Cleantech University Prize (Cleantech UP)
Webinar

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


# Cleantech University Prize (Cleantech UP)

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**FOA Webinar**

**DE-FOA-0001271**

**February 17, 2015**

# DE-FOA-0001271
# Cleantech University Prize (Cleantech UP)

## Anticipated Schedule:

| | |
|---|---|
| **FOA Issue Date:** | 2/11/2015 |
| **FOA Informational Webinar #1:** | 2:00pm ET 02/17/2015 |
| **Submission Deadline for Concept Papers:** | 5:00pm ET 03/04/2015 |
| **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) FOA Description
2) Topic Areas/Technical Areas of Interest
3) Award Information
4) Statement of Substantial Involvement
5) Cost Sharing
6) Concept Papers
7) Full Applications
8) Merit Review
9) Pre-Selection Interviews
10) Selection Process
11) Registration Requirements

# FOA Description

**Program Summary**

The U.S. Department of Energy's (DOE's) Office of Energy Efficiency and Renewable Energy (EERE) seeks applicants to its Cleantech University Prize (Cleantech UP) program. DOE is funding three-year awards in two topic areas. Topic 1 establishes the Cleantech UP Hub, a national center for student-focused clean energy entrepreneurship training and education. The Cleantech UP Hub will also coordinate a national competition for student start-ups and administer its prize. Topic 2 funds collegiate-focused competitions across the United States. Collegiate competitions will include a cash prize, as well as opportunities for students to develop the business and commercialization skills to move clean energy technologies from discovery to market. Together, the Cleantech UP Hub and Cleantech UP Collegiate Competitions form an ecosystem that increases student entrepreneurs' participation—both in quantity and quality—in clean energy, and closes the existing gap in early-stage training. The program's goals are to:

1. Catalyze clean energy start-up formation on college campuses;
2. Support novel training and educational opportunities that equip the next generation of energy entrepreneurs and innovators across the country;
3. Establish a national-level training program and competition for America's top clean energy student entrepreneurs; and
4. Create a sustained and diverse community to support student entrepreneurs.

# FOA Description

**Background**

The mission of EERE's Technology-to-Market Team is to aid EERE technology offices and American energy innovation stakeholders in addressing the technological and financial barriers to bring new intellectual property to market. To advance this mission, Technology-to-Market supports a variety of commercialization and entrepreneurship activities in partnership with U.S. Department of Energy (DOE) national laboratories, universities, businesses, and nonprofit organizations around the country. Existing activities include the DOE National Clean Energy Business Plan Competition (DOE NCEBPC), National Incubator Initiative for Clean Energy, Lab-Corps, and Small Business Innovation Research/Small Business Technology Transfer Programs (SBIR/STTR); past activities include the Innovation Ecosystem Development Initiative, i6 Green Challenge, Technology Commercialization Fund, Entrepreneur-in-Residence, and other initiatives.

Clean energy start-ups and innovative technologies are critical to the growth of the clean energy economy in the United States and abroad. Start-ups drive technology development, business model innovation, and job creation. However, the private sector has not demonstrated the ability to provide sufficient capital, business development services, and entrepreneurial training to early-stage clean energy companies; especially those based on higher-risk, longer-term, capital-intense technologies.

Because of significant barriers to creating clean energy technology start-ups, there is a dearth of participants entering the energy entrepreneurship pipeline. For the United States to accelerate the rate of clean energy innovation and remain competitive, a strong national infrastructure that spurs and supports high-tech entrepreneurship is critical.

# FOA Description

**Background (cont.)**

Traditionally, the nation's institutions of higher education—where there is a strong ecosystem for entrepreneurs and start-ups—have fostered the high-tech innovation pipeline. At least 450 colleges and universities across the United States have entrepreneurship programs, but they also have a demonstrated need for federal support. According to a recent report by the U.S. Department of Commerce, in 2011, 142 major research universities and associations submitted a letter to the Secretary of Commerce renewing their commitment to innovation and entrepreneurship while explicitly stating the need for the federal government's continued support of such programs.

EERE has had success in supporting initiatives to spur student entrepreneurship. Cleantech UP builds on its precursor, the DOE National Clean Energy Business Plan Competition (DOE NCEBPC), which leveraged growing interest in energy entrepreneurship to expand student engagement in clean energy technologies. In its three years, the DOE NCEBPC attracted more than 750 teams and resulted in more than 70 ventures. These ventures generated more than 120 jobs and $38 million in follow-on funding. The previously cited Department of Commerce report featured the DOE NCEBPC as a primary example of the type of activity needed to support entrepreneurship through competitions at universities.

# 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.

# FOA Description

***Topic 1 - Cleantech UP Hub***

The Hub will be responsible for engaging the nation's student entrepreneurs, developing an innovative training program, institutionalizing coordination within the student cleantech entrepreneurship community and the Collegiate Competitions, and coordinating with DOE to execute the nation's premier event for student cleantech entrepreneurs at the National Competition, including awarding the $100,000 National Prize. The Hub will create and implement programs to address gaps in clean energy entrepreneurship training that occur early in the education pipeline. The Hub will also provide capacity building activities related to the Cleantech UP network and the general clean energy entrepreneurship ecosystem.

The Hub builds on the success of the DOE NCEBPC by addressing identified gaps in clean energy entrepreneurship training and clean energy-focused collegiate competitions. It will establish a framework to ensure the sustainability of Cleantech UP beyond the period of performance.

<u>Primary Elements</u>

1. Cleantech UP National Competition

2. Energy Entrepreneurship and Commercialization Training

3. Network and Capacity Building and Tracking

4. Sustainability Plan Development and Implementation

# FOA Description

***Topic 1 - Cleantech UP Hub***

*Element 1: Cleantech UP National Competition*

The Hub will be responsible for awarding the Cleantech UP $100,000 National Prize at an annual National Competition for the three years of the period of performance. Participants in the National Competition will include winners of the Collegiate Competitions and potentially winners of other open clean energy competitions across the country. This National Competition and its Prize will be the keystone of the Cleantech UP. DOE intends that the Cleantech UP generate sufficient interest to grow into a nationally-recognized brand, and inspire additional opportunities for students to gain experience launching clean energy technology ventures.

The Hub will manage the event planning, marketing, communications, and branding of the National Competition. It is critical that the Hub demonstrate an ability to partner with private sector leaders and sponsors in order to sustain the program beyond the period of performance. DOE encourages the Hub to support additional prizes beyond the $100,000 National Prize.

<u>Competition Administration Tasks</u>

- Award and distribute the National Prize;
- Perform event planning and logistics;
- Provide marketing, communications, and branding support; and
- Engage in fundraising and sponsorships.

# FOA Description

***Topic 1 - Cleantech UP Hub***
*Element 2: Energy Entrepreneurship and Commercialization Training*

Energy entrepreneurship and commercialization training includes instruction and guidance in preparation for the National Competition, as well as information-gathering and dissemination about best practices from the Collegiate Competitions and other universities.

The Hub will serve as a learning laboratory and coordination point where the collegiate entrepreneurship community can leverage and share best practices. The Hub may support training strategies and content development that lower institutional thresholds to clean energy entrepreneurship education programs. Supporting clean energy entrepreneurship in the collegiate ecosystem is critical. Competitions, by nature, encourage team formation and foster productive rivalry, and institutes of higher education are uniquely suited to create a learning environment that communicates the importance of clean energy innovation. While some universities have existing energy-specific programs, there is a demonstrated need for a central body to coordinate innovative initiatives that engage students. This focus on training and education is an expansion from the previous DOE NCEBPC's goals and objectives.

Examples of educational activities include:

- Developing multi-disciplinary approaches to team formation such as encouraging partnerships among students with backgrounds in science, engineering, business, marketing, and industrial design;
- Creating virtual curricula for participating teams;
- Coordinating dissemination of materials that enhance understanding of government programs available to entrepreneurs, which could include Small Business Innovation Research (SBIR) grants; and
- Developing case studies on lab- and university-developed technology and commercialization results.

# FOA Description

***Topic 1 - Cleantech UP Hub***
*Element 2: Energy Entrepreneurship and Commercialization Training (cont.)*

The Hub will also develop new training specifically for the winners of the Collegiate Competitions. The winners, and potentially other teams, will undergo this training prior to the National Competition. The Hub's training can focus on clean energy commercialization and building successful energy ventures. Developing an advanced training module specifically for the nation's most successful early-stage ventures will both equip students to successfully launch their companies and provide an additional incentive beyond cash prizes.

To increase the number of training opportunities in cleantech entrepreneurship nationwide, the Hub's resources—while tailored to Cleantech UP participants—will be open source and shared with the competitions community. Sharing Cleantech UP-tailored materials will lower the threshold for other competitions to offer training in energy entrepreneurship and to add an energy track as applicable.

Applicants to Topic 1 are also encouraged to provide post-National Finals opportunities such as: additional training; introductions to incubators, accelerators, and investors; and other business networking activities.

<u>Cleantech UP Entrepreneurship Training Tasks</u>
- Coordinate energy entrepreneurship training among the Collegiate Competitions and other universities;
- Create a Cleantech UP Energy Entrepreneurship training track or course;
- Deliver the Cleantech UP training to Collegiate Competition winners; and
- Deploy and share Cleantech UP training with the energy entrepreneurship competitions community.

Programs developed under these activities should strive for broad applicability and scalability. DOE suggests that materials and content be created under creative commons licensing in order to be easily shared with the general energy competitions community, thereby increasing the amount of training and education available in cleantech entrepreneurship.

# FOA Description

***Topic 1 - Cleantech UP Hub***

*Element 3: Network and Capacity Building and Tracking*

The Hub will be an important public-facing entity to coordinate student entrepreneurs and programs across the country. One of the gaps identified with the expiration of the DOE NCEBPC is the need for a better mechanism to highlight activities associated with the National Competition. The Hub will provide a platform to highlight the good work being done by student entrepreneurs and communicate the importance of supporting such ventures on college campuses. The Hub's enhanced communication and coordination will encourage the sharing of lessons learned and best practices across the entrepreneurial ecosystem.

The Hub will work to expand the reach of existing competitions, establish network platforms that connect participants and alumni across the country, and provide institutional coordination among competitions, universities and colleges. Creating a robust network is critical to building capacity around energy entrepreneurship and supporting the energy start-up pipeline. Capacity building activities should include engagement with underrepresented groups and minority-serving institutions. The Hub will create a social network around energy entrepreneurship and provide engagement opportunities through the National Finals and other events, as proposed.

The Hub will be responsible for tracking, consolidating, and reporting Cleantech UP performance and impact metrics at both the collegiate and national levels. DOE will use these metrics for active program management, to track the effectiveness of each competition in reaching its goals, and to analyze participant outcomes. Metrics will be negotiated upon award selection; however, examples of the types of information DOE anticipates the Hub collecting include:

I. Commercialization Metrics
- Follow-on funding (e.g. seed, grant, venture capital)
- Companies incorporated
- Companies acquired
- Jobs created

II. Ecosystem Metrics
- Students served
- Partnerships formed
- Number of universities engaged
- Prizes created

# FOA Description

***Topic 1 - Cleantech UP Hub***

*Element 3: Network and Capacity Building and Tracking (cont.)*

Network and Capacity Building Tasks

- Track and consolidate commercialization and ecosystem metrics from the National Competition;
- Create a social network for competition participants;
- Create the Cleantech UP participant and alumni network;
- Create an engagement plan for Cleantech UP participants before and after the National Competition and for the alumni network; and
- Create and implement a plan to increase the participation of underrepresented groups and minority serving institutions in the Cleantech UP.

# FOA Description

***Topic 1 - Cleantech UP Hub***

*Element 4: Sustainability Plan Development and Implementation*

The two topic structure of this FOA provides a framework for a central body to establish and oversee a sustainable Cleantech UP infrastructure by forming strategic partnerships, creating a strong marketable brand, and exploring sponsorship opportunities. The Hub provides a mechanism for sustainability by serving as the central point of reference for the National Competition. The Hub must demonstrate a plan to sustain the program beyond the three-year performance period.

<u>Sustainability Plan Development and Implementation Tasks</u>

- Develop a sustainability plan for the Cleantech UP for continuation beyond the period of performance ;
- Establish a timeline for achieving sustainability; and
- Report on progress of implementation of the sustainability plan.

# FOA Description

***Topic 2 - Cleantech UP Collegiate Competitions***

Student entrepreneurship prizes are critical catalysts for early-stage company formation and serve an important role in supporting innovation. The prize incentive draws talented entrepreneurs and technology developers, and the prizes help capitalize early stage development by providing funding; however, companies that enter competitions are at their earliest stage of development, and many students who participate in competitions require additional business and technology commercialization training. In addition to administering prizes, providing students with opportunities for academic enrichment around entrepreneurship principles is critical.

Cleantech UP Collegiate Competitions will execute innovative approaches to support entrepreneurial ecosystems on their campuses and support best-in-class competitions with $50,000 Collegiate Prizes. This model builds on the DOE NCEBPC by providing additional support for academic enrichment, while continuing to fund cash prizes. Collegiate Competitions must demonstrate plans to sustain their competitions beyond this FOA's period of performance.

<u>Primary Elements</u>

1. Collegiate Competitions and Prize Administration

2. Sustainability Plan Development and Implementation

# FOA Description

***Topic 2 - Cleantech UP Collegiate Competitions***

*Element 1: Collegiate Competitions and Prize Administration*

Each Collegiate Competition will conduct an annual competition and administer a $50,000 Collegiate Prize to attract clean energy entrepreneurs primarily from its region, but also potentially nationally. Collegiate Competitions serve a critical role in fostering ideas, formation of teams, and providing access to mentorship. DOE seeks to support innovative approaches to launching clean energy start-ups and the development of entrepreneurial activities in the cleantech space. DOE encourages partnerships—such as with economic development organizations and community colleges—to support these Competitions.

Collegiate Competitions will manage the event planning, marketing, communications, and branding of their Competitions. DOE encourages the Collegiate Competitions to support additional prizes beyond the $50,000 Collegiate Prize.

Collegiate Competitions will be conducted each spring so that winners will be able to participate in the Cleantech UP National Competition later in the calendar year.

Each Collegiate Competition will be required to track metrics and share them with the Hub, which will analyze the impact of prizes. Metrics may include, but are not limited to, the following:

I. Commercialization Metrics
- Follow-on funding (e.g. seed, grant, venture capital)
- Companies incorporated
- Companies acquired
- Jobs created

II. Ecosystem Metrics
- Students served
- Partnerships formed
- Number of universities engaged
- Prizes created

# FOA Description

***Topic 2 - Cleantech UP Collegiate Competitions***

*Element 1: Collegiate Competitions and Prize Administration (cont.)*

Collegiate Competition Tasks

- Establish a clear competition and prize structure;
- Award annual $50,000 Collegiate Prize;
- Ensure a clear and fair judging/selection process that includes a plan to protect confidential information and avoid conflicts of interest for competition organizers, mentors, and judges;
- Create strong educational or mentoring elements for teams participating in the competition and coordinate with the Hub on training opportunities;
- Design programs that inspire and encourage teams from across the competition's region—and potentially nationally—to participate;
- Establish strong programmatic elements to connect successful teams to funding opportunities and other business-building resources;
- Collect metrics and statistical information about participating teams.

# FOA Description

***Topic 2 - Cleantech UP Collegiate Competitions***

*Element 2: Sustainability Plan Development and Implementation*

To ensure continuity, Topic 2 applicants are expected to propose and implement a sustainability plan to institutionalize their Collegiate Competitions beyond the period of performance of this award.

<u>Sustainability Plan Development and Implementation Tasks</u>

- Develop a sustainability plan for the competition beyond the period of performance;
- Create a timeline for sustainability; and
- Report on the progress of implementing the sustainability plan.

# FOA Description

***Primary Eligibility Criteria for Collegiate Competitions and National Competition***

To ensure a common format for Competitions, each Collegiate Competition, and thus the Hub, is expected to follow these key competition requirements:

Primary Eligibility Requirements

Prior to DOE award, selected competitions must submit a detailed "Participant Eligibility Requirements" document for DOE's approval.

Awarded competitions must require participating teams to clearly identify their "formal team members" upon enrollment. "Formal team members" are the individuals eligible for prize money or services awarded by the competition.

Awarded competitions must enforce a criterion for eligibility stipulating that at least 50% of any team's "formal team members" be actively enrolled in an accredited U.S. university or college.

Selected competitions must demonstrate that DOE funding will support activities related to the U.S. Department of Energy's Office of Energy Efficiency and Renewable Energy's mission and technology portfolio, as defined: "The Office of Energy Efficiency and Renewable Energy is at the center of creating the clean energy economy today. EERE leads the U.S. Department of Energy's efforts to develop and deliver market-driven solutions for energy-saving homes, buildings, and manufacturing; sustainable transportation; and renewable electricity generation." (http://www.energy.gov/eere/about-us/mission)

Judging Requirements

Prior to award, selected competitions must submit a detailed "Competition Judging and Selection Plan" for DOE's approval.

Other Requirements

Competition managers must collaborate among themselves as well as with DOE to achieve consistency in eligibility, judging, and prize criteria. This collaboration is important to maintain a standard across the Cleantech UP program as well as to ensure that the winner of each Collegiate Competition is eligible to enter the National Competition.

Collegiate Competitions may elect to accept teams from their regions or nationally; however, each Collegiate Competition must clearly define its acceptance criteria and should be aware that teams cannot win DOE funds from more than one Collegiate Competition. Whether a competition accepts teams on a regional or national basis, each will be evaluated based on its plans to attract participation from multiple universities.

# 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:<br>Topic 1- Cleantech UP: Hub (1 award), $700,000<br>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<br>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 |

# 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.

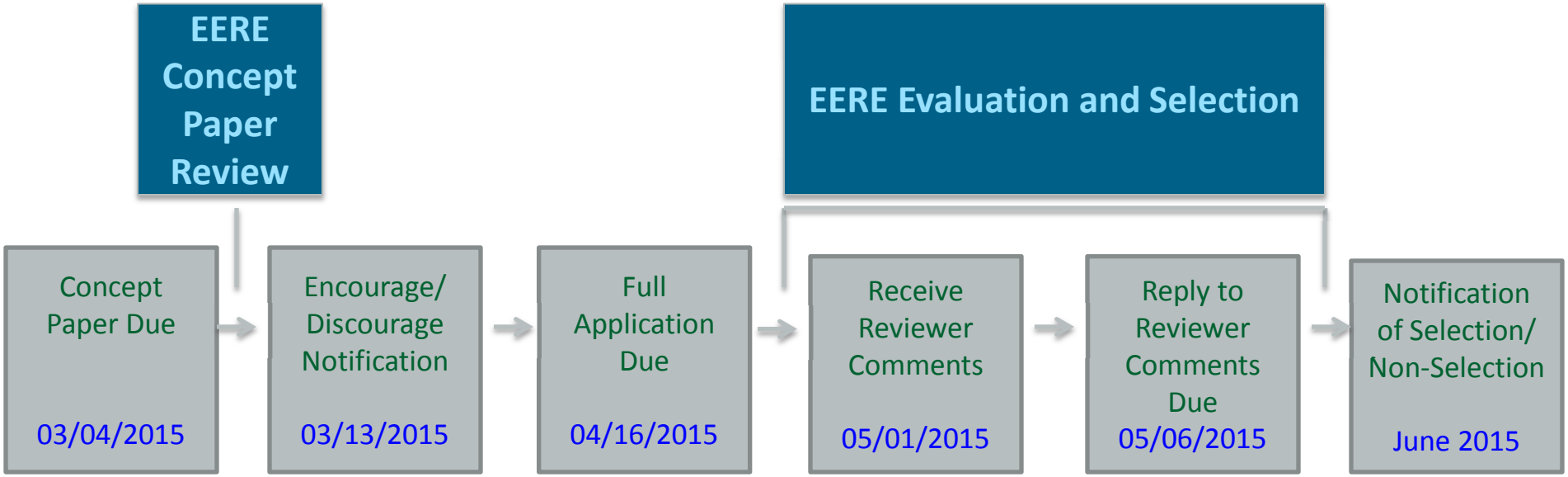
# Unallowable Cost Share

- 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

# Concept Papers

- Applicants must submit a Concept Paper
  - Each Concept Paper must be limited to a single concept or program
  - Applicants may submit **one concept paper per topic**
- The Concept Paper must include a program description (See Section IV.C of the FOA)
  - The Concept Paper is limited to **5 pages**
  - Applicants may include an **addendum** with graphs, charts, or other data and is limited to **5 pages**
- Concept Papers must be submitted by 5:00 pm ET March 4, 2015, through EERE Exchange, and must comply with the content and form requirements in Section IV.C of the FOA
- EERE provides applicants with: (1) an "encourage" or "discourage" notification, and (2) reviewer comments
- Applicants may submit only one Concept Paper and Full Application for each topic area of this FOA.
  - If an Applicant submits more than one Concept Paper or Full Application, EERE will only consider the last timely submission for evaluation.
  - Any other submissions received listing the same Applicant will be considered non-compliant and not eligible for further consideration.

# 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.**

# 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.

In accordance with Section 501(c)(4) of the Internal Revenue Code of 1986, nonprofit organizations 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.

# Concept Papers Technical Review Criteria

Concept Papers are evaluated based on the following criteria:

- **Criterion 1: Impact of the Proposed Program Relative to Current Best Practices Weight: 50%**

  This criterion involves consideration of the following factors:

  - Method used to identify current best practices; and
  - If success is achieved, the proposed idea would significantly improve commercial and economic performance relative to the state of the art.

- **Criterion 2: Overall Technical Merit Weight: 50%**

  This criterion involves consideration of the following factors:

  - The proposed program is unique and innovative; and
  - The proposed approach is without major technical flaws.

# 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.

# Full Applications Technical Merit Review Criteria

**Criterion 2: Project Research and Market Transformation Plan (40%) (cont'd)**

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
- Whether the proposed project will advance the goals of the Climate Action Champions program, as committed to by the designated Champion pursuant to its designation agreement. The Climate Action Champions program goals include improving climate resilience and reducing greenhouse gas emissions. (Applicable only to applicants designated as Climate Action Champions.)

# 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.