

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy  
Golden Field Office**

**Recovery Act: Wind Energy Consortia between Institutions of Higher  
Learning and Industry  
Funding Opportunity Announcement Number: DE-FOA-0000090  
Announcement Type: Initial  
CFDA Number: 81.087**

**Issue Date: 05/29/2009**

**Letter of Intent Due Date: 06/19/2009, 11:59 PM Eastern Time**

**Note: Only those Applicants who submitted a letter of intent are eligible to submit final applications under this announcement.**

**Application Due Date: 07/29/2009, 11:59 PM Eastern Time**

**NOTE: Questions regarding the content of this announcement must be submitted through FedConnect. Applicants must be registered in FedConnect to submit or view Questions.**

# APPLICATION SUBMISSION, FEDCONNECT QUICK START GUIDE, REGISTRATION REQUIREMENTS, AND SUBMISSION OF QUESTIONS

## 1. Application Submission

APPLICATIONS MUST BE SUBMITTED THROUGH FEDCONNECT AT <https://www.fedconnect.net/> TO BE CONSIDERED FOR AWARD. The Adobe Application Package identified in Part IV. C. is posted as an attachment to this Funding Opportunity Announcement (in FedConnect). It is the responsibility of the applicant, prior to the Application due date and time, to verify successful transmission.

In the Adobe Application Package that is provided as a separate attachment to this announcement in FedConnect, first attach your application documents within the Adobe Application Package. Then save the Adobe Application Package, and submit it via the Fed Connect portal. **IMPORTANT: DO NOT** use the “Save & Submit button in the Adobe Application Package, since that button is only used when submitting an application in Grants.gov.

Organizations with system-to-system capabilities with Grants.gov for their submissions may continue to use their systems, and their applications will be accepted in Grants.gov to be considered for award.

## 2. Electronic Authorization of Applications and Award Documents

Submission of an application and supplemental information under this funding opportunity announcement by the applicant’s authorized representative through electronic systems used by the Department of Energy, including FedConnect, constitutes the applicant's approval and electronic signature.

Acknowledgement of award documents by the recipient’s authorized representative through electronic systems used by the Department of Energy, specifically FedConnect, constitutes the recipient's acceptance of the terms and conditions of the award. Acknowledgement via FedConnect by the recipient’s authorized representative constitutes the recipient's electronic signature.

## 3. FedConnect Quick Start Guide

Use this guide to assist you with FedConnect:

[https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf)

## 4. Registration Requirements

To submit an application in response to this FOA, Applicants must be registered with FedConnect. Before you can register with FedConnect, you will need the following:

- A. Your organization’s DUNS (including plus 4 extension if applicable). If you don’t know your organization’s DUNS or if your organization does not have a DUNS, you can search for it or request one at <http://fedgov.dnb.com/webform/displayHomePage.do>.
- B. A federal Central Contractor Registration (CCR) account. If your organization is not currently registered with CCR, please register at [www.ccr.gov](http://www.ccr.gov) before continuing with your FedConnect registration.
- C. Possibly, your organization’s CCR MPIN. If you are the first person from your organization to register, FedConnect will need to create an organization account. Only a person who knows your organization’s CCR MPIN can do this. To find out who this is in your organization, go to <http://www.ccr.gov/> and click **Search CCR**. Once you’ve found your organization, locate the Electronic Business Point of Contact.

After the initial FedConnect account is created, employees can register themselves without the MPIN. If you are not sure whether your organization has an account with FedConnect, complete the registration form and FedConnect will let you know if your organization is registered. (PLEASE REFER TO THE FEDCONNECT QUICK START GUIDE).

Applicants who are not registered with CCR and FedConnect should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible. For those Applicants already registered in CCR, the CCR registration must be updated annually at <http://www.ccr.gov/Renew.aspx>.

**5. Questions**

Questions regarding the content of the announcement must be submitted through the FedConnect portal. You must register with FedConnect to submit questions and to receive responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf). DOE will respond to a question within 3 business days, unless a similar question and answer have already been distributed.

Questions pertaining to the submission of applications through FedConnect or the FedConnect system should be directed by e-mail to [support@FedConnect.net](mailto:support@FedConnect.net) or by phone to FedConnect Support at 1-800-899-6665.

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## PART I – FUNDING OPPORTUNITY DESCRIPTION

### A. INTRODUCTION

#### AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

Projects under this FOA will be funded, in whole or in part, with funds appropriated by the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, (Recovery Act or Act). The Recovery Act's purposes are to stimulate the economy and to create and retain jobs. The Act gives preference to activities that can be started and completed expeditiously, including a goal of using at least 50 percent of the funds made available by it for activities that can be initiated not later than June 17, 2009. Due to the schedule of this FOA, the preceding date will not affect applications submitted under this FOA. Accordingly, special consideration will be given to projects that promote and enhance the objectives of the Act, especially job creation, preservation and economic recovery, in an expeditious manner.

Be advised that special terms and conditions may apply to projects funded by the Act relating to:

- Reporting, tracking and segregation of incurred costs;
- Reporting on job creation and preservation;
- Publication of information on the Internet;
- Access to records by Inspectors General and the Government Accountability Office;
- Prohibition on use of funds for gambling establishments, aquariums, zoos, golf courses or swimming pools;
- Ensuring that iron, steel and manufactured goods are produced in the United States;
- Ensuring wage rates are comparable to those prevailing on projects of a similar character;
- Protecting whistleblowers and requiring prompt referral of evidence of a false claim to an appropriate inspector general; and
- Certification and Registration.

These special terms and conditions will be based on provisions included in Titles XV and XVI of the Act. These Special Provisions are located at:

[http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).

The Office of Management and Budget (OMB) has issued Initial Implementing Guidance for the Recovery Act. See [M-09-10, Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009](#). OMB will be issuing additional guidance concerning the Act in the near future. Applicants should consult the Department of Energy (DOE) website, [www.energy.gov](http://www.energy.gov), the OMB website <http://www.whitehouse.gov/omb/>, and the Recovery website, [www.recovery.gov](http://www.recovery.gov), regularly to keep abreast of guidance and information as it evolves.

Recipients of funding appropriated by the Act shall comply with requirements of applicable Federal, State, and local laws, regulations, DOE policy and guidance, and instructions in this FOA, unless relief has been granted by DOE. Recipients shall flow down the requirements of applicable Federal, State and local laws, and regulations, DOE policy and guidance, and instructions in this FOA to subrecipients at any tier to the extent necessary to ensure the recipient's compliance with the requirements.

Be advised that Recovery Act funds can be used in conjunction with other funding, as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the Recovery Act and related OMB Guidance. Applicants for projects funded by sources other than the Recovery Act should plan to keep separate records for Recovery Act funds and to ensure those records comply with the requirements of the Act. Funding provided through the Recovery Act that is supplemental to an existing grant is one-time funding.

Applicants should begin planning activities for their first tier subawardees, including obtaining a DUNS number (or updating the existing DUNS record), and registering with the Central Contractor Registration (CCR). The extent to which subawardees will be required to register in CCR will be determined by OMB at a later date.

## **B. DESCRIPTION**

The mission of the Wind and Hydropower Technologies Program (WHTP) is responsible stewardship of national resources to increase the development and deployment of reliable, affordable, and environmentally sustainable wind and water power and realize the benefits of domestic renewable energy production. Fulfilling this mission will result in greater energy security and enhanced domestic economic benefit through more diverse, clean, reliable, affordable, and secure domestic electricity supplies. The WHTP contributes directly to the mission of the Department of Energy and the Office of Energy Efficiency and Renewable Energy to improve national, energy, and economic security and increase the diversity of our Nation's energy resources. The Program launched an effort, in collaboration with industry, to assess the potential for, and impact of, supplying 20% of the Nation's electricity needs from wind energy.

In July 2008, DOE issued the "20% Wind Energy by 2030" report. The report found that the Nation possesses wind energy resources sufficient to meet the 20% scenario. The major challenges identified in the report include availability of electric transmission and ability to integrate large amounts of wind energy, continued reduction in wind capital cost and improvement in turbine performance through technology advancement, and improved domestic supply chain and manufacturing capabilities. A surge in wind capacity will require a trained and educated workforce that can manufacture, install, operate and maintain wind turbines and operate the Nation's electricity transmission infrastructure.

The report can be found at <http://www1.eere.energy.gov/windandhydro>.

Guidance from the wind industry was captured in two recent meetings. Results from the meetings can be seen at the following link:

[http://www1.eere.energy.gov/windandhydro/20by2030\\_workshop.html](http://www1.eere.energy.gov/windandhydro/20by2030_workshop.html)

President Obama and Vice President Biden have a comprehensive plan to invest in alternative and renewable energy, end our addiction to foreign oil, address the global climate crisis and create millions of new jobs. President Obama's comprehensive New Energy for America plan includes:

- Creating five million new jobs by strategically investing \$150 billion over the next ten years to catalyze private efforts to build a clean energy future
- Ensuring 10 percent of our electricity comes from renewable sources by 2012, and 25 percent by 2025

Wind energy will play an important role in reaching the President's renewable energy goals.

Applicants will compete for DOE funds that are provided under the American Recovery and Reinvestment Act of 2009 to preserve and create jobs, promote economic recovery, and provide investments needed to increase economic efficiency by spurring technological advances in science.

Note: This Funding Opportunity Announcement includes two phases – letter of intent phase and a final application phase. **Only those Applicants who submit to the letter of intent phase are eligible to submit final applications under this announcement.**

**Applicants may only submit an application for one consortium.**

*FOA Summary*

<b>FOA Topic</b>	<b>Total Recovery Act Funding</b>	<b>Estimated First Year Funding</b>	<b>Award Type</b>	<b>Expected Number of Awards</b>	<b>Required Cost Share</b>	<b>Maximum Range DOE Share</b>	<b>Period of Performance</b>
Wind Energy Consortia between Institutions of Higher Learning and Industry	\$24,000,000	\$12,000,000	Grant	2-3	10% of total project cost	\$8,000,000-\$12,000,000	2 years

## PART II – TOPIC AREA DETAILS

### AWARD INFORMATION

#### A. BACKGROUND

Objectives: This \$24 million program initiative will fund consortia between institutions of higher learning and industry that will perform focused research on critical wind energy challenges. These funds will be provided under the American Recovery and Reinvestment Act of 2009 to preserve and create jobs, promote economic recovery, and provide investments needed to increase wind energy R&D. The funding will be focused on two complementary areas, but not separate topics:

- 1) Partnerships for Wind Research and Turbine Reliability: Universities in regions of the country in a Power Class 3 at 50 meters or greater wind region with consistent wind resources throughout the year are encouraged to team with industry partners to establish facilities/equipment and a research agenda necessary to study major challenges facing today's wind industry. Proposals must address one or more challenges described in the "20% Wind Energy by 2030" report and shall include descriptions of how the wind hardware and software will be acquired. DOE highly encourages research in "turbine reliability" as a topic in any consortia proposal.
- 2) Wind Energy Research & Development: University R&D to advance material design, performance measurements, analytical models, and leveraging partnerships with industry to improve power systems operations, maintenance or repair operations, wind turbine and/or component manufacturing, and interdisciplinary system integration. Fellowships, internships, etc. may be used to support the research agenda. Universities are encouraged to partner with the wind industry in defining their R&D agenda, developing their curriculum, and intern partnerships.

**Only those Applicants who submit a letter of intent are eligible to submit final applications under this announcement. The applicant and consortium members may only submit on one team.** Applicants are required to submit a letter of intent **by the due date set forth on the cover page of this FOA**. This letter of intent may be submitted by the applicant or by a proposed consortium member, and must include the following:

- Name of the applicant
- A brief description of the project (2 pages maximum)
- A listing of consortium members with a point of contact for each member of the proposed consortium
- Documented details with regards to the wind resource in the area where the proposed turbine will be installed and access rights to land with description of location of land within 50 miles of the student campus(es).
- Documented details and schedule with regards to project readiness for contracting for the purchase of turbine(s) with 90-days of the award and subsequent installation of the turbine within 1-year of the contract for purchase of the turbine
- Document details that have known conflicts with National Environmental Policy Act Requirements such as significant impacts on wildlife and damage to historical sites.
- Document that the university has at least one engineering program that is currently accredited by the Accreditation Board for Engineering and Technology (ABET).

The letter of intent will be used to help DOE organize and expedite the merit review process. Letters of intent do not commit an applicant to submit an application. They should not contain any proprietary or sensitive business information. The letter of intent must be sent by E-mail to [WindConsortia@go.doe.gov](mailto:WindConsortia@go.doe.gov).

**Applicants who have not submitted a letter of intent will not be considered for an award.**

**B. TYPE OF AWARD INSTRUMENT**

DOE anticipates awarding grants under this Recovery Act Funding Opportunity Announcement (FOA). Technical Assistance from a DOE Laboratory will be allocated to projects as needed.

**C. ESTIMATED FUNDING**

Approximately \$24,000,000 of Recovery Act Funds are expected to be available for new awards under this announcement. Technical Assistance from a DOE Laboratory will not be a part of the Grant but will be allocated to projects as needed.

**D. MAXIMUM AND MINIMUM AWARD SIZE**

Ceiling (i.e., the maximum amount for an individual award made under this announcement):  
\$12,000,000

Floor (i.e., the minimum amount for an individual award made under this announcement):  
\$8,000,000

**E. EXPECTED NUMBER OF AWARDS**

DOE anticipates making 2 to 3 awards under this announcement depending on the size of the awards.

**F. ANTICIPATED AWARD SIZE**

DOE anticipates that awards will be in the \$8,000,000 - \$12,000,000 range for the total project period.

**G. PERIOD OF PERFORMANCE**

DOE anticipates making awards that will have a performance period for up to 2 years.

**H. TYPE OF APPLICATION**

Only new applications will be accepted under this announcement (i.e., applications for renewals of existing DOE funded projects will not be considered).

**I. GENERAL INFORMATION**

Awards under this FOA will be funded with funds appropriated by the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, (Recovery Act or Act). Be advised that special terms and conditions may apply to projects funded by the Act relating to:

- Reporting, tracking and segregation of incurred costs;
- Reporting on job creation and preservation;
- Publication of information on the Internet;
- Access to records by Inspectors General and the Government Accountability Office;
- Prohibition on use of funds for gambling establishments, aquariums, zoos, golf courses or swimming pools;

- Ensuring that iron, steel and manufactured goods are produced in the United States;
- Ensuring wage rates are comparable to those prevailing on projects of a similar character;
- Protecting whistleblowers and requiring prompt referral of evidence of a false claim to an appropriate inspector general; and
- Certification and Registration.

These special terms and conditions will be based on provisions included in Titles XV and XVI of the Act. These Special Provisions are located at:

[http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).

## **ELIGIBILITY INFORMATION**

### **A. ELIGIBLE APPLICANTS.**

In accordance with 10 CFR 600.6(b), eligibility for award is restricted to consortia led by an institution of higher learning. The consortia must include at least one four-year institution of higher learning that has at least one engineering program that is accredited by the Accreditation Board for Engineering and Technology (ABET).

Any proposed turbine location must have Power Class 3 at 50 meters and above wind resources and be within 50 miles of the university.

Applicants may only submit an application for one consortium.

A letter of intent must be submitted as specified in Part III.B of this FOA in order to submit an application.

### **B. COST SHARING**

Because applied research and development activities under this announcement are receiving funds appropriated by the Recovery Act, non-Federal cost share must be at least 10% of the total allowable costs for all recipients, except Indian Tribal Institutions of Higher Learning. For Indian Tribal Institutions of Higher Learning cost share is waived for applied research and development activities. The recipient's share of allowable costs must come from non-Federal sources, unless otherwise allowed by law. The sum of the Government share, including FFRDC contractor costs if applicable, and the recipient share of allowable costs equals the total allowable cost of the project.

### **C. OTHER ELIGIBILITY REQUIREMENTS**

#### **Federally Funded Research and Development Center (FFRDC) Contractors**

FFRDC contractors are not eligible for an award under this announcement. FFRDC contractors may not be proposed as a team member or subcontractor on another entity's application. Applicants shall not contact FFRDCs and shall not seek to obtain or submit letters of support or commitment from FFRDCs. Following selection, DOE can facilitate technical assistance partnerships with an FFRDC. Technical Assistance may be provided via a separate Memorandum of Agreement (MOA) between DOE, the organization selected to receive the Technical Assistance, and the team members providing the Technical Assistance.

## **D. MULTIPLE PRINCIPAL INVESTIGATORS**

The assignment and use of multiple Principal Investigators (PIs) in projects awarded under this FOA is allowed. The applicant, whether a single organization or team/partnership/consortium, must however indicate in the application if the project will include multiple PI's. (See Part IV, Section C.) The decision to use multiple PIs for a project is the sole responsibility of the applicant. If multiple PI's will be designated, the application must identify in the application the Contact PI/Project Coordinator and provide a "Coordination and Management Plan" that describes the organization structure of the project as it pertains to the designation of multiple PI's. This plan should, at a minimum, include:

- Process for making decisions on scientific/technical direction
- Publications;
- Intellectual property issues;
- Communication plans;
- Procedures for resolving conflicts; and
- PI's roles and administrative, technical and scientific responsibilities for the project

## **APPLICATION REVIEW INFORMATION**

### **A. REVIEW CRITERIA**

#### **1. Initial Review Criteria**

For an applicant to be considered for a comprehensive merit evaluation the interested party must submit a letter of intent in the format outlined in Part II.A above.

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the Funding Opportunity Announcement. If an application fails to meet these requirements, it may be deemed non-responsive and eliminated from full Merit Review.

#### **2. Merit Review Criteria**

The following criteria are proposed to be used to evaluate Applications:

##### **Criterion 1: Project Description and Implementation Plan      Weight: [40%]**

- The extent to which the application clearly states how the project plan will accomplish the following:
  - Expeditiously address the objectives for procurement of wind hardware and software
  - The adequacy of 5-year Turbine Operations and Maintenance Agreement for the R&D Turbine
  - The proximity of the turbine(s) within 50 miles of the university's campus; the location of turbines in a Power Class 3 at 50 meters wind region or greater with consistent wind resources throughout the year; any relevant site wind assessments, feasibility studies, and current permits; and long-term availability of the land

- The relevance of the Research & Development plan to the procurement of wind turbine hardware and software.
- Environmental compliance for installation of all hardware in accordance with the National Environmental Protection Act (NEPA).
- The extent to which the project plan contributes to achieving the following goals:
  - Obligation of 70% of funds under this Topic Area by the end of CY 2009 and expenditure of 70% of the funds by the end of CY 2010
  - Immediate and long-term job creation within the proposed Topic Area.
  - The relevance of the R&D application to addressing challenge(s) identified in the DOE 20% report.
  - The potential impact of the R&D toward achieving 20% wind by 2030.

**Criterion 2: Project Research and Development Plan**

**Weight: [40%]**

- The extent to which the statement of objectives, responsibilities, and goals are adequate and demonstrated to be achievable for the proposed research and development.
- Demonstrated ability of achieving project objectives as shown by realistic milestones, logical task structure, and proposed project management systems.
- The extent to which the project management plan and schedule are shown to be reasonable and achievable for the proposed project.
- The demonstrated capabilities of the applicant's Institution, Principal Investigator, and other key participants to comprehensively address all aspects of the proposed project for the Topic Area of interest.
- The adequacy of equipment, laboratory facilities, educational facilities, analytic support, and other necessary resources for performing the proposed project.
- The adequacy of the application for disseminating R&D results.
- The extent of industry involvement in the R&D effort.

**Criterion 3: Curriculum and Student Subsidies**

**Weight: [20%]**

- The extent to which the proposed curricula and student subsidies meet the objectives of the FOA.
- The extent to which private industry or other outside agencies are included to ensure that curricula meet the needs of the wind industry's workforce requirements.
- The extent to which student subsidies will be used to encourage and assist students and the approach for tracking and reporting workforce development through successful post graduate employment in the wind industry.
- The demonstrated credibility for the concept as supported by success within the applicant's institution for developing similar programs.

**3. Other Selection Factors**

The selection official may consider the following program policy factors in the selection process:

1. Geographic diversity of projects.
2. Relevance of projects to support the WHTP goals.

3. Relevance of projects to addressing the challenges of the “20% Wind Energy by 2030” report.
4. Diversity of turbine technology.
5. Level of cost share above the minimum required.
6. Selection of Applications which promote and enhance the objectives of the American Recovery and Reinvestment Act of 2009, P.L. 111-5, such as job creation, and/or preservation and economic recovery in an expeditious manner.

## **B. REVIEW AND SELECTION PROCESS**

### **a. Merit Review**

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the “Department of Energy Merit Review Guide for Financial Assistance and Unsolicited Proposals.” This guide is at <http://www.management.energy.gov/documents/meritrev.pdf>.

**It is very important that those documents, Project Abstract and Project Narrative file, that will be used during the Merit Review Process do not contain any Personally Identifiable Information as described in Appendix B.**

### **b. Selection**

The Selection Official may consider the merit review recommendation, program policy factors, and the amount of funds available.

### **c. Discussions and Award**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including, but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR part 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

## **C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES**

DOE anticipates notifying applicants selected for award by October 1, 2009 and making awards by January 15, 2010.

## **OTHER INFORMATION**

### **A. MODIFICATIONS**

Notices of any modifications to this announcement will be distributed through the FedConnect portal. You can receive an email when a modification or an announcement message is posted by registering with FedConnect as an interested party for this FOA. It is recommended that you register as soon as possible after the release of the FOA, to ensure you receive timely notice of any modifications or other announcements.

**B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE**

DOE reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

**C. COMMITMENT OF PUBLIC FUNDS**

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by anyone other than the Contracting Officer, either explicit or implied, is invalid.

**D. PROPRIETARY APPLICATION INFORMATION**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

“The data contained in pages \_\_\_\_\_ of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government’s right to use or disclose data obtained without restriction from any source, including the applicant.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

**E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

**F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM**

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See “Notice of Right to Request Patent Waiver” in paragraph G below.)

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE's own needs or to insure the commercialization of technology developed under a DOE agreement.

Special Protected Data Statutes. This program is covered by a special protected data statute. The provisions of the statute provide for the protection from public disclosure, for a period of up to five years from the date of its development, of first-produced data that would be trade secret, or commercial or financial information that is privileged or confidential, if the information had been obtained from a non-Federal party. Generally, the provision entitled, Rights in Data – Programs Covered under Special Protected Data Statutes, (10 CFR 600 Appendix A to Subpart D), will apply to an award made under this announcement. This provision will identify data or categories of data first produced in the performance of the award that will be made available to the public, notwithstanding the statutory authority to withhold data from public dissemination, and may also identify data that will be recognized by the parties as protected data. For National Laboratories and FFRDCs, the data rights clause in Applicant's Management and Operating (M&O) Contract will apply.

#### **G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER**

Applicants may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this announcement, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.

Domestic small businesses and domestic nonprofit organizations will receive the patent rights clause at 37 CFR 401.14, i.e., the implementation of the Bayh-Dole Act. This clause permits domestic small business and domestic nonprofit organizations to retain title to subject inventions. Therefore, small businesses and nonprofit organizations do not need to request a waiver.

#### **H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES**

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

#### **I. NOTICE OF RIGHT TO CONDUCT A REVIEW OF FINANCIAL CAPABILITY**

DOE reserves the right to conduct an independent third party review of financial capability for applicants that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

## **J. NOTICE OF POTENTIAL DISCLOSURE UNDER FREEDOM OF INFORMATION ACT**

Applicants should be advised that identifying information regarding all applicants, including applicant names and/or points of contact, may be subject to public disclosure under the Freedom of Information Act, whether or not such applicants are selected for negotiation of award.

### **PART III – APPLICATION AND SUBMISSION INFORMATION**

#### **A. ADDRESS TO REQUEST APPLICATION FORMS**

The Adobe Application Package is provided as a separate attachment to this Funding Opportunity Announcement (on FedConnect). The application package will be submitted via the FedConnect portal once all of the required documentation is complete and the application has been saved. DO NOT use the “Save & Submit” button in the Adobe Application Package, since that button is only used when submitting an application in Grants.gov.

Organizations with system-to-system capabilities with Grants.gov for their submissions may continue to use their systems, and their applications will be accepted in Grants.gov to be considered for award.

#### **B. LETTER OF INTENT AND PRE-APPLICATION**

##### **1. Letter of Intent**

**Only those Applicants who submit a letter of intent are eligible to submit final applications under this announcement. The applicant and consortium members may only submit on one team.** Applicants are required to submit a letter of intent **by the due date set forth on the cover page of this FOA.** This letter of intent may be submitted by the applicant or by a proposed consortium member, and must include the following:

- Name of the applicant
- A brief description of the project (2 pages maximum)
- A listing of consortium members with a point of contact for each member of the proposed consortium
- Documented details with regards to the wind resource in the area where the proposed turbine will be installed and access rights to land with description of location of land within 50 miles of the student campus(es).
- Documented details and schedule with regards to project readiness for contracting for the purchase of turbine(s) with 90-days of the award and subsequent installation of the turbine within 1-year of the contract for purchase of the turbine
- Document details that have known conflicts with National Environmental Policy Act Requirements such as significant impacts on wildlife and damage to historical sites.
- Document that the university has at least one engineering program that is currently accredited by the Accreditation Board for Engineering and Technology (ABET).

The letter of intent will be used to help DOE organize and expedite the merit review process. Letters of intent do not commit an applicant to submit an application. They should not contain any proprietary or sensitive business information. The letter of intent

must be sent by E-mail to [WindConsortia@go.doe.gov](mailto:WindConsortia@go.doe.gov).

**Applicants who have not submitted a letter of intent will not be considered for an award.**

## 2. Pre-application

A pre-application is not required.

## C. CONTENT AND FORM OF APPLICATION

### Adobe Application Package - Instructions for Completion of Forms

The Adobe Application Package was intended to be utilized in Grants.gov; however, the DOE is currently utilizing it with FedConnect. Please disregard any information within the Adobe Application Package regarding use with Grants.gov; specifically, DO NOT use the “Save & Submit” button in the Adobe Application Package, since that button is only used when submitting an application in Grants.gov.

1) Copy the Adobe Application Package to your desktop.

2) Open the Adobe Application Package, and first complete the SF-424 Application, Project/Performance Site Location(s) form, and SF-LLL form (if applicable) which are all part of the Adobe Application Package. To start this process, simply click on the form's name to select the item and then click on the => button. This will move the document to the appropriate "Documents for Submission" box and the form will be automatically added to your application package. Open the forms by selecting the form name and clicking on the "Open Form" button, then complete the required data fields.

3) Identify the remaining forms required to be completed, as identified in Part IV of the Announcement. Prepare and save these forms to your desktop (e.g., project narrative, resume file, budget file, ...). Once finalized and files are named as indicated in Part IV of the Announcement, upload (attach) these files individually within the Adobe Application Package by clicking on “Add Mandatory Other Attachment” to attach the Project Narrative and clicking on “Add Optional Other Attachment” to attach the remaining files.

4) Once all completed files have been attached within the Adobe Application Package, save the Adobe Application Package to your desktop, and submit to FedConnect, following the steps outlined in the FedConnect Quick Start Guide at: [https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect_Ready_Set_Go.pdf). Note that Applications may be submitted to multiple Topic Areas; however, SEPARATE applications must be submitted for each Topic Area. If submitting to multiple Topic Areas, save the Adobe Application Package in a single file, using up to 10 letters of the Applicant's Organization Name as the file name (e.g., UCLA). If your organization is submitting more than one Application to different topic areas, you must identify an application number and the Topic Area Number at the end of each file name (e.g., UCLA-1-Topic1).

Note that it is the responsibility of the applicant, prior to the Application due date and time, to verify successful transmission in FedConnect.

Organizations with system-to-system capabilities with Grants.gov for their submissions may continue to use their systems, and their applications will be accepted in Grants.gov to be considered for award.

You must complete the mandatory forms and any applicable optional forms, in accordance with the instructions on the forms and the additional instructions below, as required by this FOA. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

Once the forms below have been completed, save the Adobe Application Package in a single file, using up to 10 letters of the Applicant's Organization Name as the file name (e.g., UCLA).

### **1. SF 424 - Application for Federal Assistance**

Complete this form first to populate data in other forms. Complete all required fields in accordance with the pop-up instructions on the form. The list of certifications and assurances referenced in Field 21 can be found at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm), under Certifications and Assurances.

### **2. Project/Performance Site Location(s)**

Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), identify the site location(s) in the blocks provided. **Note that the Project/Performance Site Congressional District is entered in the format of the 2 digit state code followed by a dash and a 3 digit Congressional district code; for example, VA-001.**

### **3. Other Attachments Form**

Submit the following files with your application and attach them to the Other Attachments Form. Click on "Add Mandatory Other Attachment" to attach the Project Narrative. Click on "Add Optional Other Attachment," to attach the other files.

#### **a. Project Summary/Abstract File**

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). Applicants are cautioned that this document should not include any proprietary information, trade secrets, or other confidential business, financial or sensitive information, since this summary may be subject to public disclosure under the Freedom of Information Act (FOIA). The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font not smaller than 11 point. Save this information in a file named "Summary.pdf," and click on "Add Optional Other Attachment" to attach.

**b. Project Narrative File - Mandatory Other Attachment**

The project narrative must not exceed 20 pages, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right). EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application. See the section entitled “Other Information” in Part II for instructions on how to mark proprietary application information. Save the information in a single file named “Project.pdf,” and click on “Add Mandatory Other Attachment” to attach.

The project narrative must include:

- Project Objectives.  
This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.
- Merit Review Criterion Discussion.  
The section should be formatted to address each of the merit review criterion and sub-criterion listed in the section entitled “Application Review Information” in Part II. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. DOE WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION AND SUB-CRITERION.
- American Recovery and Reinvestment Act of 2009, P.L. 111-5 (Recovery Act) Information:  
This section should address how the project will promote and enhance the objectives of the Recovery Act, especially job creation and/or preservation, and economic recovery in an expeditious manner. The response must include quantitative data supporting the number of jobs created and/or preserved, as well as data supporting any other direct economic recovery impacts attributable to the performance and conduct of the project.

The above listed components of your Project Narrative combined, must be within the Narrative page limit specified above. Documents listed below may be included as clearly marked appendices to your Narrative and will not count towards the Project Narrative page limit. Please note that some of the required documents listed below may have their own page limits to which you must adhere.

**c. Resume File**

Provide a resume for each key person proposed, including subawardees and consultants if they meet the definition of key person. A key person is any individual who contributes in a substantive, measurable way to the execution of the project. Save all resumes in a single file named “resume.pdf” and click on “Add Optional Other Attachment” to attach. Each resume must not exceed 2 pages when printed on 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point and should include the following information, if applicable:

*Education and Training:* Undergraduate, graduate and postdoctoral training, provide institution, major/area, degree and year.

*Professional Experience:* Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

*Publications:* Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address, if available electronically.

Patents, copyrights and software systems developed may be provided in addition to or substituted for publications.

*Synergistic Activities:* List no more than 5 professional and scholarly activities related to the effort proposed.

Of the key personnel identified in this file, indicate the Principal Investigator(s) (PI). If multiple PI's are proposed, the applicant must provide the information indicated in the section "Eligibility Information" in Part II as part of this file.

The resume file does not have a page limitation.

#### **d. Budget File**

##### **SF 424 A Excel, Budget Information – Non-Construction Programs File**

You must provide a separate budget for each year of support requested and accumulative budget for the total project period. Use the SF 424 A Excel, "Budget Information – Non Construction Programs" form on the Applicant and Recipient Page at [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm). You may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (see PART III, G). Save the information in a single file named "SF424A.xls," and click on "Add Optional Other Attachment" to attach.

#### **e. Budget Justification File**

A Budget Justification for SF 424A must be provided for the costs proposed in each Object Class Category/Cost Classification category (e.g., identify key persons and personnel categories and the estimated costs for each person or category; provide a list of equipment and cost of each item; identify proposed subaward/consultant work and cost of each subaward/consultant; describe purpose of proposed travel, number of travelers and number of travel days; list general categories of supplies and amount for each category; and provide any other information you wish to support your budget). Provide the name of your cognizant/oversight agency, if you have one, and the name and phone number of the individual responsible for negotiating your indirect rates as part of the budget justification or under the comments under the Indirect tab of the

Budget Justification form

**f. American Recovery and Reinvestment Act of 2009, P.L. 111-5 (Recovery Act)  
Additional Budget Justification Information**

Applications shall provide information which validates that all laborers and mechanics on projects funded directly by or assisted in whole or in part by and through funding appropriated by the Recovery Act are paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by Subchapter IV of Chapter 31 of Title 40, United States Code (Davis-Bacon Act). For guidance on how to comply with this provision, see <http://www.dol.gov/esa/whd/contracts/dbra.htm>.

To satisfy this requirement, please provide a written assurance that you will comply with the Davis-Bacon Act, as identified above, along with the signature of the authorized representative of your organization. Attach the written assurance to the Budget Justification.

**g. Letters of Commitment**

You must have a letter from each third party contributing cost share (i.e., a party other than the organization submitting the application) that proposes to provide all or part of the required cost share. **All Letters of Commitment must be attached to the Project Narrative File.** Each letter must state that the third party is committed to providing a specific minimum dollar amount of cost share. In the budget justification, identify the following information for each third party contributing cost share: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed type of cost share – cash, services, or property. Letters of Commitment from parties participating in the project, exclusive of vendors, who will not be contributing cost share, but will be integral to the success of the project must be included as part of this Appendix to the Narrative. Letters of Commitment will not count towards the Project Narrative page limit.

Letters of commitment and/or support shall not be submitted from any FFRDC.

**h. Subaward Budget File(s)**

You must provide a separate budget (i.e., budget for each budget year and a cumulative budget) for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (whichever is less). Use the SF 424 A Excel for Non Construction Programs or the SF 424 C Excel for Construction Programs. These forms are found on the Applicant and Recipient Page at <https://www.eere-pmc.energy.gov/forms.aspx>. Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee's name (plus424.xls) as the file name (e.g., ucla424.xls or energyres424.xls). Click on "Add Optional Other Attachment" to attach each file.

A budget justification for the subaward budget is also required. The budget justification must include the same justification information described in paragraph e. above.

**i. Environmental Questionnaire**

You must complete the environmental questionnaire at <https://www.eere-pmc.energy.gov/NEPA.asp>. Save the questionnaire in a single file named “Env.pdf” and click on “Add Attachments” in Field 11 to attach.

**j. Project Management Plan**

This plan should identify the activities/tasks to be performed, a time schedule for the accomplishment of the activities/tasks, the spending plan associated with the activities/tasks, and the expected dates for the release of outcomes. Applicants may use their own project management system to provide this information. This plan should identify any decision points and go/no-go decision criteria. Successful applicants must use this plan to report schedule and budget variances. Save this plan in a single file named “pmp.pdf” and click on “Add Optional Other Attachments” to attach.

**k. SF-LLL Disclosure of Lobbying Activities**

Complete the SF- LLL. If not applicable, negative response is required.

**Applicability:** If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying." The form is available in the optional document box on the Adobe Application Package attached to this FOA.

### Summary of Required Forms/Files

Your application must include the following documents:

Name of Document	Format	File Name
SF 424 - Application for Federal Assistance	Part of Adobe Application Package	
Project/Performance Site Location(s)	Part of Adobe Application Package	
Other Attachments Form: Attach the following files to this form:	Part of Adobe Application Package	See Instructions
Project Summary/Abstract File	PDF	Summary.pdf
Project Narrative File, including required appendices (Letters of Commitment)	PDF	Project.pdf
Resume File	PDF	Resume.pdf
SF 424A Excel – Budget Information for Non-Construction Programs File	Excel	SF424A.xls
Budget Justification File	PDF	See Instructions
American Recovery and Reinvestment Act of 2009, P.L. 111-5 (Recovery Act) Additional Budget Justification Information	PDF	DBRA.pdf
Subaward Budget File(s), if applicable Budget Justification(s), if applicable	Excel for Budget PDF for Justification	See Instructions
Environmental Questionnaire	PDF	See Instructions
Project Management Plan	PDF	PMP.pdf
SF-LLL Disclosure of Lobbying Activities	PDF	SF-LLL.pdf

#### **D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS**

If selected for award, DOE reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- Indirect cost information
- Other budget information
- Commitment Letter from Third Parties Contributing to Cost Share, if applicable
- Environmental Questionnaire
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Because Recovery Act funds apply to awards under this announcement, additional certification requirements will be required for state or local governments. See Special Provisions located at:

[http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).

#### **E. SUBMISSION DATES AND TIMES**

##### **Letter of Intent Due Date**

Letters of Intent must be received by June 19, 2009, 11:59 PM Eastern Time. (See FOA Part III.B.1 for instructions on Letters of Intent)

### **Application Due Date**

Applications must be received by July 29, 2009, 11:59 PM Eastern Time. You are encouraged to transmit your application well before the deadline. **APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

### **F. INTERGOVERNMENTAL REVIEW**

This program is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

### **G. FUNDING RESTRICTIONS**

**Cost Principles.** Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600. The cost principles for commercial organization are in FAR Part 31.

**Pre-award Costs.** Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR part 600. Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period.

Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs if for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

### **H. SUBMISSION AND REGISTRATION REQUIREMENTS**

#### **1. Where to Submit**

**APPLICATIONS MUST BE SUBMITTED THROUGH FEDCONNECT TO BE CONSIDERED FOR AWARD.** Submit electronic applications through the FedConnect portal. Information regarding how to submit applications via Fed Connect can be found at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf).

In the Adobe Application Package that is provided as a separate attachment to this announcement in FedConnect, first attach your application documents within the Adobe Application Package. Then save the Adobe Application Package, and submit it via the Fed Connect portal. **IMPORTANT: DO NOT** use the “Save & Submit button in the Adobe Application Package, since that button is only used when submitting an application in Grants.gov.

Organizations with system-to-system capabilities with Grants.gov for their submissions may continue to use their systems, and their applications will be accepted in Grants.gov to be considered for award.

Further, it is the responsibility of the applicant, prior to the Application due date and time, to verify successful transmission.

## 2. Registration Process Requirements

To submit an application in response to this FOA, Applicants must be registered with FedConnect. Before you can register with FedConnect, you will need the following:

- A. Your organization's DUNS (including plus 4 extension if applicable). If you don't know your organization's DUNS or if your organization does not have a DUNS, you can search for it or request one at <http://fedgov.dnb.com/webform/displayHomePage.do>.
- B. A federal Central Contractor Registration (CCR) account. If your organization is not currently registered with CCR, please register at [www.ccr.gov](http://www.ccr.gov) before continuing with your FedConnect registration.
- C. Possibly, your organization's CCR MPIN. If you are the first person from your organization to register, FedConnect will need to create an organization account. Only a person who knows your organization's CCR MPIN can do this. To find out who this is in your organization, go to <http://www.ccr.gov/> and click **Search CCR**. Once you've found your organization, locate the Electronic Business Point of Contact.

After the initial FedConnect account is created, employees can register themselves without the MPIN. If you are not sure whether your organization has an account with FedConnect, complete the registration form and FedConnect will let you know if your organization is registered. (PLEASE REFER TO QUICK START GUIDE).

Applicants who are not registered with CCR and FedConnect, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible. For those Applicants already registered in CCR, the CCR registration must be updated annually at <http://www.ccr.gov/Renew.aspx>.

## I. ELECTRONIC AUTHORIZATION OF APPLICATIONS AND AWARD DOCUMENTS

Submission of an application and supplemental information under this funding opportunity announcement by the applicant's authorized representative through electronic systems used by the Department of Energy, including FedConnect, constitutes the applicant's approval and electronic signature.

Acknowledgement of award documents by the recipient's authorized representative through electronic systems used by the Department of Energy, specifically FedConnect, constitutes the recipient's acceptance of the terms and conditions of the award. Acknowledgement via FedConnect by the recipient's authorized representative constitutes the recipient's electronic signature.

## Part IV - AWARD ADMINISTRATION INFORMATION

### A. AWARD NOTICES

#### 1. Notice of Selection

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Part III with respect to the allowability of pre-award costs.)

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

#### 2. Notice of Award

A Financial Assistance Award issued by the contracting officer is the authorizing award document. It normally includes, either as attachments or by reference: 1. Special Terms and Conditions; 2. Applicable program regulations, if any; 3. Application as approved by DOE; 4. DOE assistance regulations at 10 CFR part 600; 5. National Policy Assurances To Be Incorporated As Award Terms; 6. Budget Summary; and 7. Federal Assistance Reporting Checklist, which identifies the reporting requirements.

For grants and cooperative agreements made to universities, non-profits and other entities subject to OMB Circular A-110, the Award also includes the Research Terms and Conditions and the DOE Agency Specific Requirements located at:

<http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>.

#### 3. Electronic Authorization of Applications and Award Documents

Acknowledgement of award documents by the recipient's authorized representative through electronic systems used by the Department of Energy, specifically FedConnect, constitutes the recipient's acceptance of the terms and conditions of the award.

Acknowledgement via FedConnect by the recipient's authorized representative constitutes the recipient's electronic signature.

### B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

#### 1. Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 (See: <http://ecfr.gpoaccess.gov>). (See: <http://ecfr.gpoaccess.gov> <<http://ecfr.gpoaccess.gov/>>). Grants and cooperative agreements made to universities, non-profits and other entities subject to OMB Circular A-110 are subject to the Research Terms and Conditions located on the National Science Foundation web site at: <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>.

#### 2. Special Terms and Conditions and National Policy Requirements

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at

<http://www.management.energy.gov/documents/specialtermsandcondition308.pdf>.

The National Policy Assurances To Be Incorporated As Award Terms are located at [http://management.energy.gov/business\\_doe/1374.htm](http://management.energy.gov/business_doe/1374.htm).

Special Provisions relating to work funded under American Recovery and Reinvestment Act of 2009, Pub. L. 111-5 shall apply. (Special Provisions are located at: [http://management.energy.gov/business\\_doe/business\\_forms.htm](http://management.energy.gov/business_doe/business_forms.htm).) Also, the Office of Management and Budget may be promulgating additional provisions or modifying existing provisions. Those additions and modifications will be incorporated into the Special Provisions as they become available.

3. Intellectual Property Provisions

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at [http://www.gc.doe.gov/financial\\_assistance\\_awards.htm](http://www.gc.doe.gov/financial_assistance_awards.htm).

**C. REPORTING**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. The proposed Checklist for this program can be found at [https://www.eere-pmc.energy.gov/procurenet/FinancialAssistance/Forms/DOE\\_Forms/DOEF4600\\_2.doc](https://www.eere-pmc.energy.gov/procurenet/FinancialAssistance/Forms/DOE_Forms/DOEF4600_2.doc).

Awards under this FOA will be funded, in whole or in part, with funds appropriated by the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, (Recovery Act or Act). Be advised that Recovery Act reporting requirements may apply to projects funded by the Act. The reporting requirements will be specified in the DOE F 4600.2 or other related Recovery Act guidance as they become available.

## PART V - QUESTIONS/AGENCY CONTACTS

### A. QUESTIONS

Questions regarding the content of the announcement must be submitted through the FedConnect portal. You must register with FedConnect to submit questions and to receive responses to questions. It is recommended that you register as soon after release of the FOA as possible to have the benefit of all responses. More information is available at [https://www.fedconnect.net/FedConnect/PublicPages/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf). DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been distributed.

Questions pertaining to the **submission** of applications through FedConnect should be directed by e-mail to [support@FedConnect.net](mailto:support@FedConnect.net) or by phone to FedConnect Support at 1-800-899-6665.

## REFERENCE MATERIAL

### Appendix A – Definitions

**“Amendment”** means a revision to a Funding Opportunity Announcement

**"Applicant"** means the legal entity or individual signing the Application. This entity or individual may be one organization or a single entity representing a group of organizations (such as a Consortium) that has chosen to submit a single Application in response to a Funding Opportunity Announcement.

**"Application"** means the documentation submitted in response to a Funding Opportunity Announcement.

**“Authorized Organization Representative (AOR)”** is the person with assigned privileges who is authorized to submit grant applications through Grants.gov on behalf of an organization. The privileges are assigned by the organization’s E-Business Point of Contact designated in the CCR.

**"Award"** means the written documentation executed by a DOE Contracting Officer, after an Applicant is selected, which contains the negotiated terms and conditions for providing Financial Assistance to the Applicant. A Financial Assistance Award may be either a Grant or a Cooperative Agreement.

**"Budget"** means the cost expenditure plan submitted in the Application, including both the DOE contribution and the Applicant Cost Share.

**“Central Contractor Registration (CCR)”** is the primary database which collects, validates, stores and disseminates data in support of agency missions. Funding Opportunity Announcements which require application submission through FedConnect or Grants.gov require that the organization first be registered in the CCR at <http://www.grants.gov/CCRRegister>.

**"Consortium (plural consortia)"** means the group of organizations or individuals that have chosen to submit a single Application in response to a Funding Opportunity Announcement.

**"Contracting Officer"** means the DOE official authorized to execute Awards on behalf of DOE and who is responsible for the business management and non-program aspects of the Financial Assistance process.

**"Cooperative Agreement"** means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and Substantial Involvement (see definition below) is anticipated between DOE and the Applicant during the performance of the contemplated activity.

**"Cost Sharing"** means the respective share of Total Project Costs to be contributed by the Applicant and by DOE. The percentage of Applicant Cost Share is to be applied to the Total Project Cost (i.e., the sum of Applicant plus DOE Cost Shares) rather than to the DOE contribution alone.

**“Credential Provider”** is an organization that validates the electronic identity of an individual through electronic credentials, PINS, and passwords for Grants.gov. Funding Opportunity Announcements which require application submission through Grants.gov require that the individual applying on behalf of an organization first be registered with the Credential Provider at <https://apply.grants.gov/OrcRegister>.

**“Data Universal Numbering System (DUNS) Number”** is a unique nine-character identification number issued by Dun and Bradstreet (D&B). Organizations must have a DUNS number prior to registering in the CCR. Call 1-866-705-5711 to receive one free of charge. [http://www.grants.gov/applicants/request\\_duns\\_number.jsp](http://www.grants.gov/applicants/request_duns_number.jsp)

**“E-Business Point of Contact (POC)”** is the individual who is designated as the Electronic Business Point of Contact in the CCR registration. This person is the sole authority of the organization with the capability of designating or revoking an individual’s ability to conduct CCR transactions.

**“E-Find”** is a Grants.gov webpage where you can search for Federal Funding Opportunities in FedGrants. <http://www.grants.gov/search/searchHome.do>

**"Financial Assistance"** means the transfer of money or property to an Applicant or Participant to accomplish a public purpose of support authorized by Federal statute through Grants or Cooperative Agreements and sub-awards. For DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

**“FedConnect”** is where federal agencies post opportunities and make awards via the web. Any Applicant can view public postings without registering. However, registered users have numerous added benefits including the ability to electronically submit Applications / Responses to the government directly through this site. <https://www.fedconnect.net/FedConnect/>

**“Federally Funded Research and Development Center (FFRDC)”** means a research laboratory as defined by Federal Acquisition Regulation 35.017.

**“Funding Opportunity Announcement (FOA)”** is a publicly available document by which a Federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program.

**"Grant"** means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the Applicant during the performance of the contemplated activity.

**“Grants.gov”** is the “storefront” web portal which allows organizations to electronically find grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access

point for over 900 grant programs offered by the 26 Federal grant-making agencies.  
<http://www.grants.gov>

**“Indian Tribe”** means any Indian tribe, band, nation, or other organized group or community, including Alaska Native village or regional or village corporation, as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688)[43 U.S.C. § 1601 et seq.], which are recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**"Key Personnel"** means the individuals who will have significant roles in planning and implementing the proposed Project on the part of the Applicant and Participants, including FFRDCs.

**“Marketing Partner Identification Number (MPIN)”** is a very important password designated by your organization when registering in CCR. The E-Business Point of Contact will need the MPIN to assign privileges to the individual(s) authorized to perform CCR transactions on behalf of your organization. The MPIN must have 9 digits containing at least one alpha character (must be in capital letters) and one number (no spaces or special characters permitted).

**"Participant"** for purposes of this Funding Opportunity Announcement only, means any entity, except the Applicant substantially involved in a Consortium, or other business arrangement (including all parties to the Application at any tier), responding to the Funding Opportunity Announcement.

**“Principal Investigator”** refers to the technical point of contact/Project Manager for a specific project award.

**"Project"** means the set of activities described in an Application, State plan, or other document that is approved by DOE for Financial Assistance (whether such Financial Assistance represents all or only a portion of the support necessary to carry out those activities).

**“Proposal”** is the documentation submitted in response to a Funding Opportunity Announcement. Also see Application.

**“Recipient”** means the organization, individual, or other entity that receives a Financial Assistance Award from DOE, is financially accountable for the use of any DOE funds or property provided for the performance of the Project, and is legally responsible for carrying out the terms and condition of the award.

**"Selection"** means the determination by the DOE Selection Official that negotiations take place for certain Projects with the intent of awarding a Financial Assistance instrument.

**"Selection Official"** means the DOE official designated to select Applications for negotiation toward Award under a subject Funding Opportunity Announcement.

**"Substantial Involvement"** means involvement on the part of the Government. DOE's involvement may include shared responsibility for the performance of the Project; providing technical assistance or guidance which the Applicant is to follow; and the right to intervene in

the conduct or performance of the Project. Such involvement will be negotiated with each Applicant prior to signing any agreement.

**“Technology Investment Agreement (TIA)”** is a type of assistance instrument used to support or stimulate research projects involving for-profit firms, especially commercial firms that do business primarily in the commercial marketplace. TIAs are different from grants and cooperative agreements in that the award terms may vary from the Government-wide standard terms (See DOE TIA regulations at 10 CFR Part 603). The primary purposes for including a TIA in the type of available award instruments are to encourage non-traditional Government contractors to participate in an R&D program and to facilitate new relationships and business practices. A TIA can be particularly useful for awards to consortia (See 10 CFR 603.225(b) and 603.515, Qualification of a consortium).

**"Total Project Cost"** means all the funds to complete the effort proposed by the Applicant, including DOE funds (including direct funding of any FFRDC) plus all other funds that will be committed by the Applicant as Cost Sharing.

**“Tribal Energy Resource Development Organization or Group”** means an “organization” of two or more entities, at least one of which is an Indian Tribe (see “Indian Tribe” above) that has the written consent of the governing bodies of all Indian Tribes participating in the organization to apply for a grant or loan, or other assistance under 25 U.S.C. § 3503.

## Appendix B – Personally Identifiable Information

In responding to this Announcement, Applicants must ensure that Protected Personally Identifiable Information (PII) is not included in the following documents: Project Abstract, Project Narrative, Biographical Sketches, Budget or Budget Justification. These documents will be used by the Merit Review Committee in the review process to evaluate each application. PII is defined by the Office of Management and Budget (OMB) and DOE as:

Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.

This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

- a. **Public PII:** PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.
- b. **Protected PII:** PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

Listed below are examples of Protected PII that Applicants must not include in the files listed above to be evaluated by the Merit Review Committee.

- Social Security Numbers in any form
- Place of Birth associated with an individual
- Date of Birth associated with an individual
- Mother's maiden name associated with an individual
- Biometric record associated with an individual
- Fingerprint
- Iris scan
- DNA
- Medical history information associated with an individual
- Medical conditions, including history of disease
- Metric information, e.g. weight, height, blood pressure
- Criminal history associated with an individual
- Employment history and other employment information associated with an individual
- Ratings
- Disciplinary actions
- Performance elements and standards (or work expectations) are PII when they are so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal

- Financial information associated with an individual
- Credit card numbers
- Bank account numbers
- Security clearance history or related information (not including actual clearances held)

Listed below are examples of Public PII that Applicants may include in the files listed above to be evaluated by the Merit Review Committee:

- Phone numbers (work, home, cell)
- Street addresses (work and personal)
- Email addresses (work and personal)
- Digital pictures
- Medical information included in a health or safety report
- Employment information that is not PII even when associated with a name
- Resumes, unless they include a Social Security Number
- Present and past position titles and occupational series
- Present and past grades
- Present and past annual salary rates (including performance awards or bonuses, incentive awards, merit pay amount, Meritorious or Distinguished Executive Ranks, and allowances and differentials)
- Present and past duty stations and organization of assignment (includes room and phone numbers, organization designations, work email address, or other identifying information regarding buildings, room numbers, or places of employment)
- Position descriptions, identification of job elements, and those performance standards (but not actual performance appraisals) that the release of which would not interfere with law enforcement programs or severely inhibit agency effectiveness
- Security clearances held
- Written biographies (e.g. to be used in a program describing a speaker)
- Academic credentials
- Schools attended
- Major or area of study
- Personal information stored by individuals about themselves on their assigned workstation or laptop unless it contains a Social Security Number

## Appendix C – Cost Share Information

### Cost Sharing or Cost Matching

The terms “cost sharing” and “cost matching” are often used synonymously. Even the DOE Financial Assistance Regulations, 10 CFR Part 600, use both of the terms in the titles specific to regulations applicable to cost sharing. DOE almost always uses the term “cost sharing,” as it conveys the concept that **non-federal share is calculated as a percentage of the Total Project Cost**. An exception is the State Energy Program Regulation, 10 CFR Part 420.12, State Matching Contribution. Here “cost matching” for the non-federal share is calculated as a percentage of the federal funds only, rather than the Total Project Cost.

### How Cost Sharing Is Calculated

As stated above, cost sharing is calculated as a percentage of the Total Project Cost. Following is an example of how to calculate cost sharing amounts for a project with \$1,000,000 in federal funds with a minimum 20% non-federal cost sharing requirement:

Formula: Federal share (\$) divided by Federal share (%) = Total Project Cost

Example: \$1,000,000 divided by 80% = \$1,250,000

Formula: Total Project Cost (\$) minus Federal share (\$) = Non-federal share (\$)

Example: \$1,250,000 minus \$1,000,000 = \$250,000

Formula: Non-federal share (\$) divided by Total Project Cost (\$) = Non-federal share (%)

Example: \$250,000 divided by \$1,250,000 = 20%

See the sample cost share calculation for a blended cost share percentage below. **Keep in mind that FFRDC funding is DOE funding.**

### What Qualifies For Cost Sharing

While it is not possible to explain what specifically qualifies for cost sharing in one or even a couple of sentences, in general, if a cost is allowable under the cost principles applicable to the organization incurring the cost and is eligible for reimbursement under a DOE grant or cooperative agreement, then it is allowable as cost share. Conversely, if the cost is not allowable under the cost principles and not eligible for reimbursement, then it is not allowable as cost share. In addition, costs may not be counted as cost share if they are paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing.

The rules associated with what is allowable as cost share are specific to the type of organization that is receiving funds under the grant or cooperative agreement, though are generally the same for all types of entities. The specific rules applicable to:

- Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations are found at

10 CFR600.123;

- State and Local Governments are found at 10 CFR600.224;
- For-profit Organizations are found at 10 CFR600.313.

In addition to the regulations referenced above, other factors may also come into play such as timing of donations and length of the project period. For example, the value of ten years of donated maintenance on a project that has a project period of five years would not be fully allowable as cost share. Only the value for the five years of donated maintenance that corresponds to the project period is allowable and may be counted as cost share.

Additionally, DOE generally does not allow pre-award costs for either cost share or reimbursement when these costs precede the signing of the appropriation bill that funds the award. In the case of a competitive award, DOE generally does not allow pre-award costs prior to the signing of the Selection Statement by the DOE Selection Official.

Following is a link to the DOE Financial Assistance Regulations. You can click on the specific section for each Code of Federal Regulations reference mentioned above.

DOE Financial Assistance Regulations:

<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=98a996164312e8dcf0df9c22912852b0&rgn=div5&view=text&node=10:4.0.1.3.9&idno=10>

As stated above, the rules associated with what is allowable cost share are generally the same for all types of organizations. Following are the rules found to be common, but again, the specifics are contained in the regulations and cost principles specific to the type of entity:

(A) *Acceptable contributions.* All contributions, including cash contributions and third party in-kind contributions, must be accepted as part of the recipient's cost sharing if such contributions meet all of the following criteria:

- (1) They are verifiable from the recipient's records.
- (2) They are not included as contributions for any other federally-assisted project or program.
- (3) They are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
- (4) They are allowable under the cost principles applicable to the type of entity incurring the cost as follows:

(a) *For-profit organizations.* Allowability of costs incurred by for-profit organizations and those nonprofit organizations listed in Attachment C to OMB Circular A-122 is determined in accordance with the for-profit costs principles in 48 CFR Part 31 in the Federal Acquisition Regulation, except that patent prosecution costs are not allowable unless specifically authorized in the award document.

(b) *Other types of organizations.* Allowability of costs incurred by other types of organizations that may be subrecipients under a prime award is determined as follows:

(i) *Institutions of higher education.* Allowability is determined in accordance with OMB Circular No. A-21 -- Cost Principles for Educational Institutions

(ii) *Other nonprofit organizations.* Allowability is determined in accordance with OMB Circular A-122, Cost Principles for Non-Profit Organizations

(iii) *Hospitals.* Allowability is determined in accordance with the provisions of 45 CFR Part 74, Appendix E, Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals

(iv) *Governmental organizations.* Allowability for State, local, or federally recognized Indian tribal government is determined in accordance with OMB Circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments

(5) They are not paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing or matching.

(6) They are provided for in the approved budget.

(B) *Valuing and documenting contributions*

(1) *Valuing recipient's property or services of recipient's employees.* Values are established in accordance with the applicable cost principles, which mean that amounts chargeable to the project are determined on the basis of costs incurred. For real property or equipment used on the project, the cost principles authorize depreciation or use charges. The full value of the item may be applied when the item will be consumed in the performance of the award or fully depreciated by the end of the award. In cases where the full value of a donated capital asset is to be applied as cost sharing or matching, that full value must be the lesser or the following:

(a) The certified value of the remaining life of the property recorded in the recipient's accounting records at the time of donation; or

(b) The current fair market value. If there is sufficient justification, the contracting officer may approve the use of the current fair market value of the donated property, even if it exceeds the certified value at the time of donation to the project. The contracting officer may accept the use of any reasonable basis for determining the fair market value of the property.

(2) *Valuing services of others' employees.* If an employer other than the recipient furnishes the services of an employee, those services are valued at the employee's regular rate of pay, provided these services are for the same skill level for which the employee is normally paid.

(3) *Valuing volunteer services.* Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as cost sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for volunteer services must be consistent with those paid for similar work in the recipient's organization. In those markets in which the required skills are not found in the recipient organization, rates must be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.

(4) *Valuing property donated by third parties.*

(a) Donated supplies may include such items as office supplies or laboratory supplies. Value assessed to donated supplies included in the cost sharing or matching share must be reasonable and must not exceed the fair market value of the property at the time of the donation.

(b) Normally only depreciation or use charges for equipment and buildings may be applied. However, the fair rental charges for land and the full value of equipment or other capital assets may be allowed, when they will be consumed in the performance of the award or fully depreciated by the end of the award, provided that the contracting officer has approved the charges. When use charges are applied, values must be determined in accordance with the usual accounting policies of the recipient, with the following qualifications:

(i) The value of donated space must not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately-owned building in the same locality.

(ii) The value of loaned equipment must not exceed its fair rental value.

(5) *Documentation.* The following requirements pertain to the recipient's supporting records for in-kind contributions from third parties:

(a) Volunteer services must be documented and, to the extent feasible, supported by the same methods used by the recipient for its own employees.

(b) The basis for determining the valuation for personal services and property must be documented.