SunShot Technology to Market (Incubator Program Round 12, SolarMat Program Round 5)

EERE 205: FOA Applicant Webinar Presentation DE-FOA-0001640

November 22, 2016

Slide 1

Good [afternoon/morning], everyone and welcome to our webinar. Thank you for your interest in the U.S. Department of Energy's efforts on renewable energy and energy efficiency. You are joining us for the Informational Webinar for Applicants and other interested parties for the SunShot Technology to Market Funding Opportunity Announcement, or FOA, which was issued on November 14. My name is Kyle Fricker and I am a Technology Manager in the Solar Energy Technologies Office (or SETO) within the DOE's Office of Energy Efficiency and Renewable Energy. We hope to cover the basic aspects of the Funding Opportunity Announcement during this webinar.

Before we begin, I'd like to draw your attention to the email address on the left hand side of this cover page. This is the official mailbox to direct all of your questions during the entire FOA process. Please do not contact EERE individuals directly with questions, including myself. All questions received at this mailbox are posted publicly at the Q&A section of the FOA page on EERE Exchange in an anonymous way. The official answers to your questions will typically also be posted within 3 business days. Please be careful not to submit any language that might be business sensitive, proprietary or confidential.

We will not be doing live Q&A at the end of the webinar, so please type in your questions as they come up. Again, please be careful not to submit any language that might be business sensitive, proprietary or confidential. We will be posting all Q&As to EERE Exchange after the webinar, including those submitted during the FOA webinar. There may be questions that require further discussion with EERE staff and will not be addressed today. If you don't hear your question during the Webinar, please check EERE Exchange in the next few days as the answer will be posted there.

Also, just to be clear, there are no particular advantages or disadvantages to the application evaluation process with respect to participating on the webinar today. Your participation is completely voluntary.

Let's get started!

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This slide shows the anticipated schedule for the FOA. The FOA has already been posted, and we are conducting the FOA Informational Webinar now. Please note that there are a few requirements that we will go over in the presentation that are different than in past FOAs, such as Replies to Reviewer Comments – we will cover all requirements for this FOA later in the presentation.

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The agenda for this presentation is as follows: READ SLIDE

We encourage you to have a copy of the FOA in front of you for reference as we go through the presentation.

Slide 5

The following FOA description is pulled from the FOA summary page. At a high level it outlines the goals of the funding opportunity. We encourage you to read it, and the entire FOA document, in detail before deciding if you should submit an application.

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There are certain areas which are not of interest under this funding opportunity. Please review Section 1.C to make sure that your application does not fall in the areas listed as not of interest. For example: technologies that are not based on science, undifferentiated products, and business plans not supported by market research.

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This is a continuation from the previous slide. Again, read Section 1.C in full. Please note the final bullet, that SETO is interested in applications that involve the use of energy storage, but that SETO is unable to fund fundamental energy storage materials research.

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EERE expects to make approximately $30 million of Federal funding available for new awards under this FOA subject to the availability of appropriated funds. The average award amount is anticipated to range from $300,000 to $5,000,000.

EERE intends to fund mostly cooperative agreements under this FOA, but may also fund Grants, TIAs, Work Authorizations, and Interagency Agreements. Cooperative Agreements include Substantial Involvement, which we will discuss next.

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Under cooperative agreements, there will be what is known as "substantial involvement" between EERE and the Recipient during the performance of the project.

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Cost Share is required for any award made under this FOA. The percentage of cost share is determined by the Tier in which an application is submitted. Please note that the total award amount is equal to the federal share plus the cost share.

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Again, the total budget presented in the application must include both Federal (DOE), and Non-Federal (cost share) portions, thereby reflecting TOTAL PROJECT COSTS proposed. All costs must be verifiable from the Recipient's records and be necessary and reasonable for the accomplishment of the project.

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Cost Share must be allowable and must be verifiable upon submission of the Full Application. Please refer to this chart for your entity's applicable cost principles. It is imperative that you follow the applicable cost principles when creating your budget for the full application.

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Cost share can provided in cash and/or in-kind. It can be provided by the Prime Recipient, subs, or a third party.

The basic definition of in-kind cost share is the donation of personnel time, equipment, facilities, or other items that an organization will contribute to the project. It can take many forms, each of which must be assigned a dollar value to be included in the budget. Some examples of in-kind cost share are the donation of work hours, facility use, and equipment use.

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Be aware that there are items that are considered unallowable cost share. If a cost is considered unallowable, it cannot be counted as cost share. This slide provides some examples of cost share that is unallowable.

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Cost Share must be provided on an invoice basis, unless a waiver is requested and approved by the DOE Contracting Officer.

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EERE's Evaluation and Selection Process is shown in blue here. EERE will review Concept Papers, Replies to Reviewer Comments (which we will cover later in the presentation), and Full Applications. The gray boxes represent the actions that apply to applicants throughout the FOA process.

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As part of the merit review process, EERE may invite certain applicants to participate in Pre-Selection Interviews.

The invited applicants will meet with EERE to allow the Merit Review Panel to seek clarification on the contents of the Full Applications and otherwise ask questions regarding the proposed project. The information provided by applicants to EERE through Pre-Selection Interviews contributes to EERE's selection decisions.

As part of the evaluation and selection process, EERE may invite one or more applicants to participate in Pre-Selection Interviews. Pre-Selection Interviews are distinct from and more formal than pre-selection clarifications (See Section V.D.3 of the FOA). The invited applicant(s) will meet with EERE representatives to provide clarification on the contents of the Full Applications and to provide EERE an opportunity to

ask questions regarding the proposed project. The information provided by applicants to EERE through Pre-Selection Interviews contributes to EERE's selection decisions.

 EERE will arrange to meet with the invited applicants in person at EERE's offices or a mutually agreed upon location. EERE may also arrange site visits at certain Applicants' facilities. In the alternative, EERE may invite certain applicants to participate in a one-on-one conference with EERE via webinar, videoconference, or conference call.

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.

 EERE may obtain additional information through Pre-Selection Interviews that will be used to make a final selection determination. EERE may select applications for funding and make awards without Pre-Selection Interviews. Participation in Pre-Selection Interviews with EERE does not signify that applicants have been selected for award negotiations.

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Letters of Intent will be used by EERE to plan for the merit review process. Letters of Intent ("LOIs") are encouraged, but not mandatory.

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Concept Papers are required for this FOA. Concept Papers are brief descriptions of the proposed project. It allows applicants to submit their ideas with minimal time and expense. EERE will provide feedback on the proposed project so the Applicant can make an informed decision whether to expend additional resources to prepare a full application.

If an applicant fails to submit an eligible Concept Paper, the applicant is not eligible to submit a Full Application.

Concept Papers must be submitted by the date listed in the FOA (Dec 12), through EERE Exchange.

EERE will provide applicants with either an encouraged or discouraged notification. A "discouraged" notification conveys EERE's lack of programmatic interest in the proposed project. An applicant who receives a "discouraged" notification may still submit a Full Application.

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EERE will provide applicants with (1) either an "encouraged" or "discouraged" notification, and (2) the reviewer comments.

Please note that regardless of the date applicants receive the Encourage/Discourage notifications, the submission deadline for the Full Application remains the date stated on the FOA cover page

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The Full Application includes:

Technical Volume: The key technical submission. Applicants submit info pertaining 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. Includes cost share amounts and Federal certifications and assurances.

SF-424A Budget & Budget Justification: Budget documents that asks applicants to submit a detailed budget and spend plan for the project.

Summary Slide: Powerpoint slide that provides quick facts about the technology. Slide content requirements are provided in the FOA.

Administrative Documents: E.g., U.S. Manufacturing Plan, FFRDC Authorization (if applicable), Disclosure of Lobbying Activities, etc.

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The key technical component of the full application is the Technical Volume, which helps applicants frame the technical information that the application will be evaluated on. The Technical Volume provides information regarding what the project is, how the project tasks will be accomplished, and the project timetable.

The Technical Volume is comprised of a cover page, project overview, technical description, innovation, and impact, workplan, technical qualifications and resources. Please note that the percentages listed here are suggested and are not mandatory.

- The Cover Page will be a one page document and provides basic information on their project, such as title, topic area, points of contact, etc.

- The Project Overview constitutes approximately 10% of the Technical Volume and provides information on project background, goals, impact of EERE funding

- The Technical Description, Innovation, and Impact section is approximately 25% of the Technical Volume. It provides information on project relevance and outcomes, feasibility, and innovation/impacts. This ultimately provides the justification as to why EERE should fund the project.

- The Workplan is the key element to the Technical Volume, and constitutes approximately 30% of the Technical Volume. It details the proposed milestones and project schedule. If selected for award negotiations, the Workplan serves as the starting point when negotiating the Statement of Project Objectives.

- The Commercialization Plan should comprise roughly 20% of the Technical Volume. Given that this is a Technology to Market FOA, applications should clearly describe their plans for commercialization and revenue generation.

- The Technical Qualifications and Resources section is approximately 10% of the Technical Volume. It provides applicants and opportunity to provide information about the proposed

project team and demonstrate how the applicant will facilitate the successful completion of the proposed project.

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As we previously pointed out, applicants must submit full applications by Feb 21, 2017. EERE will conduct an eligibility review, and full application will be deemed eligible if: READ SLIDE

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Please note that nonprofit organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995, are not eligible to apply for funding.

Also, note that 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.

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As noted in Section III F of the FOA Applicants may only submit one Full Application for each topic area of the FOA. The same rules apply to topic areas for concept papers. Only one concept paper per topic area will be accepted.

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Applications will be evaluated against the following merit review criteria. Note the table which describes the weighting of merit review criteria for each Tier.

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The Full Application are reviewed by experts in the FOA topic area(s). After those experts review the applications, EERE will provide applicants with reviewer comments. Applicants will have a brief opportunity to review the comments and prepare a short Reply to Reviewer Comments responding to comments however they desire. The Reply to Reviewer Comments is due by the date and time provided on this slide. Applicants should anticipate receiving the independent reviewer comments approximately three business days before this due date. The Reply to Reviewer Comments is an optional submission; applicants are not required to submit a Reply to Reviewer Comments.

This a customer centric process that provides applicants with a unique opportunity to correct misunderstandings and misinterpretations and to provide additional data that might influence the selection process in their favor. The Replies are considered by the reviewers and the selection official.

Replies to Reviewer Comments must conform to the content and form requirements listed here, including maximum page lengths. If a Reply to Reviewer Comments is more than three pages in length, EERE will review only the first three pages and disregard any additional pages.

Please see Sections IV.F. and V.A.3 for additional information regarding Replies to Reviewer Comments

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After the Merit Review process, the Selection Official may consider program policy factors to come to a final selection decision, including:

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And continued:

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

 DUNS Number

Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number.

 S*ystem for Award Management*

Register with the System for Award Management (SAM). 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.

Fedconnect

Register in FedConnect. 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 the FedConnect site.

Grants.gov

Register in Grants.gov to receive automatic updates when Amendments to this FOA are posted. However, please note that [Delete if Letters of Intent are not applicable] Letters of Intent, Concept Papers, and Full Applications will not be accepted through Grants.gov.

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All required submissions must come through EERE Exchange, except for LOIs which should be addressed to the email address on the slide. EERE will not review or consider applications submitted through any other means.

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