

**SOLICITATION FOR FINANCIAL
ASSISTANCE APPLICATIONS
NO. DE-PS26-03NT41757-0**



**“Ground Breaking Innovative Technology Concepts
For Mining”**

**CONTACT: JULIANA L. MURRAY, CONTRACT SPECIALIST
TELEPHONE NO.: 412-386-4872
FAX NO.: 412-386-6137
E-MAIL: murray@netl.doe.gov**

ISSUING OFFICE:

**U.S. DEPARTMENT OF ENERGY
NATIONAL ENERGY TECHNOLOGY LABORATORY
626 COCHRANS MILL ROAD
P.O. BOX 10940
PITTSBURGH, PA 15236-0940**

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

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SECTION I **TECHNICAL REQUIREMENTS**

1.1 SUMMARY (JAN 2003)

The Department of Energy (DOE), National Energy Technology Laboratory (NETL) is seeking white paper applications on behalf of the Energy Efficiency and Renewable Energy, Mining Industries of the Future Program, for advanced concepts that span the mining industry and are capable of revolutionizing the industry as a whole or for discrete segments as regards energy intensity (i.e. energy used to achieve a unit output). Cost sharing is not required because of the fundamental nature of the requested research under this solicitation, but the DOE/NETL will only contribute up to \$50,000 per project selected for award.

1.2 BACKGROUND INFORMATION (JAN 2000)

The United States Congress looks to the Department of Energy (DOE) to work towards improving the energy efficiency of America's most energy-intensive industries with special interest in industrial processing. DOE, through its Office of Industrial Technologies Program (OIT), supports industries in their efforts to increase energy efficiency, reduce waste and increase productivity. The goal of the OIT program is to accelerate the development and use of advanced, energy efficient, renewable and pollution prevention technologies that benefit industry, the environment and U.S. energy security. At OIT's core, is the Industries of the Future Program that focuses on basic materials and processing industries of which the Mining Industry is one such business sector.

1.3 SOLICITATION OBJECTIVES (MAR 2001)

The objective of this solicitation is to support the stated national interests by providing seed funding for development of "revolutionary" concepts or "unique" approaches that would define the direction for potential future research and development projects that address needs that broadly fall in the domestic mining industry. These approaches should represent significant departures from existing approaches, not simply incremental improvements. This solicitation seeks "out-of-the-box" thinking; therefore, mature ideas, past the conceptual stage, are not eligible for this program.

DOE has identified specific mining industry activities where energy efficiency improvements would have the most significant impact. This solicitation encourages prospective concepts to be developed in the following areas:

Area of Interest 1: DE-PS26-03NT41757-1
Energy Efficient Alternatives to Current Technologies in Materials Handling

Interests include energy alternatives with regard to energy use per unit of output to current technologies involving the used of equipment or processes to transport ore and waste.

Area of Interest 2: DE-PS26-03NT41757-2
Energy Efficient Alternatives to Current Beneficiation and Processing Technologies, Particularly Crushing and Grinding

Interests include energy alternatives with regard to energy use per unit of output to current technologies using equipment or processes to crush, grind, concentrate and/or separating the ore from the unwanted material.

Area of Interest 3: DE-PS26-03NT41757-3
Mineral Extraction Processes to Reduce Downstream Material Handling and Beneficiation and Processing Requirements; Efficiency Alternatives to Pumping in Mining Applications

Interests include energy alternatives to mineral processes using equipment or processes to explore, mine and process ore.

Applications offering emissions or waste disposal, remediation or treatment as a primary focus are not eligible for funding under this solicitation. This limitation does not include applications that target materials recycling or by-product utilization as their primary focus.

SECTION II
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 are 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.

2.2 NUMBER AND TYPE OF AWARDS (JAN 2000)

It is anticipated that there will be up to ten (10) 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 financial assistance grants as the type of award instruments.

2.3 COST SHARING REQUIREMENTS (DEC 1999)

In accordance with 10 CFR 600.30, the DOE has determined that there is no cost share requirement for this solicitation. DOE will contribute a maximum of \$50,000 per project selected for award. Additional cost sharing will be allowed, however 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 \$500,000 will be available for awards 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 twelve (12) months. Awards will have project and budget periods that are specific to the project and funding.

2.6 APPLICATION DUE DATE (FEB 2003)

Applications and amendments of applications must be received by May 13, 2003, not later than 8:00 PM Eastern Time. You are encouraged to transmit your application well before the deadline.

APPLICATIONS, OR APPLICATION FILES, THAT HAVE AN IIPS DATE/TIME STAMP LATER THAN THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

2.7 PROGRAM AREAS OF INTEREST (JAN 2003)

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, Energy Efficient Alternatives to Current Technologies in Materials Handling has a solicitation number of DE-PS26-03NT41757-1. Applications can not be 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.

2.8 MORE THAN ONE APPLICATION (JAN 2003)

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

2.9 ANTICIPATED SELECTION AND AWARD DATES (AUG 1999)

It is anticipated that selections for award will be made on or about August 1, 2003. Awards are expected to be made within the last quarter of fiscal year 2003 and the first quarter of fiscal year 2004.

2.10 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.

2.11 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.

2.12 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.

2.13 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.

2.14 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER (CFDA) (DEC 2000)

The applicable CFDA Number for this solicitation is **81.087** entitled, "Renewable Energy and Energy Efficiency." The Applicant should put this CFDA number in Block 10 of the Standard Form 424, Application for Federal Assistance.

2.15 PROHIBITION ON PARTICIPATION BY FEDERAL ORGANIZATIONS OR FEDERALLY AFFILIATED ORGANIZATIONS (MAR 2002)

Federally Funded Research and Development Centers (FFRDC), DOE Management and Operating (M&O) contractors and Federal Agencies are prohibited from participating at any level in applications submitted in response to this solicitation. If an application is received which includes participation by these organizations, it will be rejected without evaluation.

2.16 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.

2.17 EVALUATION PERSONNEL (FEB 2003)

Applications will be evaluated in accordance with the criteria set forth in Section IV 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" ON THE NETL FORM 540.1-4, FINANCIAL ASSISTANCE CERTIFICATIONS AND ASSURANCES. 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.

2.18 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.

2.19 APPLICATION ACCEPTANCE PERIOD (AUG 1999)

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

2.20 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.

2.21 PRESUBMISSION REVIEW AND CLEARANCES (AUG 1999)

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

2.22 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.

2.23 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 Applicant shall furnish a copy of the current license agreement and an identification of applicable claims of specific patents.

2.24 952.227-84 NOTICE OF RIGHT TO REQUEST PATENT WAIVER. (FEB 1998)

Applicants 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.

2.25 PERFORMANCE OF WORK IN THE UNITED STATES (FEB 2001)

As a condition of award under this solicitation, Applicants must agree that at least 75% of the direct labor cost for the project (including subcontractor labor) will be incurred in the United States unless the Applicant can demonstrate to the satisfaction of the DOE that the United States economic interest will be better served through a greater percentage of work performed outside the United States. For example, an Applicant may provide evidence that expertise to develop a technology exists only outside the United States, but that ultimate commercialization of the technology will result in substantial benefits to the United States such as improved electricity reliability, increased employment, increased exports of U.S.-manufactured products, etc.

2.26 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.

2.27 LOCATE SOLICITATION, JOIN MAILING LIST, SUBMIT QUESTIONS, VIEW AMENDMENTS OR QUESTIONS AND ANSWERS (FEB 2003)

If you would like to receive notifications related to this specific solicitation, submit questions on the content of the solicitation, or view amendments or questions and answers, you should locate this solicitation, and then follow the appropriate directions:

LOCATE SOLICITATION

- Go to the IIPS website at <http://e-center.doe.gov> and click on “Browse Opportunities,” or login in if you are registered.
- Click on any of the options for viewing the solicitation (whichever is easiest for you to locate this solicitation).
- Click on “Enter IIPS”.
- Locate and click on the solicitation number to view “Synopsis and Solicitation Information.”
- Click on hyperlink under “File Attachments” or “URL Links” to access the full solicitation or program notice.

JOIN SOLICITATION MAILING LIST.

Click on the “Join Solicitation Mailing List” button at the top of the page, enter the required information, and submit. After you have joined the list, you should receive an email when a solicitation message is posted. Even though you have joined the mailing list, you should visit the solicitation page periodically to ensure that you have the latest information.

VIEW AMENDMENTS.

Click on the yellow folder next to the solicitation number to view amendments and solicitation messages; or follow directions for “Locate Solicitation” to view a conformed copy of the solicitation (a line in the margin annotates changed sections).

SUBMIT QUESTION ON THE CONTENT OF THE SOLICITATION.

Click on the “Submit Question” button at the top and enter required information. You will receive an electronic notification that your question has been answered. DOE will try to respond to a question within 5 days, unless a similar question and answer have already been posted on the website.

VIEW QUESTIONS AND ANSWERS.

Click on the “View Questions” button at the top of the page. If no questions have been submitted and answered, a statement to that effect will appear at the top of the page. You should periodically check the IIPS website for new questions and answers.

SECTION III
APPLICATION PREPARATION AND SUBMISSION REQUIREMENTS

3.1 APPLICATION PREPARATION INSTRUCTIONS (FEB 2003)

To aid in evaluation, applications shall be clearly and concisely written. All pages 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: Adobe Acrobat PDF or Word (we would strongly encourage you to use Word as your software application of choice to the greatest extent possible)

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

MANDATORY FILES	FILENAME
Application	424.---
Certifications and Assurances	540_1-4.---
Project Summary (This file includes a one (1) page single spaced Public Abstract)	540_1-2.---
Narrative (Technical)	TECHNICAL.---
Budget	4600.4.---
Budget Narrative	BUDGET NARRATIVE.---

APPLICATION FORMS

The application form (SF 424), Certifications and Assurances (NETL F540.1-4), Project Summary Sheet (NETL F540.1-2), and Budget Form (SF 424A or DOE F 4600.4) are available 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. You must complete the required information, type the name of the individual authorized to sign the form in the signature block, and save the file with the designated name for that form.

NARRATIVE (TECHNICAL)

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 narrative shall not exceed five (5) pages (excluding the cover page), double spaced, using 10 point font, 1" margins, and when printed will fit on size 8 1/2" by 11" paper.

The technical narrative 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 narrative. This format relates to the technical evaluation criteria found in Section IV.

Two (2) Double Spaced Pages should be spent on:

Criterion 1: **Technical Approach and Scientific Merit**

In your application, please address the following items:

- a. the innovativeness, boldness and originality of the concept toward achieving the "Research Objectives for this Solicitation"
- b. the clarity, completeness, and adequacy of the statement of objectives
- c. identification of the hurdles and barriers to be overcome
- d. the technical and scientific feasibility of the proposed concept

Two (2) Double Spaced Pages should be spent on:

Criterion 2: **Energy and Economic Benefits**

In your application, please address the following items:

- a. reduction of the extraction and processing energy consumption of the domestic Mining Industry with regard to energy use per unit output
- b. the potential for enhancing the economic competitiveness of the domestic Mining Industry

One (1) Double Spaced Page should be spent on:

Criterion 3: **Technical Capabilities**

In your application, please address the following items:

- a. credentials, capabilities and experience of key personnel
- b. the adequacy and availability of the facilities and equipment to perform project tasks

BUDGET NARRATIVE

The following cost detail is required for the proposed cost elements. Failure to provide the detailed cost information as described in the instructions will result in an incomplete application. If an Applicant proposed cost sharing, the Applicant shall stipulate in the application the source and amount of cost sharing and the value of third party in-kind contributions proposed to meet the requirement. Additionally teaming members and subcontractors are also required to submit the below information with their budgets.

PERSONNEL -- In support of the proposed personnel costs, provide a supplemental schedule that identifies the labor hours, labor rates, and cost by labor classification for each budget year. Also indicate the basis of the labor classification, number of hours, and labor rates. An example of the basis for the labor classification and number of hours could be past experience, engineering estimate, etc. An example of the basis for the labor rates could be actual rates for the individuals who will perform the work or an average labor rate for the labor classification or a departmental average rate.

FRINGE BENEFITS -- Provide the method used to calculate the proposed rate amount. If a fringe benefit has been negotiated with, or approved by, a Federal Government agency, provide a copy of the agreement. If no rate agreement exists, provide a detailed list of the fringe benefit expenses (e.g., payroll taxes, insurances, holiday and vacation pay, bonuses) and their associated costs. Identify the base for allocating these fringe benefit expenses.

TRAVEL -- For each proposed trip, provide the purpose, number of travelers, travel origin and destination, number of days, and a breakdown of costs for airfare, lodging, meals, car rental, and incidentals. The basis for the airfare, lodging, meals, car rental, and incidentals must be provided,

such as past trips, current quotations, Federal Travel Regulations, etc.

EQUIPMENT -- Provide an itemized list of each piece of equipment, its unit costs, and the basis for estimating the cost, for example, vendor quotes, catalog prices, prior invoices, etc.

SUPPLIES -- Provide an itemized list of supplies, identify the quantity of each item, its unit cost, and the basis for estimating the cost, for example, vendor quotes, catalog prices, prior invoices, etc.

CONTRACTUAL

Consultants -- Provide the hourly or daily rate along with the basis for the rate. Furnish resumes or similar information regarding qualifications or experience. Provide at least two invoices reflecting hourly or daily rates charged to customers other than the Government. A statement signed by the consultant certifying his or her availability and salary must be provided. If travel or incidental expenses are to be charged, give the basis for these costs.

Subcontractors -- Identify each planned subcontractor and its total proposed costs. Each subcontractor's cost proposal and supporting cost detail should be included as part of the Applicant's budget. In addition, the Applicant shall provide the following information in the budget narrative for each planned subcontract: a brief description of the work to be subcontracted; the number of quotes solicited and received; the cost or price analysis performed by the Applicant; names and addresses of the subcontractors tentatively selected and the basis for their selection; i.e. low bidder, delivery schedule, technical competence; type of contract and estimated cost and fee or profit; and, affiliation with the Applicant, if any.

CONSTRUCTION -- Provide detail of construction costs, if applicable.

OTHER DIRECT COSTS -- Provide an itemized list with costs for any other item proposed as a direct cost and state the basis for each proposed item.

INDIRECT COSTS -- If indirect rates have been negotiated with or approved by a Federal Government agency, please provide a copy of the latest rate agreement. If you do not have a current rate agreement, submit an indirect cost rate proposal which includes the major base and pool expense groupings by line item and dollar amount. In either case, provide a breakdown of the proposed indirect costs for each of your accounting periods included in the proposal. Identify the rate and allocation base for each indirect cost, such as Overhead, General and Administrative, Facilities Capital Cost of Money, etc.

COST SHARING -- Identify the percentage level and source of cost sharing for the proposed project. Firm funding commitments are expected and documentation of those commitments must be included in the application. Additionally, the impact of DOE's cost share to the viability of the project must be addressed, to include justification for the need for Federal Funds.

NOTE: The total project cost (i.e. sum of Applicant and other participants plus DOE cost shares) must be reflected in each budget form.

A detailed estimate of the cash value (basis of and the nature, e.g., equipment, labor, facilities, cash, etc.) of all contributions to the project by each participant must be provided. 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.

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

3.2 SUBMISSION REQUIREMENTS (JAN 2003)

ELECTRONIC SUBMISSION

Applications must be submitted through the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov> in accordance with the instructions in this solicitation. **ONLY APPLICATIONS SUBMITTED THROUGH IIPS WILL BE CONSIDERED FOR AWARD.**

ELECTRONIC SIGNATURE

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

IIPS REGISTRATION

In order to submit an application, you must be authorized by the Applicant (i.e., institution or business entity) to submit an application on its behalf and you must register in IIPS. You are encouraged to register as soon as possible. You only have to register once to apply for any DOE award. To register:

- Go to the IIPS website at <http://e-center.doe.gov>.
- Click on the "Register" button on the left.
- Click on the box that says, "Check this box for Acquisitions greater than Simplified Acquisitions threshold or financial assistance" and then click on the radio button next to the "Register only" option.
- Click on "Proceed to Form."
- Read the "Security Alert" and click on "Yes" to proceed.
- Read the "Notice of Disclaimer" and click on "I Accept."
- Complete the Registration Form.
- Click on "Submit Registration." You will receive an acknowledgement confirming receipt of your registration.

Then you will receive an email confirming successful registration. If you do not receive an email confirmation within one business day, contact the IIPS Help Desk at 1-800-683-0751 and select option 1, or send an email to HelpDesk@e-center.doe.gov.

Note the user name on your confirmation and your password for future reference. You must use this user name and password for any applications submitted in IIPS.

SUBMIT APPLICATION

You are strongly encouraged to submit your application at least 24 hours before the deadline in order to have time to resolve any transmission problems. If you are registered in IIPS, you may use the IIPS test site at:

<http://doe-iips.pr.doe.gov/iips/busopor.nsf/TestSolicitation?OpenView&login>
to practice submitting an application. You can also access the test site from the link provided at

the top of each solicitation page.

To submit an application, complete the following steps:

STEP 1 -- PREPARE APPLICATION

Prepare all of the files in accordance with the instructions in this solicitation prior to starting the transmission process. You should submit the entire application package in one IIPS session (i.e., do not logoff before all the files are attached).

STEP 2 - LOCATE SOLICITATION AND CREATE APPLICATION

- Enter the IIPS website at <http://e-center.doe.gov>.
- Click on "Login" button on the left.
- Click on the radio button that says, "Industry Interactive Procurement System."
- Enter your user name (as shown on your registration email confirmation) and password. (Note: These are case sensitive.)
- The "View Synopses and Solicitations as Sorted by...." screen will appear. Click on one of the choices and locate the solicitation.
- Click on the solicitation number and the Synopsis & Solicitation Information screen will appear.
- Click on "Create Application" (you may have to scroll to the right to locate the button) and complete the information on the Application Cover Page. Enter the project title and the principal investigator/project director, if any, in the "Subject" blank.

STEP 3 --- ATTACH FILES AND SUBMIT APPLICATION

- Click on "Submit Cover Page & Attach Files", complete information, and submit.
- Click on "Attach Application" link.
- Attach each file in the corresponding block on the page and then click "Submit."
- IIPS will provide an acknowledgement.
- Click on the link on the acknowledgement to verify submission. It will take you to your submission.
- In order to verify successful transmission at a later date, click on the yellow folder beside the solicitation number. Your application should appear.

QUESTIONS OR PROBLEMS WITH TRANSMISSION

View the "IIPS Frequently Asked Questions" by clicking on the "Help" button. You may also call 1-800-683-0751 and select option 1, or send an email to IIPS_HelpDesk@e-center.doe.gov, for help with the IIPS system. If you have questions on the content of the solicitation, follow the directions for "Submit Question on the Content of the Solicitation."

IIPS USER GUIDE

Additional instructions are available in the IIPS User Guide. Click on the "help" button to access the guide.

3.3 REVISIONS, DELETIONS, AND WITHDRAWAL OF APPLICATIONS (JAN 2003)

REMOVE APPLICATION OR APPLICATION FILE(S) FROM IIPS

To delete or withdraw an application or an application file(s), send an email to the IIPS Help Desk requesting the application or file(s), be removed. Be sure to identify your user name, the Applicant's name, and the subject, as shown on the cover page of the application.

SUBMIT REVISED APPLICATION

Follow the steps in “Submit Application or Pre-application” to submit a revised application (i.e. cover page and all required files).

SUBMIT REVISED FILE

After the Help Desk has removed the requested file from your application:

- Locate the solicitation.
- Click on the yellow folder next to the solicitation number.
- Click on the cover page of your submission, click on the “Attach Application” link, and attach the revised file. In the event that two files, with identical names, are included in an application, the file with the latest transmission date/time stamp will be considered for review, if it is received prior to the deadline.

3.4 UNNECESSARILY ELABORATE APPLICATIONS AND FILE SIZE LIMITATIONS (FEB 2003)

Unnecessarily elaborate applications beyond those sufficient to present a complete and effective response to this solicitation are not desired. Elaborate art work, graphics and pictures may increase the document's file size. It is suggested that in preparing your application that you create files less than 5 MB. However, this file size may not be appropriate in all situations. As the nature of the application may create large files, Applicants may wish to use “Zip” file compression software such as WinZip. Using this compression software will diminish the file size, thus reducing the time needed to upload and download an application.

3.5 TREATMENT OF PROPRIETARY INFORMATION (AUG 1999)

An application may include technical data and other data, including trade secrets and/or privileged or confidential commercial or financial information, which the Applicant does not want disclosed to the public or used by the Government for any purpose other than application evaluation. To protect such data, the Applicant should specifically identify each page including each line or paragraph thereof containing the data to be protected and mark the cover sheet of the application with the following Notice as well as referring to the Notice on each page to which the Notice applies:

NOTICE OF RESTRICTION ON DISCLOSURE AND USE OF DATA

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 therein 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.

DOE shall not refuse to consider an application solely on the basis that the application is restrictively marked.

SECTION IV **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 (JAN 2003)

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 Energy Efficiency and Renewable Energy, Office of Industrial Technologies and for responsiveness to the requirements of the solicitation. Applications will be reviewed to assess the Applicant's eligibility under the lobbying, EAct 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 (FEB 2003)

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 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 budget 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 proposed work effort.

4.5 TECHNICAL EVALUATION CRITERIA (FEB 2003)

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

Criterion 1: Technical Approach and Scientific Merit (40%)

The technical potential of the proposal will be evaluated considering:

- a. the innovativeness, boldness and originality of the concept toward achieving the “Research Objectives for this Solicitation”
- b. the clarity, completeness, and adequacy of the statement of objectives
- c. identification of the hurdles and barriers to be overcome
- d. the technical and scientific feasibility of the proposed concept

Criterion 2: Energy and Economic Benefits (40%)

Benefits will be evaluated considering the potential for the proposed design concept to contribute to:

- a. reduction of the extraction and processing energy consumption of the domestic Mining Industry with regard to energy use per unit output
- b. the potential for enhancing the economic competitiveness of the domestic Mining Industry

Criterion 3: Technical Capabilities (20%)

Capabilities will be evaluated considering:

- a. credentials, capabilities and experience of key personnel
- b. the adequacy and availability of the facilities and equipment to perform project tasks.

4.6 BUDGET EVALUATION CRITERIA (FEB 2003)

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

- a) determine if costs include verifiable cost sharing and that the amount of DOE funds being requested does not exceed \$50,000;
- b) ensure that all work elements have associated costs, and that those costs appear appropriate and reasonable for the effort proposed; and
- c) assess the Applicant's understanding of the proposed work effort.

4.7 RELATIVE ORDER OF IMPORTANCE OF EVALUATION CRITERIA (FEB 2003)

The evaluation of the technical narrative will be conducted using preestablished weights to determine the relative merits of the application in accordance with the technical evaluation criteria. The Technical Evaluation is more important than the Budget and Environmental Evaluations, however, the Budget and Environmental Evaluations shall be considered in making the selection decision.

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

Criterion 1:	Technical Approach and Scientific Merit	40%
Criterion 2:	Energy and Economic Benefits	40%
Criterion 3:	Technical Capabilities	20%
	TOTAL	100%

4.8 APPLICATION OF PROGRAM POLICY FACTORS (FEB 2003)

These factors, while not indicators of the Application's merit, e.g., technical excellence, cost, Applicant's ability, etc., may be essential to the process of selecting the application(s) that, individually or collectively, will best achieve the program objectives. Such factors are often beyond the control of the Applicant. Applicants should recognize that some very good applications may not receive an award because they do not fit within a mix of projects which 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. It is desirable to select for award a group of projects which represents a diversity of technical approaches and methods;
2. 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;
3. 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;
4. It is desirable, because of the nature of minerals, the type of projects envisioned, or limitations of past efforts, to select for award a group of projects with a broad or specific geographic distribution.

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 knowledge.