

Amendment 01 to Solicitation DE-PS26-02NT15379

The purpose of this amendment is to: (1) streamline the application process by deleting the number of files required to be submitted with the application, and (2) amend/clarify the page limit for the technical application. Specifically, this amendment reduces the number of Volume I files from ten to five, the number of Volume II files from four to three, and the number of Volume III files from four to two. The information contained in the deleted files will be required after selection only from those applicants that are selected for award (see new article 4.10). Also, please note that the page limit has been amended/clarified to be 20 pages for the technical discussion and statement of project objectives together. The technical discussion and the statement of project objectives are both to be included in Volume II, file 2, with a limit of 20 pages together. A stand-alone separate file with the statement of project objectives is no longer required.

As a result of the above, Solicitation DE-PS26-02NT15379 is amended by deleting articles 3.5, 3.6, and 3.7 and substituting the below new articles 3.5, 3.6, and 3.7. Also, a new article 4.10 is added as set forth below:

**3.5 VOLUME I -- OFFER AND OTHER DOCUMENTS PREPARATION INSTRUCTIONS (NOV 2001)**

When the applicant begins to "Create Proposal," the applicant will create an IIPS cover page by filling in the required fields on the IIPS system and attach the required files to the link identified as: Attach Volume I/Offer or Other Document . For consistency, the applicant is instructed to use the file names specified below,. Filename extensions shall clearly indicate the software application used for preparation of the documents, i.e, ".wpd" for WordPerfect, ".pdf" for Adobe Acrobat, or ".doc" for Word files:

	<u>MANDATORY FILE</u>	<u>FILENAME</u>
File 1	Volume 1, Application Cover Sheet	COVER.---
File 2	SF 424, Application for Federal Assistance	SF424.---
File 3	Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Work Place Requirements	CERTS.---
File 4	NEPA Environmental Questionnaire	NEPA.---
File 5	Disclosure of Lobbying Activities	SF_LLL.---

In the event that the applicant takes exceptions or deviations are taken to the Model Agreement or other portions of this solicitation, these exceptions/deviations shall be clearly labeled and included as a second page to File 1, Application Cover Sheet.

**3.6 VOLUME II-- TECHNICAL APPLICATION PREPARATION INSTRUCTIONS : IIPS (NOV 2001)**

When the Applicant begins to "Create Proposal," the Applicant will create an IIPS cover page by filling in the required fields on the IIPS system and attach the required files to the link identified as: Attach Volume 2/ Technical Proposal. For consistency, the applicant is instructed to use the file names specified below. Filename extensions shall clearly indicate the software application used for preparation of the documents , i.e, ".wpd" for WordPerfect, ".pdf" for Adobe Acrobat, or ".doc" for Word files:

<u>MANDATORY FILE</u>		<u>FILENAME</u>	<u>PAGE LIMIT</u>
File 1	Public Abstract	ABSTRACT.---	1 Page
File 2	Cover Page and Technical Discussion	TECHNICAL.---	Cover Page (1) + 20 Pages
File 3	Resumes of Key Personnel, Publications, and/or Letters of Commitment, if applicable.	ATTACHMENTS.---	No Limit

**FILE 1 PUBLIC ABSTRACT**

This file shall contain a public abstract of not more than one (1) single spaced typewritten page clearly stating the objectives of the proposed research, the title of the project, methodology, and sponsoring organization(s). It is a stand-alone document. The Applicant shall provide a point of contact for coordination, preparation and distribution of press releases in this abstract. This abstract may be released to the public by DOE in whole or in part at any time. It is, therefore, required that it shall not contain proprietary data or company sensitive business information.

**FILE 2 COVER PAGE AND TECHNICAL DISCUSSION**

This file shall include a cover page indicating the solicitation number, name and address of the Applicant, point of contact, telephone/FAX number/E-Mail address, title of project, and date of application. The technical application shall not exceed 20 pages double-spaced, using 12 point font, 1" margins, and when printed will fit on size 8 1/2" by 11" paper.

The technical application will consist of the Applicant's outline addressing the technical and management aspects of the assistance action, the Applicant's capabilities and what the Applicant will do to satisfy the requirements of the solicitation. Since the technical information contained in this section will be evaluated to determine such matters as understanding of the work to be performed, technical approach, and potential for completing the desired work, it should be specific and complete in every detail. The Application should be practical and be prepared simply and economically, providing a straightforward, concise delineation of what it is the Applicant will do to satisfy the requirements of the solicitation.

To help facilitate the review process and to insure addressing all the review criteria, the applicant shall use the following format when preparing the technical discussion. This format relates to the technical evaluation criteria found in Section IV.

The technical proposal shall include the following items:

1. Evidence of Technical Understanding and Readiness  
In this section the applicant must:
  - A. Demonstrate a knowledge of a problem for which a solution would be of benefit to the domestic oil industry and the Tribe/Corporation;
  - B. Demonstrate understanding of the technical issues and objectives and identify the technical issues that could affect the success of the project;
  - C. Provide a description of data which is currently available and will be used on the project, or the method to obtain data relevant to the project.
  
2. Technical and Project Management Approach  
In this section the applicant must:
  - A. Describe the reasonableness and adequacy of the proposed multi-disciplinary technical approach for completing the project;
  - B. Present a single, concise, detailed Statement of Project Objectives which clearly outlines a logical sequence of project activities and provide a milestone schedule which identifies project activities described in the Statement of Project Objectives, including decision points and deliverables (see format below).
  - C. Include an organizational chart showing key personnel time (i.e. labor hours) to be devoted to the project, as well as organizational and functional relationships. The applicant should describe education, technical/management experience and professional development of key personnel.
  
3. Benefit of the Project  
The applicant must address the relevance and economic feasibility and expected incremental benefit of the project (e.g. reserves, royalty, reduction of cost) to the Native American Tribe or Alaskan Native Corporation and extrapolated to potential United States domestic production.
  
4. Technology Transfer  
The proposer must provide a comprehensive Technology Transfer Plan. This Plan must identify its targeted audience and address how the proposer intends to transfer the knowledge, methodology, and techniques for the project. The proposer must identify the mechanism(s) for technology transfer (e.g., commercial venture, extension services, workshops, seminars, field trips, presentations at professional and industry association meetings, Internet Home Pages, regional technology transfer organizations, etc.). See format below.

FILE 3            RESUMES OF KEY PERSONNEL, PUBLICATIONS, AND/OR LETTERS OF COMMITMENT, IF APPLICABLE.

This file shall contain resumes of key personnel, qualifications and experience of participating organizations, additional pertinent publications, letters of commitment, etc.

The following is the format for the statement of project objectives:

## STATEMENT OF PROJECT OBJECTIVES

The Department of Energy's, National Energy Technology Laboratory uses a specific format for Statement of Project Objectives in its awards. In solicitations such as this one, where the Government does not provide a Statement of Project Objectives, the Applicant is to provide one, which the DOE will then use to generate the Statement of Project Objectives to be included in the award. Several specific tasks have also been provided in the following format for the Applicant to insert into the Statement of Project Objectives at the appropriate location.

All applications must contain a single, detailed Statement of Project Objectives that addresses how the project objectives will be met. The Statement of Project Objectives must contain a clear, concise description of all activities to be completed during project performance and follow the structure discussed below. The Statement of Project Objectives may be released to the public by DOE in whole or in part at any time. It is therefore required that it shall not contain proprietary or confidential business information.

Applicants shall prepare the Statement of Project Objectives in the following format:

### TITLE OF WORK TO BE PERFORMED

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

#### A. OBJECTIVES

Include one paragraph on the overall objective(s) of the work. Also, include objective(s) for each phase of the work.

#### B. SCOPE OF WORK

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

#### C. TASKS TO BE PERFORMED

Tasks, concisely written, should be provided in a logical sequence and should be divided into the phases of the project. This section provides a brief summary of the planned approach to this project.

### PHASE I

Task 1.0 - (Title)

(Description)

Subtask 1.1 (Optional)

(Description)

Task 2.0 - (Title)

PHASE II (Optional)

Task 3.0 - (Title)

D. BRIEFINGS/TECHNICAL PRESENTATIONS (Technology Transfer)

The Recipient shall prepare detailed briefings for presentation to the COR at the COR's facility located in Tulsa, OK or location to be determined at a later date. Briefings shall be given by the Recipient to explain the plans, progress, and results of the technical effort after award.

The Recipient shall provide and present a technical paper(s) at the DOE/NETL Bi-Annual Contractor's Review Meeting to be held at a place to be determined.

3.7 **VOLUME III-- COST APPLICATION PREPARATION INSTRUCTIONS : IIPS (NOV 2001)**

When the Applicant begins to "Create Proposal," the Applicant will create an IIPS cover page by filling in the required fields on the IIPS system and attach the required files to the link identified as: Attach Volume 3/Cost Proposal. For consistency, the applicant is instructed to use the file names specified below. Filename extensions shall clearly indicate the software application used for preparation of the documents, i.e, ".wpd" for WordPerfect, ".pdf" for Adobe Acrobat, or ".doc" for Word files:

	<u>MANDATORY FILE</u>	<u>FILENAME</u>
File 1	Budget Forms	BUDGET.---
File 2	Supporting Cost Detail	DETAIL.---

Add the following as Article 4.10:

**4.10 SUPPLEMENTAL DOCUMENTATION**

If an applicant is selected for an award under this solicitation, the applicant will be required to furnish supplemental documentation. All of the supplemental documentation will be required within a specified period of time after the applicant receives notification of selection for negotiations and award. Failure to furnish the supplemental documentation will result in delays or may negate selection. Supplemental documentation will include the following, which are located at <http://www.netl.doe.gov/business/faapiaf/main.html>.

<u>File</u>	<u>Filename</u>
SF 424b, Assurances, Non Construction Programs	SF424b.---
D1600.5, Assurance of Compliance	D1600_5.---

Representation of Limited Rights Data

DATA.---

Energy Policy Act Representation

EPACT.---

Simpson-Craig Amendment Representation

SIMPSON.---

Financial Management System

FINANCIAL.---