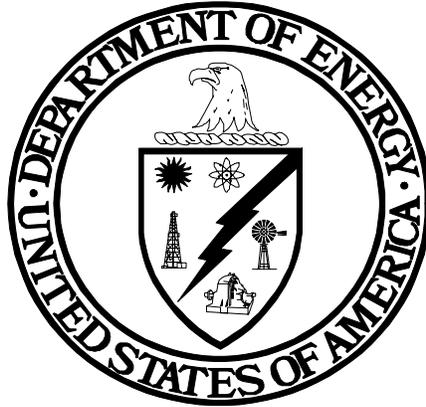


**SOLICITATION FOR FINANCIAL  
ASSISTANCE APPLICATIONS**



DE-PS26-02NT15379

“Applications of Petroleum Technologies on Native American and Alaskan Native Corporation Properties for the Benefit of the Entire Tribe/Native Corporation.”

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NATIONAL ENERGY TECHNOLOGY LABORATORY  
P.O. Box 10940  
Pittsburgh, PA 15236-0940

**ISSUE DATE:** December 10, 2001  
**APPLICATION DUE DATE:** April 8, 2002 (11:59 P.M. EST)



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

**TABLE OF CONTENTS**

**SECTION I : SOLICITATIONS-TECHNICAL REQUIREMENTS**

1.1 SUMMARY (MAR 2001) ..... 1

1.2 BACKGROUND INFORMATION (JAN 2000) ..... 1

1.3 SOLICITATION OBJECTIVES (MAR 2001) ..... 1

**SECTION II : SOL-CONDITIONS AND NOTICES**

2.1 APPLICANT ELIGIBILITY (MAY 2001) ..... 3

2.2 NUMBER AND TYPE OF AWARDS (JAN 2000) ..... 4

2.3 COST SHARING REQUIREMENTS (DEC 1999) ..... 4

2.4 AVAILABILITY OF FUNDS (AUG 1999) ..... 4

2.5 PROJECT PERIOD (AUG 2000) ..... 4

2.6 REPORTING REQUIREMENTS (FEB 2001) ..... 4

2.7 TIME, DATE AND PLACE APPLICATIONS ARE DUE -- IIPS (JAN 2001) ..... 4

2.8 PROGRAM AREAS OF INTEREST (FEB 2001) ..... 5

2.9 LATE APPLICATIONS, AMENDMENTS AND WITHDRAWALS OF APPLICATIONS -- IIPS (JAN 2001) ..... 5

2.10 ANTICIPATED SELECTION AND AWARD DATES (AUG 1999) ..... 6

2.11 CONTENT OF RESULTING AWARD (NOV 2000) ..... 6

2.12 APPLICATION PREPARATION COSTS (DEC 1999) ..... 6

2.13 COMMITMENT OF PUBLIC FUNDS (AUG 1999) ..... 6

2.14 FALSE STATEMENTS (AUG 1999) ..... 6

2.15 QUESTIONS/AMENDMENTS TO SOLICITATION -- IIPS (OCT 2001) ..... 6

2.16 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER (CFDA) (DEC 2000) .... 7

2.17	PARTICIPATION BY DEPARTMENT OF ENERGY (DOE)MANAGEMENT AND OPERATING (M&O) CONTRACTORS (AUG 2000) .....	7
2.18	DETERMINATION OF RESPONSIBILITY (JAN 2001) .....	7
2.19	EVALUATION PERSONNEL (AUG 2000) .....	8
2.20	APPLICATION CLARIFICATION (JULY 1999) .....	8
2.21	APPLICATION ACCEPTANCE PERIOD (AUG 1999) .....	8
2.22	AWARD WITHOUT DISCUSSIONS (AUG 2000) .....	8
2.23	PRESUBMISSION REVIEW AND CLEARANCES (AUG 1999) .....	8
2.24	LOANS NOT AVAILABLE (JULY 1999) .....	8
2.25	52.227-6 ROYALTY INFORMATION. (APR 1984) .....	9
2.26	952.227-84 NOTICE OF RIGHT TO REQUEST PATENT WAIVER. (FEB 1998) .....	9
2.27	NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES (AUG 1999) .....	10

**SECTION III :            SOL-APPLICATION PREPARATION INSTRUCTIONS**

3.1	IIPS APPLICATION PREPARATION INSTRUCTIONS - GENERAL (NOV 2001) .....	11
3.2	OVERALL ARRANGEMENT OF APPLICATION (NOV 2001) .....	11
3.3	FILE FORMAT (NOV 2001) .....	11
3.4	SIGNED ORIGINALS (NOT REQUIRED) .....	12
3.5	VOLUME I -- OFFER AND OTHER DOCUMENTS PREPARATION INSTRUCTIONS (NOV 2001) .....	12
3.6	VOLUME II-- TECHNICAL APPLICATION PREPARATION INSTRUCTIONS - IIPS (NOV 2001) .....	13
3.7	VOLUME III-- COST APPLICATION PREPARATION INSTRUCTIONS - IIPS (NOV 2001) .....	16
3.8	UNNECESSARILY ELABORATE APPLICATIONS (SEPT 2000) .....	17

**SECTION IV :            SOL-EVALUATION AND SELECTION**

4.1 INTRODUCTION (MAY 2000) ..... 18

4.2 GENERAL (JULY 1999) ..... 18

4.3 PRELIMINARY REVIEW (FEB 2001) ..... 18

4.4 COMPREHENSIVE EVALUATION (AUG 1999) ..... 18

4.5 TECHNICAL EVALUATION CRITERIA (AUG 1999) ..... 19

4.6 COST EVALUATION CRITERIA (JULY 1999) ..... 19

4.7 RELATIVE ORDER OF IMPORTANCE OF EVALUATION CRITERIA (NOV 2000) .... 19

4.8 APPLICATION OF PROGRAM POLICY FACTORS (NOV 2000) ..... 20

4.9 BASIS FOR SELECTION AND AWARD (MAY 2000) ..... 20

**SECTION I**  
**SOLICITATIONS-TECHNICAL REQUIREMENTS**

**1.1 SUMMARY (MAR 2001)**

The primary mission of Department of Energy (DOE) - National Oil Program, implemented through the National Energy Technology Laboratory (NETL)/National Petroleum Technology Office (NPTO) in Tulsa, OK is to conduct oil related research and development activities. The purpose is to expand the knowledge base through which industry can bring additional oil resources and new technology options into the marketplace in a cost effective and environmentally acceptable manner. This program is directed toward technologies applied to the recovery of the estimated 890 million barrels of oil and natural gas liquids on Native American and Alaskan Native Corporation lands.

**1.2 BACKGROUND INFORMATION (JAN 2000)**

This solicitation is targeting full and open competition so all can apply, however applicants must partner with an Indian Tribe or Alaskan Native Corporation. DOE will only accept applications as an active partner or directly from a Federally recognized Indian Tribe or Alaskan Native Corporation on whose reservation or tribally-owned lands the project will be located. A letter of commitment from the Native American Tribe's governing body or from the governing body of an Alaskan Native Corporation, as well as, from each project participant is required as a part of the application, which provides both access and permission to perform the proposed project.

Projects in the Development program area, the Exploration program area and possibly the environmental program area, if mineral rights are an issue, must be performed on non-allotted tribally-owned lands or reservation. Projects in the Oil Processing program area and possibly the Environmental program area, if mineral rights are not an issue, may only be performed on tribally-owned lands or reservation. The selected projects may not be performed on any land not owned by a Federally recognized Indian Tribe or Alaskan Native Corporation nor on tribally-owned lands for which the mineral rights have been allotted. All data developed during the performance of the project will be made available to the Native American Tribe or Alaskan Native Corporation and to the general public.

**1.3 SOLICITATION OBJECTIVES (MAR 2001)**

The objectives of this solicitation are to receive applications of applied research in the areas of development and/or exploration of oil reserves, to receive applications of environmental solutions for oil and gas problems, and/or to receive studies on oil processing on Native American and Alaskan Native Corporation properties, which are for the benefit of the entire Tribe/Native Corporation. For a number of reasons, many areas on Native American and Alaskan Native Corporation lands are underexplored and consequently have underdeveloped oil reserves. There are no oil processing plants on Native American and Alaskan Corporation lands. This program is directed toward creating cooperative efforts between the Tribes or Corporations and the oil industry. DOE wishes to support the application of innovative petroleum technologies on Native American and Alaskan Native Corporation lands, that increase resource and economic development while protecting the environment. The four areas of interest for the technical topics of this

solicitation are: (1) reserves development, (2) oil exploration, (3) environmental and (4) oil processing. Proposed efforts must incorporate innovative technologies to improve the development of a known oil field, to promote exploration of undiscovered oil reserves, to reduce the cost of effective environmental oil and gas field compliance, or to study the environmental impact and/or economic feasibility of oil processing facilities. Innovative technologies are new and possibly cutting edge technologies, which are not typically practiced on Native American and Alaskan Native Corporation lands.

Area of Interest 1 -- Reserves Development Program

**(Please respond to solicitation DE-PS26-02NT15379-1)**

The Development program is directed toward technologies to improve the development of a known oil field on non-allotted Native American and Alaskan Native Corporation lands. Proposed efforts must be economically and environmentally viable as well as an improvement in the development of an oil field. The types of technologies to be considered may include, but are not limited to reservoir characterization, completion or stimulation, secondary or tertiary oil recovery, artificial lift, well workovers, well drilling, field studies and production management.

Area of Interest 2 -- Oil Exploration Program

**(Please respond to solicitation DE-PS26-02NT15379-2)**

The Exploration program is directed toward technologies to promote the exploration of undiscovered oil reserves on non-allotted Native American and Alaskan Native Corporation lands. In cooperation with the Tribal management, proposed efforts must be economically and environmentally viable as well as provide for an increased understanding of the exploration potential for a new oil field on Tribal/Corporation lands. The types of technologies to be considered may include, but are not limited to non-invasive exploration techniques, computer-based modeling for exploration and well drilling and evaluation.

Area of Interest 3 -- Environmental Program

**(Please respond to solicitation DE-PS26-02NT15379-3)**

The Environmental program is directed toward technologies to reduce the cost of effective environmental compliance in oil and gas fields on Native American and Alaskan Native Corporation lands. The types of technologies to be considered may include, but are not limited to soil remediation and remediation due to past operational practices or problems, air emissions, innovative waste and produced water management.

Area of Interest 4 -- Oil Processing Program

**(Please respond to solicitation DE-PS26-02NT15379-4)**

The Oil Processing program is directed toward increasing refining capacity by addressing issues that currently limit construction of refineries on Native American and Alaskan Native Corporation lands, which are for the benefit of the entire Tribe/Corporation. The types of studies to be considered may include, but are not limited to the evaluation of the environmental impact and economic feasibility of oil processing facilities and the development of plans for construction and operation of processing facilities.

**SECTION II**  
**SOL-CONDITIONS AND NOTICES**

**2.1 APPLICANT ELIGIBILITY (MAY 2001)**

Any nonprofit or for-profit organization, university or other institution of higher education, or non-federal agency or entity is eligible to apply, unless otherwise restricted by the Simpson-Craig Amendment which is defined as follows:

Organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, shall not be eligible for the receipt of Federal Funds constituting an award, grant, or loan. Section 501(c)(4) of the Internal Revenue Code of 1986 covers:

“Civic leagues or organizations not organized for profit but operated exclusively for the promotion of social welfare, or local associations of employees, the membership of which is limited to the employees of a designated person or persons in a particular municipality, and the net earnings of which re devoted exclusively to charitable, educational or recreational purposes.”

Lobbying activities are defined broadly to include, among other things, contacts on behalf of an organization with specified employees of the Executive Branch and Congress with regard to Federal legislative, regulatory and program administrative matters.

Applicants that are seeking financial assistance under this solicitation, are subject to the eligibility requirements of Section 2306 of the Energy Policy Act of 1992 (EPAAct).

In accordance with 10 CFR 600.502, a company shall be eligible to receive an award of financial assistance under a covered program only if DOE finds that--

- a. Consistent with Sec. 600.503, the company's participation in a covered program would be in the economic interest of the United States; and
- b. The company is either--
  1. A United States-owned company; or
  2. Incorporated or organized under the laws of any State and has a parent company which is incorporated or organized under the laws of a country which--
    - i. Affords to the United States-owned companies opportunities, comparable to those afforded to any other company, to participate in any joint venture similar to those authorized under the Act;
    - ii. Affords to United States-owned companies local investment opportunities comparable to those afforded to any other company; and

- iii. Affords adequate and effective protection for the intellectual property rights of United States-owned companies.

**NOTE: Please review 2.17 for further eligibility restrictions.**

**2.2 NUMBER AND TYPE OF AWARDS (JAN 2000)**

It is anticipated that there will be two to five awards resulting from this solicitation. However, the Government reserves the right to fund, in whole or in part, any, all, or none of the applications submitted in response to this solicitation and will award that number of financial assistance instruments which serves the public purpose and is in the best interest of the Government. The Government intends to use grants as the type of award instrument(s).

**2.3 COST SHARING REQUIREMENTS (DEC 1999)**

In accordance with 10 CFR 600.30, the DOE has determined that a minimum cost share for this project is 20%. Cost sharing must meet the requirements of 10 CFR 600.123 and 10 CFR 600.224. Allowable costs for cost sharing shall be in accordance with 10 CFR 600.127 and 10 CFR 600.222.

**2.4 AVAILABILITY OF FUNDS (AUG 1999)**

It is estimated that \$1.2 million (DOE dollars) will be available for award under this solicitation, subject to the availability of funds.

**2.5 PROJECT PERIOD (AUG 2000)**

The Government anticipates the project period for the subject awards to be no less than one year and up to two years. Awards will have project and budget periods that are specific to the project and funding.

**2.6 REPORTING REQUIREMENTS (FEB 2001)**

The Reporting Requirements identified in the model financial assistance agreement located at <http://www.netl.doe.gov/business/faapiaf/MODEL.PDF> are required to be submitted during performance of the award.

**2.7 TIME, DATE AND PLACE APPLICATIONS ARE DUE -- IIPS (JAN 2001)**

All applications shall be submitted through DOE's Industry Interactive Procurement System (IIPS) in accordance with the instructions found at the NETL Website <http://www.netl.doe.gov/business/faapiaf/main.html> and the IIPS User Guide which can be obtained by going to the IIPS Secured Services site at <http://e-center.doe.gov> under the "HELP" section of the website.

Applicants must register in IIPS in order to submit an application. Only registered users will have the capability to transmit their applications in a responsive manner. Applicants

are strongly encouraged to register with IIPS as soon as possible prior to the application deadline. Once prospective applicants are registered, only DOE personnel and expert evaluators will have access to application information. Questions regarding the operation of IIPS must be e-mailed to Laura Freeman at freeman@netl.doe.gov or by calling the HELP Desk at 1-800-683-0751.

The only acceptable mode of application transmission is through IIPS. Applications submitted through the U.S. Postal Service, facsimile, telegraphically, courier companies, or hand-delivered hard copies will be considered non-responsive.

**ALL APPLICATIONS MUST HAVE AN IIPS TRANSMISSION TIME STAMP OF NOT LATER THAN 11:59 p.m. EASTERN STANDARD TIME ON APRIL 8, 2002.**

Applicants are advised to begin transmission 24 hours in advance of the deadline in order to prevent any transmission difficulties.

## **2.8 PROGRAM AREAS OF INTEREST (FEB 2001)**

This solicitation contains multiple program areas of interest identified in the solicitation objectives. Applicants are cautioned that this solicitation is a master solicitation and that each program area of interest has its own program-specific solicitation number for submission of applications. For example, Program Area of Interest 1, "Development Program" has a solicitation number of DE-PS26-02NT15379-1. Applications will not be considered if they are submitted under the master solicitation.

Applicants should submit their application under the program area which best fits the majority of the effort to be performed. If an application is submitted under a program area of interest in which the DOE believes fits more appropriately in another program area of interest, the applicant will be directed to resubmit under the appropriate area of interest. Do not submit an identical application under more than one area of interest.

There is no limitation on the number of different applications an applicant may submit. However, a separate application must be submitted for each Program Area of Interest for which the applicant is interested in receiving an award. Each application must be complete and shall not rely upon another application for submission of the required documents.

## **2.9 LATE APPLICATIONS, AMENDMENTS AND WITHDRAWALS OF APPLICATIONS -- IIPS (JAN 2001)**

An application or amendment of an application shall be timely if it is transmitted through IIPS, and the date/time of the transmission indicated by IIPS is on or before the closing date(s) indicated above.

Applications or amendments of applications may be withdrawn by written notice by an authorized representative to the Contract Specialist via E-mail or by contacting the IIPS HELP Desk. A second application or amendment may then be submitted. The second or subsequent application must be submitted before the closing date to be considered.

In the event that two or more applications are received for the same project with the same file name, the application with the latest transmission time stamp will be considered for

review. Therefore, it is important that you not merely make page changes and resubmit portions of the application that are amended. A complete amended application must be sent. Contact the IIPS HELP Desk for assistance.

**2.10 ANTICIPATED SELECTION AND AWARD DATES (AUG 1999)**

It is anticipated that selections for award will be made on June 30, 2002. Awards are expected to be made within 90 calendar days following the selection.

**2.11 CONTENT OF RESULTING AWARD (NOV 2000)**

Any agreement awarded as a result of this solicitation will contain the applicable terms and conditions found in the Model Financial Assistance Agreement located at the NETL Website located at: <http://www.netl.doe.gov/business/faapiaf/MODEL.PDF>

Blank areas appearing in the model agreement indicated by "[ ]" will be completed after negotiations.

**2.12 APPLICATION PREPARATION COSTS (DEC 1999)**

This solicitation does not obligate the Government to pay any costs incurred in the preparation and submission of applications, or in making necessary studies or designs for the preparation thereof or to acquire, or contract for any services.

**2.13 COMMITMENT OF PUBLIC FUNDS (AUG 1999)**

The Contracting Officer is the only individual who can legally commit the Government to the expenditure of public funds in connection with the proposed award. Any other commitment, either explicit or implied, is invalid.

**2.14 FALSE STATEMENTS (AUG 1999)**

Applications must set forth full, accurate, and complete information as required by this solicitation. The penalty for making false statements in applications is prescribed in 18 U.S.C. 1001.

**2.15 QUESTIONS/AMENDMENTS TO SOLICITATION -- IIPS (OCT 2001)**

All requests for explanation or interpretation of any part of the solicitation must be submitted through the "Submit Question" feature in IIPS. Once a question is submitted, it can not be edited. Questions submitted as well as the government's response to these questions may be viewed by using the "View Questions" feature in IIPS. The Government reserves the right not to respond to questions submitted by telephone, E-mail or in person at any time.

The only method by which any term of this solicitation may be amended is by an express, formal amendment generated by the issuing office and disseminated through IIPS. No other communication, whether written or oral will amend or supersede the terms of this solicitation.

Applicants are encouraged to periodically check IIPS to ascertain the status of any amendments and review the answers to questions as hard copies will not be distributed.

**2.16 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER (CFDA) (DEC 2000)**

81.089            Fossil Energy Research and Development            FE

The Applicant should put this CFDA number in Block 10 of the Standard Form 424, Application for Federal Assistance.

**2.17 PARTICIPATION BY DEPARTMENT OF ENERGY (DOE) MANAGEMENT AND OPERATING (M&O) CONTRACTORS (AUG 2000) as REVISED (DEC 2001)**

Applications submitted by, or on behalf of: (1) another Federal agency; (2) a Federally Funded Research and Development Center sponsored by another Federal agency; or (3) a Department of Energy (DOE) Management and Operating (M&O) contractor will not be eligible for an award under this solicitation. However, an application that includes performance of a portion of the work by a DOE M&O contractor will be evaluated and may be considered for award, provided the proposed use of any such entity is specifically authorized in writing by the responsible DOE Contracting Officer or authorized designee and the applicant provides the additional information identified in Section III - APPLICATION PREPARATION INSTRUCTIONS. The responsible DOE Contracting Officer must determine that performance by the M&O contractor: 1) is consistent with or complementary to DOE missions and the missions of the facility to which the work is to be assigned; 2) will not adversely impact execution of assigned programs of the facility; 3) will not place the facility in direct competition with the domestic private sector; and 4) will not create a detrimental future burden on DOE resources.

If a project which includes M&O participation is approved for funding, DOE intends to make an award to the applicant for its portion of the effort and to provide direct funding for the M&O's portion of the effort under the existing DOE M&O contract. The M&O contractor's work scope therefore will not be accomplished through a contract with a recipient as defined in 10 CFR Part 600.3. However, the recipient will be the responsible authority, without recourse to DOE, regarding the settlement and satisfaction of all contractual and administrative issues, including but not limited to disputes and claims, arising out of any agreement between the applicant and the M&O contractor.

If a recipient uses an M&O contractor to perform a portion of the work, the recipient's cost sharing requirement would be based on the total cost of the project, including both the recipient's and the M&O's portions of the effort. The estimated total cost of an M&O contractor(s) work shall not exceed twenty percent (20%) of the total estimated project cost.

**2.18 DETERMINATION OF RESPONSIBILITY (JAN 2001)**

DOE will evaluate the potential Recipient's responsibility before award. Responsibility determinations are focused on the Recipient's capability to manage and account for the funds, property and other assets provided and to perform satisfactorily under the terms of the award. If a potential Recipient is determined to not be in compliance or cannot or will not comply with generally applicable requirements (see 10 CFR Part 600, Appendix A), the

contracting officer will find the Recipient not responsible and may either disapprove the application or use special restrictive conditions as a term of award.

**2.19 EVALUATION PERSONNEL (AUG 2000)**

Applications will be evaluated in accordance with the criteria set forth in Section VI of the solicitation. In conducting this evaluation, the Government may utilize assistance and advice from qualified personnel from other Federal Agencies, DOE Contractors, universities and industry. APPLICANTS NOT WISHING TO HAVE THEIR APPLICATION EVALUATED BY NONFEDERAL PERSONNEL SHALL INDICATE THEIR "NON-CONSENT" IN VOLUME I. Applicants are further advised that DOE may be unable to consider an application withholding such consent.

When using personnel from other Federal agencies, DOE contractors, or other consultants to DOE in the evaluation of applications, DOE will obtain assurances from all evaluators that DOE's commitments are met relating to the proprietary nature of any application information.

**2.20 APPLICATION CLARIFICATION (JULY 1999)**

DOE reserves the right to require applications to be clarified or supplemented to the extent considered necessary either through additional written submissions or oral presentations.

**2.21 APPLICATION ACCEPTANCE PERIOD (AUG 1999)**

The minimum application acceptance period shall be 180 calendar days after the deadline(s) for receipt of applications.

**2.22 AWARD WITHOUT DISCUSSIONS (AUG 2000)**

Notice is given that award may be made after few or no exchanges, discussions or negotiations. Therefore, all applicants are advised to submit their most favorable application to the Government. The Government reserves the right, without qualification, to reject any or all applications received in response to this solicitation and to select any application, in whole or in part, as a basis for negotiation and or award.

**2.23 PRESUBMISSION REVIEW AND CLEARANCES (AUG 1999)**

Presubmission review under Executive Order 12372, "Intergovernmental Review of Federal Programs" is not required.

**2.24 LOANS NOT AVAILABLE (JULY 1999)**

Loans are not available under the DOE Minority Economic Impact (MEI) loan program, 10 CFR Part 800, to finance the cost of preparing a financial assistance application.

**2.25 52.227-6 ROYALTY INFORMATION. (APR 1984)**

- a. *Cost or charges for royalties.* When the response to this solicitation contains costs or charges for royalties totaling more than \$250, the following information shall be included in the response relating to each separate item of royalty or license fee:
1. Name and address of licensor.
  2. Date of license agreement.
  3. Patent numbers, patent application serial numbers, or other basis on which the royalty is payable.
  4. Brief description, including any part or model numbers of each contract item or component on which the royalty is payable.
  5. Percentage or dollar rate of royalty per unit.
  6. Unit price of contract item.
  7. Number of units.
  8. Total dollar amount of royalties.
- b. *Copies of current licenses.* In addition, if specifically requested by the Contracting Officer before execution of the contract, the offeror shall furnish a copy of the current license agreement and an identification of applicable claims of specific patents.

**2.26 952.227-84 NOTICE OF RIGHT TO REQUEST PATENT WAIVER. (FEB 1998)**

Offerors have the right to request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of the contract that may be awarded as a result of this solicitation, in advance of or within 30 days after the effective date of contracting. Even where such advance waiver is not requested or the request is denied, the contractor will have a continuing right under the contract to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the contract. Domestic small businesses and domestic nonprofit organizations normally will receive the patent rights clause at DEAR 952.227-11 which permits the contractor to retain title to such inventions, except under contracts for management or operation of a Government-owned research and development facility or under contracts involving exceptional circumstances or intelligence activities. Therefore, small businesses and nonprofit organizations normally need not request a waiver. See the patent rights clause in the draft contract in this solicitation. See DOE's patent waiver regulations at 10 CFR part 784.

**2.27 NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES (AUG 1999)**

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

**SECTION III**  
**SOL-APPLICATION PREPARATION INSTRUCTIONS**

**3.1 IIPS APPLICATION PREPARATION INSTRUCTIONS - GENERAL (NOV 2001)**

The application shall be prepared as set forth herein to provide a standard basis for evaluation and to insure that each application will be uniform as to format and sequence. Applications are expected to be prepared in accordance with this section.

Applicants are advised that the submission of your application in an electronic format is required utilizing the Industry Interactive Procurement System (IIPS) through the Internet at <http://e-center.doe.gov/>. IIPS provides the medium for disseminating solicitations, receiving applications, and evaluating applications in a paperless environment. Individuals who have the authority to enter their company into a legally binding contract and intend to submit applications via the IIPS system must register and receive confirmation that they registered prior to being able to submit an application on the IIPS System. An IIPS "User Guide for Contractors" can be obtained by going to the IIPS Homepage at <http://e-center.doe.gov> and then clicking on the "Help" button. Questions regarding the operation of IIPS may be E-mailed to the IIPS Help Desk at [IIPS\\_HelpDesk@e-center.doe.gov](mailto:IIPS_HelpDesk@e-center.doe.gov) or call the Help Desk at (800) 683-0751.

During review of the complete application, DOE may request the submission of additional information if the information is essential to evaluate the application.

**3.2 OVERALL ARRANGEMENT OF APPLICATION (NOV 2001)**

The overall application shall consist of three (3) physically separated volumes, individually entitled as stated below and submitted through IIPS at <http://e-center.doe.gov>.

APPLICATION VOLUME -- TITLE	PAGE LIMITATION
Volume I -- Offer and Other Documents	NONE
Volume II -- Technical Application	Ten (10) Pages Related to the Technical Discussion Portion of Volume II
Volume III -- Cost Application	NONE

All forms and instructions needed for preparation of each volume are found on the NETL homepage at: <http://www.netl.doe.gov/business/faapiaf/main.html>

Instructions for completion of the forms are contained on the back of each form. Questions on completion of the forms should be addressed to the Contract Specialist.

**3.3 FILE FORMAT (NOV 2001)**

To aid in evaluation, applications shall be clearly and concisely written as well as being neat, indexed (cross-indexed as appropriate), and logically assembled. All pages of each part shall be appropriately numbered, and identified with the name of the applicant, the date, and the solicitation number to the extent practicable.

Application files are to be formatted in one of the following software applications:

ANY OR ALL OF THE FOLLOWING FORMAT TYPES: Adobe Acrobat PDF, Word and/or WordPerfect.

Files shall be saved with filenames which clearly identify the file being submitted. Filename extensions shall clearly indicate the software application used for preparation of the documents, i.e. .wpd, .doc, .pdf.

In order to create PDF documents, complete the fillable PDF forms, save them, and/or electronically transmit them to DOE, the full version of Adobe Acrobat must be acquired. Information regarding Adobe Acrobat software can be obtained from Adobe Systems, Inc. at <http://adobe.com>.

**3.4 SIGNED ORIGINALS (NOT REQUIRED)**

Submission of electronic proposals via IIPS will constitute submission of signed copies of the required documents. The name of the applicant's authorized official shall be entered (typed or electronic signature) in the appropriate space shown on the form(s).

**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:

	MANDATORY FILE	FILENAME
File 1	Volume 1, Application Cover Sheet	COVER.---
File 2	SF 424, Application for Federal Assistance	SF424.---
File 3	SF424b, Assurances, Non-Construction Programs	SF424b.---
File 4	D1600.5, Assurance of Compliance	D1600_5.---
File 5	Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Work Place Requirements	CERTS.---
File 6	Representation of Limited Rights Data and Restricted Computer Software	DATA.---
File 7	NEPA Environmental Questionnaire	NEPA.---
File 8	Energy Policy Act Representation (EPAct)	EPACT.---

File 9	Simpson-Craig Amendment Representation	SIMPSON.---
File 10	SF-LLL 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:

	MANDATORY FILE	FILENAME	PAGE LIMIT
File 1	Public Abstract	ABSTRACT.---	1 Page
File 2	Cover Page and Technical Discussion	TECHNICAL.---	Cover Page (1) + 10 Pages
File 3	Resumes of Key Personnel, Publications, and/or Letters of Commitment, if applicable.	ATTACHMENTS.---	No Limit
File 4	<u>Statement of Project Objectives</u> Total of Volume II Documents	<u>OBJECTIVES.---</u>	<u>10 Pages or Less</u> 22 Pages (not including Attachments)

**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 10 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 Work (SOW) which clearly outlines a logical sequence of project activities and provide a milestone schedule which identifies project activities described in the SOW, including decision points and deliverables;
  - 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.).

**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.

**FILE 4 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.

The Statement of Project Objectives is generally less than 10 pages in total for the proposed work. 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. DELIVERABLES

The periodic, topical, and final reports shall be submitted in accordance with the attached "Federal Assistance Reporting Checklist" and the instructions accompanying the checklist.

The Recipient shall provide a list of deliverables other than those identified on the "Federal Assistance Reporting Checklist" that will be delivered. These reports shall also be identified within the text of the Statement of Project Objectives.

1. Task 1.1 - (Report Description)
2. Task 2.2 - (Report Description)

## E. BRIEFINGS/TECHNICAL PRESENTATIONS (If applicable)

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:

	MANDATORY FILE	FILENAME
File 1	Volume III, Application Cover Sheet	COVER.---
File 2	Budget Forms	BUDGET.---
File 3	Supporting Cost Detail	DETAIL.---
File 4	Financial Management System	FINANCIAL.---

### **3.8 UNNECESSARILY ELABORATE APPLICATIONS (SEPT 2000)**

Unnecessarily elaborate applications beyond those sufficient to present a complete and effective response to this solicitation are not desired. Elaborate art work and expensive visual presentations are neither necessary nor wanted.

## **SECTION IV** **SOL-EVALUATION AND SELECTION**

### **4.1 INTRODUCTION (MAY 2000)**

This section contains the evaluation approach as well as the individual criteria to be used in the evaluation of applications.

### **4.2 GENERAL (JULY 1999)**

It is the policy of DOE that any financial assistance be awarded through a merit-based selection process which means a thorough, consistent and independent examination of applications based on pre-established criteria by persons knowledgeable in the field of the proposed project.

### **4.3 PRELIMINARY REVIEW (FEB 2001)**

Prior to a comprehensive evaluation, applications will undergo an initial review to determine whether the information required by the solicitation has been submitted and is properly completed. Applications will be reviewed for relevance to the "Applications of Petroleum Technologies on Native American and Alaskan Native Corporation Properties for the Benefit of the Entire Tribe/Native Corporation," program and for responsiveness to the requirements of the solicitation. Solicitations that require cost-sharing will be reviewed to insure that this requirement has been met. Volume I of the application will be reviewed to assess the Applicant's eligibility under the lobbying, EPO Act and Simpson-Craig Amendment requirements. Failure to successfully meet any one of these preliminary review criteria may result in the elimination of the application and no further consideration in the Comprehensive Evaluation. In the event that an application is eliminated, a notice will be sent to the Applicant stating the reason(s) that the application will not be considered for financial assistance under this solicitation.

### **4.4 COMPREHENSIVE EVALUATION (AUG 1999)**

Applications passing the preliminary evaluation shall be subject to a comprehensive evaluation in accordance with the technical evaluation criteria listed in this section.

The technical evaluation is conducted to determine the merits of the technical application with regard to the potential success of the project as well as future commercial applications. Comprehensive evaluation results in a numerical score for each application against each of the technical evaluation criteria.

The Environmental, Health, Safety, and Security (EHSS) Evaluation, which is not point scored, is conducted to determine the completeness of the Environmental Questionnaire, and to assess the applicant's awareness of EHSS requirements for mitigating project related EHSS risks and impacts.

The cost evaluation, which is not point scored, is conducted to determine the completeness of the cost estimate, appropriateness and reasonableness of the cost, and to assess the applicant's understanding of the Statement of Project Objectives.

#### **4.5 TECHNICAL EVALUATION CRITERIA (AUG 1999)**

Technical applications submitted in response to this solicitation will be evaluated and scored in accordance with the criteria listed below:

1. Evidence of Technical Understanding and Readiness 35%
  - A. Demonstrate 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.
  - C. Adequacy, availability, suitability, and quality of the data or the method to obtain data relevant to the project.
  
2. Technical and Project Management Approach 35%
  - A. Reasonableness and adequacy of the proposed multi-disciplinary technical approach for completing the project.
  - B. Quality and completeness of the proposer's Statement of Work and a project milestone schedule.
  - C. Credentials, experience, and availability of the proposer's key team members and key personnel, and other personnel and resources that are critical to the project.
  
3. Benefit of the Project 20%

Relevance and economic feasibility, and incremental benefit of the proposed project and opportunities for widespread commercial application of the proposed technology.
  
4. Technology Transfer Plan 10%

Adequacy and timeliness of the proposed plan for transferring the knowledge, methodology, data, and techniques for solving the specific problem(s) identified.

#### **4.6 COST EVALUATION CRITERIA (JULY 1999)**

The costs proposed will be evaluated in response to this solicitation in order to:

- a. determine the level of verifiable cost sharing;
- b. ensure that all work elements included in the Statement of Project Objectives have associated costs, and that those cost appear appropriate and reasonable for the effort proposed; and
- c. assess the applicant's understanding of the Statement of Project Objectives.

#### **4.7 RELATIVE ORDER OF IMPORTANCE OF EVALUATION CRITERIA (NOV 2000)**

The evaluation of the technical application will be conducted using preestablished weights to determine the relative merits of the application in accordance with the technical evaluation criteria. The technical evaluation (Volume II - Technical Application) represents 100% of the total evaluation scoring. Although Volume I and Volume III will not be point scored they will be considered in the selection decision and must be addressed.

The following weighting factors will be applied to each technical evaluation criteria to obtain a final evaluation rating for each application.

1.	Evidence of Technical Understanding and Readiness	35%
2.	Technical and Project Management Approach	35%
3.	Benefit of the Project	20%
4.	Technology Transfer Plan	10%

#### **4.8 APPLICATION OF PROGRAM POLICY FACTORS (NOV 2000)**

These factors, while not indicators of the Application's merit, e.g., technical excellence, cost, proposer's ability, etc., may be essential to the process of selecting the application(s) that, individually or collectively, will best achieve the program objectives. Such factors are often beyond the control of the Applicant. Applicants should recognize that some very good applications may not receive an award because they do not fit within a mix of projects which maximizes the probability of achieving the DOE's overall research and development objectives. Therefore, the following Program Policy Factors may be used by the Source Selection Authority (SSA) to assist in determining which of the ranked application(s) shall receive DOE funding support.

1. The desirability of selecting projects which represent a diversity of technologies among development, exploration, environmental and oil processing approaches;
2. The desirability of selecting projects that collectively represent a diversity of Native American Tribes or Alaskan Native Corporations;
3. Availability of funding in the specific program areas of this solicitation;
4. It is desirable to select for award a group of projects which represents a diversity of technical approaches and methods;
5. It may be desirable to support complementary and/or duplicative efforts or projects, which, when taken together, will best achieve the research goals and objectives; and/or
6. It is desirable that different kinds and sizes of organizations be selected for award in order to provide a balanced programmatic effort and a variety of different technical perspectives;

The above factors will be independently considered by the SSA in determining the optimum mix of applications that will be selected for support. These policy factors will provide the SSA with the capability of developing, from the competitive solicitation, a broad involvement of organizations and organizational ideas, which both enhance the overall technology research effort and upgrade the program content to meet the goals of the DOE.

#### **4.9 BASIS FOR SELECTION AND AWARD (MAY 2000)**

The Department of Energy anticipates the award of one or more financial assistance instruments to those applicants whose applications are determined to be in the best interest of the Department in achieving the program objectives set forth in this solicitation.

Selection of an application by the Department will be achieved through a process of evaluating and comparing the relative merits of the applicant's complete applications, in accordance with all of the evaluation factors set forth in this section.

This process reflects the Department's desire to accept an application based on its potential in best achieving program objectives, rather than solely on evaluated technical merit or cost. Accordingly, the Department of Energy may select for an award all, none, or any number or part, of an application, based on its decision as to which meritorious applications best achieve the program objectives set forth in this solicitation.

It is important for applicants to note that selection for negotiations will be made entirely on the basis of applications submitted. Applications should, therefore, address specifically the factors mentioned in the evaluation criteria, and not depend upon reviewers' background know.