

## Slide 1

Hello 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 Industrial Assessment Centers Funding Opportunity Announcement, or FOA, which was issued on April 5th. My name is Jamey Evans and I am a Technical Project Officer in the Advanced Manufacturing Office within the DOE's Office of Energy Efficiency and Renewable Energy. We'll cover the basic aspects of the FOA during this webinar.

I'd like to draw your attention to the email address on the bottom left 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. As such we will not be having a live question and answer period during this webinar. 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.

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!

## Slide 2

This slide shows the anticipated schedule for the FOA. The FOA has already been posted, and we are conducting the FOA Informational Webinar now. The FOA number is DE-FOA-0001513.

## Slide 3

All applicants are strongly encouraged to carefully read the 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 and applicants should rely on the FOA language and seek clarification from EERE.

If you believe there is an inconsistency, please email [IACs@ee.doe.gov](mailto:IACs@ee.doe.gov)

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The agenda for this presentation is the nine items listed on the 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 Federal Government has been funding the Industrial Assessment Center (or IAC) program, formerly called the Energy Analysis and Diagnostic Center program, since 1976.

The goal of the IAC program is twofold: first, to provide energy efficiency, productivity, sustainability and competitiveness recommendations to small and medium-sized enterprises, currently defined as having gross annual sales below \$100 million, fewer than 500 employees, and annual energy bills between \$100,000 and \$2.5 million; and second, to help address a growing shortage of engineering professionals with applied energy and manufacturing-related skills.

The U.S. Department of Energy (DOE) currently funds, through Cooperative Agreements, **24** IACs located throughout the country who are completing their 5 year projects. The IACs are coordinated by DOE staff and a DOE selected Field Manager.

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IACs will provide resources to the often under-served small and medium sized enterprises/manufacturers (we'll refer to these as SME's); applicants should:

- Demonstrate their capabilities to recruit and serve SME's
- Describe their approach to identify and communicate recommendations to:
  1. reduce energy, water and waste usage;
  2. increase productivity and competitiveness; and
  3. provide enhancements to cyber security and related information technologies.

The recommendations need to be effectively reported to the SMEs, together with estimates of the energy savings opportunities, implementation costs, and payback periods.

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In addition to the services outlined, DOE is looking for new and innovative ways to accomplish its programmatic goals for manufacturers, and encourages applicants to propose creative approaches to delivering IAC services that coincide with DOE priorities. These priorities are projected to include:

- Smart manufacturing – identifying opportunities for productivity improvements through the availability and use of smart communications between machines, manufacturing processes, operators and management;
- Cybersecurity – assisting SMEs in threat detection and mitigation. According to the Manufacturing Extension Partnership (MEP), 62 percent of data system breaches impacted smaller organizations and in 2011 the average cost to a small or medium-sized business from a cyber-attack was over \$188,000;
- Energy management systems – helping SMEs to continuously improve their energy performance by exploring the entire spectrum of management systems, from foundational to ISO 50001 to Superior Energy Performance; and
- Wastewater and water facilities – supporting the efficiency and productivity of water utility facilities, including facility operations as well as the biological component of wastewater treatment.

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IACs provide extensive training for undergraduate and graduate engineering students in industrial processes, energy assessment procedures, and energy management systems. This training may be provided through coursework as well as via hands-on, in facility, activities.

Applicants should

Describe how they intend to promote the development and national adoption of an accredited B.S. degree in energy engineering or equivalent field; or describe their plans for enhancement of an existing degree program that addresses the entire range of pedagogical content within the context of IAC activities.

Define how they will maximize the student experience; increase student technical knowledge and business sense; and develop their understanding of key industrial concepts, including industrial supply chains, sustainability issues, and management systems. Students should be encouraged to develop and publish technical papers, online learning materials and assessment-derived replicable best practices and other resources.

## Slide 9

Highlight additional value-added experience opportunities for the IAC, including:

- Scholarship or internship opportunities for students;
- Traineeships with National Laboratories or other research institutions;
- Inclusion of other disciplines (for example--business, marketing, environmental studies etc.) into training and student employee makeup;
- Inclusion of opportunities for students to pursue ISO 50001 auditor certifications or other third-party accreditations and certifications;
- Creation and maintenance of a robust student and alumni social networking system; and
- Other SME or DOE supporting functions, as developed by individual applicants.

## Slide 10

Describe a partnership plan that includes partners such as:

- electric and gas utilities;
- state energy, economic development or other agencies;
- other government assistance including Manufacturing Extension Partnerships;
- nonprofit or industry associations or other partners.

Each partner should submit a Letter of Commitment that clearly shows the cost share support, both cash and in-kind, pledged to the IAC and how the partnership will lead to better access to SMEs; increased numbers of SMEs assisted; increased implementation of the opportunities identified in the IAC assessment; support for the SME beyond the IAC interaction; and/or develop or deliver resources for SMEs that the IACs do not assist.

## Slide 11

Historically each IAC completes approximately 20 assessments per year. Given the limited number of actual assessments, successful applicants will describe how they intend to reach non-participating SMEs in their region.

Applicants should submit an outreach plan that clearly states resources to be developed and innovative methods to share industry best practices and lessons learned with the widest possible audience. Applicants are encouraged to partner with academic, government, nonprofit or industry groups to develop and deploy energy and water savings guidance and 'how to' resources to this hard to reach community. In addition, some means of tracking the uptake of these soft touch points should be developed.

## Slide 12

IACs will need to effectively coordinate their efforts and support existing DOE program elements, such as:

- Better Plants
- Combined Heat & Power Technical Assistance Partnerships
- ISO 50001/Superior Energy Performance
- DOE training and tools
- Promote other external technical resources, including but not limited to
  - industrial/manufacturing interests
  - trade associations
  - utility efficiency programs
  - State energy programs
  - other DOE manufacturing/industrial priorities, etc.

## Slide 13

The IAC program will consider, within this FOA, various IAC configurations to facilitate the delivery of the key program elements can be proposed.

The Prime Applicant must meet all qualifications as outlined in Section III.A and will be considered the Prime Recipient if selected for award negotiations. Other institutions involved will operate as sub-recipients to the Prime Recipient, and are not required to meet all of the Prime Applicant eligibility.

These modified configurations include elements such as:

- Satellite Centers
  1. One location will serve as the Main Center and assume the lead role as Prime Applicant.
  2. One or more satellite locations, which could include other universities or other campuses within the same University system, may be included to perform certain elements of the work under strict guidance and supervision of the Main Center.
- Support Centers
  1. One location will serve as the Main Center and assume the lead role as Prime Applicant.
  2. One or more support centers will provide support in delivering the services of the IAC (for example--collaboration with Business, Marketing, Communications or other departments within the university).

Eligible minority-serving institutions are encouraged to apply as the Prime Applicant (Main Center) or to partner with a Prime Applicant to participate on the proposed Project Team as a Satellite or Support Center.

## **Slide 14**

DOE has established performance goals and expectations for the IAC program. These performance goals are focused on the following:

- Providing a high-quality educational experience that has value in the marketplace for approximately 10 engineering students per center annually;
- Awarding a DOE certificate to a minimum of five students per year per IAC;
- Completing approximately 20 assessments per year per IAC;
- Executing a partnership and outreach plan that increases program implementation and provides energy and water saving assistance to nonparticipants;
- Developing and communicating resources (success stories, energy systems research, etc.) that advance the mission of the IAC program and support other SMEs; and
- Providing high quality, value added services to SMEs, including cybersecurity, smart manufacturing, energy management, waste reduction, sustainability & productivity improvements and other leading issues.

## **Slide 15**

The following types of applications will be deemed nonresponsive and will not be reviewed or considered for an award:

- Applications that fall outside the technical parameters specified in Section I.A of the FOA

## **Slide 16**

EERE expects to make approximately \$35 million of Federal funding available for new awards under this FOA subject to the availability of appropriated funds. The average Federal funding for individual awards is anticipated to range from \$1,250,000 to \$1,750,000. The period of performance length of these projects is 60 months.

EERE intends to fund cooperative agreements under this FOA. 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.

EERE has substantial involvement in work performed under Awards made as a result of 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(s).
4. EERE participates in major project decision-making processes.
5. In order to ensure consistency and uniformity of operations across the U.S., DOE will collaborate with each entity in the program, and also foster collaboration and coordination between all entities. DOE also provides additional monitoring to permit specified kinds of direction or redirection of each entity’s work due to interrelationships between projects and/or critical programmatic goals.

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### Cost Sharing Requirements

- Applicants must contribute a minimum of 20% of the total project costs for projects.

### Cost Share Contributions

- Contributions must be:
  - o Specified in the project budget
  - o Verifiable from the Prime Recipient’s records
  - o Necessary and reasonable for proper and efficient accomplishment of the project
- Every cost share contribution must be reviewed and approved in advance by the Contracting Officer and incorporated into the project budget before the expenditures are incurred

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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.

Cost share can be cash and/or in-kind. It can be provided by the Prime Recipient, sub recipient, 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, 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.

## Slide 21

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. See Section III.B.vi of the FOA.

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EERE will review Letters of Intent and Full Applications. The gray boxes represent the actions that apply to applicants throughout the FOA process.

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Letters of Intent (or LOIs) will be used by EERE to plan for the merit review process.

LOIs are recommended

To be considered:

- The LOI must comply with the content and form requirements of Section IV.B.1 of the FOA, and
- The applicant should enter all required information and click the “Create Submission” button in EERE Exchange by the deadline stated in the FOA.
- Secondly, the Applicant must create a separate LOI document for email submission to EERE. The LOI must conform to the guidelines listed in the FOA and be submitted via email to the following email address: [IACs@ee.doe.gov](mailto:IACs@ee.doe.gov) .

The LOI should not contain any proprietary or sensitive business information  
EERE will not provide notification of acceptance for LOIs.

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The Full Application includes the seven items listed on the slide, which are:  
Technical Volume:

Statement of Project Objectives:

SF-424 Application for Federal Assistance:

SF-424A Budget & Budget Justification:

Summary for Public Release:

Summary Slide:

& Administrative Documents:

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A 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 the six areas shown on this slide and the suggested % of the Technical Volume that should be devoted to it:

- 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 should constitute approximately 10% of the Technical Volume
- The IAC Operations Approach should constitute approximately 30% of the Technical Volume.
- The Student Staffing, Training and Integration with University Curriculum section should constitute approximately 20% of the Technical Volume.
- The Collaborations and Industrial Demographics section should constitute approximately 20% of the Technical Volume.
- The Technical Qualifications and Resources section should constitute approximately 20% of the Technical Volume.

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Applicants must submit a Full Application by May 20, 2016

Full Applications are eligible for review if:

- The Applicant is an eligible entity as per Section III.A of FOA;
- The Cost Share requirement is satisfied as per Section III.B of FOA;
- The Full Application is compliant as per Section III.C of FOA; and
- The proposed project is responsive to the FOA as per Section III.D of FOA
- EERE will only consider one Full Application per institution of higher education.
- The Full Application meets any other eligibility requirements listed in Section III of the FOA.

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This FOA has restricted eligibility requirements to the following entities:

U.S. college or school of engineering that is an integral part of its institutional structure and that has at least one of its four year undergraduate programs accredited by the Engineering Accreditation Commission or the Technology Accreditation Commission of the Accreditation Board for Engineering and Technology (ABET) or equivalent (The IAC must be in the engineering department that holds the programmatic ABET or equivalent accreditation). The U.S. college or school of engineering must be physically located in the U.S.

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EERE will only consider one Full Application per institution of higher education. For example, EERE will only consider one Full Application per university (not one submission per each college or school under the university). This limitation does not prohibit an entity from collaborating on other submissions to this FOA (for example--as a proposed Satellite or Support Center or other subrecipient) as long as the entity is not the Prime Applicant for those submissions.

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The Merit Review process consists of multiple phases that each include 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

Ultimately, the Selection Official considers the recommendations of the reviewers, along with other considerations such as program policy factors, to make the selection decisions

## Slide 30

Applications will be evaluated against four merit review criteria. For this presentation, I'll read only the Criteria title and its weighting.

**Criterion 1: IAC Operations Approach**

**Weight: [30%]**

## **Slide 31**

**Criterion 2: Student Staffing, Training and Integration with University Curriculum.**

**Weight: [25%]**

## **Slide 32**

**Criterion 3: Collaborations and Industrial Demographics**

**Weight: [25%]**

## **Slide 33**

**Criterion 4: Technical Qualifications, Resources and Commitment**

**Weight: [20%]**

## **Slide 34**

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

## **Slide 35**

After the Merit Review process, the Selection Official may consider the following program policy factors in making his/her selection decisions:

- Past performance of a currently active Industrial Assessment Center with regards to completion of assessments per the approved workplan, quality of assessment impacts and student metrics
- Industrial demographics/geographic diversity (client base and proximity to other Centers) to ensure appropriate services to all regions of the United States
- Involvement of Minority-serving institutions as either Prime Applicants or as Satellite or Support centers
- Overall innovation the Applicant will demonstrate in center operations, program structure, and workforce development

## **Slide 36**

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.

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

Register with the System for Award Management (SAM). Designating an Electronic Business Point of Contact and obtaining a special password are important steps in SAM registration. Please update your SAM registration annually.

Register in FedConnect. For more information, review the FedConnect Ready, Set, Go! Guide at the FedConnect site.

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

## **Slide 37**

All required submissions must come through EERE Exchange with the addition of the emailed Letter of Intent which should reference the EERE Exchange required control number.

EERE will not review or consider full applications submitted through any other means.

## **Slide 38**

Check entries in EERE Exchange - Submissions could be deemed ineligible due to an incorrect entry

EERE strongly encourages Applicants to submit 1-2 days prior to the deadline to allow for full upload of application documents and to avoid any 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, which contains the application's Control Number

## Slide 39

Applicants must designate primary and backup points-of-contact in EERE Exchange with whom EERE will communicate to conduct award negotiations

It is imperative that the Applicant/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

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Remember, any and all questions about this FOA should be sent via Email to:  
[IACs@ee.doe.gov](mailto:IACs@ee.doe.gov)

All Questions & Answers related to this FOA will be posted on EERE Exchange as a spreadsheet uploaded on the FOA main page

EERE will attempt to respond to a question within 3 business days, unless a similar Q&A has already been posted on the website

If you have problems logging into EERE Exchange or uploading and submitting application documents with EERE Exchange, Email EERE at: [ExchangeSupport@hq.doe.gov](mailto:ExchangeSupport@hq.doe.gov). Include FOA name and number in subject line

This concludes the Webinar. Thanks for attending.