

PALM BEACH COUNTY
BOARD OF COUNTY COMMISSIONERS

AGENDA ITEM SUMMARY

Meeting Date: July 19, 2011 [] Consent [X] Regular
[] Workshop [] Public Hearing

Department: County Administration
Submitted By: Office of Economic Development

I. EXECUTIVE BRIEF

Motion and Title: Staff recommends motion to adopt: a Resolution of the Board of County Commissioners of Palm Beach County, Florida, authorizing the Economic Development Office to submit a SunShot Initiative: Rooftop Solar Challenge to Induce Market Transformation Grant application for up to \$750,000 to the United States Department of Energy (DOE); and authorizing the County Administrator or his designee to execute all applications and documents that do not change the scope of work or terms and conditions of the Agreement if the Grant is approved.

Summary: This application will seek up to \$750,000 for Palm Beach County (PBC) to take part in a nation-wide Rooftop Solar Challenge (Challenge). The Economic Development Office (EDO) will be the applicant in coordination with several County departments, Florida Power and Light (FPL), and local photovoltaic (PV) providers. The Challenge seeks to develop solutions that make solar energy more accessible and affordable to PBC citizens and the business community. Current policy frameworks can create inefficiencies and keep PV costs high, limiting market penetration. This grant will enable project partners, including EDO and PBC Planning, Zoning and Building, to utilize administrative grant dollars to achieve internal policy and process improvements to create an overall streamlined system. Specific activities would include: assessing the current policy and market environment; streamlining and improving the solar siting and permitting process; working with FPL to improve interconnection standards and developing a plan for increasing solar market maturity in PBC. **These are federal funds and internal in-kind services in the form of staff time will be utilized for the 10% match requirement.** Countywide (DW)

Background and Policy Issues: As part of the U.S. DOE's SunShot Initiative to make solar energy cost-competitive with fossil fuels within the decade, the DOE announced the availability of more than \$27 Million in new funding that will reduce the non-hardware costs of solar energy projects, a critical element in bringing down the overall costs of installed solar energy systems. The funding will support a \$12.5 Million challenge to encourage cities and counties to compete to streamline and digitize permitting processes, as well as \$15 Million that will be made available to advance innovations in information technology systems; local zoning, building codes, and regulations; and more. These process improvements and innovations will help increase U.S. competitiveness in the global solar industry and will play an important role in achieving the U.S. Government's goal of doubling America's electricity from clean energy sources and ensuring that solar power is a viable source for the nation's power needs and economic growth.

- Attachments:**
- 1. Resolution
 - 2. U.S. Department of Energy Funding Opportunity Announcement Number: DE-FOA-0000549

Recommended by: [Signature] 7-11-2011
Economic Development Director Date

Approved by: [Signature] 7/15/2011
Assistant County Administrator Date

II. FISCAL IMPACT ANALYSIS

A. Five Year Summary of Fiscal Impact:

Fiscal Years	2011	2012	2013	2014	2015
Capital Expenditures	_____	_____	_____	_____	_____
Expenditure	_____	_____	_____	_____	_____
Operating Cost	_____	_____	_____	_____	_____
External Revenue	_____	_____	_____	_____	_____
Program Income (PBC)	_____	_____	_____	_____	_____
In-Kind Match (PBC)	_____	_____	_____	_____	_____
NET FISCAL IMPACT	<u>*See Below</u>	_____	_____	_____	_____
# ADDITIONAL FTE POSITIONS (Cumulative)	_____	_____	_____	_____	_____

Is Item Included In Current Budget? Yes _____ No _____

Fund Dept. Unit Object

B. Recommended Sources of Funds/Summary of Fiscal Impact:

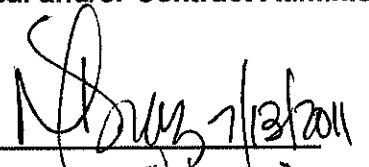
*Source of funding will be the U.S. DOE SunShot Initiative grant program. The budget will be amended to recognize the \$750,000 in Federal Funds should the grant be awarded.

C. Departmental Fiscal Review:



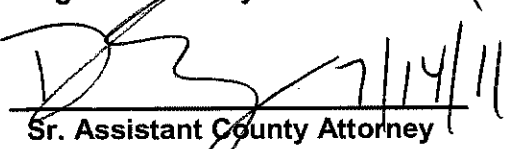
III. REVIEW COMMENTS

A. OFMB Fiscal and/or Contract Administration Comments:


 OFMB
 WS 7-12-11
 JB 7/12/11
 SN 7/12/11
 7/13/11
 7/14/11


 Contract Development and Control

B. Legal Sufficiency:


 Sr. Assistant County Attorney

C. Other Department Review:

 Department Director

This summary is not to be used as a basis for payment.

RESOLUTION NO. 2011-

Resolution of the Board of County Commissioners of Palm Beach County, Florida, authorizing the Economic Development Office to submit a SunShot Initiative: Rooftop Solar Challenge to Induce Market Transformation Grant Application for up to \$750,000 to the United States Department of Energy (DOE); and authorizing the County Administrator or his designee to execute all applications and documents that do not change the scope of work or terms and conditions of the Agreement if the Grant is approved.

WHEREAS, the Board of County Commissioners (Board) of Palm Beach County, Florida, is aware that the Department of Energy's (DOE) SunShot Initiative seeks to make solar energy cost-competitive with fossil fuels within the decade and has made available more than \$27 million in new funding that will reduce the non-hardware costs of solar energy projects, a critical element in bringing down the overall costs of installed solar energy systems; and

WHEREAS, the DOE's Rooftop Solar Challenge (Challenge) to Induce Market Transformation funding opportunity will seek to achieve measurable improvements in market conditions for rooftop photovoltaics (PV) across the United States, with an emphasis on streamlined and standardized permitting and interconnection processes; and

WHEREAS, the funding will support a \$12.5 million challenge to encourage cities and counties to streamline and digitize permitting processes, as well as \$15 million that will be made available to advance innovations in information technology systems, local zoning and building codes and regulations, and more. These process improvements and innovations will help increase U.S. competitiveness in the global solar industry and will play an important role in achieving the DOE's goal of doubling America's electricity from clean energy sources; and

WHEREAS, by removing market barriers and lowering the non-hardware costs of PV systems through smart policy and process improvements, this Challenge will benefit the U.S. PV industry and accelerate domestic solar market development. Process predictability and standardization enables solar companies to more efficiently manage their labor, material and cash flows, and customer interactions, resulting in significant cost reductions and lower prices for consumers; and

WHEREAS, this Challenge incentivizes local governments to develop innovative solutions in four key areas: 1) standardizing permitting processes; 2) updating planning and zoning codes; 3) increasing access to financing and 4) improving interconnection and net metering standards. In addition, an assessment of the current solar policy and market environment will be conducted; and

WHEREAS, applicants will be required to demonstrate a minimum 10% match for Phase 1 which may consist of in-kind contributions in the form of staff time, donated materials, or services. The DOE encourages partnerships with utilities, solar companies, and not-for-profit organizations, which may be sources of additional funding or in-kind contributions for applicants; and

WHEREAS, the Board is aware that the DOE's deadline to receive mandatory letters of intent is July 29, 2011 and applications must be received by August 31, 2011, no later than 5:00 PM Eastern Standard Time. If approved, the period of performance will run up to three years in length subject to the availability of annual appropriations; and

WHEREAS, the Board desires to obtain financial assistance from the DOE for up to \$750,000 for the purpose of participating in the national initiative to make solar energy technologies cost-competitive with other forms of energy by reducing the cost of solar energy systems by about 75% before 2020. Reaching this goal will re-establish American

technological leadership, improve the nation's energy security, and strengthen U.S. economic competitiveness in the global clean energy race; and

WHEREAS, the Board understands that certain documentation is required by all applicants obtaining financial assistance through the DOE.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF COUNTY COMMISSIONERS OF PALM BEACH COUNTY, FLORIDA, THAT:

Section I. The foregoing recitals are true and correct and are expressly incorporated herein by reference and made a part hereof.

Section II. Palm Beach County hereby expresses its desire to submit an application under the SunShot Initiative: Rooftop Solar Challenge to Induce Market Transformation Grant Program through the U.S. Department of Energy.

Section III. Palm Beach County hereby pledges its full and strong support to the efforts required for the submittal of the application and implementation if awarded.

Section IV. Palm Beach County hereby authorizes the County Administrator or his designee to sign all applications and documents that do not change the scope of work or terms and conditions of the Agreement if the grant is approved.

The foregoing Resolution was offered by Commissioner _____ who moved its adoption. The motion was seconded by Commissioner _____ and, being put to a vote, the vote was as follows:

COMMISSIONER KAREN T. MARCUS, CHAIR
COMMISSIONER SHELLEY VANA, VICE CHAIR
COMMISSIONER PAULETTE BURDICK
COMMISSIONER STEVEN L. ABRAMS
COMMISSIONER BURT AARONSON
COMMISSIONER JESS R. SANTAMARIA
COMMISSIONER PRISCILLA A. TAYLOR

The Chair thereupon declared the Resolution duly passed and adopted this ____ day of _____, 2011.

APPROVED AS TO FORM AND
LEGAL SUFFICIENCY

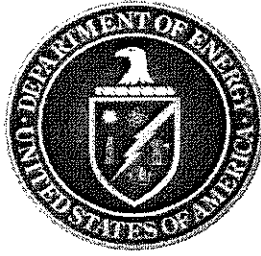
PALM BEACH COUNTY, FLORIDA, BY
ITS BOARD OF COUNTY COMMISSIONERS

SHARON R. BOCK, CLERK & COMPTROLLER

By: _____
County Attorney

By: _____
Deputy Clerk

**FINANCIAL ASSISTANCE
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy
Energy Efficiency and Renewable Energy
Golden Field Office**

SunShot Initiative:

Rooftop Solar Challenge to Induce Market Transformation

Funding Opportunity Announcement Number: DE-FOA-0000549

Announcement Type: Amendment 001

CFDA Number: 81.117

*** All questions related to this Funding Opportunity Announcement (FOA) must be submitted to solarchallenge@go.doe.gov not later than 3 calendar days prior to the letter of intent or application due date. ***

Issue Date: 06/01/2011

Letter of Intent Due Date: 07/29/2011, 5:00 PM Eastern Time

WEBINAR 1: FOA Overview 06/29/2011, 2:00 PM- 3:30 PM ET

WEBINAR 2: Permitting and Interconnection Processes Overview, 07/06/2011, 2:00 PM- 3:00 PM ET

WEBINAR 3: Net Metering and Interconnection Standards Overview, 07/13/2011, 2:00 PM- 3:00 PM ET

WEBINAR 4: Financing Options and Planning and Zoning Overview, 07/20/2011, 2:00 PM- 3:00 PM ET

Application Due Date: 08/31/2011, 5:00 PM Eastern Time

**** Applicants must submit a Letter of Intent by the due date to be eligible to submit an Application. ****

NOTE: REGISTRATION/SUBMISSION REQUIREMENTS

Registration Requirements

There are several one-time actions the applicant must complete in order to submit an application in response to this Announcement (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contractor Registration (CCR), and register with Grants.gov). Applicants who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements.

Applicants must register through the EERE eXCHANGE. EERE eXCHANGE website: <http://eere.energy.gov/financing/exchange>

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

Applicants must register with CCR. CCR website: <http://www.ccr.gov/>

Applicants must register with FedConnect. FedConnect website: <https://www.fedconnect.net/>

Beside the eXCHANGE registration system, which does not have a delay, **these other registration requirements could take several weeks to process and are necessary in order for a potential applicant to receive an award under this announcement.** Therefore, although not required in order to submit a letter of intent or application through the EERE eXCHANGE site, **all potential applicants lacking a DUNS number, or not yet registered with CCR should complete those registrations as soon as possible.**

EERE Web-Based Submission Information

All application submissions are to be made via the EERE eXCHANGE at <http://eere.energy.gov/financing/exchange>. To gain access to the EERE eXCHANGE system, the applicant must first register and create an account on the main EERE eXCHANGE site. This account will then allow the user to register for any open EERE FOAs that are currently in eXCHANGE. It is recommended that each organization or business unit, whether acting as a team or a single entity, utilize one account as the appropriate contact information for each submission.

Applicants will receive an automated response when the Letter of Intent or Application is received; this will serve as a confirmation of EERE receipt – please do not reply to the automated response. Applicants will have the opportunity to re-submit a revised Letter of Intent or application for any reason as long as the relevant submission is submitted by the specified deadline. A “User Guide” for the EERE eXCHANGE can be found on the EERE website <http://eere.energy.gov/financing/exchange/Manuals.aspx> after logging in to the system.

To receive notices via email regarding a FOA announcement, such as amendments to the announcement or the posting of new questions and answers, applicants must first register for the FOA by initiating a submission to that FOA.

Questions

Questions related to the use of the EERE eXCHANGE website should be submitted to: EERE-ExchangeSupport@hq.doe.gov.

Questions related to this Funding Opportunity Announcement (FOA) should be submitted to solarchallenge@go.doe.gov and should be submitted not later than 3 calendar days prior to the letter of intent and application due date. Questions submitted after that date may not allow the Government sufficient time to respond. Answers to questions will be posted on the eXCHANGE website under this FOA. Applicants are encouraged to review the posted questions and answers daily.

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SECTION I – FUNDING OPPORTUNITY DESCRIPTION

Summary

The objective of this Funding Opportunity Announcement (FOA) for a Rooftop Solar Challenge is to achieve measurable improvements in market conditions for rooftop photovoltaics (PV) across the United States, with an emphasis on streamlined and standardized permitting and interconnection processes. DOE is making a significant push to address these Balance of System issues utilizing a two-phased approach. DOE anticipates providing up to \$12.5M to up to 25 awardees to accomplish the Phase 1 goals of this funding opportunity. Upon successful completion of Phase I, DOE anticipates making a significant investment in a second phase aimed at consolidating the “Best Practices” developed in Phase 1 into a common process framework and accelerating the deployment of this framework throughout the country. This FOA directly supports the goals of the Department of Energy’s (DOE) Office of Energy Efficiency and Renewable Energy (EERE), Solar Energy Technologies Program (SETP) and the SunShot Initiative.

Background – Market Transformation

The mission of the U.S. DOE SETP is to accelerate research, development, demonstration, and large-scale deployment of solar technologies in the United States and to ensure that solar power is a viable source for the nation's power needs and economic growth. On February 4, 2011, Department of Energy Secretary Steven Chu formally announced the "SunShot" Initiative with the goal of achieving 5-6 cents/kWh costs for utility scale solar PV systems, 6-8 cents/kWh for commercial systems, and 6-9 cents/kWh for residential systems, by 2020. At these target cost levels, solar electricity will be cost-competitive with other forms of energy without subsidies across the U.S.

PV system costs can be broken down into three categories: modules, power electronics, and balance of system (BOS). In recognizing that BOS costs are a major contributor to total system cost, DOE issued a Request for Information (RFI) in December 2010 seeking public input on proposed DOE investments to reduce BOS costs. This RFI was followed by a series of workshops in February 2011, focusing on specific cost reduction opportunities for both hardware and non-hardware BOS costs. Based on the results of the RFI and workshops, DOE concluded that non-hardware BOS costs and market barriers present one of the most significant challenges to meeting the SunShot goals.

Non-hardware costs associated with processes such as customer acquisition, permitting, inspection, installation, and interconnection currently make up approximately 30-40% of the total installed cost of a rooftop PV system. Because these process costs are influenced by a diverse set of stakeholders – over 18,000 "authorities-having jurisdiction" (AHJs), over 5,000 utilities, and thousands of solar sales and installation companies—achieving the standardization necessary to bring down costs is challenging.

In addition to the importance of tackling non-hardware costs to bring down the upfront cost of PV systems, DOE concluded that market barriers, including a fragmented policy and regulatory environment, a lack of financing mechanisms, and siting restrictions are a significant obstacle to achieving the widespread cost-competitiveness and market penetration envisioned under the SunShot Initiative. Specific market barriers such as restrictive interconnection standards, a statewide cap on net metered capacity, regulatory uncertainty regarding third party ownership, and local land use policies that restrict PV siting for aesthetic reasons, limit PV market potential even in the face of significantly reduced system costs. As with non-hardware costs, addressing these market barriers requires careful coordination with many parties, in particular, state and local governments.

In April 2011, DOE issued an additional RFI soliciting input on a proposed "Challenge" for regional teams across the U.S. to drive transformations in market conditions for rooftop PV. DOE has considered the comments submitted in response to that RFI in developing this FOA.

This Challenge builds off the success and lessons learned from DOE's previous market transformation activities, including 25 Solar America Cities partnerships funded in 2007 and 2008. It represents a continuation and expansion of DOE's efforts to empower teams of local

and state governments, utilities, not-for-profit organizations, solar industry representatives, and other community leaders to develop solutions that make solar energy more accessible and affordable to Americans.

Scope

To tackle the twin challenges of reducing non-hardware costs and reducing market barriers, DOE is releasing this FOA, also referred to as the “Challenge,” for local government teams to partner with relevant stakeholders and make the changes necessary to improve market conditions for rooftop PV in major regions of the country. The Challenge focuses specifically on rooftop PV in the residential and commercial sectors, and emphasizes streamlined and standardized permitting and interconnection processes. The proposed structure is intended to encourage participation by diverse entities and ensure meaningful, measurable results by defining specific criteria that teams must meet in order to be recognized by DOE as succeeding in the Challenge.

Participants under the Challenge are intended to be regional or statewide teams of local governments, or large single jurisdictions, or Indian Tribes¹ representing a minimum population of 500,000.² Population and electricity demand are highly centralized in the U.S., such that efforts to build strong regional solar markets in a relatively small number of major population centers can result in a rapid increase in solar market penetration.

The Challenge uses a two-phase approach, which is designed to ensure a responsible investment of taxpayer dollars by allowing only those awardees that have demonstrated concrete reforms during Phase 1 to continue into a potential Phase 2. At the end of Phase 1, DOE will review the overall performance of each awardee to date. This review will include a quantitative assessment of the level of market maturity attained by each team, as described in the Evaluating Market Maturity section below. Awardees will be required to provide industry verification of results, and DOE will also conduct independent verification of the information reported. Based on the results demonstrated in the quantitative assessment of the awardees’ overall performance at the end of Phase 1, a go/no-go decision will be made for each awardee, should DOE choose to move forward with Phase 2.

The activities under each phase and the intended effect on the national solar market are outlined in the flow chart below (Figure 1).

¹ “Indian Tribe,” for purposes of this announcement, means any Indian tribe, band, nation or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C. §§ 1601 et seq.], which are recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

² The total population represented by eligible entities for this FOA must be 500,000 or greater as defined by the 2010 report of the U.S. Census Bureau. Populations should represent full-time residents. In the case of counties, the population of cities within the jurisdiction that choose not to participate in the challenge should be subtracted from total population size.

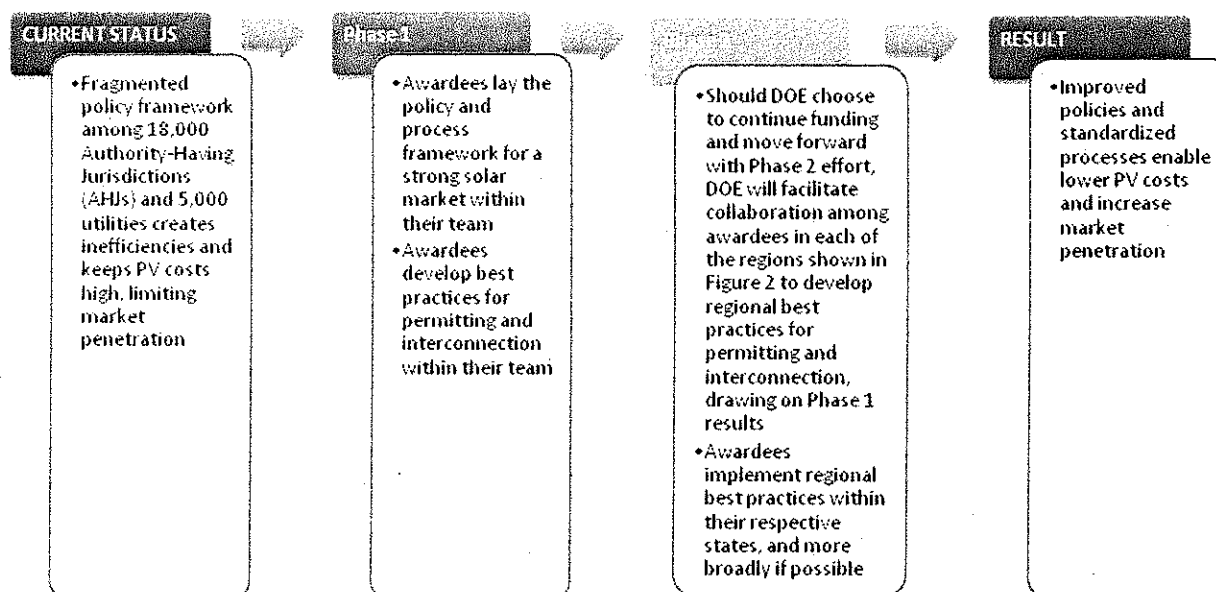


Figure 1: Flow chart illustrating the impact of awardees' activities in Phase 1 and Phase 2 on the U.S. solar market.

By removing market barriers and lowering the non-hardware costs of PV systems through smart policy and process improvements, this Challenge will benefit the U.S. PV industry and accelerate domestic solar market development. Solar companies estimate that improvements to permitting processes, for example, could reduce PV system costs by up to \$1/Watt, or approximately 15%-20% of current residential system costs. Process predictability and standardization enables solar companies to more efficiently manage their labor, material and cash flows, and customer interactions, resulting in significant cost reductions and lower prices for consumers.

There are four main action areas in Phase 1 of the Challenge (listed below), designed so that awardees that succeed in all action areas will have the necessary policy and process framework in place to support a robust solar market in their region. While success in one action area would represent important progress, it is only with results in all four action areas that awardees will truly reap the economic and environmental benefits associated with a healthy solar energy market. Applicants will need to engage the necessary stakeholders so that all four action areas can be addressed.

Phase 1 Action Areas:

- **PERMITTING AND INTERCONNECTION PROCESSES:** Develop and implement a transparent, consistent, and expedient permitting and interconnection process for residential (less than approximately 10kW) and small commercial (less than approximately 300kW) rooftop PV systems, throughout all participating jurisdictions.
- **NET METERING AND INTERCONNECTION STANDARDS:** Improve interconnection and net metering standards, as evaluated by the Network for New Energy Choices grading scheme, for the primary load-serving utility in each participating jurisdiction.
- **FINANCING OPTIONS:** Increase distributed PV market activity in models other than self-financed ownership by enabling direct financing options, community solar programs, and/or

utility-owned distributed generation and resolving legal issues around third party ownership models.

- **PLANNING AND ZONING:** Remove siting restrictions and incorporate favorable provisions in state and local codes and land use policies in every participating jurisdiction to maximize PV siting options.

DOE has developed a detailed set of indicators that represent market maturity with respect to each of the four action areas (see Attachment 1). Awardees must achieve a minimum level of market maturity in Phase 1, as described in the “Evaluating Market Maturity” section below, in order to be eligible for a potential Phase 2.

Applicants must provide a letter of commitment from the chief elected official of each participating jurisdiction that confirms that the jurisdiction will contribute cost-share to the project in the form of staff time or other resources, and will make personnel in relevant city departments available as needed to accomplish the objectives proposed. Applicants must also provide a letter of support from the respective State Energy Office(s) or equivalent, and from the primary load-serving electric utility for each participating jurisdiction. The letters of support should indicate that the entity is supportive of the applicant’s proposal and will engage in activities as appropriate to help the applicant achieve the proposed objectives.

Awardees who demonstrate the required level of market maturity at the end of Phase 1 will receive a highly publicized DOE designation, signifying that regions represented by those awardees are “open for solar business.”

Potential Phase 2 Action Areas:

- **STATE/REGIONAL STANDARDIZATION OF PERMITTING PROCESSES:** Achieve implementation of common process framework for PV permitting throughout the awardee’s state, and more broadly if possible.

Should DOE determine to move forward with Phase 2 of this effort, the focus will be on achieving the widespread process standardization that is critical to achieving rapid scale-up of PV markets. In order to enable the lowest PV prices possible, solar installers and consumers must face a predictable, transparent, and efficient permitting process that is the same across an entire state or region.

In Phase 2, DOE will facilitate the awardees in each region (see Figure 2) as they develop a common permitting process for that region, drawing from those developed by each awardee in Phase 1. DOE will coordinate this regional collaboration, and may adjust the regions as appropriate based on the total set of awardees entering a potential Phase 2, to ensure that the regions are optimally designed for process standardization. Phase 2 awardees will be expected to participate in the development of a common permitting process for their region drawing on the documents, tools and procedures developed in Phase 1 that all awardees in the region can adopt. Each Phase 2 awardee will then be responsible for implementing that common permitting process throughout their state or territory.

While there may be legitimate reasons for certain aspects of the permitting process to differ among jurisdictions, DOE expects awardees to identify the elements of the process that most require standardization in order to accelerate PV market development, and focus on achieving standardization for those elements of the process.

Applicants must provide a preliminary plan for their potential participation in Phase 2 with the initial application. Based on the level of effort to achieve the requirements in Phase 1, teams will assess the level of effort necessary to work with the relevant stakeholders necessary to achieve statewide adoption of the common permitting process. If there are multiple awardees from a single state or territory that are approved to continue into a potential Phase 2, they will be required to work together to ensure that their plans for statewide implementation are complementary and can be jointly executed. Preliminary Phase 2 plans should acknowledge the potential need to coordinate on statewide implementation.

DOE may, at its discretion, decide to issue a separate FOA to initiate Phase 2 of this effort. Only awardees that have successfully completed Phase 1 of the project, received positive evaluation through a Go/No Go Decision process, and have scored a minimum of 800 on the quantitative assessment of the level of the market maturity will be eligible to apply to this FOA initiating Phase 2 of the effort, as discussed below.

All awardees that continue into the second phase of this effort, should seek opportunities to consolidate and coordinate the permitting process together with the interconnection process as appropriate, such as coordinating inspections between AHJs and utilities so only one inspection is required. Awardees should also ensure that the permitting processes developed are flexible enough to account for technology advancements including micro-inverters and building-integrated photovoltaics.

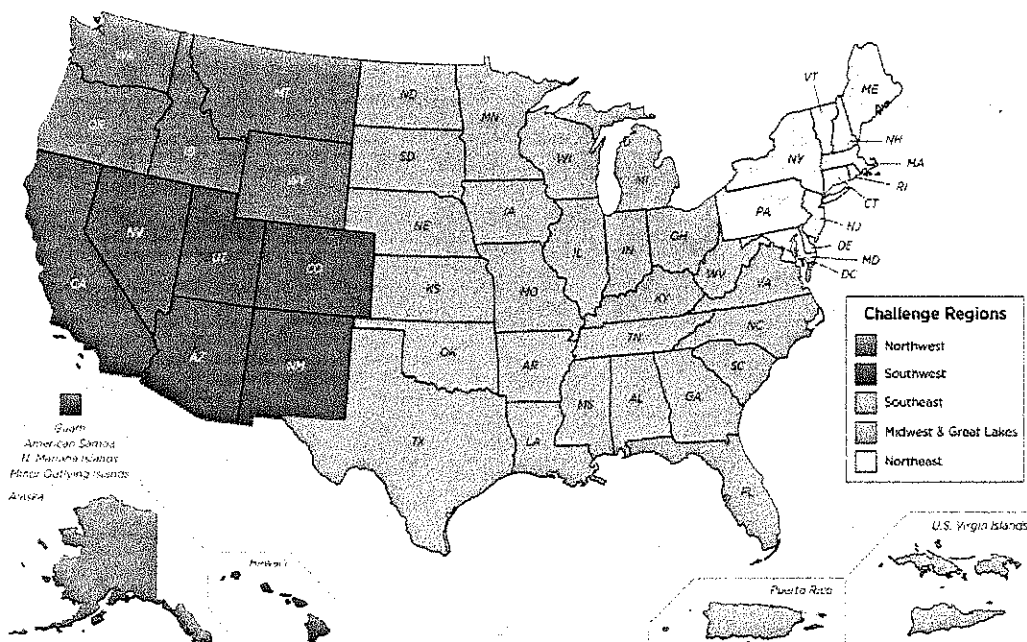


Figure 2: Map of Regions – DOE will facilitate collaboration among awardees within each region to promote the development of common frameworks for permitting and interconnection.

Evaluating Market Maturity and Demonstrating Measurable Progress

It is essential that awardees demonstrate measurable progress throughout the project period. To enable quantitative evaluation of awardees’ progress, DOE has developed an assessment of PV market maturity, organized by each of the four action areas in the Challenge (see Attachment 1). Applicants will be expected to provide an initial market assessment as part of their application, and another assessment at the end of Phase 1. The data collected during the application period and subsequently during Phase 1 evaluation will provide DOE with transparency into the current state of process costs.

Within each action area, there are multiple ways for jurisdictions to improve, so DOE will use a point scoring approach to allow jurisdictions to demonstrate progress through a variety of policy and program combinations. At the end of Phase 1, awardees must demonstrate a minimum total score of 800 out of 1,000 across all four action areas, in order to be eligible for a potential Phase 2. Points will be allocated among the four action areas as outlined in Table 1 below:

Table 1: Market Evaluation Point Allocation

ACTION AREA	POINTS
Permitting Process	460
Application	110
Information Access	60
Process Time	110
Fee	30
Model Process	30
Inspection	80
Communication w/ Utility	40
Interconnection Process	110
Application	40
Information Access	20
Process Time	20
Inspection	30
Interconnection Standard	100
Net Metering Standard	100
Financing Options	150
Third Party Ownership (or equivalent)	90
Direct Finance Options	25
Community Solar	15
Other	20
Planning and Zoning	80
Solar Rights and Access	54
Zoning	20
New Construction	6
TOTAL POINTS POSSIBLE	1000

For awardees representing multiple jurisdictions, the overall score used to determine eligibility for a potential Phase 2 will be based on the lowest-scoring jurisdiction. In addition, awardees whose teams consist of multiple jurisdictions must demonstrate that they have implemented the use of a standard permitting template and a standard set of criteria for expediting certain types of projects, across all jurisdictions on the team, in order to be eligible for Phase 2, should DOE choose to proceed.

Note that the point allocation outlined in Table 1 does not imply that DOE considers those action areas weighted highest to be most important to solar market development overall. The point allocation is based on the action areas DOE sees as most appropriate for action by the entities engaged in this Challenge. DOE will undertake other activities in addition to this Challenge to help improve interconnection and net metering standards, for example, which are critical to solar market growth.

Scoring for net metering and interconnection standards are based on the Network for New Energy Choices publication, *Freeing the Grid, 2010 Edition* with minor modifications noted in Attachment 1. State letter grades established in the report will be translated into numeric scores (see Table 2) to include in the aggregate score for the applicant. Utilities not covered in the report or states or public utilities commissions, which have made amendments since the report was published will be responsible for recalculating their respective letter grade via the report’s guidelines, which are provided in Attachment 1.

Table 2: Point Allocation for Interconnection and Net Metering Standards

	FTG Points	Challenge Points
	≥ 20	100
	18-19.5	95
	15-17.5	90
	13-14.5	85
	11-12.5	80
	9-10.5	75
	8-8.5	65
	7-7.5	60
	6-6.5	55
	5-5.5	45
	4-4.5	40
	3-3.5	35
	< 3	0

For certain indicators, applicants and awardees must submit verification from solar companies that the information provided with regard to the permitting and interconnection process is in line with what the industry has experienced. This independent industry verification should be in the form of a letter (see Appendix E) signed by representatives from at least 2 companies in the residential PV business and at least 2 companies in the commercial PV business representing a significant portion of PV sales in the participating jurisdictions. In addition to this industry verification, DOE will independently verify that the results reported by the awardee at the end of Phase 1 are accurate. DOE will work with awardees to address any questions that arise regarding the accuracy of the information reported. DOE may adjust the point scoring approach as appropriate.

SECTION II – AWARD INFORMATION

A. Type of Award Instrument

Cooperative Agreements

DOE anticipates awarding cooperative agreements under this announcement (See Part VI.B.4 Statement of Substantial Involvement).

B. Estimated Funding

Amount of New Awards

Subject to availability of appropriated funds, approximately \$12.5 million is expected to be available for new awards made under this announcement to support work conducted under Phase 1. Should DOE decide to move forward with Phase 2 of this effort, it is anticipated that an additional \$25-30 million will be provided, subject to annual appropriations. The funding will be allocated over a project period of up to three years. A go/no-go decision will be made for each awardee at the end of Phase 1, should DOE choose to move forward with the Phase 2 effort.

C. Maximum and Minimum Award Size

Anticipated ceiling (i.e., the maximum amount for an individual award made under this announcement): \$1M under Phase 1

Anticipated floor (i.e., the minimum amount for an individual award made under this announcement): \$250K under Phase 1

	Planned Minimum DOE Share (subject to annual Congressional appropriations)	Planned Maximum DOE Share (subject to annual Congressional appropriations)
Phase 1	\$250,000	\$1,000,000

The average anticipated award size for Phase 1 is \$500,000.

D. Expected Number of Awards

Under this announcement, DOE expects to make 20-25 awards.

E. Period of Performance

Number of Years

DOE anticipates making awards that will run up to three years in length subject to the availability of annual appropriations. Projects will be divided into phases. Continuation from one phase to the next will be contingent upon DOE determination to proceed with a second phase of this effort, satisfactory performance of the first phase, go/no-go decision review and subject to the availability of annual appropriations. At the go/no-go decision points, DOE will evaluate project performance, project schedule adherence, meeting milestone objectives, compliance with reporting requirements, and overall contribution to the SunShot goals and objectives. This review will include a quantitative assessment of the level of market maturity attained by each team, as described in the Evaluating Market Maturity section. Awardees will be required to provide industry verification of results, and DOE will also conduct independent verification of the information reported. Based on the results demonstrated in the quantitative assessment and the awardee's overall performance in Phase 1, a go/no-go decision will be made for each awardee at the end of Phase 1, should DOE choose to continue funding and move forward with the Phase 2 effort.

F. Type of Application

New Applications Only

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

SECTION III - ELIGIBILITY INFORMATION

A. Eligible Applicants

Applicants must submit a Letter of Intent by the Letter of Intent due date to be eligible to submit an Application.

It is intended to restrict eligibility for this FOA to applicant entities that satisfy the following requirements:

- Located in the United States and
- State or territorial governments; or
- Local governments; or
- Consortia, made up of regional or statewide teams of local governments, large single jurisdictions, or Indian Tribes; or
- Non-profit or for-profit entities authorized to act on behalf of a consortia of state and/or local governments, and
- The total population represented by eligible entities for this FOA must be 500,000

or greater as defined by the 2010 report of the U.S. Census Bureau³.

B. Cost Sharing

DOE is requiring cost share to ensure that applicants dedicate the staff time and resources and develop the strong partnerships necessary to achieve the objectives of this funding opportunity. Many state and local governments have already expressed commitments to clean energy initiatives and DOE seeks to capitalize on these commitments, as well as engender new ones. DOE encourages partnerships with utilities, solar companies, and not-for-profit organizations, which may be sources of additional funding or in-kind contributions for applicants.

The cost share must come from non-Federal sources. (See 10 CFR Part 600 for applicable cost sharing requirements.) Total cost share contributions may be divided among the applicant and partners under an arrangement determined by the applicant; however, applicants must provide a letter of commitment from the chief elected official of each participating jurisdiction that confirms that the jurisdiction will contribute a portion of the total cost share. Funds from other DOE or Federally-funded entities cannot be used as cost share. Additionally, existing patents or other existing intellectual property may not be proposed as cost share.

Applications must clearly identify the sources and amounts of the cost share proposed. The applicant must include a summary table showing the cost share breakout for each portion or Task of the proposed project included in their application. This will facilitate DOE evaluation of the proposals 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.

Applicants will be required to demonstrate a minimum 10% cost share for Phase 1 and, should DOE choose to move forward with Phase 2 of this effort, a minimum 20% cost share will be required. Cost share may consist of cash or in-kind contributions from the lead applicant or partners.

As an example, the minimum applicant cost share requirement for a hypothetical project with a Total Project Cost of \$555,555 would be:

Applicant Phase 1 share, 10%	\$55,555
DOE Phase 1 share, 90%	\$500,000
Total Project Cost:	\$555,555

Cost share may consist of cash or in-kind contributions from the lead applicant or partners.

³ <http://2010.census.gov/2010census/data/>

Populations should represent full-time residents. In the case of counties, the population of cities within the jurisdiction that choose not to participate in the challenge should be subtracted from total population size.

Please note that the required minimum applicant cost share percentage is **not** based on the Federal share but, rather, is based on the Total Project Cost.

C. Other Eligibility Requirements

DOE/National Nuclear Security Administration (NNSA) Federal Funded Research and Development Centers (FFRDCs) and non-DOE FFRDC's, are not eligible to apply.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. Address to Request Application Forms

The Application forms and/or instructions can be found on the EERE eXCHANGE website at <http://eere.energy.gov/financing/exchange>.

B. Letter of Intent

- **Letters of Intent are required.**

Applicants are required to submit a Letter of Intent by July 18, 2011. Letters of Intent will be used by DOE to plan for the merit review processes. The Letters should not contain any proprietary or sensitive business information. The Letters do not commit an applicant to submit an application. **However, applicants must submit a Letter of Intent by the Letter of Intent due date to be eligible to submit an Application.** A control number will be issued when an Applicant begins the Letter of Intent submission process. This control number must be included in the Application documents, as described in paragraph C. below.

The Letter of Intent must include the following information:

1. Lead Applicant and names of all anticipated partners
2. Title of the project
3. One page abstract describing the project
4. Estimated total DOE funding request
5. The name of the Project Director/Principal Investigator(s)

- Letter of Intent due date: **July 18, 2011, 5:00 PM Eastern Time.** Letters of Intent must be submitted via the EERE eXCHANGE at <http://eere.energy.gov/financing/exchange>.

C. Content and Form of Application

Applicants must complete the mandatory forms and any applicable optional forms, in accordance with the instructions on the forms and the additional instructions below, as required by this FOA. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

Applicants must complete the following application forms found on the EERE eXCHANGE website at <http://eere.energy.gov/financing/exchange>, in accordance with the instructions.

A control number will be issued when an applicant begins the application submission process. This control number must be included in the application documents, as described below.

1. SF 424 - Application for Federal Assistance (Mandatory)

Complete all required fields in accordance with the instructions on the form. The list of certifications and assurances in Field 21 can be found at http://management.energy.gov/business_doe/business_forms.htm, under Certifications and Assurances. Note: The dates and dollar amounts on the SF 424 are for the complete project period and not just the first year, first phase or other subset of the project period. Save the information in a single file named "Control#_LeadOrganization_App424.pdf."

2. Summary for Public Release (Mandatory) (1 page)

Provide a concise summary of the proposed research and development. The description should be understandable by technically literate, but non-specialist readers. The summary should not contain proprietary or sensitive business information. Save the information in a single file named "Control#_LeadOrganization_PublicSummary.pdf."

3. Summary Slide (Mandatory)

A Project Summary in Power Point format should be provided using the template provided. All information must fit on a single slide. The Summary Slide may be released to the public by DOE, in whole or in part, at any time. Therefore, it is required that **the Project Summary must not** contain proprietary or confidential business information. Save the Summary Slide as "Control#_LeadOrganization_Summary.ppt." Please submit file as a .PPT only (not PPTX or other formats).

4. Project Narrative File (Mandatory)

See Appendix B for restrictions on Personally Identifiable Information (PII)

The project narrative must not exceed 16 pages for Phases 1 and 2. This page count includes cover page, table of contents, bibliography and references, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right), single spaced. EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED ABOVE. The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application. See Section VIII.D for instructions on how to mark proprietary application information and Appendix B for restrictions on Personally Identifiable Information. Save the information in a single file named "Control#_LeadOrganization_Technical.PDF"

The Project Narrative must include the following required items:

- Cover Page:

The Project Narrative cover page should indicate the name and type of organization, the announcement number, the project title, and both the technical and business points of contact for the applicant, denoting the names, titles, addresses, telephone and facsimile

numbers, and electronic mail addresses. The cover page should also identify the names for all other participants (subrecipients).

- Project Objectives
This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.
- Merit Review Criteria Discussion:
The section should be formatted to address each of the merit review criteria and sub-criteria listed in SECTION V - APPLICATION REVIEW INFORMATION A.2. 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 CRITERIA AND SUB-CRITERIA.**
- Project Timetable:
This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period. Successful applicants will use this project timetable to report progress. Decision points, critical review criteria, or go/no-go criteria should be quantifiable to the largest extent possible, along with associated deliverables schedules, and must be planned no less frequently than every 12 months. This section should also include, usually in a table, the spend plan by task.
- Project Partners:
Discuss the extent of any involvement and roles for any partners.
- Bibliography and References, if applicable:
Provide a bibliography for any references cited in the Project Narrative section. This section must include only bibliographic citations.

All the components of the Project Narrative (listed above) must be within the Narrative page limit specified above. Please note that some of the required documents listed below may have their own page limits to which the applicant must adhere.

5. Resume File (Mandatory)

Provide a resume for each key person proposed, including subawardees and consultants if they meet the definition of key person. A key person is any individual who contributes in a substantive, measurable way to the execution of the project. Save all resumes in a single file named "Control#_LeadOrganization_Resumes.PDF."

The compiled resume file does not have a page limitation; however, the biographical information for each individual resume must not exceed 2 pages when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right), single spaced, with font not smaller than 11 point and should include the following information, if applicable:

Education and Training: Undergraduate, graduate and postdoctoral training; provide institution, major/area, degree and year.

Professional Experience: Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

Publications: Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address, if available electronically.

Patents, copyrights and software systems developed may be provided in addition to, or substituted for, publications.

Synergistic Activities: List no more than 5 professional and scholarly activities related to the effort proposed.

- Of the key personnel identified in this file, indicate the Principal Investigator(s) (PI).

- For Multiple Principal Investigators:

The applicant, whether a single organization or team/partnership/consortium, must indicate if the project will include multiple PIs. The decision to use multiple PIs for a project is the sole responsibility of the applicant. If multiple PIs will be designated, the application must identify the Contact PI/Project Coordinator and provide a "Coordination and Management Plan" that describes the organization structure of the project as it pertains to the designation of multiple PIs. This plan should, at a minimum, include:

- Process for making decisions on scientific/technical direction;
- Publications;
- Intellectual property issues;
- Communication plans;
- Procedures for resolving conflicts; and
- PIs' roles and administrative, technical and scientific responsibilities for the project

6. Prime Recipient SF-424A (Mandatory)

Applicants must provide a separate budget (SF 424A) for each year of support requested and a cumulative budget for the total project period. Use the SF 424A Excel, "Budget Information Non-Construction Programs" form on the DOE Financial Assistance Forms Page at http://management.energy.gov/business_doe/business_forms.htm. 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. Save the information in a single file named "Control#_LeadOrganization_SF424A.xls."

7. Prime Recipient Budget Justification File (Mandatory)

Applicants must justify the costs proposed in each Object Class Category/Cost Classification category. This includes identifying:

- Key persons and personnel categories and the estimated costs for each person or category, amounts of time (e.g., hours or % of time) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., actual salary, labor distribution report, technical estimate, state civil service rates, etc.);
- Provide a list of equipment and cost of each item providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying its need as it applies to the Statement of Project Objectives;
- Identify proposed subrecipient/consultant work and cost of each subrecipient/consultant;
- Describe purpose of proposed travel, number of travelers, and number of travel days;
- List general categories of supplies and amount for each category providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying the need for the supplies as they apply to the Statement of Project Objectives; 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; and
- Identify all sources of cost share including third parties and identify (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed type of cost share – cash, services, or property.

Further instructions for providing a budget justification to support the SF424A can be found at <http://eere.energy.gov/financing/exchange>.

Save the budget justification information in a single file named "Control#_LeadOrganization_BudgetJustification.xls."

8. Letters of Commitment – (Mandatory)

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

Identify the following information for each third party contributing cost share: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed type of cost share – cash, services, or property. Letters of Commitment from parties participating in the project, exclusive of vendors, who will not be contributing cost share, but will be integral to the success of the project, must be included as part of this Appendix to the Narrative. Letters of Commitment will not count towards the Project Narrative page limit.

9. Letters of Support – (Mandatory)

Applicants must have a letter from each third party (i.e., a party other than the organization submitting the application) indicating that the entity is supportive of the applicant's proposal and will engage in activities as appropriate to help the applicant achieve the proposed objectives. **All Letters of Support must be attached as an Appendix to the Project Narrative File.** Letters of Support will not count towards the Project Narrative page limit.

10. Subrecipient SF- 424A – (if applicable)

Applicants must also provide a separate budget (i.e., budget for each year and a cumulative budget) for each subrecipient, including DOE/NNSA Federally Funded Research and Development Center (FFRDC) Contractors, that is expected to perform work estimated to be more than \$100,000 or 50% of the total work effort (whichever is less). 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. Save the information in a single file named "Control#_LeadOrganization_SubrecipientSF424A.xls."

11. Subrecipient Budget Justification (if applicable)

Each subrecipient, including DOE/NNSA Federally Funded Research and Development Center (FFRDC) Contractors, that is expected to perform work estimated to be more than \$100,000 or 50% of the total work effort (whichever is less) is also required to submit a subrecipient budget justification. Please see the Section IV.D.6 above for details required for the Subrecipient Award Budget Justification file. Save the budget justification information in a single file named "Control#_LeadOrganization_SubrecipientBudgetJustification.xls."

12. SF-LLL Disclosure of Lobbying Activities (If Applicable)

If applicable, complete the SF- LLL form found at <http://eere.energy.gov/financing/exchange>. 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." Save the information in a single file named "Control#_LeadOrganization_SF-LLL.pdf."

13. Statement of Project Objectives (SOPO) - (Mandatory)

The SOPO must address how the project objectives will be met. It must contain a clear, concise description of all activities to be completed during the project performance and follow the requirements in the template provided on the eXCHANGE website. This file is essentially a condensed version of the Technical Proposal and all information contained in this document should also be provided in the Technical Proposal. The SOPO may be released to the public by DOE, in whole or in part, at any time. **Therefore, the SOPO must not** contain proprietary or confidential business information. Save the SOPO in a single Word file named "Control#_LeadOrganization_SOPO.doc."

14. Attachment 1 - (Mandatory)

DOE has developed a detailed set of indicators that represent market maturity with respect to each of the four action areas (see Section I of this FOA). The lead applicant must provide Attachment 1 for each participating jurisdiction per instructions in the Instruction tab of this attachment.

Summary of Required Forms/Files

The application must include the following documents:

	Required Document	Document Summary	Document Naming Convention
1	SF424 (PDF)	Application for Federal assistance	Control#_LeadOrganization_App424.pdf (e.g. 206_9999_Corporation XYZ_App424.pdf)
2	Summary for Public Release (PDF)	Public (should not contain proprietary or sensitive business information) project summary in paragraph format	Control#_LeadOrganization_PublicSummary.pdf
3	Summary Slide (PPT)	Project summary in PowerPoint format (should not contain proprietary or sensitive business information)	Control#_LeadOrganization_Summary.ppt Please submit file as a .ppt only (not .pptx or other formats)
4	Project Narrative (PDF)	Technical application (can contain proprietary or sensitive business information)	Control#_LeadOrganization_Technical.pdf
5	Resume File (PDF)	Resumes for each key person proposed, including subawardees and consultants.	Control#_LeadOrganization_Resumes.pdf
6	Prime Recipient SF424A (XLS)	High level budget spreadsheet	"Control#_LeadOrganization_SF424A.xls" (Please submit file as a .XLS only)
7	Prime Recipient Budget Justification (XLS)	Detailed budget spreadsheet	"Control#_LeadOrganization_BudgetJustification.xls" (Please submit file as a .xls only)
8	Letters of Commitment	Letters from each third party contributing cost share (i.e., a party other than the organization submitting the application) stating that the third party is	All Letters of Commitment must be attached as an Appendix to the Project Narrative File

	Required Document	Document Summary	Document Naming Convention
		committed to providing a specific minimum dollar amount of cost share.	
9	Letters of Support	Letters from each third party (i.e., a party other than the organization submitting the application) indicating that the entity is supportive of the applicant's proposal and will engage in activities as appropriate to help the applicant achieve the proposed objectives.	All Letters of Support must be attached as an Appendix to the Project Narrative File
10	Subrecipient SF424A (XLS) – (if applicable)	High level budget spreadsheet for all Subrecipients whose value is \$100,000 or greater	"Control#_LeadOrganization_SubrecipientSF424A.xls" (Please submit file as a .xls only)
11	Subrecipient Budget Justification (XLS) – (if applicable)	Detailed budget spreadsheet for all Subrecipients awards whose value is \$100,000 or greater	"Control#_LeadOrganization_SubrecipientBudgetJustification.xls" (Please submit file as a .xls only)
12	SF-LLL Disclosure of Lobbying Activities, if applicable	PDF	Control#_LeadOrganization_SF-LLL.pdf
13	Statement of Project Objectives (DOC)	Public (should not contain proprietary or sensitive business information) concise (3-5 page) summary of project activities	Control#_LeadOrganization_SOPO.doc
14	Attachment 1 (XLS)	Instructions included in the first tab of the spreadsheet	Control#_LeadOrganization_JurisdictionName_Attachment1.xls (Please submit file as a .xls only)

D. Submissions from Successful Applicants

If selected for negotiation of award, DOE reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- Indirect cost information
- Other budget information

- Project management plan

E. Submission Dates and Times

1. Letter of Intent Due Date

- Letters of Intent must be received by July 18, 2011 not later than 5:00PM Eastern Time
You are encouraged to transmit your Letter of Intent well before the deadline.
- Letters of Intent must be submitted via the EERE eXCHANGE at <http://eere.energy.gov/financing/exchange>

2. Application Due Date

- Applications must be received by August 31, 2011 not later than 5:00 PM Eastern Time. You are encouraged to transmit your application well before the deadline.
APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

F. Intergovernmental Review

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

G. Funding Restrictions

Cost Principles. Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600. The cost principles for commercial organizations are in FAR Part 31.

Pre-award Costs. Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR part 600. Recipients must obtain the prior approval of the Contracting Officer for any pre-award costs that are for periods greater than this 90 day calendar period.

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

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. Submission and Registration Requirements

1. Where to Submit

APPLICATIONS MUST BE SUBMITTED THROUGH THE EERE EXCHANGE SYSTEM (<http://eere.energy.gov/financing/exchange>) TO BE CONSIDERED FOR AWARD UNDER THIS ANNOUNCEMENT. Applications submitted by any other means will not be accepted. You cannot submit an application unless you are registered.

2. Registration Process Requirements

There are several one-time actions the applicant should complete. The applicant should:

- Register through the EERE eXCHANGE at <http://eere.energy.gov/financing/exchange>
- Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number at <http://fedgov.dnb.com/webform>
- Register with the Central Contractor Registry (CCR) at <https://www.bpn.gov/ccr/default.aspx>.
- Register in FedConnect at <https://www.fedconnect.net/>; use “Register as a Vendor” link. To create an organization account, your organization’s CCR MPIN is required; obtain the MPIN from your organization’s Electronic Business Point of Contact. Refer to the FedConnect Quick Start guide at the website

Besides the eXCHANGE registration system, which does not have a delay, these registration requirements could take several weeks to process and are necessary in order for a potential applicant to receive an award under this announcement. Therefore, although not required in order to submit an application, all potential applicants lacking a DUNS number or not yet registered with CCR should complete them as soon as possible.

EERE Web-Based Submission Information

All application submissions are to be made via the EERE eXCHANGE at <http://eere.energy.gov/financing/exchange>. To gain access to the EERE eXCHANGE system, the applicant must first register and create an account on the main EERE eXCHANGE site. This account will then allow the user to register for FOAs. It is recommended that each organization or business unit, whether acting as a team or a single entity, utilize one account as the appropriate contact information for each submission.

The applicant will receive an automated response when the Letter of Intent or Application is received; this will serve as a confirmation of EERE receipt – please do not reply to the automated response. The applicant will have the opportunity to re-submit a revised Letter of Intent or Application for any reason as long as the relevant submission is submitted by the specified deadline. A “User Guide” for the EERE eXCHANGE can be found at <http://eere.energy.gov/financing/exchange/Manuals.aspx> after logging in to the system.

3. Electronic Authorization of Applications and Award Documents

Submission of an application and supplemental information under this announcement through electronic systems used by the Department of Energy, including Grants.gov and

FedConnect, constitutes the authorized representative's approval and electronic signature.

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

SECTION V - APPLICATION REVIEW INFORMATION

A. Criteria

Initial Review Criteria

Application Award Eligibility

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) all information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the funding opportunity announcement. If an application fails to meet these requirements, it may be deemed non-responsive and eliminated from full Merit Review.

1. Merit Review Criteria

Criterion 1: Understanding of Market Environment **Weight: 10%**

- Extent to which applicant demonstrates a thorough understanding of current market environment with respect to four action areas, as detailed by the market assessment provided (Attachment 1). Considerations include completeness of responses and soundness of industry verification provided.
- The efficacy with which the applicant identifies how its proposed project will provide improvement over the current market environment.
- The extent to which the applicant demonstrates an effective coverage of a major region or population center.

Criterion 2: Plan for Increasing Market Maturity (Phase 1) **Weight: 35%**

- The extent to which applicant identifies specific, aggressive, yet realistic goals for Phase 1, and expected positive impact on solar market development if those goals are achieved.
- Thoroughness and viability of plan to achieve Phase 1 goals, including identification of all necessary stakeholders and strategies for engaging those stakeholders.
- The extent to which the application quantifies the impact of the proposed changes in practices and policies identified in bullet one against an established set of practices and policies.

- Extent to which applicant identifies potential challenges and risks to success, and proposes smart strategies for overcoming obstacles that arise.
- Degree to which the proposed approach can be replicated.

Criterion 3: Plan for Increasing Market Maturity (Phase 2) Weight: 20%

- Identification of specific, aggressive, yet realistic goals for Phase 2, and expected positive impact on solar market development if those goals are achieved.
- Thoroughness and viability of plan and proposed budget to achieve Phase 2 goals, benchmarked against the level of effort proposed in Phase 1 including identification of all necessary stakeholders and strategies for engaging those stakeholders.
- The extent to which the application quantifies the impact of the proposed changes in practices and policies identified in bullet one against an established set of practices and policies.
- Extent to which applicant identifies potential challenges and risks to success, and proposes smart strategies for overcoming obstacles that arise.

Criterion 4: Qualifications, Resources, and Capabilities

Weight: 25%

- Extent to which the capabilities, experience, and qualifications of the organization involved are consistent with, and support, the proposed scope of work and the proposed objectives.
- Extent to which the necessary business and technical management for supporting a high likelihood of success of the project have been identified.
- Extent to which the composition of the proposed team supports the implementation and planning for market transformations.
- Appropriateness and quality of proposed partners to accomplish project goals.
- Adequacy of support as evidenced by letters of commitment and letters of support.

Criterion 5: Management Plan

Weight: 10%

- Appropriateness of the proposed organizational structure of team and plan for collaboration to accomplish goals within the project period.
- Identification of a strong project manager capable of leading a diverse team and interfacing effectively with DOE and other awardees to maximize transparency and information sharing.
- Quality of applicant's proposed schedule, with defined tasks, timing, and resource allocation. Clarity with which project risks are identified and correlated with program decision points.

2. Other Selection Factors

Program Policy Factors

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

- Cost-effectiveness, breadth and significance of potential impact;
- Impact of DOE funds on the project measured by project's increased likelihood of achieving programmatic objectives;

- Leveraging of resources; and
- Diversity and complementary nature of activities, approaches, methods, and geographic distribution of organizations involved.

B. Review and Selection Process

1. Merit Review

Applications Subject to Merit Review

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the “Department of Energy Merit Review Guide for Financial Assistance”. This guide is available at:

<http://www.management.energy.gov/documents/meritrev.pdf>.

It is very important that all documents submitted with the application must not contain any Personally Identifiable Information as described in Appendix B.

2. Selection

Selection Official Consideration

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

Potential Partial Funding

DOE reserves the right to choose an application, in whole or in part, for negotiation of an award.

Pre-Selection Clarification

The Contracting Officer may contact applicants if he/she determines that pre-selection clarification is necessary and appropriate. The Contracting Officer has exclusive authority to make this determination. The Contracting Officer may contact one, multiple, or no applicants at his/her discretion. The Contracting Officer will convey any questions or requests for clarification to the Applicant and set a deadline for responses. All responses must be sent to the Contracting Officer by the given deadline.

3. Discussions and Award

Government Discussions with Applicant

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including, but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government

needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR part 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

C. Anticipated Notice of Selection and Award Dates

Selection and Award Date

DOE anticipates notifying applicants selected for award by the end of October 2011 and making awards by the end of December 2011.

SECTION VI - AWARD ADMINISTRATION INFORMATION

A. Award Notices

4. Notice of Selection

Selected Applicants Notification

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

Non-selected Notification

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

5. Notice of Award

A Financial Assistance Award or Assistance Agreement issued by the Contracting Officer is the authorizing award document. It normally includes, either as an attachment or by reference: (1) Special Terms and Conditions; (2) Applicable program regulations, if any; (3) Application as approved by DOE; (4) DOE assistance regulations at 10 CFR part 600; (5) National Policy Assurances To Be Incorporated As Award Terms; (6) Budget Summary; and (7) Federal Assistance Reporting Checklist, which identifies the reporting requirements.

For grants and cooperative agreements made to universities, non-profits and other entities subject to OMB Circular A-110, the Award also includes the Research Terms and Conditions and the DOE Agency Specific Requirements located at:
<http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp>.

B. Administrative and National Policy Requirements

1. Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR Part 600 (See: <http://ecfr.gpoaccess.gov>). Grants and cooperative agreements made to universities, non-profits and other entities subject to OMB Circular A-110 are subject to the Research Terms and Conditions located on the National Science Foundation web site at: <http://www.nsf.bfa/dias/policy/rte/index.jsp>.

DUNS and CCR Requirements

Additional administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR, Part 25 (See: <http://ecfr.gpoaccess.gov>). Prime awardees must keep their data at CCR current. 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://ecfr.gpoaccess.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 CCR.

2. Special Terms and Conditions and National Policy Requirements

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at
http://management.energy.gov/business_doe/business_forms.htm
<http://www.management.energy.gov/documents/specialtermsandcondition308.pdf>

The National Policy Assurances To Be Incorporated As Award Terms are located at
http://management.energy.gov/business_doe/business_forms.htm
http://management.energy.gov/business_doe/1374.htm

3. Intellectual Property Provisions

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at
http://www.gc.doe.gov/financial_assistance_awards.htm

4. Statement of Substantial Involvement:

DOE will facilitate networking meetings and information sharing platforms for awardees to

connect with each other beginning in Phase 1 to accelerate sharing of successes and promote common approaches to the extent appropriate. Should DOE decide to move forward with Phase 2 of this effort; DOE will coordinate regional collaboration to assist the awardees' development of a common permitting process. DOE may adjust the regions, shown in Figure 2 above, as appropriate based on the total set of awardees entering Phase 2, to ensure that the regions are optimally designed for process standardization.

DOE will also be involved in facilitating active collaboration and coordination among SunShot awardees. In that regard, DOE will provide additional monitoring and oversight to permit specified kinds of direction or redirection of each entity's work due to interrelationships between projects and/or critical programmatic goals. DOE and Federally Funded Research & Development Centers (FFRDCs) and the DOE Clean Energy Regional Application Centers may provide technical assistance, where needed, to assist the recipients in achieving project goals.

C. Reporting

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

SECTION VII - QUESTIONS/AGENCY CONTACTS

A. Questions

Questions related to use of the EERE eXCHANGE website should be submitted to: EERE-ExchangeSupport@hq.doe.gov

Questions related to the Funding Opportunity Announcement must be submitted to solarchallenge@go.doe.gov, and shall be submitted not later than 3 calendar days prior to the final application due date. Questions submitted after that date may not allow the Government sufficient time to respond.

All questions and answers related to this FOA will be posted at <http://eere.energy.gov/financing/exchange>. 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.

SECTION VIII - OTHER INFORMATION

A. Amendments

Notices of any amendments to this announcement will be posted on the EERE eXCHANGE web site. When you create an application record you are then registered to receive

notifications of changes. This notice will be delivered by e-mail to the address listed in your application record.

Notices of any amendments to this announcement will also be available in the Grants.gov system. You can receive an email when an amendment or an announcement message is posted by subscribing to email notifications for this FOA. It is recommended that you register as soon after the release of the FOA as possible to ensure you receive timely notice of any amendments 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 for negotiation and/or award. DOE reserves the right, without qualification, not to make an award to a selected applicant.

C. Commitment of Public Funds

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

D. Proprietary Application Information

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

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

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

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

E. Evaluation and Administration by Non-Federal Personnel

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

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 "Notice of Right to Request Patent Waiver" in paragraph section 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.

Copyright. Requests for permission to assert copyright protection or to use software developed outside of the award must be submitted to the DOE Contracting Officer and must demonstrate that the assertion of copyright protection or use of software developed outside of the award will not interfere with DOE's ability to share and redistribute works for others to build upon in an "open source" manner.

G. Notice of Right to Conduct a Review of Financial Capability

DOE reserves the right to conduct an independent third party review of financial capability for applicants that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

H. Notice of Potential Disclosure under Freedom of Information Act

Applicants should be advised that identifying information regarding all applicants, including applicant names and/or points of contact, may be subject to public disclosure under the Freedom of Information Act, whether or not such applicants are selected for negotiation of award.

REFERENCE MATERIAL

Appendix A – Definitions

“Amendment” means a revision to a Funding Opportunity Announcement

"Applicant" means the legal entity or individual signing the Application. This entity or individual may be one organization or a single entity representing a group of organizations (such as a Consortium) that has chosen to submit a single application in response to a Funding Opportunity Announcement.

"Application" means the documentation submitted in response to a Funding Opportunity Announcement.

“Authorized Organization Representative (AOR)” is the person with assigned privileges who is authorized to submit grant applications through Grants.gov on behalf of an organization. The privileges are assigned by the organization’s E-Business Point of Contact designated in the CCR. **"Award"** means the written documentation executed by a DOE Contracting Officer, after an Applicant is selected, which contains the negotiated terms and conditions for providing Financial Assistance to the Applicant. A Financial Assistance Award may be either a Grant or a Cooperative Agreement.

"Budget" means the cost expenditure plan submitted in the Application, including both the DOE contribution and the Applicant Cost Share.

“Central Contractor Registration (CCR)” is the primary database which collects, validates, stores and disseminates data in support of agency missions. Funding Opportunity Announcements which require application submission through FedConnect or Grants.gov require that the organization first be registered in the CCR at http://www.grants.gov/applicants/get_registered.jspCCRRegister

"Consortium (plural consortia)" means the group of organizations or individuals that have chosen to submit a single Application in response to a Funding Opportunity Announcement.

"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 to be contributed by the Applicant and by DOE. The percentage of Applicant Cost Share is to be applied to the Total

Project Cost (i.e., the sum of Applicant plus DOE Cost Shares) rather than to the DOE contribution alone.

“Data Universal Numbering System (DUNS) Number” is a unique nine-character identification number issued by Dun and Bradstreet (D&B). Organizations must have a DUNS number prior to registering in the CCR. Call 1-866-705-5711 to receive one free of charge. http://www07.grants.gov/applicants/org_step1.jsp://www.grants.gov/applicants/request_duns_number.jsp

“E-Business Point of Contact (POC)” is the individual who is designated as the Electronic Business Point of Contact in the CCR registration. This person is the sole authority of the organization with the capability of designating or revoking an individual’s ability to conduct CCR transactions.

“E-Find” is a Grants.gov webpage where you can search for Federal Funding Opportunities in FedGrants. <http://www.grants.gov/search/searchHome.do>

“eXCHANGE” is a DOE website and the primary means of applying submitting applications in response to EERE Solar Funding Opportunity Announcements (FOAs). The eXCHANGE system facilitates the dissemination of FOA information, such as the details of FOAs or answers to frequently asked questions related to EERE’s Solar Program and to specific FOAs <https://eere-exchange.energy.gov/>

“Financial Assistance” means the transfer of money or property to an Applicant or Participant to accomplish a public purpose of support authorized by Federal statute through Grants or Cooperative Agreements and sub-awards. For DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

“FedConnect” is where federal agencies post opportunities and make awards via the web. Any Applicant can view public postings without registering. However, registered users have numerous added benefits including the ability to electronically submit Applications / Responses to the government directly through this site. <https://www.fedconnect.net/FedConnect//>

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

“Funding Opportunity Announcement (FOA)” is a publicly available document by which a Federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program.

“Grant” means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or

stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the Applicant during the performance of the contemplated activity.

“Grants.gov” is the “storefront” web portal which allows organizations to electronically find grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies.
<http://www.grants.gov>.

“Indian Tribe” means any Indian tribe, band, nation, or other organized group or community, including Alaska Native village or regional or village corporation, as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688)[43 U.S.C. § 1601 et seq.], which are recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

“Key Personnel” mean the individuals who will have significant roles in planning and implementing the proposed Project on the part of the Applicant and Participants, including FFRDCs.

“Marketing Partner Identification Number (MPIN)” is a very important password designated by your organization when registering in CCR. The E-Business Point of Contact will need the MPIN to assign privileges to the individual(s) authorized to perform CCR transactions on behalf of your organization. The MPIN must have 9 digits containing at least one alpha character (must be in capital letters) and one number (no spaces or special characters permitted).

“Participant” for purposes of this Funding Opportunity Announcement only, means any entity, except the Applicant substantially involved in a Consortium, or other business arrangement (including all parties to the Application at any tier), responding to the Funding Opportunity Announcement.

“Principal Investigator” refers to the technical point of contact/Project Manager for a specific project award.

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

“Proposal” is the term used to describe the documentation submitted in response to a Funding Opportunity Announcement. Also see Application.

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

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

"Selection Official" means the DOE official designated to select Applications for negotiation toward Award under a subject Funding Opportunity Announcement.

"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 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.

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

"Tribal Energy Resource Development Organization or Group" means an "organization" of two or more entities, at least one of which is an Indian Tribe (see "Indian Tribe" above) that has the written consent of the governing bodies of all Indian Tribes participating in the organization to apply for a grant or loan, or other assistance under 25 U.S.C. § 3503.

Appendix B – Personally Identifiable Information

In responding to this Announcement, Applicants must ensure that Protected Personally Identifiable Information (PII) is not included in the following documents: Project Abstract, Project Narrative, Biographical Sketches, Budget or Budget Justification. These documents will be used by the Merit Review Committee in the review process to evaluate each application. PII is defined by the Office of Management and Budget (OMB) and DOE as:

Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual.

This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

- a. **Public PII:** PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.
- b. **Protected PII:** PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

Listed below are examples of Protected PII that Applicants must not include in the files listed above to be evaluated by the Merit Review Committee.

- 1. Social Security Numbers in any form
- 2. Place of Birth associated with an individual
- 3. Date of Birth associated with an individual
- 4. Mother's maiden name associated with an individual
- 5. Biometric record associated with an individual
- 6. Fingerprint
- 7. Iris scan
- 8. DNA
- 9. Medical history information associated with an individual
- 10. Medical conditions, including history of disease
- 11. Metric information, e.g. weight, height, blood pressure
- 12. Criminal history associated with an individual
- 13. Employment history and other employment information associated with an individual
- 14. Ratings
- 15. Disciplinary actions
- 16. Performance elements and standards (or work expectations) are PII when they are

so intertwined with performance appraisals that their disclosure would reveal an individual's performance appraisal

17. Financial information associated with an individual
18. Credit card numbers
19. Bank account numbers
20. Security clearance history or related information (not including actual clearances held)

Listed below are examples of Public PII that Applicants may include in the files listed above to be evaluated by the Merit Review Committee:

1. Phone numbers (work, home, cell)
2. Street addresses (work and personal)
3. Email addresses (work and personal)
4. Digital pictures
5. Medical information included in a health or safety report
6. Employment information that is not PII even when associated with a name
7. Resumes, unless they include a Social Security Number
8. Present and past position titles and occupational series
9. Present and past grades
10. Present and past annual salary rates (including performance awards or bonuses, incentive awards, merit pay amount, Meritorious or Distinguished Executive Ranks, and allowances and differentials)
11. Present and past duty stations and organization of assignment (includes room and phone numbers, organization designations, work email address, or other identifying information regarding buildings, room numbers, or places of employment)
12. Position descriptions, identification of job elements, and those performance standards (but not actual performance appraisals) that the release of which would not interfere with law enforcement programs or severely inhibit agency effectiveness
13. Security clearances held
14. Written biographies (e.g. to be used in a program describing a speaker)
15. Academic credentials
16. Schools attended
17. Major or area of study
18. Personal information stored by individuals about themselves on their assigned workstation or laptop unless it contains a Social Security Number

Appendix C – Cost Share Information

Cost Sharing or Cost Matching

The terms “cost sharing” and “cost matching” are often used synonymously. Even the DOE Financial Assistance Regulations, 10 CFR Part 600, use both of the terms in the titles specific to regulations applicable to cost sharing. DOE almost always uses the term “cost sharing,” as it conveys the concept that **non-federal share is calculated as a percentage of the Total Project Cost**. An exception is the State Energy Program Regulation, 10 CFR Part 420.12, State Matching Contribution. Here “cost matching” for the non-federal share is calculated as a percentage of the federal funds only, rather than the Total Project Cost.

How Cost Sharing Is Calculated

As stated above, cost sharing is calculated as a percentage of the Total Project Cost. Following is an example of how to calculate cost sharing amounts for a project with \$1,000,000 in federal funds with a minimum 20% non-federal cost sharing requirement:

Formula: Federal share (\$) divided by Federal share (%) = Total Project Cost

Example: \$1,000,000 divided by 80% = \$1,250,000

Formula: Total Project Cost (\$) minus Federal share (\$) = Non-federal share (\$)

Example: \$1,250,000 minus \$1,000,000 = \$250,000

Formula: Non-federal share (\$) divided by Total Project Cost (\$) = Non-federal share (%)

Example: \$250,000 divided by \$1,250,000 = 20%

See the sample cost share calculation for a blended cost share percentage below. **Keep in mind that FFRDC funding is DOE funding.**

What Qualifies For Cost Sharing

While it is not possible to explain what specifically qualifies for cost sharing in one or even a couple of sentences, in general, if a cost is allowable under the cost principles applicable to the organization incurring the cost and is eligible for reimbursement under a DOE grant or cooperative agreement, then it is allowable as cost share. Conversely, if the cost is not allowable under the cost principles and not eligible for reimbursement, then it is not allowable as cost share. In addition, costs may not be counted as cost share if they are paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing.

The rules associated with what is allowable as cost share are specific to the type of organization that is receiving funds under the grant or cooperative agreement, though are generally the same for all types of entities. The specific rules applicable to:

- Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations are found at 10 CFR600.123;
- State and Local Governments are found at 10 CFR600.224;
- For-profit Organizations are found at 10 CFR600.313.

In addition to the regulations referenced above, other factors may also come into play such as timing of donations and length of the project period. For example, the value of ten years of donated maintenance on a project that has a project period of five years would not be fully allowable as cost share. Only the value for the five years of donated maintenance that corresponds to the project period is allowable and may be counted as cost share.

Additionally, DOE generally does not allow pre-award costs for either cost share or reimbursement when these costs precede the signing of the appropriation bill that funds the award. In the case of a competitive award, DOE generally does not allow pre-award costs prior to the signing of the Selection Statement by the DOE Selection Official.

Following is a link to the DOE Financial Assistance Regulations. You can click on the specific section for each Code of Federal Regulations reference mentioned above.

DOE Financial Assistance Regulations:

<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=98a996164312e8dcf0df9c22912852b0&rgn=div5&view=text&node=10:4.0.1.3.9&idno=10>

As stated above, the rules associated with what is allowable cost share are generally the same for all types of organizations. Following are the rules found to be common, but again, the specifics are contained in the regulations and cost principles specific to the type of entity:

(A) *Acceptable contributions*. All contributions, including cash contributions and third party in-kind contributions, must be accepted as part of the recipient's cost sharing if such contributions meet all of the following criteria:

- (1) They are verifiable from the recipient's records.
- (2) They are not included as contributions for any other federally-assisted project or program.
- (3) They are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
- (4) They are allowable under the cost principles applicable to the type of entity incurring the cost as follows:

(a) *For-profit organizations*. Allowability of costs incurred by for-profit organizations and those nonprofit organizations listed in Attachment C to OMB Circular A-122 is determined in accordance with the for-profit costs principles

in 48 CFR Part 31 in the Federal Acquisition Regulation, except that patent prosecution costs are not allowable unless specifically authorized in the award document.

(b) *Other types of organizations.* Allowability of costs incurred by other types of organizations that may be subrecipients under a prime award is determined as follows:

(i) *Institutions of higher education.* Allowability is determined in accordance with OMB Circular No. A-21 -- Cost Principles for Educational Institutions

(ii) *Other nonprofit organizations.* Allowability is determined in accordance with OMB Circular A-122, Cost Principles for Non-Profit Organizations

(iii) *Hospitals.* Allowability is determined in accordance with the provisions of 45 CFR Part 74, Appendix E, Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals

(iv) *Governmental organizations.* Allowability for State, local, or federally recognized Indian tribal government is determined in accordance with OMB Circular No. A-87, Cost Principles for State, Local, and Indian Tribal Governments

(5) They are not paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing or matching.

(6) They are provided for in the approved budget.

(B) *Valuing and documenting contributions*

(1) *Valuing recipient's property or services of recipient's employees.* Values are established in accordance with the applicable cost principles, which mean that amounts chargeable to the project are determined on the basis of costs incurred. For real property or equipment used on the project, the cost principles authorize depreciation or use charges. The full value of the item may be applied when the item will be consumed in the performance of the award or fully depreciated by the end of the award. In cases where the full value of a donated capital asset is to be applied as cost sharing or matching, that full value must be the lesser or the following:

- (a) The certified value of the remaining life of the property recorded in the recipient's accounting records at the time of donation; or
- (b) The current fair market value. If there is sufficient justification, the contracting officer may approve the use of the current fair market value of the donated property, even if it exceeds the certified value at the time of donation to the project. The contracting officer may accept the use of any reasonable basis for determining the fair market value of the property.

- (2) *Valuing services of others' employees.* If an employer other than the recipient furnishes the services of an employee, those services are valued at the employee's regular rate of pay, provided these services are for the same skill level for which the employee is normally paid.
- (3) *Valuing volunteer services.* Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as cost sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for volunteer services must be consistent with those paid for similar work in the recipient's organization. In those markets in which the required skills are not found in the recipient organization, rates must be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.
- (4) *Valuing property donated by third parties.*
- (a) Donated supplies may include such items as office supplies or laboratory supplies. Value assessed to donated supplies included in the cost sharing or matching share must be reasonable and must not exceed the fair market value of the property at the time of the donation.
 - (b) Normally only depreciation or use charges for equipment and buildings may be applied. However, the fair rental charges for land and the full value of equipment or other capital assets may be allowed, when they will be consumed in the performance of the award or fully depreciated by the end of the award, provided that the contracting officer has approved the charges. When use charges are applied, values must be determined in accordance with the usual accounting policies of the recipient, with the following qualifications:
 - (i) The value of donated space must not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately-owned building in the same locality.
 - (ii) The value of loaned equipment must not exceed its fair rental value.
- (5) *Documentation.* The following requirements pertain to the recipient's supporting records for in-kind contributions from third parties:
- (a) Volunteer services must be documented and, to the extent feasible, supported by the same methods used by the recipient for its own employees.
 - (b) The basis for determining the valuation for personal services and property must be documented.

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

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

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

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

Each task must be calculated individually as follows:

Task 1
\$1,000,000 divided by 80% = \$1,250,000 (Task 1 Cost)
Task 1 Cost minus federal share = Non-federal share
\$1,250,000 - \$1,000,000 = **\$250,000 (Non-federal share)**

Task 2
\$500,000 divided 80% = \$625,000 (Task 2 Cost)
Task 2 Cost minus federal share = Non-federal share
\$625,000 - \$500,000 = **\$125,000 (Non-federal share)**

Task 3
\$400,000 / 50% = \$800,000 (Task 3 Cost)
Task 3 Cost minus federal share = Non-federal share
\$800,000 - \$400,000 = **\$400,000 (Non-federal share)**

Task 4
Federal share = \$100,000
Non-federal cost share is not mandated for outreach = **\$0 (Non-federal share)**

The calculation may then be completed as follows:

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

Blended Cost Share %

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

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

Appendix D – Budget Justification

Using the “Object Class Categories” cost category sections in the SF-424A Budget form, justify the costs in each category for each budget period of the project.

The SF424A Budget form and budget justification must include both Federal (DOE), and Non-Federal (cost share) funds, thereby reflecting TOTAL PROJECT COSTS proposed.

For each sub-recipient with total project costs of \$100,000 or more, a separate SF-424A budget form and budget justification form must be submitted. For sub-recipients with estimated costs less than \$100,000, provide what Statement of Project Objectives task(s) are being performed, the purpose/need for the effort, and a basis of the estimated costs that is considered sufficient for DOE evaluation.

All costs incurred by the Applicant’s sub-recipients, vendors, contractors, consultants and Federal Research and Development Centers (FFRDCs), should be entered only in section f. Contractual. All other sections are for the costs of the Applicant only.

Personnel

List costs solely for employees of the Applicant. Identify positions to be supported. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the amounts of time (e.g., hours or % of time) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., actual salary, labor distribution report, technical estimate, state civil service rates, etc.). Identify the number of employees (on a Full Time Equivalent) that will be employed in each position or group category. Note the prevailing wage requirements in the ARRA (P.L. 111-5). See example below.

		Budget Period 1			Budget Period 2			Budget Period 3					
		Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 1	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 2	Time (Hours)	Pay Rate (\$/Hr)	Total Budget Period 3			
Task 1. – Task Name	Sr. Engineer (1)	2000	\$85.00	\$170,000	200	\$50.00	\$10,000	200	\$50.00	\$10,000	2400	\$190,000	Actual Salary
*Task 2 – Task Name	Process engineers (3)	6200	\$35.00	\$217,000	400	\$35.00	\$14,000	600	\$35.00	\$21,000	7200	\$252,000	Actual Salary
*Task 3 – Task Name	Technician (1)	1800	\$20.00	\$36,000	0	\$0.00	\$0	0	\$0.00	\$0	1800	\$36,000	Actual Salary

Fringe

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

IMPORTANT: Provide all fringe rates, along with a complete explanation and the full

calculations used to derive the total fringe costs. If the total fringe costs are a cumulative amount of more than one calculation or rate application, the explanation and calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). The rates and how they are applied should not be averaged to get one fringe rate. NOTE: The fringe rate should be applied to both the Federal Share and Recipient Cost Share.

Travel

See example of travel detail below. Identify total Foreign and Domestic Travel as separate items. Purpose of travel are items such as professional conferences, DOE sponsored meetings, project management meetings, etc. Identify number of travelers, estimated cost per traveler, and duration of trip. The Basis for Estimating Costs could be items such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for performance of the Statement of Project Objectives. NOTE: All projects should include travel for 1-2 travelers to a DOE project review during each year of the project. Each review will take approximately 2-3 days.

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

Equipment

Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year. All proposed equipment should be identified, providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying its need as it applies to the Statement of Project Objectives. If it is existing equipment, and the value of its contribution to the project budget is being shown as cost share, provide logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown. For equipment over \$50,000 in price, also include a copy of the associated vendor quote or catalog price list. See example below.

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

Materials and Supplies

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

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

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

Contractual

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

Sub-recipients (partners, sub-awardees):

For each sub-recipient with total project costs greater than or equal to \$100,000 or more, a separate SF-424A budget and budget justification form must be submitted. For sub-recipients with estimated costs less than \$100,000, provide what Statement of Project Objectives task(s) are being performed, the purpose/need for the effort, and a basis of the estimated costs that is considered sufficient for DOE evaluation.

Vendors (includes contractors and consultants):

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

Federal Research and Development Centers (FFRDCs):

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

Sub-Recipient Name/Organization	Purpose/Tasks in SOPO	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
EXAMPLE ONLY!!! XYZ Corp.	Partner to develop optimal fresnel lens for Gen 2 product - Task 2.4	\$48,000	\$32,000	\$16,000	\$96,000
†	Sub-total	\$48,000	\$32,000	\$16,000	\$96,000
Vendor Name/Organization	Product or Service, Purpose/Need and Basis of Cost (Provide additional support at bottom of page as needed)	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total

EXAMPLE ONLY!!! ABC Corp.	Vendor for developing custom robotics to perform lens inspection, alignment, and placement (Task 4). Required for expanding CPV module mfg. capacity. Cost is from competitive quotes.	\$32,900	\$86,500	†	\$119,400
†	Sub-total†	\$32,900	\$86,500	\$0	\$119,400
FFRDC Name/Organization	Purpose	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Project Total
†		†	†	†	\$0
†	Sub-total†	\$0	\$0	\$0	\$0
Total Contractual	†	\$80,900	\$118,500	\$16,000	\$215,400

Construction

Construction, for the purpose of budgeting, is defined as all types of work done on a particular facility, including erecting, altering, or remodeling. Construction conducted by the award recipient should be justified in this category. Any construction work that is performed by a vendor or subrecipient to the award recipient should be entered under “Contractual.” Identify all proposed construction, providing a basis of cost such as engineering estimates, prior construction, etc., and briefly justify its need as it applies to the Statement of Project Objectives. For major endeavors, a copy of the engineering estimate or quote should also be provided. See example below.

Overall description of construction activities: Example Only!!! - Build wind turbine platform			
General Description	Cost	Basis of Cost	Justification of need
Budget Period 1			
Three days of excavation for platform site EXAMPLE ONLY!!!	\$28,000	Engineering estimate	Site must be prepared for construction of platform.
Budget Period 1 Total	\$28,000	†	†
(repeat as necessary for each Budget Period)			

Other Direct Costs

Other direct costs are direct cost items required for the project which do not fit clearly into other categories, and are not included in the indirect pool for which the indirect rate is being applied to this project. Basis of cost are items such as vendor quotes, prior purchases of similar or like items, published price list, etc.

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

Indirect Costs

A federally approved indirect rate agreement, or rate proposed supported and agreed upon by DOE for estimating purposes is required if reimbursement of indirect benefits is requested. If there is a federally approved indirect rate agreement, a copy must be provided with this

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

IMPORTANT: Provide a complete explanation and the full calculations used to derive the total indirect costs. If the total indirect costs are a cumulative amount of more than one calculation or rate application, the explanation and calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). The rates and how they are applied should not be averaged to get one indirect cost percentage. **NOTE:** The indirect rate should be applied to both the Federal Share and Recipient Cost Share.

Cost Share

A detailed presentation of the cash or cash value of all cost share proposed for the project must be provided. Identify the source and amount of each item of cost share proposed by the Applicant and each sub-recipient. Letters of commitment must be submitted for all third party cost share contributions other than award recipient).

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

Funds from other Federal sources MAY NOT be counted as cost share. This prohibition includes FFRDC sub-recipients. Non-Federal sources include private, state or local Government, or any source not originally derived from Federal funds.

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

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

Appendix E – Suggested Letter Format for the Independent Industry Verification

[Insert DOE POC and address]

Department of Energy Reviewers:

This letter serves as verification that we have reviewed the Market Evaluation prepared by *[insert Lead Applicant name]* and agree with the information reported for the following jurisdictions *[insert names of jurisdictions for which the company is providing verification]*. Our company represents a significant portion of *[insert applicable sector – residential, commercial, or residential and commercial]* PV sales in the above jurisdictions. Based on our experience doing business in these jurisdictions, the information reported is an accurate reflection of the status of the permitting and interconnection processes in these jurisdictions.

Sincerely,

[Company POC Name]
[Company POC Title]
[Address]
[Phone Number]