

FINANCIAL ASSISTANCE FUNDING OPPORTUNITY ANNOUNCEMENT



**U.S. Department of Energy
Energy Efficiency and Renewable Energy
Golden Field Office**

University Research Awards and Workforce Development for Hydropower

Funding Opportunity Announcement Number: DE-FOA-0000832

Announcement Type: Initial

CFDA Number: 81.087

Issue Date: 06/25/2013

Letter of Intent Due Date*: 07/16/2013, 4:59 PM Eastern Time

Application Due Date: 08/08/2013, 4:59 PM Eastern Time

***Letters of Intent are not required but are requested. Please submit Letters of Intent by email to CHFOA832@go.doe.gov by the deadline shown above.**

REGISTRATION REQUIREMENTS

There are several one-time actions that must be completed before submitting an application in response to this Funding Opportunity Announcement (FOA):

- 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.

The applicant will receive an automated response when the Application is received. This will serve as a confirmation of receipt. Please do not reply to the automated response. The applicant will have the opportunity to re-submit a revised Application for any reason as long as the relevant submission is submitted by the specified deadline. The Users' Guide for Applying to the Department of Energy EERE Funding Opportunity Announcements is found at <https://eere-exchange.energy.gov/Manuals.aspx>.

The EERE Exchange registration does not have a delay; however, the remaining **registration requirements below could take several weeks to process and are necessary in order for a potential applicant to receive an award under this announcement**. Therefore, although not required in order to submit an Application through the EERE Exchange site, **all potential applicants lacking a DUNS number, or not yet registered with SAM or FedConnect should complete those registrations as soon as possible**.

Questions related to the registration process and use of the EERE Exchange website should be submitted to: EERE-ExchangeSupport@hq.doe.gov

- Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number (including the plus 4 extension, if applicable) at <http://fedgov.dnb.com/webform>
- 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.
- Register in FedConnect at <https://www.fedconnect.net/>. To create an organization account, your organization's SAM MPIN is required. For more information about the SAM MPIN or other registration requirements, review the FedConnect Ready, Set, Go! Guide at https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf
- Register in Grants.gov to receive automatic updates when Amendments to this FOA are posted. However, please note that applications and Letters of Intent will not be accepted through Grants.gov. <http://www.grants.gov/>

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SECTION I – FUNDING OPPORTUNITY DESCRIPTION

A. Description

The Department of Energy's (DOE) Golden Field Office is issuing, on behalf of the DOE Office of Energy Efficiency and Renewable Energy (EERE), Wind and Water Power Technologies Office (WWPTO), a Funding Opportunity Announcement (FOA) entitled "University Research Awards and Workforce Development for Hydropower."

Hydropower, the largest source of renewable electricity generation in the U.S, is a minimal emission, low-cost source of energy that provides consistent, reliable generation which can be quickly adjusted and dispatched to meet various needs of the electric grid.

The Water Power Technologies Office (as part of the Wind and Water Power Technologies Office) researches, tests, evaluates and develops innovative technologies capable of generating renewable, environmentally responsible, and cost-effective electricity from water resources. This includes technologies and processes to upgrade unit and plant capacity, improve efficiency, flexibility, and environmental performance of hydropower generation. The statutory authority for this program is the Energy Policy Act of 2005, Sec. 931(a)(2)(D).

Since 2010, the Department of Energy has supported graduate research awards for the hydropower industry. The research that has been conducted through this effort has proven to be very impactful to the hydropower industry and the Department of Energy would like to solicit for a partner to administer 10-20 additional research awards under Topic Area 1 of this FOA. Topic Area 2 of this FOA is soliciting for an organization to complete an analysis of the existing hydropower workforce, current and future workforce needs, available training/educational programs, and future training/educational needs of the U.S. hydropower industry.

TOPIC AREA 1: UNIVERSITY RESEARCH AWARDS FOR HYDROPOWER

This topic area solicits applications for a program to administer awards for graduate-level hydropower research at universities to further the development of sustainable hydropower in the U.S. These awards will broadly support research at multiple universities with an emphasis on leveraging partnerships and support from the hydropower industry and other organizations.

This program will support graduate students who apply for funding to undertake a dissertation on advanced research topics directly connected with conventional hydropower or pumped storage hydropower technologies and/or barriers to deployment. Applicants will be expected to develop a program plan which will competitively fund university graduate students to conduct hydropower research and development. The funding will support tuition, research expenses and a monthly stipend. The students' research should be supervised by a faculty member who may also receive limited financial support. When students have successfully completed their dissertations, they will present their results at a mutually agreed-upon event. In addition, the program should propose a method for collecting the results of funded research and disseminating it across industry, policymakers, and the general public.

The successful applicant will include the following program objectives:

- Broadly stimulate research in different types of hydropower technologies and deployment barriers at multiple universities across the country.
- Develop a clear, viable plan that demonstrates prior successes in building partnerships and securing financial/cost-share support from the hydropower industry or other organizations, for the purpose of leveraging DOE funding.

The program must show a viable management plan for the awards, including the selection of appropriate research fields, the number of graduate-level research projects to be supported, proposed student review processes and criteria, integration and support of faculty members and university departments, and plans to attract student interest and stimulate high-quality applications.

The applicant and team members must have excellent capabilities, experience, qualifications, and credentials and also must demonstrate a successful record for implementing similar programs. It is desirable for applicants or teams to bring experience interacting with the hydropower industry.

The applicant's proposed program must facilitate ongoing interactions between graduate students, university faculty members, and members of the hydropower industry.

The applicant's proposed program must effectively compile and disseminate results of student projects funded through the program to other students and to the hydropower industry.

Award Structure for Program to Administer University Research Awards for Hydropower

Budget Period	Duration	DOE Share	Minimum Required Cost Share
1	Up to 36 months	Up to \$1M	20%

The anticipated Period of Performance will be two to three years. Cost share commitment letters will be required as part of the initial application package and will be evaluated by the published merit review criteria defined in Section V. Individual awards to graduate students will be subject to DOE National Environmental Policy Act (NEPA) review and approval prior to award commencement.

The project period may be up to three years in duration and funding is envisioned to support activities related to program setup and administration, the solicitation and selection process for individual research awards, and management of awarded research.

TOPIC AREA 2: WORKFORCE DEVELOPMENT FOR HYDROPOWER

This topic area solicits applications for an organization to complete an analysis of the U.S. hydropower industry workforce and future needs of that workforce. Future development of hydropower in the United States requires a substantial number of skilled personnel available to design, build, operate, maintain, and advance hydropower equipment and technology. At the same time, there is a national demand for job creation, job training, and entrepreneurial opportunities in the economy. The effort to meet future energy demand and reduce foreign oil dependence can

simultaneously create well-paying jobs, and contribute to the deployment of hydropower energy throughout the nation. Partnering is strongly encouraged.

Applicants are expected to address workforce development by engaging with industry, government, colleges, national laboratories, and community organizations to define and analyze current and future workforce needs in the hydropower industry.

It is important to have a skilled and thoroughly educated workforce for the domestic hydropower industry that will support current and future energy demands. U.S. hydropower workforce needs are varied and include positions in research, development, maintenance, education, operations, and siting.

A national labor assessment of the hydropower industry will provide an understanding of the current marketplace. In coupling a current national labor assessment with projections of demographic changes and general industry growth, it is expected that the applicant will provide an estimate of future workforce needs, considering both education and training needs. The reports generated from this analysis should detail the collective hydropower workforce and academic infrastructure and training needs of the industry.

The successful applicant will address the following objectives:

- Broad description of the current domestic hydropower workforce, including analysis of the types of required skillsets, experience, education and training needed for various positions within the workforce;
- Projected future workforce needs;
- Determining if additional academic training programs are needed to meet hydropower workforce needs

The resulting information from this analysis should shed light upon how federal, state, and local governments, the hydropower industry and educational institutions can make decisions ensuring that workforce needs are met.

More specifically, the proposed research should include the following components:

- Conduct a hydropower industry employer survey;
- Compile an evolving catalog of hydropower-specific or related education and training programs;
- Correlate employer needs with available education and training programs;
- Forecast the number of additional employees needed in the hydropower workforce to account for industry size, potential growth and changing demographics;
- Estimate the number of graduates / trainees needed in various portions of the workforce (e.g., community college degree, undergraduate degree, graduate-level degree, additional requisite trainings).

The applicant must show a viable project plan, a methodology to collect and quantify the data, an explanation for how to identify industry companies and academic and training institutions to be contacted, and how the data will be integrated with projected hydropower sector growth scenarios. The project must effectively compile and disseminate results of the workforce analysis.

The applicant and team members must have excellent capabilities, experience, qualifications, and credentials and also must demonstrate a successful record for conducting similar research and assessments. It is desirable for applicant teams to have experience interacting with the hydropower industry.

Award Structure for Workforce Development for Hydropower

Budget Period	Duration	Federal funding to recipient	Minimum Required Cost Share
1	Up to 15 months	Up to \$350K	0%

The anticipated project period of performance will be up to 15 months. Application packages will be evaluated in accordance with the Merit Review Criteria as defined in Section V.

The applicant will receive technical assistance from the National Renewable Energy Laboratory (NREL) for this Topic Area. Funding provided to NREL for technical assistance will not be included in the awardee's budget. Up to \$100,000 in federal funds may be made available for technical assistance.

The successful applicant will lead this effort with certain activities completed in part or entirely by NREL. It is expected that NREL will participate in the project as follows:

- Work with the awardee to develop approaches and methods for a report on the U.S. hydropower workforce;
- Work with awardee to develop an overview of the educational and training infrastructure/institutions required to meet U.S. hydropower workforce needs;
- Analyze research results for purposes of developing the final technical report;
- Provide guidance to awardee to assess current hydropower education and training programs in the U.S.;
- Work with awardee to write the final technical report.

Upon selection, the awardee will work with NREL to define the final roles, responsibilities, and expectations to ensure successful and timely completion of the project.

The primary deliverable resulting from this work will be a final technical report, which is intended to be jointly published by NREL, DOE and the applicant on the existing domestic hydropower workforce and potential needs over the next 20 years. The report will include information on currently available education and training programs and projections of future hydropower workforce needs.

Note: Applicants may apply to more than one Topic Area; however, a separate application will be required for each Topic Area.

SECTION II – AWARD INFORMATION

A. Type of Award Instrument

Grants

DOE anticipates awarding grants under Topic Area 1 of this funding opportunity announcement.

Cooperative Agreements

DOE anticipates awarding cooperative agreements under Topic Area 2 of this funding opportunity announcement (See Part VI.B.4 Statement of Substantial Involvement).

B. Estimated Funding

Amount of New Awards

Approximately \$1.35M is expected to be available for a new award under this announcement.

Topic Area	Duration	DOE Share	Minimum Required Cost Share
Topic 1: University Research Awards for Hydropower	Up to 36 months	Up to \$1M	20%
Topic 2: Workforce Development for Hydropower	Up to 15 months	Up to \$350K	0%

Funding for all awards is contingent upon the availability of funds appropriated by Congress for the purpose of this program.

C. Maximum and Minimum Award Amount

- Ceiling (i.e., the maximum amount for an individual award made under this announcement):

Topic Area	Total DOE Share (Maximum)
Topic 1: University Research Awards for Hydropower	\$1M
Topic 2: Workforce Development for Hydropower	\$350K

- Floor (i.e., the minimum amount for an individual award made under this announcement): None.

D. Expected Number of Awards

DOE anticipates making approximately two awards under this announcement.

Topic Area	Number of Awards
Topic 1: University Research Awards for Hydropower	1
Topic 2: Workforce Development for Hydropower	1

E. Anticipated Award Amount

Award Amount

The anticipated award size for projects under each Topic Area in this announcement is:

Topic Area	Anticipated Award Size (DOE Share)
Topic 1: University Research Awards for Hydropower	\$1,000,000
Topic 2: Workforce Development for Hydropower	\$350,000
Total:	\$1,350,000

F. Period of Performance

The anticipated period of performance for each project in this announcement is:

Topic Area	Duration	DOE Share	Minimum Required Cost Share
Topic 1: University Research Awards for Hydropower	Up to 36 months	Up to \$1M	20%
Topic 2: Workforce Development for Hydropower	Up to 15 months	Up to \$350K	0%

G. Type of Application

New and Renewal Applications

DOE will accept new and renewal applications under this announcement. Renewal Applications are requests for additional funding for a period subsequent to that provided by a current award. Renewal applications compete with all other applications and must be submitted

by any established due date/deadline or at least six months before additional funding is required if there is no specified due date/deadline. In preparing a renewal application, applicants should assume that reviewers will not have access to previous applications. The application should be developed as fully as though the applicant were applying for the first time. The application must include all the information required for a new project, and the project narrative section should discuss the results from prior work.

H. 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 United States Code (U.S.C.) 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 projects selected for an award, and all subsequent sub-awards, will be required to assist in the timely and effective completion of the NEPA process in the manner most pertinent to their proposed project. This includes submitting the following information: a detailed description of all activities and facilities proposed; a detailed description of the affected environment; and best management practices and measures to be implemented to reduce or eliminate impacts to environmental and socioeconomic resources and conflicts with other uses of the area.

I. Performance of Work in the United States

EERE strongly encourages interdisciplinary and cross-sectoral collaboration spanning organizational and national boundaries. Such collaboration enables the achievement of scientific and technological outcomes that were previously viewed as extremely difficult, if not impossible.

EERE requires all work under EERE funding agreements to be performed in the United States – i.e., prime recipients must expend 100% of the total project cost in the United States.

Applicants and prime recipients may request a waiver of this requirement. Applicants must include a written waiver request in the Full Application. Prime recipients must submit any waiver requests in writing to the assigned DOE Contracting Officer. The DOE Contracting Officer has discretion to waive this requirement if he/she determines that it will further the purposes of this FOA and is otherwise in the interests of EERE. See Section IV.C.12 of the FOA for waiver request information.

SECTION III - ELIGIBILITY INFORMATION

A. Eligible Applicants

1. Individuals

U.S. citizens and lawful permanent residents are eligible to apply for funding as a prime recipient or subrecipient.

2. Domestic Entities

For-profit entities, educational institutions, and nonprofits¹ 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 prime recipient or subrecipient.

State, local, and tribal government entities are eligible to apply for funding as a prime recipient or subrecipient.

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

However, the National Renewable Energy Laboratory (NREL), which is a DOE FFRDC, will provide technical assistance for Topic Area 2 of this FOA. DOE will provide funding directly to NREL, in addition to the funding awarded to the applicant under the FOA. The intent of this arrangement is to considerably enhance the support to an awardee under Topic Area 2, based on the prior work and considerable experience of NREL in the area of evaluating workforce development needs for renewable energy technologies. NREL will be substantially involved in the project awarded under this Topic Area; therefore NREL will be excluded from applying as a prime recipient.

Non-DOE/NNSA FFRDCs and non-DOE GOGOs are eligible to apply for funding as a subrecipient, but are not eligible to apply as a prime recipient.

Federal agencies and instrumentalities (other than DOE) are eligible to apply for funding as a subrecipient, but are not eligible to apply as a prime recipient.

3. Foreign Entities

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

¹Nonprofit 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.

Other than as provided in the “Individuals” or “Domestic Entities” sections above, all prime recipients receiving funding under this FOA must be incorporated (or otherwise formed) under the laws of a State or territory of the United States. If a foreign entity applies for funding as a prime recipient, it must designate in the Full Application a subsidiary or affiliate incorporated (or otherwise formed) under the laws of a State or territory of the United States to be the prime recipient. The Full Application must state the nature of the corporate relationship between the foreign entity and domestic subsidiary or affiliate. Foreign entities may request a waiver of this requirement in the Full Application. See Section IV.C.12 for waiver request information. The DOE Contracting Officer has discretion to waive this requirement if he/she determines that it will further the purposes of this FOA and is otherwise in the interests of EERE.

A foreign entity may receive funding as a subrecipient.

4. Incorporated Consortia

Incorporated consortia, which may include domestic and/or foreign entities, are eligible to apply for funding as a prime recipient or subrecipient. For consortia incorporated (or otherwise formed) under the laws of a State 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.

5. Unincorporated Consortia

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

Upon request, unincorporated consortia must provide the DOE 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 discuss, among other things, the consortium's:

- 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.

B. Cost Sharing

Cost Share Percentage

The applicant must meet the minimum required cost share for each Topic Area as indicated in the table below:

Topic Area	Duration	DOE Share	Minimum Required Cost Share
Topic 1: University Research Awards for Hydropower	Up to 36 months	Up to \$1M	20%
Topic 2: Workforce Development for Hydropower	Up to 15 months	Up to \$350K	0%

Cost share is calculated as a percentage of the total allowable costs for each budget period (i.e., the sum of the Government share, including FFRDC contractor costs if applicable, and the recipient share of allowable costs equals the total allowable costs of the project) and must come from non-Federal sources unless otherwise allowed by law. (See 10 CFR Part 600 for the applicable cost sharing requirements.)

If the non-Federal cost share is being provided by a third party (e.g. project partner), then a cost share commitment letter must be submitted with the application package. Because there is no cost share requirement for Topic 2, cost share commitment letters are not required in the Application package for Topic 2. However, if cost share is being proposed, cost share commitment letter(s) should be submitted.

See Appendix C - Cost Share Information for more information.

C. Other Eligibility Requirements

DOE National Laboratory Contractors and Other Federally Funded Research and Development Center (FFRDC) Contractors.

A DOE National Laboratory Contractor is eligible to apply for funding or be proposed as a team member under this announcement if its cognizant Contracting Officer provides written authorization and this authorization is submitted with the Application. If a DOE National Laboratory Contractor is selected for award, the proposed work will be authorized under the DOE work authorization process and performed under the laboratory's Management and

Operating (M&O) contract.

The following wording is acceptable for the authorization:

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

A FFRDC contractor is eligible to apply for funding or be proposed as team member under this announcement, subject to the following guidelines:

Authorization for non-DOE FFRDCs. The Federal agency sponsoring the FFRDC contractor must authorize in writing the use of the FFRDC contractor on the proposed project and this authorization must be submitted with the Application. The use of a FFRDC contractor must be consistent with the contractor’s authority under its award.

Authorization for DOE FFRDCs. The cognizant Contracting Officer for the FFRDC must authorize in writing the use of a DOE FFRDC contractor 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 _____ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complementary to the missions of the laboratory, will not adversely impact execution of the DOE assigned programs at the laboratory.

Value/Funding. The value of, and funding for, the FFRDC contractor portion of the work will not normally be included in the award to a successful applicant. Usually, DOE will fund a DOE FFRDC contractor through the DOE field work proposal (FWP) system and other FFRDC contractors through an interagency agreement with the sponsoring agency. FWP and other documents will be requested from successful applicants during award negotiation.

Cost Share. The applicant’s cost share requirement will be based on the total cost of the project, including the applicant’s and the FFRDC contractor’s portions of the effort.

Responsibility. The applicant, if successful, 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 applicant and the FFRDC contractor.

D. 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.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. Address to Request 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. (e.g. ControlNumber_LeadOrganization_Project_Part_1, Part_2, etc.)

B. Letter of Intent, Pre-Application, and Concept Paper

1. Letter of Intent

Letter of Intent Requested (but not required)

Applicants are encouraged to submit a Letter of Intent by 07/16/2013. Applicants may apply to more than one topic area; however, a separate Letter of Intent should be created for each separate topic area. This letter should include the topic area, name of the applicant, the title of the project, the name of the Project Director/Principal Investigator(s), the amount of funds requested, and a one-page abstract. Letters of Intent and accompanying abstracts will be used by DOE to organize and expedite the merit review process. They should not contain any proprietary or sensitive business information. Failure to submit such letters will not negatively affect a responsive application submitted in a timely fashion. Letters of Intent must be submitted via email to CHFOA832@go.doe.gov. DOE will not respond to the Letter of Intent.

2. Pre-application

Pre-applications Not Required

A pre-application is not required.

3. Concept Paper

Concept Paper Not Required

A concept paper is not required.

C. Content and Form of Application

Applicants may apply to more than one topic area; however, a separate Application must be submitted for each separate topic area.

All documents in the Full Application must be formatted such that they can be printed on standard 8.5" by 11" paper with 1" margins (top, bottom, left and right), single spaced, with font not smaller than 11 point. You must complete the mandatory forms and any applicable optional forms, in accordance with the instructions on the forms and the additional instructions below, as required by this FOA. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

You must complete the following Application forms found on the EERE Exchange website at <https://eere-exchange.energy.gov/>, in accordance with the instructions. **Applicants will receive a Control Number once they "Apply to this FOA" on the EERE Exchange website and should include the Control Number in the file name, as indicated below.**

1. SF-424 – Application for Federal Assistance (Mandatory)

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 year, first phase or other subset of the project period. Save the information in a single file titled "[ControlNumber_LeadOrganization_App424](#)".

2. Project Summary/Abstract File (Mandatory)

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 includes the following information:

- a. EERE Exchange Control number;
- b. Name of the applicant;
- c. The project director/principal investigator(s);
- d. Project Title;
- e. Objectives of the Project;
- f. Description of the Project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes);
- g. Major participants (for collaborative projects); and
- h. Proposed project period of performance and budget (DOE funds and non-federal cost share funds).

This document must not include any proprietary or sensitive business information, as the Department may make it available to the public if an award is made. The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right), single spaced, with font not smaller than 11 point. Save the information in a single file titled "[ControlNumber_LeadOrganization_Summary](#)".

3. Project Narrative File (Mandatory)

The project narrative must not exceed 20 pages, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right), single spaced

with font not smaller than 11 point. EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the Application. See Section VIII. D for instructions on how to mark proprietary Application information. Save the information in a single file titled “ControlNumber_LeadOrganization_Project”.

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.

(e.g. ControlNumber_LeadOrganization_Project_Part_1, Part_2, etc.)

The project narrative must include:

1. Project Objectives.

This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.

2. Merit Review Criterion Discussion.

This section should be formatted to address each merit review criterion and sub-criterion listed in Part V. A. below. Provide sufficient information so that reviewers will be able to evaluate the Application in accordance with these merit review criteria. DOE WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT SEPARATELY ADDRESS EACH MERIT REVIEW CRITERION AND SUB-CRITERION.

3. Project Timetable:

This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period. Successful applicants must use this project timetable to report progress.

4. Relevance and Outcomes/Impacts:

This section should explain the relevance of the effort to the objectives in the program announcement and the expected outcomes and/or impacts. The justification for the proposed project should include a clear statement of the importance of the project in terms of the utility of the outcomes and the target community of beneficiaries.

5. Roles of Participants:

For multi-organizational or multi-investigator projects, describe the roles and the work to be performed by each participant/investigator, business agreements between the applicant and participants, and how the various efforts will be integrated and managed.

6. Facilities and Other Resources:

Identify the facilities (e.g., office, laboratory, computer, etc.) to be used at each performance site listed, and, if appropriate, indicate their capacities pertinent

capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Provide any information describing the other resources available to the project, such as machine and electronics shops.

7. Equipment:

List important items of equipment already available for this project, and if appropriate, note the location and pertinent capabilities of each. If you are proposing to acquire equipment, describe comparable equipment, if any, already at your organization and explain why it cannot be used.

8. Statement of Project Objectives (SOPO):

The Statement of Project Objectives should be provided in a similar format as the SOPO template shown in Appendix D. The SOPO must address how the project objectives will be met. It must contain a clear, concise description of all activities to be completed during the project performance and follow the requirements in the template. The SOPO may be released to the public by DOE, in whole or in part, at any time. Therefore, it is required that it shall not contain proprietary or confidential business information.

All the components of your Project Narrative must be within the Narrative page limit specified in section IV.C.3. Documents listed below may be included as clearly marked appendices to your Narrative and will not count towards the Project Narrative page limit. Please note that some of the required documents listed below may have their own page limits to which you must adhere.

4. Resume File (Mandatory)

Provide a resume for each key person proposed, including subawardees and consultants if they meet the definition of a key person. A key person is any individual who contributes in a substantive, measurable way to the execution of the project. The biographical information for each resume must not exceed 2 pages when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right), single spaced, with font not smaller than 11 point and should include the information below, if applicable. Save the information in a file titled "[ControlNumber_LeadOrganization_Resume](#)".

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.

(e.g. [ControlNumber_LeadOrganization_Project_Part_1](#), [Part_2](#), etc.)

Education and Training. Undergraduate, graduate and postdoctoral training; provide institution, major/area, degree and year.

Professional Experience. Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

Publications. Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address, if available electronically.

Patents, copyrights and software systems developed may be provided in addition to, or substituted for, publications.

Synergistic Activities. List no more than 5 professional and scholarly activities related to the effort proposed.

- Of the key personnel identified in this file, indicate the Principal Investigator(s) (PI(s)).
- For Multiple Principal Investigators:

The applicant, whether a single organization or team/partnership/consortium, must indicate if the project will include multiple PIs. The decision to use multiple PIs for a project is the sole responsibility of the applicant. If multiple PIs will be designated, the Application must identify the Contact PI/Project Coordinator and provide a “Coordination and Management Plan” that describes the organization structure of the project as it pertains to the designation of multiple PIs. This plan should, at a minimum, include:

- Process for making decisions on scientific/technical direction;
- Publications;
- Intellectual property issues;
- Communication plans;
- Procedures for resolving conflicts; and
- PIs’ roles and administrative, technical, and scientific responsibilities for the project.

The resume file does not have a page limitation.

5. Budget File (Mandatory)

SF 424 A Excel, Budget Information – Non-Construction Programs File

You must provide a separate budget for each year of support requested and a cumulative budget for the total project period. Use the SF 424 A Excel, “Budget Information – Non Construction Programs” form on the DOE Financial Assistance Forms Page at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>. The SF424A provides columns for each individual budget year as well as the cumulative project budget.

You may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding

restrictions in this announcement (see Section IV, G). Save the information in a single file titled “ControlNumber_LeadOrganization_SF424A”.

Budget documents submitted for proposals under Topic Area 2 should not reflect any funding for the technical assistance provided by the National Renewable Energy Laboratory (NREL). Applicants need only to account for amounts that will be expended by the prime recipient or other sub-recipients up to the \$350,000 limit for Topic Area 2.

6. Budget Justification File (PMC 123.1) (Mandatory)

PMC 123.1 Budget Justification File

You must justify the costs proposed in each Object Class Category/Cost Classification category using the PMC 123.1 Budget Justification File. The total project cost, including cost share (if applicable) and federal funding, must be represented in this document.

Save the budget justification information in a single file titled “ControlNumber_LeadOrganization_Budget”.

7. Letters of Commitment (if applicable)

You must provide a letter from each third party contributing cost share (i.e., a party other than the organization submitting the application) stating that the third party is committed to providing a specific minimum dollar amount of cost share. Identify the following information for each third party contributing cost share: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed type of cost share – cash, services, or property. Letters of Commitment from parties participating in the project, exclusive of vendors, who will not be contributing cost share, but will be integral to the success of the project must be included as part of this file. Save the Letters of Commitment information in a single file titled “ControlNumber_LeadOrganization_LOC”.

8. Subaward Budget File(s) (if applicable)

You must provide a separate budget (i.e., budget for each budget year and a cumulative budget) for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (whichever is less). The SF424A provides columns for each individual budget-year as well as the cumulative project-budget. The total project cost, including cost share (if applicable) and Federal funding, must be represented in this document. Use the SF 424 A Excel for Non Construction Programs or the SF 424 C Excel for Construction Programs. This form is found on the DOE Financial Assistance Forms Page at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>. Save each Subaward budget in a single file titled “ControlNumber_LeadOrganization_Subawardee_SF424A”.

A PMC 123.1 Budget Justification file for the subaward budget is also required. The budget justification must include the same justification information described in Paragraph 6 above. Save each Subaward budget justification in a single file titled “ControlNumber_LeadOrganization_Subawardee_Budget”.

9. Budget for DOE Federally Funded Research and Development Center (FFRDC) Contractor File, (if applicable)

If a DOE FFRDC contractor is to perform a portion of the work, you must provide a DOE Field Work Proposal (FWP) in accordance with the requirements in DOE Order 412.1 Work Authorization System. The DOE Order 412.1, Work Authorization System and the DOE O 412.1, Field Work Proposal form are available at the following link, under “DOE Budget Forms”: <https://www.directives.doe.gov/directives/current-directives/412.1-BOrder-a/view>. Save the Field Work Proposal in a single file titled “ControlNumber_LeadOrganization_FFRDC_FWP”.

10. Authorization for non-DOE or DOE FFRDCs (if applicable)

Save the Authorization for non-DOE or DOE FFRDCs, as specified in Section III.C. Other Eligibility Requirements, in a single file titled “ControlNumber_LeadOrganization_FFRDC_Auth”.

11. SF-LLL Disclosure of Lobbying Activities (if applicable)

If applicable, complete the SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying." If applicable, save the SF-LLL in a single file titled “ControlNumber_LeadOrganization_SF LLL”.

12. Waiver Request- (a) Foreign Entities and (b) Performance of Work in the United States (if applicable)

As set forth in Section III, all prime recipients receiving funding under this FOA must be incorporated (or otherwise formed) under the laws of a State or territory of the United States. If a foreign entity applies for funding as a prime recipient, it must designate in the Full Application a subsidiary or affiliate incorporated (or otherwise formed) under the laws of a State or territory of the United States to be the prime recipient. Section III further requires that all work under EERE funding agreements be performed in the United States – i.e., prime recipients must expend 100% of the total project cost in the United States.

To seek a waiver of either requirement, the applicant must submit a waiver request in the Full Application, which includes the following information: entity name, country (or state) of incorporation, description of the work to be performed by that entity, and the location where the work will be performed. If the applicant is seeking a waiver to have a foreign entity serve as the prime recipient, the applicant must explain why it is necessary to have a foreign entity serve as the prime recipient. If the applicant is seeking a waiver of the “Performance of Work in the United States” requirement, the applicant must explain why it is necessary to have the work performed outside of the United States. All waiver requests should explain how the waiver would further the purposes of this FOA and otherwise serve the interests of EERE. The Contracting Officer may require additional information before considering the waiver request. Save the Waiver Request(s) in a single file titled “ControlNumber_LeadOrganization_Institution_Waiver”.

Summary of Required Forms/Files

Your Application must include the following documents:

Name of Document	Format	File Name
SF 424 - Application for Federal Assistance	Part of Adobe Application Package	ControlNumber_LeadOrganization_App424
Project Summary/Abstract File	PDF	ControlNumber_LeadOrganization_Summary
Project Narrative File, including required appendices (SOPO Template)	PDF	ControlNumber_LeadOrganization_Project
Resume File	PDF	ControlNumber_LeadOrganization_Resume
SF 424A Excel – Budget Information for Non-Construction Programs File	Excel	ControlNumber_LeadOrganization_SF424A
PMC 123.1 Budget Justification File	Excel	ControlNumber_LeadOrganization_Budget
Letters of Commitment, if applicable	PDF	ControlNumber_LeadOrganization_LOC
SF-424A Subaward Budget File(s), if applicable	Excel	ControlNumber_LeadOrganization_Subawardee_SF424A
PMC 123.1 Subaward Budget Justification(s), if applicable	Excel	ControlNumber_LeadOrganization_Subawardee_Budget
Budget for Federally Funded Research and Development Center (FFRDC) Contractor File, if applicable	PDF	ControlNumber_LeadOrganization_FFRDC_FWP
Authorization from cognizant Contracting Officer for FFRDC, if applicable	PDF	ControlNumber_LeadOrganization_FFRDC_Auth
SF-LLL Disclosure of Lobbying Activities, if applicable	PDF	ControlNumber_LeadOrganization_SF LLL
Waiver Request: Foreign Entities and / or Performance of Work in the United States, if applicable	PDF	ControlNumber_LeadOrganization_Institution_Waiver

D. Submissions from Successful Applicants

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
- Commitment Letters from Third Parties Contributing to Cost Share, if applicable
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- NEPA including Environmental Questionnaire

E. Submission Dates and Times

1. Letter of Intent Due Date

Letters of Intent are not required, but are requested to be received by 07/16/2013, not later than **4:59 PM Eastern Time**. See Section IV (B)(1) for additional information on Letters of Intent. You are encouraged to transmit the Letter of Intent well before the deadline.

LETTERS OF INTENT MUST BE SUBMITTED VIA EMAIL to

CHFOA832@go.doe.gov.

2. Application Due Date and Submission Time

Applications must be received by 08/08/2013, not later than **4:59 PM Eastern Time**. You are encouraged to transmit your application well before the deadline. **APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.** During the final hours before the submission deadlines, applicants may experience server/connection congestion that prevents them from completing the necessary steps in EERE Exchange to fully submit their Applications.

Therefore, applicants are strongly encouraged to begin submitting their applications at least 48 hours in advance of the submission deadline. The application must be submitted via EERE EXCHANGE at <https://eere-exchange.energy.gov/>.

F. Intergovernmental Review

Program Not Subject to Executive Order 12372

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

G. Funding Restrictions

Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program.

Cost Principles. Costs must be allowable in accordance with the applicable Federal cost principles referenced in: 2 CFR 220 for Educational Institutions; 2 CFR 225 for State, Local, and Indian Tribal Governments; 2 CFR 230 for Non Profit Organizations and FAR Part 31 for commercial organizations.

Pre-award Costs. Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award and no earlier than the selection date, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600. Recipients must obtain the prior approval of the Contracting Officer for any pre-award costs that are for periods greater than this 90-day calendar period.

Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs if for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

If recipients are State or Local Governments, they may not incur pre-award costs prior to award, without prior approval of the DOE Contracting Officer.

H. Submission and Registration Requirements

1. Where to Submit

APPLICATIONS MUST BE SUBMITTED UNDER THIS ANNOUNCEMENT THROUGH EERE EXCHANGE at: <https://eere-exchange.energy.gov/> TO BE CONSIDERED FOR AWARD.

You cannot submit an Application through EERE Exchange unless you are registered. Please read the registration requirements below carefully and start the process immediately. Applications submitted by any other means will not be accepted.

If you have problems completing the registration process or submitting your Application, send an email to the EERE Exchange helpdesk at EERE-ExchangeSupport@hq.doe.gov. It is the responsibility of the applicant to verify successful transmission prior to the Application due date and time.

2. Registration Process Requirements

There are several one-time actions that must be completed before submitting an application in response to this Funding Opportunity Announcement (FOA), as follows:

- 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 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 appropriate contact point for each submission.

The applicant will receive an automated response when the application is received. This will serve as a confirmation of receipt. Please do not reply to the automated response.

The applicant will have the opportunity to re-submit a revised Application for any reason as long as the relevant submission is submitted by the specified deadline. The Users' Guide for Applying to the Department of Energy EERE Funding Opportunity Announcements is found at <https://eere-exchange.energy.gov/Manuals.aspx>.

The EERE Exchange registration does not have a delay; however, the remaining **registration requirements below could take several weeks to process and are necessary in order for a potential applicant to receive an award under this announcement.** Therefore, although not required in order to submit an application through the EERE Exchange site, **all potential applicants lacking a DUNS number, or not yet registered with SAM or FedConnect should complete those registrations as soon as possible.** Questions related to the registration process and use of the EERE Exchange website should be submitted to: EERE-ExchangeSupport@hq.doe.gov

- Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number (including plus 4 extension, if applicable) at <http://fedgov.dnb.com/webform>
- 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.
- Register in FedConnect at <https://www.fedconnect.net/>. To create an organization account, your organization's SAM MPIN is required. For more information about the SAM MPIN or other registration requirements, review the FedConnect Ready, Set, Go! Guide at https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf
- Register in Grants.gov to receive automatic updates when Amendments to this FOA are posted. However, please note that Applications will not be accepted through Grants.gov. <http://www.grants.gov/>

3. Electronic Authorization of Applications and Award Documents

Submission of an application and supplemental information under this announcement through electronic systems used by the Department of Energy, including EERE Exchange, constitutes the authorized representative's approval and electronic signature. Submission of award documents, including modifications, through electronic systems used by the Department of Energy, including FedConnect, constitutes the authorized representative's approval and acceptance of the terms and conditions of the award. Award acknowledgement via FedConnect constitutes the authorized representative's electronic signature.

SECTION V - APPLICATION REVIEW INFORMATION

A. Criteria

1. Initial Compliance Review Criteria

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the funding opportunity announcement. If an Application fails to meet these requirements, it may be deemed non-responsive and eliminated from full Merit Review.

2. Merit Review Criteria

Applications will be evaluated against the merit review criteria shown below for each Topic Area. The merit review criteria are individually weighted as a percentage of the total score in the evaluation as indicated below. The sub-criteria under each of the main criteria are not individually weighted.

TOPIC AREA 1: UNIVERSITY RESEARCH AWARDS FOR HYDROPOWER

Criterion 1: Technical Merit and Innovation

Weight: [30%]

- Viability of the proposed management plan for awards/fellows, including the selection of research fields with high importance to the hydropower industry, the number of students to be supported, proposed student review processes and criteria, integration and support of faculty members and university departments, and plans to attract student interest and stimulate high-quality Applications.
- Likelihood that the proposed program will stimulate interest and future research in conventional hydropower topics at a large number of U.S. academic institutions, generate new knowledge or technology from the research conducted, and encourage funding recipients to continue working in the hydropower field.

Criterion 2: Technical Approach and Implementation Plan

Weight: [30%]

- Degree to which proposed program implementation plan is clearly stated, organized, achievable and technically feasible, including the adequacy of proposed tasks, decision points and the resources identified to successfully address all elements of the technical plan.
- Degree to which the applicant identifies and assesses critical success factors, risks and barriers, as well as plans for mitigating any potential issues identified.

Criterion 3: Qualifications and Resources

Weight: [25%]

- Capabilities, experience, and qualifications of the applicant, including any team members, to administer a research award program with preference given to applicants or teams that bring experience in working with organizations across the hydropower

- industry and/or in successfully administering similar research award programs.
- Availability of facilities, analytic support, or other necessary resources for administering and managing the proposed program.

Criterion 4: Dissemination of Results

Weight: [15%]

- Clarity and comprehensiveness of applicant's dissemination plan to effectively compile and disseminate results of student research funded through the program to other students and to the hydropower industry.
- Degree to which applicant's plan would facilitate ongoing interactions among award recipients across universities, and between students, faculty members, and members of the hydropower industry.

TOPIC AREA 2: WORKFORCE DEVELOPMENT FOR HYDROPOWER

Criterion 1: Project Description and Management Plan

Weight: [50%]

- Viability of the proposed project plan, including the clarity and completeness of the description of each activity necessary to complete the project.
- Soundness of the project management plan with respect to proposed tasks, organizational structure, deliverables, schedule, and objectives.
- Degree to which the applicant identifies and assesses critical success factors, risks and barriers, as well as plans for mitigating any potential issues identified.
- Adequacy, appropriateness, and reasonableness of the cost and schedule to complete the proposed project.

Criterion 2: Qualifications and Resources

Weight: [50%]

- Demonstrated capabilities of the applicant and team members to comprehensively address all aspects of the proposed project including knowledge of the hydropower industry and workforce development needs for other energy industries.
- Demonstrated level of partnership with private industry, academia and local, state and federal government entities.
- Demonstrated support of each team member's participation via letter of commitment.

3. Other Selection Factors

Program Policy Factors

The selection official may consider the following program policy factors for each Topic Area in the selection process:

TOPIC AREA 1: UNIVERSITY RESEARCH AWARDS FOR HYDROPOWER

- The extent to which the applicant’s plan promotes geographic diversity of graduate research awards.
- The extent to which the applicant’s plan promotes technological diversity of graduate research topics.
- The level of cost share offered above the minimum amount required.

TOPIC AREA 2: WORKFORCE DEVELOPMENT FOR HYDROPOWER

- Alignment with the mission and goals of the Program.
- The level of cost share offered, even though not required.

B. Review and Selection Process

1. Merit Review

Applications Subject to Merit Review

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the “Department of Energy Merit Review Guide for Financial Assistance”. This guide is available at <http://energy.gov/management/office-management/operational-management/financial-assistance> under Financial Assistance Policy and Guidance.

It is very important that those documents, Project Abstract and Project Narrative file, that will be used during the Merit Review Process do not contain any Personally Identifiable Information as described in Appendix B.

2. Pre-Selection Clarification

Based upon the results of the merit review of written applications, DOE may determine that pre-selection clarifications are necessary from certain applicants. These pre-selection clarifications will be for the purposes of clarifying the Application and may take the form of one or more of the following procedures: written responses to DOE’s written clarification questions, video or conference calls with DOE representatives, in person-meetings or presentations at DOE or applicant site. DOE, based upon the results of the merit review of written Applications and in its sole discretion, may decide not to hold any pre-selection clarifications. The information provided by applicants to DOE through pre-selection clarifications is incorporated in their Application and contributes to the merit review evaluation and DOE’s selection decisions. Selection for participation in pre-selection clarifications does not signify that applicants have been selected for negotiation of award. applicant costs incurred to participate in pre-selection clarifications (such as travel or other

presentation costs) are Application costs and are only allowable to awardees as indirect expenses to Federally sponsored projects to the extent that those costs are allowable, allocable and reasonable.

3. Selection

Selection Official Consideration

The Selection Official may consider the merit review recommendation, program policy factors, and the amount of funds available.

4. Discussions and Award

Government Discussions with Applicant

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including, but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the Application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR part 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

C. Anticipated Notice of Selection and Award Dates

Selection and Award Date

- DOE anticipates notifying applicants and making awards in the first quarter of Fiscal Year 2014, contingent upon the availability of funds appropriated by Congress for the purpose of this program.

SECTION VI - AWARD ADMINISTRATION INFORMATION

A. Notice of Selection

1. Notice of Selection

Selected Applicants Notification

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Section IV.G with respect to the allowability of pre-award costs.)

Non-selected Notification

Organizations whose Applications have not been selected will be advised as promptly as possible. This notice will explain why the Application was not selected.

2. Notice of Award

A Financial Assistance Award or Assistance Agreement issued by the Contracting Officer is the authorizing award document. It normally includes, either as an attachment or by reference: (1) Special Terms and Conditions; (2) Applicable program regulations, if any; (3) Application as approved by DOE; (4) DOE assistance regulations at 10 CFR part 600; (5) National Policy Assurances To Be Incorporated As Award Terms; (6) Intellectual Property Provisions; (7) Statement of Project Objectives; (8) Federal Assistance Reporting Checklist, which identifies the reporting requirements; and (9) Budget Summary.

For grants made to universities, non-profits and other entities subject to OMB Circular A-110, the Award also includes the Research Terms and Conditions and the DOE Agency Specific Requirements located at: <http://www.nsf.gov/bfa/dias/policy/rtr/index.jsp>.

B. Administrative Requirements, National Policy Requirements, and Applicant Representations and Certifications

1. Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in Title 10 CFR Part 600 (See: [10 CFR 600](http://www.ecfr.gov/g10/cfrpt600)). Grants and cooperative agreements made to universities, non-profits and other entities subject to Title 10 CFR Part 600 are subject to the Research Terms and Conditions located on the National Science Foundation web site at: <http://www.nsf.gov/bfa/dias/policy/rtr/index.jsp>.

DUNS and SAM Requirements

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR, Part 25 (See: <http://ecfr.gpoaccess.gov>). Prime awardees must keep their data at the System for Award Management (SAM) current at <https://www.sam.gov>. SAM is the government-wide system that replaced the CCR. If you had an active registration in the CCR, you have an active registration in SAM. Subawardees at all tiers must obtain DUNS numbers and provide the DUNS to the prime awardee before the subaward can be issued.

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. (See: <http://ecfr.gpoaccess.gov>). Prime awardees must register with the new FSRS database and report the required data on their first tier subawardees. Prime awardees must report the executive compensation for their own executives as part of their registration profile in the System for Award Management (SAM).

Subcontracts and Agreements with DOE National Laboratories

Please be advised that those entities that form teams with DOE National Laboratories in which the Laboratory is a Prime Recipient (i.e., lead participant) will be required to enter into subcontracts or agreements with the Laboratory. As such, the terms and conditions of the Management and Operating contract between the Laboratory and the Department of Energy will be in effect for any subcontracts and agreements, and not the traditional provisions associated with a financial assistance award. National Laboratories acting as Prime Recipients must make all applicable terms and conditions available to their potential subcontractors or potential parties to an agreement prior to submission of their applications. Any entities considering such teaming arrangements should request the Laboratory to provide the applicable terms and conditions prior to the Prime Recipient submitting a response to this FOA.

2. Special Terms and Conditions, National Policy Requirements, and Applicant Representations and Certifications

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at:

<http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>.

The National Policy Assurances To Be Incorporated as Award Terms are located at

<http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>

Applicant Representations and Certifications

Corporate Felony Conviction and Federal Tax Liability Representations (March 2012)

By submitting an Application in response to this FOA the applicant represents that:

(1) It is **not** a corporation that has been convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal law within the preceding 24 months,

(2) **No** officer or agent of the corporation have been convicted of a felony criminal

violation for an offence arising out of actions for or on behalf of the corporation under Federal law in the past 24 months,

- (3) 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.

Applicant Lighting Efficiency Certification (April 2012)

In submitting an Application in response to this FOA the applicant certifies that if chosen for a **grant** award and the award is in excess of \$1,000,000 it will, by the end of the Federal Government's fiscal year, upgrade the efficiency of its facilities by replacing any incandescent lighting of the type for which section 325 of the Energy Policy and Conservation Act (42 USC 6295) establishes a standard that does not meet or exceed the energy efficiency standard for incandescent light bulbs set forth in that section with a lamp that meets or exceeds the standards for lamps established in or pursuant to that section.

Incandescent reflector lamps shall meet or exceed the lamp efficacy standards shown in the table:

Rated lamp wattage	Lamp spectrum	Lamp diameter (inches)	Rated voltage	Minimum average lamp efficacy (lm/W)
40-205	Standard Spectrum	>2.5	≥125V	6.8*P ^{0.27}
			<125V	5.9*P ^{0.27}
		≤2.5	≥125V	5.7*P ^{0.27}
			<125V	5.0*P ^{0.27}
40-205	Modified Spectrum	>2.5	≤125V	5.8*P ^{0.27}
			<125V	5.0*P ^{0.27}
		≤2.5	≥125V	4.9*P ^{0.27}
			<125V	4.2*P ^{0.27}

Note 1: P is equal to the rated lamp wattage, in watts.

Note 2: Standard Spectrum means any incandescent reflector lamp that does not meet the definition of modified spectrum in 10 CFR 430.2.

Subject to the exemption below, the standards specified in this section shall apply to ER incandescent reflector lamps, BR incandescent reflector lamps, BPAR incandescent reflector lamps, and similar bulb shapes.

Subject to the exemption below, the standards specified in this section shall apply to incandescent reflector lamps with a diameter of more than 2.25 inches, but not more than 2.75 inches.

Exemption: The standards specified in this section shall not apply to the following types of incandescent reflector lamps:

- (A) Lamps rated at 50 watts or less that are ER30, BR30, BR40, or ER40 lamps;
- (B) Lamps rated at 65 watts that are BR30, BR40, or ER40 lamps; or
- (C) R20 incandescent reflector lamps rated 45 watts or less.

For purposes of this Certification, the following definitions apply:

- (A) Facilities mean the room(s), area(s), or building(s) that are used to complete a majority of the work under the project.
- (B) In excess of \$1,000,000 means the total value of the grant including all budget periods funded with Federal funds and recipient cost share is greater than \$1,000,000.
- (C) Federal Government's fiscal year begins October 1st and ends September 30th.
- (D) Except as provided in subparagraph (4) below, the term "incandescent lamp" means a lamp in which light is produced by a filament heated to incandescence by an electric current, including only the following:
 - (1) Any lamp (commonly referred to as lower wattage nonreflector general service lamps, including any tungsten-halogen lamp) that has a rated wattage between 30 and 199 watts, has an E26 medium screw base, has a rated voltage or voltage range that lies at least partially within 115 and 130 volts, and is not a reflector lamp.
 - (2) Any lamp (commonly referred to as a reflector lamp) which is not colored or designed for rough or vibration service Applications, that contains an inner reflective coating on the outer bulb to direct the light, an R, PAR, ER, BR, BPAR, or similar bulb shapes with E26 medium screw bases, a rated voltage or voltage range that lies at least partially within 115 and 130 volts, a diameter which exceeds 2.25 inches, and has a rated wattage that is 40 watts or higher.
 - (3) Any general service incandescent lamp (commonly referred to as a high- or higher-wattage lamp) that has a rated wattage above 199 watts (above 205 watts for a high wattage reflector lamp).

- (4) The term “incandescent lamp” does not include any lamp excluded by the Secretary, by rule, as a result of a determination that standards for such lamp would not result in significant energy savings because such lamp is designed for special Applications or has special characteristics not available in reasonably substitutable lamp types.
- (E) The term “base” means the portion of the lamp which connects with the socket as described in ANSI C81.61–1990.
- (F) The term “bulb shape” means the shape of lamp, especially the glass bulb with designations for bulb shapes found in ANSI C79.1–1980 (R1984).
- (G) The term “lamp efficacy” means the lumen output of a lamp divided by its wattage, expressed in lumens per watt (LPW).
- (H) The term “lamp wattage” means the total electrical power consumed by a lamp in watts, after the initial seasoning period referenced in the appropriate IES standard test procedure and including, for fluorescent, arc watts plus cathode.

3. Intellectual Property Provisions

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>

4. Statement of Substantial Involvement

DOE will be substantially involved in the work performed under the resulting award for Topic Area 2, ensuring the project is the most beneficial to achieving the goals and objectives of the Wind and Water Power Technologies Office (WWPTO). This substantial involvement includes coordination of efforts between the awardee and NREL, and participation in the review and publication of the final report. DOE has the right to intervene in the conduct or performance of project activities for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities.

C. Reporting

Reporting requirements will be identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement.

Typical reporting requirements include but are not limited to:

- Quarterly Progress Reports
- Quarterly and Final SF-425 Federal Financial Report
- Final Scientific Report
- Final Patent Certification
- SF-428 & 428B Final Property Report
- Annual Indirect Cost Proposal

- Audit of For-Profit Recipients
- Periodic progress update meetings
- As needed, the DOE may request that you present on the progress and status of your project in a public or private forum

SECTION VII - QUESTIONS/AGENCY CONTACTS

A. Questions

Questions regarding the content of this announcement must be submitted to: CHFOA832@go.doe.gov not later than 3 business days prior to the Application due date.

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 have 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

SECTION VIII - OTHER INFORMATION

A. Amendments

Amendments to this announcement will be posted on the EERE eXCHANGE web site and the Grants.gov system. However, you will only receive an email when an amendment or an announcement 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 announcements.

B. Government Right to Reject or Negotiate

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

C. Commitment of Public Funds

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

Funding for all awards and future budget periods is contingent upon availability of funds appropriated by Congress for the purpose of this program.

D. Proprietary Application Information

DOE will use data and other information contained in Applications strictly for evaluation purposes. Applicants should not include confidential, proprietary, or privileged information in their Applications unless such information is necessary to convey an understanding of the proposed project.

Applications containing confidential, proprietary, or privileged information must be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the Freedom of Information Act or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information, and may use or disclose such information for any purpose.

The cover sheet of the Application 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 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.

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.

E. Evaluation and Administration by Non-Federal Personnel

In conducting the merit review evaluation, 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.

F. Intellectual Property Developed under this Program

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See “Notice of Right to Request Patent Waiver” in paragraph G below.)

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE’s own needs or to insure the commercialization of technology developed under a DOE agreement.

G. Notice Regarding Eligible/Ineligible Activities

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

H. 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).

I. Notice of Potential Disclosure under Freedom of Information Act

Applicants should be advised that identifying information regarding all applicants, including applicant names and/or points of contact, may be subject to public disclosure under the Freedom of Information Act, whether or not such applicants are selected for negotiation of award.

J. Lobbying Restrictions

By accepting funds under this award, you agree 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.

SECTION IX - REFERENCE MATERIAL

Appendix A – Definitions

“Amendment” means a revision to a Funding Opportunity Announcement

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

"Application" means the documentation submitted in response to a Funding Opportunity Announcement.

“Authorized Organization Representative (AOR)” is the person with assigned privileges who is authorized to submit grant Applications through Grants.gov on behalf of an organization. The privileges are assigned by the organization’s E-Business Point of Contact designated in the SAM.

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

"Budget" means the cost expenditure plan submitted in the Application, including both the DOE contribution and the applicant Cost Share.

"Consortium (plural consortia)" means the group of organizations or individuals that have chosen to submit a single Application in response to a Funding Opportunity Announcement.

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

"Cooperative Agreement" means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and Substantial Involvement (see definition below) is anticipated between DOE and the applicant during the performance of the contemplated activity. Refer to [10 CFR 600.5](#) for additional information regarding cooperative agreements.

"Cost Sharing" means the respective share of Total Project Costs to be contributed by the applicant and by DOE. The percentage of applicant Cost Share is to be applied to the Total Project Cost (i.e., the sum of applicant plus DOE Cost Shares) rather than to the DOE contribution alone.

“Data Universal Numbering System (DUNS) Number” is a unique nine-character identification number issued by Dun and Bradstreet (D&B). Organizations must have a DUNS number prior to registering in the SAM. Call 1-866-705-5711 to receive one free of charge.

“E-Business Point of Contact (POC)” is the individual who is designated as the Electronic Business Point of Contact in the SAM registration. This person is the sole authority of the organization with the capability of designating or revoking an individual’s ability to conduct SAM transactions.

“E-Find” is a Grants.gov webpage where you can search for Federal Funding Opportunities in FedGrants. <http://www.grants.gov/search/searchHome.do>

“EERE Exchange” is the Department of Energy, Energy Efficiency and Renewable Energy’s web system for posting Federal Funding Opportunity Announcements and receiving Applications. [EERE eXCHANGE website](#)

"Financial Assistance" means the transfer of money or property to an applicant or Participant to accomplish a public purpose of support authorized by Federal statute through Grants or Cooperative Agreements and sub-awards. For DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

“FedConnect” is where federal agencies make awards via the web. <https://www.fedconnect.net/FedConnect/>

“Federally Funded Research and Development Center (FFRDC)” means a research laboratory as defined by Federal Acquisition Regulation 35.017.

“Funding Opportunity Announcement (FOA)” is a publicly available document by which a Federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program.

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

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

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

"Key Personnel" mean the individuals who will have significant roles in planning and implementing the proposed Project on the part of the applicant and Participants, including FFRDCs.

"Marketing Partner Identification Number (MPIN)" is a very important password designated by your organization when registering in SAM. The E-Business Point of Contact will need the MPIN to assign privileges to the individual(s) authorized to perform SAM transactions on behalf of your organization. The MPIN must have 9 digits containing at least one alpha character (must be in capital letters) and one number (no spaces or special characters permitted).

"Participant" for purposes of this Funding Opportunity Announcement only, means any entity, except the applicant substantially involved in a Consortium, or other business arrangement (including all parties to the Application at any tier), responding to the Funding Opportunity Announcement.

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

"Project" means the set of activities described in an Application, State plan, or other document that is approved by DOE for Financial Assistance (whether such Financial Assistance represents all or only a portion of the support necessary to carry out those activities).

"Proposal" is the term used to describe the documentation submitted in response to a Funding Opportunity Announcement. Also see Application.

"Recipient" means the organization, individual, or other entity that receives a Financial Assistance Award from DOE, is financially accountable for the use of any DOE funds or property provided for the performance of the Project, and is legally responsible for carrying out the terms and condition of the award.

"System for Award Management (SAM)" is the primary database which collects, validates, stores and disseminates data in support of agency missions (<https://www.sam.gov>).

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

"Selection Official" means the DOE official designated to select Applications for negotiation toward Award under a subject Funding Opportunity Announcement.

"Substantial Involvement" means involvement on the part of the Government. DOE's involvement may include shared responsibility for the performance of the Project; providing technical assistance or guidance which the applicant is to follow; and the right to intervene in the conduct or performance of the Project. Such involvement will be negotiated with each applicant prior to signing any agreement.

"Technology Investment Agreement (TIA)" is a type of assistance instrument used to support or stimulate research projects involving for-profit firms, especially commercial firms that do business

primarily in the commercial marketplace. TIAs are different from grants and cooperative agreements in that the award terms may vary from the Government-wide standard terms (See DOE TIA regulations at 10 CFR Part 603). The primary purposes for including a TIA in the type of available award instruments are to encourage non-traditional Government contractors to participate in an R&D program and to facilitate new relationships and business practices. A TIA can be particularly useful for awards to consortia (See 10 CFR 603.225(b) and 603.515, Qualification of a consortium).

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

"Tribal Energy Resource Development Organization or Group" 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.

Appendix B – Personally Identifiable Information

In responding to this Announcement, Applicants must ensure that Protected Personally Identifiable Information (PII) is not included in the following documents: Project Abstract, Project Narrative, Biographical Sketches, Budget or Budget Justification. These documents will be used by the Merit Review Committee in the review process to evaluate each Application. PII is defined by the Office of Management and Budget (OMB) and DOE as:

Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.

This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

- a. **Public PII:** PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.
- b. **Protected PII:** PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

Listed below are examples of Protected PII that applicants must not include in the files listed above to be evaluated by the Merit Review Committee.

- Social Security Numbers in any form
- Place of Birth associated with an individual
- Date of Birth associated with an individual
- Mother's maiden name associated with an individual
- Biometric record associated with an individual
- Fingerprint
- Iris scan
- DNA
- Medical history information associated with an individual
- Medical conditions, including history of disease
- Metric information, e.g. weight, height, blood pressure
- Criminal history associated with an individual
- Employment history and other employment information associated with an individual
- Ratings
- Disciplinary actions

- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal
- Financial information associated with an individual
- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

Listed below are examples of Public PII that applicants may include in the files listed above to be evaluated by the Merit Review Committee:

- Phone numbers (work, home, cell)
- Street addresses (work and personal)
- Email addresses (work and personal)
- Digital pictures
- Medical information included in a health or safety report
- Employment information that is not PII even when associated with a name
- Resumes, unless they include a Social Security Number
- Present and past position titles and occupational series
- Present and past grades
- Present and past annual salary rates (including performance awards or bonuses, incentive awards, merit pay amount, Meritorious or Distinguished Executive Ranks, and allowances and differentials)
- Present and past duty stations and organization of assignment (includes room and phone numbers, organization designations, work email address, or other identifying information regarding buildings, room numbers, or places of employment)
- Position descriptions, identification of job elements, and those performance standards (but not actual performance appraisals) that the release of which would not interfere with law enforcement programs or severely inhibit agency effectiveness
- Security clearances held
- Written biographies (e.g. to be used in a program describing a speaker)
- Academic credentials
- Schools attended
- Major or area of study
- Personal information stored by individuals about themselves on their assigned workstation or laptop unless it contains a Social Security Number

Appendix C – 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, 10 CFR Part 600, 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 Part 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. 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%

See the sample cost share calculation for a blended cost share percentage below. **Keep in mind that FFRDC funding is DOE funding.**

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 a 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:

- Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations are found at

10 CFR 600.123;

- State and Local Governments are found at 10 CFR 600.224;
- For-profit Organizations are found at 10 CFR 600.313.

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.

Following is a link to the DOE Financial Assistance Regulations. You can click on the specific section for each Code of Federal Regulations reference mentioned above.

[DOE Financial Assistance Rules \(10 CFR 600\)](#)

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:

(A) *Acceptable contributions.* All contributions, including cash contributions and third party in-kind contributions, must be accepted as part of the recipient's cost sharing if such contributions meet all of the following criteria:

- (1) They are verifiable from the recipient's records.
- (2) They are not included as contributions for any other federally-assisted project or program.
- (3) They are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
- (4) They are allowable under the cost principles applicable to the type of entity incurring the cost as follows:

(a) *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 costs 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](#)

(b) *Other types of organizations.* Allowability of costs incurred by other types of organizations that may be subrecipients under a prime award is determined as follows:

(i) *Institutions of higher education.* Allowability is determined in accordance with: [2 CFR 220 Cost Principles for Educational Institutions](#)

(ii) *Other nonprofit organizations.* Allowability is determined in accordance with: [2 CFR 230 Cost Principles for Nonprofit Organizations](#)

(iii) *Hospitals.* Allowability is determined in accordance with the provisions of: [Title 45 Appendix E to Part 74—Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts With Hospitals](#)

(iv) *Governmental organizations.* Allowability for State, local, or federally recognized Indian tribal government is determined in accordance with: [PART 225—Cost Principles for State, Local, and Indian Tribal Governments \(OMB Circular A-87\)](#)

(5) They are not paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing or matching.

(6) They are provided for in the approved budget.

(B) *Valuing and documenting contributions*

(1) *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:

- (a) The certified value of the remaining life of the property recorded in the recipient's accounting records at the time of donation; or
- (b) 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.

- (2) *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.
- (3) *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.
- (4) *Valuing property donated by third parties.*
- (a) 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.
 - (b) 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:
 - (i) 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.
 - (ii) The value of loaned equipment must not exceed its fair rental value.
- (5) *Documentation.* The following requirements pertain to the recipient's supporting records for in-kind contributions from third parties:
- (a) Volunteer services must be documented and, to the extent feasible, supported by the same methods used by the recipient for its own employees.
 - (b) The basis for determining the valuation for personal services and property must be documented.

SAMPLE COST SHARE CALCULATION FOR BLENDED COST SHARE PERCENTAGE

The following example shows the math for calculating required cost share for a project with \$2,000,000 in Federal funds with four tasks requiring different Non-federal cost share percentages:

<u>Task</u>	<u>Proposed Federal Share</u>	<u>Required Federal Share %</u>	<u>Non-federal Cost Share %</u>
Task 1 (R&D)	\$1,000,000	80%	20%
Task 2 (R&D)	500,000	80%	20%
Task 3 (Demonstration)	400,000	50%	50%
Task 4 (Outreach)	<u>100,000</u>	100%	0%
	\$2,000,000		

Federal share (\$) divided by Federal share (%) = Task Cost

Each task must be calculated individually as follows:

Task 1

\$1,000,000 divided by 80% = \$1,250,000 (Task 1 Cost)

Task 1 Cost minus federal share = Non-federal share

\$1,250,000 - \$1,000,000 = **\$250,000 (Non-federal share)**

Task 2

\$500,000 divided 80% = \$625,000 (Task 2 Cost)

Task 2 Cost minus federal share = Non-federal share

\$625,000 - \$500,000 = **\$125,000 (Non-federal share)**

Task 3

\$400,000 / 50% = \$800,000 (Task 3 Cost)

Task 3 Cost minus federal share = Non-federal share

\$800,000 - \$400,000 = **\$400,000 (Non-federal share)**

Task 4

Federal share = \$100,000

Non-federal cost share is not mandated for outreach = **\$0 (Non-federal share)**

The calculation may then be completed as follows:

<u>Task</u>	<u>Proposed Federal Share</u>	<u>Federal Share %</u>	<u>Required Non-federal Cost Share \$</u>	<u>Required Non-federal Cost Share %</u>	<u>Total Project Cost</u>
Task 1	\$1,000,000	80%	\$250,000	20%	\$1,250,000
Task 2	500,000	80%	125,000	20%	625,000
Task 3	400,000	50%	400,000	50%	800,000
Task 4	<u>100,000</u>	100%	<u>0</u>	0%	<u>100,000</u>
	\$2,000,000		\$775,000		\$2,775,000

Blended Cost Share %

Non-federal share (\$775,000) divided by Total Project Cost (\$2,775,000) = 27.9% (Non-federal)

Federal share (\$2,000,000) divided by Total Project Cost (\$2,775,000) = 72.1% (Federal)

Appendix D – Statement of Project Objectives (SOPO) Template

STATEMENT OF PROJECT OBJECTIVES

[Recipient Name]

[Project Title]

All of the information to be included in the SOPO should be consistent with the Application upon which the award is based. The SOPO should be written for public disclosure, and, generally, the total length should not exceed 4-5 pages.

The following items should not be included in the SOPO:

- *Dollar amounts.*
- *Specific dates.*
- *Subcontractors by name. The award is with the prime and, as such, the SOPO should not reference the subcontractors.*
- *Intellectual property information or data.*

A. **PROJECT OBJECTIVES**

[Enter a clear and concise statement of the goals and objectives of the project as well as the expected outcomes.]

B. **PROJECT SCOPE**

[Include a general overview description of the project. Refer to the DOE Program or Division (for example: Hydrogen, Fuel Cells, and Infrastructure Technologies Program; Buildings and Industrial Technologies Division; etc.) objectives that the project is addressing. This section should be only 1-2 paragraphs long.]

C. **TASKS TO BE PERFORMED**

Reports and other deliverables will be provided in accordance with the Federal Assistance Reporting Checklist following the instructions included therein.

[For each Task and Subtask, enter 1-2 paragraphs describing the purpose, approach, and expected outcomes. Include project milestones (do not include dates), where appropriate. If applicable, the Tasks should be organized by project phases/budget periods which correspond to major project milestones or decision points.]

Below is an example of the type of Task structure desired:

Task 1.0 [Insert Title]

[Insert Description]

Task 2.0 [Insert Title]

[Insert Description]

Subtask 2.1 [Insert Title]

[Insert Description]

Subtask 2.2 [Insert Title]

[Insert Description]

Task 3.0 [Insert Title]

[Insert Description]

Task 4.0 [Insert Title]

[Insert Description]

Task X.0 Project Management and Reporting *(Optional paragraph, per discussion with the DOE Project Officer)*

Additional deliverables (for example, hardware delivered for testing or Peer Review Meetings / Project Review Meetings) not specified in the Reporting Checklist should be included in this Task Description.]