

DOE Solid State Lighting Program



Preparing a Comprehensive Application

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National Energy Technology Laboratory



Agenda

- **Solicitation Process**
 - NETL Project Management Team
 - Solicitation Development
 - Evaluation Process – External Evaluation
 - Evaluation Process – Merit Review Committee
 - Evaluation Process – Source Selection Official
- **Successful Applications**
 - Successful Applications – Guidelines
 - Helpful Suggestions
 - Additional Information



NETL Project Management Team

Joel Chaddock - Joel.Chaddock@netl.doe.gov

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- **Responsible for**
 - Conduct Solicitation Process for SSL Core and Product
 - Manage SSL R&D and Support Projects
 - Other Programmatic Support Activities



Solicitation Development

- **Make Determination to Conduct Solicitation**
 - Analyze Existing Mortgages versus Anticipated Funding Appropriations
- **Program Areas of Interests (aka Needs)**
 - Begins with Workshop prioritization and Multi-Year Program Plan (MYPP)
 - Adjusted based on Existing Portfolio of Projects
- **Evaluation Criteria**
 - Different for Core versus Product
 - Goals Line-up with or Exceed MYPP
- **Other Programmatic or Legal Requirements**
 - Eligible Applicants
 - Exceptional Circumstances Language
 - Program Policy Factors



Evaluation Process – External Evaluation

- **All Applications Receive 3-4 Evaluations**
 - Performed by Technical Experts External to NETL
 - Consultants, Retirees, Professors, other Federal Employees
 - No Performing Association to Current Program
 - Complete Non-Disclosure and Conflict-of-Interest Forms
- **Evaluators Judge Against Technical Evaluation Criteria ONLY**
 - Provide Adjectival Ratings
 - Provide Strength and Weakness Comments
 - Do Not Score Applications
 - Do Not Evaluate Budget Application



Evaluation Process – Merit Review Committee

- **3-5 Member Panel**
 - Same Qualifications/Restrictions as External Evaluators
 - Partially Composed of NETL or Other Federal Employees
- **Roles of MRC**
 - Evaluate External Evaluator Input to Obtain Consensus on Application Strengths/Weaknesses
 - Rate Individual Evaluation Criterion to Obtain Overall Weighed Score and Ranking
- **Expected Output**
 - Board Report of Findings
 - Application Rankings
 - Recommendation for Selections – Technically Acceptable
 - Recommended Modifications to Applications for Negotiation



Evaluation Process – Source Selection Official

- **Typically Building Technologies Program Manager**
- **Makes Actual Selections for Negotiation**
 - Based on Output from MRC
 - Considers Current Program Mortgage versus Appropriations
 - May Apply Program Policy Factors
 - Balance Portfolio Gaps
 - Balance Organizations and Organization Types
 - Obtain Best Use of Federal Funding
- **Gives Guidance for Negotiation Strategies**



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Successful Applications - Guidelines

- **On-time Submission**
 - Submission Deadlines are Strict and Definite
 - Don't Wait Until the Last Minute; Submit Early
- **Meet Solicitation Requirements**
 - Complete Application Package
 - Correct Cost-Share

$$\frac{\text{performer share}}{\text{government share} + \text{performer share}} \quad \text{Not} \quad \frac{\text{performer share}}{\text{government share}}$$



Successful Applications - Guidelines

- **Application Should Stand on Its Own**
 - Evaluators' Judgment Based on Application ONLY
 - Your Responsibility to Convince Others of Merit, Knowledge and Plan
 - Do Not to Rely on Known Past Work, Experience or Reputation
 - Evaluators are not Required to Read Supporting Information such as Technical Papers or Websites
 - References and Citations - Good
 - Leaving Critical Findings of That Work Out of Your Discussion - Bad



Successful Applications - Guidelines

- **Provide Clearly Described Research and Goals**
 - Application Should Clearly Answer the Following
 - What is the Government Buying?
 - What is the End Result of the Research?
 - Avoid Topics or Ideas that are too Sensitive or Proprietary to Describe in Detail
- **Offer Ideas that are Responsive to the “Areas of Interest”**
 - Focus on Single “Area of Interest” as Best Possible
 - Avoid Fix-it-all Applications



Successful Applications - Guidelines

- **Know the Solicitation Performance Goals/Objectives**
 - Application's Goals/Objectives Need to be In-line with MYPP and Solicitation
 - Main MYPP Targets will be written into Solicitation Document
- **Thoroughly Address All Aspects of the Evaluation Criteria**
 - Write Application towards Criteria
- **State Contribution over Relevant State-of-the-Art**
 - Define Your Baseline
 - Application Should Clearly Answer the Following
 - Why is Your Approach Better?
 - What Improvement Have you Proposed?
 - Quantify Where Possible



Sample Evaluation Criteria

Successful Applications - Guidelines

- **Build Upon Previous Work or Proof of Concept**
 - Provide Necessary Findings and Support in Application
- **Provide Realistic Milestones**
 - Progressive through Project Duration
 - Prefer Quantitative over Qualitative
 - Challenging but Achievable
 - In-line with MYPP and Solicitation Objectives



Successful Applications - Guidelines

- **Statement of Project Objectives**
 - Similar to Statement of Work (SOW)
 - Must be Clear and Concise
 - Sufficient Detail to Stand Alone
 - Should Answer What – Not How or Why
 - Not a Rehash of Technical Discussion
 - Use Template Provided in the Solicitation Document
- **Use Prior Debrief Where Applicable**
 - Address Concerns of Evaluation



Helpful Suggestions

- **Carefully Read the Solicitation Document**
- **Be Aware of the Current and Past Portfolio:**
<http://www.netl.doe.gov/ssl/project.html>
- **Review the Legal Statutes, Regulations and Guidelines Including the Determination of Exceptional Circumstances**
- **Have a Question? Take Advantage of the Actions Available to You in Grants.gov**
- **It's Not too Early to Begin Preparation.... Look at the Requirements of Past Solicitations**



Additional Information

- DOE SSL Program Web Site
 - <http://www.netl.doe.gov/ssl>
- Register for Updates
- Upcoming Solicitations (tentative)
 - Core Research – April 2008
 - Product Development – May 2008

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Building Technologies Program
Solid-State Lighting High-quality white light

DOE SSL Strategy

R&D Project Portfolio

Market-Based Programs

ENERGY STAR

CALPER Program

Standards Development

Technical Information Network

Technology Demonstrations

Design Competitions

Using LEDs for General Illumination

LED Basics

LED Application Series

LED Measurement Series

Funding Opportunities

Publications

Related Articles

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DOE Solid-State Lighting Portfolio

The U.S. Department of Energy and its partners are working to accelerate advances in solid-state lighting – a pivotal emerging technology that promises to fundamentally alter lighting in the future.

No other lighting technology offers the Department and our nation so much potential to save energy and enhance the quality of our building environments.

R & D SPOTLIGHT

COMMERCIALIZATION SUPPORT SPOTLIGHT

UPDATEs [Register for Updates](#)

- ▶ Transformations in Lighting: DOE SSL R&D Workshop January 29-31, 2008
- ▶ Webcast: LED Essentials October 11, 2007
- ▶ DOE Awards Two SBIR Phase 2 Grants for SSL
- ▶ Webcast: DOE Five-Year SSL Commercialization Support Plan July 2, 2007
 - Webcast Presentation (PDF 1MB)
 - Webcast Video (WMV 4 MB)
- ▶ Voices for SSL Efficiency: DOE SSL Workshop July 16-17, 2007
 - Workshop Materials
 - Workshop Highlights
 - Workshop Report (PDF 1.5MB)
- ▶ Funding Opportunity Released for Product Development (Round 4)
- ▶ DOE Awards Five SBIR Phase 1 Grants for SSL
- ▶ Funding Opportunity Released for Core Technology Research (Round 4)
- ▶ Research Call Released for Core Technology (Round 4) (MODIFIED) (PDF 159 Kb)
- ▶ DOE Announces Selections for SSL Core Technology and Product Development (Round 3)
- ▶ Archives

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