

FINANCIAL ASSISTANCE FUNDING OPPORTUNITY ANNOUNCEMENT



U.S. Department of Energy
Golden Field Office

Renewable Energy and Energy Efficiency Deployment in Indian
Country

Funding Opportunity Number: DE-PS36-09GO99014

Announcement Type: Modification 002

CFDA Number: 81.087

Issue Date: January 27, 2009

Application Due Date: April 30, 2009, 11:59 PM Eastern Time

NOTE: Applicants are now instructed to submit their applications to https://www.eere-pmc.energy.gov/RecipientDocs/Upload_FOA.aspx to be considered for award. Please review Modification 002 for updated application instructions. Applications will NOT be accepted through Grants.gov or IIPS for this Announcement.



Department of Energy

Golden Field Office
1617 Cole Boulevard
Golden, Colorado 80401-3393

DE-PS36-09G099014
Modification No. 002

DATE: March 18, 2009
FROM: Sara Wilson, Contracting Officer
TO: All Prospective Applicants

SUBJECT: Modification No. 002 to Announcement DE-PS36-09G099014,
"Renewable Energy and Energy Efficiency Deployment in Indian Country"

The Announcement is modified as follows:

1) This modification removes the requirement to submit Applications to Grants.gov and to identify the required file naming convention for the Adobe Application Package.

Therefore, this Announcement is modified to delete and replace PART IV.A. ADDRESS TO REQUEST APPLICATION PACKAGE and PART IV. H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS, with the following:

A. ADDRESS TO REQUEST APPLICATION PACKAGE

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

Save the Adobe Application Package in a single file, using up to 10 letters of the Applicant's Organization Name as the file name (e.g., UCLA.pdf). If your organization is submitting more than one Application, you must identify an application number at the end of each file name (e.g., UCLA1).

H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

1. Where to Submit

APPLICATIONS MUST BE SUBMITTED TO https://www.eere-pmc.energy.gov/RecipientDocs/Upload_FOA.aspx AGAINST THIS ANNOUNCEMENT, TO BE CONSIDERED FOR AWARD.

2. Information Required

- a. Enter your Name, Phone Number, Organization, and Email Address and click on "Continue"
- b. Select the appropriate Announcement to which you are applying and click on "Continue"
- c. Click on "Browse", attach the Adobe Application Package for this Announcement (should contain all of the completed forms identified in Part IV.C. CONTENT AND FORM OF APPLICATION" within the one file), and click on "Upload Files".

You will receive an automatic, on-screen notification that you have successfully uploaded your Application, along with the date, time, and file that was uploaded. In addition, you will receive an email confirmation.

2) In addition, this modification extends the Application due date. In Part IV.E, the Application due date is extended to **April 30, 2009**, 11:59 PM Eastern Time.

All other content of the Announcement remains unchanged. Please continue to submit any questions regarding the content of this Announcement through the "Submit Question" feature of the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>, as indicated in PART VII – QUESTIONS.



Department of Energy

Golden Field Office

1617 Cole Boulevard

Golden, Colorado 80401-3393

DE-PS36-09GO99014
Modification No. 001

DATE: March 5, 2009
FROM: Sara Wilson, Contracting Officer
TO: All Prospective Applicants

SUBJECT: Modification No. 001 to Announcement DE-PS36-09G099014,
"Renewable Energy and Energy Efficiency Deployment in Indian Country"

The Announcement is amended as follows:

1) This amendment notifies Applicants that the Adobe Application package has been posted in Grants.gov for download.

To access the Adobe Application package, go to <http://www.grants.gov>, select "Apply for Grants," and then select "Download Application Package." Enter the CFDA and/or the funding opportunity number located on the cover of the announcement and then follow the prompts to download the application package. Note that Grants.gov requires Applicants to use the compatible version of Adobe Reader software to complete the Grants.gov Adobe application package. To ensure you have the Grants.gov compatible version of Adobe Reader, visit the download software page at http://www.grants.gov/help/download_software.jsp

2) In addition, this amendment notifies Applicants of a new form required as part of the Adobe Application package entitled "Project/Performance Site Locations". Part III.C. of the Funding Opportunity Announcement is modified to add the requirement as follows:

Project/Performance Site Location(s).

Indicate the primary site where the work will be performed. If a portion of the project will be performed at any other site(s), identify the site(s).

3) Applicants are notified that instructions regarding the **SF424 – Application for Federal Assistance** in Part III.C, of the Funding Opportunity Announcement are deleted and replaced by the following:

SF424 – Application for Federal Assistance

Complete this form first to populate data in other forms. Complete all required fields in accordance with the instructions on the form. Include the Topic Area with the descriptive title of the project in Block 15. The list of certifications and assurances referenced in Field 21 can be found at http://management.energy.gov/business_doe/business_forms.htm, under Certifications and Assurances.

All other content of the Announcement remains unchanged.

NOTE: REQUIREMENTS FOR GRANTS.GOV

Where to Submit

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

Registration Requirements

There are several one-time actions you must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See <http://www.grants.gov/GetStarted>. Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/section3/OrganizationRegCheck.pdf> to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements.

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

Microsoft Vista and Office 2007 Compatibility

Grants.gov is currently incompatible with both the new Microsoft (MS) Vista Operating System and the new Microsoft (MS) Office 2007 versions of Word, Excel, and Power Point. In order to create and submit your application to Grants.gov, you must find a computer with a previous version Microsoft Operating System, such as Windows XP.

If you attach a file created using MS Office 2007, you will not get an error message when you submit the application, HOWEVER, your entire application will not be able to be processed or accepted at Grants.gov and will not reach DOE. Grants.gov can accept applications with attachments created in MS Office 2007 if the attachments are saved in the prior format. See the http://www.grants.gov/assets/Vista_and_office_07_Compatibility.pdf for detailed instructions on how to do this. A file created in MS Office 2007 can be identified by the "x" at the end of the file extension, for example "sample.docx" for a Word file. Contact Grants.gov at 1-800-518-4726 with any questions.

Questions

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov. Part VII of this announcement explains how to submit other questions to the Department of Energy (DOE).

Application Receipt Notices

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of five e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to 2 business days from application submission to receipt of email Number 2. You will know that your application has reached DOE when the AOR receives email Number 5. You will need the Submission Receipt Number (email Number 1) to track a submission. The titles of the five e-mails are:

Number 1 – Grants.gov Submission Receipt Number

Number 2 – Grants.gov Submission Validation Receipt for Application Number

Number 3 – Grants.gov Grantor Agency Retrieval Receipt for Application Number

Number 4 – Grants.gov Agency Tracking Number Assignment for Application Number

Number 5 – DOE e-Center Grant Application Received

The last email will contain instructions for the AOR to register with the DOE e-Center. If the AOR is already registered with the DOE e-Center, the title of the last email changes to: Number 5 – DOE e-Center Grant Application Received and Matched. This email will contain the direct link to the application in IIPS. The AOR will need to enter their DOE e-Center user id and password to access the application.

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PART I – FUNDING OPPORTUNITY DESCRIPTION

A. GENERAL INFORMATION

The Department of Energy's (DOE), Office of Energy Efficiency and Renewable Energy is soliciting applications for the development or construction of renewable energy projects or the implementation of energy efficiency improvements in Indian Country. This effort is being undertaken under the provisions of Title V of the Energy Policy Act (EPA) of 2005.

Under this announcement, DOE is soliciting applications from Indian Tribes, Tribal Energy Resource Development Organizations or Tribal Consortia for one or more of the following:

- 1) Installation of efficiency improvements to existing Tribally-owned buildings, including;
 - o Energy efficiency improvements; and/or
 - o Renewable energy system installations for building heating or cooling; or
- 2) Pre-construction activities for renewable energy projects; or
- 3) Construction of renewable energy projects for power production.

Multiple applications may be submitted from a single applicant, as long as each is specific to only one of the three topic areas above. All applications must designate the specific topic area under which that application is being submitted in the Project Summary/Abstract and on the cover of the Narrative file (see Part IV.C., Content and Form of Application).

Successful applications under building energy efficiency improvements must demonstrate the potential for a 30% reduction in energy usage and applications proposing the use of renewable energy systems for building heating and cooling must meet at least 30% of the building heating or cooling load. Applications for the development or construction of renewable energy projects less than 1 MW at the point of interconnection will not be considered.

A comprehensive project plan that demonstrates the potential for substantial energy savings, reduced fossil fuel usage, or generation must be provided as part of the application. The comprehensive project plan should specify the intended market (for local use or for export), demonstrate financing capabilities or the availability of non-Federal project investment funds, demonstrate organizational commitments and strategic partnerships, and provide a thorough implementation plan for the development or installation of commercial renewable energy hardware or the implementation of energy efficiency improvements.

DOE will only consider applications from an Indian Tribe, Tribal Energy Resource Development Organization, or Tribal Consortium on whose Indian Lands the project will be located (see Part III, Eligibility Information, for a further definition).

Applications proposing the evaluation of product marketing opportunities, resource assessments, feasibility studies, assessment of manufacturing opportunities, research, product development, or the construction of manufacturing facilities will not be considered. All proposed materials, equipment or hardware systems must be commercially available and warranted.

A Tribal Council Resolution by each participating Indian Tribe, declaration from each Tribal Energy Resource Development Organization entity or Tribal Consortium, and a letter of commitment from all other project participants, are required as a part of the application. See Part IV.C., Content and Form of Application, for requirements.

Selected applicants will be required to document progress in quarterly reports and the results in a comprehensive final report, as well as present at annual Tribal Energy Program Reviews to be held each Fall in Denver, Colorado. For planning purposes, applicants should plan to attend and present project activities each Fall during the project period. Travel costs for a one-week trip each Fall should be included in the proposed budget.

Performance under this Funding Opportunity Announcement is contingent upon the availability of appropriated funds from which financial assistance awards can be made.

B. MERIT REVIEW CRITERIA DISCUSSION

The Tribe, Tribal Energy Resource Development Organization, or Tribal Consortium must demonstrate the organizational and technical readiness to develop or deploy renewable energy system(s) or implement energy efficiency improvements in Indian Country.

Applications must identify and provide evidence of the availability and sustainability of the renewable energy resource or the potential for energy savings, address how the use of energy efficiency and renewable energy will integrate with the cultural, social, and long-term goals of the Tribe, identify the potential for job creation, the potential for economic and environmental benefits to the Tribal community, and the potential for replication or expansion across Indian Country. The application must also identify the barriers to implementation that justify the need for DOE funding, document how the projects will be financially sustained after DOE funding, and demonstrate the capability to deploy renewable energy or energy efficiency measures in Indian Country.

The ability of the applicant to complete environmental analyses and obtain environmental permits and approvals will be a major factor in selecting projects for funding. The applicant is expected to describe and supply evidence of any environmental analyses and approvals obtained to date (e.g., Tribal, Federal, State, or local permitting, Indian Mineral Development Act (IMDA), National Environmental Policy Act (NEPA), or other) and describe those needed before the proposed project can be implemented (see Part I.B. Merit Review Criterion Discussion and Part V.A. Criteria). If funded, recipients will be required to obtain any required permits or approvals and comply with applicable Tribal, Federal, State, and municipal laws, codes, and regulations for work performed. The activities and timeline for the proposed project should address any pending environmental analyses or approvals, and the associated costs included in the budget.

The availability and sustainability of the renewable energy resource or potential energy savings, level of commitment, and capabilities of the applicant and project participants to accomplish the project objectives will be major factors in selecting projects for funding. Successful applications should demonstrate the potential for sustainability, projected economic and environmental benefits to the tribal community, and the potential for replication or expansion across Indian country.

The Project Narrative should address each of the following elements. See Part IV.C., Content and Form of Application, for additional instructions on the application content. See Section II below for eligible technologies and requirements.

Section I: Goals and Objectives

- Provide a concise overview of the proposed project including: a discussion of the goals of the Tribe, Tribal Energy Resource Development Organization or Tribal Consortium; long-term Tribal energy vision; objectives of the project; and the project location(s). Maps may be included as an attachment, if needed, under the Resource Assessment File (see Part IV.C., Content and Form of Application).
- Provide a description of the Tribe, Tribal Energy Resource Development Organization, or Tribal Consortium including the project management structure.
- Describe how the proposed project integrates with the cultural, social, and long-term energy goals of the Tribe, Tribal Energy Resource Development Organization or Tribal Consortium.
- Provide a description of the anticipated economic, environmental, cultural, and social benefits to the Tribe(s) and Tribal members as a result of the project.
- Describe the potential or plans for future replication or expansion of the project beyond that currently proposed.
- Define how the project will be financially sustained after DOE funding.
- Provide justification for DOE funding.

Section II: Project Description and Implementation Plan

Applicants may propose building efficiency projects, including installation of energy efficiency improvements or renewable energy systems for heating and cooling; pre-construction activities leading towards the deployment of renewable energy systems; or construction of renewable energy projects for power production. Each application may only address one of the three topic areas and should address each of the elements under the applicable topic area below.

Topic Area 1: Building Efficiency:

Under building efficiency, applicants may propose the installation of:

- 1) Energy efficiency improvements; and/or
- 2) Renewable energy systems to meet the building's heating or cooling load

Applications proposing the installation of energy efficiency improvements or renewable energy systems for building heating and cooling must have completed energy audits, documented current energy consumption or heating and cooling loads, detailed engineering including engineering drawings or material lists if for energy efficiency measures, a proven renewable energy resource if for heating and cooling, projected energy savings or fossil fuel reduction, estimated retrofit costs, demonstrated financing capabilities or non-Federal investment funds, financial sustainability documented by projected cash flow estimates, defined operation and/or maintenance plans.

All proposed retrofits must be to existing Tribally-owned buildings. For purposes of this announcement, a "Tribally-owned building" is one where the Tribe has the authority to retrofit the facility and is either owned by the Tribe or Tribal members, or where the Tribe has a long-term lease. Buildings may include, but are not limited to, homes, schools, community buildings, clinics, or tribal government buildings. Only existing tribally-owned buildings will be considered. No new construction will be considered for funding.

Energy efficiency improvements to existing tribally-owned buildings include, but are not limited to, building envelope improvements leading to significant reductions in heating and/or cooling costs, space heating and cooling, water heating, lighting, appliances, office equipment and building electrical equipment.

For purposes of this announcement, building efficiency also includes the installation of renewable energy systems for heating or cooling buildings. Heating or cooling applications include, but are not limited to, the use of biomass for high efficiency stoves, boilers or furnaces, active or passive solar thermal systems for space or water heating, direct heating or cooling using geothermal resources (including ground source heat pumps), or other renewable energy hybrid systems for the production of heat or air cooling.

Successful applications under building efficiency must demonstrate the potential for at least a 30% reduction in energy usage for energy efficiency improvements and for heating and cooling applications the generation of at least 30% of the building heating and cooling load.

Each application under Building Efficiency must include the following, as well as those elements specific to the nature of the proposed project: 1) energy efficiency improvements; and/or 2) installation of renewable energy systems to meet the buildings heating or cooling load.

- Provide a detailed description of the proposed project.
- Identify the existing buildings to be retrofitted, including: number of buildings, building type (e.g., homes, schools, community buildings, clinics, or tribal government buildings); size of each building (square footage); location of each building, and for solar applications, building orientation. Maps may be included as an attachment, if needed, under the Resource Assessment File (see Part IV.C., Content and Form of Application).
- Describe the current energy use of each tribally-owned building to be retrofitted, including: the fuel type (e.g., diesel fuel, propane, heating oil, wood, natural gas or electric); quantify the current energy use or heating load of each building (gallons, tons/year, therms or BTU/year, or kWh if electric heat); quantify the cost of each fuel source; and provide a description of the current energy supplier. Any supplemental data can be supplied as attachments under the Energy Use and Energy Audit File (See Part IV.C., Content and Form of Application).
- Summarize the energy audit results for each building proposed for retrofit and supply the energy audit reports as attachments under the Energy Use and Energy Audit File (See Part IV.C., Content and Form of Application).
- Quantify the potential energy savings (i.e., cost and amounts) or reduction (i.e., costs and amounts) in fossil fuels as a result of the proposed project. Supplemental calculations of energy or cost savings may be included under the Energy Use and Energy Audit File (See Part IV.C., Content and Form of Application). **At least a 30% reduction in energy use or generation of at least 30% of the buildings heating and cooling load is required.**
- Provide an assessment of the potential benefits including employment, cultural and social benefits to the Tribe and Tribal community.
- Identify any barriers or obstacles that could impede the project and describe plans to overcome those barriers or obstacles. Barriers or obstacles might include permitting or approval delays, suppliers/vendor contracts, equipment delivery, or project co-financing.
- Provide an economic assessment for the proposed project including estimated retrofit costs and provide a financial pro-forma showing the expected cash flow for the project. Detailed

economic or cash flow calculations can be provided under the Study and Assessment File (See Part IV.C., Content and Form of Application).

- Describe how the project will be financially sustained after DOE funding is expended.
- Describe the long-term system operation and maintenance plan.
- Describe training plans for the operation and maintenance of the renewable energy or energy efficiency systems.
- Describe efforts taken or to be undertaken to gain Tribal community support.

Energy Efficiency Improvements

For applications proposing the installation of energy efficiency improvements, also provide the following:

- Provide a detailed description of the building energy efficiency measures (e.g., building envelope, lighting, appliances, office equipment and building electrical equipment) to be implemented and provide a materials or equipment list under the Design and Engineering File (See Part IV.C., Content and Form of Application). Only commercial materials, supplies, or equipment will be considered for funding.
- Describe the methodology to be used to implement those measures.

Renewable Energy System Installations

For applications proposing the installation of renewable energy systems to meet the buildings heating or cooling load, also provide the following:

- Describe the availability and sustainability of the renewable energy resource(s). Supply evidence including site maps, resource maps, and quantitative resource data (see below) documenting those resources as an attachment (see Resource Assessment File under Part IV.C., Content and Form of Application).
 - For biomass systems, provide a forest management plan that demonstrates the sustainability of the forest resource, quantifies the available biomass feedstock (tons/year) for use in the proposed project, describes the land ownership and the harvesting and delivery plan or provide a feedstock supply agreement as evidence of the availability of the resource under the Agreements File (also, see Criterion III, Roles, Responsibilities, Capabilities, and Resources).
 - For geothermal power systems, provide as a minimum quantitative monthly temperature and flow data traceable to a verifiable data source for the geothermal resource proposed.
 - For solar systems, provide as a minimum quantitative monthly resource data traceable to a verifiable data source.
- Describe the renewable energy technologies to be installed and the rationale for choosing those technologies. Supply a description of the hardware specifications and warranties associated with that technology. Only commercial warranted hardware will be considered for funding. Supplemental data can be included as an attachment under the Design and Engineering File (See Part IV.C., Content and Form of Application).
 - For biomass applications, describe any post harvesting processing (e.g., split logs, wood chips, pellets), fuel handling, and storage. Include a description of the technology to be used and the rationale for choosing those processing, handling or storage technologies. Any feedstock supply agreements should be included under the Agreements File (also, see Criterion III, Roles, Responsibilities, Capabilities, and Resources).

Topic Area 2: Pre-construction Activities for Renewable Energy Projects:

Pre-construction activities for purposes of this announcement are activities leading towards future construction. Applications may include generation for local consumption or for export off Indian Lands to generate revenue. Pre-construction activities for purposes of this announcement may include, but are not limited to: environmental assessments; detailed design or engineering drawings; interconnection assessments for grid-connected projects; negotiations for utility grid interconnect agreements and power purchase agreements; permitting; finalizing business agreements; conducting due diligence on selected technologies; and negotiating and obtaining financial commitments.

Applications for pre-construction activities must be the result of a previously conducted feasibility study that demonstrated the viability of renewable energy development and the results of that study must be included as part of the application as described below. Feasibility studies can be the results of a previously funded project through DOE's Tribal Energy Program, other programs, funded through another Federal agency, or conducted using Tribal or third party resources.

Successful applications must demonstrate the potential for at least 1 MW at the point of interconnection using renewable energy resources.

- Provide a detailed description of the proposed project.
- If for local consumption, identify the fuel type (e.g., diesel fuel, propane, heating oil, wood, natural gas or electric); quantify current energy use (gallons, liters/year, tons/year, therms or BTUs/year, kWh); quantify the cost of each fuel source; and provide a description of the current energy supplier. Any supplemental data can be supplied as attachments under the Energy Use and Energy Audit File (See Part IV.C., Content and Form of Application).
- Quantify the potential reduction (i.e., costs and amounts) in fossil fuels or power to be produced as a result of the proposed project. Supplemental calculations of energy or cost savings may be included under the Energy Use and Energy Audit File (See Part IV.C., Content and Form of Application). **A minimum of 1 MW in generation at the point of interconnection is required.**
- Describe the availability and sustainability of the renewable energy resource(s). Provide evidence including site maps, resource maps, and quantitative resource data (see below) documenting those resources as an attachment (see Resource Assessment File under Part IV.C., Content and Form of Application).
 - For biomass systems, supply a Forest Management Plan that demonstrates the sustainability of the forest resource, quantifies the available biomass feedstock (tons/year) for use in the proposed project, describes the land ownership and the harvesting and delivery plan or provide a feedstock supply agreement as evidence of the availability of the resource under the Agreements File (see Part V., A, Criterion 4, Roles, Responsibilities, Capabilities, and Resources).
 - For wind systems, supply at least one year's worth of anemometer data (i.e., wind speed and wind direction) applicable to the proposed wind turbine (i.e. data must have been obtained at turbine hub-height or reasonably extrapolated to hub-height). Specify site elevation and the height at which measurements were taken.
 - For geothermal power systems, supply as a minimum quantitative monthly temperature and flow data traceable to a verifiable data source for the geothermal resource proposed.
 - For solar systems, supply as a minimum quantitative monthly resource data traceable to a verifiable data source.

- For hydroelectric systems, supply as a minimum quantitative monthly flow data traceable to a verifiable data source and identify the hydrodynamic head for the site proposed.
- Describe the renewable energy technologies planned for future construction or the activities to be conducted to choose technologies. Only commercial warrantied hardware will be considered for funding. Supplemental data can be included as an attachment under the Design and Engineering File (See Part IV.C., Content and Form of Application).
 - For biomass applications, describe any post harvesting processing (e.g., split logs, wood chips, pellets), fuel handling, and storage. Include a description of the technology to be used and the rationale for choosing those processing, handling or storage technologies. Any feedstock supply agreements should be included under the Agreements File (also, see Criterion 4, Roles, Responsibilities, Capabilities, and Resources).
- If power market export is proposed, describe the results of any completed power market assessments and supply the assessment as part of the Study and Assessment File (See Part IV.C., Content and Form of Application). If a power market assessment is planned as part of the development project, describe the potential power purchasers, activities to be conducted as part of the project, and plan to obtain a Power Purchase Agreement. If a Power Purchase Agreement has been obtained, describe the agreement and supply that agreement as part of the Agreements File (See Part IV.C., Content and Form of Application).
- If power export is proposed, describe the available transmission, aspects for study under the proposed project, and plans to obtain transmission and interconnection agreements. If an interconnection and transmission assessment has been completed, describe the assessment and supply the study results under Study and Assessment File (See Part IV.C., Content and Form of Application). If interconnection and transmission agreements have been obtained, include those agreements as part of the Agreements File (See Part IV.C., Content and Form of Application).
- Provide a preliminary economic assessment for the proposed project and describe the plan to obtain necessary financing. Supplemental economic or cash flow calculations can be provided under the Study and Assessment File (See Part IV.C., Content and Form of Application).
- Describe the potential benefits of the proposed future installation including employment, cultural and social benefits to the Tribe and Tribal community.
- Identify any barriers or obstacles that could impede the development of the project and describe those plans to overcome those barriers or obstacles. Barriers or obstacles might include permitting or approval delays, lack of community support, hardware availability, or availability of co-financing.
- Describe the preliminary system operation and maintenance plan or the planning activities to be conducted as part of the proposed project to define an operation and maintenance plan.
- Describe preliminary training plans for the operation and maintenance of the renewable energy systems or the planning activities to be conducted as part of the proposed project to define the training plans.
- Describe efforts taken or to be undertaken to gain Tribal community support.
- Describe the business and organizational plan or those activities to be conducted as part of the proposed project to define a business or organizational plan.

Topic Area 3: Construction of Renewable Energy Power Projects:

Applications proposing the construction of renewable energy projects must have completed detailed engineering, have a proven renewable energy resource, projected power production calculations, a documented load for local consumption or a defined market if for export, available transmission capacity and interconnect agreements, demonstrated financing capabilities or non-Federal investment funds, financial sustainability documented by projected cash flow estimates, defined commissioning plan, and operation and maintenance plans for post construction.

Renewable energy for power (electricity) production includes, but is not limited to, the use of renewable energy for: direct electrical generation, water pumping, or other grid connected or off-grid power uses. Power applications include, but are not limited to, the use of biomass for power production, photovoltaic (solar electric), concentrating solar thermal power, geothermal electric generation, wind power, hydroelectric power, or other renewable energy hybrid system for electricity production. Applications may include generation for local consumption or for export off Indian Lands to generate revenue. **Successful applications proposing the production of power must demonstrate the potential generation of at least 1 MW.**

- Provide a detailed description of the proposed project.
- If for local consumption, identify the fuel type (e.g., diesel fuel, propane, heating oil, wood, natural gas or electric); quantify current energy use (gallons, liters/year, tons/year, therms or BTUs/year, kWh); quantify the cost of each fuel source; and provide a description of the current energy supplier. Any supplemental data can be supplied as attachments under the Energy Use and Energy Audit File (See Part IV.C., Content and Form of Application).
- Quantify the reduction (i.e., costs and amounts) in fossil fuels or power to be produced as a result of the proposed project. Supplemental calculations of energy or cost savings may be included under the Energy Use and Energy Audit File (See Part IV.C., Content and Form of Application). **A minimum of 1 MW in generation is required.**
- Describe the availability and sustainability of the renewable energy resource(s). Supply evidence including site maps, resource maps, and quantitative resource data (see below) documenting those resources as an attachment (see Resource Assessment File under Part IV.C., Content and Form of Application).
 - For biomass systems, supply a Forest Management Plan that demonstrates the sustainability of the forest resource, quantifies the available biomass feedstock (tons/year) for use in the proposed project, describes the land ownership and the harvesting and delivery plan or provide the feedstock supply agreement as evidence of the availability of the resource under the Agreements File (see Criterion 4, Roles, Responsibilities, Capabilities, and Resources).
 - For wind systems, supply at least one year's worth of anemometer data (i.e., wind speed and wind direction) applicable to the proposed wind turbine (i.e. data must have been obtained at turbine hub-height or reasonably extrapolated to hub-height). Specify site elevation and the height at which measurements were taken.
 - For geothermal power systems, supply as a minimum quantitative monthly temperature and flow data traceable to a verifiable data source for the geothermal resource proposed.
 - For solar systems, supply as a minimum quantitative monthly resource data traceable to a verifiable data source.
 - For hydroelectric systems, supply at a minimum quantitative monthly flow data traceable to a verifiable data source and identify the hydrodynamic head for the site proposed.

- Describe the renewable energy technologies to be installed and the rationale for choosing those technologies. Describe the design, hardware specifications and warranties associated with that hardware. Only commercial warranted hardware will be considered for funding. Performance specifications and warranties, engineering drawings, and any other supplemental data can be included as an attachment under the Design and Engineering File (See Part IV.C., Content and Form of Application).
 - For biomass applications, describe any post harvesting processing (e.g., split logs, wood chips, pellets), fuel handling, and storage. Include a description of the technology to be used and the rationale for choosing those processing, handling or storage technologies. Any feedstock supply agreements should be included under the Agreements File (also, see Criterion III, Roles, Responsibilities, Capabilities, and Resources).
- If power market export is proposed, describe the results of the power market assessment and supply the assessment as part of the Study and Assessment File (See Part IV.C., Content and Form of Application).
- If power export is proposed, supply a signed Power Purchase Agreement (PPA) as part of the Agreements File (See Part IV.C., Content and Form of Application).
- Describe the transmission and interconnection agreement(s), provide the interconnection study as an attachment under the Study and Assessment File (See Part IV.C., Content and Form of Application), and supply those agreements under the Agreements File (See Part IV.C., Content and Form of Application).
- Provide an assessment of the potential benefits including employment, cultural and social benefits to the Tribe and Tribal community.
- Identify any barriers or obstacles that could impede the project and describe plans to overcome those barriers or obstacles. Barriers or obstacles might include permitting or approval delays, suppliers/vendor contracts, equipment delivery, or project co-financing.
- Provide an economic assessment for the proposed project and supply a financial pro-forma showing the expected cash flow for the project. Supplemental economic or cash flow calculations can be provided under the Study and Assessment File (See Part IV.C., Content and Form of Application).
- Describe how the project will be financially sustained after DOE funding is expended.
- Describe the long-term system operation and maintenance plan for the proposed facility.
- Describe training plans for the operation and maintenance of the proposed renewable energy facility.
- Describe efforts taken or to be undertaken to gain Tribal community support.

Section III: Environmental Considerations

- Summarize the environmental benefits and impacts of the future or proposed project.
- Describe any environmental analyses conducted to date for the project and supply any completed environmental analyses as attachments under the Environmental Analysis and Approval File (See Part IV.C., Content and Form of Application).
- Identify the Tribal, Federal, State, or local permitting, Indian Mineral Development Act (IMDA), National Environmental Policy Act (NEPA), or other approvals required for the proposed project and whether any have been sought or obtained. Supply any permits, IMDA, NEPA, or other approvals received as part of the Environmental Analyses and Approval File (See Part IV.C., Content and Form of Application).
- Describe the plan for obtaining the required environmental permits, approvals, or decisions, including an estimated timeline.

Section IV: Roles, Responsibilities, Resources and Capabilities

- Provide a description of the management concept for the project including the names and roles of the applicant and each participating organization involved in the project, as well as business agreements between the applicant and participants, including suppliers, consultants or subcontractors. The descriptions shall encompass the following:
 - 1) Identification of who will represent the Tribe, Tribal Energy Resource Development Organization or Tribal Consortium as the Business Contact and the Technical Contact for DOE under an agreement, if one is awarded. The Business Contact is a representative authorized to act on behalf of the applicant to negotiate the agreement, as all DOE official correspondence related to this announcement, or agreement if one was awarded, would be addressed to the business point of contact. The designated Technical Contact is one authorized to act as project manager on behalf of the applicant and would be the prime point of contact for DOE's Project Officer during the project performance, if an agreement were to be awarded.
 - 2) Management approach for implementing the proposed project, including organizational and individual roles and responsibilities.
 - 3) Capabilities of the applicant and each participant and a brief summary of experience and qualifications (Include individual resumes under Part IV.C, Resume File).
 - 4) If consultants or contractors have not been identified, indicate that in the narrative and supply a subcontract plan and detailed statement of work as an attachment (See Subcontract Plan C under Part IV.C., Content and Form of Application).
- Describe level of involvement and amount and type of cost sharing by the applicant and each participant involved in the project and supply evidence of those commitments of time resources and financial contributions in the form of Tribal Council Resolutions, declarations or letters of commitment. See Statement of Commitment and Cost Sharing File under Part IV.C., Content and Form of Application for required content.
- Provide a description of the land proposed for use as part of the project; identify whether the land is held in Trust, land held in fee simple by the Tribe or under a long-term land lease by the Tribe; and provide a commitment from the owner(s) of that land for the proposed project.
- Describe and provide evidence of business agreements between the applicant and participants, including suppliers, consultants or subcontractors. Include any business agreements under the Agreements File (See Part IV.C., Content and Form of Application).
- Describe the proposed project co-financing. Supply financing agreements under the Agreements File (See Part IV.C., Content and Form of Application).

Section V: Project Activities and Timeline

Provide a description that includes the following:

- 1) Overview of the project objectives;
- 2) Summary of the approach for implementing the project;
- 3) Detailed description of each of the activities or tasks to be performed under the proposed project and the results or milestones associated with each of those activities or tasks; and
- 4) Schedule of milestones coupled with a timeline of activities or tasks to be conducted included as a Gantt chart or task schedule. Successful applicants will use this project timeline to report progress.

PART II – AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT.

DOE anticipates awarding grants under this announcement.

B. ESTIMATED FUNDING.

Approximately \$3,000,000 to \$6,000,000 is expected to be available for new awards under this announcement, subject to Congressional appropriations. In anticipation of possible increased Fiscal Year 2009 funding appropriated under potential Congressional actions such as *The American Recovery and Reinvestment Act of 2009*, the total estimated funding may increase.

C. MAXIMUM AND MINIMUM AWARD SIZE.

Ceiling (i.e., the maximum amount for an individual award made under this announcement):
Up to the amount of available funding.

Floor (i.e., the minimum amount for an individual award made under this announcement):
\$200,000.

D. EXPECTED NUMBER OF AWARDS.

DOE anticipates making four (4) to twelve (12) awards under this announcement, depending on the size of the awards. In anticipation of possible increased Fiscal Year 2009 funding appropriated under potential Congressional actions such as *The American Recovery and Reinvestment Act of 2009*, the total expected number of awards may increase.

E. ANTICIPATED AWARD SIZE.

DOE anticipates that awards will be in the \$500,000 to \$1,000,000 range for the total project period.

F. PERIOD OF PERFORMANCE.

DOE anticipates making awards with project periods from one to three years.

PART III - ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS.

- In accordance with 10 CFR 600.6(b) and consistent with the EAct 2005 authorities, eligibility for award under this Funding Opportunity Announcement is restricted to: (1) an Indian Tribe; (2) Tribal Energy Resource Development Organization; or (3) Tribal Consortium; on whose (4) Indian Lands the project(s) will be located. More specifically,
 - 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) “Tribal Energy Resource Development Organizations,” for purposes of this announcement and in accordance with EAct 2005, means an “organization” of

two or more entities, at least one of which is an Indian Tribe as defined 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. § 3502.

For purposes of this announcement and as defined under Section 503 of EPA Act 2005, the term “organization,” means a partnership, joint venture, Limited Liability Company or other unincorporated association or entity that is established to develop Indian energy resources.

- 3) “Tribal Consortium” (plural consortia), for purposes of this announcement, means a group of organizations, at least one of which is an Indian Tribe as defined above, that have chosen to submit a single application. Under this announcement, a Tribal Consortium is eligible to submit an application provided the application is submitted by a single Tribe representing the consortium.
- 4) “Indian Lands” or “Indian Country” for purposes of this announcement, is defined as any land located within the boundaries of an “Indian reservation”, pueblo, or rancharia; any land not located within boundaries of an Indian reservation, pueblo, or rancharia, the title to which is held - in trust by the United States for the benefit of an Indian tribe or an individual Indian; by an Indian tribe or an individual Indian, subject to restriction against alienation under laws of the United States; or by a dependent Indian community; land that is owned by an Indian tribe and was conveyed by the United States to a Native Corporation pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. § 1601 et seq.), or that was conveyed by the United States to a Native Corporation in exchange for such land; and lands held in fee simple (purchased or owned) or under a Federal land lease.

For purposes of this announcement and as defined under Section 503 of EPA Act 2005, the term “Indian Reservation” includes an Indian reservation in existence in any State or States as of the date of enactment of Title V of EPA Act 2005; a public domain Indian allotment; and a dependent Indian community located within the borders of the United States, regardless of whether the community is on original or acquired territory of the community; or within or outside the boundaries of any State or States.

- Applications that propose a portion of the work to be performed by a Federally Funded Research and Development Center (FFRDC), as defined by the Federal Acquisition Regulation (FAR) 35.017, will not be considered for award.

B. COST SHARING.

The cost share must be at least 50% of the total allowable costs of the project (i.e., the sum of the Government share and the recipient share of allowable costs equals the total allowable cost of the project) and must come from non-Federal sources unless otherwise allowed by law.

PART IV – APPLICATION AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST APPLICATION PACKAGE.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement and then follow the prompts to download the application package. The CFDA for this announcement is 81.087.

B. LETTER OF INTENT AND PRE-APPLICATION.

Neither Letters of Intent, nor Pre-applications are required.

C. CONTENT AND FORM OF APPLICATION

You 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.**

Grants.gov is currently phasing out the use of the PureEdge software and transitioning to the use of Adobe Reader software. Therefore, until such time as the Adobe Application package is ready, an Application package will not be posted with this Announcement. Once the transition is complete, an amendment to the Announcement will be posted, along with the Adobe Application package.

Please note that the information requested in the Announcement will not change with the use of the Adobe Application package and does not preclude Applicants from working on the technical narrative and other required information identified in the Announcement.

Note that Grants.gov requires Applicants to use the compatible version of Adobe Reader software to complete a Grants.gov Adobe application package. To ensure you have the Grants.gov compatible version of Adobe Reader, visit the download software page at http://www.grants.gov/help/download_software.jsp

1. SF 424 - Application for Federal Assistance.

Complete all required fields in accordance with the pop-up instructions on the on-line form. **To activate the instructions, turn on the “Help Mode” (Icon with the pointer and question mark at the top of the form).** The list of certifications and assurances referenced in Field 21 can be found at http://management.energy.gov/business_doe/business_forms.htm, under Certifications and Assurances.

2. Other Attachments Form

Submit the following files with your application form and attach them to the Other Attachments Form. Click on “Add Mandatory Other Attachment” to attach the Project Narrative. Click on “Add Optional Other Attachment,” to attach the other files.

Project Summary/Abstract

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the

name of the applicant, the Technical and Business Contacts for the project, the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). Applicants are cautioned that this document should not include any proprietary information, trade secrets, or other confidential business, financial or sensitive information, since this summary may be subject to public disclosure under the Freedom of Information Act (FOIA). The project summary must not exceed **2 pages** when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font not smaller than 11 point. Save this information in a file named "Summary.pdf," and click on "Add Optional Other Attachment" to attach file.

Project Narrative

The project narrative must not exceed **20 pages**, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right).

EVALUATORS WILL ONLY REVIEW THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application, because the information contained in these sites will not be reviewed. See Part VIII.D for instructions on how to mark proprietary application information. Save the information in a single file named "ProjectNarrative.pdf," and click on "Add Mandatory Other Attachment" to attach file.

The project narrative must include:

- **Cover Page**
The cover page must indicate the name of the Applicant (Tribe or Tribal Energy Resource Development Organization), project title, project location(s), Funding Opportunity Announcement title and number (DE-PS36-09GO99014), Topic Area, 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 Business Contact is a representative authorized to act on behalf of the applicant to negotiate the agreement, as all DOE official correspondence related to this announcement, or agreement if one was awarded, would be addressed to the business point of contact. The designated Technical Contact is a representative authorized to act as project manager on behalf of the applicant and would be the prime point of contact for DOE's Project Officer during project performance, if an agreement were to be awarded. The cover page should also identify the name and type of organization for each key participant including consultants or contractors, along with the names, titles, addresses, telephone and facsimile, and electronic mail addresses of participant contacts.
- **Table of Contents**
The narrative shall include a table of contents and page numbers corresponding to the elements outlined in these guidelines.

- **Merit Review Criteria Discussion**
The section should be formatted to address each of the sections described under Merit Review Criteria Discussion (Part I.B) and the associated criteria and sub-criteria listed in Part V.A. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with the merit review criteria. **DOE WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION AND SUB-CRITERIA.**

Energy Use and Energy Audit File

Supply the energy audit results for each existing building proposed for retrofit and any supplemental data on current energy use. The energy audit reports should identify the buildings to be retrofitted, including: building type (e.g., homes, schools, community buildings, clinics, or tribal government buildings); size of each building (square footage); location of each building; current energy usage; planned retrofits; and anticipated energy and cost savings. Save this information in a single file named "EnergyUseAudit.pdf," and click on "Add Optional Other Attachment" to attach file.

Resource Assessment File

Supply evidence of the renewable energy resource including site maps, resource maps, and quantitative resource data as defined under Part I.B. Save this information in a single file named "Resources.pdf," and click on "Add Optional Other Attachment" to attach file.

Study and Assessment File

Supply copies of any applicable studies and assessments to include power market assessments and interconnection studies as described under Part I.B. Also, include any economic calculations or cash flow analyses under this file. Save this information in a single file named "Assessments.pdf," and click on "Add Optional Other Attachment" to attach file.

Environmental Analyses and Approvals File

Supply copies of any environmental analyses conducted and copies of any Tribal, Federal, State, or local permitting, Indian Mineral Development Act (IMDA), National Environmental Policy Act (NEPA), or other approvals. Save this information in a single file named "Environmental.pdf," and click on "Add Optional Other Attachment" to attach file.

Design and Engineering File

Supply copies of detailed engineering designs, engineering drawings, material lists, hardware specifications or warranties. Save this information in a single file named "Engineering.pdf," and click on "Add Optional Other Attachment" to attach file.

Statements of Commitment and Cost Sharing File

A Tribal Council Resolution by each participating Indian Tribe, declaration from each Tribal Energy Resource Development Organization entity or Tribal Consortium, and a letter of commitment from all other project participants, are required as a part of the application. The Tribal Council Resolution(s) and declaration(s) must not only authorize the submittal of the application, but also document approval for the proposed project. The Tribal Council Resolution(s) must: 1) include a description of the land proposed for use as part of the proposed project; 2) identify whether the land is held in Trust, land

held in fee simple by the Tribe, or land under a long-term lease by the Tribe; and 3) provide a commitment for use of that land for the proposed project. Additionally, the Tribal Council Resolution(s), declarations, and letters of commitments must include a statement of the level and type of cost share commitments (time, resources, or financial contributions) to meet the minimum of 50% of project costs required under this Funding Opportunity Announcement. Save this information in a single file named "Commitments.pdf," and click on "Add Optional Other Attachment" to attach file.

The statements of commitment should include a detailed estimate of the cash value (basis of and the nature of; e.g., equipment, labor, facilities, cash, etc.) of all contributions to the project by project participants. Note that "Cost Sharing" is not limited to cash investment. In-kind contributions (e.g., contribution of services or property; donated equipment, buildings, or land; donated supplies; or unrecovered indirect costs) incurred as part of the project may be considered as all or part of the Cost Share. The "Cost Sharing" definition is contained in 10 CFR 600.30, 600.101, 600.123, 600.224, and OMB Circular A-110. 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 reasonable, allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127 and 10 CFR 600.224 for the respective participants.

Agreements File

Supply evidence of business agreements between the applicant and participants, including suppliers, consultants or subcontractors. For biomass applications, supply the feedstock supply agreement as evidence of the availability of the resource. Additionally, a copy of any financing agreements and signed power purchase agreements should be included. Save this information in a single file named "Agreements.pdf," and click on "Add Optional Other Attachment" to attach file.

Subcontract Plan File

A subcontract plan is required if project participants (i.e., subcontractors or consultants) have not been identified. Include a description of the selection process to be employed, statement of work, and criteria for selection. Save this information in a single file named "SubcontractPlan.pdf," and click on "Add Optional Other Attachment" to attach file.

Resumes File

Provide a resume for each key person (Tribal representative, consultant, or contractor) proposed. A key person is any individual who contributes in a substantive, measurable way to the execution of the project. Of the key personnel identified in this file, indicate the Principal Investigator(s) (PI). If multiple PI's are proposed, the applicant must provide the information indicated in Part III, Section D. as part of this file. This file should be included as an attachment file rather than with the narrative file (these resumes will not count against the page limit). Save all resumes in a single file named "Resumes.pdf" and click on "Add Optional Other Attachment" to attach file.

Each resume must not exceed **2 pages** when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point.

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

Use Form SF 424A Excel, "Budget Information – Non Construction Programs" on the Applicant and Recipient Page at

http://management.energy.gov/business_doe/business_forms.htm. You may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See PART IV, G). The budget must reflect the total project budget including both the requested DOE funds and the proposed cost share contributions. Save the information in a single file named “SF424A.xls,” and click on “Add Optional Other Attachment” to attach file.

Budget Justification for SF 424A Budget

Justify the total project costs both the requested DOE funds and the proposed cost share contributions proposed by Object Class Category/Cost Classification category (e.g., identify key persons and personnel categories and the estimated costs for each person or category; provide a list of equipment and cost of each item; identify proposed subaward/consultant work and cost of each subaward/consultant; describe purpose of proposed travel, number of travelers and number of travel days; list general categories of supplies and amount for each category; and provide any other information you wish to support your budget). The justification should also include the basis for the proposed costs (e.g., estimated based previous actual expenses, quotes, published prices). Also, 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 as part of the budget justification or under the comments under the Indirect tab of the Budget Justification form (PMC 123.1).

The Excel format provided as PMC 123.1, Budget Justification for SF 424A, under “Application Forms” at <https://www.eere-pmc.energy.gov/Forms.aspx> is recommended but not required for use in providing this budget justification.

If cost sharing is required, you must have a letter from each third party contributing cost sharing (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 sharing. Supply the cost sharing letters of commitment as part of the Statement of Commitment and Cost Sharing File. In the budget justification, identify the following information for each third party contributing cost sharing: (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 cost sharing – cash, services, or property.

Save the budget justification or PMC123.1-Budget_Justification as a single file named “Budget_Justification.xls,” and click on “Add Optional Other Attachment” to attach file.

Subaward Budget File(s)

You must provide a separate budget for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (which ever is less). Use the SF 424 A Excel for Non Construction Programs or the SF 424 C Excel for Construction Programs. These forms are found on the Applicant and Recipient Page at http://management.energy.gov/business_doe/business_forms.htm. Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee’s name (plus .xls) as the file name (e.g., ucla.xls or energyres.xls), and click on “Add Optional Other Attachment” to attach file.

Form PMC 121.1, Financial Assistance Pre-Award Information Sheet

Complete the Financial Assistance Pre-Award Information Sheet (Form PMC 121.1). The form PMC 121.1 may be obtained under “Application Forms” at <https://www.eere-pmc.energy.gov/Forms.aspx>. Save the Financial Assistance Pre-Award Information Sheet as a single file named “PreAwardInfo.pdf,” and click on “Add Optional Other Attachment” to attach file.

SF-LLL Disclosure of Lobbying Activities

If applicable, complete Standard Form (SF- LLL), "Disclosure Form to Report Lobbying." 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." The Standard Form SF-LLL may be obtained under “Application Forms” at <https://www.eere-pmc.energy.gov/Forms.aspx>. Save as a single file named “SF-LLL.pdf”, and click on “Add Optional Other Attachment” to attach file.

Your application must include the attachments specified in the following table on the next page.

SUMMARY OF REQUIRED FORMS/FILES

Name of Document	Format	File Name
SF 424 - Application for Federal Assistance	On-line Form	N/A
Other Attachments Form: Attach the following files to this form. Click on “Add Mandatory Other Attachment” to attach the Project Narrative File. Click on “Add Optional Other Attachment,” to attach the other files		N/A
Project Summary/Abstract File	PDF	Summary.pdf
Project Narrative File	PDF	ProjectNarrative.pdf
Energy Use and Energy Audit File	PDF	EnergyUseAudit.pdf
Resource Assessment File	PDF	Resources.pdf
Study and Assessment File	PDF	Assessments.pdf
Environmental Analyses and Approvals File	PDF	Environmental.pdf
Design and Engineering File	PDF	Engineering.pdf
Statements of Commitment and Cost Sharing File	PDF	Commitments.pdf
Agreements File	PDF	Agreements.pdf
Subcontract Plan File	PDF	SubcontractPlan.pdf
Resumes File	PDF	Resumes.pdf
Form SF 424A Excel - Budget Information for Non-Construction Programs File	Excel	SF424A.xls
Budget Justification for SF 424A Budget (Form PMC 123.1 recommended)	Excel	Budget_Justification.xls
Subaward Budget File(s), if applicable	Excel	See Instructions
Form PMC 121.1, Financial Assistance Pre-Award Information Sheet	PDF	PreAwardInfo.pdf
SF-LLL Disclosure of Lobbying Activities, if applicable	PDF	SF-LLL.pdf

D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.

If selected for 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
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Environmental checklist information

E. SUBMISSION DATES AND TIMES.

1. Pre-application Due Date.

Pre-applications are not required.

- 2. Application Due Date.** Applications must be received by April 1, 2009, 11:59 PM Eastern Time. You are encouraged to transmit your application well before the deadline and to confirm that your application has been received in advance of the deadline. Allow sufficient time to transmit your application and to confirm receipt which may take a number of days (See Part IV.H). Note that the Grants.gov Helpdesk is not available after 9:00 PM Eastern Time to assist with any difficulties you may experience submitting your application late on the day of 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 organization are in FAR Part 31.

Pre-award Costs. Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 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.

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

H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

1. Where to Submit.

APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD. Submit electronic applications through the “Apply for Grants” function at www.Grants.gov. If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 or send an email to support@grants.gov.

2. Registration Process.

You must COMPLETE the one-time registration process (all steps) before you can submit your first application through Grants.gov (See www.grants.gov/GetStarted). **We recommend that you start this process at least three weeks before the application due date.** It may take 21 days or more to complete the entire process. Use the Grants.gov Organizational Registration Checklists at <http://www.grants.gov/section3/OrganizationRegCheck.pdf> to guide you through the process. **IMPORTANT:** During the Central Contractor Registration (CCR) process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called “Marketing Partner identification Number” (MPIN).

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

3. Application Receipt Notices

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of five e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to 2 business days from application submission to receipt of email Number 2. You will know that your application has reached DOE when the AOR receives email Number 5. You will need the Submission Receipt Number (email Number 1) to track a submission. The titles of the five e-mails are:

- Number 1 - Grants.gov Submission Receipt Number
- Number 2 - Grants.gov Submission Validation Receipt for Application Number
- Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number
- Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number
- Number 5 - DOE e-Center Grant Application Received

The last email will contain instructions for the AOR to register with the DOE e-Center. If the AOR is already registered with the DOE e-Center, the title of the last email changes to: Number 5 – DOE e-Center Grant Application Received and Matched

This email will contain the direct link to the application in IIPS. The AOR will need to enter their DOE e-Center user id and password to access the application.

PART V - APPLICATION REVIEW INFORMATION

A. CRITERIA

1. Initial Review Criteria. Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the information required by the 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 applicant or application fails to meet these requirements, the application may be deemed non-responsive and eliminated from further review.

2. Merit Review Criteria.

The following factors will be used to evaluate applications. The sub-criteria under each criterion are of equal weight.

As DOE's goal is to significantly reduce the consumption of fossil fuel use, applications demonstrating a higher overall displacement of fossil fuels will be provided a higher rating.

Criterion 1: Goals and Objectives

Weight: 10%

- Clarity and completeness of the discussion of the project goals and objectives.
- Clarity of the description of the Tribal, Tribal Energy Resource Development Organization, or Tribal Consortium and project management structure.
- Compatibility of the proposed project with the cultural, social, and long-term energy sufficiency goals of the Tribe, or Tribal Energy Resource Development Organization, or Tribal Consortium.
- Extent to which the proposed project provides economic, environmental, cultural, or social benefits to the Tribe(s) and Tribal community.
- Potential for future replicability or expansion beyond the currently proposed project.
- Soundness of the discussion that justifies the need for DOE funding.

Criterion 2: Project Description and Implementation Plan

Weight: 30%

Only the criteria under one of the three topic areas will be applied, subject to the focus of the application: 1) building efficiency; 2) development of renewable energy projects; and 3) construction of renewable energy projects.

Topic Area 1: Building Efficiency:

Applications proposing building efficiency will be rated on the following criteria, as well as those criteria specific to energy efficiency improvements and/or renewable energy installations depending on the focus of the application.

- Clarity and completeness of the discussion of the proposed project.
- Clarity and completeness of the description of the buildings to be retrofitted.
- Completeness of the description and documentation of current building energy use.
- Quality of the building energy audits.

- Potential for energy savings or fossil fuel reduction. **At least a 30% reduction in energy use or generation of 30% of the buildings' heating and cooling load is required.**
- Quality of the assessment of the potential benefits including employment, cultural, and social benefits to the Tribe and Tribal community.
- Clarity and completeness of the discussion of barriers that could impede the project and reasonableness of the plan to overcome those barriers.
- Economic viability during the period of the proposed project.
- Potential for financial sustainability beyond DOE funding.
- Reasonableness of the operation and maintenance plan.
- Clarity and completeness of the training plans for the operation and maintenance of the renewable energy system(s).
- Viability of the plan to gain Tribal community support.

In addition to the criteria above, the following criteria will be applied depending on whether the application is proposing energy efficiency improvements and/or renewable energy installations for building heating and/or cooling.

Energy Efficiency Improvements

- Viability of the proposed energy efficiency measures and completeness of the material list(s).
- Reasonableness of the methodology to be used to implement those measures.

Renewable Energy Systems Installations

- Adequacy of the available renewable energy resource(s).
- Viability of the design and availability of commercial renewable energy technologies.

Topic Area 2: Development of Renewable Energy Projects:

- Clarity and completeness of the discussion of the proposed project.
- If for local consumption, the quality and completeness of the discussion of energy use.
- Potential for fossil fuel reduction or power production. **A minimum of 1 MW in generation at the point of interconnection is required.**
- Adequacy of the available renewable energy resource(s).
- Viability of the renewable energy technology proposed for future construction.
- If for export, the quality and completeness of the discussion of power markets.
- If for export, the quality and completeness of the discussion of transmission and interconnection.
- Economic viability during the period of the proposed project.
- Reasonableness of the employment, cultural, and social benefits to the Tribe and Tribal community.
- Clarity and completeness of the discussion of barriers that could impede the project and reasonableness of the plan to overcome those barriers.
- Potential for construction financing upon completion of project development.
- Reasonableness of the operation and maintenance plan or thoroughness of the discussion to develop a plan.

- Reasonableness of the training plans for the operation and maintenance of the renewable energy system(s) or thoroughness of the discussion to develop plans.
- Viability of the plan to gain community support.

Topic Area 3: Construction of Renewable Energy Power Projects:

- Clarity and completeness of the discussion of the proposed project.
- If for local consumption, the quality and completeness of the discussion of energy use.
- Potential for fossil fuel reduction or power production. **A minimum of 1 MW in generation at the point of interconnection is required.**
- Adequacy of the available renewable energy resource(s).
- Viability of the design and availability of commercial renewable energy technologies.
- If for export, the quality and completeness of the discussion of the power market.
- Level of commitment document in the signed Power Purchase Agreement (PPA).
- Quality and completeness of the transmission and interconnection studies and adequacy of those signed agreements.
- Quality of the assessment of the potential benefits including employment, cultural, and social benefits to the Tribe and Tribal community.
- Clarity and completeness of the discussion of barriers that could impede the project and reasonableness of the plan to overcome those barriers.
- Economic viability during the period of the proposed project.
- Potential for financial sustainability beyond DOE funding.
- Reasonableness of the operation and maintenance plan for the proposed facility.
- Clarity and completeness of the training plans for the operation and maintenance of the proposed renewable energy facility.
- Viability of the plan to gain Tribal community support.

Criterion 3: Environmental Considerations

Weight: 10%

- Clarity and completeness of the discussion of the environmental benefits and impacts of the proposed project.
- Clarity of the discussion of environmental analyses conducted and quality of the environmental analyses provided.
- Thoroughness of the discussion of Tribal, Federal, State, or local permitting, Indian Mineral Development Act (IMDA), National Environmental Policy Act (NEPA), or other approvals as required for the proposed project.
- Likelihood of obtaining the required permits, approvals, and NEPA decisions in a timely manner.

Criterion 4: Roles, Responsibilities, Resources, and Capabilities

Weight: 30%

- Soundness of the project management concept with respect to proposed tasks and organizational structure to achieve project objectives.
- Capabilities of the applicant and participants to comprehensively address all aspects of the proposed project or reasonableness of the plan to obtain qualified suppliers, subcontractors, or consultants.
- Level of commitment of the applicant and each participating organization as evidenced by level of involvement, contributions, and cost sharing identified in the Tribal Council Resolutions, declarations, and letters of commitment.

- Quality of the description of Tribal Land to be used for the project and evidence of a land use commitment.
- Reasonableness of the business agreements between each of the parties to implement the project.
- Soundness of the project co-financing and evidence of the capability of the applicant and participating organizations to meet cost sharing requirements of the proposed project.

Criterion 5: Project Activities and Schedule

Weight: 20%

- Clarity of the project objectives.
- Adequacy of the approach to implement the project.
- Clarity and completeness of the description of each activity necessary to complete the project and reasonableness of the milestones.
- Likelihood of achieving project objectives through realistic milestones and logical task structure.

3. Other Selection Factors

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

- Geographic diversity of selected projects.
- Diversity of building efficiency improvements or renewable energy technologies.
- Fossil fuel displaced, energy saved, or power generated.

B. REVIEW AND SELECTION PROCESS.

- 1. Merit Review.** Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance and Unsolicited Proposals." This guide is at <http://www.management.energy.gov/documents/meritrev.pdf>.
- 2. Selection.** The Selection Official will consider the merit review recommendations, program policy factors, and the amount of funds available in making selections for negotiation of award.
- 3. Discussions and Award.** The Government may enter into discussions with a selected applicant for any reason deemed necessary, including, but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 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.

DOE anticipates notifying applicants of selected for negotiation of award by July 31, 2009 and making awards by September 30, 2009.

PART VI - AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES.

1. Notice of Selection.

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

Organizations whose applications have not been selected will be advised, in writing, as promptly as possible why the application was not selected for negotiation of award.

2. Notice of Award.

A Notice of Financial Assistance Award 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/NNSA.; 4. DOE assistance regulations at 10 CFR Part 600, or, for Federal Demonstration Partnership (FDP) institutions, the FDP terms and conditions; 5. National Policy Assurances To Be Incorporated As Award Terms; 6. Budget Summary; 7. Statement of Project Objectives; and 8. Federal Assistance Reporting Checklist, which identifies the reporting requirements.

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>).

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

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.

C. REPORTING.

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, as an attachment to the award agreement. The proposed Checklist for this program is at https://www.eere-pmc.energy.gov/procurenet/FinancialAssistance/Forms/DOE_Forms/DOEF4600_2.doc

PART VII - QUESTIONS

A. QUESTIONS

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

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

PART VIII - OTHER INFORMATION

A. MODIFICATIONS.

Notices of any modifications to this announcement will be posted on Grants.gov and the DOE Industry Interactive Procurement System (IIPS). You can receive an email when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS. When you download the announcement at Grants.gov, you can also register to receive notifications of changes through Grants.gov.

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE.

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

C. COMMITMENT OF PUBLIC FUNDS.

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

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.

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.

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.

I. EQUIPMENT.

DOE will retain a financial interest in any equipment acquired with Federal funds or supplied by the recipient or project participants as cost share. When equipment with a fair market value of \$5,000 or more is no longer needed for the purpose originally authorized for the project, the recipient or project participant may elect to retain title only after compensating the DOE for the percentage of the fair market value that is attributed to the Federal participation in the project.

J. REAL PROPERTY.

DOE will retain a financial interest in any real property acquired with Federal funds or supplied by the recipient or project participants as cost share. Real property will be used for the originally authorized purpose as long as needed for that purpose, and the recipient shall not dispose of or encumber its title or other interest. When real property is no longer needed for the originally authorized purpose, the recipient or project participant must request disposition instructions from DOE. The recipient may retain title only after compensating DOE for the percentage of the fair market value that is attributed to the Federal participation in the project. If the recipient does not retain title, DOE will provide instructions on selling the property and compensating DOE or DOE may retain and/or transfer title after compensating the recipient for the percentage of the fair market value that is attributed to its participation in the project.

K. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS.

If selected for award, an applicant will be restricted from taking any irreversible action using Federal or cost shared funds, which would have an adverse affect on the environment or limit the choice of reasonable alternatives prior to DOE reaching a final NEPA decision regarding the project. Irreversible actions include demolition of existing buildings, site clearing, ground breaking, construction, and/or detailed design. In order for DOE to make a NEPA decision, applicants selected for funding will be required to initiate the process by completing an Environmental Checklist electronically through the Golden Field Office NEPA Compliance Form EF-1 Submission website at <https://gowba.go.doe.gov/nepa/login.asp>. If your application is selected for negotiation of award, you will be notified on how to proceed.

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. NOTE: Application is referred to as Proposal in IIPS.

"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.

"Business Contact" means a representative authorized to act on behalf of the applicant to negotiate the agreement, as all DOE official correspondence related to this announcement, or agreement if one was awarded, would be addressed to the business point of contact.

"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.

"Central Contractor Registry (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 Grants.gov require that the organization first be registered in the CCR at <http://www.grants.gov/CCRRegister>.

"Consortium" (plural consortia), means a group of organizations that have chosen to submit a single application. See Tribal Consortium.

“Credential Provider” is an organization that validates the electronic identity of an individual through electronic credentials, PINS, and passwords for Grants.gov. Funding Opportunity Announcements which require application submission through Grants.gov require that the individual applying on behalf of an organization first be registered with the Credential Provider at <https://apply.grants.gov/OrcRegister>.

“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://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 submit grant applications on behalf of their organization through Grants.gov.

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

“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.

“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 and apply for competitive 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 Country” for purposes of this Funding Opportunity Announcement only, is defined as Indians Lands. See Indian Lands.

“Indian Lands” for purposes of this announcement, is defined as any land located within the boundaries of an “Indian Reservation” (defined below), pueblo, or rancharia; any land not located within boundaries of an Indian reservation, pueblo, or rancharia, the title to which is held

in trust by the United States for the benefit of an Indian tribe or an individual Indian; by an Indian tribe or an individual Indian, subject to restriction against alienation under laws of the United States; or by a dependent Indian community; land that is owned by an Indian tribe and was conveyed by the United States to a Native Corporation pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. § 1601 et seq.), or that was conveyed by the United States to a Native Corporation in exchange for such land; and lands held in fee simple (purchased or owned) or under a Federal land lease. Also, see Indian Country.

"Indian Reservation" for purposes of this announcement and as defined under Section 503 of EAct 2005, includes an Indian reservation in existence in any State or States as of the date of enactment of Title V of EAct 2005; a public domain Indian allotment; and a dependent Indian community located within the borders of the United States, regardless of whether the community is on original or acquired territory of the community; or within or outside the boundaries of any State or States.

"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. Also, see Tribe.

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

"Key Personnel" means 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 login to Grants.gov to assign privileges to the individual(s) authorized to submit applications 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).

"Organization" for purposes of this announcement and as defined in EAct 2005, means a partnership, joint venture, Limited Liability Company (LLC) or other unincorporated association or entity that is established to develop Indian energy resources.

"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).

"Project Manager" refers to the technical point of contact or principal investigator for a specific project award.

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

"Proposal" is the term used in IIPS meaning 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.

"Technical Contact" means a representative authorized to act as project manager on behalf of the applicant and would be the prime point of contact for DOE's Project Officer during project performance, if an agreement were to be awarded.

"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.

"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. Also, see Indian Tribe.

"Tribal Consortium" (plural consortia), for purposes of this Funding Opportunity Announcement, means a group of organizations, at least one of which is an Indian Tribe, that have chosen to submit a single application, provided the application is submitted by a single Tribe representing the consortium.

"Tribal Energy Resource Development Organization" for purposes of this Funding Opportunity Announcement only, means an organization of two or more entities, at least one of which is an Indian tribe as defined 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. § 3502. See Organization.

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.

1. **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.
2. **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.

- Social Security Numbers in any form
- Place of Birth associated with an individual
- Date of Birth associated with an individual
- Mother's maiden name associated with an individual
- Biometric record associated with an individual
- Fingerprint
- Iris scan
- DNA
- Medical history information associated with an individual
- Medical conditions, including history of disease
- Metric information, e.g. weight, height, blood pressure
- Criminal history associated with an individual
- Employment history and other employment information associated with an individual
- Ratings
- Disciplinary actions
- 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
- Financial information associated with an individual
- Credit card numbers
- Bank account numbers
- 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:

- Phone numbers (work, home, cell)
- Street addresses (work and personal)
- Email addresses (work and personal)
- Digital pictures
- Birthday cards
- Birthday emails
- Medical information pertaining to work status (i.e. individual A is out sick today)
- Medical information included in a health or safety report
- Employment information that is not PII even when associated with a name
- Resumes, unless they include a Social Security Number
- Present and past position titles and occupational series
- Present and past grades
- 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)
- 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)
- 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
- Security clearances held
- Written biographies (e.g. to be used in a program describing a speaker)
- Academic credentials
- Schools attended
- Major or area of study
- 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

The requirement for cost sharing included in Funding Opportunity Announcements (FOA) issued competitively by the Department of Energy (DOE) is either statutory, programmatic, or both. Certain federal statutes require a minimum cost share requirement, by either type of activities funded or by Program. This is known as statutory cost share. The Program may also, at its discretion, require a greater level of cost share than the statutory minimum, or require cost share when there is no minimum requirement, as it determines appropriate. This is called programmatic cost share.

Research and Development (R&D) activities (other than R&D activities related to basic science) require Recipients (those receiving the financial assistance awards from DOE) to cost share at a minimum of 20% of total project costs. Demonstration or commercial application activities require Recipients to cost share at a minimum of 50% of total project costs. These statutory requirements are prescribed in Section 988 of the Environmental Policy Act (EPA) of 2005. Any waiver of this requirement must be approved by the Secretary of Energy.

When responding to a DOE FOA, an Applicant will have the opportunity to ask questions at the DOE IIPS website (<https://e-center.doe.gov/>). Specific questions as to the acceptability and allowability of intended cost share for a proposed project in response to a FOA may be posed at this site during the time period when the FOA is open for questions.

The regulations that govern Federal Financial Assistance for DOE are found at 10 Code of Federal Regulations (CFR) Part 600. Specifically, Section 600.313, “Cost sharing and matching” provides guidance on acceptable contributions toward cost share requirements, as well as guidance on the valuation and documentation of contributions, for “for profit” organizations. Below is a summary of these requirements as contained in the CFR. The full CFR section may be viewed using the following link: (<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>).

Acceptable contributions, including cash contributions and third party contributions, must be accepted as part of the recipient's cost sharing or matching if such contributions meet all of the following criteria:

- They are verifiable from the recipient's records.
- They are not included as contributions for any other federally-assisted project or program.
- They are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
- They are allowable under 10 CFR 600.317.
- They are not paid by the Federal Government under another award unless authorized by Federal statute to be used for cost sharing or matching.
- They are provided for in the approved budget.
- They conform to other provisions of this part, as applicable.

General examples of allowable cost share are shown below. It is up to the applicant to ensure that the cost share proposed in response to this FOA is allowable under 10 CFR 600.313.

- Cash provided directly by the recipient, or a sub-recipient;
- State or local government funds provided to support the proposed project, which were not provided to the State by the federal Government;
- Employees' salaries included in the budget, if paid by the employer (recipient or sub-recipient), and not reimbursed by the federal funding of the project;
- Rental value of buildings or equipment necessary to the success of the proposed project and the value of which is included in the budget for the project;
- Monetary value of project activities documented in the Statement of Project Objectives to be performed by a third party which are included in the project budget and will not be reimbursed by federal funds.