and cost sharing do not count towards the page limit. Note that letters of support by anyone not participating in the proposed project are not required or desired, and should not be provided as part of the application.
* For multi-organizational or regional projects, describe succinctly:
	+ The roles and the work to be performed by each Partner
	+ Business agreements between the Applicant and each Partner
	+ How the various efforts will be integrated and managed
	+ Process for making project decisions
	+ Publication arrangements
	+ Intellectual Property issues if appropriate
* Describe the Project Teams’ communication plans within the community and plans to share information with other communities through peer exchange or other activities that may promote project replicability.
 |

1. Workplan

The Workplan may not be more than 10 pages, must include all the information in the table below, must include the information described in the Appendix D, Workplan Format, and must be submitted in Microsoft Word format. The Workplan must conform to the following content and form requirements, including maximum page lengths. If Applicants exceed the maximum page length, DOE will review only the authorized number of pages and disregard any additional pages. The Workplan must address the Merit Review Criteria as discussed in Section V.A.i of the FOA. Save the Workplan in a single Microsoft Word file using the following convention for the title: “ControlNumber\_LeadOrganization\_Workplan”.

|  |  |
| --- | --- |
| **SECTION/PAGE LIMIT** | **DESCRIPTION** |
| **Workplan**(Maximum of 10 pages including a Milestone Table and Project Schedule)  | The Workplan section in the application should include a summary of the Project Objectives, Project Scope, Task Structure, Milestones, and Project Schedule. The Workplan should contain the following information:* Project Goals and Objectives: The Applicant should provide a clear and concise (high-level) statement of the goals and objectives of the project as well as the expected outcomes.
* Technical Scope Summary: The Applicant should provide a summary description of the overall work scope and approach to achieve the objective(s).
* Task Description Summary: The Workplan should describe the work to be accomplished and how the applicant will achieve the milestones, will accomplish the final project goal(s), and will produce all deliverables. The Workplan is to be structured with tasks and subtasks, which is typical of a standard work breakdown structure (WBS) for any project. The Workplan shall contain a concise detailed description of the specific activities to be conducted over the life of the project. “Detailed” is defined as a full explanation and disclosure of the project being proposed (i.e., a statement such as “we will then complete a **proprietary** process” is unacceptable). It is the Applicant’s responsibility to prepare an adequately detailed task plan to describe the proposed project and the plan for addressing the objectives of this FOA.
* Milestone Summary: The Applicant should provide a summary of appropriate milestones throughout the project to demonstrate success, where success is defined as technical achievement rather than simply completing a task. To ensure that milestones are relevant, Applicants should follow the SMART rule of thumb, which is that all milestones should be **S**pecific, **M**easurable, **A**chievable, **R**elevant, and **T**imely. Unless otherwise specified in the FOA, the minimum requirement is that each project must have at least one milestone per quarter for the duration of the project (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.
* Project Schedule (Gantt chart or similar): The Applicant should provide a detailed schedule for the entire project, including task and subtask durations, and milestones.
* Project Management: The Applicant should discuss the team’s proposed management plan, including the following:
* The overall approach to and organization for managing the work, including plans to collaborate with other community members and the steps to share lessons learned and ensure replicability in other communities
* The roles of each Project Team member
* Any critical handoffs/interdependencies among Project Team members
* The technical and management aspects of the management plan, including systems and practices, such as financial and project management practices
* The approach to project risk management
* A description of how project changes will be handled
* If applicable, the approach to Quality Assurance/Control
* How communications will be maintained among Project Team members
 |

1. Statement of Commitment and Cost Sharing File (Required)

A Statement of Commitment by the Applicant and all other project participants (excluding vendors) is required as part of the application.

Statements of Commitment by the Applicant must not only authorize the submittal of the application, but must also include:

1. A commitment to the proposed project;
2. A description of building(s) and/or land proposed for use as part of the proposed project;
3. Identify whether the building(s) and/or land is held in Trust, held in fee simple (owned) and by whom, or under a long-term lease (at least 20 years) and from whom;
4. If the owner or lease holder is not the eligible entity, a commitment in writing from the building and/or land owner or lease holder authorizing the Applicant’s use of those building(s) and/or land for the proposed project must be provided; and
5. If the Applicant will not own or control the project, a description of the benefits gained under the proposed financing structure should be provided.

**Letters of support by anyone not participating in the proposed project are not required or desired, and should not be provided as part of the application.**

The Statements of Commitment by any entity contributing cost share must include statements of cost share commitment. Statements of cost share commitment should include a detailed estimate of the cash value (basis of and the nature of) of all contributions to the project by project participants.

Note that "Cost Sharing" is not limited to cash investment. In-kind contributions (e.g., contribution of time, services, or property; donated equipment, buildings, or land; donated supplies; or unrecovered indirect costs) incurred as part of the project may be considered as all or part of the cost share.

Only cost share contributions made during the period of the project can be considered; therefore, only the “lease value” of buildings and land for the period of the proposed project can be considered, not the total value of those assets.

The "Cost Sharing" definition is contained in 2 CFR 200.306 as amended by 2 CFR 910.130, and OMB Circular A-110. Foregone fee or profit by the Applicant shall not be considered Cost Sharing under any resulting Award.

Reimbursement of actual costs will only include those costs that are reasonable, allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in FAR Part 31 for For-Profit entities; and 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.

Funding for this FOA comes from both EERE and IE. A portion of the funding is only available to applicants who are eligible for IE funding, specifically Indian tribes (including Alaska Native villages, regional or village corporations) or Tribal Energy Resource Development Organizations, as those terms are more fully defined in Section III. To qualify for this portion of the DOE funding, (1) applicants (and/or a community partner) must be eligible to receive IE funding; and (2) the proposed project or a specific subset of activities under the project are on Indian Land, as that term is more fully defined in Section III.

Applicants who qualify for IE funding must also provide evidence to support their representations of #1 and #2 above as part of the Statements of Commitment and Cost Sharing File, Section IV.C. For Indian tribes (including Alaska Native villages), that evidence must be in the form of a Tribal Council Resolution. For Alaska regional or village corporations, the evidence should be in the form of a Board Resolution (preferred) or declaration signed by an authorized representative of the regional or village corporation. For Tribal Energy Resource Development Organizations, evidence should be in the form of a declaration signed by an authorized representative of that organization. This evidence should not only address eligibility for IE funding, but also support for the project and the commitment of any cost share.

See Section III.B for additional information on Cost Share. Save this information in a single PDF file titled “ControlNumber\_LeadOrganization\_Commitments”.

1. 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”.

1. Budget Justification Workbook (EERE 335)

Applicants are required to complete the Budget Justification Workbook. This form is available on EERE Exchange at <https://eere-Exchange.energy.gov/>. Prime Recipients must complete each tab of the Budget Justification Workbook for the project as a whole, including all work to be performed by the Prime Recipient and its Subrecipients and Contractors, and provide all requested documentation (e.g., a Federally-approved rate agreement, vendor quotes). Applicants should include costs associated with required annual audits and incurred cost proposals in their proposed budget documents. The “Instructions and Summary” included with the Budget Justification Workbook will auto-populate as the applicant enters information into the Workbook. Applicants must carefully read the “Instructions and Summary” tab provided within the Budget Justification Workbook. Save the Budget Justification Workbook in a single Microsoft Excel file using the following convention for the title “ControlNumber\_LeadOrganization\_Budget\_Justification”.

1. Summary/Abstract for Public Release

Applicants are required to submit a one-page summary/abstract of their project. The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/project lead(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (e.g., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as DOE may make it available to the public after selections are made. The project summary must not exceed 1 page when printed using standard 8.5 x 11 paper with 1” margins (top, bottom, left, and right) with font not smaller than 12 point. Save the Summary for Public Release in a single PDF file using the following convention for the title “ControlNumber\_LeadOrganization\_Summary”.

1. Summary Slide

Applicants are required to provide a single PowerPoint slide summarizing the proposed project. The slide must be submitted in Microsoft PowerPoint format. This slide is used during the evaluation process. Save the Summary Slide in a single file using the following convention for the title “ControlNumber\_LeadOrganization\_Slide”.

The Summary Slide template requires the following information:

* A project summary;
* A description of the project’s impact;
* Proposed project goals;
* Any key graphics (illustrations, charts and/or tables);
* The project’s key idea/takeaway;
* Project title, Prime Recipient, Principal Investigator and Key Participant information; and
* Requested DOE funds and proposed applicant cost share.
1. Subaward Budget Justification (EERE 335) (if applicable)

Applicants must provide a separate budget justification, EERE 335 (i.e., budget justification for each budget year and a cumulative budget) for each subawardee that is expected to perform work estimated to be more than $250,000 or 25 percent of the total work effort (whichever is less). The budget justification must include the same justification information described in the “Budget Justification” section above. Save each subaward budget justification in a Microsoft Excel file using the following convention for the title “ControlNumber\_LeadOrganization\_Subawardee\_Budget\_Justification”.

1. Budget for DOE/NNSA FFRDC (if applicable)

If a DOE/NNSA FFRDC contractor, such as a National Laboratory, is to perform a portion of the work, the applicant must provide a DOE Field Work Proposal (FWP) in accordance with the requirements in DOE Order 412.1, Work Authorization System. DOE Order 412.1 and DOE O 412.1 (Field Work Proposal form) area available at the following link, under “DOE Budget Forms”: <https://www.directives.doe.gov/directives/0412.1-BOrder-a/view>. Save the FWP in a single PDF file using the following convention for the title “ControlNumber\_LeadOrganization\_FWP”.

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

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

1. SF-LLL: Disclosure of Lobbying Activities

Prime Recipients and Subrecipients may not use any Federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters.

Prime Recipients and Subrecipients are required to complete and submit SF-LLL, “Disclosure of Lobbying Activities” (<http://www.whitehouse.gov/sites/default/files/omb/grants/sflllin.pdf>) if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence any of the following in connection with your application:

* An officer or employee of any Federal agency;
* A Member of Congress;
* An officer or employee of Congress; or
* An employee of a Member of Congress.

Save the SF-LLL in a single PDF file using the following convention for the title “ControlNumber\_LeadOrganization\_SF-LLL”.

1. Waiver Requests: Performance of Work in the United States (if applicable)

**Performance of Work in the United States**

As set forth in Section IV.H.iii, all work performed by Subrecipients as a result of this FOA must be performed in the United States. This requirement does not apply to the purchase of supplies and equipment, so a waiver is not required for foreign purchases of these items. However, the Prime Recipient should make every effort to purchase supplies and equipment within the United States. Appendix B lists the necessary information that must be included in a request to waive the Performance of Work in the United States requirement.

1. Data Management Plan

Applicants whose Full Applications are selected for award negotiations will be required to submit a Data Management Plan during the award negotiations phase. The Data Management Plan is a document that outlines the proposed plan for data sharing or preservation. Submission of this plan is required, and failure to submit the plan may result in the termination of award negotiations. As a courtesy, guidance for preparing a Data Management Plan is provided in Appendix C of the FOA.

* 1. Post-Award Information Requests

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

* Indirect cost information
* Other budget information
* Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
* Representation of Limited Rights Data and Restricted Software, if applicable
* Environmental Questionnaire
* Data Management Plan
	1. Dun and Bradstreet Universal Numbering System Number and System for Award Management

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 System for Award Management (SAM) at <https://www.sam.gov> before submitting its application; (2) provide a valid Dun and Bradstreet Universal Numbering System (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 may 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.

* 1. Submission Dates and Times

Full Applications must be submitted in EERE Exchange no later than **5 p.m. Eastern** on the dates provided on the cover page of this FOA.

* 1. Intergovernmental Review

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

* 1. Funding Restrictions
1. Allowable Costs

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

Refer to the following applicable Federal cost principles for more information:

* FAR Part 31 for For-Profit entities; and
* 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.
1. Pre-Award Costs

Selectees must request prior written approval to charge pre-award costs. Pre-award costs are those incurred prior to the effective date of the Federal award directly pursuant to the negotiation and in anticipation of the Federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the Federal award and **only** with the written approval of the Federal awarding agency, through the Contracting Officer assigned to the award.

Pre-award costs cannot be incurred prior to the Selection Official signing the Selection Statement and Analysis. Pre-award costs can only be incurred if such costs would be reimbursable under the agreement if incurred after award.

Pre-Award expenditures are made at the Selectee’s risk; DOE is not obligated to reimburse costs: (1) in the absence of appropriations; (2) if an award is not made; or (3) if an award is made for a lesser amount than the Selectee anticipated.

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

DOE’s decision whether and how to distribute Federal funds under this FOA is subject to NEPA. Applicants should carefully consider and should seek legal counsel or other expert advice before taking any action related to the proposed project that would have an adverse effect on the environment or limit the choice of reasonable alternatives prior to DOE completing the NEPA review process.

DOE does not guarantee or assume any obligation to reimburse costs where the Prime Recipient incurred the costs prior to receiving written authorization from the Contracting Officer. If the applicant elects to undertake activities that may have an adverse effect on the environment or limit the choice of reasonable alternatives prior to receiving such written authorization from the Contracting Officer, the applicant is doing so at risk of not receiving Federal funding and such costs may not be recognized as allowable cost share. Likewise, if a project is selected for negotiation of award, and the Prime Recipient elects to undertake activities that are not authorized for Federal funding by the Contracting Officer in advance of DOE completing a NEPA review, the Prime Recipient is doing so at risk of not receiving Federal Funding and such costs may not be recognized as allowable cost share. Nothing contained in the pre-award cost reimbursement regulations or any pre-award costs approval letter from the Contracting Officer override these NEPA requirements to obtain the written authorization from the Contracting Officer prior to taking any action that may have an adverse effect on the environment or limit the choice of reasonable alternatives.

1. Performance of Work in the United States
2. **Requirement**

All work performed as a result of this FOA must be performed in the United States. This requirement does not apply to the purchase of supplies and equipment; however, the Prime Recipient should make every effort to purchase supplies and equipment within the United States. The Prime Recipient must flow down this requirement to its Subrecipients.

1. **Failure to Comply**

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

1. **Waiver**

There may be limited circumstances where it is in the interest of the project to perform a portion of the work outside the United States. To seek a waiver of the Performance of Work in the United States requirement, the applicant must submit a written waiver request to DOE. Appendix B lists the necessary information that must be included in a request to waive the Performance of Work in the United States requirement.

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

1. Construction

DOE generally does not fund projects that involve major construction (i.e., construction of new buildings, major renovations, or additions to existing buildings). Note that installation of energy efficiency and/or clean systems is not considered major construction. Recipients are required to obtain written authorization from the Contracting Officer before incurring any major construction costs.

1. Foreign Travel

Foreign travel costs are not allowable under this FOA.

1. Equipment and Supplies

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

Property disposition will be required at the end of a project if the current fair market value of property exceeds $5,000. The rules for property disposition are set forth in 2 CFR 200.310 – 200.316 as amended by 2 CFR 910.360.

1. Lobbying

Recipients and Subrecipients may not use any Federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters.

Recipients and Subrecipients are required to complete and submit SF-LLL, “Disclosure of Lobbying Activities” (<http://www.whitehouse.gov/sites/default/files/omb/grants/sflllin.pdf>) if any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence any of the following in connection with your application:

* An officer or employee of any Federal agency;
* A Member of Congress;
* An officer or employee of Congress; or
* An employee of a Member of Congress.
1. Risk Assessment

Prior to making a Federal award, the DOE is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 to review information available through any OMB-designated repositories of government-wide eligibility qualification or financial integrity information, such as SAM Exclusions and “Do Not Pay.”

In addition, DOE evaluates the risk(s) posed by applicants before they receive Federal awards. This evaluation may consider: results of the evaluation of the applicant's eligibility; the quality of the application; financial stability; quality of management systems and ability to meet the management standards prescribed in this part; history of performance; reports and findings from audits; and the applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.

In addition to this review, DOE must comply with the guidelines on government-wide suspension and debarment in 2 CFR 180, and must require non-Federal entities to comply with these provisions. These provisions restrict Federal awards, subawards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

1. Application Review Information
	1. Technical Review Criteria
2. Full Applications

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

**Criterion 1: Project Merit, Innovation, and Impact (50%)**

**Project Merit and Innovation**

* Extent to which the proposed project is innovative over the current practice and has the potential to significantly reduce energy use in the community
* Quality of the analysis of the current state of the community’s energy use
* Extent to which the application specifically and convincingly demonstrates how the applicant will advance the community’s energy reduction goals
* Sufficiency of detail in the application to assess whether the proposed work is viable, meritorious and impactful, including relevant data, plans, and analysis that supports the viability of the proposed work

**Project Impact**

* Degree to which the project supports the community’s pledge to reduce energy use by 15% by 2020
* The potential of the project to impact and drive replication in other Alaskan and arctic communities, including consideration of plans to share data gathered and lessons learned
* The potential for the project impacts to be sustained and maintained beyond the completion of the project has been explained. This includes planned activities to address maintainance or confirmation that community has the expertise and/or training to maintain projects that are implemented in this FOA.

**Criterion 2: Project Approach and Workplan (25%)**

**Project Approach and Workplan**

* Degree to which the project approach is clearly described
* Degree to which the project approach is realistic and appropriate to the community relative to community energy use, economic, cultural and climate considerations
* Degree to which the project task descriptions are clear, detailed, and reasonable, resulting in a high likelihood that the proposed Workplan will succeed in meeting the project goals

**Identification and mitigation of Risks**

* Discussion and demonstrated understanding of the potential risk areas involved in achiving the proposed outcomes, and the quality of the mitigation strategies to address them

**Baseline, Metrics, and Deliverables**

* The level of clarity in the definition of the energy baseline, metrics, and milestones, including a clear description of how measurements will be made and reported

**Criterion 3: Qualifications, Capabilities and Partnerships (25%)**

* Appropriateness of the qualifications, capabilities, relevant expertise, and time commitment of the project team, key personnel and partners, and the degree to which the roles of the team members are clearly identified
* The ability of the proposed team to address all aspects of the proposed work with a high probability of success
* Quality of the management approach for the successful implementation of the proposed project
* Level of commitment by project participants as evidenced by letter(s) of commitment
* Reasonableness of budget and spend plan for proposed project and objectives.
	1. Standards for Application Evaluation

Applications that are determined to be eligible will be evaluated in accordance with this FOA, by the standards set forth in EERE’s Notice of Objective Merit Review Procedure (76 Fed. Reg. 17846, March 31, 2011) and the guidance provided in the “Department of Energy Merit Review Guide for Financial Assistance,” which is available at: <http://energy.gov/management/downloads/merit-review-guide-financial-assistance>.

* 1. Other Selection Factors
1. Program Policy Factors

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

* The degree to which the proposed project, including proposed cost shares, optimizes the use of available DOE funding to achieve programmatic objectives;
* Technical, organizational, and environmental risks associated with the project;
* Whether the proposed project is likely to provide local employment opportunities;
* Geographic diversity
	1. Evaluation and Selection Process
1. Overview

The evaluation process consists of an initial eligibility review and a thorough comprehensive review. Rigorous reviews of eligible submissions are conducted by reviewers that are experts in the subject matter of the FOA. Ultimately, the Selection Official considers the recommendations of the reviewers, along with other considerations such as program policy factors, in determining which applications to select.

1. Pre-Selection Clarification

DOE may determine that pre-selection clarifications are necessary from one or more applicants. Pre-selection clarifications are distinct from and less formal than pre-selection interviews. These pre-selection clarifications will solely be for the purposes of clarifying the application, and will be limited to information already provided in the application documentation. The pre-selection clarifications may occur before, during or after the merit review evaluation process. Information provided by an applicant that is not necessary to address the pre-selection clarification question will not be reviewed or considered. Typically, a pre-selection clarification will be carried out through either written responses to DOE’s written clarification questions or video or conference calls with DOE representatives.

The information provided by applicants to DOE through pre-selection clarifications is incorporated in their applications and contributes to the merit review evaluation and DOE’s selection decisions. If DOE 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.

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

1. Recipient Integrity and Performance Matters

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

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

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

1. Selection

The Selection Official may consider the technical merit, the Federal Consensus Board’s recommendations, program policy factors, and the amount of funds available in arriving at selections for this FOA.

* 1. Anticipated Notice of Selection and Award Dates

DOE anticipates notifying applicants selected for negotiation of award by October/November 2016 and making awards by November 2016-January 2017.

1. Award Administration Information
	1. Award Notices
2. Ineligible Submissions

Ineligible Full Applications will not be further reviewed or considered for award. The Contracting Officer will send a notification letter by email to the technical and administrative points of contact designated by the applicant in EERE Exchange. The notification letter will state the basis upon which the Full Application is ineligible and not considered for further review.

1. Full Application Notifications

DOE will notify applicants of its determination via a notification letter by email to the technical and administrative points of contact designated by the applicant in EERE Exchange. The notification letter will inform the applicant whether or not its Full Application was selected for award negotiations. Alternatively, DOE may notify one or more applicants that a final selection determination on particular Full Applications will be made at a later date, subject to the availability of funds or other factors.

1. Successful Applicants

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

The award negotiation process will take approximately 90 days. Applicants must designate a primary and a backup point-of-contact in EERE Exchange with whom DOE 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, DOE will cancel the award negotiations and rescind the Selection. DOE reserves the right to terminate award negotiations at any time for any reason.

Please refer to Section IV.J.2 of the FOA for guidance on pre-award costs.

1. Alternate Selection Determinations

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

1. Unsuccessful Applicants

DOE 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.

* 1. Administrative and National Policy Requirements
1. Registration Requirements

There are several one-time actions before submitting an application in response to this FOA, and it is vital that applicants address these items as soon as possible. Some may take several weeks, and failure to complete them could interfere with an applicant’s ability to apply to this FOA, or to meet the negotiation deadlines and receive an award if the application is selected. These requirements are as follows:

* + - 1. **EERE Exchange**

Register and create an account on EERE Exchange at <https://eere-Exchange.energy.gov>.

This account will then allow the user to register for any open EERE FOAs that are currently in EERE Exchange. It is recommended that each organization or business unit, whether acting as a team or a single entity, use only one account as the contact point for each submission. Applicants should also designate backup points of contact so they may be easily contacted if deemed necessary. **This step is required to apply to this FOA.**

The EERE Exchange registration does not have a delay; however, **the remaining registration requirements below could take several weeks to process and are necessary for a potential applicant to receive an award under this FOA**.

* + - 1. **DUNS Number**

Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number (including the plus 4 extension, if applicable) at <http://fedgov.dnb.com/webform>.

* + - 1. **System for Award Management**

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

* + - 1. **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 <http://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf>.

* + - 1. **Grants.gov**

Register in Grants.gov (<http://www.grants.gov>) to receive automatic updates when Amendments to this FOA are posted. However, please note that Full Applications will not be accepted through Grants.gov.

* + - 1. **Electronic Authorization of Applications and Award Documents**

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

1. Award Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR Part 200 as amended by 2 CFR Part 910.

1. Foreign National Access to DOE Sites

All applicants that ultimately enter into an award resulting from this FOA will be subject to the following requirement concerning foreign national involvement. Upon DOE’s request, Prime Recipients must provide information to facilitate DOE’s responsibilities associated with foreign national access to DOE sites, information, technologies, and equipment. A foreign national is defined as any person who was born outside the jurisdiction of the United States, is a citizen of a foreign government, and has not been naturalized under U.S. law. If the Prime Recipient or Subrecipients, contractors or vendors under the award, anticipate utilizing a foreign national person in the performance of an award, the Prime Recipient is responsible for providing to the Contracting Officer specific information of the foreign national(s) to satisfy compliance with all of the requirements for access approval.

1. Subaward and Executive Reporting

Additional administrative requirements necessary for DOE grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR Part 170. Prime Recipients must register with the new FFATA Subaward Reporting System database and report the required data on their first tier Subrecipients. Prime Recipients must report the executive compensation for their own executives as part of their registration profile in SAM.

1. 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>.

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

DOE’s decision whether and how to distribute federal funds under this FOA is subject to the National Environmental Policy Act (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 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.

1. Applicant Representations and Certifications
	* + 1. **Lobbying Restrictions**

By accepting funds under this award, the Prime Recipient agrees that none of the funds obligated on the award shall be expended, directly or indirectly, to influence Congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. §1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

* + - 1. **Corporate Felony Conviction and Federal Tax Liability Representations**

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

1. It is **not** a corporation that has been convicted of a felony criminal violation under any Federal law within the preceding 24 months, and
2. It is **not** a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations the following definitions apply:

A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

* + - 1. **Nondisclosure and Confidentiality Agreements Representations**

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

1. It **does not and will not** require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contactors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.
2. It **does not and will not** use any Federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:
3. *‘‘These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.’’*
4. The limitation above shall not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.
5. Notwithstanding the provision listed in paragraph (a), a nondisclosure or confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States Government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States Government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosures to Congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.
6. Statement of Federal Stewardship

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

1. Statement of Substantial Involvement

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

1. DOE shares responsibility with the recipient for the management, control, direction, and performance of the Project.
2. DOE may intervene in the conduct or performance of work under this Award for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities.
3. DOE participates in major project decision-making processes.

1. Intellectual Property Provisions

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at <http://www1.eere.energy.gov/financing/resources.html>.

1. Reporting

Reporting requirements are identified on the Federal Assistance Reporting Checklist, attached to the award agreement. The checklist can be accessed at <http://www1.eere.energy.gov/financing/resources.html>.

1. Conference Spending

The recipient shall not expend **any** funds on a conference not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded that would defray the cost to the United States Government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the United States Government would otherwise exceed $20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

1. Questions/Agency Contacts

Upon the issuance of a FOA, DOE personnel are prohibited from communicating (in writing or otherwise) with applicants regarding the FOA except through the established question and answer process as described below. Specifically, questions regarding the content of this FOA must be submitted to: AlaskaCompetition@hq.doe.gov. Questions must be submitted not later than 3 business days prior to the application due date and time.

All questions and answers related to this FOA will be posted on EERE Exchange at: <https://eere-exchange.energy.gov>. **Please note that you must first select this specific FOA Number in order to view the questions and answers specific to this FOA**. DOE 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.

1. Other Information
	1. FOA Modifications

Amendments to this FOA will be posted on the EERE Exchange website and the Grants.gov system. However, you will only receive an email when an amendment or a FOA is posted on these sites if you register for email notifications for this FOA in Grants.gov. DOE recommends that you register as soon after the release of the FOA as possible to ensure you receive timely notice of any amendments or other FOAs.

* 1. Informational Conference Call

DOE will conduct one informational conference call during the FOA process. It will be held after the initial FOA release.

Attendance is not mandatory and will not positively or negatively impact the overall review of any applicant submissions. As the conference call will be open to all applicants who wish to participate, applicants should refrain from asking questions or communicating information that would reveal confidential and/or proprietary information specific to their project. Specific dates for the conference call can be found on the cover page of the FOA.

* 1. Government Right to Reject or Negotiate

DOE reserves the right, without qualification, to reject any or all applications received in response to this FOA and to select any application, in whole or in part, as a basis for negotiation and/or award.

* 1. 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.

* 1. Treatment of Application Information

In general, DOE will only use data and other information contained in applications for evaluation purposes, unless such information is generally available to the public or is already the property of the Government.

Applicants should not include trade secrets or commercial or financial information that is privileged or confidential in their application unless such information is necessary to convey an understanding of the proposed project or to comply with a requirement in the FOA.

The use of protective markings such as “Do Not Publicly Release – Trade Secret” or “Do Not Publicly Release – Confidential Business Information” is encouraged. However, applicants should be aware that the use of protective markings is not dispositive as to whether information will be publicly released pursuant to the Freedom of Information Act, 5 U.S.C. §552, et. seq., as amended by the OPEN Government Act of 2007, Pub. L. No. 110-175. (See Section I of this document, “Notice of Potential Disclosure Under the Freedom of Information Act (FOIA)” for additional information regarding the public release of information under the Freedom of Information Act.

Applicants are encouraged to employ protective markings in the following manner:

The cover sheet of the application must be marked as follows and identify the specific pages containing trade secrets or commercial or financial information that is privileged or confidential:

Notice of Restriction on Disclosure and Use of Data:

Pages [list applicable pages] of this document may contain trade secrets or commercial or financial information that is privileged or confidential, and 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 trade secrets or commercial or financial information that is privileged must be marked as follows: “May contain trade secrets or commercial or financial information that is privileged or confidential and exempt from public disclosure.”

In addition, each line or paragraph containing trade secrets or commercial or financial information that is privileged or confidential must be enclosed in brackets.

* 1. Evaluation and Administration by Non-Federal Personnel

In conducting the merit review evaluation and Peer Review, the Government may seek the advice of qualified non Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

* 1. Notice Regarding Eligible/Ineligible Activities

Eligible activities under this FOA include those which are related to the reduction of energy use, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

* 1. Notice of Right to Conduct a Review of Financial Capability

DOE reserves the right to conduct an independent third party review of financial capability for applicants that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

* 1. Notice of Potential Disclosure Under Freedom of Information Act (FOIA)

Under the Freedom of Information Act, (FOIA), 5 U.S.C. §552, et. seq., as amended by the OPEN Government Act of 2007, Pub. L. No. 110-175, any information received from the Applicant is considered to be an agency record, and as such, subject to public release under FOIA. The purpose of the FOIA is to afford the public the right to request and receive agency records unless those agency records are protected from disclosure under one or more of the nine FOIA exemptions. Decisions to disclose or withhold information received from the Applicant are based upon the applicability of one or more of the nine FOIA exemptions, not on the existence or nonexistence of protective markings or designations. Only the agency’s designated FOIA Officer may determine if information received from the Applicant may be withheld pursuant to one of the nine FOIA exemptions. All FOIA requests received by DOE are processed in accordance with 10 C.F.R. Part 1004.

* 1. 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.
	1. Retention of Submissions

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

* 1. 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.

* 1. Copyright

The Prime Recipient and Subrecipients may assert copyright in copyrightable works, such as software, first produced under the award without EERE approval. When copyright is asserted, the Government retains a paid-up nonexclusive, irrevocable worldwide license to reproduce, prepare derivative works, distribute copies to the public, and to perform publicly and display publicly the copyrighted work. This license extends to contractors and others doing work on behalf of the Government.

* 1. Personally Identifiable Information (PII)

All information provided by the Applicant must to the greatest extent possible exclude Personally Identifiable Information (PII). The term “personally identifiable information” refers to information which can be used to distinguish or trace an individual's identity, such as their name, social security number, biometric records, etc. alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother’s maiden name, etc. (See OMB Memordum M-07-16 dated May 22, 2007, found at: <https://www.whitehouse.gov/sites/default/files/omb/memoranda/fy2007/m07-16.pdf>

By way of example, Applicants must screen resumes to ensure that they do not contain PII such as personal addresses, phone/cell numbers, personal emails and/or SSNs. In short, if the PII is not essential to the application, it should not be in the application.

* 1. Annual Compliance Audits

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

If an educational institution, non-profit organization, or state/local government is a Prime Recipient or Subrecipient and has expended $750,000 or more of Federal funds during the non-Federal entity's fiscal year, then a single or program-specific audit is required.  For additional information, please refer to 2 C.F.R. § 200.501 and Subpart F.

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

Appendix A – Cost Share Information

**Cost Sharing or Cost Matching**

The terms “cost sharing” and “cost matching” are often used synonymously. Even the DOE Financial Assistance Regulations, 2 CFR 200.306, use both of the terms in the titles specific to regulations applicable to cost sharing. DOE almost always uses the term “cost sharing,” as it conveys the concept that non-federal share is calculated as a percentage of the Total Project Cost. An exception is the State Energy Program Regulation, 10 CFR 420.12, State Matching Contribution. Here “cost matching” for the non-federal share is calculated as a percentage of the Federal funds only, rather than the Total Project Cost.

**How Cost Sharing Is Calculated**

As stated above, cost sharing is calculated as a percentage of the Total Project Cost. FFRDC costs must be included in Total Project Costs. Following is an example of how to calculate cost sharing amounts for a project with $1,000,000 in federal funds with a minimum 20% non-federal cost sharing requirement:

* Formula: Federal share ($) divided by Federal share (%) = Total Project Cost

Example: $1,000,000 divided by 80% = $1,250,000

* Formula: Total Project Cost ($) minus Federal share ($) = Non-federal share ($)

Example: $1,250,000 minus $1,000,000 = $250,000

* Formula: Non-federal share ($) divided by Total Project Cost ($) = Non-federal share (%)

Example: $250,000 divided by $1,250,000 = 20%

**What Qualifies For Cost Sharing**

While it is not possible to explain what specifically qualifies for cost sharing in one or even a couple of sentences, in general, if a cost is allowable under the cost principles applicable to the organization incurring the cost and is eligible for reimbursement under an DOE grant or cooperative agreement, then it is allowable as cost share. Conversely, if the cost is not allowable under the cost principles and not eligible for reimbursement, then it is not allowable as cost share. In addition, costs may not be counted as cost share if they are paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing.

The rules associated with what is allowable as cost share are specific to the type of organization that is receiving funds under the grant or cooperative agreement, though are generally the same for all types of entities. The specific rules applicable to:

* FAR Part 31 for For-Profit entities, (48 CFR Part 31); and
* 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.

In addition to the regulations referenced above, other factors may also come into play such as timing of donations and length of the project period. For example, the value of ten years of donated maintenance on a project that has a project period of five years would not be fully allowable as cost share. Only the value for the five years of donated maintenance that corresponds to the project period is allowable and may be counted as cost share.

Additionally, DOE generally does not allow pre-award costs for either cost share or reimbursement when these costs precede the signing of the appropriation bill that funds the award. In the case of a competitive award, DOE generally does not allow pre-award costs prior to the signing of the Selection Statement by the DOE Selection Official.

**DOE Financial Assistance Rules 2 CFR Part 200 as amended by 2 CFR Part 910**

As stated above, the rules associated with what is allowable cost share are generally the same for all types of organizations. Following are the rules found to be common, but again, the specifics are contained in the regulations and cost principles specific to the type of entity:

1. Acceptable contributions. All contributions, including cash contributions and third party in-kind contributions, must be accepted as part of the Prime Recipient's cost sharing if such contributions meet all of the following criteria:
2. They are verifiable from the recipient's records.
3. They are not included as contributions for any other federally-assisted project or program.
4. They are necessary and reasonable for the proper and efficient accomplishment of project or program objectives.
5. They are allowable under the cost principles applicable to the type of entity incurring the cost as follows:
6. For-profit organizations, allowability of costs incurred by for-profit organizations and those nonprofit organizations listed in Attachment C to OMB Circular A–122 is determined in accordance with the for-profit cost principles in 48 CFR Part 31 in the Federal Acquisition Regulation, except that patent prosecution costs are not allowable unless specifically authorized in the award document. (v) Commercial Organizations. FAR Subpart 31.2—Contracts with Commercial Organizations
7. Other types of organizations. For all other non-federal entities, allowability of costs is determined in accordance with 2 CFR Part 200 Subpart E.
8. They are not paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing or matching.
9. They are provided for in the approved budget.
10. Valuing and documenting contributions
11. Valuing recipient's property or services of recipient's employees. Values are established in accordance with the applicable cost principles, which mean that amounts chargeable to the project are determined on the basis of costs incurred. For real property or equipment used on the project, the cost principles authorize depreciation or use charges. The full value of the item may be applied when the item will be consumed in the performance of the award or fully depreciated by the end of the award. In cases where the full value of a donated capital asset is to be applied as cost sharing or matching, that full value must be the lesser or the following:
12. The certified value of the remaining life of the property recorded in the recipient's accounting records at the time of donation; or
13. The current fair market value. If there is sufficient justification, the Contracting Officer may approve the use of the current fair market value of the donated property, even if it exceeds the certified value at the time of donation to the project. The Contracting Officer may accept the use of any reasonable basis for determining the fair market value of the property.
14. Valuing services of others' employees. If an employer other than the recipient furnishes the services of an employee, those services are valued at the employee's regular rate of pay, provided these services are for the same skill level for which the employee is normally paid.
15. Valuing volunteer services. Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as cost sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for volunteer services must be consistent with those paid for similar work in the recipient's organization. In those markets in which the required skills are not found in the recipient organization, rates must be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.
16. Valuing property donated by third parties.
17. Donated supplies may include such items as office supplies or laboratory supplies. Value assessed to donated supplies included in the cost sharing or matching share must be reasonable and must not exceed the fair market value of the property at the time of the donation.
18. Normally only depreciation or use charges for equipment and buildings may be applied. However, the fair rental charges for land and the full value of equipment or other capital assets may be allowed, when they will be consumed in the performance of the award or fully depreciated by the end of the award, provided that the Contracting Officer has approved the charges. When use charges are applied, values must be determined in accordance with the usual accounting policies of the recipient, with the following qualifications:
19. The value of donated space must not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately-owned building in the same locality.
20. The value of loaned equipment must not exceed its fair rental value.
21. Documentation. The following requirements pertain to the recipient's supporting records for in-kind contributions from third parties:
22. Volunteer services must be documented and, to the extent feasible, supported by the same methods used by the recipient for its own employees.
23. The basis for determining the valuation for personal services and property must be documented.

Appendix B – Waiver Request: Performance of Work in the United States

Waiver for Performance of Work in the United States

As set forth in Section IV.J.3, all work under DOE funding agreements must be performed in the United States. This requirement does not apply to the purchase of supplies and equipment, so a waiver is not required for foreign purchases of these items. However, the Prime Recipient should make every effort to purchase supplies and equipment within the United States. There may be limited circumstances where it is in the interest of the project to perform a portion of the work outside the United States. To seek a waiver of the Performance of Work in the United States requirement, the applicant must submit an explicit waiver request in the Full Application. A separate waiver request must be submitted for each entity proposing performance of work outside of the United States.

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

* The rationale for performing the work outside the U.S. (“foreign work”);
* A description of the work proposed to be performed outside the U.S.;
* An explanation as to how the foreign work is essential to the project;
* A description of the anticipated benefits to be realized by the proposed foreign work and the anticipated contributions to the US economy;
	+ The associated benefits to be realized and the contribution to the project from the foreign work;
	+ How the foreign work will benefit U.S. research, development and manufacturing, including contributions to employment in the U.S. and growth in new markets and jobs in the U.S.;
	+ How the foreign work will promote domestic American manufacturing of products and/or services;
* A description of the likelihood of Intellectual Property (IP) being created from the foreign work and the treatment of any such IP;
* The total estimated cost (DOE and Recipient cost share) of the proposed foreign work;
* The countries in which the foreign work is proposed to be performed; and
* The name of the entity that would perform the foreign work.

DOE may require additional information before considering the waiver request.

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

Appendix C - Data Management Plan

A data management plan (“DMP”) explains how data generated in the course of the work performed under a DOE award will be shared and preserved or, when justified, explains why data sharing or preservation is not possible or appropriate. Data collection and sharing is a goal of the Remote Alaskan Communities Energy Efficiency Competition, and to ensure that projects will be able to effectively collect and share data, a DMP will be required. If selected, the applicant will be required be required to submit a Data Management Plan during the award negotiations phase. As a courtesy, guidance for preparing a Data Management Plan is provided here.

Data is the recorded factual information resulting from a project. Data also do not include:

(A) Trade secrets, commercial information, materials necessary to be held confidential by a researcher until they are published, or similar information which is protected under law; and

(B) Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study.

**DMP Requirements**

If the project will be publishing results in scientific publications, consult the DMP guidelines found at <http://www1.eere.energy.gov/financing/resources.html>**.**

The DMP must protect confidentiality, personal privacy, Personally Identifiable Information, and U.S. national, homeland, and economic security; recognize proprietary interests, business confidential information, and intellectual property rights; avoid significant negative impact on innovation, and U.S. competitiveness; and otherwise be consistent with all laws (i.e., export control laws), and DOE regulations, orders, and policies.

The DMP should address the following questions:

* What types of data will be collected?
* How will the data be collected? What are the sources? How often will they be collected?
* How will the data be recorded and what formats will be used?
* What data may be made publically available? How will this be done (for example, will data be submitted to a public database?)
* If appropriate, how the project will protect confidentiality, personal privacy, Personally Identifiable Information, and U.S. national, homeland, and economic security; recognize proprietary interests, business confidential information, and intellectual property rights; and avoid significant negative impact on innovation, and U.S. competitiveness.

**Suggested data, formats and databases**

Though all projects submitted to the RACEE FOA will be different, the following are examples of data types, existing collection/reporting formats and databased that may be applicable. It is suggested that projects incorporate any applicable items listed below.

**Data Performance Metrics**

* Energy saved: The “energy saved” data is based on measuring energy use before the project, implementing the project, and then measuring energy usage after the project, where the difference being the amount of energy saved. Other factors that may influence energy usage should be considered and incorporated into this data, for example, if the energy usage declined because building occupancy declined, this should be noted. This data should not be estimated. Both the baseline energy use and the energy use after the project implementation should be reported.
* Fuel saved: The “fuel saved” data is based on measuring fuel use before the project, implementing the project, and then measuring fuel usage after the project, where the difference is the amount of fuel saved. Other factors that may influence fuel usage should be considered and incorporated into this data. For example, if the fuel usage declined because building occupancy declined, this should be noted and incorporated into the projected savings, or identified as part of the actual results. This data should not be estimated. Both the baseline fuel use and the fuel use after the project implementation should be reported.
* Cost savings: Cost savings data should be calculated based on the energy and fuel savings and reported on a frequency that works for the community, for example, such as monthly or annually. This should also provide data on the return on investment for the retrofit activities undertaken.
* Amount of electricity renewable energy generated from renewable sources: or energy displaced (please note that RE that adds additional generating capacity to the existing capacity is not eligible for this FOA. Only integrated RE that reduces building energy use or replaces existing, less efficient capacity is an eligible use of funds for this FOA): Data for renewable energy integration systems should measure actual kwh energy produced (kWh) based on the measured energy generation data collection, not the nameplate generating capacity. The energy displaced energy use should also be reported based on the actual amount of energy displaced (e.g., for a biomass-fired CHP system, the reduction in fuel consumption for based on both heating the heat and electricity generation generated).
* Criteria air pollutants reduced: calculations should align with state air quality planning calculations on fuel usage reductions.

**Process Metrics**

* Audits performed
* Buildings retrofitted
* Amount of electricity generated from other renewable sources
* Amount of electricity generated from photovoltaic systems
* Amount of electricity generated from wind systems
* Biofuel systems installed
* Biomass (non transport) systems installed
* Building code adoption
* Building energy audits, by sector
* Buildings retrofitted, by sector
* Energy Efficiency and Conservation strategies completed
* Energy efficiency standards established or improved
* Energy management staff hired
* Energy management systems installed, by sector
* Energy-consuming devices for which energy-efficiency rating and labeling systems were endorsed by the grantee
* Energy-efficient street signs installed
* Energy-efficient streetlights installed
* Energy-efficient traffic signals installed
* GHG inventories completed
* Greenhouse gases reduced
* Ground source geothermal systems installed
* Information contacts (e.g., webinars, site visits, media, fact sheet) in which energy efficiency or renewable energy measures were recommended, by sector
* Interconnection standards established or improved
* Other systems installed (BTU/h)
* Other systems installed (kilowatts)
* Reduction in electricity consumption
* Reduction in electricity consumption, by sector
* Reduction in electricity demand, by sector
* Reduction in fuel oil consumption
* Reduction in fuel oil consumption, by sector
* Reduction in gasoline consumption, by sector
* Reduction in natural gas consumption
* Reduction in natural gas consumption, by sector
* Reduction in propane consumption, by sector
* Solar energy systems installed
* Solar thermal systems installed Street lane-miles for which synchronized traffic signals were installed
* Workshops, training, and education sessions, by sector

**Other Process Metrics**

* Leveraged Funds

**Example Formats**

* AEA/AHFC Non-Residential Building inventory template[link]
* REAL Benchmarking form: <https://www.ahfc.us/index.php/download_file/view/2292/2353/>
* AHFC Cash Flow Calculator [www.ahfc.us/efficiency/non‐residentialbuildings/cash‐flow‐calculator/](http://www.ahfc.us/efficiency/non%E2%80%90residentialbuildings/cash%E2%80%90flow%E2%80%90calculator/)

**Appendix D – Workplan Format** **[Control Number]**

**[Community Name]**

**[The instructional red and blue text and attachments below should be removed by the Applicant in the final version of the Workplan]**

*The Workplan should fully describe the work to be accomplished and how the Community will achieve the milestones and will accomplish the final project goal(s).*

*The following items should* ***not*** *be included in the Workplan:*

* *Dollar amounts.*
* *Specific dates (only include general time frames (i.e. Demonstrate XYZ result by Month 3, not Demonstrate XYZ by June 8th, 2013).*
* *Subcontractors, vendors or individuals by name. The award is with the prime and, as such, the Workplan should not generally reference the subcontractors.*

*Intellectual property information and other aspects of the project workplan that could be considered proprietary or business confidential should be clearly marked. The Workplan must be marked as follows and identify the specific pages containing confidential, proprietary, or privileged information:*

*Notice of Restriction on Disclosure and Use of Data:*

*Pages [list applicable pages] of this document may contain 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 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.*

*The header and footer of every page that contains confidential, proprietary, or privileged information must be marked as follows: “Contains Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure.”*

*In addition, every line and paragraph containing proprietary, privileged, or trade secret information must be clearly marked with double brackets or highlighting.*

**A. PROJECT OBJECTIVES**

Provide a clear and concise (1-3 sentence) statement of the goals and objectives of the project as well as the expected outcomes. ).

**B. PROJECT SUMMARY**

Provide a summary description of the overall work scope and approach to achieve the objective(s).

**C. TASKS TO BE PERFORMED**

The section should describe the specific activities to be conducted over the life of the project. This section provides a summary of the planned approach to this project and should clearly articulate what work must be accomplished to execute the project scope and thus meet the established project objectives.

The task descriptions should be structured with tasks and subtasks.

Each task and subtask is to have a unique number and title and an indication of the approximate duration of the task or subtask in months. Each task and subtask should have a task summary that describes the objectives, what work is to be accomplished, and relationship to project deliverables or expected results. Appropriate milestones should be incorporated into the task and subtask structure.

**Milestones:** The Workplan should identify appropriate milestones throughout the project to demonstrate success, where success is defined as technical achievement rather than simply completing a task – for example, not simply studying a design issue but actually developing a design. Milestones should follow the SMART rule of thumb, which is that all milestones should be **S**pecific, **M**easurable, **A**chievable, **R**elevant, and **T**imely. The project must have at least one milestone per quarter for the duration of the project (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. In addition to describing milestones in the Workplan text, the milestones should be included in the Milestone Summary Table below.

*Below is an example of a typical task structure. Also see Attachment 1. While the example illustrates two Phases and three tasks, the specific project work scope will dictate the appropriate number of performance periods, tasks and subtasks:*

**Task 1.0:** Distinctive Title, Date range of the task in months (M1-M4)

**Task Summary:** Task summaries shall explicitly describe what work is to be accomplished, identify the project objectives/outcomes being addressed and provide a concise statement of the objectives of that task. In addition, the description should indicate the project deliverables or expected results that this task will help achieve.

**Milestone 1.1** (if applicable)

**Milestone 1.2** (if applicable)

**Etc.**

**Subtask 1.1:** Title, Date range (M1-M2)

**Subtask Summary:** Describe the specific and detailed work efforts that go into achieving the higher-level tasks.

**Milestone 1.1.1** (if applicable)

**Milestone 1.1.2** (if applicable)

**Etc.**

**Subtask 1.2:**

(Continue until all Task 1 subtasks are listed)

**Task 2.0:** (continue in the format above until all tasks and subtasks are listed)

**Subtask 2.1**: Title, Date range, Subtask Summary Description

**Subtask 2.2**: Title, Date range, Subtask Summary Description

**PHASE 2 [TITLE]**

**Task 3.0:** Distinctive Title, Date range of the task in months (M1-M4)

(Continue in the format above until all tasks and subtasks are listed)

**D. PROJECT MANAGEMENT**

The Applicant should discuss the team’s proposed management plan, including the following:

* The overall approach to and organization for managing the work
* The roles of each Project Team member
* Any critical handoffs/interdependencies among Project Team members
* The technical and management aspects of the management plan, including systems and practices, such as financial and project management practices
* The approach to project risk management
* A description of how project changes will be handled
* How communications will be maintained among Project Team members

**E. REPORTING**

Progress and financial status will be documented in quarterly reports. A separate Final Report will be submitted that will include the project results, data collected and other documentation as provided in the guidance. Reports and other deliverables will be provided in accordance with the Federal Assistance Reporting Checklist following the instructions included therein.

**F.** **PROJECT SCHEDULE AND MILESTONES**

The Applicant should provide a detailed schedule for the entire project, including task and subtask durations, and milestones. See an [example](http://en.wikipedia.org/wiki/Gantt_chart) of a Gantt chart.

|  |
| --- |
| **Milestone Summary Table** |
| **Recipient Name:** |  |
| **Project Title:** |  |
| **Task Number** | **Task or****Subtask (if applicable) Title** | **Milestone Type(Milestone)** | **Milestone Number\*** | **Milestone Description** | **Milestone Verification Process(What, How, Who, Where)** | **Anticipated Date(Months from Start of the Project)** | **Anticipated Quarter(Quarters from Start of the Project)** |
|  |  |  |  |  |  |  |  |
|  |  |  | See Milestone Summary Table examples in Attachment 2 below |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |

*Note: This content may be extracted from the ‘Milestone Summary Table’ section of the Work Plan submitted by the Applicant. The Technology Manager/Project Manager should ensure that the content meets the following guidelines:*

*\* Milestone numbering convention should align with Task and Subtask numbers, as appropriate. For example, M1.1, M3.2, etc.*

*Note 1: It is required that each project should have at least one milestone per quarter for the entire project duration. It is not necessary that each task have one milestone per quarter.*

*Note 2: All milestones should follow the SMART rule of thumb:* ***S****pecific,* ***M****easurable,* ***A****chievable,* ***R****elevant, and* ***T****imely*

**Attachment 1 – Example Work Breakdown Structure**

**Technical Summary:** Provide a high-level overview of the final result of this project. Explain the final objective, outcome, milestone and/or deliverable that are to be produced and the rationale for why the Applicant has organized the tasks in the way they have.

**Technical Details** (Optional): Describe the relevant management, engineering, design, process, scientific or other principles and aspects of the project that warrant discussion.

**Task 1:** Distinctive Title, Date range of the task in months (M1-M4)

**Task Summary:** Task summaries shall explicitly describe what work is to be accomplished, identify the project objectives/outcomes being addresses and provide a concise statement of the objectives of that task. In addition, the description should indicate the project deliverables that this task will help achieve (D1, D2, D5 etc. note that deliverables may be applicable to multiple or all tasks.]

**Task Details:** Within this section, the barriers and risks should be identified, as well as the approaches for overcoming those barriers and risks. Where appropriate, multiple pathways early in the effort can be outlined for risk reduction.

**Milestone 1.1** (if applicable)

**Milestone 1.2** (if applicable)

**Etc.**

**Subtask 1.1**: Date range (M1-M2)

**Subtask Summary:** Describe the specific and detailed work efforts that go into achieving the higher-level tasks.

**Subtask Details:** Describe the evaluation techniques that will be used and the expected result that will be generated from the effort.

**Milestone 1.1.1** (if applicable)

**Milestone 1.1.2** (if applicable)

**Etc.**

**Subtask 1.2**:

(Continue until all Task 1 subtasks are listed)

**Task 2:** (continue in the format above until all tasks and subtasks are listed)

**Subtask 2.1:** Description and Discussion

**Subtask 2.2:** Description and Discussion

**Attachment 2 – Example Milestone Summary Tables**

Below is an examples of a Milestone Summary Table for an offshore wind demonstration project that will complete the initial engineering design, as well as initiation of all permitting or studies required for regulatory compliance and the NEPA review process, with a DOE down-select of funded projects at the end of the first budget period.

***Example 1: Milestone Summary Table for an offshore wind demonstration project that will complete the initial engineering design, as well as initiation of all permitting or studies required for regulatory compliance and the NEPA review process, with a DOE down-select of funded projects at the end of the first budget period.***

|  |
| --- |
| **Milestone Summary Table** |
| **Recipient Name:** |  |
| **Project Title** | **Village Energy Efficiency Project** |
| **Task Number** | **Tasks or Subtask Title** | **Milestone Type** | **Mile- stone #** | **Milestone Description** | **Milestone Verification Process** | **Anticipated Date / Month** | **Anticipated Quarter** |
| **1.0** | **Energy Efficiency Project Preparation** |
| **1.1** | Develop Training Plan | Milestone | 1.1 | Training Plan will document specific components of the energy audit in detail and document specific training needed for operations staff, and how it will be provided. | Training Plan will be produced by utility support staff and distributed for review by community stakeholders, including the State of Alaska remote maintenance workers, Indian health service project managers and state of Alaska rural utility business advisory. | 1 | 1 |
| **1.2** | Develop Material Take Off | Milestone | 1.2 | A material take off identifying component materials of the energy audit. | This deliverable will be produced in conjunction with the training plan and reviewed by the project manager. | 2 | 1 |
| **1.3** | Order and Consolidate Materials | Milestone | 1.3 | Materials will be ordered off the material take off and consolidated in the Shipping Yard for batch shipment to each community. | Materials will be inspected by utility support staff in advance of shipment. | 4 | 2 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Task Number** | **Tasks or Subtask Title** | **Milestone Type** | **Mile- stone #** | **Milestone Description** | **Milestone Verification Process** | **Anticipated Date / Month** | **Anticipated Quarter** |
| **2.0** | **Implement Retrofits and Provide Training** |
| **2.1** | Ship Materials | Milestone | 2.1 | Materials will be shipped in one barge when possible, or one air freight shipment if necessary. All materials will be shipped following all Hazmat guidelines and federal and state shipping regulations. Materials will be received by each community’s water plant operator and stored in the water plant until Utility Support Engineers and Utility Support Specialists schedule installation. | Notification Receipt of Shipment by Water Plant Operator | 5 | 2 |
| **2.2** | Install Energy Efficiency Equipment and Provide Training | Milestone | 2.2 | Led by utility support engineers and utility support specialists, retrofits will be implemented in coordination with local water plant operator and any needed specialists such as plumbers and electricians. Equipment will be installed hand- in-hand with the operator and training provided to ensure proper efficient and sustainable operations. This task will take an average two weeks per community in the field. | A trip report will be the resulting deliverable identifying what was accomplished and additional needs. | 7 | 3 |
| **2.3** | Identify and Address Additional Needs | Milestone | 2.3 | Any changes to the original scope of work will be identified during the first implementation trip. | A trip report will be prepared identifying which retrofits have been completed, which require additional materials or training, and any recommended scope changes. | 10 | 4 |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Task Number** | **Tasks or Subtask Title** | **Mile- stone Type** | **Mile- stone #** | **Milestone Description** | **Milestone Verification Process** | **Anticipated Date / Month** | **Anticipated Quarter** |
| **2.4** | Acquire and Consolidate Materials | Milestone | 2.4 | Any additional materials, estimated to be no more than 25% of the total materials budget for each community will be purchased at this time and consolidated for a final training and retrofits implementation trip, according to the methods established previously. | MTO developed in conjunction with trip report identifying completed and remaining measures. | 10 | 4 |
| **2.5** | Ship additional material to community | Milestone | 2.5 | See task 2.1. This task will be the final shipment to the community for final retrofit implementation. | Receipt of Shipment by Water Plant Operator | 10 | 4 |
| **2.6** | Secondary Installation of Energy Efficiency Equipment and Training | Milestone | 2.6 | A final training and retrofit installation trip will occur for each community at this time, estimated at one week. Utility support engineers and specialists will coordinate and lead this trip to provide any remaining efficiency training and equipment installation not performed on the first trip. | A trip report will be the resulting deliverable. | 12 | 4 |
| **3.0** | Verify results and evaluate effectiveness of retrofits and training | Milestone | 3.0 | The Project Manager will work with the community to acquire energy usage records and any performance issues with new equipment over this period. | The projected energy savings will be compared against the actual energy savings to determine performance.Data will be maintained by Recipient in its energy retrofit tracking databases, and provided upon request to DOE for verification of project results. | 24 | 8 |