

**FINANCIAL ASSISTANCE
ANNOUNCEMENT OF
FUNDING OPPORTUNITY**



**State Energy Program (SEP) Special Projects
Master Funding Opportunity**

DE-PS26-04NT42068-00

CFDA Number: 81.119 State Energy Program Special Projects

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**ISSUING OFFICE: U.S. DEPARTMENT OF ENERGY
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DUE DATE: See Section IV and Appendix D

Information regarding this funding opportunity is available on the Department of Energy, Industry Interactive Procurement System (IIPS) web site at: <http://e-center.doe.gov>

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SECTION I - FUNDING OPPORTUNITY DESCRIPTION

1.1 SUMMARY

The Department of Energy (DOE), National Energy Technology Laboratory (NETL) is seeking applications on behalf of the DOE Office of Energy Efficiency and Renewable Energy (EERE), for a variety of Special Projects under the State Energy Program (SEP) in accordance with 10 CFR part 420. DOE is inviting States to submit applications under the Program Category Sub-opportunities outlined in this master funding opportunity to implement specific DOE EERE deployment activities and initiatives. Funding of approximately \$16,000,000 will be available under this opportunity in fiscal year 2004. Projects may be proposed with performance periods of one year to a maximum of three years. The estimated amount of DOE funding for individual awards is set forth in Appendix D. The cost sharing requirements are outlined in each Program Category.

1.2 BACKGROUND INFORMATION

Through financial assistance awards (grants or cooperative agreements) DOE intends to provide support to States under provisions of the SEP as authorized under Public Laws (PL) 94-385, 94-619, 94-580, 101-440; the Energy Policy and Conservation Act of 1992, PL 102-486; the DOE Organization Act, PL 95-91; the Renewable Energy and Energy Efficiency Technology Competitiveness Act of 1989, PL 101-218; the National Superconductivity and Competitiveness Act of 1988, PL 100-697; the Biomass Research and Development Act of 2000, PL 106-224; the Energy Conservation and Production Act, PL 94-163, and the Hydrogen Future Act of 1996, PL 104-271. These respective statutes cover the programs participating in the SEP Special Projects. All financial assistance provided under SEP Special Projects shall comply with applicable legislation. Negotiation, award, and administration will be in accordance with DOE Financial Assistance Rules (10 CFR Part 600). A copy of 10 CFR 600 may be obtained electronically at the Electronic Code of Federal Regulations website located at http://www.access.gpo.gov/nara/cfr/cfrhtml_00/Title_10/10cfr600_00.html.

Applications must be submitted through the DOE Industry Interactive Procurement System (IIPS). Any other form of submission will not be accepted. All applications must have an IIPS Transmission Date/Time stamp no later than 8:00 PM Eastern Time on the dates specified in Provision 4.8.

DOE's obligation for performance of this funding opportunity is contingent upon the availability of appropriated funds from which financial assistance awards can be made. No legal liability on the part of DOE may arise for performance until funds are appropriated and awards are made.

1.3 OBJECTIVES

The objectives of this solicitation are: (1) To directly involve States in activities to accelerate deployment of energy efficiency and renewable energy technologies; (2) to facilitate the commercialization of emerging and underutilized technologies; and (3) to increase the responsiveness of Federally-funded technology development efforts to the needs of the marketplace. DOE will pursue these objectives by entering into grants or cooperative agreements with State Energy Offices or other agencies responsible for administering the State Energy Program pursuant to 10 CFR part 420. States are encouraged to enter teaming arrangements with industry, small business, institutions of higher education, non-profit organizations, Native American organizations, and DOE national laboratories.

States are encouraged to develop and implement their Special Projects activities in conjunction with, or in collaboration with, the State office overseeing the environment, in cases where that is a viable approach. Energy and the environment are intertwined in many ways, and DOE believes in many situations Special Projects activities will benefit from interaction with State environmental offices.

This funding opportunity consists of a Master Announcement and the Program Category Sub-opportunities listed below. Applicants should submit an application under the Program Category that best fits the majority of effort to be performed. There is no limitation on the number of different applications that may be submitted; however, a separate application must be submitted to each Program Category identified below for which the Applicant is interested in receiving an award. Each application must be complete and shall not rely upon another application for

submission of the required documents.

Category Number	Program Category and Sub-opportunity Number
01A	Clean Cities – Niche Markets / AFV Fleets: DE-PS26-04NT42068-01A
01B	Clean Cities – Refueling Infrastructure: DE-PS26-04NT42068-01B
01C	Clean Cities – School Buses: DE-PS26-04NT42068-01C
01D	Clean Cities – Coalition Support: DE-PS26-04NT42068-01D
01E	Clean Cities – Truck Idling: DE-PS26-04NT42068-01E
01F	Clean Cities – Clean Cities Ferry: DE-PS26-04NT42068-01F
01G	Clean Cities – E-85 Fueling Network: DE-PS26-04NT42068.01G
02	Industrial Technology Program: DE-PS26-04NT42068-02
03	Building Codes and Standards: DE-PS26-04NT42068-03
04	Rebuild America: DE-PS26-04NT42068-04
05	Building America: DE-PS26-04NT42068-05
06	Federal Energy Management Program: DE-PS26-04NT42068-06
07	Solar Technology Program: DE-PS26-04NT42068-07
08	State Wind Energy Support: DE-PS26-04NT42068-08
09	Distributed Energy – Regional Combined Cooling Heating and Power Applications Centers: DE-PS26-04NT42068-09
10	Biomass: DE-PS26-04NT42068-10

SECTION II - AWARD INFORMATION

2.1 TYPE OF AWARD INSTRUMENT – GRANTS OR COOPERATIVE AGREEMENTS (OCT 2003)

DOE anticipates awarding financial assistance awards in the form of grants or cooperative agreements under this announcement.

2.2 ESTIMATED FUNDING (OCT 2003)

Approximately \$16,000,000 in DOE fiscal year 2004 funds are expected to be available for new awards under this announcement.

2.3 MAXIMUM AND MINIMUM AWARD SIZE (OCT 2003)

Estimated Ceiling (i.e., the maximum amount for an individual award made under this announcement): VARIES BY PROGRAM CATEGORY -- reference Appendix D for estimated funds availability for each specific Program Category.

Estimated Floor (i.e., the minimum amount for an individual award made under this announcement): VARIES BY PROGRAM CATEGORY -- however, reference Appendix D for estimated funds availability for each specific Program Category.

SECTION III - ELIGIBILITY INFORMATION

3.1 ELIGIBLE APPLICANTS - RESTRICTED ELIGIBILITY (OCT 2003)

Pursuant to 10 CFR 600.6(b), eligibility for award is restricted to the 50 States, the District of Columbia, American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, and the US Virgin Islands. Applications must be submitted by the State Energy Office or other agency responsible for administering the State Energy Program pursuant to 10 CFR part 420, although States may work in collaboration with non-State partners. Non-State partners interested in collaborating with their respective State Energy Office must contact their respective State Energy Office. A list of State Energy Offices can be found at:

www.eere.energy.gov/buildings/state_energy/map_contacts.html.

For convenience, the term "State" in this announcement refers to all eligible Applicants.

3.2 PRE-APPLICATION TELECONFERENCE ORIENTATION (DEC 2003)

A pre-application teleconference orientation will be conducted for all potential applicants. Applicants should contact the DOE Regional Office SEP Program Manager for information regarding participation in the teleconference. This pre-application orientation will cover the administrative aspects of SEP Special Projects and a brief overview of IIPS. Prior to this pre-application teleconference orientation, all potential applicants should have registered in IIPS, utilized the IIPS practice site, and become familiar with the IIPS website. Questions to be addressed during the teleconference should be submitted through IIPS by February 10, 2004, 8:00 PM Eastern Time. Program-related questions will not be addressed at this teleconference. Additional questions asked during the teleconference will be consolidated and posted in IIPS. Following is the proposed schedule for the teleconference:

Date	States in the Following Regions	Times
Tuesday, February 24, 2004	Boston Regional Office Philadelphia Regional Office	10:00 -- 12:00 noon Eastern Time 2:00 -- 4:00 pm Eastern Time
Wednesday, February 25, 2004	Atlanta Regional Office Chicago Regional Office	10:00 -- 12:00 noon Eastern Time 1:00 -- 3:00 pm Central Time
Thursday, February 26, 2004	Denver Regional Office Seattle Regional Office	9:00 -- 11:00 am Mountain Time 12:00 -- 2:00 pm Pacific Time

3.3 COST SHARING (OCT 2003)

Cost sharing is a mandatory factor for award in some of the Program Categories. (See Appendix D and each individual Program Category for specifics regarding required cost sharing.) For those Program Categories where cost sharing is not a mandatory factor, cost sharing is encouraged. Applications should clearly identify if cost sharing is proposed. Third Party In-kind contributions (e.g., contributions of services or property; donated equipment, buildings, or land; or donated supplies by other than the Applicant or any team member), incurred as part of this project may be considered as all or part of the cost share as described under 10 CFR Part 600, Section 600.224. Foregone fee or profit by the applicant shall not be considered cost sharing under any resulting award.

Where required, cost shares are stated as percentages (i.e., 20%; 50%, etc.), and represent the part of the total cost of the project that must be provided by the recipient. For example, if the total cost of a proposed project is \$120,000 and the required cost share is 20%, the recipient will be required to provide at least \$24,000 of the cost and the Federal share would not exceed \$96,000. ("Cost share," as the term is used in this solicitation, is never based on a percentage of the Federal financial assistance.)

Funds used to meet the Applicant's cost sharing requirements must comply with 10 CFR part 600.224 and they (i) must be verifiable from the recipient's records, (ii) must be necessary and reasonable for the proper and efficient accomplishment of the project, (iii) must not be included as a contribution for any other Federally-assisted project or program, (iv) must be allowable under the applicable cost principles, and (v) must not include costs borne by other

Federal financial assistance, unless provided for by statute, or funds or contributions that have been used to meet cost sharing requirements of other Federal financial assistance.

Funds included in State SEP formula grants, whatever the source, and costs covered by SEP formula grants, including salaries of State employees, may not be used to satisfy SEP Special Projects cost share requirements. Petroleum violation escrow (PVE) funds of the Warner and EXXON types may not be used for cost shares; PVE funds of the Stripper Well and Diamond Shamrock type may be used as appropriate.

It is important that sources and amounts of cost shares be clearly specified in the application. This will facilitate evaluations of the applications and will expedite final negotiations prior to a financial assistance award for projects selected for funding, helping to avoid delays at crucial steps in the process.

(See 10 CFR sections 420.31, 420.32, and 420.33, and 10 CFR part 600.224 for more information.)

3.4 FEDERALLY FUNDED RESEARCH AND DEVELOPMENT CENTERS (FFRDC) (OCT 2003)

FFRDC applicants are not eligible for an award. A list of the FFRDC's is available at <http://www.nsf.gov/sbe/srs/ffrdc/start.htm>. However, an application that includes performance of a portion of the work by a FFRDC will be evaluated and may be considered for award. (See below).

3.5 PARTICIPATION BY FEDERALLY FUNDED RESEARCH AND DEVELOPMENT CENTER CONTRACTORS (OCT 2003)

Federally Funded Research and Development Center (FFRDC) contractors are not eligible for an award under this announcement, but they may be proposed as a team member subject to the following guidelines:

AUTHORIZATION FOR NON-DOE FFRDCS

The Federal agency sponsoring the FFRDC 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 in direct competition with the private sector.

AUTHORIZATION FOR DOE FFRDCS

The cognizant contracting officer must authorize in writing the use of a DOE 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 [] 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 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 portion of the work will not normally be included in the award to a successful applicant. Usually, DOE will fund a DOE FFRDC contractor through the DOE field work proposal system and other FFRDC entities 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 FFRDC effort, in aggregate, shall not exceed fifty (50) percent 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.

SECTION IV - APPLICATION AND SUBMISSION INFORMATION

4.1 ADDRESS TO REQUEST APPLICATION PACKAGE (OCT 2003)

This announcement includes all the information needed to complete an application.

4.2 DUNS NUMBER (JAN 2004)

All applicants must include a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number in their application. For the purpose of this requirement, the applicant is the entity that meets the eligibility criteria and has the legal authority to apply for an award. For assistance in obtaining a DUNS number at no cost to the applicant, call the DUNS Number request line at 1 866-705-5711. Be prepared to provide the following information: (1) Organization name; (2) Address; (3) Telephone number; (4) Line of business; (5) Chief executive officer/key manager; (6) Date the organization was started; (7) Number of people employed; (8) Organization affiliation. If you do not already have a DUNS number, you should obtain one as soon as you decide to submit an application.

4.3 PRE-APPLICATION – NOT REQUIRED (OCT 2003)

Pre-applications are not required by DOE.

4.4 PROGRAM AREAS OF INTEREST (OCT 2003)

This funding opportunity notice contains multiple program areas of interest identified in the funding opportunity description. Applicants are cautioned that this funding opportunity announcement is a master announcement and that each program area of interest has its own program-specific number for submission of applications. For example, Program Area of Interest 02, Industrial Technology Program, has a funding opportunity number of DE-PS26-04NT42068-02. **Applications can not be submitted under the master announcement.**

Applicants should submit their application under the program area which best fits the majority of the effort to be performed. Do not submit an identical application under more than one area of interest.

4.5 COLLABORATIVE APPLICATIONS (DEC 2003)

Where a State is proposing to serve as the lead State in collaboration with a number of other State partners, the lead State by its submission of an application certifies that it is willing and able to subgrant or otherwise provide funds as needed to its partners. Where a group of States wishes to propose a collaboration but there is no State willing or able to meet the requirements of a lead State, each State must submit a separate application, with that State's funding needs requested, clearly drafted to spell out the collaborative nature of the project, and the partners involved.

4.6 APPLICATION (OCT 2003)

Applicants must include the following files in their application (See Section IV, "Other Submission Requirements" for instructions on how to submit your application). **Note: All applications must contain the unique identifier code within the "Subject" line of their application as described in Appendix C.**

For consistency, the applicant is instructed to use the file names specified below. Filename extensions shall clearly indicate the software application used for preparation of the documents (i.e., "xxx.doc" for Word files).

MANDATORY FILES	FILENAME
Application	APPLICATION.doc
Budget	BUDGET.doc
Budget Justification	BUDGET JUSTIFICATION.doc

Project Summary/Abstract	PROJECT SUMMARY.doc
Project Narrative	PROJECT NARRATIVE.doc
Certifications/Assurances/Representations	CERTIFICATIONS.doc

ADDITIONAL FILES

Attachment 1 - Budget File for FFRDC Participant (if any)	FFRDC ATTACHMENT.doc
Attachment 2 - Letter(s) of Commitment	COMMITMENT.doc or .pdf
Attachment 3 – Statement of Project Objectives	SOPO.doc
Attachment 4 – Personnel Resources	RESOURCES.doc

Application File

Applicants must complete a SF 424 application form. Save this form as a Word file, named “APPLICATION.doc.” The SF 424, is available on the NETL homepage at:

<http://www.netl.doe.gov/business/faapiaf/app-files.html>

Budget File

Applicants must complete a DOE F 4600.4 for showing the cumulative budget for the total project period. The DOE F 4600.4 is available on the NETL homepage at:

<http://www.netl.doe.gov/business/faapiaf/app-files.html>

You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work and are not precluded by the cost principles or program funding restrictions (See Section IV). Save these budget forms in a single Word file, named “BUDGET.doc.”

BUDGET FILE FOR FFRDC PARTICIPANT, IF ANY

If a non-DOE FFRDC contractor is to perform a portion of the work, provide a separate budget for the FFRDC contractor’s work effort.

If a DOE FFRDC contractor is to perform a portion of the work, provide a DOE Field Work Proposal in accordance with the requirements in DOE Order 412.1 Work Authorization System available at <http://www.directives.doe.gov/pdfs/doe/doetext/neword/412/o4121.pdf>. All FFRDC budgets must be saved as a Word file, named “FFRDC ATTACHMENT.doc”.

Budget Justification

Budget detail is required in the format provided in Appendix B, NETL Format for Providing Budget Detail under Funding Opportunity Announcement No. DE-PS26-04NT42068.00. Failure to provide the detailed cost information as described in this format will result in an incomplete application. If a minimum cost share is required by the proposed Program Category, the applicant shall stipulate in the application the source and amount of cost sharing and the value of third party in-kind contributions proposed to meet the requirement. Additionally teaming members and subcontractors are also required to submit the detailed information with their budgets.

Justify proposed direct labor, travel, consultants, large subawards, large or unique “other direct costs”, equipment, etc.. For subawards, identify organization name, description of the scope of work, name of the project leader, and estimated total costs. The contracting officer may request a more detailed budget for a particular subaward, if your application is selected. Provide an explanation of the source, nature, amount and availability of any proposed cost sharing. Save this information in a Word file, named “BUDGET JUSTIFICATION.doc”.

Project Summary/Public Abstract

The project summary/public abstract must contain a summary of the proposed activity suitable for publication. It should be a self-contained document that identifies the name of the applicant, the principal investigator/project director, the project title, the objectives of the project, methods to be employed, the potential impact of the project (i.e., benefits, out comes), and participants (for collaborative projects). It should be informative to other persons working in the same or related fields and, insofar as possible, understandable to a scientifically or technically literate lay reader. This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary abstract must not exceed 1 page when printed using standard 8.5” by 11 paper with 1” margins (top, bottom, left and right). The type must be legible and not smaller than 11 point. The format for submission of this Project Summary can be found at <http://www.netl.doe.gov/business/faapiaf/app-files.html>. Save this information in an MS Word file, named “PROJECT SUMMARY.doc”.

Project Narrative File

This file shall include a cover page indicating the funding opportunity notice number, name and address of the Applicant, point of contact, telephone/FAX number/E-Mail address, title of project, and date of application.

NOTE: APPLICANTS MUST DOWNLOAD THE DETAILED INSTRUCTIONS FOR PREPARING THE PROJECT NARRATIVE FILE SPECIFIC TO THE PROGRAM CATEGORY FOR WHICH THEIR APPLICATION PERTAINS. THIS DETAIL IS FOUND WITHIN EACH SPECIFIC PROGRAM CATEGORY SUB-OPPORTUNITY.

The project narrative file should provide a clear description of the work to be undertaken and how you plan to accomplish it. The project narrative shall be structured in accordance with the evaluation criteria and requirements specified in each Program Category and shall include any information specifically identified to be furnished in the application.

It is requested that the project narrative not exceed ten (10) pages (excluding the cover page, Statement of Project Objectives, or letters of commitment) single-spaced, 1" margins (top, bottom, left, right), and when printed will fit on size 8 1/2" by 11" paper. The type must be legible and not smaller than 11 point. Evaluators will review only the number of pages specified.

Save this information in a Word file named “PROJECT NARRATIVE.doc”.

Certifications/Assurances/Representations File

NOTE: THIS FILE IS REQUIRED IF APPLICANT DOES NOT CURRENTLY HAVE A CERTIFICATIONS/ASSURANCES/REPRESENTATIONS PACKAGE ON FILE WITH DOE, OR, IF ANY UPDATES NEED TO BE MADE TO CURRENT ON-FILE PACKAGE.

Applicants must complete the DOE certifications/assurances/representations information. Save this information in a single Word file named “CERTIFICATIONS-ASSURANCES.doc”. The certifications/assurances/representations are available on the NETL homepage at:

<http://www.netl.doe.gov/business/faapiaf/app-files.html>

This program is not covered under Title XX through XXIII of EPACT. Applicants must complete the certifications/assurances/representations form set without the EPACT Representation.

Attachment Files

Attachment 1 - Budget File for FFRDC Participant (if any): See instructions as contained in Budget File instructions, above.

Attachment 2 - Letter(s) of Commitment:

NOTE: REFERENCE SPECIFIC PROGRAM CATEGORIES FOR ANY ADDITIONAL REQUIREMENTS FOR THE CONTENTS OF LETTERS OF COMMITMENT BEYOND THAT DESCRIBED BELOW.

Letters of commitment from cost share partners as required by Program Category, signed by an authorized official, identifying the organization, the percentage level, the amount, the source of cost sharing, and demonstrating that all aspects of the proposed project scope will be conducted as described by the Applicant. Letters of commitment may be submitted in either MS Word or PDF format. See Appendix E for a model Letter of Commitment.

NOTE: LETTERS OF COMMITMENT SUBMITTED ON COMPANY LETTERHEAD IDENTIFYING THE COMMITTING ORGANIZATION, AND CONTAINING THE TYPED SIGNATURE OF THE INDIVIDUAL AUTHORIZED TO COMMIT ON BEHALF OF THE ORGANIZATION IN THE SIGNATURE BLOCK OF THE LETTER, CONSTITUTE SUBMISSION OF ELECTRONICALLY SIGNED LETTERS.

Attachment 3 – Statement of Project Objectives (2 page limit):

The Statement of Project Objectives shall include a description of activities, by task, which is responsive to the technical requirements in each Program Category. In addition provide the following information within the 2 pages:

- a. The total estimated costs for each task;
- b. The title and number of hours for personnel proposed [both Applicant and participant(s)] by task;
- c. If total travel costs are \$30,000 or 25% of total budget (whichever is less) provide travel (including purpose) by task; and
- d. Proposed equipment over \$5,000 by task.

Attachment 4 - Personnel Resources (2 page limit): Duties for all key personnel (Applicant and participants) should be described in narrative form. Descriptions should be limited to one paragraph for each person.

4.7 MORE THAN ONE APPLICATION (JAN 2003)

You may submit more than one application. Each application must have its own unique title on the subject line (i.e., project title and principal investigator/project director, if any). For each application, you must first click on “Create Application” and then complete the information requested.

4.8 APPLICATION DUE DATE - MULTIPLE DUE DATES (OCT 2003)

Applications and amendments of applications must be received by the dates indicated below for the respective program categories, not later than 8:00 PM Eastern Time on the date specified. You are encouraged to transmit your application well before the deadline.

SUBMISSION DUE DATES	CATEGORY NUMBER
Monday, March 29, 2004	01D / 01F / 01G / 02 / 03
Wednesday, March 31, 2004	01A / 01C / 04 / 05 / 06
Friday, April 2, 2004	01B / 01E / 07 / 08 / 09 / 10

APPLICATIONS, INCLUDING APPLICATION FILES, RECEIVED AFTER THE DEADLINE, AS DEMONSTRATED BY THE IIPS DATE/TIME STAMP WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

4.9 SUBMISSIONS FROM SUCCESSFUL APPLICANTS (OCT 2003)

Successful applicants may be required to complete an Environmental Questionnaire located in the forms section of the NETL Website at www.netl.doe.gov/business/forms/new/nepafirm.pdf, if their application is selected for negotiation of an award. Those Program Categories identified in Appendix D with a “YES” in the “NEPA CX” column may not be required to submit this questionnaire. The Environmental Questionnaire is designed to provide project-specific environmental information supplied by the applicant in order for DOE to evaluate any potential impacts (positive and negative) on the environment and shall be of enough detail for the Department to meet its requirements under the National Environmental Policy Act (NEPA) in its selection of applications for negotiation of an award. If selected for negotiation, the applicant will be notified whether or not they are required to complete the Environmental Questionnaire.

Applicants are restricted from taking any irreversible action prior to DOE reaching a final NEPA decision regarding the proposed project. Irreversible actions include demolition of existing buildings, site clearing, ground breaking, construction, and/or detailed design. This restriction, however, does not preclude the applicant from developing plans, preliminary designs, or performing other necessary support work prior to DOE reaching its final NEPA decision, provided the work has been authorized by DOE.

4.10 INTERGOVERNMENTAL REVIEW - NONE (OCT 2003)

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

4.11 FUNDING RESTRICTIONS (OCT 2003)

COST PRINCIPLES

Cost must be allowable in accordance with the applicable cost principles referenced in 10 CFR Part 600.

PRE-AWARD COSTS

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.

4.12 OTHER SUBMISSION REQUIREMENTS (OCT 2003)

ELECTRONIC SUBMISSION

Applications must be submitted through the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Instructions on how to submit an application or an application amendment and how to register, submit questions, and view questions and answers are located on the web site at <http://e-center.doe.gov>, click on the “Help” button and click on “Frequently Asked Questions”.

Prepare all the required files in accordance with the instructions in this announcement prior to starting the transmission process. Submit the entire application package in one IIPS session (i.e., do not logoff before all the files are submitted).

When you are ready to submit your application, go to <http://e-center.doe.gov> and complete the IIPS cover page. Enter the project title and the principal investigator/project director, if any, in the “Subject” block. Then attach each file in the corresponding block in accordance with the IIPS guidance. Follow the instructions for submitting the application.

If you have any problems accessing information or submitting your application, contact the Help Desk at 1 800-683-0751 and select option 1, or send an email to HelpDesk@pr.doe.gov. **ONLY APPLICATIONS SUBMITTED THROUGH IIPS WILL BE CONSIDERED FOR AWARD.**

ELECTRONIC SIGNATURE

Applications submitted through IIPS constitute submission of electronically signed applications. The name of the authorized organizational representative (i.e., the administrative official, who, on behalf of the proposing organization, is authorized to make certifications and assurances or to commit the applicant to the conduct of a project) must be typed in the signature block on the form to be accepted as an electronic signature. Do not submit a scanned copy of the signed document.

IIPS REGISTRATION

In order to submit an application, you must be authorized by the applicant to submit an application on its behalf and you must register in IIPS. You are encouraged to register as soon as possible. You only have to register once to apply for any DOE award. To register go to <http://e-center.gov> and follow the registration instructions.

SECTION V - APPLICATION REVIEW INFORMATION

5.1 COMPLIANCE REVIEW CRITERIA (DEC 2003)

A compliance review will be performed to check the application package for its compliance with forms and page limits, and its responsiveness to the requirements of the solicitation. If an application doesn't meet all of the compliance review requirements below, it will be deemed non-responsive and will not be further reviewed. Applicants will be notified in writing of this determination. The compliance review will be performed to determine if the:

- (1) Application is submitted in IIPS.
- (2) Application is submitted within the appropriate Program Category.
- (3) Application is submitted as MS Word file attachments (all files must be MS Word, with the exception of Letters of Commitment which may be either MS Word or PDF format).
- (4) Application is complete. This review will include verifying that all the information required by the funding opportunity is included in the application.
- (5) Applicant is a State Energy Office or other agency responsible for administering the State Energy Program pursuant to 10 CFR part 420.
- (6) Applicant's proposed cost share meets the requirements of the Program Category.

Failure to comply with any of the above requirements will deem the application non-responsive and will not be considered for comprehensive evaluation.

5.2 COMPREHENSIVE MERIT REVIEW CRITERIA (DEC 2003)

All timely applications that fulfill the minimum application requirements, as determined under the compliance review criteria, will be eligible for comprehensive evaluation. Applications submitted in response to this funding opportunity will be evaluated and scored in accordance with the criteria listed in each Program Category.

Comprehensive evaluation of applications will be performed in accordance with 10 CFR Part 600.13 as implemented by the Office of the Assistant Secretary for Energy Efficiency and Renewable Energy in procedures published in the Federal Register on December 20, 2001. In evaluating applications, DOE reserves the right to use any assistance deemed advisable, in accordance with applicable regulations, including qualified personnel from other Federal agencies, other Government entities, universities, industry, and DOE contractors. These individuals will be required to protect the confidentiality of any specifically identified trade secrets and/or privileged or confidential commercial or financial information obtained as a result of their participation in this evaluation. Information contained in the applications shall be treated in accordance with the policies and procedures set forth in 10 CFR Part 600.15. Submission of an application constitutes consent to the DOE's use of outside evaluators.

DOE reserves the right to provide Financial Assistance to all, none, or certain parts of the application(s) submitted in response to this solicitation. All Applicants will be notified in writing of the action taken on their applications. Applicants should allow at least 90 days after the closing date for DOE's evaluation. The status of any application during the evaluation and selection process will not be discussed with Applicant(s).

5.3 OTHER SELECTION FACTORS (OCT 2003)

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. Such factors are often beyond the control of the Applicant. Applicants should recognize that some very good applications may not receive an award because they do not fit within a mix of projects which, as a whole, meets the goals of the issuing Program Office and is consistent with DOE's and EERE's mission. Therefore, the following Program Policy Factors may be used by the Selection Official to assist in determining which of the ranked application(s) shall receive DOE funding support.

- (1) The desire to select a mix of projects which achieves the strategic goals of EERE;
- (2) The desire to select projects which maximize the significance of the projects in meeting gaps in specific EERE end-use sectors or technology areas;
- (3) The desire to select projects which produce a diverse portfolio of projects and or methodologies;
- (4) The desire to select projects which maximize the geographic diversity (considering past awards and current applications); and
- (5) The desire to select projects which maximize the availability of funds.

The above factors will be independently considered by the Selection Official in determining the optimum mix of applications that will be selected for support.

5.4 REVIEW AND SELECTION PROCESS (OCT 2003)

MERIT REVIEW

Applications that pass the compliance review will be subjected to a merit review in accordance with the Office of Energy Efficiency and Renewable Energy merit review procedures which were published in the Federal Register on December 20, 2001 (Vol. 66, No. 245).

SELECTION

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

DISCUSSIONS AND AWARD

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

5.5 ANTICIPATED ANNOUNCEMENT AND AWARD DATES – MULTIPLE DUE DATES (OCT 2003)

It is anticipated that selection and awards of financial assistance resulting from this announcement will be made this fiscal year. Awards are expected to be made within 90 calendar days following the selection.

SECTION VI - AWARD ADMINISTRATION INFORMATION

6.1 AWARD NOTICES (OCT 2003)

NOTICE OF SELECTION

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Section IV 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. Unsuccessful applicants shall be notified in accordance with 10 CFR 600.19.

NOTICE OF AWARD

A Notice of Financial Assistance Award issued by the contracting officer is the authorizing award document. It includes, either as an attachment or by reference: (1) a budget that indicates the amounts, by categories of expenses, on which the agency has based its support; (2) the application; (3) applicable program regulations, if any; (4) special terms and conditions; (5) DOE assistance regulations at 10 CFR part 600, or, for Federal Demonstration Partnership (FDP) institutions, the FDP terms and conditions; and (6) a reporting checklist, which identifies the reporting requirements.

6.2 ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS (OCT 2003)

The administrative requirements and national policy requirements (e.g., "generally applicable requirements") for DOE grants and cooperative agreements are contained in 10 CFR Part 600, except for grants made to Federal Demonstration Partnership (FDP) institutions. The FDP terms and conditions and DOE FDP agency specific terms and conditions are located on the National Science Foundation web site at www.nsf.gov. "Generally applicable requirements" are defined in 10 CFR 600.12.

6.3 LOBBYING RESTRICTION (INTERIOR ACT, 2003) (ENERGY AND WATER ACT, 2003) (JULY 2003)

The awardee agrees that none of the funds obligated on this award shall be made available for any activity or the publication or distribution of literature that in any way tends to promote public support or opposition to any legislative proposal on which Congressional action is not complete. This restriction is in addition to those prescribed elsewhere in statute and regulation.

A copy of the DOE "Lobbying Brochure" which provides a summary of the statutory and regulatory restrictions regarding lobbying activities for Federal contractors can be found at

<http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/Procurement/Lobbying+Brochure?OpenDocument>

6.4 NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS (JULY 2003)

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

6.5 REPORTING (NOV 1998)

Failure to comply with the reporting requirements contained in this award will be considered a material noncompliance with the terms of the award. Noncompliance may result in a withholding of future payments, suspension or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or of unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.

6.6 ENVIRONMENTAL, SAFETY & HEALTH (OCT 2003)

The recipient must comply with applicable Federal, State, and local environmental, safety and health laws and regulations for work performed under this award.

6.7 NOTICE REGARDING UNALLOWABLE COSTS AND LOBBYING ACTIVITIES (NOV 1998)

Recipients of financial assistance are cautioned to carefully review the allowable cost and other provisions applicable to expenditures under their particular award instruments. If financial assistance funds are spent for purposes or in amounts inconsistent with the allowable cost or any other provisions governing expenditures in an award instrument, the government may pursue a number of remedies against the Recipient, including in appropriate circumstances, recovery of such funds, termination of the award, suspension or debarment of the Recipient from future awards, and criminal prosecution for false statements.

Particular care should be taken by the Recipient to comply with the provisions prohibiting the expenditure of funds for lobbying and related activities. Financial assistance awards may be used to describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not to encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

6.8 REPORTING REQUIREMENTS (OCT 2003)

The Reporting Requirements shall be in accordance with 10 CFR Part 420.5.

SECTION VII - AGENCY CONTACTS

7.1 QUESTIONS (DEC 2003)

ALL QUESTIONS MUST BE SUBMITTED THROUGH THE "SUBMIT QUESTION" FEATURE IN IIPS. ALL QUESTIONS MUST BE SUBMITTED TO THE MASTER FUNDING OPPORTUNITY ANNOUNCEMENT.

All requests for explanation or interpretation of any part of the Funding Opportunity Announcement must be submitted through the "Submit Question" feature in IIPS. IN ORDER TO MAINTAIN CONSISTENCY AND EASE IN FINDING QUESTIONS AND ANSWERS, ALL QUESTIONS MUST BE SUBMITTED TO THE MASTER SOLICITATION. DOE reserves the right to not answer any questions submitted under specific topic areas. Once a question is submitted, it cannot be edited. Questions submitted as well as the government's response to these questions may be viewed by using the "View Questions" feature in IIPS. The Government reserves the right not to respond to questions submitted by telephone, E-mail or in person at any time. The deadline for submission of questions is March 22, 2004.

Questions regarding the content of the announcement should be submitted through the "Submit Question" feature of the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Locate the announcement on IIPS and then click on the "Submit Question" button. Enter required information. You will receive an electronic notification that your question has been answered. DOE will try to respond to a question within 3 days, unless a similar question and answer have already been posted on the website.

Responses to questions may be viewed through the "View Questions" feature, button. If no questions have been answered, a statement to that effect will appear. You should periodically check "View Questions" for new questions and answers.

Questions regarding how to submit questions or view responses can be e-mailed to the IIPS HELP Desk at helpdesk@pr.doe.gov or by calling 1 (800) 683-0751.

SECTION VIII - OTHER INFORMATION

8.1 MODIFICATIONS (OCT 2003)

Notices of any modifications to this announcement will be posted on the DOE Industry Interactive Procurement System (IIPS).

If you register in IIPS, you may “Join the Mailing List” to receive an email when a modification or an announcement message is posted. To view modifications and announcement messages, locate the announcement on IIPS and click on the yellow folder next to the announcement number.

8.2 GOVERNMENT RIGHT TO REJECT OR NEGOTIATE (OCT 2003)

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.

8.3 COMMITMENT OF PUBLIC FUNDS (OCT 2003)

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.

8.4 PROPRIETARY APPLICATION INFORMATION (OCT 2003)

An application may include data, including trade secrets and/or privileged or confidential commercial or financial information which the applicant does not want disclosed to the public or used for any purpose other than evaluation of the application (See 10 CFR 600.15). The use and disclosure of such data may be restricted, provided the applicant marks the cover sheet of the application with the following legend and specifies the pages of the application which are to be restricted:

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

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

“Use or disclosure of the data set forth above is subject to the restriction on the cover page of this application.”

8.5 EVALUATION BY NON-FEDERAL REVIEWERS (OCT 2003)

In conducting the merit review evaluation, the Government plans to use qualified non Federal personnel (e.g., DOE management and operating contractors, universities personnel, or other scientific/technical experts) as reviewers or advisors. The applicant, by submitting its application, consents to the use of non-Federal reviewers. Non-Federal reviewers will be required to sign a Conflict-of-Interest/Non-Disclosure Certificate prior to reviewing any application.

8.6 APPLICANT'S PAST PERFORMANCE (DEC 2003)

DOE reserves the right to solicit, from available sources, relevant information concerning an Applicant's and its major Participants' past performance, including timely submission of any previously requested documents, and will consider such information in its evaluation.

8.7 SUB-AWARDS TO DEBARRED AND SUSPENDED PARTIES (DEC 2003)

Applicants and participants, at any tier, must not make any subaward or permit any subaward to any party which is debarred, suspended, or is otherwise excluded from or ineligible for participation in Federal Assistance programs under Executive Order 12549, "Debarment and Suspension" or is otherwise ineligible hereunder. The list of parties excluded from Federal procurement and non-procurement programs can be accessed through the Excluded Parties List System (EPLS) at <http://epls.arnet.gov>

8.8 LIST OF APPENDICES (DEC 2003)

Appendix A – Definitions

Appendix B – NETL Format for Providing Budget Detail under Funding Opportunity Announcement
No. DE-PS26-04NT42068

Appendix C – Application Identification

Appendix D – Program Category Matrix

Appendix E – Model Commitment Letter

APPENDIX A - DEFINITIONS

"**Amendment**" means a revision to the funding opportunity.

"**Applicant**" means the legal entity submitting the application as described in Provision 3.1. This entity may be one State or a single State representing a group of States that has chosen to submit a single application in response to the funding opportunity.

"**Application**" means the documentation submitted in response to the funding opportunity.

"**Award**" means the written documentation executed by a DOE Contracting Officer, after an applicant is selected, which contains the negotiated terms and conditions for providing financial assistance to the applicant. A financial assistance award may be either a grant or a cooperative agreement.

"**Budget**" means the cost expenditure plan submitted in the application, including both the DOE contribution and the applicant cost share.

"**Budget Period**" means an interval of time, specified in the award, into which a project is divided for budgeting purposes.

"**Collaborative**" means the group of States that have chosen to submit a single application in response to the funding opportunity.

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

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

"**Cost Sharing**" means the respective share of total project costs required to be contributed by the applicant and by DOE. The required percentage of applicant cost share is to be applied to the total project cost (i.e., the sum of applicant plus DOE cost shares) rather than to the DOE contribution alone.

"**Financial Assistance**" means the transfer of money or property to an applicant or participant to accomplish a public purpose of support authorized by Federal statute through grants or cooperative agreements and subawards. In DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

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

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

"**Key Personnel**" means the individuals who will have significant roles in planning and implementation of the proposed project on the part of the applicant and participants, including FFRDC's.

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

"**Participant**", for purposes of this funding opportunity and Program Category opportunities only, means any entity, except the applicant substantially involved in a consortium, or other business arrangement (including all parties to the application at any tier), responding to the announcement or Program Category opportunity.

"Program Policy Factors" are factors that, while not appropriate indicators of the application's merit, are essential to the process of choosing which applications will best achieve the program objectives. For example, program policy factors may reflect the desirability of selecting projects based on geographic distribution, diverse approaches, or complementary efforts.

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

"Project Period" means the total period of time indicated in an award during which DOE expects to provide support contingent upon satisfactory progress and available funds. A project period may consist of one or more budget periods and may be extended by DOE.

"Recipient" means the organization, individual, or other entity that receives a Financial Assistance award from DOE and is financially accountable for the use of any DOE funds or property provided for the performance of the project, and is legally responsible for carrying out the terms and conditions of the award.

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

"Selection Official" means the DOE official designated to select applications for negotiation toward award under a subject solicitation.

"Substantial Involvement" means involvement on the part of the government. DOE's involvement may include: shared responsibility for the performance of the project; providing technical assistance or guidance which the applicant is required to follow; and the right to intervene in the conduct or performance of the project. Such involvement will be negotiated with each applicant prior to signing any agreement.

"Third Party In-kind contributions" mean property or services which benefit a Federally-assisted project or program and which are contributed by non-Federal third parties without charge to the grantee, or a cost-type contractor under the grant agreement.

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

(12/2003)

**APPENDIX B
U.S. DEPARTMENT OF ENERGY
NETL FORMAT FOR PROVIDING BUDGET DETAIL
UNDER FUNDING OPPORTUNITY ANNOUNCEMENT NO. DE-PS26-04NT42068**



**BUDGET EXPLANATION AND OTHER REQUIREMENTS FOR
FINANCIAL ASSISTANCE AWARDS TO
STATE AND LOCAL GOVERNMENTS**

Applicant: _____ Budget Period – _____ To: _____
From: _____
Award/Proposal _____ Amendment _____
Number: _____ Number: _____

ALL INFORMATION REQUESTED ON THIS FORM MUST BE PROVIDED IN THE FORMAT AND SPACES PROVIDED UNDER EACH CATEGORY. IF ADDITIONAL SPACE IS NEEDED, APPLICANT MUST ATTACH A SEPARATE PIECE OF PAPER CONTAINING ADDITIONAL INFORMATION IN THE SAME FORMAT.

THE BUDGET MUST INCLUDE TOTAL PROJECT COSTS [DOE REQUESTED FUNDS PLUS APPLICANT AND THIRD PARTY PARTICIPANT (TEAM MEMBER(S)) COST SHARE AMOUNT]. The purpose of this form is to explain and justify all project costs identified on the DOE F 4600.4, including Federal (DOE), Non-Federal (State/Applicant), and all cost share amounts, such as third party cost share. In addition, each sub-participant should fill out one NETL Budget Detail Form that includes details on all 4600.4 budget items that would be expended and recorded through their budget offices or be directly attributed to their organization through in-kind services. NETL Budget Detail forms are not required at a sub-sub recipient level.

1. BUDGET INFORMATION

LIST ONLY THE APPLICANT’S PORTION OF COSTS IN ALL SECTIONS EXCEPT FOR SECTION 1.f., WHICH SHOULD INCLUDE ALL COSTS FROM OTHER (NON-APPLICANT RECIPIENT) PERSONNEL

- a. PERSONNEL** - List costs solely for employees of the Applicant. All other Participant (third party) personnel costs must be included under the Contractual (Item 1.f. below and on form DOE F 4600.4, Section B, line 6.f. Contractual)

Identify positions to be supported under the proposed award. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the amounts of time (i.e., hours) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., labor distribution report, technical estimate, state civil service rates, etc.).

<u>Title/Group</u>	<u>Time</u>	X	<u>Pay Rate</u>	=	<u>(Total Compensation)</u>	<u>Rate Basis</u>
	0		\$0.00		\$0.00	
	0		\$0.00		\$0.00	
	0		\$0.00		\$0.00	
	0		\$0.00		\$0.00	
	0		\$0.00		\$0.00	
	0		\$0.00		\$0.00	
Total Compensation:					\$0.00	

b. **FRINGE BENEFITS** - A Federal Fringe Benefit Rate Agreement or proposal is required. Please check one of the boxes below.

- An approved Federal fringe benefit rate agreement has been previously submitted to DOE.
- An approved Federal Fringe Benefit rate agreement is in effect or pending and has not previously been submitted to DOE. A copy is attached which identifies the Federal agency point of contact.
- A current Federal fringe rate agreement is not in effect or pending. Attached is a rate proposal which includes the following:
A list of the current total yearly benefit accounts and costs that comprises total fringe benefits.
An explanation of the base used and the amount applied to develop the fringe rate.

<u>Title/Group</u>	<u>Total Compensation</u>	X	<u>Fringe Benefit Rate</u>	=	<u>Total Fringe Benefits</u>
	\$0.00		0.00		\$0.00
	\$0.00		0.00		\$0.00
	\$0.00		0.00		\$0.00
	\$0.00		0.00		\$0.00
	\$0.00		0.00		\$0.00
	\$0.00		0.00		\$0.00
Total Fringe Benefits:					\$0.00

c. **TRAVEL** - Identify total Foreign and Domestic Travel as separate items.

1. Are travel costs governed by organizational travel policies? Yes No
If no, provide basis for estimating costs.

2. For all travel provide information below. (Example: conferences, DOE sponsored meetings, project mgmt, etc.)

<u>Purpose of Travel</u>	<u>Estimated No. of Trips</u>	<u>Estimated Cost Per Trip</u>
	1	\$0.00
	1	\$0.00

1	\$0.00
1	\$0.00
1	\$0.00

Total Travel: \$0.00

- d. **EQUIPMENT** - Generally defined as an item with an acquisition cost in excess of \$5,000 and a useful life expectancy of more than one year. Further definitions can be found at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html

List the proposed equipment below and briefly justify its need as it applies to the Statement of Project Objectives.

<u>Equipment Item</u>	<u>Est. Unit Cost</u>	<u>Number of Units</u>	<u>Basis of Cost</u>	<u>Justification of Need</u>
	\$0.00	1		
	\$0.00	1		
	\$0.00	1		
	\$0.00	1		
	\$0.00	1		
	\$0.00	1		
Total Equipment Cost:	\$0.00			

- e. **SUPPLIES** - Generally defined is an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Further definitions can be found at http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html

Provide the information below for supplies that total \$25,000 or are greater than 20% of total costs for the project, whichever is less. (Basis of cost -- vendor quotes, prior purchases of similar or like items, published price list, etc.).

<u>General Category of Supplies</u>	<u>Cost</u>	<u>Basis of Cost</u>	<u>Justification of Need</u>
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		
Total Supplies:	\$0.00		

- f. **CONTRACTUAL** - Section 600.236 sets forth standards for use by recipients in establishing procedures for the procurement of supplies and other expendable property, equipment, real property and other services with Federal funds.

List all Participant [subcontract(s), sub-grant(s), and consultant(s)] costs including their cost share. Do not list vendors that provide goods and services. Go to the following website for further information: http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html

<u>Participant Name</u>	<u>Total Cost</u>	<u>Cost Share</u>	<u>Short Work Description</u>
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		
Total Contractual:	\$0.00		

- a. For each Participant with a total estimated cost (including cost share) in excess of \$50,000, or 20% of total costs (whichever is less), provide (i) a Statement of Work, (ii) a DOE F 4600.4 Federal Assistance Budget Information, and (iii) a completed NETL Budget Detail form.
 - b. Provide a sole source justification for any Participant not competitively selected with estimated project costs over \$100,000.
 - c. For support for which a Participant has not been identified, provide a scope of work and basis of cost estimate.
- g. CONSTRUCTION** - Construction, for the purpose of budgeting, means all types of work done on a particular building, including erecting, altering, or remodeling.

1. Identify the proposed construction costs, identifying the Participant to perform the construction.

<u>Participant Name</u>	<u>Total Cost</u>	<u>Cost Share</u>	<u>Short Work Description</u>
	\$0.00		
	\$0.00		
	\$0.00		
Total Construction:	\$0.00		

- 2. For each selected participant, provide (i) a Statement of Objectives, (ii) either a cost proposal or a completed NETL Budget Detail form and (iii) a DOE F 4600.4 Federal Assistance Budget Information.
 - 3. Provide a sole source justification for any Participant not competitively selected with estimated project costs over \$100,000.
 - 4. For support for which a Participant has not been selected, provide a scope of work and basis of cost estimate.
- h. OTHER DIRECT COSTS** - Other direct costs are items that cannot be properly included in the above categories.

Provide the information below for other direct costs that total \$25,000 or are greater than 20% of total costs for the project, whichever is less. (Basis of cost -- vendor quotes, prior purchases of similar or like items, published price list, etc.).

<u>General Description</u>	<u>Cost</u>	<u>Basis of Cost</u>	<u>Justification of Need</u>
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		
Total ODCs:	\$0.00		

i. **INDIRECT COSTS** - A Federal Indirect Rate Agreement or proposal is required. Please check one of the boxes below.

- A Federal-approved indirect cost rate agreement has been submitted to the DOE.
- An approved Federal indirect cost rate agreement is in effect or pending and has not previously been submitted to DOE. A copy is attached which identifies the Federal agency point of contact.
- A current Federal approved indirect cost rate agreement is not in effect or pending. An indirect cost rate proposal is attached which includes the following:

List the accounts and amounts that comprise the total direct and indirect costs.

- a. Explain each base used and amount applied to develop each indirect rate per pool.
- b. Calculate the Indirect Rate(s) and enter the total amount in Section B, line 6.j. Indirect Charges on Form DOE F 4600.4.

<u>Indirect Cost Description</u>	<u>Cost</u>	<u>Basis of Cost</u>	<u>Justification of Need</u>
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		
Total Indirect Costs:	\$0.00		

2. ADDITIONAL INFORMATION

a. COST SHARE

- 1. Identify the amount of cost sharing proposed by the Applicant and each Participant and the total

amount as a percent of the total cost of the project. Cost sharing from other Federal sources cannot be counted as non-Federal Recipient contributions. Formula grant funding may not be used to satisfy cost share requirements. Non-Federal sources include private, state or local Government, or any sources that were not originally derived from Federal funds.

<u>Organization</u>	<u>Item</u>	<u>Amount</u>	<u>Type (cash, in-kind, etc.)</u>
		\$0.00	
		\$0.00	
		\$0.00	
		\$0.00	
		\$0.00	
Total Project Cost:	\$0.00	Cost Share Amount:	\$0.00
	_____		Cost Share Percent: _____

- For each cost share contribution identified as an in-kind contribution, please describe how the value of the in-kind contribution was derived.

APPENDIX C – APPLICATION IDENTIFICATION

For each application, an Applicant must first click on “Create Proposal” and then complete the information requested. In order for DOE to accurately identify each application, Applicants must enter the unique project title and the unique identification code in the “subject” line when submitting an application.

In the event that two or more applications are received from the same Applicant with the same unique project title and unique identification code, only the Application with the latest transmission time stamp will be considered for review. The unique identification code consists of the following 7 characters. Each segment is separated by a dash.

1 (Table B-1) – 2 (Table B-2) – 3 (Two digit sequential number) – 4 (2 letter State identifier)

- 1 – Single letter code designating the applicable cognizant Regional Office (Table B-1)
- 2 – Code designating the Program Category (Table B-2)
- 3 – Two digit sequential number designating the application within that Program Category (Each sequence within each Program Category will start with “01”)
- 4 – Two letter code of the State

For example, B-IT-06-MA would be the sixth Industries of the Future application submitted by the State of Massachusetts to the Boston Regional Office.

Table B-1

Code	Regional Office	Code	Regional Office
A	Atlanta Regional Office	D	Denver Regional Office
B	Boston Regional Office	P	Philadelphia Regional Office
C	Chicago Regional Office	S	Seattle Regional Office

Table B-2

Code	Program Category	Code	Program Category
CCNM	Clean Cities – Niche Markets / AFV Fleets	CS	Building Codes and Standards
CCSB	Clean Cities – School Buses	RA	Rebuild America
CCTI	Clean Cities – Truck Idling	BA	Building America
CCRI	Clean Cities – Refueling Infrastructure	FE	FEMP
CCCS	Clean Cities – Coalition Support	ST	Solar Technology Program
CCCCF	Clean Cities – Clean Cities Ferry	WE	State Wind Energy Support
CCFN	Clean Cities – Clean Cities E-85 Fueling Network	DE	Distributed Energy
IT	Industrial Technology Program	BP	Biomass

Program Category	Solicit Sub-Section	Funds Avail. (\$000)	Est. No. of Awards	Cost Share %	Cost Share (Notes)	Due Date (2004)	Maximum Award Per Application (\$000)	Eligibility Requirements	NEPA CX *	Links
Clean Cities – Niche Markets /AFV Fleets	01A	1,500	7 - 15	30% of the incremental cost of the AFVs		March 31	100 light duty veh.. 200 med & heavy-duty vehicles	Designated Clean Cities partnership	YES	
Clean Cities – Refueling Infrastructure	01B	1,800	7 - 12	30%	50% of non-Federal cost share in cash	April 2	150/project 250/cluster	Designated Clean Cities partnership	NO	
Clean Cities – School Buses	01C	750	3 - 4	20%	20% of non-Federal cost share in cash	March 31	100 to 200 per project	Designated Clean Cities partnership	NO	http://www.ccities.doe.gov
Clean Cities – Coalition Support	01D	600	30	50%	50% of non-Federal cost share in cash	March 29	20 to 25/project	Designated Clean Cities partnership	YES	
Clean Cities – Truck Idling	01E	200	2	50%	30% of non-Federal cost share in cash	April 2	100 per project	Designated Clean Cities partnership	YES	
Clean Cities Ferry	01F	150	1	50%		March 29	150 per project	Designated Clean Cities partnership	YES	
Clean Cities E-85 Fueling Network	01G	110	1	None		March 29	1	Designated Clean Cities partnership	NO	
Industries of the Future	02	1,000 - 2,000	7 - 15	30% required		March 29	100 - 150/project	N/A	YES	http://www.eere.energy.gov/
Building Codes & Standards	03	1,650	9 - 15	25% is required	Higher level cost share is encouraged	March 29	200/state/project	N/A	YES	
Rebuild America	04	3,000	30	20% required	Higher level of cost sharing is encouraged.	March 31	100/project	N/A	YES	http://www.rebuild.org
Building America	05	300	6	20%	50% cost share is encouraged.	March 31	100/project	N/A	YES	http://www.eere.energy.gov/buildings/building_america/

Program Category	Solicit Sub-Section	Funds Avail. (\$000)	Est. No. of Awards	Cost Share %	Cost Share (Notes)	Due Date (2004)	Maximum Award Per Application (\$000)	Eligibility Requirements	NEPA CX *	Links
FEMP	06	400	6	No cost share required	Cost share is encouraged.	March 31	250/project	N/A	YES	http://www.eere.energy.gov/femp/
Solar Technology Program	07	250	2	50%	Higher level of cost sharing is encouraged.	April 2	100 - 150/project	N/A	NO	
Wind Energy – Tall Towers	08	250	2 - 3	50%	50% minimum	April 2	75 to 125/project	N/A	YES	
DER – CHP Apps Centers	09	800	4 - 8	20%		April 2	150 - 300/project	N/A	YES	www.chpcentermw.org and http://www.eere.energy.gov/der/chp/
Biomass	10	500	6 - 10	25% required	Higher cost share is encouraged.	April 2	50 to 75/project	N/A	YES	

APPENDIX E – MODEL COMMITMENT LETTER

(To be provided on contributor's letterhead)

Date

TO:

State Agency

State Agency address

The purpose of this letter is to confirm [*company name*] commitment to the [*title of project*] if selected for participation in an award from the Department of Energy. As shown in the application, we are proposing [\$nnn cash contribution] and/or [\$nnn in-kind contribution] to support the project. We have submitted this information to the [State Agency] prior to the closing date of the State Energy Program Special Project Solicitation.

[Insert any additional narrative that may be necessary to further explain the value, nature and other qualitative measures of the participant's cost share]

I hereby represent that the above information is true and correct, and my proposed cost sharing contribution meets all of the requirements of 10 CFR 600.224 and specifically complies with the criteria set forth in Section II General Information, I. Cost Sharing of the Solicitation.

Signature

//TYPED NAME OF AUTHORIZED OFFICIAL//

Title