

# National Incubator Initiative for Clean Energy

FOA Pre-Concept Paper Webinar

DE-FOA-0001042

January 21, 2014

# Protocol for questions during this Webinar

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- 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
- In addition, all information provided during this Webinar, including this presentation, will be posted on EERE eXCHANGE

## NATIONAL INCUBATOR INITIATIVE FOR CLEAN ENERGY

### Anticipated Schedule:

<b>FOA Issue Date:</b>	<b>01/06/2014</b>
<b>First Informational Webinar: Pre-Concept Paper</b>	<b>01/21/2014</b>
<b>Submission Deadline for Concept Papers</b>	<b>02/21/2014</b>
<b>Applicants Receive Encourage/Discourage Notifications</b>	<b>02/28/2014</b>
<b>Second Informational Webinar: Pre-Full Application</b>	<b>03/06/2014</b>
<b>Submission Deadline for Full Applications</b>	<b>03/21/2014</b>
<b>Submission Deadline for Replies to Reviewer Comments</b>	<b>04/10/2014</b>
<b>Expected Date for EERE Selection Notifications</b>	<b>05/29/2014</b>
<b>Expected Timeframe for Award Negotiations</b>	<b>07/09/2014</b>

# Disclaimer

- None of the information presented here is legally binding. The content included in this presentation is intended only to summarize the contents of Funding Opportunity Announcement DE-FOA-0001042. Any content within this presentation that appears discrepant from the Funding Opportunity Announcement language is superseded by the Funding Opportunity Announcement language.
- All Applicants are strongly encouraged to carefully read the Funding Opportunity Announcement guidelines and adhere to them. Neither the U.S. Department of Energy (DOE) nor the employees associated with DOE working on this presentation shall be held liable for errors committed by Applicants based on potentially incorrect or inaccurate information presented in this webinar.

# Agenda

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- 1) Registration Requirements
- 2) Award Information
- 3) FOA Information
- 4) Concept Paper
- 5) Full Application
- 6) Review Process
- 7) Frequently Asked Questions

# 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 in order to submit an Application, the following registrations must be complete to receive an award under this FOA:

Registration Requirement	Website
DUNS Number	<a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a>
SAM	<a href="https://www.sam.gov">https://www.sam.gov</a>
FedConnect	<a href="https://www.fedconnect.net">https://www.fedconnect.net</a>
Grants.gov	<a href="http://www.grants.gov">http://www.grants.gov</a>

# 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>

# Award Information

<b>Total Amount to be Awarded</b>	<b>\$3 million*</b>
<b>Average Award Amount</b>	EERE anticipates making awards that range from: Topic 1: \$500K - \$1,000K Topic 2: \$400K - \$765K
<b>Types of Funding Agreements</b>	Cooperative Agreements
<b>Period of Performance</b>	36 months

\*Subject to the availability of appropriated funds

# Statement of Substantial Involvement

- Substantial involvement includes, but is not limited to the following:
  - EERE shares responsibility with the Prime Recipient for the management, control, direction, and performance of work under this award;
  - 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;
  - 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;

# Statement of Substantial Involvement - Continued

- 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;
- EERE promotes and facilitates technology transfer activities, including disseminating Technology Office results through presentations and publications;
- EERE may redirect or discontinue funding projects that fail to fully and satisfactorily complete the work described in the Statement of Project Objectives as evaluated at the Go/No Go decision points;
- EERE participates in major project decision-making processes; and
- More information on Substantial Involvement can be found in Section VI.C.8 of the FOA.

# Multiple Applications

- Applicants may apply to both topic areas, however Applicants must submit one Concept Paper and Full Application for each topic area of this FOA.
  - 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.

# Multiple Applications - Continued

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- Applicants may only submit one 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.

# Eligibility Requirements

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Eligible Applicants for this FOA include:

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

For more detail about eligible Applicants, please see Section III.A of the FOA for eligibility requirements.

# Cost Sharing Requirements

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## Cost Share - 50%

- The cost share must be at least 50% of the total allowable costs for projects funded under this FOA and must come from non-Federal sources, unless otherwise allowed by law.
- 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 in the FOA.

# 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
Educational Institutions	2CFR220
State, Local, and Indian Tribal Governments	2CFR225
Non-profit Organizations	2CFR230
For-profit Organizations	FAR Part 31

# 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

- 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;
  - Independent research and development (IR&D) funds; and
  - The same cash or in-kind contributions for more than one project or program.

# Cost Share Contributions

- Contributions must be:
  - Specified in the project budget;
  - Verifiable from the Prime Recipient's records; and
  - 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.

# Cost Share Payment

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- Prime 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.

# Cost Share Payment

- In limited circumstances, the Prime Recipient may submit a waiver request to meet its cost share requirements on a less frequent basis, such as monthly or quarterly.
- Such waiver requests must be sent by email to the Contracting Officer during award negotiations and include:
  - (1) A detailed justification for the request;
  - (2) A proposed schedule of payments, including amounts and dates;
  - (3) A written commitment to meet that schedule; and
  - (4) Such evidence as necessary to demonstrate that the Prime Recipient has complied with its cost share obligations to-date.
- The Contracting Officer must approve all such requests before they may go into effect.

# Selection Factors

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The Selection Official may consider the Concept Paper and Merit Review recommendations, program policy factors, and the amount of funds available in arriving at selections for this FOA.

# Program Policy Factors

- The Selection Official may consider the following program policy factors in determining which Applicants to encourage to submit Full Applications and which Full Applications to select for award negotiations:
  - 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; and
  - The degree to which the proposed project directly addresses EERE's statutory mission and strategic goals.

# Concept Papers

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- Applicants must submit a compliant Concept Paper by 02/21/2014 to be eligible to submit a Full Application.
  - Concept Papers are deemed compliant if the Applicant successfully uploaded all required documents and clicked the “Submit” button in EERE eXCHANGE by the deadline stated in the FOA.
- See Section IV.C of the FOA for information on the content requirements for Concept Papers.

# Concept Paper Review

- Each compliant Concept Paper will be reviewed based on the criteria in Section V.A.1. of the FOA.
- Applicants will be notified of an Encourage/Discourage decision, and review comments on their Concept Paper will be available in EERE eXCHANGE:
  - Applicants will be provided approximately 30 days to prepare a Full Application;
  - An Applicant who receives a “discouraged” notification may still submit a Full Application; and
  - By **discouraging** the submission of a Full Application, EERE intends to convey its lack of programmatic interest in the proposed project.

# Concept Paper Review

Concept Papers are evaluated based on the following criteria:

## **Criterion 1: Impact of the Proposed Program Relative to Current Best Practices (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 (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.

# Full Applications

- Applicants must submit a Full Application by 03/21/2014
- Full Applications are deemed compliant if:
  - The Applicant submitted a compliant and responsive 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.

# Merit Review and Selection Process - Overview

- The Merit Review process consists of multiple phases each of which 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.
- Ultimately, the Selection Official considers the recommendations of the reviewers, along with other considerations such as Program Policy Factors, in determining which applications to select.
- See Section V.A.2 of the FOA for information on the review criteria for Full Applications.

# Merit Review and Selection Process - Overview

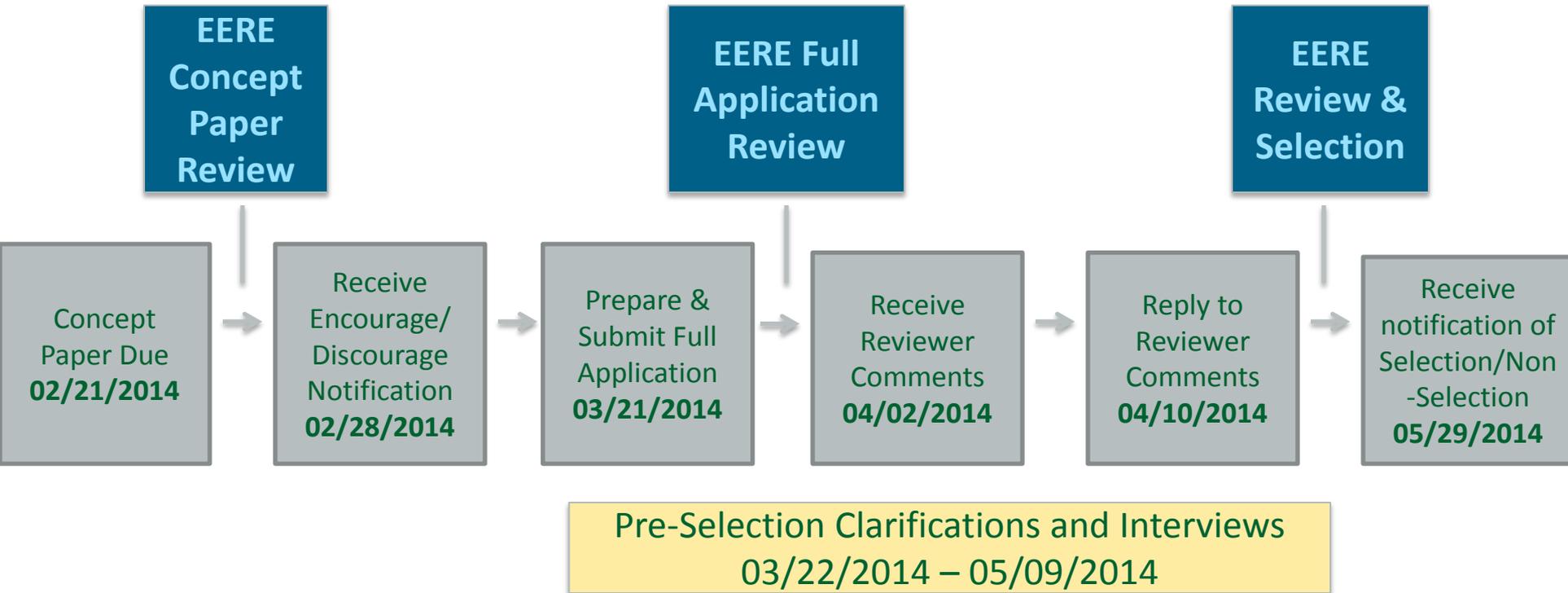
- Pre-Selection Clarifications
  - Used solely for the purposes of clarifying the application, and will be limited to information already provided in the application.
  - May occur before, during, or after the Merit Review evaluation process.
- Pre-Selection Interviews
  - EERE may invite one or more of the top ranked applicants to participate in Pre-Selection Interviews.
  - Top ranked Applicant(s) will meet with the Merit Review Panel to allow the Merit Review panel to seek clarification on the contents of the Full Application(s) and ask questions regarding the proposed project(s).

# Replies to Reviewer Comments

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- EERE will provide Applicants with reviewer comments in EERE eXCHANGE following evaluation of all compliant and responsive Full Applications.
- Applicants will have approximately three business days to prepare a short Reply to Reviewer Comments responding to comments however they desire.
- Please see Sections IV.F. and V.A.3 for additional information regarding replies to reviewer comments.

# FOA Review Timeline



EERE anticipates making awards by **07/09/2014**

# Key Submission Points

- Check entries in EERE eXCHANGE.
  - Submissions could be deemed non-compliant 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.

# 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
- It is imperative that the Applicant/Selectee be responsive during award negotiations and meet negotiation deadlines
  - Failure to do so may result in cancelation of further award negotiations and rescission of the Selection

# Questions

- Questions about this FOA? Email [NIICEFOA@go.doe.gov](mailto:NIICEFOA@go.doe.gov).
  - All Q&As related to this FOA will be posted on EERE eXCHANGE.
    - You must first 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](mailto: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.