

# FINANCIAL ASSISTANCE FUNDING OPPORTUNITY ANNOUNCEMENT



## U. S. Department of Energy Office of Fossil Energy National Energy Technology Laboratory

*Emerging Technologies for Methane Production via Biological In-Situ Coal  
Conversion and Low Cost Oxygen Production for Gasification*

Funding Opportunity Number: DE-FOA-0001233

Announcement Type: Initial

CFDA Number: 81.089 Fossil Energy Research and Development

Issue Date:	02/11/2015
Letter of Intent Due Date:	Not Applicable
Pre-Application Due Date:	Not Applicable
Application Due Date:	04/13/2015 at 11:59:59 PM Eastern Time

*This Funding Opportunity Announcement (FOA) will remain open until the  
Application Due Date indicated above; however, applications may be submitted  
any time before this date.*

*It is strongly recommended that application submission begin well in advance (at  
least 48 hours) of the Application Due Date.*

NOTE: Applications in response to this FOA must be submitted through  
Grants.gov.

## **NOTE: REGISTRATION/SUBMISSION REQUIREMENTS**

### **Registration Requirements**

There are several one-time actions you must complete in order to submit an application in response to this FOA (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the System for Award Management (SAM) and register with Grants.gov).

Applicants who are not registered with SAM and Grants.gov, should allow at least 44 days to complete these requirements. It is suggested that the process be started as soon as possible.

**Applicants must obtain a DUNS number. DUNS website:** <http://fedgov.dnb.com/webform>

**Applicants must register with SAM. SAM website:** <http://www.sam.gov/>. If you had an active registration in CCR, you should have an active registration in SAM. More information about SAM registration for applicants is found at: [https://www.sam.gov/sam/transcript/Quick Guide for Grants Registrations v1.7.pdf](https://www.sam.gov/sam/transcript/Quick%20Guide%20for%20Grants%20Registrations%20v1.7.pdf).

**Applicants must register with Grants.gov. Grants.gov website:** <http://www.grants.gov/>

There are 3 steps to this process.

- 1) The Authorized Organizational Representative (AOR) must register at: <https://apply07.grants.gov/apply/OrcRegister>.
- 2) An email is sent to the E-Business (E-Biz) POC listed in SAM. The E-Biz POC must approve the AOR registration using their MPIN from their SAM registration.
- 3) AOR verifies that registration was completed at: [http://grants.gov/applicants/applicant\\_profile.jsp](http://grants.gov/applicants/applicant_profile.jsp).

More information about the above steps is provided at: [http://www.grants.gov/applicants/organization\\_registration.jsp](http://www.grants.gov/applicants/organization_registration.jsp).

**Applicants must register with FedConnect to submit questions. FedConnect website:** [www.fedconnect.net](http://www.fedconnect.net)

### **Questions**

Questions relating to the **system requirements or how an application form works** must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov).

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

### **Application Preparation and Submission**

**Applicants must download the application package, application forms and instructions from Grants.gov. Grants.gov website:** <http://www.grants.gov/>  
(Additional instructions are provided in Section IV.A. of this FOA.)

**Where to Submit**

Applications must be submitted through Grants.gov to be considered for award. You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately. Remember you have to update your SAM registration annually. If you have any questions about your registration, you should contact the Grants.gov Helpdesk at 1-800-518-4726 to verify that you are still registered in Grants.gov.

**IMPORTANT NOTICE TO POTENTIAL APPLICANTS:** When you have completed the registration process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).

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## **Section I - FUNDING OPPORTUNITY DESCRIPTION**

**Under Statutory Authority of Public Law 95-91, DOE Organization Act, as amended by Public Law 109-58, Energy Policy Act 2005**

### **A. BACKGROUND**

For Fiscal Year (FY) 2015, the Advanced Energy Systems (AES) Program will solicit proposals under this Funding Opportunity Announcement (FOA) for support of the Gasification Systems technology area. There will be a total of two Areas of Interest (AOI). The AES Program is pursuing research and development (R&D) to (1) accelerate in-situ bio-gasification of coal seams with a goal of creating methane at a lower cost than typical U.S. natural gas recovery systems; and (2) produce oxygen for use in coal gasification processes at a significantly lower cost than that of the commercial state-of-the-art (SOTA) technology.

In recent years, the DOE's gasification program has invested in R&D projects to reduce the cost of coal conversion to hydrogen and chemical-grade syngas via (1) reductions in plant capital/operation costs, (2) increasing overall plant efficiency, and (3) reductions in the cost of greenhouse gas (GHG) abatement. This year, the Gasification Systems component of the AES Program will continue to seek reductions in the cost of electricity from coal with a reduced greenhouse gas footprint via bio-conversion of coal to methane and advanced methods of producing oxygen for use in gasification processes.

### **B. OBJECTIVES**

The objectives of this FOA are to solicit and competitively award R&D projects in support of the Gasification Technology Area via AOIs 1 and 2. Both AOIs contained within this FOA are focused on leveraging past and ongoing R&D efforts, as well as looking at gasification in distinctively different ways. The foundational objective of the Gasification Systems Program is to reduce the cost of electricity from coal with a reduced greenhouse gas footprint. Projects awarded through this FOA's AOI 1 will: be aimed at efforts to bring in-situ bio-gasification of coal seams to demonstration readiness; or develop advanced air separation technologies that can produce oxygen for use in coal gasification processes by a variety of possible innovations such that both cost and greenhouse gas footprint of electricity from coal may be reduced.

### **C. AREAS OF INTEREST**

**Applicants must identify the AOI they are applying to (i.e., 1 or 2). The required format for the project title will be: "AOI [1 or 2 -specify one] (project title)." An applicant may apply to more than one AOI, but a separate application is required for each AOI.**

**Applicants may not submit the same application to more than one AOI. The submitted proposal must only address one AOI.**

#### ***Area of Interest 1 – R&D Work Needed to Prepare for Bio-gasification Field Test***

AOI 1 is seeking proposals to complete preparation work of emerging bio-gasification technologies so that a field test of in-situ bio-gasification of coal to methane is possible in calendar year 2017. The goal of such an in-situ bio-gasification field test would be to produce and collect methane from bio-conversion of coal within un-mineable coal seams at a lower cost than is typically incurred in U.S. natural gas recovery systems. Under AOI 1, the DOE is not interested in receiving proposals for field tests. The objective of AOI 1 is to seek proposals to perform R&D work to mature bio-gasification concepts to a point where future field test efforts may be contemplated.

Successful proposals must specify the approach for completing a future field test in a timely and cost effective manner and for ensuring the field test site will have broad applicability to similar locations in the U.S. At a minimum, technology descriptions must address any planned manipulation/modification of in-situ microbial populations, and any changes that will be made to the in-situ environment such as increases in coal surface area available to microbial action, nutritional additives, etc. All work proposed must have a geologically relevant context. For instance, work on microbial populations in the lab must be relevant to target in-situ conditions in terms of temperature, pressure, coal type, and liquid and gas exposure. DOE is especially interested in technologies that take advantage of indigenous microbial populations.

As a necessary condition for awards made under this AOI, the work scope must not contain any activities involving recombining of biological deoxyribonucleic acid (DNA) sequences. This FOA is not interested in funding efforts to directly manipulate an organism's genome using biotechnology or any other effort to create a genetically modified organism (GMO).

Specific application requirements for AOI 1 include:

- Description of above-ground processes required to implement and support the in-situ bio-gasification technology as it would be applied to potential test sites, including any systems to prepare and seed the biological agents, nutrient injection or coal hydraulic fracturing systems, as well as collection and purification systems for the resulting methane gas.
- Description of previously completed research and associated experimental results, including all critical data measured. Describe the current state of the technology development (i.e., conceptual, design, commercially available) of the in-situ bio-gasification of coal to methane technologies.
- Description of how the proposed effort will mitigate site-specific technology and other risks, such as site specific nutrient needs, toxins, temperature, pressure, coal porosity, and potential ecological hazards of the proposed methods.
- Description of the anticipated delay from process initiation to methane production, the anticipated life of a bio-gasification well, any ongoing or periodic operations being considered to lengthen well life, and the in-situ mechanisms that could limit well life and/or production.
- Description of how the proposed bio-gasification technologies could be expected to enable bio-gasification to be commercially attractive given projected natural gas prices in the U.S.

### ***Area of Interest 2 – Advanced Air Separations***

AOI 2 seeks proposals for development of advanced air separation technologies that can produce oxygen for use in coal gasification processes at a significantly lower cost than that of the commercial SOTA air separation technology. To achieve the AOI 2 cost reduction objective, DOE is interested technologies that can advantageously separate oxygen from ambient air for use in gasification systems including, but not limited to, ion transfer, pressure swing absorption, temperature swing absorption, various membrane technologies, direct coal chemical looping, and advanced cryogenic technology. However, DOE is only interested in technologies that could be ready by 2020 for subsequent commercially relevant demonstration.

Successful proposals must be primarily to perform R&D. Projects must include system analysis and cost estimation to demonstrate the advanced air separation's cost benefit to integrated gasification combined cycle (IGCC) with 90% carbon capture when compared to baseline IGCC with 90% carbon capture based on current SOTA air separation technologies. To maximize value

to DOE and stakeholders, R&D should be limited to the smallest practical scale needed to establish the technology's performance (e.g., oxygen quantity and purity) and durability (both mechanical and chemical) under appropriate conditions.

## Section II - AWARD INFORMATION

### A. TYPE OF AWARD INSTRUMENT

DOE anticipates awarding cooperative agreements under this FOA (See Section VI.B.2 Statement of Substantial Involvement).

### B. ESTIMATED FUNDING

Approximately \$4,022,000 in Federal funds is expected to be available for new awards under this FOA. At least 20% non-Federal cost share of the total allowable costs must be provided. Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

### C. MAXIMUM AND MINIMUM AWARD SIZE

**Ceiling** (i.e., the maximum for an individual award made under this FOA): NONE.

**Floor** (i.e., the minimum amount for an individual award made under this announcement): NONE.

### D. EXPECTED NUMBER OF AWARDS

DOE anticipates making the following number of awards for each AOI:

Area of Interest (AOI)	Number of Awards
AOI 1: Bio-gasification	Up to 2 awards
AOI 2: Advanced Air Separations	Up to 2 awards

### E. ANTICIPATED AWARD SIZE

The anticipated DOE share for projects under each area of this FOA is as shown in the following table:

	Award Size (DOE share)
AOI 1: Bio-gasification	Up to \$650,000
AOI 2: Advanced Air Separations	Up to \$1,500,000

### F. PERIOD OF PERFORMANCE

AOI 1: DOE anticipates making awards with an estimated project period of 12 months (single budget period).

AOI 2: DOE anticipates making awards with an estimated project period of up to 18 months (single budget period).

**G. TYPE OF APPLICATION**

DOE will accept only new applications under this announcement.

## **Section III - ELIGIBILITY INFORMATION**

### **A. ELIGIBLE APPLICANTS**

#### **1. INDIVIDUALS**

U.S. citizens and lawful permanent residents are eligible to apply for funding as a prime recipient or subrecipient.

#### **2. DOMESTIC ENTITIES**

For-profit entities, educational institutions, and nonprofits<sup>1</sup> that are incorporated (or otherwise formed) under the laws of a particular State or territory of the United States are eligible to apply for funding as a prime recipient or subrecipient.

State, local, and tribal government entities are eligible to apply for funding as a prime recipient or subrecipient.

DOE/NNSA Federally Funded Research and Development Centers (FFRDCs) and Non-DOE/NNSA FFRDCs are eligible to apply for funding as a subrecipient, but are not eligible to apply as a prime recipient. See Section III.C.

Non-DOE Government-Owned, Government Operated (GOGOs) entities and Federal agencies and instrumentalities (other than DOE) are eligible to apply for funding as a subrecipient, but are not eligible to apply as a prime recipient.

**NOTE: The National Energy Technology Laboratory (NETL) is not eligible for award under this announcement and may not be proposed as a subrecipient on another entity's application.**

#### **3. FOREIGN ENTITIES**

Foreign entities, whether for-profit or otherwise, are eligible to apply for funding under this FOA.

Other than as provided in the "Individuals" or "Domestic Entities" sections above, all prime recipients receiving funding under this FOA must be incorporated (or otherwise formed) under the laws of a State or territory of the United States. If a foreign entity applies for funding as a prime recipient, it must designate in the Application a subsidiary or affiliate incorporated (or otherwise formed) under the laws of a State or territory of the United States to be the prime recipient. The Application must state the nature of the corporate relationship between the foreign entity and domestic subsidiary or affiliate. Foreign entities may request a waiver of this requirement in the Application. See Section VIII.J of the FOA for waiver request information. The DOE Contracting Officer has discretion to waive this requirement if he/she determines that it will further the purposes of this FOA and is otherwise in the interests of the DOE's Office of Fossil Energy.

A foreign entity may receive funding as a subrecipient.

#### **4. INCORPORATED CONSORTIA**

Incorporated consortia, which may include domestic and/or foreign entities, are eligible to apply for funding as a prime recipient or subrecipient. For consortia incorporated (or otherwise formed)

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<sup>1</sup>Nonprofit organizations described in section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995, are not eligible to apply for funding.

under the laws of a State or territory of the United States, please refer to “Domestic Entities” above. For consortia incorporated in foreign countries, please refer to the requirements in “Foreign Entities” above.

Each incorporated consortium must have an internal governance structure and a written set of internal rules. Upon request, the consortium must provide a written description of its internal governance structure and its internal rules to the DOE Contracting Officer.

## **5. UNINCORPORATED CONSORTIA**

Unincorporated consortia, which may include domestic and foreign entities, must designate one member of the consortium to serve as the prime recipient/consortium representative. The prime recipient/consortium representative must be incorporated (or otherwise formed) under the laws of a State or territory of the United States. The eligibility of the consortium will be determined by the eligibility of the prime recipient/consortium representative under Section III.A of the FOA.

Upon request, unincorporated consortia must provide the DOE Contracting Officer with a collaboration agreement, commonly referred to as the articles of collaboration, which sets out the rights and responsibilities of each consortium member. This agreement binds the individual consortium members together and should discuss, among other things, the consortium's:

- Management structure;
- Method of making payments to consortium members;
- Means of ensuring and overseeing members' efforts on the project;
- Provisions for members' cost sharing contributions; and
- Provisions for ownership and rights in intellectual property developed previously or under the agreement.

### **B. COST SHARING**

The cost share must be at least 20% of the total allowable costs for research and development projects (i.e., 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) and must come from non-Federal sources unless otherwise allowed by law. See 2 CFR part 200 as amended by 2 CFR part 910 (DOE Financial Assistance Regulation).

For example: If Total Project Costs are \$812,500, the maximum DOE share would be \$650,000 and the Recipient would be required to cost share a minimum of \$162,500.

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

Federally Funded Research and Development Center (FFRDC) Contractors. FFRDC contractors may be proposed as a team member on another entity's application subject to the following guidelines:

Authorization for non-DOE/NNSA FFRDC Contractor. The Federal agency sponsoring the FFRDC contractor must authorize in writing the use of the FFRDC contractor on the proposed project and this authorization must be submitted with the application. The use of a FFRDC contractor must be consistent with the contractor's authority under its award and must not place the FFRDC contractor in direct competition with the private sector.

Authorization for DOE/NNSA FFRDCs. The cognizant contracting officer for the FFRDC must authorize in writing the use of a DOE/NNSA FFRDC contractor on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization.

"Authorization is granted for the [Name] Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complimentary to the missions of the laboratory, will not adversely impact execution of the DOE/NNSA assigned programs at the laboratory, and will not place the laboratory in direct competition with the domestic private sector."

Value/Funding. The value of, and funding for, the FFRDC contractor portion of the work will not normally be included in the award to a successful applicant. Usually, DOE/NNSA will fund a DOE/NNSA FFRDC contractor through the DOE field work proposal system and other FFRDC contractors through an interagency agreement with the sponsoring agency.

Cost Share. The applicant's cost share requirement will be based on the total cost of the project, including the applicant's and the FFRDC contractor's portions of the effort.

FFRDC Contractor Effort.

- The scope of work to be performed by the FFRDC contractor may not be more significant than the scope of work to be performed by the applicant.
- The FFRDC contractor effort, in aggregate, **shall not exceed 25%** of the total estimated cost of the project, including the applicant's and the FFRDC contractor's portions of the effort.

Responsibility. The applicant, if successful, will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to, disputes and claims arising out of any agreement between the applicant and the FFRDC contractor.

**NOTE: NETL is not eligible for award under this announcement and may not be proposed as a subrecipient on another entity's application.**

#### **D. PERFORMANCE OF WORK IN THE UNITED STATES**

The Recipient agrees that at least 75% of the direct labor cost for the project (including subrecipient labor) shall be incurred in the United States, unless the Recipient can demonstrate to the satisfaction of the Department of Energy that the United States economic interest will be better served through a greater percentage of the work being performed outside of the United States.

Applicants and prime recipients may request a waiver of this requirement. Applicants must include a written waiver request in the Full Application. Prime recipients must submit any waiver requests in writing to the DOE Contracting Officer for this FOA. The DOE Contracting Officer has discretion to waive this requirement if he/she determines that it will further the purposes of this FOA and is otherwise in the best interest of the Government. If you would like to request a waiver see Section VIII.K.

## **Section IV - APPLICATION AND SUBMISSION INFORMATION**

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

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select "APPLICANT", then Click "Apply for Grants," and then select "Download a Grant Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of this announcement and then follow the prompts to download the application package.

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

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

Letters of Intent are not required.

#### **2. Pre-application**

Pre-applications are not required.

### **C. CONTENT AND FORM OF APPLICATION**

Applicants 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.

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

Complete this form first to populate data in other forms. Complete all required fields in accordance with the pop-up instructions on the form. The list of certifications and assurances referenced in Field 21 can be found on the DOE Financial Assistance Forms Page at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Certifications and Assurances.

**Applicants must identify the AOI they are applying to (i.e., 1 or 2). The required format for the project title will be: "AOI [1 or 2 -specify one] (project title)." An applicant may apply to more than one AOI, but a separate application is required for each AOI.**

**Applicants may not submit the same application to more than one AOI. The submitted proposal must only address one AOI.**

#### **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. 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.

#### 3A. Project Narrative File - Mandatory Other Attachment

**File name: Narrative.pdf**

The project narrative must not exceed **25 pages, double-spaced**, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right). **EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE.** The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application. See Part VIII.D for instructions on how to mark proprietary application information. Save the information in a single file named "Narrative.pdf," and click on "Add Mandatory Other Attachment" to attach.

The project narrative must include the following information that **WILL** count in the Project Narrative page limitation:

- **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. 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.**
- **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.
- **Statement of Project Objectives (SOPO):** The project narrative must contain a single, detailed Statement of Project Objectives that addresses how the project objectives will be met. The Statement of Project Objectives must contain a clear, concise description of all activities to be completed during project performance and follow the structure discussed below. It is therefore required that it shall not contain proprietary or confidential business information.

**The Statement of Project Objectives is generally less than 10 pages in total for the proposed work. Applicants shall prepare the Statement of Project Objectives in the following format:**

#### **TITLE OF WORK TO BE PERFORMED**

(Insert the title of work to be performed. Be concise and descriptive.)

#### **A. OBJECTIVES**

Include one paragraph on the overall objective(s) of the work.

## **B. SCOPE OF WORK**

This section should not exceed one-half page and should summarize the effort and approach to achieve the objective(s) of the work.

## **C. TASKS TO BE PERFORMED**

Tasks and Subtasks (if applicable), concisely written, should be provided in a logical sequence. This section provides a brief summary of the planned approach to this project. Tasks must be numbered consecutively and continuously throughout the entire duration of the project, starting with Task 1.0 as outlined below.

An outline of the Project Management Plan (referenced in Task 1.0 below and required to be submitted with your application) is provided later in this Part.

### **Task 1.0 - Project Management and Planning (THIS TASK IS MANDATORY; INSERT THE FOLLOWING)**

This task shall include all work elements required to maintain and revise the Project Management Plan, and to manage and report on activities in accordance with the plan. It shall also include the necessary activities to ensure coordination and planning of the project with DOE/NETL and other project participants. These shall include, but are not limited to, the submission and approval of required NEPA documentation.

#### Task 2.0 - (Title)

Subtask 2.1 – (Title)

(Description)

Subtask 2.2 – (Title)

(Description)

#### Task 3.0 – (Title)

Subtask 3.1 – (Title)

(Description)

Subtask 3.2 – (Title)

(Description)

#### Task 4.0 – (Title)

(Continue with Tasks as necessary)

*Decision Point (as applicable)*

## **D. DELIVERABLES**

The periodic, topical, and final reports shall be submitted in accordance with the attached "Federal Assistance Reporting Checklist" and the instructions accompanying the checklist.

**Note:** The Recipient shall provide a list of deliverables other than those identified on the "Federal

Assistance Reporting Checklist" that will be delivered. These reports shall also be identified within the text of the Statement of Project Objectives as they relate to each Task. See the following examples:

1. Task 1.0 – Project Management Plan
2. Task 1.1 - (Deliverable Description)
3. Task 2.2 - (Deliverable Description)

**E. BRIEFINGS/TECHNICAL PRESENTATIONS (INSERT THE FOLLOWING)**

The Recipient shall prepare detailed briefings for presentation to the Project Officer at the Project Officer's facility located in Pittsburgh, PA or Morgantown, WV. The Recipient shall make a presentation to the NETL Project Officer/Manager at a project kick-off meeting held within 90 days of project start date. At minimum, annual briefings shall also be given by the Recipient to explain the plans, progress, and results of the technical effort. A final project briefing at the close of the project shall also be given.

**(END OF SOPO)**

**(END OF PROJECT NARRATIVE)**

*Also, attach the following file:*

**3B. Project Management Plan  
File name: PMP.pdf**

This plan shall be formatted to address the following sections with each section to include the information as described below and is at a **maximum 25 pages** in length. The font must not be smaller than 11 point **DOUBLE SPACED**. Save the information in a single file named "PMP.pdf," and click on "Add Mandatory Other Attachment" to attach.

*Title Page:*

**PROJECT MANAGEMENT PLAN  
for {insert project title}  
{Date Prepared}**

**SUBMITTED UNDER FUNDING OPPORTUNITY ANNOUNCEMENT**

DE-FOA-0001233

**SUBMITTED BY**

{Organization Name}  
{Organization Address}  
{City, State, Zip Code}

**PRINCIPAL INVESTIGATOR**

{Name}  
{Phone Number}  
{Fax Number}  
{E-mail}

## SUBMITTED TO

U.S. Department of Energy  
National Energy Technology Laboratory

(end title page)

- A. **Executive Summary:** Provide a description of the project that includes the objective, project goals, and expected results. For purposes of the application, this information is included in the Project Narrative and should be simply copied to this document for completeness, so that the Project Management Plan is a stand-alone document.
- B. **Risk Management:** Provide a summary description of the proposed approach to identify, analyze, and respond to perceived risks associated with the proposed project. Project risk events are uncertain future events that, if realized, impact the success of the project. As a minimum, include the initial identification of significant technical, resource, and management issues that have the potential to impede project progress and strategies to minimize impacts from those issues.
- C. **Milestone Log:** Provide milestones for each budget period of the project. Each milestone should include a title and planned completion date. Milestones should be quantitative and show progress toward budget period and/or project goals.

[Note: During project performance, the Recipient will report the Milestone Status as part of the required quarterly Progress Report as prescribed under Attachment 3, Federal Assistance Reporting Checklist. The Milestone Status will present actual performance in comparison with Milestone Log, and include:

- (1) the actual status and progress of the project,
  - (2) specific progress made toward achieving the project's milestones, and,
  - (3) any proposed changes in the project's schedule required to complete milestones. ]
- D. **Funding and Costing Profile:** Provide a table (the Project Funding Profile) that shows the amount of government funding going to each project team member. Also provide a table (the Project Costing Profile) that projects, by month, the expenditure of government funds for the first budget period, at a minimum.
  - E. **Project Timeline:** Provide a timeline of the project (similar to a Gantt chart) broken down by each task and subtask, as described in the Statement of Project Objectives. The timeline should include for each task, a start date, and end date. The timeline should show interdependencies between tasks and include the milestones that are identified in the Milestone Log (Section C).
  - F. **Success Criteria at Decision Points:** Provide success criteria for each decision point in the project, including go/no-go decision points and the entire project. The success criteria should be objective and stated in terms of specific, measurable, and repeatable data. Usually, the success criteria pertain to desirable outcomes, results, and observations from the project.

**\*Note:** As the first task in the Statement of Project Objectives, successful applicants will revise the version of the Project Management Plan that is submitted with their applications by including details from the negotiation process. This Project Management Plan will be updated by the Recipient as the project progresses, and the Recipient must

use this plan to report schedule and budget variances.

**3C. Appendices to the Project Narrative (submitted as ONE all-encompassing file entitled "Appendix.pdf" under Add Optional Other Attachment on the Other Attachments Form)**

The following appendices are to be provided and clearly defined by its corresponding heading. Appendices are to be utilized to validate information within the Project Narrative as appropriate and should not be utilized as an extension for information requested to be addressed in the narrative. The font must not be smaller than 11 point **SINGLE SPACED**. Information in the appendices **WILL NOT** count toward the 25-page limitation in the Project Narrative.

- **Bibliography & References Cited Appendix:** This appendix **WILL NOT** count in the Project Narrative page limitation. Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. In order to reduce the number of files attached to your application, please save the Bibliography and References Cited information as a part of the single file named "Appendix.pdf".
- **Facilities & Other Resources Appendix:** This appendix **WILL NOT** count in the project narrative page limitation. This information is used to assess the capability of the organizational resources, including subawardee resources, available to perform the effort proposed. Identify the facilities to be used (Laboratory, Animal, Computer, Office, Clinical, and Other). 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. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. In order to reduce the number of files attached to your application, please save the Facilities & Other Resources information as a part of the single file named "Appendix.pdf".
- **Equipment Appendix:** This appendix **WILL NOT** count in the Project Narrative page limitation. List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. In order to reduce the number of files attached to your application, please save the Equipment information as a part of the single file named "Appendix.pdf".
- **Multiple Principal Investigators Appendix:** This appendix **WILL NOT** count in the Project Narrative page limitation. The applicant, whether a single organization or team/partnership/consortium, must indicate if the project will include multiple PIs. This decision is solely the 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.

In order to reduce the number of files attached to your application, please save the Multiple Principal Investigators information as a part of the single file named "Appendix.pdf".

- **Roles Of Participants Appendix:** This appendix **WILL NOT** count in the Project Narrative page limitation. 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. Provide signed agreements or letters from team members demonstrating that the proposed team members are fully committed to the project. In order to reduce the number of files attached to your application, please save the Role of Participants information as a part of the single file named "Appendix.pdf".
- **Third Parties Contributing to Cost Sharing Appendix:** This appendix **WILL NOT** count in the Project Narrative page limitation. At the time you submit your application, you must have a letter from each third party (i.e., a party other than the organization submitting the application) who will be contributing cost share. The letter must state that the third party is committed to providing a specific minimum dollar amount of cost sharing and must be signed by the person authorized to commit the expenditure of funds by the entity. In an appendix, you must identify the following information for each third party contributing to cost sharing: (1) the name of the organization; (2) the scope of the effort to be provided by referencing tasks within the Statement of Project Objectives; (3) the proposed dollar amount to be provided; (4) the amount as a percentage of the total project cost; and (5) the proposed cost sharing - cash, services, or property. In order to reduce the number of files attached to your application, please save the Third Parties Contributing to Cost Sharing information as a part of the single file named "Appendix.pdf".
- **Identification of Potential Conflicts of Interest or Bias in Selection of Reviewers Appendix:** This appendix **WILL NOT** count in the Project Narrative page limitation. Provide the following information in this section. In order to reduce the number of files attached to your application, please save the Identification of Potential Conflicts of Interest or Bias in Selection of Reviewers information as a part of the single file named "Appendix.pdf".

*Collaborators and Co-editors:* List in alphabetical order all persons, including their current organizational affiliation, who are, or who have been, collaborators or co-authors with you on a research project, book or book article, report, abstract, or paper during the 48 months preceding the submission of this application. Also, list any individuals who are currently, or have been, co-editors with you on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application. If there are no collaborators or co-editors to report, state "None."

*Graduate and Postdoctoral Advisors and Advisees:* List the names and current organizational affiliations of your graduate advisor(s) and principal postdoctoral sponsor(s) during the last 5 years. Also, list the names and current organizational affiliations of your graduate students and postdoctoral associates.

In order to reduce the number of files attached to your application, please save the Identification of Potential Conflicts of Interest or Bias in Selection of Reviewers information as a part of the single file named "Appendix.pdf".

- **Current and Pending Support Appendix:** This appendix **WILL NOT** count in the Project Narrative page limitation.

Provide a list of all current and pending support (both Federal and non-Federal) for the Project Director/Principal Investigator(s) (PD/PI) and senior/key persons, including subrecipients, for ongoing projects and pending applications. For each organization providing support, show the total award amount for the entire award period (including indirect costs) and the number of person-months per year to be devoted to the project by the senior/key person. Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.

In order to reduce the number of files attached to your application, please save the Current and Pending Support information as a part of the single file named "Appendix.pdf".

**All appendices to the Project Narrative shall be submitted in ONE FILE entitled "Appendix.pdf" under Add Optional Other Attachment on the Other Attachments Form.**

**3D. Project Summary/Abstract File**  
**File name: Summary.pdf**

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) (PD/PI), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as the Department may make it available to the public if an award is made. The project summary **must not exceed one (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.

**3E. Resume File**  
**File name: Bio.pdf**

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. 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) (singled spaced) with font no 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.

Save all resumes in a single file named "Bio.pdf" and click on "Add Optional Other Attachment" to attach.

**3F. SF 424 A Excel, Budget Information - Non-Construction Programs File**  
**File name: SF424A.xls or xlsx**

Applicants must provide a separate budget for each year of support requested and a cumulative 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://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under DOE budget forms.

Applicants may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See PART IV, G). Save the information in a single file named "SF424A.xls or .xlsx," and click on "Add Optional Other Attachment" to attach.

**3G. Budget Justification File**  
**File name: RecipientBudgetJustification.xls or xlsx**

Applicants must justify 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.

Applicants shall use the Detailed Budget Justification form (OMB Number 1910-5162) provided as an attachment to this announcement and also embedded below. Save the information in a single file named "RecipientBudgetJustification.xls or xlsx" and click on "Add Optional Other Attachment" to attach.



Copy of  
Detailed\_Budget\_Jusi

**3H. Budget for DOE/NNSA Federally Funded Research and Development Center (FFRDC) Contractor, if applicable**  
**File name: FFRDCname.pdf**

If a DOE/NNSA FFRDC contractor is to perform a portion of the work, you must provide a DOE Field Work Proposal in accordance with the requirements in DOE Order 412.1 Work Authorization System. This order and the DOE Field Work Proposal form are available at <https://eere-exchange.energy.gov/FileContent.aspx?FileID=6acfb6b3-fdec-42a8-8c93-e9c577a4f60c>. Use the FFRDC name as the file name (up to 10 letters) and attach by clicking the "Add Optional Other Attachment" button.

**3I. Environmental Questionnaire**  
**File name: EQ.pdf**

Applicants must complete the environmental questionnaire at [http://www.netl.doe.gov/File%20Library/Business/forms/451\\_1-1-3.pdf](http://www.netl.doe.gov/File%20Library/Business/forms/451_1-1-3.pdf) for each performance site and major partner/subcontractor. Save the questionnaire(s) in a single file named "EQ.pdf" and click on "Add Optional Other Attachment" to attach.

**SUBAWARD BUDGET FILE(S)**

**3J. Subaward SF-424 A, if applicable**  
**File name: Subawardeename424.xls or xlsx**

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. These forms are found on the DOE Financial Assistance Forms Page at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under DOE budget forms.. Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee's name (plus .xls or .xlsx) as the file name (e.g., ucla.xls or energyres.xls), and click on "Add Optional Other Attachment" to attach.

**3K. Subaward Budget Justification, if applicable**  
**File name: SubawardeenameBudgetJustification.xls or xlsx**

Applicants must also provide a separate budget justification 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 Detailed Budget Justification form (OMB Number 1910-5162) provided as an attachment to this announcement and also embedded below. Save the information in a single file named "Subawardee\_name BudgetJustification.xls or xlsx" and click on "Add Optional Other Attachment" to attach.



Copy of  
Detailed\_Budget\_Jus

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

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

**Summary of Required Forms/Files**

Your application must include the following documents:

Name of Document	Format	File Name
1. SF-424 Application for Federal Assistance	Form	N/A

2. Project/Performance Site Location(s)	Form	N/A
<b>Other Attachments Form - Attach the following files to this form:</b>	Form	
3A. Project Narrative File (Mandatory Other Attachment) – including Statement of Project Objectives	PDF	Narrative.pdf
<b>Other Attachments:</b>		
3B. Project Management Plan	PDF	PMP.pdf
3C. Appendix: <ul style="list-style-type: none"> <li>• Bibliography &amp; References Cited</li> <li>• Facilities &amp; Other Resources</li> <li>• Equipment</li> <li>• Multiple Principal Investigators</li> <li>• Roles of Participants</li> <li>• Third Parties Contributing to Cost Sharing</li> <li>• Identification of Potential Conflicts of Interest or Bias in Selection of Reviews</li> <li>• Current/Pending Support</li> </ul>	PDF	Appendix.pdf
3D. Project Summary/Abstract File	PDF	Summary.pdf
3E. Resume File	PDF	Bio.pdf
3F. SF 424 A Excel, Budget Information – Non-Construction Programs File	Excel	SF424A.xls or xlsx
3G. Budget Justification File (Prime Applicant)	Excel	RecipientBudgetJustification.xls or xlsx
3H. Budget for DOE Federally Funded Research and Development Center (FFRDC) Contractor, if applicable	PDF	<i>FFRDCname.pdf</i>
3I. Environmental Questionnaire	PDF	EQ.pdf

3J. Subaward SF 424 A Budget Files, if applicable	Excel	<i>Subawardeename424.xls or xlsx</i>
3K. Subaward Budget Justification, if applicable	Excel	<i>SubawardeenameBudgetJustification.xls or xlsx</i>
4. SF-LLL Disclosure of Lobbying Activities, if applicable	Form	N/A
Waiver Request- (a) Foreign Entities and (b) Performance of Work in the United States (If Applicable) – See Section VIII.J. and K.	PDF	LeadOrganization_Waiver.pdf And/or PerformanceofWork_Waiver.pdf
Indirect Rate Agreement (If Applicable) – See Section VIII.M.	PDF	RateAgreement.pdf

**D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS**

If selected for award, DOE/NNSA 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
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Representation of Limited Rights Data and Restricted Software, if applicable

**E. SUBMISSION DATES AND TIMES**

**1. Pre-application Due Date**

Pre-applications are not required.

**2. Application Due Date**

Applications **MUST** be received by **04/13/2015, not later than 11:59:59 PM Eastern Time**. Applicants are encouraged to transmit your application well before the deadline. The Grants.gov Helpdesk is available for extended periods, please check their website for the Helpdesk hours of operation. **APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

**F. INTERGOVERNMENTAL REVIEW**

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

**G. FUNDING RESTRICTIONS**

Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

**Cost Principles.** Costs must be allowable, allocable and reasonable in accordance with the applicable Federal cost principles referenced in 2 CFR part 200 as amended by 2 CFR part 910 (DOE Financial Assistance Regulation). 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 2 CFR part 200 as amended by 2 CFR part 910 (DOE Financial Assistance Regulation).

Notwithstanding the 90 day period, costs incurred prior to the date DOE selects the project are not allowable costs.

Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period.

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

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

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

APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD.

Submit electronic applications through the "Apply for Grants" function at [www.Grants.gov](http://www.Grants.gov). If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 or send an email to [support@grants.gov](mailto:support@grants.gov).

### **2. Registration Process**

#### **One Time Registration Process**

You must COMPLETE the one-time registration process (all steps) before you can submit your first application through Grants.gov (See [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)). We recommend that you start this process at **least six weeks** before the application due date. It may take 44 days or more to complete the entire process. See the Grants.gov web page for Registering as an Organization at <http://www.grants.gov/web/grants/applicants/organization-registration.html> to guide you through the process.

**IMPORTANT:** During the SAM registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called "Marketing Partner Identification Number" (MPIN). The EBIZ POC will need the MPIN to complete the Grants.gov registration process.

When you have completed the Grants.gov registration process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step.

### **3. Application Receipt Notices**

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of four e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. The titles of the four e-mails are:

- Number 1 - Grants.gov Submission Receipt Number
- Number 2 - Grants.gov Submission Validation Receipt for Application Number
- Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number
- Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number

## **Section V - APPLICATION REVIEW INFORMATION**

### **A. CRITERIA**

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

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 FOA has been submitted; and (3) the proposed project is responsive to the objectives of the FOA. Applications that fail to pass the initial review will not be forwarded for merit review and will be eliminated from further consideration.

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

Applications submitted in response to this funding opportunity will be evaluated and scored in accordance with the criteria and the corresponding weights listed with each. DOE will consider and evaluate only those applications that address the three Merit Review Criteria separately in the Project Narrative section. Each Project Narrative section is to contain a thorough discussion of the respective sub-criteria.

Applications that avoid substantial discussion of the requested information by utilization of references to other publications, project narrative appendices, and/or attachments outside the Project Narrative will be judged nonresponsive to the criterion. Referenced publications, project narrative appendices, and attachments are to be supplied to validate the discussion.

##### **Criterion 1. Scientific and Technological Merit - 50%**

- Thoroughness of the description of the proposed technology and degree to which proposed technology or methodology meets the stated objectives of the funding opportunity announcement.
- Degree to which the proposed research will make progress on existing concepts and why it is needed now relative to prior work.
- The degree to which the proposed work is based on sound scientific and engineering principles.
- Likelihood of successfully developing the proposed technology.
- Anticipated benefits of the proposed work in comparison to current commercial and emerging technologies.

##### **Criterion 2. Technical Approach and Understanding - 30%**

- Adequacy and feasibility of the Applicant's approach to achieving the funding opportunity announcement's stated objectives.
- Feasibility, appropriateness, rationale, and completeness of the proposed Statement of Project Objectives (SOP), such that there is a logical progression of work expected to lead to reduced costs for technology development.
- The adequacy and completeness of the Project Management Plan (PMP) in establishing baselines (technical scope, budget, and schedule) and in managing project performance relative to those baselines.

##### **Criterion 3. Technical and Management Capabilities - 20%**

- Credentials, capabilities, and experience of key personnel and subrecipients (if applicable) in the technology areas addressed in the application and in managing similar projects.

- Clarity and likely effectiveness of the project organization, including sub-recipients or partners, including availability of proposed personnel, facilities, and equipment to perform project tasks.

### **3. Other Selection Factors - Program Policy Factors**

The Selection Official will consider program policy factors in the selection process. These factors, while not indicators of the application's merit, e.g., technical excellence, cost, applicant's ability, etc., may be essential to the process of selecting the application(s) that, individually or collectively, will best achieve the program objectives. Program policy factors may be used by the Selection Official to select projects when such selection is deemed likely to result in a superior overall research and development portfolio (including both new and complimenting previous or existing projects).

- It may be desirable to select for award a group of projects, which represents a diversity of technical approaches and methods.
- It may be desirable to support complementary and/or duplicative efforts or projects, which, when taken together, will best achieve the research goals and objectives.
- It may be desirable to select for award different kinds and sizes of organizations in order to provide a balanced programmatic effort and a variety of different technical perspectives.
- It may be desirable, because of the type of projects envisioned, or limitations of past efforts, to select for award a group of projects with a broad or specific geographic distribution.
- It may be desirable to select a project(s) for award of less technical merit than another project(s), if such a selection will optimize use of available funds by allowing more projects to be supported while not being detrimental to the overall objectives of the program.
- It may be desirable to select for award project(s) that reduce Federal investment and maximize corporate commitment, as demonstrated by cost share levels or other resource leveraging (e.g., in-kind contributions) that exceeds 20%.
- It may be desirable to select for award project(s) that present lesser schedule, budget, and technical consequences and risks resulting from environmental factors.

The above factors will be independently considered by the Selection Official in determining the optimum mix of applications that will be selected for support. These policy factors will provide the Selection Official with the capability of developing, from the competitive funding opportunity, a broad involvement of organizations and organizational ideas, which both enhance the overall research effort and upgrade the program content to meet the goals of the DOE.

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

### **1. 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://energy.gov/management/office-management/operational-management/financial-assistance> under Financial Assistance Policy and Guidance.

### **2. Selection**

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

### **3. Discussions and Award**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 2 CFR part 200 as amended by 2 CFR part 910 (DOE Financial Assistance Regulation); and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

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

DOE anticipates notifying applicants selected for award by July 2015 and making awards in August 2015.

## **Section VI - AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES**

#### **1. Notice of Selection**

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

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

#### **2. Notice of Award**

An 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) 2 CFR part 200 as amended by 2 CFR part 910 (DOE Financial Assistance Regulation); (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 Title 2 CFR, awards made under this funding opportunity should include the government-wide Research Terms and Conditions. A new version of the Terms and Conditions based on the changes to 2 CFR 200 is not yet available. Once the Terms and Conditions become available, they will be located at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp> If an award is made under this funding opportunity before the Terms and Conditions are posted, alternative Terms and Conditions may be included in the award.

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

#### **1. Administrative Requirements**

The administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR part 200 as amended by 2 CFR part 910 (DOE Financial Assistance Regulation). (See: <http://www.eCFR.gov>).

#### **DUNS AND SAM REQUIREMENTS**

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR, Part 25 (See: <http://www.eCFR.gov>). Prime awardees must keep their data at the System for Award Management (SAM) current at <http://www.sam.gov>. SAM is the government-wide system that replaced the CCR. If you had an active registration in the CCR, you have an active registration in SAM. Subawardees at all tiers must obtain DUNS numbers and provide the DUNS to the prime awardee before the subaward can be issued.

#### **SUBAWARD AND EXECUTIVE REPORTING**

Additional administrative requirements necessary for DOE grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR, Part 170. (See: <http://www.eCFR.gov>). Prime awardees must register with the new FSRS database and report the required data on their first tier subawardees. Prime awardees must report the executive compensation for their own executives as part of their registration profile in the System for Award Management (SAM).

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

### **Foreign National Involvement**

All applicants selected for an award resulting from this FOA may be required to provide information to the Department of Energy (DOE) in order to facilitate our responsibilities associated with foreign national access to DOE sites, information, technologies, equipment, programs or personnel. Foreign national is defined as any person who was born outside the jurisdiction of the United States, is a citizen of a foreign government, and has not been naturalized under U.S. law. If the selected applicant, including subrecipients/contractors, anticipates utilizing a foreign national person in the performance of an award, the selected applicant may be responsible for providing to the DOE representative specific information of the foreign national(s) to satisfy compliance with all of the requirements for access approval. Access approval for individuals from countries identified on the U.S. Department of State list of [State Sponsors of Terrorism](#) must receive final approval authority from the Secretary of Energy before the individual can commence work.

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Terms.

The National Policy Assurances To Be Incorporated As Award Terms are located at and at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Terms.

Intellectual Property Provisions. The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at: <http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>.

Lobbying Restrictions. By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

### **Corporate Felony Conviction and Federal Tax Liability Representations**

In submitting an application in response to this FOA, the Applicant represents that:

- (1) It is not a corporation that has been convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal law within the preceding 24 months,
- (2) No officer or agent of the corporation have been convicted of a felony criminal violation for an offense arising out of actions for or on behalf of the corporation under Federal law in the past 24 months,
- (3) It is not a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations the following definitions apply:

A Corporation includes any entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations]. It includes both for-profit and non-profit organizations.

## **Statement of Substantial Involvement**

There will be substantial involvement between the DOE and the Recipient during performance of this Cooperative Agreement. The DOE Specialist and DOE Project Officer will negotiate a Statement of Substantial Involvement prior to award in which the DOE and Recipient will collaborate and share responsibility for the management of the project as further described in this section.

**Recipient's Responsibilities.** The Recipient is responsible for:

Performing the activities supported by this award in accordance with the Project Management Plan, including providing the required personnel, facilities, equipment, supplies and services;

Managing and controlling project activities in accordance with established processes and procedures to ensure tasks and subtasks are completed within the schedule and budget constraints defined by the current Project Management Plan;

Implementing an approach to identify, analyze, and respond to project risks that is commensurate with the complexity of the project;

Defining and revising approaches and plans, submitting the plans to DOE for review, and incorporating DOE comments;

Coordinating related project activities with external suppliers, including contractors, to ensure effective integration of all work elements;

Attending annual project review meetings and reporting project status;

Submitting technical reports and publically releasable documents that incorporate DOE comments; and

Presenting the project results at appropriate technical conferences or meetings as coordinated with the DOE Project Officer (number of external, non-DOE conferences/meetings will not exceed two (2) per budget period).

**DOE Responsibilities.** DOE is responsible for:

Reviewing in a timely manner project plans, including project management, testing and technology transfer plans, and recommending alternate approaches, if the plans do not address critical programmatic issues;

Participating in project management planning activities, including risk analysis, to ensure DOE's program requirements or limitations are considered in performance of the work elements;

Conducting annual project review meetings to ensure adequate progress and that the work accomplishes the program and project objectives. Recommending alternate approaches or shifting work emphasis, if needed;

Integrating and redirecting the work effort to ensure that project results address critical system and programmatic goals established by DOE Office of Fossil Energy, in coordination with the DOE Gasification Program;

Promoting and facilitating technology transfer activities, including disseminating program results through presentations and publications;  
Serving as scientific/technical liaison between awardees and other program or industry staff; and

Reviewing and concurring with ongoing technical performance to ensure that adequate progress has been obtained within the current Budget Period authorized by DOE before work can commence on subsequent Budget Periods (if applicable).

DOE has the right to intervene in the conduct or performance of project activities for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities. Suspension or termination of the cooperative agreement under §§600.162, 600.243 and 600.352 or, for awards issued after 12/26/2014, the Financial Assistance regulations contained in 2 CFR 200 which will be codified by Part IX of 2 CFR (DOE's new financial assistance regulations) does not constitute intervention in the conduct or performance of project activities.

### **C. REPORTING**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. The checklist is available at: <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Award Forms. At a minimum, DOE requires quarterly progress and financial reports, and a final comprehensive technical report.

## **Section VII - QUESTIONS/AGENCY CONTACTS**

### **A. QUESTIONS**

Questions regarding the content of the announcement must be submitted through the FedConnect portal. You must register with FedConnect to respond as an interested party to submit questions, and to view 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. 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 and comments concerning this FOA shall be submitted not later than 7 calendar days prior to the application due date. Questions submitted after that date may not allow the Government sufficient time to respond.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). DOE cannot answer these questions.

### **B. AGENCY CONTACT**

Name: Ashley Reichl  
E-mail: [Ashley.Reichl@netl.doe.gov](mailto:Ashley.Reichl@netl.doe.gov)

As stated in paragraph A, questions must be submitted through FedConnect or to grants.gov, as appropriate, and shall **not** be submitted to the Agency Contact. If questions are submitted directly to the Agency Contact, the Agency Contact will advise the interested party to submit the question via the appropriate portal and will not respond to questions via email.

## **Section VIII - OTHER INFORMATION**

### **A. MODIFICATIONS**

Notices of any modifications to this announcement will be posted on Grants.gov and 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 release of the FOA as possible to ensure you receive timely notice of any modifications or other announcements.

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

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

### **C. COMMITMENT OF PUBLIC FUNDS**

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

Funding for all awards and future budget periods are contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority.

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

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

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

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

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

Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

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

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

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

### **Program Covered Under Special Protected Data**

**Special Protected Data Statutes.** This program is covered by a special protected data statute. The provisions of the statute provide for the protection from public disclosure, for a period of up to five (5) years from the development of the information, of data that would be trade secret, or commercial or financial information that is privileged or confidential, if the information had been obtained from a non-Federal party. Generally, the provision entitled, Rights in Data Programs Covered Under Special Protected Data Statutes (Item 4 under 2 CFR 910 Appendix A to Subpart D) would apply to an award made under this announcement. This provision will identify data or categories of data first produced in the performance of the award that will be made available to the public, notwithstanding the statutory authority to withhold data from public dissemination, and will also identify data that will be recognized by the parties as protected data.

## **G. PATENT WAIVER**

### **CLASS PATENT WAIVER**

DOE intends to issue a class patent waiver to Recipients under the Program that do not obtain rights under the Bayh-Dole Act as indicated below.

It is anticipated that language similar to the following will be included in the class patent waiver regarding U.S. Competitiveness:

#### **"U. S. Competitiveness**

The Contractor agrees that any products embodying any waived invention or produced through the use of any waived invention will be manufactured substantially in the United States unless the Contractor can show to the satisfaction of the DOE that it is not commercially feasible to do so. In the event the DOE agrees to foreign manufacture, there will be a requirement that the Government's support of the technology be recognized in some appropriate manner, e.g., recoupment of the Government's investment, etc. The Contractor agrees that it will not license, assign or otherwise transfer any waived invention to any entity unless that entity agrees to these same requirements. Should the Contractor or other such entity receiving rights in the invention undergo a change in ownership amounting to a controlling interest, then the waiver, assignment, license, or other transfer of rights in the waived invention is suspended until approved in writing by the DOE".

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

Applicants not electing to participate in any class patent waiver applicable to this FOA may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this announcement, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784 see <http://www.energy.gov/gc/services/technology-transfer-and-procurement/office-assistant-general-counsel-technology-transf-1> for further information.

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

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

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

### **I. CONFERENCE SPENDING (APRIL 2013)**

The recipient shall not expend funds for the purpose of defraying the cost to the United States Government of a conference [described in subsection (c) of the Consolidated and Further Continuing Appropriations Act, 2013] that was more than \$20,000, or circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General or senior ethics official for any entity without an Inspector General, of the date, location, and number of employees attending such conference that is not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded.

### **J. FOREIGN ENTITY WAIVER REQUEST**

As set forth in Section III.A.3, all prime recipients receiving funding under this FOA must be incorporated (or otherwise formed) under the laws of a State or territory of the United States. If a foreign entity applies for funding as a prime recipient, it must designate a subsidiary or affiliate incorporated (or otherwise formed) under the laws of a State or territory of the United States to be the prime recipient.

To request a waiver for this requirement, the Applicant must submit a waiver request in the Full Application, which includes the following information: entity name, country (or state) of incorporation, description of the work to be performed by that entity, and the location where the work will be performed. If the applicant is seeking a waiver to have a foreign entity serve as the prime recipient, the applicant must explain why it is necessary to have a foreign entity serve as the prime recipient. Waiver requests should explain how the waiver would further the purposes of this FOA and otherwise serve the interests of the Department of Energy. The Contracting Officer may require additional information before considering the waiver request. Save the Waiver Request(s) in a single file titled:  
"LeadOrganization\_Waiver.pdf"

## K. PERFORMANCE OF WORK IN THE UNITED STATES WAIVER REQUEST

As set forth in Section III.D., at least 75% of the direct labor cost for the project (including subrecipient labor) shall be incurred in the United States, unless the Recipient can demonstrate to the satisfaction of the Department of Energy that the United States economic interest will be better served through a greater percentage of the work being performed outside of the United States.

To request a waiver for this requirement, the Applicant must submit a waiver request in the Full Application, which includes the following information: entity name, description of work to be performed outside the United States and the location where the work will be performed. Waiver requests should explain how the waiver would further the purposes of this FOA and otherwise serve the interests of the Department of Energy. The Contracting Officer may require additional information before considering the waiver request. Save the Waiver Request(s) in a single file titled:

"PerformanceofWork\_Waiver.pdf"

## L. REQUIREMENTS FOR SELECTED APPLICANTS

**Accounting System:** If your application is selected for negotiation toward award, you should have an accounting system that meets government standards for recording and collecting costs. See 10 CFR 600.121, 10 CFR 600.220, or 10 CFR 600.311 or for awards issued after 12/26/2014, the Financial Assistance regulations contained in 2 CFR 200 which will be codified by Part IX of 2 CFR (DOE's new financial assistance regulations) for the applicable standards. If you have not had prior government awards or a recent accounting system review, the DOE may request that the Defense Contract Audit Agency (DCAA) or an independent auditor verify that the accounting system is acceptable. A resulting cooperative agreement may contain a Term and Condition that prohibits DOE reimbursement until the system is deemed acceptable.

**Indirect Costs & Indirect Rates:** Indirect costs are an acceptable cost component of an approved budget if they are adequately supported and properly allocated. Potential Recipients and major sub-recipients proposing indirect costs will need to demonstrate that the proposed indirect (e.g., overhead, G&A) rates were developed using a methodology acceptable for Government contracting, and in accordance with applicable Federal cost principles. If a current provisional indirect rate agreement has been issued by a Federal agency, that agreement should be provided with the Application as "RateAgreement.pdf" (see the table under "Summary of Required Forms/Files in Section IV above). The Recipient and major sub-recipients may be subject to an audit/review if an approved rate agreement is not available or an indirect rate audit has not been performed within the previous twelve months.

Compliance with the resultant Reporting Requirements Checklist requires the submission of an Annual Indirect Cost Proposal and Reconciliation. Potential Recipients and sub-recipients should be aware that this requirement mandates annual indirect cost reconciliations (i.e., Annual Indirect Cost Proposal) be prepared and submitted; this proposal is due within six (6) months of the Recipient and/or sub-recipient's fiscal year end. Since the Reporting Requirements Checklist instructions do not provide a format for this proposal, a suggested format can be found at <http://www.dcaa.mil/ice.htm>. This proposal is developed using the actual, allowable costs incurred by the Recipient during each fiscal year period. This is not a project-specific proposal; it must encompass the organization's entire business base (Government and commercial), and it must incorporate the total direct and indirect costs incurred to develop the actual indirect rates for each fiscal year. Because the proposal is not project-specific, the costs to prepare the proposal should be classified as indirect costs, part of the organization's indirect pool of expenses. If DOE is not the cognizant federal agency for negotiating and approving indirect rates, an informational copy of the proposal may be requested.

**Annual Compliance Audits:** If a for-profit entity is the Prime Recipient, an annual compliance audit performed by an independent auditor may be required. For additional information, please refer to 10 C.F.R. § 600.316 or for awards issued after 12/26/2014, the Financial Assistance regulations contained in 2 CFR 200 which will be codified by Part IX of 2 CFR (DOE's new financial assistance regulations) for the applicable standards. along with for-profit audit guidance documents posted under the "Coverage of Independent Audits" heading at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>

If an educational institution, non-profit organization, or state/local government is a Prime Recipient or SubRecipient and has expended greater than \$500K of Federal funds in a respective fiscal year, then an A-133 audit is required. For additional information, please refer to OMB Circular A-133 link below.

<http://www.whitehouse.gov/sites/default/files/omb/assets/omb/circulars/a133/a133.pdf>

Applicants shall propose sufficient costs in the project budget to cover the costs associated with the annual audit.

**Notice of Potential Disclosure Under Freedom of Information Act:** Applicants are advised that identifying information regarding all applicants, including but not limited to 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.