

**FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT**



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

**Recovery Act Funding for
Expansion of Infrastructure for Higher Ethanol Blends
Funding Opportunity Announcement Number: DE-FOA-0000125
Announcement Type: Initial
CFDA Number: 81.087 Renewable Energy Research and Development**

Issue Date: 08/04/2009

Application Due Date: 10/04/2009, 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 Section IV. C. is posted as an attachment to this FOA (in FedConnect). It is the responsibility of the applicant, prior to the Application due date and time, to verify successful transmission. Organizations with system-to-system capabilities with Grants.gov (i.e., Universities) 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 announcement through electronic systems used by the Department of Energy, including FedConnect, constitutes the authorized representative's approval and electronic signature.

Submission of award documents, including modifications, through electronic systems used by the Department of Energy, including FedConnect, constitutes the authorized representative's approval and acceptance of the terms and conditions of the award. Submission via FedConnect constitutes the authorized representative'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

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 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. Instructions for Completion of Adobe Application Package

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.

- A. Copy the Adobe Application Package to your desktop;
- B. 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.
- C. Identify the remaining forms required to be completed, as identified in Section 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 Section 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;
- D. 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. 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.

6. 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. 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 or by phone to FedConnect Support at 1-800-899-6665. The FedConnect Helpdesk is available from 8:00 a.m. to 8:00 p.m. Eastern Time.

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SECTION 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. 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. The exact terms and conditions will be provided as soon as possible. The currently available Special Provisions are located at:

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 DOE website, www.energy.gov, the OMB website <http://www.whitehouse.gov/omb/>, and the Recovery website, 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 sub recipients 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 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

This funding opportunity announcement aims to increase the availability and use of potential gasoline/ethanol blends up to E85 (85 % ethanol) through two Topic Areas: (1) Refueling Infrastructure for Ethanol Blends – cost-shared projects to modify, upgrade, or expand the infrastructure at retail fueling locations to accommodate gasoline-ethanol blends up to E85; (2) Outreach for Ethanol Blends – projects which will increase public awareness of the benefits, safety, and use of ethanol blends as a transportation fuel.

Background: The President’s Management Agenda – This funding opportunity announcement is for grants for renewable fueling infrastructure development and education and outreach.

The Department’s Strategic Plan identifies five “Strategic Themes”. The Biomass and Biorefinery Systems R&D Program supports the following goals from Theme 1, Energy Security:

Strategic Goal 1.1, Energy Diversity: Increase our energy options and reduce dependence on oil, thereby reducing vulnerability to disruptions and increasing the flexibility of the market to meet U.S. needs.

Strategic Goal 1.2, Environmental Impacts of Energy: Improve the quality of the environment by reducing greenhouse gas emissions and environmental impacts to land, water, and air from energy production and use.

The infrastructure and outreach supported by this funding opportunity announcement will contribute to these goals by increasing the infrastructure necessary for expanded renewable fuel use and expedited deployment of biofuels. This helps the nation expand its renewable energy infrastructure while reducing its greenhouse gases emissions, fossil energy consumption and dependence on foreign oil.

Statutory Considerations

Energy Independence and Security Act (EISA) of 2007: The Renewable Fuel Standard set forth by EISA requires a gradual increase in renewable fuel use to 36 billion gallons per year by 2022 with annual requirements for advanced biofuels.

American Reinvestment and Recovery Act: This Act makes supplemental appropriations to the Department of Energy for “Energy Efficiency and Renewable Energy.” The Biomass Program received funds to advance the production and use

of biofuels in an effort to further the development of renewable domestic fuel, sustainably.

Project Description:

This funding opportunity announcement seeks to facilitate the increased use of higher ethanol blends up to E85 through infrastructure expansion and targeted outreach.

Topic Area 1: Refueling Infrastructure for Higher Ethanol Blends

Under this Topic Area, funds are being offered for cost-shared projects that expand the refueling infrastructure for gasoline/ethanol blends up to 85% (E85).

Funded projects under this announcement will expand the infrastructure at retail fuel locations to accommodate ethanol blends up to E85. Projects may include modifications, upgrades or expansion of existing infrastructure at retail stations or the creation of new infrastructure to accommodate higher ethanol blends up to E85. Acceptable projects could include: upgrades to existing dispensing infrastructure; addition of new dispensing infrastructure; modifications or replacement of underground storage tanks; or addition of increased storage capacity for ethanol or ethanol blends at the retail station. Projects that include electronic card readers with updated product codes to track the amount of ethanol dispensed, will receive higher consideration. All modifications, upgrades, or additions must result in refueling infrastructure compatible with all gasoline/ethanol blends up to E85.

Proposed projects must result in a minimum of an additional five dispensers/pumps capable of dispensing ethanol blends up to E85. Corridors which provide fueling at no more than 100 miles apart, and projects which concentrate the availability of ethanol blends up to E85 in a targeted geographic area are strongly encouraged.

Applications incorporating blender pumps in the infrastructure development must have type approval per the National Conference on Weights and Measures, Inc. (NCWM) third party certification on weights, measures and instrument drift. Projects that clearly mark fuel type and grade are encouraged.

Up to 25% of the federal portion of funding in individual projects may be used for permanent signage to promote the availability of the ethanol blends up to E85. Permanent signage includes highway signs, street level directional signs, and other signage which directs motorists to the fueling site.

Projects which include informational materials as part of the dispenser display to include fuel energy content, mileage impact, and greenhouse gas reductions are encouraged.

Topic Area 2: Outreach for Higher Ethanol Blends

This funding opportunity announcement seeks to facilitate the development of a

national campaign to inform the public on the benefits, safety, and use requirements of higher ethanol blends up to E85. Projects should help raise awareness of ethanol blends up to E85 through a targeted outreach effort. This effort will help to increase acceptance and use of renewable fuels in the market and decrease dependence on petroleum. Projects that exhibit the potential for future growth, without additional Federal funding, are encouraged. Projects that include materials as part of the dispenser display showing fuel energy content, mileage impact, costs per mile and greenhouse gas reductions are encouraged.

DOE is interested in projects that include a component that focuses on providing accurate, unbiased information to the media and the driving public. Projects should include specific and detailed plans for education of the chosen target audience(s) with corresponding metrics and milestones to measure progress and program effectiveness. The intention is to reach a very large number of general consumers to educate them on the benefits, safety and use of ethanol blends up to E85. Social network websites and other forms of new media will be considered.

The expansion of refueling and storage infrastructure for higher blends of ethanol up to E85, and related outreach will help to accelerate the commercialization of renewable fuels and lower the dependence on foreign oil, thereby contributing to the Obama Administration's goal for enhanced use of clean energy technologies and renewable fuels.

SECTION II – AWARD INFORMATION

A. Type of Award Instrument

Grants

DOE anticipates awarding grants under this funding opportunity announcement.

B. Estimated Funding

Amount New Awards

Approximately \$ 5,500,000 is expected to be available for new awards under this announcement.

C. Maximum and Minimum Award Size

The \$5.5M includes an estimated \$ 3.5M for Topic Area 1 and \$2 M for Topic Area 2

For Topic Area 1, it is anticipated that awards will be between \$50,000 - \$200,000 per project.

For Topic Area 2, it is anticipated that awards will be between \$250,000 - \$1M per project.

D. Expected Number of Awards

Number of Awards per Topic Area

DOE expects to make the following number of awards for each Topic Area:

Topic Area	Number of Awards
Topic Area 1. Refueling Infrastructure	15 - 30
Topic Area 2. Outreach	2-5

E. Anticipated Award Size

Award Size Per Topic Area

The anticipated award size for projects under each Topic Area in this announcement is:

Topic Area	Size of Awards
Topic Area 1, Refueling Infrastructure	\$50,000 – \$200,000
Topic Area 2, Outreach	\$250,000 - \$1,000,000

F. Period of Performance

Number of Years

DOE anticipates making awards that will run for up to 4 years.

G. Type of Application

New Applications Only

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

SECTION III - ELIGIBILITY INFORMATION

A. Eligible Applicants

Domestic Entities Including DOE/NNSA National Laboratory Contractors

The following domestic entities are eligible to apply for this announcement: (1) institutions of higher education; (2) nonprofit and for-profit private entities; (3) State and local governments; and (4) consortia of entities (1) through (3). All types of domestic entities, including DOE/NNSA National Laboratory Contractors, are eligible to apply, except other Federal agencies, non-DOE Federally Funded Research and Development Center (FFRDC) Contractors, and nonprofit organizations described in section 501(c)(4) of the Internal

Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995.

B. Cost Sharing

Cost Share Percentage

Topic Area 1 cost share must be at least 50% of the total allowable costs of the project (i.e., the sum of the Government share and the recipient share of allowable costs equals the total allowable costs of the project) and must come from non-Federal sources unless otherwise allowed by law. (See 10 CFR Part 600 for the applicable cost sharing requirements.)

Applicants proposing cost-share below 50% (applicant-share) must provide a justification for their request in the Project Narrative.

Cost sharing is not required but is encouraged for Topic Area 2.

Cost Share for Recipients of American Recovery and Reinvestment Act 2009 Funds

Because activities under this announcement are receiving funds appropriated by the Recovery Act, non-Federal cost share for demonstration and commercial application activities must be at least 25% of total allowable costs for private industry recipients. The non-Federal cost share for demonstration and commercial application activities must be at least 10% of total allowable costs for academic institutions, non-profit organizations, Indian Tribes or Tribal Energy Resource Development Groups, and state and local governments. 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.

Applications for Topic Area 1 with proposed cost share as low as 25% applicant share will be considered, using the Secretary's statutory authority to reduce cost-share requirements. For academic institutions, non-profit organizations, Indian Tribes or Tribal Energy Resource Development Groups, and state and local governments, the non-Federal cost share for demonstration and commercial application activities must be at least 10% of total allowable costs. Applicants proposing cost-share below 50% (applicant-share) must provide a justification for their request in the Project Narrative.

SECTION IV – 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 in FedConnect at <http://www.fedconnect.net/> (see pages 2 and 3 for additional information regarding FedConnect Registration and the Adobe Application Package). Once you have SAVED the application package and completed all the required documentation, you will submit your application via the FedConnect portal. DO NOT use the Save & Submit selection in Grants.gov

Organizations with system-to-system capabilities with Grants.gov (i.e., Universities) 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. Letters of Intent are not required
2. Pre-applications are not required

C. Content and Form of Application

The Adobe Application Package is provided as a separate attachment to this Funding Opportunity Announcement in FedConnect. **See page 3 for additional information regarding the Adobe Application Package.**

Organizations with system-to-system capabilities with Grants.gov (i.e., Universities) 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 (e.g., SF-LLL, Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF), unless otherwise specified in this announcement. Additionally the files must not be compressed. (i.e. do not use WinZip)**

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). If your organization is submitting more than one Application, you must identify an application number at the end of each file name (e.g., UCLA-1). 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).

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 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, 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. In the form, hover over this field for additional instructions.

Use the “Next Site” button to expand the form to add additional Project/Performance Site Locations.

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 (e.g., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information, as the Department may make it available to the public. 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), single spaced, 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 5 pages for Topic Area 1; or 15 pages for Topic Area 2, 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), single spaced. **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 Section VIII D 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 Section V. A. below. 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.

Project Timetable:

This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period. Successful applicants must use this project timetable to report progress.

Relevance and Outcomes/Impacts:

This section should explain the relevance of the effort to the objectives in the program announcement and the expected outcomes and/or impacts. The justification for the proposed project should include a clear statement of the importance of the project in terms of the utility of the outcomes and the target community of beneficiaries.

Roles of Participants:

For multi-organizational or multi-investigator projects, describe the roles and the work to be performed by each participant/investigator, business agreements between the applicant and participants, and how the various efforts will be integrated and managed.

Facilities and Other Resources:

Identify the facilities (e.g., office, laboratory, computer, etc.) to be used at each performance site listed, and, if appropriate, indicate their capacities pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Provide any information describing the other resources available to the project, such as machine and electronics shops.

Equipment:

List important items of equipment already available for this project, and if appropriate, note the location and pertinent capabilities of each.

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.

All the components of your Project Narrative (listed above) must be within the Narrative page limit specified in paragraph b. 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. The biographical information for each resume must not exceed 2 pages when printed on 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right), single spaced, 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).

For Multiple Principal Investigators: The applicant, whether a single organization or team/partnership/consortium, must indicate if the project will include multiple PIs. The decision to use multiple PIs for a project is the sole responsibility of the applicant. If multiple PIs will be designated, the application must identify 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 PIs. 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
PIs' roles and administrative, technical and scientific responsibilities for
the project.

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 DOE Financial Assistance Forms Page at 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 Section IV, 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. Save the information in a single file named “BudgetJustification.xls”, and click on “Add Optional Other Attachment” to attach.

See Appendix F for further discussion of budget justification format.

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, with the signature of the authorized representative of your organization. **Save the information in a single file named “DavisBacon.pdf,” and click on “Add Optional Other Attachment” in the Adobe Application Package to attach file.**

g. Letters of Commitment

If cost share is required, you must have a letter from each third party contributing cost share (i.e., a party other than the organization submitting the application) stating that the third party is committed to providing a specific minimum dollar amount of cost share. **All Letters of Commitment must be attached as an Appendix to the Project Narrative File.** 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.

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 DOE Financial Assistance Forms Page at http://management.energy.gov/business_doe/business_forms.htm. Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee’s name (plus 424.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.

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

First-Tier Subawardee Budget Justifications 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, first-tier subawardees should provide a written assurance that they will comply with the Davis-Bacon Act, as identified above, with the signature of the authorized representative of the organization. Save the information in a single file named “DavisBacon_[add sub name].pdf”.

i. Project Schedule

This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period. Successful applicants must use this project timetable to report progress.

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, Project Timetable)	PDF	Project.pdf
Resume File	PDF	Resume.pdf
SF 424A Excel – Budget Information for Non-Construction Programs File	Excel	SF424A.xls
Budget Justification File	See Instructions	See Instructions
Davis Bacon File	PDF	DavisBacon.pdf
Subaward Budget File(s), if applicable Budget Justification(s), if applicable	Excel for Budget PDF for Justification	See Instructions
First Tier Subaward Davis Bacon File	PDF	DavisBacon_[add sub name].pdf
Project Schedule	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

Documentation of existing permits for fuel handling and dispensing

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.

E. Submission Dates and Times

1. Pre-applications Are Not Required

2. Application Due Date

Application Due 09/30/2009, 11:59 PM

Applications must be received by 09/30/2009 not later than 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.**

FedConnect questions should be directed to: support@fedconnect.net or 1-800-899-6665.

F. Intergovernmental Review

Program Not Subject to Executive Order 12372

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

Your application may be subject to your states implementation of Executive Order 12372. It is the responsibility of the applicant to make that determination.

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.

If recipients are State or Local Governments, they may not incur pre-award costs prior to award, without prior approval of the DOE contracting officer.

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 at www.FedConnect.net. Information regarding how to submit applications via Fed Connect can be found at https://www.fedconnect.net/FedConnect/PublicPages/FedConnect_Ready_Set_Go.pdf.

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 Dun and Bradstreet Data Universal Numbering System (DUNS) (including plus 4 extension if applicable). To check whether your organization has a DUNS or if your organization requires a DUNS, search for the number 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 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>.

SECTION V - APPLICATION REVIEW INFORMATION

A. Criteria

1. Initial Review Criteria

Application Award Eligibility

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

Applications will be evaluated against the merit review criteria shown below.

Topic Area 1 Criteria:

Criterion 1: Roles, Responsibilities, and Capabilities Weight: 40%

- Adequacy of resources to accomplish the proposed project
- Applicability and adequacy of the qualifications and experience of key personnel

Criterion 2: Implementation Plan Weight: 40%

- Soundness of proposed project schedule including appropriate sequencing of tasks, description of milestones, and appropriate deliverables

Criterion 3: Project Description Weight: 20%

- Extent to which the project supports the reduction of petroleum used for transportation.
- Extent of domestic jobs created or preserved in support of this project

Topic Area 2 Criteria:

Criterion 1: Probability of Project Success Based on Team Expertise and Prior Experience **Weight: 40%**

- Demonstrated ability of applicants to successfully accomplish the objectives of the proposed project
- Qualifications, expertise, and experience of identified key personnel in areas relevant to the proposed work

Criterion 2: Probability of Project Success Based on Project Management Plan/ Statement of Project Objectives **Weight: 40%**

- Clarity, completeness, and adequacy of the detailed description of the work to be performed
- Adequacy and appropriateness of the schedule including the duration and sequencing of tasks and the scheduling of project milestones

Criterion 3: Project Reach/Potential & Concept **Weight: 20%**

- Reasonableness of the cost effectiveness of the project
- The extent to which the project demonstrates that it will effectively reach a significant number of target audiences and/or stakeholders

3. Other Selection Factors

Topic Area 1: All equipment and facilities installed under Topic Area 1 must be compatible with ethanol blends up to E85.

Refueling infrastructure must be available to and accessible by the public.

Projects which result in more than five additional dispensers; projects which support the development of fueling corridors; or projects which increase ethanol blended fuel infrastructure in a concentrated geographic area, are highly desirable and may receive more favorable consideration.

Projects which include electronic card readers with updated product codes to track the amount of ethanol dispensed, are highly desirable and may receive higher consideration.

Applicant proposals must identify domestic jobs directly created or retained as a result of the project, as well as those jobs indirectly created in industries or services that support the project. (e.g. workers in factories that supply equipment for the projects).

Program Policy Factors

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

1. Geographic diversity
2. Technological diversity
3. Cost share offered above the minimum amount required
4. Selection of Applications which promote and enhance the objectives of the American Recovery and Reinvestment Act of 2009, P.L. 111-5, especially job creation, and/or preservation and economic recovery in an expeditious manner.

B. Review and Selection Process

1. Merit Review

Applications Subject to 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”. This guide is available 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.

2. Selection

Selection Official Consideration

The Selection Official may consider the merit review recommendation and program policy factors.

Program Policy Factors:

Geographic diversity of projects

Technological diversity of projects

Cost share offered in excess of minimum required amount

Selection of Applications which promote and enhance the objectives of the American Recovery and Reinvestment Act of 2009, P.L. 111-5, especially job creation, and/or preservation and economic recovery in an expeditious manner.

3. **Discussions and Award**

Government Discussions with Applicant

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

Selection and Award Date

DOE anticipates notifying applicants selected for award by December, 2009 and making all awards by the end of September 2010.

SECTION VI - AWARD ADMINISTRATION INFORMATION

A. Award Notices

Notice of Selection

Selected Applicants Notification

DOE will notify applicants selected for negotiation for award. This notice of selection is not an authorization to begin performance. (See Section IV.G with respect to the allow ability of pre-award costs.)

Non-selected Notification

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

Notice of Award

A Financial Assistance Award or Assistance Agreement issued by the contracting officer is the authorizing award document. It normally includes, either as an attachment 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>.

B. Administrative and National Policy Requirements

Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 (See: <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>.

American Recovery and Reinvestment Act 2009 Award Administration Information

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.) 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.

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://management.energy.gov/business_doe/business_forms.htm
<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/business_forms.htm
http://management.energy.gov/business_doe/1374.htm.

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.

C. Reporting

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. For a sample Checklist, see

<http://management.energy.gov/documents/DOEF46002PolicyVersion.pdf>.

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.

SECTION VII - QUESTIONS

A. Questions

Questions regarding the content of the announcement must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to review 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.

DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

Questions pertaining to the **submission** of applications through FedConnect should be directed by e-mail to support@FedConnect.net or by phone to FedConnect Support at 1-800-899-6665. The FedConnect Helpdesk is available 8:00 a.m. to 8:00 p.m. Eastern Time.

SECTION VIII - 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 after the release of the FOA as possible to ensure you receive timely notice of any modifications or other announcements. More information is available at <http://www.fedconnect.net> and https://www.fedconnect.net/Fedconnect/PublicPages/FedConnect_Ready_Set_Go.pdf

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 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.

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.

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>.

"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.

"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

“E85” is a blend of gasoline and ethanol (15% gasoline and 85% ethanol)

“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/>

“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, funding opportunity announcements, 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.

“Industry Interactive Procurement System (IIPS)” is DOE’s Internet-based procurement system which allows access to DOE’s business opportunities database, allows user registration and submittal of Applications: <http://e-center.doe.gov/>.

"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 term used in IIPS meaning 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.

"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

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.

**SAMPLE COST SHARE CALCULATION
FOR BLENDED COST SHARE PERCENTAGE**

Following example shows the math for calculating required cost share for a project with \$2,000,000 in Federal funds with four tasks requiring different Non-federal cost share percentages:

<u>Task</u>	<u>Proposed Federal Share</u>	<u>Required Federal Share %</u>	<u>Non-federal Cost Share %</u>
Task 1 (R&D)	\$1,000,000	80%	20%
Task 2 (R&D)	500,000	80%	20%
Task 3 (Demonstration)	400,000	50%	50%
Task 4 (Outreach)	<u>100,000</u>	100%	0%
	\$2,000,000		

Federal share (\$) divided by Federal share (%) = Task Cost

Each task must be calculated individually as follows:

Task 1

\$1,000,000 divided by 80% = \$1,250,000 (Task 1 Cost)

Task 1 Cost minus federal share = Non-federal share

\$1,250,000 - \$1,000,000 = **\$250,000 (Non-federal share)**

Task 2

\$500,000 divided 80% = \$625,000 (Task 2 Cost)

Task 2 Cost minus federal share = Non-federal share

\$625,000 - \$500,000 = **\$125,000 (Non-federal share)**

Task 3

\$400,000 / 50% = \$800,000 (Task 3 Cost)

Task 3 Cost minus federal share = Non-federal share

\$800,000 - \$400,000 = **\$400,000 (Non-federal share)**

Task 4

Federal share = \$100,000

Non-federal cost share is not mandated for outreach = **\$0 (Non-federal share)**

The calculation may then be completed as follows:

<u>Task</u>	<u>Proposed Federal Share</u>	<u>Federal Share %</u>	<u>Required Non-federal Cost Share \$</u>	<u>Required Non-federal Cost Share %</u>	<u>Total Project Cost</u>
Task 1	\$1,000,000	80%	\$250,000	20%	\$1,250,000
Task 2	500,000	80%	125,000	20%	625,000
Task 3	400,000	50%	400,000	50%	800,000
Task 4	<u>100,000</u>	100%	<u>0</u>	0%	<u>100,000</u>
	\$2,000,000		\$775,000		\$2,775,000

Blended Cost Share %

Non-federal share (\$775,000) divided by Total Project Cost (\$2,775,000) = 27.9% (Non-federal)

Federal share (\$2,000,000) divided by Total Project Cost (\$2,775,000) = 72.1% (Federal)

Appendix D – Requirements and Guidance for Preparing Responses

The purpose of this appendix is to assist applicants in developing their response to the Funding Opportunity Announcement (FOA) criteria. This appendix provides a discussion of the requirements and guidance in order to help the applicant provide focused responses to the subjects that DOE considers important. This will align with the guidance that will be given to the Merit Review Committee (MRC) to direct its evaluation of the applications and assess the applicant's ability to prepare an application that addresses the goals of the FOA.

As stated in Section V of the FOA, applicants should ensure that all criteria are addressed in terms of the applicant's historical performance, experience as well as their current ability and future plans to rapidly advance the proposed system to commercialization.

The application (including all required attachments) should be written to fully address each criterion. In its evaluations, deliberations, and scoring, the MRC is not allowed to use any information from any source, except what is provided in the application. References to other documents or to websites for additional information, photographs, data, etc. will be ignored by the MRC by direction. MRC panel members are also forbidden from obtaining additional information by contacting the applicant or other parties. This restriction is required so each application will be evaluated based on a standardized and consistent set of information.

The applicant may include additional clarifying information as long as the page limit is not exceeded. Each submitted document must be within the stated page limit defined in Section IV.C.

1. Project Narrative, Including the Merit Review Criteria Discussion

The project narrative shall consist of 3 major sections for each topic area: overview; project description (for the project proposed in response to the FOA); and, the merit review criteria discussion.

a. Overview

The narrative should begin with a brief overview of the project. Summarize the goals and targets, the major actions that will be completed to meet them, and the schedule for completing them.

b. Project Description

Following the overview, the remainder of the response to this criterion should focus primarily on the details of the project. The applicant should identify those areas that would face the largest uncertainties and what actions will be taken to mitigate these risks.

The application must describe the items listed below. The order and grouping of the information in the application is at the discretion of the applicant.

The information used to demonstrate the likelihood of success should be described in the application and in particular in the Project Narrative, budget documents, the

project timeline, and the IP information.

- i. A description of key activities. The schedule should include such elements as project design, procurement, installation, and operational readiness check for installed equipment.
- ii. Summarize the procedures that will be used for ensuring compliance with the National Environmental Policy Act (NEPA) and Federal, state and local environmental, siting, and zoning requirements (see specific guidance in Appendix E of the FOA).

c. Merit Review Criteria Discussion

The technical, budget and other information should demonstrate the likelihood of successfully achieving the project goals and targets.

Topic Area 1:

Criterion 1: Roles, Responsibilities, and Capabilities

Weight: [40%]

The extent to which applicant adequately demonstrates that it has the core competencies necessary to cover all project aspects. Any partnerships with organizations such as industrial, academic, and national labs are clearly defined. Address the qualifications of team undertaking the work, including an explanation of their:

Adequacy of resources to accommodate the proposed project

Applicability of the qualifications and experience of key personnel

Rating Example: Applications which present experienced teams with documented success in similar projects would rate higher than applications which simply list team members.

Criterion 2: Implementation Plan

Weight: [40%]

The extent to which the applicant adequately describes the resources, milestones and schedule that can properly complete the objectives of the FOA.

Soundness of proposed project schedule

Rating Example: Applications which include experienced suppliers or technology providers capable of expediently accomplishing the designed project, would rate higher than an application that simply states “Pumps will be installed”.

Criterion 3: Project Description

Weight: [20%]

The technical description of the proposed project adequately presents and justifies the proposed project:

Extent to which the project supports the reduction of petroleum used for transportation.

Clarity and completeness of the description of each activity necessary to complete the project.

Rating example: Applications that include volumes of expected reduction in petroleum, calculations and supporting assumptions will be viewed more favorably than proposals which claim reductions but provide no supporting discussion.

Topic Area 2:

Criterion 1: Probability of Project Success Based on Team Expertise and Prior Experience **Weight: [40%]**

Demonstrated ability of applicant to successfully accomplish the objectives of the proposed project

Qualifications, expertise, and experience of identified key personnel in areas relevant to the proposed work

Criterion 2: Probability of Project Success Based on Project Management Plan/ Statement of Project Objectives **Weight: [40%]**

Clarity, completeness, and adequacy of the detailed description of the work to be performed

Adequacy and appropriateness of the schedule including the duration and sequencing of tasks and the scheduling of project milestones

Criterion 3: Project Reach/Potential & Concept **Weight: [20%]**

Reasonableness of the cost effectiveness of the project

The extent to which the project demonstrates that it will effectively reach a significant number of target audiences and/or stakeholders.

APPENDIX E - National Environmental Policy Act (NEPA) Submittal Requirements and Guidance

All proposed actions that involve U.S. government decisions or resources must be evaluated to determine how environmental impact review requirements apply. All new projects must be analyzed to determine if permitting issues must be addressed.

If an applicant moves forward with activities that are not authorized for federal funding by the DOE Contracting Officer in advance of the final NEPA decision, they are doing so at risk of not receiving federal funding and such costs may not be recognized as allowable cost share.

Under NEPA, all "major federal actions" or projects affecting the quality of human health and the environment must be reviewed to evaluate their environmental effects and to identify project alternatives. The depth of review required varies with a project's environmental impact sensitivity. All reviews require the collection and analysis of data about the project. For some, the information is readily available or obtainable. This NEPA review process must be completed before final decisions are made by DOE officials to begin the project or action, or before irretrievably committing substantial federal resources. Limited Federal funds may be available or cost share may be allowed to cover some costs associated with conducting the NEPA review.

Under DOE's implementing regulations, NEPA review requirements apply to **all proposed actions**, not only those that are considered "major" federal actions with potentially significant impacts. The process must begin as early as possible in the project planning cycle since the review must be completed by DOE before committing resources, or before actually starting the award or project activities on non-construction projects.

Decisions as to whether the NEPA review process is adequate rest with DOE; and DOE cannot delegate the authority to make NEPA determinations to contractors or to the grantees.

“Project funds” may be DOE funds, cost share funds, or a combination of both. For projects selected for negotiation of an award, the NEPA information must be provided for EACH location at which activities will be done under this project including support facilities, such as laboratories, test plot locations, fields, feedstock sources, and so forth.

Each applicant selected for negotiation of an award must provide a description of projected environmental consequences specific to the proposed project as well as mitigation measures to reduce its impacts.

The following outlines the typical DOE NEPA process that follows the Selection Officials notice to negotiate for award.

- a. After the initial award, the selected applicants will be asked to submit NEPA information for all locations at which work will be done under the proposed project.
- b. The NEPA Compliance Staff and the DOE project management team will work with the applicant to identify any additional information required.

Appendix F – Budget Justification Guidance

Using the “Object Class Categories” in the SF-424A, justify the costs in each category for each budget period of the project. A budget justification is required for the applicant. A separate SF 424A and budget justification is required for each subawardee/sub-recipient having a budget over \$100,000. All charges, Federal and cost share, must be justified. The totals in each category and also the Total Project Cost should match between the budget justification and SF 424Abudget. A spreadsheet or other tabular format is recommended.

Personnel

List costs solely for employees of the entity completing this form (award recipient or sub-recipient). All other personnel costs (of subrecipients or other contractual efforts of the entity preparing this) must be included under “Contractual.” This includes all consultants and FFRDCs.

Identify positions to be supported. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the amounts of time (e.g., hours or % of time) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., actual salary, labor distribution report, technical estimate, state civil service rates, etc.). Identify the number of employees (on a Full Time Equivalent) that will be employed in each position or group category.

Note the prevailing wage requirements in the ARRA (P.L. 111-5).

Task # and Title	Position Title	Budget Period 1			Budget Period 2			Budget Period 3			Project Total Hours	Project Total Dollars	Rate Basis
		Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 1	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 2	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 3			
1. Generation 2A Reactor Design		10000		\$423,000	600		\$24,000	800		\$31,000	11400	\$478,000	Actual Salary
	Sr. Engineer (1)	2000	\$85.00	\$170,000	200	\$50.00	\$10,000	200	\$50.00	\$10,000	2400	\$190,000	Actual Salary
	Process engineers (3)	6200	\$35.00	\$217,000	400	\$35.00	\$14,000	600	\$35.00	\$21,000	7200	\$252,000	Actual Salary
	Technician (1)	1800	\$20.00	\$36,000	0	\$0.00	\$0	0	\$0.00	\$0	1800	\$36,000	Actual Salary

Fringe

A federally approved fringe benefit rate agreement, or a proposed rate supported and agreed upon by DOE for estimating purposes is required if reimbursement for fringe benefits is requested. If a fringe benefit rate has been negotiated with, or approved by, a federal government agency, a copy of the latest rate agreement must be included with this application, and if selected, must be provided electronically to the Contracting Officer for this project. Please state if the rate agreement has already been provided to the Contracting Officer, OR if it has changed since it was. If there is not a current, federally approved rate agreement negotiated and available, provide a copy of the proposal with the application. If selected, the rate agreement will be finalized during award negotiations. Calculate the fringe rate and enter the total amount in Section B, line 6.b. (“Fringe Benefits”) of form SF-424A.

	Budget Period 1	Budget Period 2	Budget Period 3	Total
Rate applied:	0.0%	0.0%	0.0%	

Total fringe requested:	\$0	\$0	\$0	\$0
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Travel

Provide travel detail as requested below, identifying total Foreign and Domestic Travel as separate items. Purpose of travel are items such as professional conference, DOE sponsored meeting, project management meeting, etc. The Basis for Estimating Costs could be items such as past trips, current quotations, Federal Travel Regulations, etc. Identify number of travelers, estimated cost per traveler, and duration of trip.

All listed travel must be necessary for performance of the Statement of Project Objectives.

Note: All projects should budget for sending 1-2 travelers to a DOE project review during each year of the project, each review will take approximately 2-3 days.

Purpose of travel	No. of Travelers	Depart From	Destination	No. of Days	Cost per Traveler	Cost per Trip	Basis for Estimating Costs
Budget Period 1							
Domestic Travel							
Visit to reactor mfr. to set up vendor agreement	2	Denver CO	Dallas TX	2	\$650	\$1,300	Internet prices
Domestic Travel subtotal						\$1,300	
International Travel							
Visit to technology provider to discuss IP argreement	2	Denver CO	Berlin Germany	5	\$4,000	\$8,000	Previous experience
International Travel subtotal						\$8,000	
Budget Period 1 Total						\$9,300	
(repeat as necessary for each Budget Period)							

Equipment

Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. Further definitions can be found in 10 CFR 600.

List all proposed equipment below, providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying its need as it applies to the Statement of Project Objectives. If it is existing equipment, and the value of its contribution to the project budget is being shown as cost share, provide logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown.

For equipment over \$50,000 in price, also include a copy of the associated vendor quote or catalog price list.

Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 1					
EXAMPLE ONLY!!! Thermal shock chamber	2	\$20,000	\$40,000	Vendor Quote	Reliability testing of PV modules- Task 4.3
Budget Period 1 Total			\$40,000		
(repeat as necessary for each Budget Period)					

Supplies

Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance. Further definitions can be found in 10 CFR 600.

List all proposed supplies, providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying the need for the Supplies as they apply to the Statement of Project Objectives. Note that Supply items must be direct costs to the project at this budget category, and not duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

General Category of Supplies	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need
Budget Period 1					
EXAMPLE ONLY!!! Wireless DAS components	10	\$360.00	\$3,600	Catalog price	For Alpha prototype - Task 2.4
Budget Period 1 Total			\$3,600		
(repeat as necessary for each Budget Period)					

Contractual

The applicant must provide and justify all costs related to sub-recipients, vendors, contractors, consultants and FFRDC partners.

Sub-recipients (partners, sub-awardees):

For each sub-recipient with total project costs greater than \$100,000 or assigned to complete a major portion of the project, a separate SF-424A budget and budget justification form must be submitted. These sub-recipient forms may be completed by either the sub-recipients themselves or by the applicant. The budget totals on the sub-recipient's forms must match the contractual entries in the budget and budget justification of the applicant.

It is the responsibility of the applicant to ensure adequate support of the sub-recipient budget is included with the application. The support to justify the budgets of sub-recipients with estimated costs less than \$100,000 may be in any format, and at a minimum should provide what Statement of Project Objectives task(s) are being performed, the purpose/need for the effort, and a basis of the estimated costs that is considered sufficient for DOE evaluation.

Vendors (includes contractors and consultants):

List all vendors, contractors and consultants supplying commercial supplies or services used to support the project. The support to justify vendor costs (in any amount) should provide the purpose for the products or services and a basis of the estimated costs that is considered sufficient for DOE evaluation.

Federal Research and Development Centers (FFRDCs):

For FFRDC partners, the applicant should provide a Field Work Proposal (if not already provided with the original application), along with the FFRDC labor mix and hours, by category and FFRDC major purchases greater than \$25,000, including Quantity, Unit Cost, Basis of Cost, and Justification.

Sub-Recipient Name/Organization	Purpose/Tasks in SOPO	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! XYZ Corp.	Partner to develop optimal fresnel lens for Gen 2 product - Task 2.4	\$48,000	\$32,000	\$16,000	\$96,000
	Sub-total	\$48,000	\$32,000	\$16,000	\$96,000
Vendor Name/Organization	Product or Service, Purpose/Need and Basis of Cost (Provide additional support at bottom of page as needed)	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! ABC Corp.	Vendor for developing custom robotics to perform lens inspection, alignment, and placement (Task 4). Required for expanding CPV module mfg. capacity. Cost is from competitive quotes.	\$32,900	\$86,500		\$119,400
	Sub-total	\$32,900	\$86,500	\$0	\$119,400
FFRDC Name/Organization	Purpose	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
					\$0
	Sub-total	\$0	\$0	\$0	\$0
	Total Contractual	\$80,900	\$118,500	\$16,000	\$215,400

Construction

Construction, for the purpose of budgeting, is defined as all types of work done on a particular facility, including erecting, altering, or remodeling. Construction conducted by the award recipient should be justified in this category. Any construction work that is performed by a vendor or subrecipient to the award recipient should be entered under “Contractual.”

List all proposed construction below, providing a basis of cost such as engineering estimates, prior construction, etc., and briefly justify its need as it applies to the Statement of Project Objectives. For major endeavors, a copy of the engineering estimate or quote should also be provided.

Overall description of construction activities:			
Example Only!!! - Build wind turbine platform			
General Description	Cost	Basis of Cost	Justification of need
Budget Period 1			
Three days of excavation for platform site EXAMPLE ONLY!!!	\$28,000	Engineering estimate	Site must be prepared for construction of platform.
Budget Period 1 Total	\$28,000		
Budget Period 2			
Budget Period 2 Total	\$0		
Budget Period 3			
Budget Period 3 Total	\$0		
PROJECT TOTAL	\$28,000		

Other Direct Costs

Other direct costs are direct cost items required for the project which do not fit clearly into other categories, and are not included in the indirect pool for which the indirect rate is being applied to this project. Examples are meeting costs, postage, couriers or express mail, telephone/fax costs,

printing costs, etc.

Basis of cost are items such as vendor quotes, prior purchases of similar or like items, published price list, etc.

General description	Cost	Basis of Cost	Justification of need
Budget Period 1			
EXAMPLE ONLY!!! Grad student tuition	\$16,000	Established UCD costs	Support of graduate students working on project
Budget Period 1 Total	\$16,000		
(repeat as necessary for each Budget Period)			

Indirect Costs

A federally approved indirect rate agreement, or rate proposed supported and agreed upon by DOE for estimating purposes is required if reimbursement of indirect benefits is requested. If there is a federally approved indirect rate agreement, a copy must be provided with this application and if selected, must be provided electronically to the Contracting Officer for this project. If there is no current, federally approved indirect rate agreement or if the federally approved indirect rate agreement has been changed or updated, a rate proposal must be included with the application. If selected, the rate agreement will be finalized during award negotiations. Calculate the indirect rate dollars and enter the total in the Section B., line 6.j. (Indirect Charges) of form SF 424A.

	Budget Period 1	Budget Period 2	Budget Period 3	Total
Rate applied:	0.0%	0.0%	0.0%	
Total indirect costs requested:				\$0

Cost Share

See also FOA Appendix C, Cost Share.

A detailed presentation of the cash or cash value of all cost share proposed for the project must be provided in the table below. Identify the source and amount of each item of cost share proposed by the award recipient and each sub-recipient or vendor. Letters of commitment must be submitted for all third party cost share (other than award recipient). See FOA, Part IV.C.g, Letters of Commitment.

Note that “cost-share” is not limited to cash investment. Other items that may be assigned value in a budget as incurred as part of the project budget and necessary to performance of the project, may be considered as cost share, such as: contribution of services or property; donated, purchased or existing equipment; buildings or land; donated, purchased or existing supplies; and/or unrecovered personnel, fringe benefits and indirect costs, etc. For each cost share contribution identified as other than cash, identify the item and describe how the value of the cost share contribution was calculated.

Funds from other Federal sources MAY NOT be counted as cost share. This prohibition includes FFRDC sub-recipients. Non-Federal sources include private, state or local Government, or any source not originally derived from Federal funds. If selected, documentation of cost sharing commitments must be provided during award negotiations unless they have not changed

since its submission.

Fee or profit will not be paid to the award recipients or subrecipients of financial assistance awards. Additionally, foregone fee or profit by the applicant shall not be considered cost sharing under any resulting award. Reimbursement of actual costs will only include those costs that are allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127, 10 CFR 600.222 or 10 CFR 600.317. Also see 10 CFR 600.318 relative to profit or fee.

Organization/Source	Type (cash or other)	Cost Share Item	Budget Period 1 Cost Share	Budget Period 2 Cost Share	Budget Period 3 Cost Share	Total Project Cost Share
ABC Company EXAMPLE ONLY!!!	Cash	Project partner ABC Company will provide 40 PV modules for product development at 50% off the of the retail price of \$680	\$13,600			\$13,600
						\$0
						\$0
		Totals	\$0	\$0	\$0	\$0
Total Project Cost:		\$312,300	Cost Share Percent of Award:			0.0%

American Recovery and Reinvestment Act 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 affirmation that you will comply with the Davis-Bacon Act, as identified above, along with the signature of the authorized representative of your organization.

