

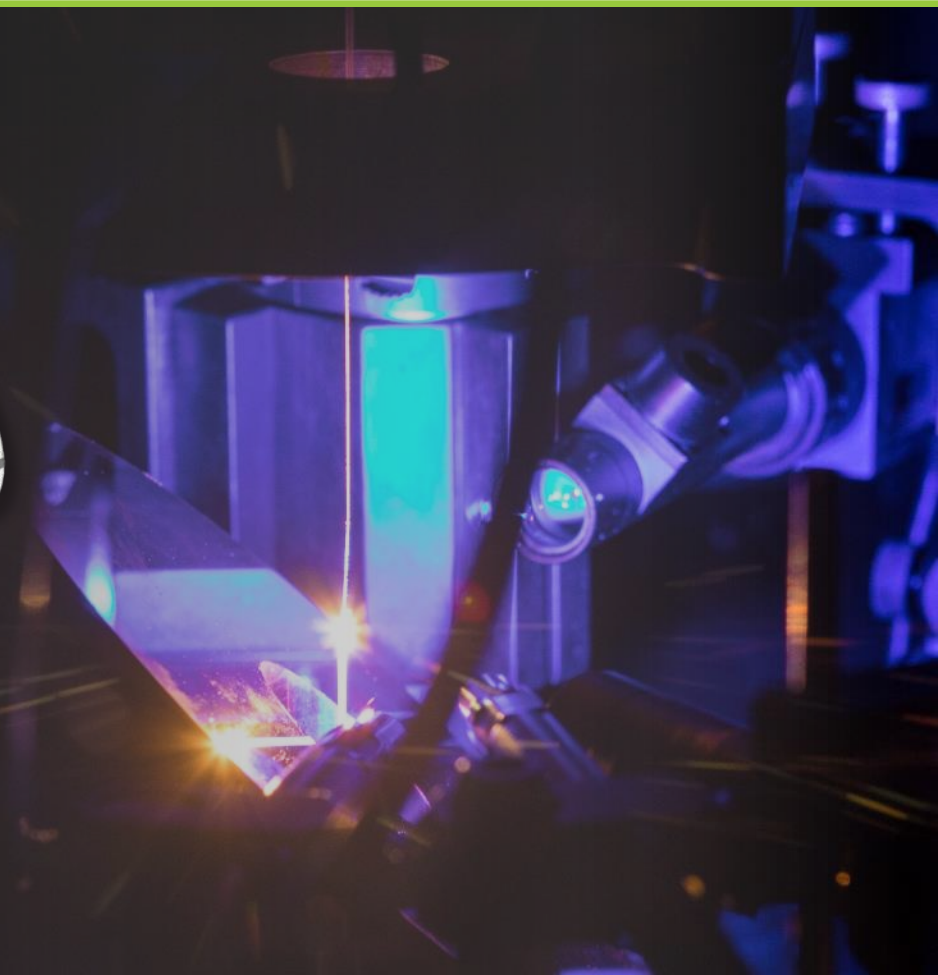
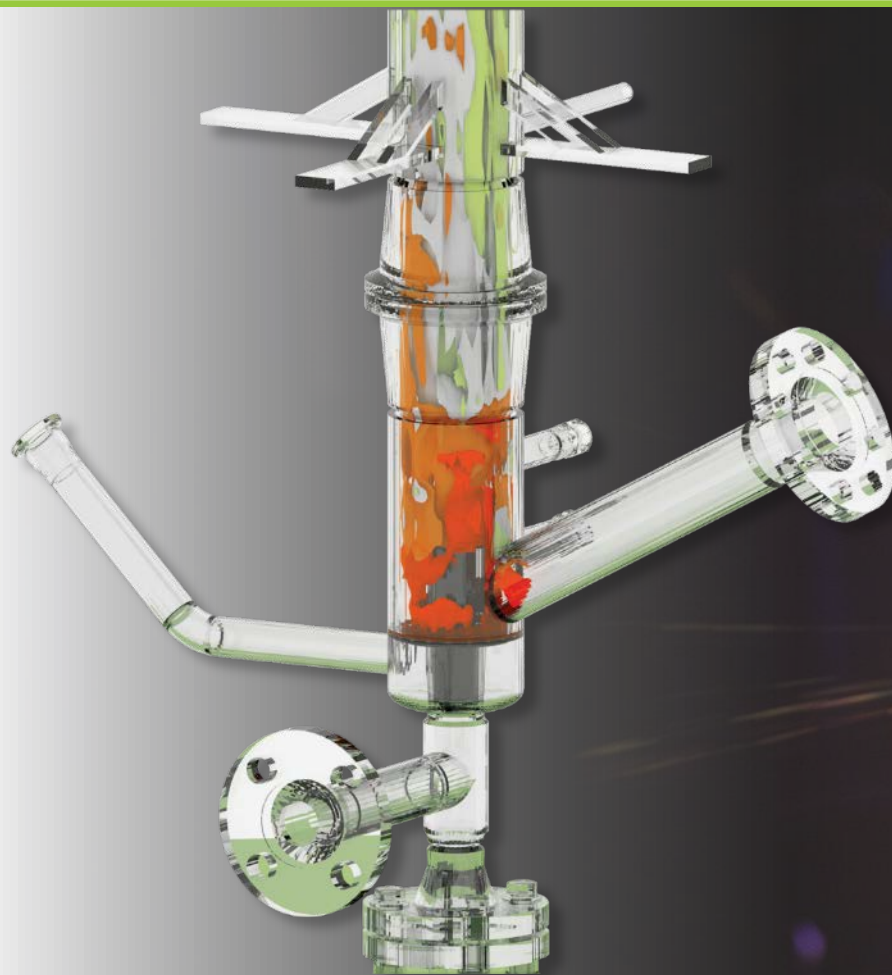
# Funding Opportunity Announcements (FOAs)

## NETL Webinar on FE's Minority Serving Institutions Program



*Sheldon Funk*

*Contract Specialist, Finance & Acquisition Center*



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- A typical FOA issued for Minority Serving Institutions (usually referred to as HBCU-OMI) tends to follow a standard format
- Some FOA sections **provide information to the applicant**
  - Who is eligible
  - How to submit
  - Contact information
- Other FOA sections **offer critical guidance on how to create a responsive application**
  - What information should be provided
  - What are the review criteria that will be used to evaluate an application?

# Typical FOA Organization

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- Funding Opportunity Description
- Award Information
- Eligibility Information
- Application and Submission Information
- Application Review Information
- Award Administration Information
- Questions/Agency Contacts
- Other Information

# Award Information

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- Type of Application
- Type of Award Instrument
  - Grant
- Estimated Funding
- Expected Number of Awards
- Anticipated Award Size
- Maximum DOE Share
- Estimated Period of Performance

- The **Principal Investigator and/or Co-Principal Investigator(s) must be teaching professors at an HBCU/OMI**. Other participants who do not hold teaching or student positions may be included in the research team.
- Applications from university-affiliated research institutions must be submitted through the college or university with which they are affiliated
- At least one student registered at the university is to receive compensation for performing research related to a grant
- The scope of work to be performed by subcontractors may not be more significant than what's to be performed by the Applicant

# Application and Submission Information



- Form and Content Requirements
- Full Applications
- Post-Selection Information Requests
- Submission Dates And Times
- Intergovernmental Review
- Other Submission And Registration Requirements
- Funding Restrictions
- Pre-Award Costs
- Pre-Award Costs Related to National Environmental Policy Act (NEPA) Requirements
- Performance of Work in the United States
- Foreign Travel
- Equipment and Supplies
- Lobbying
- Additional Application and Submission Requirements

- **Applications usually include online forms such as**
  - SF 424 – Application for Federal Assistance
  - Project/Performance Site Location(s)
  - SF-LLL Disclosure of Lobbying Activities
- **Attachments to the online forms project narrative file**
  - Project Summary / Abstract File
  - Resume File
  - SF 424A Excel, Budget Information – Non-Construction Programs File
  - Budget Justification File
  - Subaward Budget File(s)
  - Project Management Plan
  - Environmental Questionnaire



- **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 DOE Financial Assistance Forms Page** at <https://www.energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under Certifications and Assurances

# Project/Performance Site Location(s)



- Use this form to 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 using a 2-digit state code followed by a dash and a 3-digit Congressional district code. For example VA-001

# Project Summary/Abstract File

- Self-contained, one (1) page document
- Summary of the proposed activity for public dissemination
- Identifies:
  - name of the applicant
  - project director/principal investigator(s)
  - project title
  - objectives of the project
  - description of the project
  - methods to be employed
  - potential impact (i.e., benefits, outcomes)
  - major participants
- **Must not include any proprietary or business sensitive information**

- **Resumes of each key person proposed including sub-awardees and consultants are required.**
  - A key person is any individual who contributes in a substantive, measurable way to the project
- Each resume **should not exceed 2 pages** including (if applicable):
  - **Education and Training:** provide institution, major/area, degree, and year (Undergraduate, graduate, and postdoctoral training)
  - **Professional Experience:** Beginning with the current position, list in chronological order, include brief description of professional/academic positions
  - **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).
    - 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
- All resumes are saved in a single file

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



- A separate budget for each year of support requested and a cumulative budget for the total project period are usually required
- Use the SF 424A Excel, "Budget Information - Non Construction Programs" form on the DOE Financial Assistance Forms Page at <https://www.energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms> under DOE budget forms

- **Justify the costs proposed in each Object Class Category/Cost Classification category.** For example:
  - Identify key persons and personnel categories and the estimated costs for each person or category
  - Provide a list and cost of equipment
  - 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 cost for each category

# Project Management Plan

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- This plan typically includes the following sections:
  - Executive Summary
  - Risk Management
  - Milestone Log
  - Funding and Costing Profile
  - Project Timeline
  - Success Criteria at Decision Points

# Environmental Questionnaire

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- Environmental questionnaire for each geographic site where project activities will take place must be completed
- The form is located at [https://www.netl.doe.gov/sites/default/files/2018-02/451\\_1-1-3\\_0.pdf](https://www.netl.doe.gov/sites/default/files/2018-02/451_1-1-3_0.pdf)



# Application Review Information

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- Review Criteria
- Other Selection Factors
  - Program Policy Factors
- Other Review Requirements
  - Risk Assessment
  - Reporting Matters Related to Recipient Integrity and Performance
- Review and Selection Process
- Anticipated Notice of Selection and Award Dates

- **Initial Review Criteria** determine if:
  - the applicant is eligible for an award
  - the information required by the FOA has been submitted
  - the proposed project is responsive to the objectives of the FOA
- **Merit Review Criteria** to evaluate and score each application can include:
  - Scientific and Technical Merit
  - Technical Approach and Understanding
  - Applicant/Team Capabilities, Facilities, and Equipment
- Other selection factors such as program policy are sometimes considered by the Selection Official

# Review and Selection Process



- Merit Review
  - Applications that pass an initial review **will undergo a merit review**
- Selection Official Consideration
  - Selection Official can consider the **merit review recommendation, program policy factors**, and the **amount of funds available**
- Government Discussions with Applicant
  - The Government may enter into discussions with a selected applicant for any reason deemed necessary
  - **Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant**

- **Award Notices**
  - Ineligible Submissions
  - Full Application Notifications
    - Successful Applicants
    - Unsuccessful Applicants
    - Alternate Selection Determinations
    - Notice of Award
- **Administrative and National Policy Requirements**
  - Administrative Requirements
    - DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements
    - National Policy Requirements
    - Intellectual Property Provisions
  - DUNS and SAM Requirements
  - Other Requirements
- **Reporting**

- Questions
  - Questions regarding the content of the announcement **must be submitted through the FedConnect portal**
  - Questions relating to the registration process, system requirements, how an application form works, or the submittal process **must be directed to Grants.gov. DOE/NNSA cannot answer these questions**
- Agency Contact\*
  - Name/E-mail:

\* As noted above, the typical FOA will note that applicant **questions must be submitted through FedConnect or at [grants.gov](https://www.grants.gov)**, as appropriate, and shall not be submitted to the Agency Contact. **Questions submitted directly to the Agency Contact will not be answered**, but party asking the question will be advised to submit such question(s) via the appropriate portal. No response to questions via email.

# Other Information

- Modifications
- Government Right to Reject or Negotiate
- Commitment of Public Funds
- Treatment of Application Information
- Evaluation and Administration by Non-Federal Personnel
- Intellectual Property Developed Under This Program
- Notice Regarding Eligible/Ineligible Activities
- Notice of Right to Conduct a Review of Financial Capability
- Notice of Potential Disclosure Under Freedom of Information Act (FOIA)
- Requirement for Full and Complete Disclosure
- Other Information

# Two Keys to Writing Effective Applications

- **Adhere to FOA Guidance** on key submittal items such as:
  - Project Narrative
  - Statement of Project Objectives (SOPO)
  - Project Management Plan
  - Project Summary/ Abstract
- **Specifically Address Merit Review Criteria as they relate to the FOA Areas of Interest**

# Project Narrative – Address each item!

- Project Narratives Can Include:
  - Project Objectives
  - Merit Review Criterion Discussion
  - Relevance and Outcomes/Impacts
  - Roles & Responsibilities of Participants
  - Decision-making and Communication Strategy
  - Management Capabilities
  - Multiple Principal Investigators
  - Facilities And Other Resources
  - Equipment
  - Bibliography And References
  - Statement of Project Objectives (SOPO)



# Project Objectives

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- The project objective in a project narrative should provide a **clear, concise statement of the specific objectives/aims of the proposed project**

- Applications are evaluated and scored in accordance with the **merit review criteria and weights provided in the FOA**
- It is critical to **provide sufficient information** so reviewers can evaluate applications in accordance with the merit review criteria provided in the FOA
- Only applications that **address each merit review criterion and sub-criterion separately** will be considered and evaluated
- Applications that avoid substantial discussion of requested information by referring to other publications, project narrative appendices, and/or attachments outside the project narrative **can be judged as nonresponsive to the criterion.**
  - Referenced publications, project narrative appendices, and attachments are to be supplied to validate the discussion

# Relevance and Outcomes/Impacts

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- Should explain the project's relevance to the objectives in the FOA and the expected outcomes and/or impacts
- Justification for the proposed project should **include a clear statement of the importance in terms of the utility of the outcomes and the target community of beneficiaries**

# Roles & Responsibilities of Participants

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- A project narrative will often require multi-organizational or multi-investigator projects to **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

- This section provides a discussion of how communication and decision-making will occur within the context of the organizational structure, with particular **emphasis on scientific/technical direction and mechanisms for controlling project scope, cost, and schedule.**

- Provide information relevant to the capabilities and experience of the PI and project team in managing technical projects of similar nature and complexity.
  - Include examples that demonstrate the ability to successfully meet research objectives within **scope**, **budget**, and **schedule**.

# Multiple Principal Investigators

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- Project narratives can require applicants to indicate if the project will include multiple PIs
  - This decision is solely the responsibility of the applicant

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



- Project narratives may request a list of important items of equipment already available for this project
- If you are proposing to acquire equipment, **describe comparable equipment, if any, already at your organization and explain why it cannot be used**

# Bibliography and References

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- If applicable, provide a bibliography for any references cited in the Project Narrative section
- This section must include only bibliographic citations
- This section is not typically included in the page limitation of the project narrative

- Project narratives will typically specify a “not to exceed” length, e.g. “20 pages, (single spaced)”
  - This includes cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations
  - **Evaluators will review only the number of pages specified**
- There may be instructions on how to mark proprietary information in the application

# Statement of Project Objectives (SOPO)



- The project narrative will likely request a single, detailed SOPO that addresses how the project objectives will be met
- The SOPO should contain a **clear, concise description of all activities to be completed** during project performance and follow the structure discussed below
- Typically the SOPO **cannot contain proprietary or confidential business information**
- The SOPO typically will count as part of the page limitation on the project narrative for the proposed work
- The FOA may include a prescribed format for the SOPO

# Common SOPO Format

- Title of work to be performed, divided into four sections
- **Objectives**
  - One paragraph on the overall objective(s) of the work is usually sufficient
  - Objective(s) for each phase of the work should also be included
- **Scope of work**
  - The scope of work in a typical SOPO should summarize the effort and approach to achieve the objective(s) of the work for each proposed phase
  - **This section often may not exceed one-half page**
- **Tasks to be performed**
  - In a typical SOPO the proposed tasks should be provided in a concisely written, logical sequence
  - This section usually provides a brief summary of the planned approach each task and subtask (if applicable) in a format based on the task structure
  - The SOPO should be divided into the phases of the project, as appropriate
- **Deliverables**

- **Scientific and Technical Merit**

- The application is evaluated to determine the overall technical merit and quality of the proposed concept

- **Technical Approach and Understanding**

- The application can be evaluated to determine the overall quality, soundness, and reasonableness of the technical approach to fulfill the requirements of the proposed work

- **Applicant/Team Capabilities, Facilities, and Equipment**

- Applications can be evaluated in terms of the qualifications and experience of key personnel the qualifications of the participating organizations, the proposed management of the effort, and the facilities and equipment

- Scientific and Technical Merit
  - The application is **evaluated to determine the overall technical merit and quality of the proposed concept**. This can include the following:
    - The degree to which development of the proposed technology can be expected to contribute to a developmental breakthrough for the challenges described in the topic area
    - The thoroughness and relevance of the scientific, engineering, and technical information and data provided to support readiness of the proposed technology
    - The degree to which the proposed work is based on sound scientific and engineering principles

- Technical Approach and Understanding
  - The application is **evaluated to determine the overall quality, soundness, and reasonableness of the technical approach** to fulfill the requirements of the proposed work. This can include the following:
    - The likelihood that the overall approach will result in successful achievement of the objectives and deliverables described in the applicable topic area
    - The proposed approach must satisfy the requirements, goals and objectives of the applicable topic area
    - Adequacy and completeness of project risks should be identified with mitigation strategies including technical, organizational, cost share support and other risks affecting the potential for success



- Applicant/Team Capabilities, Facilities, and Equipment
  - Applications can be **evaluated in terms of the qualifications and experience of key personnel, qualifications of participating organizations, proposed management of the effort, facilities, and equipment**
  - If appropriate, emphasize the following:
    - scientific mastery of the described technology,
    - pertinent systems operations and analysis experience,
    - project management experience, and
    - demonstrated R&D experience and capabilities relevant to the proposed work.

# Typical Merit Review Criteria (cont.)



- Emphasize prior university experience in managing projects of **similar type, size and complexity**, and in successfully completing similar R&D projects
- Present the project organization showing responsibilities. Lines of authority should be clearly described and optimized to assure successful project execution.
- Discuss the **appropriateness and availability of facilities, equipment, and their relevance** to technology development and/or commercial applications as applicable

# Questions?

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CONTACT:

**Sheldon Funk**

Contract Specialist, Finance & Acquisition Center

304-285-0204

[sheldon.funk@netl.doe.gov](mailto:sheldon.funk@netl.doe.gov)

