



WORKING WITH DOE ON CLEAN ENERGY MANUFACTURING INNOVATION INSTITUTES

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Kristen Cadigan
Golden Field Office

Notice

- All applicants are strongly encouraged to carefully read the Funding Opportunity Announcement (FOA) when it is released and adhere to the stated submission requirements.
- If there are any inconsistencies between the FOA and this presentation or statements from DOE personnel, the FOA is the controlling document and applicants should rely on the FOA language and seek clarification from EERE once it is issued.

General FOA Timeline

1. FOA Released
2. Concept Paper submitted to EERE
3. EERE Review of the Concept Papers
4. Applicants Receive Encourage/ Discourage Notification (non-binding)
5. Full Application Due to EERE
6. EERE Conducts Initial Review of Eligible Applications
7. EERE Sends Applicants Reviewer Comments for Response
8. Applicants Provide EERE Responses to Reviewer Comments (optional)
9. Review of Applications and Recommendation to EERE Selection Official
10. Optional In-Person Meetings between EERE and select Applicant Teams
11. Final Review of Applications and Recommendation to EERE Selection Official
12. Selection and Notification to Applicants
13. Award Negotiations

Registration Requirements

- To apply to EERE FOAs, 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:

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>

FOA Content

- **Funding Opportunity Description**
 - Description/Background of the FOA
 - Topic Areas/Technical Areas of Interest
 - Applications Specifically Not of Interest
- **Award Information**
 - Award Overview (funding, performance period, application type)
 - Funding Agreements (type of agreements available)
- **Eligibility Information**
 - Eligibility (who can apply)
 - Cost Sharing requirements
 - Compliance Criteria for applications
 - Other Eligibility Requirements

FOA Content (Continued)

- Application and Submission Requirements
 - Application Process
 - Forms
 - Content Requirement for Submissions
 - Submission Dates and times
 - Funding Restrictions
- Application Review Information
 - Technical Review and Standards
 - Other Selection Factors
 - Evaluation and Selection Process
- Award Administration Information
 - Anticipated Selection and Award Dates
 - Award Notices
 - Administrative and National Policy Requirements
- Questions Process

Teaming Partner List

- EERE is planning to compile a Teaming Partner List to facilitate the formation of new project teams for this FOA. The Teaming Partner List will be available on EERE Exchange with the FOA. The Teaming Partner List will be updated periodically until the close of the Full Application period to reflect new Teaming Partners who have provided their information. Instructions will be provided in the FOA for any organization that would like to be included on this list.

Concept Papers

It is likely Applicants will be required to submit a Concept Paper to be eligible to submit a Full Application

- The purpose of the Concept Paper phase is to save Applicants the considerable time and expense of preparing a Full Application that is unlikely to be selected for award negotiations.
- EERE will provide applicants with an “encourage” or “discourage” notification.
- Applicants may submit a Full Application even if they receive a notification discouraging them from doing so. By discouraging the submission of a Full Application, EERE intends to convey its lack of programmatic interest in the proposed project and do not necessarily reflect judgments on the merits of the proposed project.

Full Applications

- The Full Application typically includes:
 - **SF-424 Application for Federal Assistance:** The formal application signed by the authorized representative of the applicant.
 - **Technical Volume:** The key technical submission - info relating to the technical content, project team members, etc.
 - **Statement of Project Objectives (SOPO)**
 - **SF-424A Budget & Budget Justification:** a detailed budget and spend plan for the project including significant subrecipients
 - **Summary for Public Release**
 - **Summary Slide**
 - **Administrative Documents:** e.g., U.S. Manufacturing Plan, Draft IP Management Plan, Conflict of Interest Statement and Plan, FFRDC Authorization (if applicable), Disclosure of Lobbying Activities, etc.

Evaluation and Selection Process (Full Applications)

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

Replies to Reviewer Comments

- EERE provides Applicants with independent reviewer comments following the evaluation of all eligible full applications.
- Applicants will have approximately three business days to prepare a Reply to Reviewer Comments (“Reply”) to respond to comments.
- Applicants are not required to submit a Reply. It is optional.
- To be considered by EERE, a Reply must be submitted by the deadline and submitted through EERE Exchange.

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 relating to the 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

- Applicants will be promptly notified of their application status, after the Selection process is complete.
- Applicants selected for negotiation for award must be aware that this is a negotiation process with DOE and not a guarantee of an award. It is imperative that the Selectee be responsive during award negotiations and meet negotiation deadlines. Failure to do so may result in cancellation of further award negotiations and rescission of the selection.
- Throughout the award negotiations and the performance of the project, it is critically important that you: 1) respond to EERE personnel in a prompt manner and 2) fill out and submit documentation completely and accurately.

General Award Information

Administrative requirements:

- **2 CFR Part 200 as amended by 2 CFR Part 910.** These are new regulations effective December 26, 2014.

Cost Principles:

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

Cost Share

- **Cost Share** requirement will likely be a minimum 50% of total project costs. The Prime Recipient is responsible for providing the cost share to the project, part of which can be provided by sub-recipients or third parties. The Prime will need to provide commitment letters from sub-recipients or third parties that are providing cost share, whether cash or in-kind.
- Note that all project costs, including cost share, must be allowable per the applicable regulations and cost principles and allocable to the project (i.e. it does not make a difference whether federal funds or cost share funding is involved with the cost – same rules apply to both).
- Cash Contributions may be provided by the prime recipient, subrecipients, or a third party
 - Can include, but are not limited to: personnel costs, indirect costs, facilities and administrative costs.
- Other Contributions
 - Can include, but are not limited to: donated or rental value of buildings or equipment, and the value of a service, other resource, or third party in-kind contribution.

Unallowable Cost Share

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

Cost Share Payment

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

General Award Information

Award Structure:

AWARD DOCUMENT	BRIEF DESCRIPTION
Cover Page	Assistance Agreement Form
Special Terms and Conditions	Special Terms and Conditions
Attachment 1	Statement of Project Objectives (SOPO)
Attachment 2	Reporting Checklist and Instructions
Attachment 3	Budget Information
Attachment 4	Intellectual Property Provisions

The Special Terms and Conditions are developed from a standard set with modifications specific to the recipient's award. A standard set incorporating the new financial assistance regulations will be posted on EERE's website in the near future.

The Statement of Project Objectives (SOPO) is an important part of the award that describes the work to be performed, and will have the milestones and go/no-go decision points for the project.

For guidance documents and templates, see <http://www1.eere.energy.gov/financing/resources.html>

Substantial Involvement of DOE

The anticipated award instrument for awards made under this FOA is a cooperative agreement.

Under a cooperative agreement, substantial involvement is anticipated between the EERE program office and the Recipient during performance of the funded activity. Substantial involvement exists if responsibility for the management, control, or direction of the project is shared by DOE and the Recipient; or responsibility for the performance of the project is shared by DOE and the Recipient. The specific nature of the collaboration is defined in a special award condition entitled “Statement of Substantial Involvement.”

Substantial involvement may involve 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 a Go/No Go decision point.
4. EERE participates in major project decision-making processes.
5. EERE reviews and approves in a timely manner project plans, including project management, testing and technology transfer plans, and recommending alternate approaches, if the plans do not address the critical programmatic issues.
6. EERE participates in project management planning activities, including risk analysis, to ensure EERE Technology Office requirements or limitations are considered in performance of the work elements.
7. EERE promotes and facilitates technology transfer activities, including disseminating Technology Office results through presentations and publications.

Substantial Involvement (continued)

8. EERE participates in any governance or management boards that may be established and may invite other U.S. Government officials for participation in advisory capacity.
9. To adequately monitor project progress and provide direction to the Institute, the Prime Recipient must provide EERE with an adequate level of insight into various Institute activities. Government Insight activities by EERE include attendance at Institute meetings, reviews and tests, and project management and monitoring activities which may result in co-location and physical accommodation of a Federal employee or Federal contractor onsite. The Prime Recipient must notify EERE of meetings, reviews, and tests in sufficient time to permit EERE participation and provide all appropriate documentation for EERE review. The Prime Recipient may be asked to provide a suitable physical location for a Federal employee or contractor for a specific time or as part of ongoing project management and monitoring by EERE.
10. EERE may choose to engage a private, independent engineering (IE) firm to assist in assessing the progress of the project and provide timely and accurate reports to EERE. The Prime Recipient will ensure that the IE has access to any and all relevant documentation sufficient to allow the IE to provide independent evaluations to EERE on the progress of the project. The Prime Recipient may require the IE to sign a non-disclosure agreement, and will negotiate the agreement in good faith and in a timely manner. EERE will evaluate the quality and completeness of information and documentation provided by the Prime Recipient to EERE and its consultants (i.e., IE) in order to allow EERE to provide technical direction to the Prime Recipient about how best to achieve the objectives of the Institute. Consultants to EERE may not provide technical direction to the Prime Recipient.

Closing

It is recommended you review the most recent EERE Institute FOA as many of the requirements will likely be similar. However, please carefully read and respond to the new FOA once issued.

The previous FOA (DE-FOA-0000977) can be accessed at:
<https://eere-exchange.energy.gov>