Cleantech University Prize (Cleantech UP)
Second Informational Applicant Webinar

U.S. DEPARTMENT OF ENERGY | Energy Efficiency & Renewable Energy

Cleantech University Prize (Cleantech UP)

CleantechUPFOA@ee.doe.gov

FOA Webinar

DE-FOA-0001271

March 17, 2015

Anticipated Schedule:

FOA Issue Date:	2/11/2015
FOA Informational Webinar #2:	2:00pm ET 03/17/2015
Submission Deadline for Full Applications:	5:00pm ET 04/16/2015
Submission Deadline for Replies to Reviewer Comments:	5:00pm ET 05/06/2015
Expected Date for EERE Selection Notifications:	By end of June 2015
Expected Timeframe for Award Negotiations:	By late August 2015

Notice

- DOE strongly encourages applicants to carefully read the Funding Opportunity Announcement DE-FOA-0001271 **("FOA")** and adhere to the stated submission requirements.
- This presentation summarizes the contents of the FOA. If there are any inconsistencies between the FOA and this presentation or statements from DOE personnel, the FOA is the controlling document. Applicants should rely on the FOA language and seek clarification from EERE.
- If you believe there is an inconsistency, please contact CleantechUPFOA@ee.doe.gov.

Protocol for Questions During this Webinar

- Because of the requirement to provide equal access to information for all possible applicants, questions will not be answered during this Webinar.
- All questions asked during this presentation will be recorded and then posted and answered on EERE Exchange under the **FOA DOCUMENTS** section. All questions will be answered and can be accessed in the "FOA FAQs" link, which will open up the Excel workbook
- In addition, all information provided during this Webinar, including this presentation, will be posted on EERE Exchange.

Agenda

1) Topic Areas/Technical Areas of Interest
2) Award Information
3) Statement of Substantial Involvement
4) Cost Sharing
5) Full Applications
6) Merit Review
7) Pre-Selection Interviews
8) Selection Process
9) Registration Requirements

FOA Description

Program Structure

To support collegiate competitions and energy entrepreneurs, this FOA is organized into two topics:

1. *Cleantech UP Hub*

   In its role as the central organizing body, the Cleantech UP Hub (Hub) will perform four critical functions:

   1. Develop a premier clean energy entrepreneurship training program, including instruction in commercialization and preparation for the Cleantech UP National Competition (National Competition);
   2. Build capacity within the clean energy student entrepreneurship community;
   3. Act as a clearing house and learning lab for best practices in clean energy entrepreneurship education across the Cleantech UP network and institutions of higher education; and
   4. Organize the National Competition—the culmination of the Cleantech UP Collegiate Competitions—and award the $100,000 Cleantech UP National Prize (National Prize), in coordination with DOE.

2. *Cleantech UP Collegiate Competitions*

   Each Cleantech UP Collegiate Competition (Collegiate Competition) will support the earliest development of teams and their training, and each will perform two key activities:

   1. Establish and run an annual competition, which can include team development and training; and
   2. Award an annual $50,000 Collegiate Prize.

The Cleantech UP program comprises of four stages: (1) Collegiate Competitions recruit and prepare student teams; (2) each Collegiate Competition awards its Collegiate Prize; (3) Hub provides commercialization and entrepreneurship training for Collegiate Competition winners; and (4) Hub coordinates with DOE to organize the National Competition, where students compete for the National Prize in the culmination of a nearly year-long process.

Topic Areas/Technical Areas of Interest

Topic 1- Cleantech UP Hub (1 award)

$700,000; 3 year period of performance

50% cost share requirement

The Cleantech UP Hub serves as an important central organization that runs a national-level competition for student cleantech entrepreneurs. This topic expands previous activities by emphasizing the importance of coordinating entrepreneurial education activities across the country. Additionally, the Hub serves as a platform for communicating the importance of competitions as catalysts for forming start-ups and inspiring innovators.

To produce a nationally-recognized program and provide value to the community, the Hub acts as a living lab for best practices in clean energy entrepreneurship; provides training for the top student teams, hosts a National Competition, and provides capacity and network building for the student entrepreneurship community.

Topic Areas/Technical Areas of Interest

Topic 2 – Cleantech UP Collegiate Competitions (up to 8 awards)

$1,800,000 ($225,000 per award); 3 year period of performance

20% cost share requirement

The Collegiate Competitions recruit teams from their universities and regions—and potentially nationally. They prepare teams as they form and act as the early catalyst for company formation. Collegiate Competitions execute annual contests and each awards a $50,000 prize for the winning team. The winners are eligible to compete in the National Competition.

Non-Responsive Applications

DOE will deem the following types of applications nonresponsive and will not review or consider them for an award:

- Applications that fall outside the technical or programmatic parameters specified in Section I.B of the FOA.

Award Information

Total Amount to be Awarded	**$2,500,000***
Average Award Amount	EERE anticipates making awards in the amounts of: Topic 1- Cleantech UP: Hub (1 award), $700,000 Topic 2- Cleantech UP: Collegiate Competitions (up to 8 awards), up to $225,000
Types of Funding Agreements	Cooperative Agreements
Period of Performance	36 months
Cost Share Requirement	Topic 1: 50% of Total Project Costs Topic 2: 20% of Total Project Costs

*Subject to the availability of appropriated funds

Statement of Substantial Involvement

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

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

Statement of Substantial Involvement - Continued

4. EERE participates in major project decision-making processes. EERE reviews and, in a timely manner, approves project plans, including project management, testing and technology transfer plans, recommending alternate approaches, if the plans do not address the critical programmatic issues.
5. EERE promotes and facilitates technology transfer activities, including disseminating Technology Office results through presentations and publications.

Cost Sharing Requirements

Cost Share Percentages:

Topic 1- Cleantech UP: Hub Cost Share 50%

Topic 2- Cleantech UP: Collegiate Competitions Cost Share 20%

The cost share must be at least 50% under Topic 1- Cleantech UP: Hub, and at least 20% under Topic 2- Cleantech UP: Collegiate Competitions. The total allowable costs (i.e., the sum of the Government share, including FFRDC costs if applicable, and the recipient share of allowable costs equals the total allowable cost of the project) must come from non-Federal sources unless otherwise allowed by law. (See 2 CFR 200.306 & 2 CFR 910.130 for the applicable cost sharing requirements.

To assist Applicants in calculating proper cost share amounts, EERE has included a cost share information sheet and sample cost share calculation as Appendices B and C to this Funding Opportunity Announcement.

Cost Share Contributions

- Contributions must be:
  - Specified in the project budget
  - Verifiable from the Prime Recipient's records
  - Necessary and reasonable for proper and efficient accomplishment of the project
- The Contracting Officer must review all proposed cost share contributions in advance. The project budget must incorporate all proposed cost share contributions before the expenditures are incurred.

Allowable Cost Share

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

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

Allowable Cost Share

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

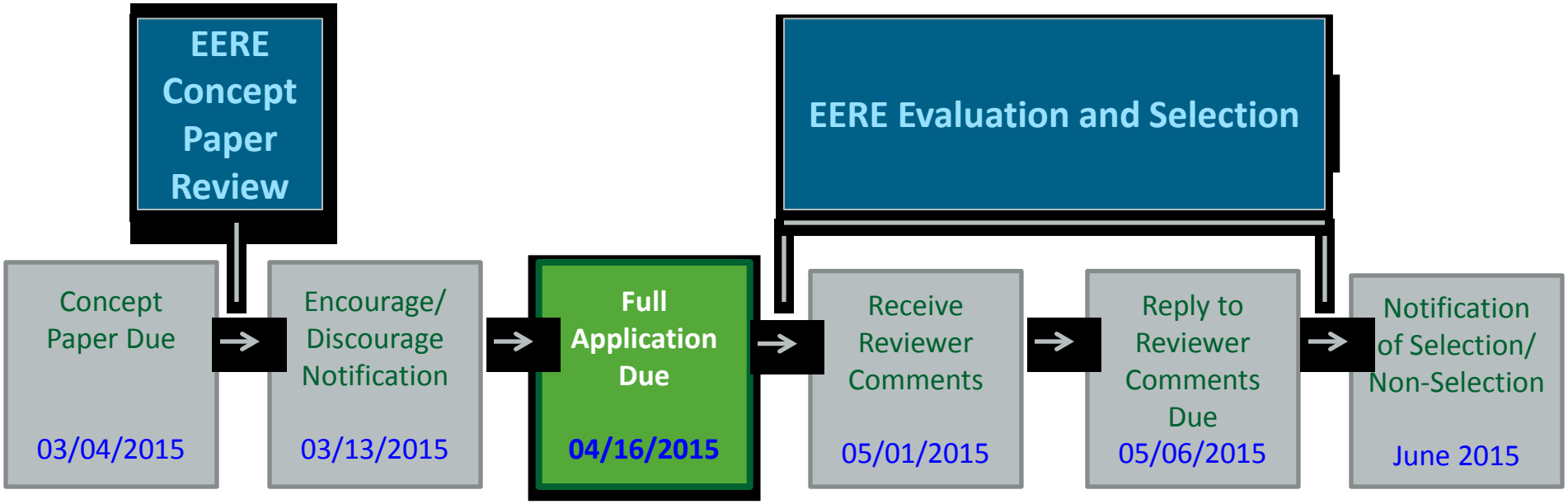
Unallowable Cost Share

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

Cost Share Payment

- Recipients must provide documentation of the cost share contribution incrementally over the life of the award.
- At a minimum, the cumulative cost share percentage on each invoice must reflect the negotiated cost sharing percentage.
- In limited circumstances, and where it is in the government's interest, the EERE Contracting Officer may approve a Prime Recipient's request to meet its cost share requirements on a less frequent basis, such as monthly or quarterly. See Section III.B.7 of the FOA.

FOA Timeline



EERE anticipates making awards by the end of August 2015

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Full Applications

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

Full Applications: Technical Volume Content

Technical Volume:

The key technical component of the Full Application

Content of Technical Volume	Suggested % of Technical Volume
Cover Page	
Project Overview	10%
Technical Description, Innovation, and Impact	25%
Workplan	50%
Technical Qualifications and Resources	15%

The Technical Volume may not be more than twenty (20) pages.

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Who's Eligible to Apply?

Eligible applicants for this FOA include:

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

For more details about eligibility requirements, please see Section III.A of the FOA.

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

Full Application Compliance Requirements

- The Full Application is compliant per Section III.C of FOA:
  - The Applicant submitted a compliant Concept Paper;
  - The Full Application complies with the content and form requirements in Section IV.D of the FOA; and
  - The Applicant successfully uploaded all required documents and clicked the "Submit" button in EERE Exchange by the deadline stated in the FOA.

- The Cost Share requirement is satisfied:
  - Topic 1- Cleantech UP: Hub 50%
  - Topic 2- Cleantech UP: Collegiate Competitions 20%

  Please see Section III.B of the FOA for more information.

Full Application Requirements

- The proposed project is responsive.
  - Nonresponsive Applications that fall outside the technical or programmatic parameters specified in Section I.B will not be reviewed or considered.
- Applicants may only submit one Full Application for each topic area of this FOA. If an applicant submits more than one Full Application to the same topic area, EERE will only consider the last timely submission for evaluation. Any other submissions received listing the same applicant for the same topic area will be considered noncompliant and not eligible for further consideration.
  - This limitation does not prohibit an applicant from collaborating on other applications (e.g., as a potential Subrecipient or partner) so long as the entity is only listed as the Prime Applicant on one Full Application submitted under this FOA.
- The Full Application meets any other requirements listed in Section III of the FOA.

Multiple Applications

Applicants may submit **one application** to each **topic area** of this FOA. For example, an Applicant may submit an application to Topic 1 and a separate application to Topic 2.

Please see Section F of the FOA for more information.

Merit Review and Selection Process (Full Applications)

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

Full Applications Technical Merit Review Criteria

Criterion 1: Technical Merit, Innovation, and Impact (40%)

Technical Merit and Innovation

- Extent to which the proposed program or process is innovative and has the potential to advance the state of the sector;
- Extent to which the application specifically and convincingly demonstrates how the applicant will advance performance and best practices; and
- Sufficiency of technical detail in the application to assess whether the proposed work is meritorious and revolutionary, including relevant data, discussion of prior work, literature review, and analysis that supports the viability of the proposed work.

Impact of Advancement

- How the project supports the topic area objectives and target specifications and metrics; and
- The potential impact of the project on advancing sector best practices and increasing market acceleration.

Full Applications Technical Merit Review Criteria

Criterion 2: Project Research and Market Transformation Plan (40%)

Research Approach and Workplan

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

Identification of Programmatic Risks

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

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Full Applications Technical Merit Review Criteria

Criterion 2: Project Research and Market Transformation Plan (40%) - continued

Baseline, Metrics, and Deliverables

- The level of clarity in the definition of the baseline, metrics, and milestones; and
- Relative to a clearly defined baseline, the strength of the quantifiable metrics, milestones, and mid-point deliverables defined in the application, such that meaningful interim progress will be made.

Market Transformation Plan

- Identification of target market, competitors, and distribution channels for proposed program along with known or perceived barriers to market penetration, including mitigation plan; and
- Comprehensiveness of sustainability plan including but not limited to product development and/or service plan, financing, product marketing, legal/regulatory considerations including intellectual property, infrastructure requirements, data dissemination, and product distribution.
- The strength of a plan that promotes sustained movement of clean energy technologies into the marketplace beyond the award period.

Full Applications Technical Merit Review Criteria

Criterion 3: Team and Resources (20%)

- The capability of the Principal Investigator(s) and the proposed team to address all aspects of the proposed work with a good chance of success. Qualifications, relevant expertise, and time commitment of the individuals on the team;
- The sufficiency of the facilities to support the work;
- Degree to which the proposed consortia/team demonstrates the ability to facilitate and expedite further development and commercial deployment of the clean energy technologies;
- Level of participation by project participants as evidenced by letter(s) of commitment and how well they are integrated into the workplan; and
- Reasonableness of budget and spend plan for proposed project and objectives.

Replies to Reviewer Comments

- EERE provides applicants with reviewer comments
- Applicants are not required to submit a Reply; it is optional
- To be considered by EERE, the applicant must submit a Reply by 5:00pm ET May 6, 2015 through EERE Exchange
- Content and form requirements:

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

Pre-Selection Interviews

- EERE may invite one or more applicants to participate in Pre-Selection Interviews.
- All interviews will be conducted in the same format.
- EERE will not reimburse applicants for travel and other expenses related to Pre-Selection Interviews, nor will these costs be eligible for reimbursement as pre-award costs.
- Participation in Pre-Selection Interviews with EERE does not signify that applicants have been selected for award negotiations.

Selection Factors

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

Program Policy Factors

- The degree to which the proposed project, including proposed cost share, optimizes the use of available EERE funding to achieve programmatic objectives;
- The level of industry involvement and demonstrated ability to commercialize energy or related technologies;
- Technical, market, organizational, and environmental risks associated with the project;
- Whether the proposed project is likely to lead to increased employment and manufacturing in the United States;
- Whether the proposed project will accelerate transformational technological advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty;
- Geographic diversity of selected awardees to ensure national scope;
- The degree to which the proposed project directly addresses EERE's statutory mission and strategic goals; and

Program Policy Factors - continued

- Whether the proposed project will advance the goals of the Climate Action Champion initiative, as committed to by the designated Champion pursuant to its designation agreement. The Climate Action Champion initiative goals include improving climate resilience and reducing greenhouse gas emissions. Note: The Climate Action Champion initiative program policy factor is only applicable to:

  (1) projects proposed by Climate Action Champions [1] as designated under DOE's Request for Applications DE-FOA-0001189;

  (2) projects proposed by a member of a regional collaboration or consortium designated as a Champion; and

[1]… Recently, DOE selected sixteen (16) U.S. local governments and tribal governments – or regional collaborations or consortia thereof – that demonstrated a strong and ongoing commitment to implementing strategies that both reduce greenhouse gas emissions and enhance climate resilience, with a particular emphasis on strategies that further both goals.
http://www.whitehouse.gov/blog/2014/12/03/announcing-first-class-climate-action-champions

Program Policy Factors - continued

(3) projects proposed in a Climate Action Champion community where the applicant submits a letter from the Champion confirming the proposed project would further the Champion's goals under the Climate Action Champion Initiative. If an applicant is seeking receive consideration under (3), the applicant must contact the applicable Champion to obtain a letter of support.

Registration Requirements

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

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

Means of Submission

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

Key Submission Points

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

Applicant Points-of-Contact

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

Questions

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