

Gay, Charlie

---

**From:** Garson, Jennifer  
**Sent:** Monday, April 09, 2018 4:26 PM  
**To:** Murley, Susanna (CONTR)  
**Cc:** Kane, Victor; Nilsen, Garrett; Gay, Charlie  
**Subject:** RE: SETO FOA Approval/Greenlight

(b) (5)

(b) (5)

(b) (5)

(b) (5)

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**From:** Murley, Susanna (CONTR)  
**Sent:** Monday, April 09, 2018 4:23 PM  
**To:** Garson, Jennifer <Jennifer.Garson@EE.doe.gov>  
**Cc:** Kane, Victor <Victor.Kane@EE.Doe.Gov>; Nilsen, Garrett <Garrett.Nilsen@ee.doe.gov>; Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** SETO FOA Approval/Greenlight

Hi Jenn –

I just wanted to follow up on our phone conversation. (b) (5)

Best,

Susanna

**Susanna Murley**  
The Building People | U.S. Department of Energy  
Solar Energy Technologies Office  
[Susanna.Murley@ee.doe.gov](mailto:Susanna.Murley@ee.doe.gov)

(o) 202.287.1637  
(m) (b) (6)

Gay, Charlie

**From:** Fitzsimmons, Alexander  
**Sent:** Monday, April 09, 2018 5:28 PM  
**To:** Garson, Jennifer  
**Cc:** Horst, John; Gay, Charlie; Murley, Susanna (CONTR); Kane, Victor; Barendsen, Eric; Schneir, Sydney; Unruh, Timothy  
**Subject:** RE: Sensitivity Check on Solar FOA

Yes, (b) (5)

-----Original Message-----

**From:** Garson, Jennifer  
**Sent:** Monday, April 09, 2018 5:03 PM  
**To:** Fitzsimmons, Alexander <Alexander.Fitzsimmons@ee.doe.gov>  
**Cc:** Horst, John <john.horst@ee.doe.gov>; Gay, Charlie <Charlie.Gay@EE.DOE.Gov>; Murley, Susanna (CONTR) <Susanna.Murley@EE.DOE.Gov>; Kane, Victor <Victor.Kane@EE.Doe.Gov>; Barendsen, Eric <Eric.Barendsen@ee.doe.gov>; Schneir, Sydney <Sydney.Schneir@EE.Doe.Gov>; Unruh, Timothy <Timothy.Unruh@EE.Doe.Gov>  
**Subject:** Sensitivity Check on Solar FOA

Alex -

(b) (5)

Best,  
Jenn

Jennifer Garson  
 Chief of Staff  
 Office of Deputy Assistant Secretary for Renewable Power  
 Office of Energy Efficiency and Renewable Energy  
 U.S. Department of Energy  
 Jennifer.Garson@ee.doe.gov | (202) 586-0082 (w) | (b) (6) (m)

lc

Gay, Charlie

**From:** Fitzsimmons, Alexander  
**Sent:** Tuesday, April 10, 2018 12:12 PM  
**To:** Szymanski, Jessica; Brenner, Benjamin; Horst, John; Oliver, Martha; Krohn, John; Gibson, Kimberly; Jewell, Matthew; Kellogg, Bryan; Forcier, Bridget; Quinones, Amanda; Gruse, Jessica (CONTR)  
**Cc:** Rivers, Jennifer; Sher, Jono; Jacob, Bindu; Barendsen, Eric; Unruh, Timothy; Kinney, Sara; EERE Legislative Affairs; EEREStakeholderEngagement; Haus, Bob; Hynes, Shaylyn; Habansky, Sarah; Schneir, Sydney; Peralta, Kara Houston; Murphy, Timothy; Barth, John; Tiano, Marena; Edgerton, Patrick; Playforth, Taylor; Garson, Jennifer; Gay, Charlie; Murley, Susanna (CONTR); Bristol, Jennifer (CONTR); Pfrangle, Clay; Bobo, Diana; Jones, Dylan; Hamos, Ian; Mahroum, Eric; Pezzullo, Leslie; Stowers, Christina (CONTR); Cone, Kristin (CONTR); Yee, Kelly (CONTR); Vauss, Ebony; Smith, Paige  
**Subject:** RE: FOR 72-HR NOTIFICATION: Solar Energy Technologies Office \$105 million Funding Opportunity Announcement

(b) (5) works.

**From:** Szymanski, Jessica  
**Sent:** Tuesday, April 10, 2018 11:41 AM  
**To:** Brenner, Benjamin <Benjamin.Brenner@hq.doe.gov>; Horst, John <john.horst@ee.doe.gov>; Oliver, Martha <Martha.Oliver@hq.doe.gov>; Krohn, John <John.Krohn@hq.doe.gov>; Gibson, Kimberly <Kimberly.Gibson@Hq.Doe.Gov>; Jewell, Matthew <Matthew.Jewell@hq.doe.gov>; Kellogg, Bryan <Bryan.Kellogg@hq.doe.gov>; Forcier, Bridget <Bridget.Forcier@hq.doe.gov>; Quinones, Amanda <Amanda.Quinones@hq.doe.gov>; Gruse, Jessica (CONTR) <Jessica.Gruse@EE.DOE.Gov>  
**Cc:** Rivers, Jennifer <Jennifer.Rivers@ee.doe.gov>; Sher, Jono <jono.sher@ee.doe.gov>; Jacob, Bindu <Bindu.Jacob@ee.doe.gov>; Barendsen, Eric <Eric.Barendsen@ee.doe.gov>; Unruh, Timothy <Timothy.Unruh@EE.Doe.Gov>; Kinney, Sara <Sara.Kinney@hq.doe.gov>; EERE Legislative Affairs <EERELegAffairs@EE.Doe.Gov>; EEREStakeholderEngagement <EEREStakeholderEngagement@EE.Doe.Gov>; Haus, Bob <Bob.Haus@hq.doe.gov>; Hynes, Shaylyn <Shaylyn.Hynes@hq.doe.gov>; Habansky, Sarah <Sarah.Habansky@hq.doe.gov>; Schneir, Sydney <Sydney.Schneir@EE.Doe.Gov>; Peralta, Kara Houston <KaraHouston.Peralta@ee.doe.gov>; Murphy, Timothy <Timothy.Murphy@ee.doe.gov>; Barth, John <John.Barth@ee.doe.gov>; Tiano, Marena <Marena.Tiano@ee.doe.gov>; Edgerton, Patrick <Patrick.Edgerton@nuclear.energy.gov>; Playforth, Taylor <Taylor.Playforth@hq.doe.gov>; Garson, Jennifer <Jennifer.Garson@EE.doe.gov>; Gay, Charlie <Charlie.Gay@EE.DOE.Gov>; Murley, Susanna (CONTR) <Susanna.Murley@EE.DOE.Gov>; Bristol, Jennifer (CONTR) <Jennifer.Bristol@EE.doe.gov>; Pfrangle, Clay <Clay.Pfrangle@EE.Doe.Gov>; Bobo, Diana <Diana.Bobo@ee.doe.gov>; Fitzsimmons, Alexander <Alexander.Fitzsimmons@ee.doe.gov>; Jones, Dylan <Dylan.Jones@EE.Doe.Gov>; Hamos, Ian <Ian.Hamos@EE.doe.gov>; Mahroum, Eric <Eric.Mahroum@hq.doe.gov>; Pezzullo, Leslie <Leslie.Pezzullo@ee.doe.gov>; Stowers, Christina (CONTR) <Christina.Stowers@EE.Doe.Gov>; Cone, Kristin (CONTR) <Kristin.Cone@EE.DOE.Gov>; Yee, Kelly (CONTR) <Kelly.Yee@EE.DOE.Gov>; Vauss, Ebony <Ebony.Vauss@ee.doe.gov>; Smith, Paige <Paige.Smith@ee.doe.gov>  
**Subject:** RE: FOR 72-HR NOTIFICATION: Solar Energy Technologies Office \$105 million Funding Opportunity Announcement

(b) (5)  
(b) (5)

(b) (5)

et us know what y'all prefer

**From:** Brenner, Benjamin

**Sent:** Tuesday, April 10, 2018 11:39 AM

**To:** Horst, John <[john.horst@ee.doe.gov](mailto:john.horst@ee.doe.gov)>; Oliver, Martha <[Martha.Oliver@hq.doe.gov](mailto:Martha.Oliver@hq.doe.gov)>; Krohn, John <[John.Krohn@hq.doe.gov](mailto:John.Krohn@hq.doe.gov)>; Gibson, Kimberly <[Kimberly.Gibson@Hq.Doe.Gov](mailto:Kimberly.Gibson@Hq.Doe.Gov)>; Jewell, Matthew <[Matthew.Jewell@hq.doe.gov](mailto:Matthew.Jewell@hq.doe.gov)>; Kellogg, Bryan <[Bryan.Kellogg@hq.doe.gov](mailto:Bryan.Kellogg@hq.doe.gov)>; Forcier, Bridget <[Bridget.Forcier@hq.doe.gov](mailto:Bridget.Forcier@hq.doe.gov)>; Quinones, Amanda <[Amanda.Quinones@hq.doe.gov](mailto:Amanda.Quinones@hq.doe.gov)>; Gruse, Jessica (CONTR) <[Jessica.Gruse@EE.DOE.Gov](mailto:Jessica.Gruse@EE.DOE.Gov)>

**Cc:** Rivers, Jennifer <[Jennifer.Rivers@ee.doe.gov](mailto:Jennifer.Rivers@ee.doe.gov)>; Sher, Jono <[jono.sher@ee.doe.gov](mailto:jono.sher@ee.doe.gov)>; Jacob, Bindu <[Bindu.Jacob@ee.doe.gov](mailto:Bindu.Jacob@ee.doe.gov)>; Barendsen, Eric <[Eric.Barendsen@ee.doe.gov](mailto:Eric.Barendsen@ee.doe.gov)>; Unruh, Timothy <[Timothy.Unruh@EE.Doe.Gov](mailto:Timothy.Unruh@EE.Doe.Gov)>; Kinney, Sara <[Sara.Kinney@hq.doe.gov](mailto:Sara.Kinney@hq.doe.gov)>; EERE Legislative Affairs <[EERELegAffairs@EE.Doe.Gov](mailto:EERELegAffairs@EE.Doe.Gov)>; EEREStakeholderEngagement <[EEREStakeholderEngagement@EE.Doe.Gov](mailto:EEREStakeholderEngagement@EE.Doe.Gov)>; Haus, Bob <[Bob.Haus@hq.doe.gov](mailto:Bob.Haus@hq.doe.gov)>; Hynes, Shaylyn <[Shaylyn.Hynes@hq.doe.gov](mailto:Shaylyn.Hynes@hq.doe.gov)>; Szymanski, Jessica <[Jessica.Szymanski@hq.doe.gov](mailto:Jessica.Szymanski@hq.doe.gov)>; Habansky, Sarah <[Sarah.Habansky@hq.doe.gov](mailto:Sarah.Habansky@hq.doe.gov)>; Schneir, Sydney <[Sydney.Schneir@EE.Doe.Gov](mailto:Sydney.Schneir@EE.Doe.Gov)>; Peralta, Kara Houston <[KaraHouston.Peralta@ee.doe.gov](mailto:KaraHouston.Peralta@ee.doe.gov)>; Murphy, Timothy <[Timothy.Murphy@ee.doe.gov](mailto:Timothy.Murphy@ee.doe.gov)>; Barth, John <[John.Barth@ee.doe.gov](mailto:John.Barth@ee.doe.gov)>; Tiano, Marena <[Marena.Tiano@ee.doe.gov](mailto:Marena.Tiano@ee.doe.gov)>; Edgerton, Patrick <[Patrick.Edgerton@nuclear.energy.gov](mailto:Patrick.Edgerton@nuclear.energy.gov)>; Playforth, Taylor <[Taylor.Playforth@hq.doe.gov](mailto:Taylor.Playforth@hq.doe.gov)>; Garson, Jennifer <[Jennifer.Garson@EE.doe.gov](mailto:Jennifer.Garson@EE.doe.gov)>; Gay, Charlie <[Charlie.Gay@EE.DOE.Gov](mailto:Charlie.Gay@EE.DOE.Gov)>; Murley, Susanna (CONTR) <[Susanna.Murley@EE.DOE.Gov](mailto:Susanna.Murley@EE.DOE.Gov)>; Bristol, Jennifer (CONTR) <[Jennifer.Bristol@EE.doe.gov](mailto:Jennifer.Bristol@EE.doe.gov)>; Pfrangle, Clay <[Clay.Pfrangle@EE.Doe.Gov](mailto:Clay.Pfrangle@EE.Doe.Gov)>; Bobo, Diana <[Diana.Bobo@ee.doe.gov](mailto:Diana.Bobo@ee.doe.gov)>; Fitzsimmons, Alexander <[Alexander.Fitzsimmons@ee.doe.gov](mailto:Alexander.Fitzsimmons@ee.doe.gov)>; Jones, Dylan <[Dylan.Jones@EE.Doe.Gov](mailto:Dylan.Jones@EE.Doe.Gov)>; Hamos, Ian <[Ian.Hamos@EE.doe.gov](mailto:Ian.Hamos@EE.doe.gov)>; Mahroum, Eric <[Eric.Mahroum@hq.doe.gov](mailto:Eric.Mahroum@hq.doe.gov)>; Pezzullo, Leslie <[Leslie.Pezzullo@ee.doe.gov](mailto:Leslie.Pezzullo@ee.doe.gov)>; Stowers, Christina (CONTR) <[Christina.Stowers@EE.Doe.Gov](mailto:Christina.Stowers@EE.Doe.Gov)>; Cone, Kristin (CONTR) <[Kristin.Cone@EE.DOE.Gov](mailto:Kristin.Cone@EE.DOE.Gov)>; Yee, Kelly (CONTR) <[Kelly.Yee@EE.DOE.Gov](mailto:Kelly.Yee@EE.DOE.Gov)>; Vauss, Ebony <[Ebony.Vauss@ee.doe.gov](mailto:Ebony.Vauss@ee.doe.gov)>; Smith, Paige <[Paige.Smith@ee.doe.gov](mailto:Paige.Smith@ee.doe.gov)>

**Subject:** RE: FOR 72-HR NOTIFICATION: Solar Energy Technologies Office \$105 million Funding Opportunity Announcement

(b) (5)

Thanks,

-Ben

Ben Brenner  
Budget Analyst  
Office of the Chief Financial Officer, Budget Office  
U.S. Department of Energy  
Phone: (202) 586-0032  
Email: [Benjamin.brenner@hq.doe.gov](mailto:Benjamin.brenner@hq.doe.gov)

**From:** Horst, John

**Sent:** Tuesday, April 10, 2018 11:28 AM

**To:** Brenner, Benjamin <[Benjamin.Brenner@hq.doe.gov](mailto:Benjamin.Brenner@hq.doe.gov)>; Oliver, Martha <[Martha.Oliver@hq.doe.gov](mailto:Martha.Oliver@hq.doe.gov)>; Krohn, John <[John.Krohn@hq.doe.gov](mailto:John.Krohn@hq.doe.gov)>; Gibson, Kimberly <[Kimberly.Gibson@Hq.Doe.Gov](mailto:Kimberly.Gibson@Hq.Doe.Gov)>; Jewell, Matthew <[Matthew.Jewell@hq.doe.gov](mailto:Matthew.Jewell@hq.doe.gov)>; Kellogg, Bryan <[Bryan.Kellogg@hq.doe.gov](mailto:Bryan.Kellogg@hq.doe.gov)>; Forcier, Bridget <[Bridget.Forcier@hq.doe.gov](mailto:Bridget.Forcier@hq.doe.gov)>; Quinones, Amanda <[Amanda.Quinones@hq.doe.gov](mailto:Amanda.Quinones@hq.doe.gov)>; Gruse, Jessica (CONTR) <[Jessica.Gruse@EE.DOE.Gov](mailto:Jessica.Gruse@EE.DOE.Gov)>

Cc: Rivers, Jennifer <Jennifer.Rivers@ee.doe.gov>; Sher, Jono <jono.sher@ee.doe.gov>; Jacob, Bindu <Bindu.Jacob@ee.doe.gov>; Barendsen, Eric <Eric.Barendsen@ee.doe.gov>; Unruh, Timothy <Timothy.Unruh@EE.Doe.Gov>; Kinney, Sara <Sara.Kinney@hq.doe.gov>; EERE Legislative Affairs <EERELegAffairs@EE.Doe.Gov>; EEREStakeholderEngagement <EEREStakeholderEngagement@EE.Doe.Gov>; Haus, Bob <Bob.Haus@hq.doe.gov>; Hynes, Shaylyn <Shaylyn.Hynes@hq.doe.gov>; Szymanski, Jessica <Jessica.Szymanski@hq.doe.gov>; Habansky, Sarah <Sarah.Habansky@hq.doe.gov>; Schneir, Sydney <Sydney.Schneir@EE.Doe.Gov>; Peralta, Kara Houston <KaraHouston.Peralta@ee.doe.gov>; Murphy, Timothy <Timothy.Murphy@ee.doe.gov>; Barth, John <John.Barth@ee.doe.gov>; Tiano, Marena <Marena.Tiano@ee.doe.gov>; Edgerton, Patrick <Patrick.Edgerton@nuclear.energy.gov>; Playforth, Taylor <Taylor.Playforth@hq.doe.gov>; Garson, Jennifer <Jennifer.Garson@EE.doe.gov>; Gay, Charlie <Charlie.Gay@EE.DOE.Gov>; Murley, Susanna (CONTR) <Susanna.Murley@EE.DOE.Gov>; Bristol, Jennifer (CONTR) <Jennifer.Bristol@EE.doe.gov>; Pfrangle, Clay <Clay.Pfrangle@EE.Doe.Gov>; Bobo, Diana <Diana.Bobo@ee.doe.gov>; Fitzsimmons, Alexander <Alexander.Fitzsimmons@ee.doe.gov>; Jones, Dylan <Dylan.Jones@EE.Doe.Gov>; Hamos, Ian <Ian.Hamos@EE.doe.gov>; Mahroum, Eric <Eric.Mahroum@hq.doe.gov>; Pezzullo, Leslie <Leslie.Pezzullo@ee.doe.gov>; Stowers, Christina (CONTR) <Christina.Stowers@EE.Doe.Gov>; Cone, Kristin (CONTR) <Kristin.Cone@EE.DOE.Gov>; Yee, Kelly (CONTR) <Kelly.Yee@EE.DOE.Gov>; Vauss, Ebony <Ebony.Vauss@ee.doe.gov>; Smith, Paige <Paige.Smith@ee.doe.gov>

**Subject:** FOR 72-HR NOTIFICATION: Solar Energy Technologies Office \$105 million Funding Opportunity Announcement

Hello PA, CI and CFO teams,

EERE's Solar Energy Technologies Office would like to begin notifications for its Solar Energy Technologies (SETO) Funding Opportunity Announcement. SETO will announce \$105.5 million in funding for 70 projects that support early-stage research and development of solar technologies. The FOA will invest in innovative research efforts that lower solar electricity costs to promote energy affordability, securely and reliably integrate more solar energy into the grid, and enhance the use and storage of solar energy. These efforts will provide the technological foundations necessary to continue the solar industry's growth and preserve American energy choice, Independence, and security. Approved by MA.

Please see the attached funding questionnaire and near final release. (b) (5)

(b) (5)

Let me know if you have any questions or concerns.

Thanks,  
John

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Gay, Charlie

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**From:** Garson, Jennifer  
**Sent:** Friday, April 13, 2018 1:03 PM  
**To:** Gay, Charlie  
**Cc:** Murley, Susanna (CONTR); Yee, Kelly (CONTR)  
**Subject:** FW: Solar FOA press release

Charlie -

See below. (b) (5)

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**From:** Barendsen, Eric <Eric.Barendsen@ee.doe.gov>  
**Date:** Friday, Apr 13, 2018, 12:59 PM  
**To:** Garson, Jennifer <Jennifer.Garson@EE.doe.gov>, Murley, Susanna (CONTR) <Susanna.Murley@EE.DOE.Gov>, Schneir, Sydney <Sydney.Schneir@EE.Doc.Gov>, Yee, Kelly (CONTR) <Kelly.Yee@EE.DOE.Gov>  
**Cc:** Horst, John <john.horst@ee.doe.gov>, Sher, Jono <jono.sher@ee.doe.gov>  
**Subject:** FW: Solar FOA press release

Hi RP team

(b) (5)  
reasoning. Does this work for you guys?

See below for the

Thanks!  
Eric

---

**From:** "Kinney, Sara" <Sara.Kinney@hq.doe.gov>  
**Sent:** Apr 13, 2018 8:22 AM  
**To:** "Barendsen, Eric" <Eric.Barendsen@ee.doe.gov>; "Szymanski, Jessica" <Jessica.Szymanski@hq.doe.gov>  
**Cc:** "Horst, John" <john.horst@ee.doe.gov>; "Sher, Jono" <jono.sher@ee.doe.gov>; "Orwig, Elizabeth" <Elizabeth.Orwig@EE.DOE.Gov>  
**Subject:** RE: Solar FOA press release

The Secretary will be participating in a Strategic Energy Dialogue in India next week and one pillar of discussion is Solar.  
(b) (5)

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**From:** Barendsen, Eric  
**Sent:** Thursday, April 12, 2018 5:48 PM  
**To:** Szymanski, Jessica <Jessica.Szymanski@hq.doe.gov>; Kinney, Sara <Sara.Kinney@hq.doe.gov>  
**Cc:** Horst, John <john.horst@ee.doe.gov>; Sher, Jono <jono.sher@ee.doe.gov>; Orwig, Elizabeth <Elizabeth.Orwig@EE.DOE.Gov>  
**Subject:** Solar FOA press release

Hi Jess and Sara,

(b) (5)

John

Horst would normally be our POC to coordinate this, but he's in training, so Jono and I will be covering it.

We're excited to see all this stuff moving forward!

Thanks,  
Eric

Eric Barendsen  
Deputy Director of Communications (detail)  
Office of Energy Efficiency and Renewable Energy  
U.S. Department of Energy  
Office: 240-562-1290  
Cell: (b) (6)  
Check us out on [Facebook](#)



**Gay, Charlie**

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**From:** Murley, Susanna (CONTR)  
**Sent:** Monday, April 16, 2018 4:46 PM  
**To:** Gay, Charlie  
**Subject:** SETO FOA Talking Points v4  
**Attachments:** SETO FOA Talking Points v4.docx

Hi Charlie –

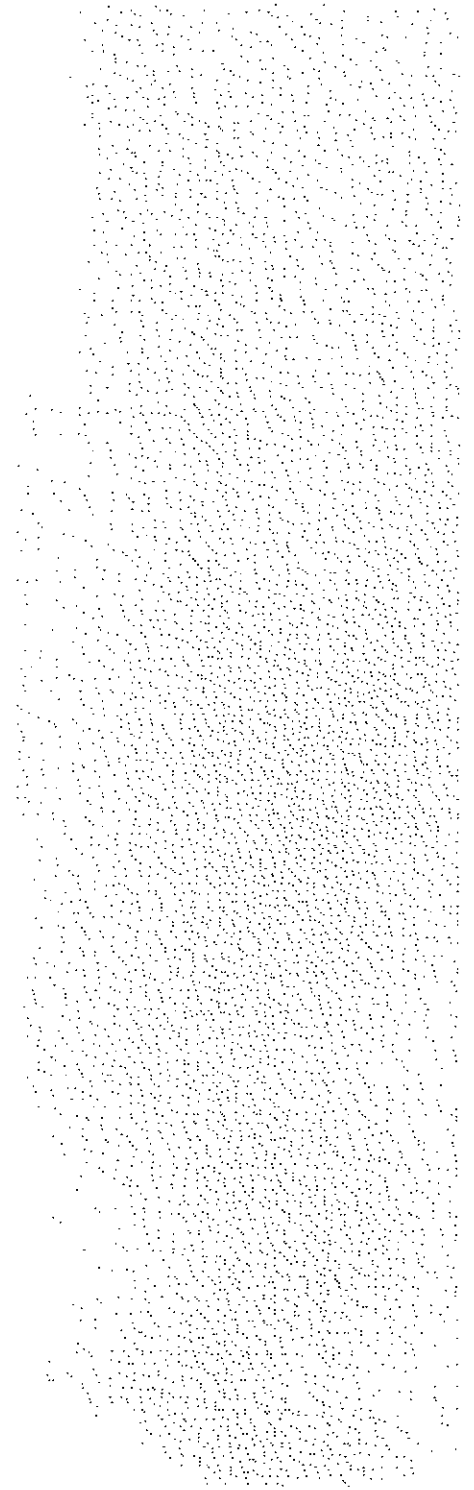
(b) (5) . I will swing by with printed copies before I leave for the night.

Best,

Susanna

FY2018 Solar Energy Technologies Office Funding Opportunity Announcement Talking Points

(b) (5)



For the attachment to Document 5, ten (10) pages are being withheld in full pursuant to Exemption 5.

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Gay, Charlie

**From:** Kane, Victor  
**Sent:** Tuesday, May 15, 2018 2:33 PM  
**To:** Gay, Charlie  
**Cc:** Nilsen, Garrett; Fricker, Kyle  
**Subject:** FOA items

Hi Charlie, we discussed a list of items for the FOA that require your direct action at the last war room. You mentioned you would like a simple breakdown of why we absolutely must brief DAS/PDAS on August 29 or 30<sup>th</sup> to be able to obligate the FY18 FOA funds this FY. Below is some text explaining the timeline, a schedule, and a list of items requiring your assistance. Please let us know if you have any questions.

Best,  
 Victor  
 --

SETO's FY18 FOA has been released (b) (5)

Meeting this schedule will allow us to potentially obligate the \$105.5M in FY18 funds associated with this FOA this fiscal year. The schedule that is required to achieve this goal requires near perfect execution and coordination from all parties involved. We would like to brief senior leadership on the ~70 award selections that will likely be made and have a narrow window that will meet the required timeline. (b) (5)

This is the week before Memorial day so we wanted to plan well in advance. (b) (5)

(b) (5)

April 16th	May	June	July	Aug	(b) (5)
FOA Release, Concept Paper Drafting and Review		Full Application Drafting	Review, Selection and Approval		Funds Obligated Announcement

1. FOA Released - April 16
  2. Concept papers due - May 9<sup>th</sup>
- (b) (5)

(b) (5)

- Very important items that require Charlie's help
  - Schedule briefings with DAS and EE-1 (b) (5)
  - (b) (5)
  - Discuss delivering all packages by (b) (5) requires Derrek's approval. Sara Wilson thought it would be ok but now she is not the division director
  - GFO surge support plan
  - Other EERE GMSs may have lots of bandwidth from Sept-Nov. A plan to train them to do things the way SETO GFO like and help in a serious way should begin now.
  - 100% availability and attention for the FOA selections and approvals (b) (5)  
(b) (5)

lm

**Gay, Charlie**

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**From:** Gay, Charlie  
**Sent:** Wednesday, August 15, 2018 12:49 PM  
**To:** Unruh, Timothy  
**Subject:** FY18 SETO FOA Coordination History and Forward Planning with OE  
**Attachments:** FY18 SETO FOA Coordination with OE.docx

Hi Tim:

Both Becca and Guohui have met with Gil to be sure that we're on the same page. (b) (5)

**FY18 SETO Funding Opportunity Announcement (FOA) – Coordination with OE on Topic 1**

**Stage: FOA Drafting (October-March)**  
(b) (5)

**Stage: FOA Merit Review (May – August)**  
• (b) (5)

**Stage: Federal Consensus Panel meetings (August)**  
• (b) (5)

**Stage: Negotiations (September – November)**  
• (b) (5)

lw

Gay, Charlie

**From:** Jones-Albertus, Becca  
**Sent:** Tuesday, September 25, 2018 10:50 AM  
**To:** Chalk, Steven  
**Cc:** Gay, Charlie  
**Subject:** RE: Solar FOA topic 1  
**Attachments:** FY18 SETO FOA Topic 1 background.docx; SETO FOA Topic Area 1 Notice with NOI 20180831. Final.docx

Hi Steve,

Resource estimates added to the background document here. Notice and NOI also reattached so you have everything in one place.

Best,  
Becca

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**From:** Chalk, Steven  
**Sent:** Tuesday, September 25, 2018 10:27 AM  
**To:** Jones-Albertus, Becca <Becca.Jones-Albertus@ee.doe.gov>  
**Cc:** Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** RE: Solar FOA topic 1

Yes. Send me resources spent (topic 1 only).

Steven Chalk  
Deputy Assistant Secretary for Transportation  
Acting Deputy Assistant Secretary for Renewable Power  
Office of Energy Efficiency and Renewable Energy  
U.S. Department of Energy

---

**From:** Jones-Albertus, Becca <Becca.Jones-Albertus@ee.doe.gov>  
**Date:** Tuesday, Sep 25, 2018, 10:22 AM  
**To:** Chalk, Steven <Steven.Chalk@ee.doe.gov>  
**Cc:** Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** RE: Solar FOA topic 1

Hi Steve,

Attached are the key dates for the FOA, as well as some quick background that could be useful. Also attached in one document is the Notice that went to Topic 1 applicants and the Notice of Intent for the revised FOA.

Please let us know if you need any other information. I will note that we have also estimated the amount of resources spent preparing and reviewing Topic 1 proposals (DOE and external resources). If you would like those numbers, please let us know.

Best,  
Becca

-----Original Message-----

From: Chalk, Steven

Sent: Tuesday, September 25, 2018 7:59 AM

To: Jones-Albertus, Becca <[Becca.Jones-Albertus@ee.doe.gov](mailto:Becca.Jones-Albertus@ee.doe.gov)>

Cc: Gay, Charlie <[Charlie.Gay@EE.DOE.Gov](mailto:Charlie.Gay@EE.DOE.Gov)>

Subject: Solar FOA topic 1

Becca - (b) (5)

FOA release date, applications closed date, date of notification that Topic 1 would be resolicited.... anything else you think is pertinent.

Could you send me the notice to stakeholders on resoliciting topic 1?

Need by Noon if possible.

Steven Chalk

Deputy Assistant Secretary for Transportation

Acting Deputy Assistant Secretary for Renewable Power

Office of Energy Efficiency and Renewable Energy

U.S. Department of Energy



## Key Dates

- April 16 - FOA Released
  - U.S. Secretary of Energy Rick Perry issued a press release announcing the Solar Energy Technologies Office (SETO) Fiscal Year 2018 funding opportunity announcement (FOA). The FOA identified four topics including one (Topic Area 1) to advance research on technologies enabling integration of solar energy onto the nation's electricity grid. The office had budgeted \$46 million anticipating about 14 projects. The FOA stated that the expected timeframe for selection notifications was September 2018.
- May 9 - Concept papers Due
- June 5 – Encourage/Discourage decisions released
- July 5 - Full applications due
- August 8 – Reply to reviewer comments due from applicants
- August 9-17 – In-person merit reviews held
- August 31 - Topic 1 applicants notified of FOA revision and NOI for new FOA posted on EERE Exchange
  - The NOI includes the language: “EERE plans to issue the FOA on or about September 15, 2018 via the EERE Exchange website <https://eere-exchange.energy.gov/>.”

## Potential Q&A

(b) (5)

**Gay, Charlie**

**Subject:** FW: FY'18 FOA Strategy Meeting  
**Location:** 6075 and WebEx

**Start:** Tue 8/14/2018 10:00 AM  
**End:** Tue 8/14/2018 11:00 AM  
**Show Time As:** Tentative

**Recurrence:** Weekly  
**Recurrence Pattern:** every Tuesday from 10:00 AM to 11:00 AM

**Meeting Status:** Tentatively accepted

**Organizer:** Ops Solar  
**Required Attendees:** Ops Solar; Kane, Victor; Tinker, Lenny; Shultz, Avi; Yuan, Guohui; Nilsen, Garrett; Ulrich, Elaine; Murley, Susanna (CONTR); Boyd, Michele A. (CONTR); Rench-McCauley, Dave (FELLOW)  
**Optional Attendees:** Gay, Charlie; Jones-Albertus, Becca; Olson, Dana; Hott, Rebecca (CONTR); Bauer, Matthew (CONTR); Goldstone, Michael; Fricker, Kyle; Miller, Jeremiah; Mikrut, Jeremy; Walter, David; Graves, Andrew; Celik, Kemal (CONTR); Bobo, Diana; Pfrangle, Clay; 'Huang, Susan (CONTR) (Susan.Huang@EE.Doe.Gov)'; Mucha, Odette

Fyi, this is the current FOA meeting. It may be helpful if one or both of you could hear the perspectives of FOA leads out on the FRD timing and Labs as prime issues and help come to a resolution. Both items have come up repeatedly in the last few meetings. I think the timing of the meeting tomorrow may not work well but maybe the following week could work?

-----Original Appointment-----

**From:** Ops Solar  
**Sent:** Wednesday, May 02, 2018 2:16 PM  
**To:** Ops Solar; Kane, Victor; Tinker, Lenny; Shultz, Avi; Yuan, Guohui; Nilsen, Garrett; Ulrich, Elaine; Murley, Susanna (CONTR); Boyd, Michele A. (CONTR); Rench-McCauley, Dave (FELLOW)  
**Cc:** Gay, Charlie; Jones-Albertus, Becca; Olson, Dana; Hott, Rebecca (CONTR); Bauer, Matthew (CONTR); Goldstone, Michael; Fricker, Kyle; Miller, Jeremiah; Mikrut, Jeremy; Walter, David; Graves, Andrew; Celik, Kemal (CONTR); Bobo, Diana; Pfrangle, Clay; Huang, Susan (CONTR); Mucha, Odette  
**Subject:** FY'18 FOA Strategy Meeting  
**When:** Occurs every Tuesday effective 5/22/2018 from 10:00 AM to 11:00 AM (UTC-05:00) Eastern Time (US & Canada).  
**Where:** 6075 and WebEx

The calendar can be found on SharePoint here: <https://eeredocman.ee.doe.gov/offices/EE-4S/Teams/Communications/FY18-SETO-FOA>

**Topic:** Discuss FY'18 FOA strategies  
**Required Attendees:** PM and/or team delegate selected by PM

[Join WebEx meeting](#)

Meeting number (access code): (b) (6)  
Host key: 133128  
Meeting password: (b) (6) ;

### Join by phone

(b) (6) ; US Toll

Can't join the meeting? [Contact support.](#)

**IMPORTANT NOTICE:** Please note that this WebEx service allows audio and other information sent during the session to be recorded, which may be discoverable in a legal matter. You should inform all meeting attendees prior to recording if you intend to record the meeting.

**Gay, Charlie**

---

**Subject:** SI FOA Briefing with Charlie and Becca  
**Location:** 6033 & (b) (6) | (access code): (b) (6)

**Start:** Fri 8/24/2018 1:00 PM  
**End:** Fri 8/24/2018 3:00 PM

**Recurrence:** (none)

**Meeting Status:** Meeting organizer

**Organizer:** Gay, Charlie  
**Required Attendees:** Jones-Albertus, Becca; Celik, Kemal (CONTR); Clark, Patricia (CONTR); Golnas, Anastasios; Krishnaswami, Hariharan (FELLOW); Miller, Jeremiah; Rueckert, Thomas; Yuan, Guohui; Walter, David; Fricker, Kyle; Goldstone, Michael; Bobo, Diana  
**Optional Attendees:** Marchetti, Emily (CONTR); Nilsen, Garrett; Shultz, Avi; Tinker, Lenny; Ulrich, Elaine

Join Webex meeting

Meeting number (access code): (b) (6)  
Meeting password: (b) (6)

Join by phone

(b) (6) US Toll

Can't join the meeting?

If you are a host, [go here](#) to view host information.

**Gay, Charlie**

---

**Subject:** SETO FOA selections brief to DAS/RP  
**Location:** FORS 6C-078

**Start:** Mon 8/27/2018 3:30 PM  
**End:** Mon 8/27/2018 4:30 PM

**Recurrence:** (none)

**Meeting Status:** Accepted

**Organizer:** Ops Solar  
**Required Attendees:** Unruh, Timothy; Gay, Charlie; Fricker, Kyle; Yuan, Guohui; Tinker, Lenny; Nilsen, Garrett; Shultz, Avi; Becca Jones-Albertus (Becca.Jones-Albertus@ee.doe.gov)  
**Optional Attendees:** Hamos, Ian; Hoyle, Robyn (CONTR); Ferguson, Jamal (CONTR)

(b) (5)

(b) (5)

(b) (5)

(b) (5)

-- Do not delete or change any of the following text. --

Join Webex meeting

Meeting number (access code): (b) (6)

Meeting password: (b) (6)

Join by phone

(b) (6)

US Toll

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If you are a host, [go here](#) to view host information.

IMPORTANT NOTICE: Please note that this Webex service allows audio and other information sent during the session to be recorded, which may be discoverable in a legal matter. By joining this session, you automatically consent to such recordings. If you do not consent to being recorded, discuss your concerns with the host or do not join the session.

**Gay, Charlie**

---

**From:** Gay, Charlie  
**Sent:** Monday, August 27, 2018 5:08 PM  
**To:** Unruh, Timothy  
**Cc:** Hamos, Ian  
**Subject:** FW: FOA Topic 1

fyi

- Charlie  
202-287-1987

**From:** Yuan, Guohui  
**Sent:** Monday, August 27, 2018 5:01 PM  
**To:** Gay, Charlie <Charlie.Gay@EE.DOE.Gov>; Jones-Albertus, Becca <Becca.Jones-Albertus@ee.doe.gov>  
**Subject:** FW: FOA Topic 1

---

**From:** Bobo, Diana <Diana.Bobo@ee.doe.gov>  
**Date:** Monday, Aug 27, 2018, 4:28 PM  
**To:** Fricker, Kyle <Kyle.Fricker@EE.DOE.Gov>, Yuan, Guohui <Guohui.Yuan@EE.Doe.Gov>  
**Cc:** Pfrangle, Clay <Clay.Pfrangle@EE.Doe.Gov>  
**Subject:** FOA Topic 1

Hi Kyle and Guohui,

(b) (5)

Thanks,  
Diana

10a

Document 13

Gay, Charlie

---

**From:** Passarelli, Derek  
**Sent:** Monday, August 27, 2018 5:15 PM  
**To:** Gay, Charlie  
**Subject:** FW: Misc showing changes  
**Attachments:** Misc showing changes.docx

Per our discussion.

**From:** Quintana, Kamala  
**Sent:** Monday, August 27, 2018 3:13 PM  
**To:** Passarelli, Derek <Derek.Passarelli@ee.doe.gov>  
**Subject:** Misc showing changes

Here is the comparison document with track changes on so you can see what is different. I used the one with "Original" in the title as the original document and "Misc" as the altered one.

(b) (5)

Topic 1.1—(b) (5) Solar Grid Integration

This topic will support applications to research and field validate unique and innovative (b) (5) solutions that (b) (5) will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should identify the strategic location of solar photovoltaic (PV) (b) (5) systems that will ensure the Energy Sector provides continuity of service in the face of wide spread and (b) (5) coordinated threats. These (b) (5) solutions can be deployed throughout the (b) (5) bulk power systems or associated transmission to distribution (b) (5)

substations. It is expected that the same design concepts will be applicable for energy storage and other distributed energy resources (DERs) (b) (5). The approaches will test the (b) (5)

systems' ability to operate and (b) (5)

adapt at both steady and (b) (5)

degraded states. Applications must consider diverse DER options (e.g. (b) (5) photovoltaics, energy storage, and flexible load) available as well as power systems engineering alternatives, and demonstrate the benefits of the proposed (b) (5) solutions. It should also be shown in these solutions how a fleet of (b) (5) multiple photovoltaics systems (b) (5) multiple locations will be able to respond to fast changing conditions under normal operations and provide power to critical loads during grid outages – with consideration of other DER options and distribution system constraints. Example projects may include, but are not limited to, new design and use-case concepts, essential reliability services, adaptive capabilities, voltage support, previously un contemplated and unique capabilities and control hardware and software innovations for smart PV inverters and DER management (b) (5)

(systems. Applications must have an assessment of economic viability of the proposed system, activity or component in the respective part of the project.

Applicant's solar photovoltaic projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These solar photovoltaic projects shall seek to reduce vulnerabilities, minimize consequences, identify and disrupt threats, and hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

(b) (5)

Topic 1.2—Solar (b) (5) Situational Awareness and Analysis

This (b) (5) (b) (5)

Topic will support applications to research and field validate unique and innovative



solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should enhance operator capability to observe solar systems deployed throughout the bulk power systems or associated transmission to distribution substations or Behind-the-Meter (BTM) solar including but not limited to battery storage, systems controls, and demand response. Primary focus areas include (b) (5) solar photovoltaic integrated sensor technologies, secure and robust electricity supply delivery and communication tools, advanced data analytics (including (b) (5) Artificial Intelligence and (b) (5) Machine to Machine capabilities, and voltage testing. Projects (b) (5) with secondary focus areas, may also be considered which (b) (5) include the integration (b) (5) of observed data into planning, operations and business unit systems (b) (5) that would operate at both steady and degraded states. Applications must have (b) (5) assessment of economic viability of the proposed system, activity or component in the (b) (5) respective part of the project.

Applicant's solar situational awareness and analysis projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These projects shall seek to contribute to one or more risk components: reduce vulnerabilities, minimize consequences, identify and disrupt threats, and/or hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

(b) (5)

Topic 1.3 — Solar + X Technology Transfer

(b) (5)

(b) (5)

This topic will explore unique and innovative approaches and models to accelerate the transfer of  
(b) (5)

(b) (5)

(b) (5)

solar system solutions that will

improve the (b) (5)

(b) (5)

resiliency of the Energy Sector's capability to withstand all hazards, focusing on cyber and physical vectors. Potential areas of interest include, but are not limited to, projects or models that

deploy alternative capital (b) (5) for technology R&D

transfer (b) (5) incentivize industry-researcher collaboration (b) (5)

leverage existing facilities or capabilities, data and build (b) (5)

approaches and methods that

serve to drive down the hardware cost and (b) (5)

ensure solutions,

validation (b) (5) certifications, resilience and electricity supply to withstand wide spread and coordinated threats compatible with Topic 1.1 and Topic 1.2

Applicant's solar technology transfer projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These projects shall seek to contribute to one or more risk components: reduce vulnerabilities, minimize consequences, identify and disrupt threats, and/or hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

# August 28, 2018

Tuesday

August 2018							September 2018						
Su	Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4							1
5	6	7	8	9	10	11	2	3	4	5	6	7	8
12	13	14	15	16	17	18	9	10	11	12	13	14	15
19	20	21	22	23	24	25	16	17	18	19	20	21	22
26	27	28	29	30	31		23	24	25	26	27	28	29
							30						

TUESDAY		Daily Task List
28		Arrange by: Due Date
<del>from Aug 27 - Salton Brook Week (RD) - Gay, Charlie - 18 Aug 31</del>		
7 AM		
8		
9		
10	FW: FY'18 FOA Strategy Meeting 6075 and WebEx Ops Solar	
11	Solar Team Meeting 6097/8/9 or WebEx/dial-in: (b) (6) (access code): (b) (6) ; Gay, Charlie	
12 PM	Tassos, Solar Forecasting Negotiation Process Rm. 6097/8/9 Solar Colloquium	
1	(b) (6)	
	Meet EE-1	NOTES
2	Briefing on Beyond LCOE 5G-055 Lynn, Kevin	
3	Solar Energy Technologies Office Weekly Tim's Office Unruh, Timothy	
4	(b) (6)	
5	DG Cybersecurity Conference call dial-in phone number is (b) (6) Gay, Carolyn	
6		

**Gay, Charlie**

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**Subject:** Meet EE-1  
**Start:** Tue 8/28/2018 1:30 PM  
**End:** Tue 8/28/2018 2:00 PM  
**Recurrence:** (none)

*28 AUGUST 2018  
NOTE TO FILE*

(b) (5)

## Solar Grid Integration

This topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should identify the strategic location of solar photovoltaic (PV) systems that will ensure the Energy Sector provides continuity of service in the face of wide spread and coordinated threats. These solutions can be deployed throughout the bulk power systems or associated transmission to distribution substations. It is expected that the same design concepts will be applicable for energy storage and other distributed energy resources (DERs). The approaches will test the systems' ability to operate and adapt at both steady and degraded states. Applications must consider diverse DER options (e.g. photovoltaics, energy storage, and flexible load) available as well as power systems engineering alternatives, and demonstrate the benefits of the proposed solutions. It should also be shown in these solutions how a fleet of multiple photovoltaics systems from multiple locations will be able to respond to fast changing conditions under normal operations and provide power to critical loads during grid outages – with consideration of other DER options and distribution system constraints. Example projects may include, but are not limited to, new design and use-case concepts, essential reliability services, adaptive capabilities, voltage support, previously unconsidered and unique capabilities and control hardware and software innovations for smart PV inverters and DER management systems. Applications must have an assessment of economic viability of the proposed system, activity or component in the respective part of the project.

Applicant's solar photovoltaic projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These solar photovoltaic projects shall seek to reduce vulnerabilities, minimize consequences, identify and disrupt threats, and hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

## Solar Situational Awareness and Analysis

This Topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should enhance operator capability to observe solar systems deployed throughout the bulk power systems or associated transmission to distribution substations or Behind-the-Meter (BTM) solar including but not limited to battery storage, systems controls, and demand response. Primary focus areas include solar photovoltaic integrated sensor technologies, secure and robust electricity supply delivery and communication tools, advanced data analytics including Artificial Intelligence and Machine to Machine capabilities, and voltage testing. Projects with secondary focus areas may also be considered which include the integration of observed data into planning, operations and business unit systems that would operate at both steady and degraded states. Applications must have an assessment of economic viability of the proposed system, activity or component in the respective part of the project.

Applicant's solar situational awareness and analysis projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These projects shall seek to contribute to one or more risk components: reduce vulnerabilities, minimize consequences, identify and disrupt threats, and/or hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

#### Solar Technology Transfer

This topic will explore unique and innovative approaches to accelerate the transfer of solar system solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Potential areas of interest include, but are not limited to, projects or models that deploy alternative capital, for technology R&D transfer, incentivize industry-researcher collaboration, leverage existing facilities or capabilities, data and build approaches and methods that serve to drive down the hardware cost and ensure solutions, validation, certifications, resilience and electricity supply to withstand wide spread and coordinated threats compatible with Topic 1.1 and Topic 1.2

Applicant's solar technology transfer projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These projects shall seek to contribute to one or more risk components: reduce vulnerabilities, minimize consequences, identify and disrupt threats, and/or hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

**Gay, Charlie**

---

**From:** Nilsen, Garrett  
**Sent:** Wednesday, August 29, 2018 8:43 AM  
**To:** Ulrich, Elaine; Gay, Charlie; DL-EERE-4S PMsolar; Unruh, Timothy  
**Cc:** Hamos, Ian; Fricker, Kyle; Kane, Victor; Murley, Susanna (CONTR); Goldstone, Michael  
**Subject:** RE: SETO FOA Topic 1 Cancellation Notice

+ Michael Goldstone

(b) (5)

(b) (5)

My two cents.

**From:** Ulrich, Elaine  
**Sent:** Wednesday, August 29, 2018 8:23 AM  
**To:** Gay, Charlie <Charlie.Gay@EE.DOE.Gov>; DL-EERE-4S PMsolar <DL-EERE-4SPMSolar@ee.doe.gov>; Unruh, Timothy <Timothy.Unruh@EE.Doe.Gov>  
**Cc:** Hamos, Ian <Ian.Hamos@EE.doe.gov>; Fricker, Kyle <Kyle.Fricker@EE.DOE.Gov>; Kane, Victor <Victor.Kane@EE.Doe.Gov>; Murley, Susanna (CONTR) <Susanna.Murley@EE.DOE.Gov>  
**Subject:** RE: SETO FOA Topic 1 Cancellation Notice

(b) (5)

(b) (5)

Elaine

---

**From:** Gay, Charlie <[Charlie.Gay@EE.DOE.Gov](mailto:Charlie.Gay@EE.DOE.Gov)>  
**Date:** Tuesday, Aug 28, 2018, 7:58 PM  
**To:** DL-EEERE-4S PMsolar <[DL-EEERE-4SPMSolar@ee.doe.gov](mailto:DL-EEERE-4SPMSolar@ee.doe.gov)>, Unruh, Timothy <[Timothy.Unruh@EE.Doe.Gov](mailto:Timothy.Unruh@EE.Doe.Gov)>  
**Cc:** Hamos, Ian <[Ian.Hamos@EE.doe.gov](mailto:Ian.Hamos@EE.doe.gov)>, Fricker, Kyle <[Kyle.Fricker@EE.DOE.Gov](mailto:Kyle.Fricker@EE.DOE.Gov)>, Kane, Victor <[Victor.Kane@EE.Doe.Gov](mailto:Victor.Kane@EE.Doe.Gov)>, Murley, Susanna (CONTR) <[Susanna.Murley@EE.DOE.Gov](mailto:Susanna.Murley@EE.DOE.Gov)>  
**Subject:** FW: SETO FOA Topic 1 Cancellation Notice

FYI

- Charlie  
202-287-1987

---

**From:** Passarelli, Derek <[Derek.Passarelli@ee.doe.gov](mailto:Derek.Passarelli@ee.doe.gov)>  
**Date:** Tuesday, Aug 28, 2018, 7:28 PM  
**To:** Tripodi, Cathy <[Cathy.Tripodi@hq.doe.gov](mailto:Cathy.Tripodi@hq.doe.gov)>, Fitzsimmons, Alexander <[Alexander.Fitzsimmons@ee.doe.gov](mailto:Alexander.Fitzsimmons@ee.doe.gov)>, Gay, Charlie <[Charlie.Gay@EE.DOE.Gov](mailto:Charlie.Gay@EE.DOE.Gov)>  
**Subject:** SETO FOA Topic 1 Cancellation Notice

Cathy, Alex and Charlie,

Per my discussion with Cathy, (b) (5)  
(b) (5)

(b) (5)

Charlie, (b) (5)  
(b) (5)

Cathy and Alex, (b) (5)  
(b) (5)

If any of you have questions about this process, please let me know.

Thank you.

Derek G. Passarelli  
Director  
Golden Field Office  
Office of Energy Efficiency and Renewable Energy  
United States Department of Energy  
240.562.1742



Gay, Charlie

**From:** Gay, Charlie  
**Sent:** Wednesday, August 29, 2018 11:23 AM  
**To:** Passarelli, Derek  
**Cc:** Tripodi, Cathy; Fitzsimmons, Alexander  
**Subject:** RE: SETO FOA Topic 1 Cancellation Notice  
**Attachments:** 20180829111547452.pdf

Hi Derek:

One quite minor detail .....

— (b) (5)

- Charlie  
202-287-1987

**From:** Gay, Charlie  
**Sent:** Wednesday, August 29, 2018 7:24 AM  
**To:** Passarelli, Derek <Derek.Passarelli@ee.doe.gov>  
**Cc:** Tripodi, Cathy <Cathy.Tripodi@hq.doe.gov>; Fitzsimmons, Alexander <Alexander.Fitzsimmons@ee.doe.gov>  
**Subject:** RE: SETO FOA Topic 1 Cancellation Notice

Thank you, Derek, for the detailed update.

In addition to providing notice to the <sup>(b) (5)</sup> applicants, (b) (5)

For context, we issued the FOA on 17 April 2018. The [DOE Multiyear Plan for Energy Sector Cybersecurity](https://www.energy.gov/ceser/articles/department-energy-releases-integrated-strategy-reduce-cyber-risks-us-energy-sector) was announced on our DOE website 14 May 2018. (<https://www.energy.gov/ceser/articles/department-energy-releases-integrated-strategy-reduce-cyber-risks-us-energy-sector>) Further, for example, Assistant Secretary Walker spoke to his office's first priority as the creation of a North American Energy System Resiliency Model on 11 June 2018. <https://www.energy.gov/sites/prod/files/2018/07/f53/Walker%2006-11-18%20SEARUC%20Remarks%20-%20As%20Prepared.pdf>

- Charlie  
202-287-1987

**From:** Passarelli, Derek  
**Sent:** Tuesday, August 28, 2018 7:28 PM  
**To:** Tripodi, Cathy <Cathy.Tripodi@hq.doe.gov>; Fitzsimmons, Alexander <Alexander.Fitzsimmons@ee.doe.gov>; Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** SETO FOA Topic 1 Cancellation Notice

Cathy, Alex and Charlie,

Per my discussion with Cathy, (b) (5)  
(b) (5)

(b) (5)

Charlie (b) (5)  
(b) (5)

Cathy and Alex, (b) (5)  
(b) (5)

If any of you have questions about this process, please let me know.

Thank you.

Derek G. Passarelli  
Director  
Golden Field Office  
Office of Energy Efficiency and Renewable Energy  
United States Department of Energy  
240.562.1742

**TOPIC 1.1** Solar Grid Integration

This topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should identify the strategic location of solar photovoltaic (PV) systems that will ensure the Energy Sector provides continuity of service in the face of wide spread and coordinated threats. These solutions can be deployed throughout the bulk power systems or associated transmission to distribution substations. It is expected that the same design concepts will be applicable for energy storage and other distributed energy resources (DERs). The approaches will test the systems' ability to operate and adapt at both steady and degraded states. Applications must consider diverse DER options (e.g. photovoltaics, energy storage, and flexible load) available as well as power systems engineering alternatives, and demonstrate the benefits of the proposed solutions. It should also be shown in these solutions how a fleet of multiple photovoltaics systems from multiple locations will be able to respond to fast changing conditions under normal operations and provide power to critical loads during grid outages – with consideration of other DER options and distribution system constraints. Example projects may include, but are not limited to, new design and use-case concepts, essential reliability services, adaptive capabilities, voltage support, previously unconsidered and unique capabilities and control hardware and software innovations for smart PV inverters and DER management systems. Applications must have an assessment of economic viability of the proposed system, activity or component in the respective part of the project.

Applicant's solar photovoltaic projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These solar photovoltaic projects shall seek to reduce vulnerabilities, minimize consequences, identify and disrupt threats, and hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

**TOPIC 1.2** Solar Situational Awareness and Analysis

This Topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should enhance operator capability to observe solar systems deployed throughout the bulk power systems or associated transmission to distribution substations or Behind-the-Meter (BTM) solar including but not limited to battery storage, systems controls, and demand response. Primary focus areas include solar photovoltaic integrated sensor technologies, secure and robust electricity supply delivery and communication tools, advanced data analytics including Artificial Intelligence and Machine to Machine capabilities, and voltage testing. Projects with secondary focus areas may also be considered which include the integration of observed data into planning, operations and business unit systems that would operate at both steady and degraded states. Applications must have an assessment of economic viability of the proposed system, activity or component in the respective part of the project.

Applicant's solar situational awareness and analysis projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These projects shall seek to contribute to one or more risk components: reduce vulnerabilities, minimize consequences, identify and disrupt threats, and/or hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

### **TOPIC 1.3 Solar Technology Transfer**

This topic will explore unique and innovative approaches to accelerate the transfer of solar system solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Potential areas of interest include, but are not limited to, projects or models that deploy alternative capital, for technology R&D transfer, incentivize industry-researcher collaboration, leverage existing facilities or capabilities, data and build approaches and methods that serve to drive down the hardware cost and ensure solutions, validation, certifications, resilience and electricity supply to withstand wide spread and coordinated threats compatible with Topic 1.1 and Topic 1.2

Applicant's solar technology transfer projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These projects shall seek to contribute to one or more risk components: reduce vulnerabilities, minimize consequences, identify and disrupt threats, and/or hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

Gay, Charlie

**From:** Jones-Albertus, Becca  
**Sent:** Wednesday, August 29, 2018 4:29 PM  
**To:** Kane, Victor; Ulrich, Elaine; Tinker, Lenny; Gay, Charlie  
**Subject:** RE: SETO FOA Topic 1 Cancellation Notice - Federal funds already expended

I worked with Emily and Kyle to pull the actual costs we paid reviewers to Topics 1.1-1.4 (which pro-rated those on other panels for the fraction of time spent on Topic 1 applications). The actual number is (b) (5) very close to what Victor included in the spreadsheet. That includes travel.

Becca

**From:** Kane, Victor  
**Sent:** Wednesday, August 29, 2018 4:27 PM  
**To:** Ulrich, Elaine <Elaine.Ulrich@ee.Doe.Gov>; Tinker, Lenny <Lenny.Tinker@ee.Doe.Gov>; Jones-Albertus, Becca <Becca.Jones-Albertus@ee.doe.gov>; Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** RE: SETO FOA Topic 1 Cancellation Notice - Federal funds already expended

I believe so, I said (b) (5) which I believe also covered their travel costs (we don't reimburse travel any more).

Best,  
Victor

**From:** Ulrich, Elaine  
**Sent:** Wednesday, August 29, 2018 3:54 PM  
**To:** Kane, Victor <Victor.Kane@EE.Doe.Gov>; Tinker, Lenny <Lenny.Tinker@ee.Doe.Gov>; Jones-Albertus, Becca <Becca.Jones-Albertus@ee.doe.gov>; Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** RE: SETO FOA Topic 1 Cancellation Notice - Federal funds already expended

Does the reviewer cost include their travel?

Thanks!  
Elainr

**From:** Kane, Victor <Victor.Kane@EE.Doe.Gov>  
**Date:** Wednesday, Aug 29, 2018, 3:47 PM  
**To:** Tinker, Lenny <Lenny.Tinker@ee.Doe.Gov>, Ulrich, Elaine <Elaine.Ulrich@ee.Doe.Gov>, Jones-Albertus, Becca <Becca.Jones-Albertus@ee.doe.gov>, Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** RE: SETO FOA Topic 1 Cancellation Notice - Federal funds already expended

Hi Lenny,

The estimate of the total cost to administer topic 1 for the FY18 SETO FOA is (b) (5) Please see the attached file for a full breakdown of how this number was arrived at.

Best,

Victor

**From:** Tinker, Lenny

**Sent:** Wednesday, August 29, 2018 9:48 AM

**To:** Ulrich, Elaine <Elaine.Ulrich@ee.Doe.Gov>; Jones-Albertus, Becca <Becca.Jones-Albertus@ee.doe.gov>; Kane, Victor <Victor.Kane@EE.Doe.Gov>; Gay, Charlie <Charlie.Gay@EE.DOE.Gov>

**Subject:** RE: SETO FOA Topic 1 Cancellation Notice - Federal funds already expended

Hi Elaine, (b) (5) ' Reviewer compensation alone was almost this much and during the FOA meeting, we were estimating several person years of DOE staff and contractors (giving a total closer to \$1M of federal fund expenses).

Victor: Based on your prior workload analysis, (b) (5) I think it is important to clarify to total federal funds already expended on this topic that had prior approval in this administration.

-Lenny

---

**From:** Ulrich, Elaine <Elaine.Ulrich@ee.Doe.Gov>

**Date:** Wednesday, Aug 29, 2018, 08:23

**To:** Gay, Charlie <Charlie.Gay@EE.DOE.Gov>, DL-EERE-4S PMsolar <DL-EERE-4SPMSolar@ee.doe.gov>, Unruh, Timothy <Timothy.Unruh@EE.Doe.Gov>

**Cc:** Hamos, Ian <Ian.Hamos@EE.doe.gov>, Fricker, Kyle <Kyle.Fricker@EE.DOE.Gov>, Kane, Victor <Victor.Kane@EE.Doe.Gov>, Murley, Susanna (CONTR) <Susanna.Murley@EE.DOE.Gov>

**Subject:** RE: SETO FOA Topic 1 Cancellation Notice

(b) (5)

(b) (5)

(b) (5)

Elaine

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**From:** Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Date:** Tuesday, Aug 28, 2018, 7:58 PM  
**To:** DL-EERE-4S PMSolar <DL-EERE-4SPMSolar@ee.doe.gov>, Unruh, Timothy <Timothy.Unruh@EE.Doe.Gov>  
**Cc:** Hamos, Ian <Ian.Hamos@EE.doe.gov>, Fricker, Kyle <Kyle.Fricker@EE.DOE.Gov>, Kane, Victor <Victor.Kane@EE.Doe.Gov>, Murley, Susanna (CONTR) <Susanna.Murley@EE.DOE.Gov>  
**Subject:** FW: SETO FOA Topic 1 Cancellation Notice

FYI

- Charlie  
202-287-1987

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**From:** Passarelli, Derek <Derek.Passarelli@ee.doe.gov>  
**Date:** Tuesday, Aug 28, 2018, 7:28 PM  
**To:** Tripodi, Cathy <Cathy.Tripodi@hq.doe.gov>, Fitzsimmons, Alexander <Alexander.Fitzsimmons@ee.doe.gov>, Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** SETO FOA Topic 1 Cancellation Notice

Cathy, Alex and Charlie,

Per my discussion with Cathy, (b) (5)  
(b) (5)

(b) (5)

(b) (5)

Cathy and Alex, (b) (5)  
(b) (5)

If any of you have questions about this process, please let me know.

Thank you.

Derek G. Passarelli  
Director  
Golden Field Office

Office of Energy Efficiency and Renewable Energy  
United States Department of Energy  
240.562.1742



topic specific work

1. team topic ideas meetings
2. Workshops
3. Topic refinement
4. FRD 1 topic language drafting, review and approval
5. FOA topic summary language drafting, review, and approval
6. FOA topic detailed language for full FOA drafting review and approval
8. Reviewer recruitment
9. Concept paper review and preparation
10. Full application review and preparation
11. Merit review coordination and participation
12. Selection decision and briefing preparation
13. Merit review advisory report preparation review and approval

(b) (5)

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total person hours (b) (5)  
number of person years (b) (5)  
fully burdened cost of a perso \$ (b) (5) this needs to be verified  
total cost \$ (b) (5)

known cost

number of reviewers (b) (5)  
reviewer payment (b) (5)  
total review cost (b) (5)  
total cost (b) (5)

**Gay, Charlie**

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**From:** Passarelli, Derek  
**Sent:** Wednesday, August 29, 2018 7:45 PM  
**To:** Gay, Charlie  
**Subject:** RE: an idea

Good luck!

---

**From:** Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Date:** Wednesday, Aug 29, 2018, 5:41 PM  
**To:** Passarelli, Derek <Derek.Passarelli@ee.doe.gov>  
**Subject:** RE: an idea

Thanks Derek !

Everything was delayed until tomorrow - stay tuned.\*□

- Charlie  
202-287-1987

---

**From:** Passarelli, Derek <Derek.Passarelli@ee.doe.gov>  
**Date:** Wednesday, Aug 29, 2018, 5:49 PM  
**To:** Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** RE: an idea

Charlie,

I have discussed with Stephanie Carabajal and Diana Bobo. (b) (5)  
(b) (5)

Let me know if you want to discuss.

ps. How did the briefing on the other topic areas go?

**From:** Gay, Charlie  
**Sent:** Wednesday, August 29, 2018 2:51 PM  
**To:** Passarelli, Derek <Derek.Passarelli@ee.doe.gov>  
**Subject:** an idea

Hi Derek:

(b) (5)

- Charle  
202-287-1987

**Gay, Charlie**

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**From:** Yuan, Guohui  
**Sent:** Thursday, August 30, 2018 9:56 AM  
**To:** Nilsen, Garrett; Fricker, Kyle; DL-EERE-4S PMSolar  
**Cc:** Baylor, Meisha (CONTR)  
**Subject:** RE: SETO FOA - Honorarium Delays

I agree with Garrett. Regardless what happens to Topic 1 or the entire FOA, (b) (5)  
Otherwise, we would have much harder time to recruit reviewers in the future.

Guohui

**From:** Nilsen, Garrett  
**Sent:** Thursday, August 30, 2018 9:32 AM  
**To:** Fricker, Kyle <Kyle.Fricker@EE.DOE.Gov>; DL-EERE-4S PMSolar <DL-EERE-4SPMSolar@ee.doe.gov>  
**Cc:** Baylor, Meisha (CONTR) <Meisha.Baylor@EE.DOE.Gov>  
**Subject:** RE: SETO FOA - Honorarium Delays  
**Importance:** High

Thank you for bringing this to our attention Kyle. We absolutely do not want to leave the reviewers with negative feels,  
(b) (5)

Ebony/Meisha,  
(b) (5)

**From:** Fricker, Kyle  
**Sent:** Thursday, August 30, 2018 9:12 AM  
**To:** DL-EERE-4S PMSolar <DL-EERE-4SPMSolar@ee.doe.gov>  
**Subject:** SETO FOA - Honorarium Delays

Hi all—

I want to bring to everyone's attention the issue of honorarium delays for our reviewers. We have 120+ reviewers for the FOA, and it is my understanding that most or all have not received payment. Most of them had to pay hundreds to a thousand dollars or more to travel to our merit review meetings 2-3 weeks ago (and likely expended the money on flights/hotels well over a month ago). Some of them work for nonprofits or governmental organizations and do not have the resources to be in the holding pattern they now find themselves in.

I just want to make sure we are doing everything we can to get them paid as fast as possible. I have multiple upset reviewers for my panels and I am sure the other FOA leads have the same. I wouldn't want this experience to sour the reviewers experience and make them less likely to accept the invitation in the future.

Thanks for your attention to this,

Kyle

Kyle J Fricker, PhD  
Solar Energy Technologies Office

U.S. Department of Energy  
(202) 287-1909  
[kyle.fricker@ee.doe.gov](mailto:kyle.fricker@ee.doe.gov)

Gay, Charlie

**From:** Ferguson, Jamal (CONTR)  
**Sent:** Thursday, August 30, 2018 1:04 PM  
**To:** Gay, Charlie; Jones-Albertus, Becca  
**Subject:** FW: Solar Topics Review

FYI

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**From:** Davis, Caitlin J. (CONTR)  
**Sent:** Thursday, August 30, 2018 12:54 PM  
**To:** Ferguson, Jamal (CONTR) <Jamal.Ferguson@ee.doe.gov>  
**Subject:** RE: Solar Topics Review

Hi Jamal,

(b) (5) when Tim returns to the office. (b) (5)  
I apologize for the confusion.

Thanks,  
Caitlin

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**From:** Ferguson, Jamal (CONTR)  
**Sent:** Thursday, August 30, 2018 11:16 AM  
**To:** Davis, Caitlin J. (CONTR) <Caitlin.Davis@EE.DOE.Gov>  
**Subject:** RE: Solar Topics Review

Hi Caitlin,

(b) (5) . Thanks.

**Jamal Ferguson**  
**Executive Assistant | Solar Energy Technologies Office**  
Redhorse Corporation | Contractor to the U.S. Department of Energy  
Office of Energy Efficiency & Renewable Energy  
Tel: 202-287-1987 | Cell: (b) (6)

-----Original Appointment-----

**From:** EE-1 Schedule  
**Sent:** Thursday, August 30, 2018 9:47 AM  
**To:** Gay, Charlie; Hamos, Ian; Ferguson, Jamal (CONTR); Jereza, Catherine  
**Subject:** Canceled: Solar Topics Review  
**When:** Friday, September 07, 2018 1:00 PM-1:30 PM (UTC-05:00) Eastern Time (US & Canada).  
**Where:** EE-1's Office  
**Importance:** High

**Meeting Materials:** *\*Please bring hard copies of any materials you would like to discuss with Cathy and Alex to this briefing.*

**Meeting Date/Time:** Friday, September 7<sup>th</sup> at 1pm

**Meeting Location:** EE-1's Office (6A-013)

**Gay, Charlie**

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**From:** Jacob, Bindu  
**Sent:** Thursday, August 30, 2018 2:03 PM  
**To:** Hamos, Ian  
**Cc:** Unruh, Timothy; Gay, Charlie; Pezzullo, Leslie  
**Subject:** RE: Solar FOA Topic 1 Cancelation and Re-release

(b) (5)

**From:** Hamos, Ian  
**Sent:** Thursday, August 30, 2018 1:23 PM  
**To:** Jacob, Bindu <Bindu.Jacob@ee.doe.gov>  
**Cc:** Unruh, Timothy <Timothy.Unruh@EE.Doe.Gov>; Gay, Charlie <Charlie.Gay@EE.DOE.Gov>; Pezzullo, Leslie <Leslie.Pezzullo@ee.doe.gov>  
**Subject:** Solar FOA Topic 1 Cancelation and Re-release

Bindu,

As I'm sure you are aware, (b) (5)

Thanks,

Ian Hamos  
Chief of Staff  
Office of the DAS for Renewable Power  
U.S. Department of Energy  
1000 Independence Ave. SW  
Washington, DC, 20585



**Gay, Charlie**

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**From:** Jones-Albertus, Becca  
**Sent:** Thursday, August 30, 2018 4:09 PM  
**To:** Gay, Charlie  
**Subject:** FW: NOI Sensitivity Check

Just FYI. I assume you are in close contact with Derek about this, but typically NOIs originate with our office not GFO.

-----Original Message-----

**From:** Bobo, Diana  
**Sent:** Thursday, August 30, 2018 2:53 PM  
**To:** Murley, Susanna (CONTR) <Susanna.Murley@EE.DOE.Gov>  
**Subject:** NOI Sensitivity Check

Hi Susanna,

(b) (5)

Thank you,  
Diana R. Bobo  
Contracting Officer, Team Lead  
Financial Assistance Office, Solar Program  
Golden Field Office  
Office of Energy Efficiency and Renewable Energy  
U.S. Department of Energy

**Gay, Charlie**

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**From:** Rench-McCauley, Dave (FELLOW)  
**Sent:** Thursday, August 30, 2018 4:30 PM  
**To:** Gay, Charlie; Jones-Albertus, Becca  
**Cc:** Nilsen, Garrett  
**Subject:** Topic 1 Rewrite Comparison  
**Attachments:** Topic1Rewrite\_ReviewerComparison.xlsx

Hi Charlie,

I just finished the comparison of reviewer lists for the Topic 1 Rewrite vs. Original text. You can find the results in the attached spreadsheet. Just like I did for the FOA, I limited the reviewer pool to those who are based out of the US (although you may note that a number of the recommendations are people from non-US organizations, probably around 10% - for some reason Dimensions has trouble sorting this properly, something we saw earlier for the FOA too). The "Original" tab is the top 100 reviewer candidates for the original wording of the Topic 1 text, and "Rewritten" is the same for the new text.

I also provided the Concept Panels as images for each of these documents, as those are a high-level reflection of the topics/concepts the text in question is reflecting. As you can see, there are very few similarities between the two, even with this crude measure (note the lack of the word "grid" in the rewritten version – a Find operation shows that it only appears twice in the rewritten version vs. 36 times in the original).

Long story short: there are 19 overlapping names in the two top-100 lists. Please let me know if you have any other questions in this regard.

--

**Dave Rench McCauley, Ph.D.**  
Senior Program Associate | ManTech International Corporation  
Contractor to the Solar Energy Technologies Office, U.S. Department of Energy  
Dave.Rench-McCauley@ee.doe.gov | office: 202-287-1434

For the attachment to Document 24, five (5) pages are being withheld in full pursuant to Exemption 5 and Exemption 6.

**Gay, Charlie**

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**From:** Gay, Charlie  
**Sent:** Friday, August 31, 2018 3:07 PM  
**To:** Passarelli, Derek  
**Subject:** RE: Solar FOA

Got it – thanks Derek

- Charlie  
202-287-1987

**From:** Passarelli, Derek  
**Sent:** Friday, August 31, 2018 3:07 PM  
**To:** Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** Solar FOA

Charlie,

The NOI has been posted on EERE Exchange. Below is the link.

<https://eere-exchange.energy.gov/default.aspx#Foald2bbe24fe-f075-4d1b-8ab7-0df723807696>

The Notices have been sent via email.

Please let me know if you have additional questions.

Derek G. Passarelli  
Director  
Golden Field Office  
Office of Energy Efficiency and Renewable Energy  
United States Department of Energy  
240.562.1742

**Gay, Charlie**

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**From:** Murley, Susanna (CONTR)  
**Sent:** Friday, August 31, 2018 3:10 PM  
**To:** Gay, Charlie; Jones-Albertus, Becca  
**Subject:** phone calls

Hi Charlie, Becca –

I just had a series of three calls that I wanted you to be aware of.

(b) (5)

(b) (5)

(b) (5)

Then John Horst called me. I had given him a call to let him know that we were told to put him as the point of contact for all questions. He appreciated the heads up.

(b) (5)

She is also going to

be out next week and no one has been identified as her backup.

(b) (5)

Best,

Susanna

**Susanna Murley**  
Strategic Support Team Lead  
The Building People, LLC | U.S. Department of Energy  
Contractor supporting the Solar Energy Technologies Office  
Office of Energy Efficiency and Renewable Energy  
Office: 202.287.1637 | Cell: (b) (6)

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**Gay, Charlie**

**From:** Gay, Charlie  
**Sent:** Thursday, August 30, 2018 8:37 PM  
**To:** Passarelli, Derek  
**Cc:** Bobo, Diana; Pfrangle, Clay  
**Subject:** FW: 24-hour sensitivity check for: SETO's Advanced Solar Systems Integration Technologies Notice of Intent  
**Attachments:** EERE 103 - Notice of Intent (NOI) DE-FOA-0001986 Final 20180830.docx

FYI

- Charlie  
 202-287-1987

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**From:** Horst, John <[john.horst@ee.doe.gov](mailto:john.horst@ee.doe.gov)>  
**Date:** Thursday, Aug 30, 2018, 7:14 PM  
**To:** Fitzsimmons, Alexander <[Alexander.Fitzsimmons@ee.doe.gov](mailto:Alexander.Fitzsimmons@ee.doe.gov)>, Jayne, Kevin A. <[Kevin.Jayne@ee.doe.gov](mailto:Kevin.Jayne@ee.doe.gov)>, Jones, Dylan <[Dylan.Jones@EE.Doe.Gov](mailto:Dylan.Jones@EE.Doe.Gov)>, Gruse, Jessica (CONTR) <[Jessica.Gruse@EE.DOE.Gov](mailto:Jessica.Gruse@EE.DOE.Gov)>, Wahlert, Kayt <[Kayt.Wahlert@ee.Doe.Gov](mailto:Kayt.Wahlert@ee.Doe.Gov)>, Mills, Allison <[Allison.Mills@hq.doe.gov](mailto:Allison.Mills@hq.doe.gov)>, Oliver, Martha <[Martha.Oliver@hq.doe.gov](mailto:Martha.Oliver@hq.doe.gov)>, Brace, Conner <[Conner.Brace@hq.doe.gov](mailto:Conner.Brace@hq.doe.gov)>, EERE Legislative Affairs <[EERELegAffairs@EE.Doe.Gov](mailto:EERELegAffairs@EE.Doe.Gov)>, Rivers, Jennifer <[Jennifer.Rivers@ee.doe.gov](mailto:Jennifer.Rivers@ee.doe.gov)>, EEREStakeholderEngagement <[EEREStakeholderEngagement@EE.Doe.Gov](mailto:EEREStakeholderEngagement@EE.Doe.Gov)>  
**Cc:** Unruh, Timothy <[Timothy.Unruh@EE.Doe.Gov](mailto:Timothy.Unruh@EE.Doe.Gov)>, Hamos, Ian <[Ian.Hamos@EE.doe.gov](mailto:Ian.Hamos@EE.doe.gov)>, Gay, Charlie <[Charlie.Gay@EE.DOE.Gov](mailto:Charlie.Gay@EE.DOE.Gov)>, Murley, Susanna (CONTR) <[Susanna.Murley@EE.DOE.Gov](mailto:Susanna.Murley@EE.DOE.Gov)>, Vauss, Ebony <[Ebony.Vauss@ee.doe.gov](mailto:Ebony.Vauss@ee.doe.gov)>, Bristol, Jennifer (CONTR) <[Jennifer.Bristol@EE.doe.gov](mailto:Jennifer.Bristol@EE.doe.gov)>, Brodie, Pamela <[Pamela.Brodie@ee.Doe.Gov](mailto:Pamela.Brodie@ee.Doe.Gov)>, Jacob, Bindu <[Bindu.Jacob@ee.doe.gov](mailto:Bindu.Jacob@ee.doe.gov)>, DeCesaro, Jennifer <[Jennifer.Decesaro@ee.doe.gov](mailto:Jennifer.Decesaro@ee.doe.gov)>, Barendsen, Eric <[Eric.Barendsen@ee.doe.gov](mailto:Eric.Barendsen@ee.doe.gov)>, Sher, Jono <[jono.sher@ee.doe.gov](mailto:jono.sher@ee.doe.gov)>, Stowers, Christina (CONTR) <[Christina.Stowers@EE.Doe.Gov](mailto:Christina.Stowers@EE.Doe.Gov)>, Cone, Kristin (CONTR) <[Kristin.Cone@EE.DOE.Gov](mailto:Kristin.Cone@EE.DOE.Gov)>, Kane, Victor <[Victor.Kane@EE.Doe.Gov](mailto:Victor.Kane@EE.Doe.Gov)>, Fricker, Kyle <[Kyle.Fricker@EE.DOE.Gov](mailto:Kyle.Fricker@EE.DOE.Gov)>, Goldstone, Michael <[Michael.Goldstone@ee.doe.gov](mailto:Michael.Goldstone@ee.doe.gov)>  
**Subject:** 24-hour sensitivity check for: SETO's Advanced Solar Systems Integration Technologies Notice of Intent

Hello,

EERE's Solar Energy Technologies Office (SETO) would like to issue a Notice of Intent (NOI) for its "Advanced Solar Systems Integration Technologies." The focus supports early-stage research and development to improve the performance and flexibility of solar technologies that contribute to a reliable and resilient U.S. electric grid. SETO invests in innovative research efforts that securely integrate more solar energy into the grid, enhance the use, storage and dispatch of solar energy, and lower solar electricity costs.

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#### Areas of Interest:

**Solar Grid Integration** – This topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should identify the strategic location of solar photovoltaic (PV) systems that will ensure the Energy Sector provides continuity of service in the face of wide spread and coordinated threats.

**Solar Situational Awareness and Analysis** – This topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector’s capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should enhance operator capability to observe solar systems deployed throughout the bulk power systems or associated transmission to distribution substations or Behind-the-Meter (BTM) solar including but not limited to battery storage, systems controls, and demand response. Primary focus areas include solar photovoltaic integrated sensor technologies, secure and robust electricity supply delivery and communication tools, advanced data analytics including Artificial Intelligence and Machine to Machine capabilities, and voltage testing.

**Solar Technology Transfer** – This topic will explore unique and innovative approaches to accelerate the transfer of solar system solutions that will improve the resiliency of the Energy Sector’s capability to withstand all hazards; focusing on cyber and physical vectors. Potential areas of interest include, but are not limited to, projects or models that deploy alternative capital, for technology R&D transfer, incentivize industry-researcher collaboration, leverage existing facilities or capabilities, data and build approaches and methods that serve to drive down the hardware cost and ensure solutions, validation, certifications, resilience and electricity supply to withstand wide spread and coordinated threats compatible with Topic 1.1 and Topic 1.2

(b) (5) , The estimated period of performance for each award will be approximately 3 years. For more, see the attached NOI. (b) (5) ! Please reply all with any questions, comments, or concerns.

-----  
Thanks,  
John

John Horst, APR  
U.S. Department of Energy  
Energy Efficiency and Renewable Energy  
Communications | Media Relations  
Office: 720-356-1580  
Mobile: (b) (6)

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## Notice of Intent No. DE-FOA-0001986

### Notice of Intent to Issue Funding Opportunity Announcement No. DE-FOA-0001987

The Office of Energy Efficiency and Renewable Energy (EERE) intends to issue, on behalf of the Solar Energy Technology Office, a Funding Opportunity Announcement (FOA) entitled "Advanced Solar Systems Integration Technologies".

This FOA supports the mission of the Solar Energy Technologies Office (SETO) which is to support early-stage research and development to improve the performance and flexibility of solar technologies that contribute to a reliable and resilient U.S. electric grid. The office invests in innovative research efforts that securely integrate more solar energy into the grid, enhance the use, storage and dispatch of solar energy, and lower solar electricity costs.

DOE is committed to improving the affordability of energy technologies and strengthening the Energy Sector's capability to withstand cyber and physical threats, including natural disasters. Improving the strategic location and situational awareness of solar systems can help ensure continuity of service in the face of widespread and coordinated threats. Developing innovative approaches to accelerate the transfer of solar system solutions that will improve Energy Sector resilience is also a priority.

It is anticipated that the FOA may include the following Areas of Interest:

#### Topic 1.1 Solar Grid Integration

This topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should identify the strategic location of solar photovoltaic (PV) systems that will ensure the Energy Sector provides continuity of service in the face of wide spread and coordinated threats. These solutions can be deployed throughout the bulk power systems or associated transmission to distribution substations. It is expected that the same design concepts will be applicable for energy storage and other distributed energy resources (DERs). The approaches will test the systems' ability to operate and adapt at both steady and degraded states. Applications must consider diverse DER options (e.g. photovoltaics, energy storage, and flexible load) available as well as power systems engineering alternatives, and demonstrate the benefits of the proposed solutions. It should also be shown in these solutions how a fleet of multiple photovoltaics systems from multiple locations will be able to respond to fast changing conditions under normal operations and provide power to critical loads during grid outages – with consideration of other DER

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This is a Notice of Intent (NOI) only. EERE may issue a FOA as described herein, may issue a FOA that is significantly different than the FOA described herein, or EERE may not issue a FOA at all.



options and distribution system constraints. Example projects may include, but are not limited to, new design and use-case concepts, essential reliability services, adaptive capabilities, voltage support, previously un contemplated and unique capabilities and control hardware and software innovations for smart PV inverters and DER management systems. Applications must have an assessment of economic viability of the proposed system, activity or component in the respective part of the project.

Applicant's solar photovoltaic projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These solar photovoltaic projects shall seek to reduce vulnerabilities, minimize consequences, identify and disrupt threats, and hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

#### Topic 1.2 Solar Situational Awareness and Analysis

This Topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should enhance operator capability to observe solar systems deployed throughout the bulk power systems or associated transmission to distribution substations or Behind-the-Meter (BTM) solar including but not limited to battery storage, systems controls, and demand response. Primary focus areas include solar photovoltaic integrated sensor technologies, secure and robust electricity supply delivery and communication tools, advanced data analytics including Artificial Intelligence and Machine to Machine capabilities, and voltage testing. Projects with secondary focus areas may also be considered which include the integration of observed data into planning, operations and business unit systems that would operate at both steady and degraded states. Applications must have an assessment of economic viability of the proposed system, activity or component in the respective part of the project.

Applicant's solar situational awareness and analysis projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These projects shall seek to contribute to one or more risk components: reduce vulnerabilities, minimize consequences, identify and disrupt threats, and/or hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

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This is a Notice of Intent (NOI) only. EERE may issue a FOA as described herein, may issue a FOA that is significantly different than the FOA described herein, or EERE may not issue a FOA at all.

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### Topic 1.3 Solar Technology Transfer

This topic will explore unique and innovative approaches to accelerate the transfer of solar system solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Potential areas of interest include, but are not limited to, projects or models that deploy alternative capital, for technology R&D transfer, incentivize industry-researcher collaboration, leverage existing facilities or capabilities, data and build approaches and methods that serve to drive down the hardware cost and ensure solutions, validation, certifications, resilience and electricity supply to withstand wide spread and coordinated threats compatible with Topic 1.1 and Topic 1.2

Applicant's solar technology transfer projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These projects shall seek to contribute to one or more risk components: reduce vulnerabilities, minimize consequences, identify and disrupt threats, and/or hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

EERE envisions awarding multiple financial assistance awards in the form of cooperative agreements. The estimated period of performance for each award will be approximately 3 years.

This Notice is issued so that interested parties are aware of the EERE's intention to issue this FOA in the near term. All of the information contained in this Notice is subject to change. EERE will not respond to questions concerning this Notice. Once the FOA has been released, EERE will provide an avenue for potential Applicants to submit questions.

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In anticipation of the FOA being released, Applicants are advised to complete the following steps, which are **required** for application submission:

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- Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number (including the plus 4 extension, if applicable) at <http://fedgov.dnb.com/webform>
- Register with the System for Award Management (SAM) at <https://www.sam.gov>. Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in SAM registration. Please update your SAM registration annually.
- Register in FedConnect at <https://www.fedconnect.net/>. To create an organization account, your organization's SAM MPIN is required. For more information about the SAM MPIN or other registration requirements, review the FedConnect Ready, Set, Go! Guide at [https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf)
- Register in Grants.gov to receive automatic updates when Amendments to a FOA are posted. However, please note that applications will not be accepted through Grants.gov. <http://www.grants.gov/>. All applications must be submitted through EERE Exchange.

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# August 31, 2018

Friday

August 2018							September 2018						
Su	Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3	4						1
5	6	7	8	9	10	11	2	3	4	5	6	7	8
12	13	14	15	16	17	18	9	10	11	12	13	14	15
19	20	21	22	23	24	25	16	17	18	19	20	21	22
26	27	28	29	30	31		23	24	25	26	27	28	29
							30						

FRIDAY		Daily Task List	
31		Arrange by: Due Date	
7 AM		<p><i>meeting with SETO staff to update revised FOA process</i></p>	
8			
9			
10	American solar energy movement call w/ Fred Morse ; 950 P'enfant Plaza SW 20024 (C)		
11	FOA Status Update pt. 2 950 L. Enfant 6097/8/9 & WebEx dial-in Ferguson, Jamal (CONTR)		
12 PM			
1	Patrina Eiffert <input type="checkbox"/> Paygo Solar; (b) (6) <input type="checkbox"/> Eiffert, Pat <input type="checkbox"/>		
2	Biweekly Prize Tag Up with Charlie; Charlie's Office; Gay, Charlie <input type="checkbox"/>		
3			
4	SETO Team Building Duffy's 2106 Vermont Ave NW Nilsen, Garrett		
5			
6			
		Notes	

**Gay, Charlie**

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**Subject:** FOA Status Update pt. 2  
**Location:** 950 L Enfant 6097/8/9 & WebEx dial-in

**Start:** Fri 8/31/2018 10:30 AM  
**End:** Fri 8/31/2018 11:30 AM

**Recurrence:** (none)

**Meeting Status:** Accepted

**Organizer:** Ferguson, Jamal (CONTR)

**Required Attendees:** Gay, Charlie; Anderson, Christopher; Bing, Christine; Bob, Brion; Fricker, Kyle; Goldstone, Michael; Golnas, Anastasios; Graves, Andrew; Jones-Albertus, Becca; Kane, Victor; Mapes, Marie; Mikrut, Jeremy; Miller, Jeremiah; Nilsen, Garrett; Olson, Dana; Philipsen, Christian; Rueckert, Thomas; Shultz, Avi; Stricker, Daniel; Tinker, Lenny; Ulrich, Elaine; Vauss, Ebony; Vijaykumar, Rajgopal; Walter, David; Yuan, Guohui; Bobo, Diana; Pfrangle, Clay; Bauer, Matthew (CONTR); Baylor, Meisha (CONTR); Boyd, Michele A. (CONTR); Bristol, Jennifer (CONTR); Celik, Kemal (CONTR); Clark, Patricia (CONTR); Collins, Shamara (FELLOW); Dawson, Andrew (CONTR); Ebers, Anna (FELLOW); Huang, Susan (CONTR); Ihly, Rachele (FELLOW); Irwin, Levi (CONTR); Jaishankar, Shubha (CONTR); Jones, Tiffany (CONTR); Kozinsky, Inna (CONTR); Krishnaswami, Hariharan (FELLOW); Lausten, Mark (CONTR); Machin, Sarah (CONTR); Marchetti, Emily (CONTR); Mees, Jacob (CONTR); Murley, Susanna (CONTR); Pecora, Emanuele F. (FELLOW); Prescod, Andru (CONTR); Qusaibaty, Ammar (CONTR); Rensch-McCauley, Dave (FELLOW); Sheoran, Manav (CONTR); Truong, Nancy (CONTR); Washelesky, Dawn (CONTR); Zibulsky, Leah (CONTR)

**Not an agency record**

-- Do not delete or change any of the following text. --

Join Webex meeting

Meeting number (access code): (b) (6)  
Meeting password: (b) (6)

**Not an agency record**

Join by phone

(b) (6) US Toll

Can't join the meeting?

If you are a host, [go here](#) to view host information.

IMPORTANT NOTICE: Please note that this Webex service allows audio and other information sent during the session to be recorded, which may be discoverable in a legal matter. By joining this session, you automatically consent to such recordings. If you do not consent to being recorded, discuss your concerns with the host or do not join the session.

**Not an agency record**

Gay, Charlie

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**From:** Pecora, Emanuele F. (FELLOW)  
**Sent:** Friday, August 31, 2018 2:19 PM  
**To:** Gay, Charlie  
**Cc:** Nilsen, Garrett; Jones-Albertus, Becca; Walter, David  
**Subject:** RE: final draft of SBIR/STTR FY19 topics

Hello Charlie,

John Barth was at that meeting, as well as a person from OE and a person from CESAR. All the EERE Office Portfolio Managers also participated, along with Tina Kaarsberg and Henry Tappa.

Kevin, the person in charge of the SBIR program at OE (unfortunately I do not remember his last name) (b) (5)

As an example, last year we had a joint topic with BTO and we funded two of the awards (the more solar-relevant ones), while BTO funded the award more aligned to their mission.

However, (b) (5)

This was a general discussion about EERE/OE collaboration (not specific to solar topics only) and about the guidance we received in the memo by Acting EE1 on topic development.

Hope this helps. Let me know if you have any other questions.

Best,  
Emanuele

-----  
Emanuele Francesco Pecora, Ph. D.  
Senior Science and Technology Policy Fellow  
Solar Energy Technologies Office  
U.S. Department of Energy

**From:** Gay, Charlie  
**Sent:** Friday, August 31, 2018 1:02 PM  
**To:** Pecora, Emanuele F. (FELLOW) <Emanuele.Pecora@EE.DOE.Gov>  
**Cc:** Nilsen, Garrett <Garrett.Nilsen@ee.doe.gov>; Jones-Albertus, Becca <Becca.Jones-Albertus@ee.doe.gov>; Walter, David <David.Walter@ee.doe.gov>  
**Subject:** final draft of SBIR/STTR FY19 topics

Thank you, Emanuele.

For clarity on sources and uses of funds called out in this sentence:

*SETO will work together with the U.S. Department of Energy Office of Electricity to select and manage awards under this subtopic.*

(b) (5)

Charlie  
202-287-1987

-----Original Message-----

From: Pecora, Emanuele F. (FELLOW)  
Sent: Friday, August 31, 2018 12:43 PM  
To: Gay, Charlie <Charlie.Gay@EE.DOE.Gov>; Jones-Albertus, Becca <Becca.Jones-Albertus@ee.doe.gov>  
Cc: Nilsen, Garrett <Garrett.Nilsen@ee.doe.gov>; Walter, David <David.Walter@ee.doe.gov>  
Subject: final draft of SBIR/STTR FY19 topics

Hello Charlie, Becca,

I want to follow up after our briefing last week on the FY19 topics for the SBIR/STTR programs. We made some changes based on our conversation, and based on the conversations and guideline I received yesterday from the front office during the EERE SBIR day. This is our final draft: [https://eeredocman.ee.doe.gov/offices/EE-4S/Teams/\\_layouts/15/WopiFrame.aspx?sourcedoc={6FCF932E-38A2-40A0-99B2-2E8B32EF10A9}&file=FY19\\_SBIR-STTR\\_SETOtopics.docx&action=default](https://eeredocman.ee.doe.gov/offices/EE-4S/Teams/_layouts/15/WopiFrame.aspx?sourcedoc={6FCF932E-38A2-40A0-99B2-2E8B32EF10A9}&file=FY19_SBIR-STTR_SETOtopics.docx&action=default)

I will have to send this to Tina on Tuesday (9/4). Sorry for the last minute email, (b) (5)  
. Happy to discuss more.

As for the next steps, (b) (5)

Let me know if you have any other questions.

Best,  
Emanuele

-----  
Emanuele Francesco Pecora, Ph. D.  
Senior Science and Technology Policy Fellow  
Solar Energy Technologies Office  
U.S. Department of Energy

Gay, Charlie

**From:** Passarelli, Derek  
**Sent:** Friday, August 31, 2018 3:10 PM  
**To:** Gay, Charlie  
**Subject:** RE: Draft  
**Attachments:** SETO FOA Topic Area 1 Notice with NOI 20180831 Final.docx; EERE 103 - Notice of Intent (NOI) DE-FOA-0001986 Final 20180830.docx

Charlie,

Attached are what was sent out and posted by the CO. The documents did not change from what I sent you earlier today.

Derek

**From:** Gay, Charlie  
**Sent:** Friday, August 31, 2018 1:07 PM  
**To:** Passarelli, Derek <Derek.Passarelli@ee.doe.gov>  
**Subject:** RE: Draft

Thanks Derek – could you send a copy of whatever is sent out, please?

- Charlie  
202-287-1987

**From:** Passarelli, Derek  
**Sent:** Friday, August 31, 2018 3:03 PM  
**To:** Gay, Charlie <Charlie.Gay@EE.DOE.Gov>  
**Subject:** RE: Draft

Charlie,

Absent specific authorization from PA,(b) (5)

Derek

**From:** Gay, Charlie  
**Sent:** Friday, August 31, 2018 12:09 PM  
**To:** Passarelli, Derek <Derek.Passarelli@ee.doe.gov>  
**Subject:** Draft

Hi Derek:

For feedback.....

**Background on new Notice of Intent (NOI) and topic revision**

- Background: In April 2018, U.S. Secretary of Energy Rick Perry issued a press release announcing the Solar Energy Technologies Office (SETO) Fiscal Year 2018 funding opportunity announcement (FOA). The FOA



identified four topics including one (Topic Area 1) to advance research on technologies enabling integration of solar energy onto the nation's electricity grid. The office had budgeted \$46 million anticipating about 14 projects. The FOA stated that the expected timeframe for selection notifications was September 2018.

- Upon review, the Office of Energy Efficiency and Renewable Energy (EERE) determined it appropriate to revise emphasis and objectives. Applicants and concept paper authors addressing Topic 1 are being notified of plans to revise Topic Area 1 and issue a new FOA.
- We understand and want to express our sincere appreciate of the applicants and reviewers for Topic Area 1 of the FOA. We recognize that considerable time and effort has been made in preparing and reviewing applications.

#### Communications Guidelines

- As with all funding opportunities, one should not provide any privileged or confidential information that might give an interested party or potential awardee advantaged information. Of note, Washington, D.C. law does not require two-party consent for recording phone calls.
- (b) (5)
  - John Horst
  - Email: [john.horst@ee.doe.gov](mailto:john.horst@ee.doe.gov)
  - Phone: (b) (6)

- Charlie  
202-287-1987

## SETO FOA TOPIC AREA 1 NOTICE

On behalf of the Department of Energy (DOE), Office of Energy Efficiency and Renewable Energy (EERE), we would like to thank you for submitting an application in response to the Solar Energy Technology Office (SETO) FY18 Funding Opportunity Announcement (FOA) DE-FOA-0001840. We are writing to inform you of a change to Topic Area 1 of the FOA, Advanced Solar Systems Integration Technologies.

DOE is committed to improving the affordability of energy technologies and strengthening the Energy Sector's capability to withstand cyber and physical threats, including natural disasters. Improving the strategic location and situational awareness of solar systems can help ensure continuity of service in the face of widespread and coordinated threats. Developing innovative approaches to accelerate the transfer of solar system solutions that will improve Energy Sector resilience is also a priority.

In order to better align the FOA objectives to the mission objectives of DOE, EERE plans to revise Topic Area 1 and issue a new FOA. **Because a new FOA is planned, if you would like to apply to the revised Topic Area 1, an application must be submitted under the new FOA in EERE Exchange by the deadline.** Please carefully review the revised emphasis and program objectives when the new FOA is issued, and revise your application accordingly.

On behalf of EERE, we would like to express our sincere appreciation for the significant time and effort you and your team invested in preparing this application, and for your interest and participation in the EERE Solar Energy Technologies Office activities. We hope that you will continue to participate in future activities and programs with EERE.

The Notice of Intent to Issue Funding Opportunity Announcement No. DE-FOA-0001987 is provided below for your reference.

**Notice of Intent No. DE-FOA-0001986****Notice of Intent to Issue  
Funding Opportunity Announcement No. DE-FOA-0001987**

The Office of Energy Efficiency and Renewable Energy (EERE) intends to issue, on behalf of the Solar Energy Technology Office, a Funding Opportunity Announcement (FOA) entitled "Advanced Solar Systems Integration Technologies".

This FOA supports the mission of the Solar Energy Technologies Office (SETO) which is to support early-stage research and development to improve the performance and flexibility of solar technologies that contribute to a reliable and resilient U.S. electric grid. The office invests in innovative research efforts that securely integrate more solar energy into the grid, enhance the use, storage and dispatch of solar energy, and lower solar electricity costs.

DOE is committed to improving the affordability of energy technologies and strengthening the Energy Sector's capability to withstand cyber and physical threats, including natural disasters. Improving the strategic location and situational awareness of solar systems can help ensure continuity of service in the face of widespread and coordinated threats. Developing innovative approaches to accelerate the transfer of solar system solutions that will improve Energy Sector resilience is also a priority.

It is anticipated that the FOA may include the following Areas of Interest:

**Topic 1.1 Solar Grid Integration**

This topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should identify the strategic location of solar photovoltaic (PV) systems that will ensure the Energy Sector provides continuity of service in the face of wide spread and coordinated threats. These solutions can be deployed throughout the bulk power systems or associated transmission to distribution substations. It is expected that the same design concepts will be applicable for energy storage and other distributed energy resources (DERs). The approaches will test the systems' ability to operate and adapt at both steady and degraded states. Applications must consider diverse DER options (e.g. photovoltaics, energy storage, and flexible load)

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available as well as power systems engineering alternatives, and demonstrate the benefits of the proposed solutions. It should also be shown in these solutions how a fleet of multiple photovoltaics systems from multiple locations will be able to respond to fast changing conditions under normal operations and provide power to critical loads during grid outages – with consideration of other DER options and distribution system constraints. Example projects may include, but are not limited to, new design and use-case concepts, essential reliability services, adaptive capabilities, voltage support, previously unconsidered and unique capabilities and control hardware and software innovations for smart PV inverters and DER management systems. Applications must have an assessment of economic viability of the proposed system, activity or component in the respective part of the project.

Applicant's solar photovoltaic projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These solar photovoltaic projects shall seek to reduce vulnerabilities, minimize consequences, identify and disrupt threats, and hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

#### Topic 1.2 Solar Situational Awareness and Analysis

This Topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should enhance operator capability to observe solar systems deployed throughout the bulk power systems or associated transmission to distribution substations or Behind-the-Meter (BTM) solar including but not limited to battery storage, systems controls, and demand response. Primary focus areas include solar photovoltaic integrated sensor technologies, secure and robust electricity supply delivery and communication tools, advanced data analytics including Artificial Intelligence and Machine to Machine capabilities, and voltage testing. *Projects with secondary focus areas may also be considered which include the integration of observed data into planning, operations and business unit systems that would operate at both steady and degraded states.* Applications must have an assessment of economic viability of the proposed system, activity or component in the respective part of the project.

Applicant's solar situational awareness and analysis projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These projects shall seek to contribute to one or

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more risk components: reduce vulnerabilities, minimize consequences, identify and disrupt threats, and/or hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

### Topic 1.3 Solar Technology Transfer

This topic will explore unique and innovative approaches to accelerate the transfer of solar system solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Potential areas of interest include, but are not limited to, projects or models that deploy alternative capital, for technology R&D transfer, incentivize industry-researcher collaboration, leverage existing facilities or capabilities, data and build approaches and methods that serve to drive down the hardware cost and ensure solutions, validation, certifications, resilience and electricity supply to withstand wide spread and coordinated threats compatible with Topic 1.1 and Topic 1.2

Applicant's solar technology transfer projects may require working with critical infrastructure owners and operators and state, local, tribal and territories entities to take proactive steps to manage risk and strengthen the security and resilience of the Nation's critical infrastructure, considering all hazards that could have a debilitating impact on national security, economic stability, public health and safety, or any combination thereof. These projects shall seek to contribute to one or more risk components: reduce vulnerabilities, minimize consequences, identify and disrupt threats, and/or hasten response and recovery efforts related to critical infrastructure to ensure public health and safety while improving national security and economic security.

EERE envisions awarding multiple financial assistance awards in the form of cooperative agreements. The estimated period of performance for each award will be approximately 3 years.

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- Register with the System for Award Management (SAM) at <https://www.sam.gov>. Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in SAM registration. Please update your SAM registration annually.
- Register in FedConnect at <https://www.fedconnect.net/>. To create an organization account, your organization's SAM MPIN is required. For more information about the SAM MPIN or other registration requirements, review the FedConnect Ready, Set, Go! Guide at [https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect\\_Ready\\_Set\\_Go.pdf](https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf)
- Register in Grants.gov to receive automatic updates when Amendments to a FOA are posted. However, please note that applications will not be accepted through Grants.gov. <http://www.grants.gov/>. All applications must be submitted through EERE Exchange.

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Gay, Charlie

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**From:** Goldstone, Michael  
**Sent:** Saturday, September 01, 2018 10:56 AM  
**To:** Gay, Charlie  
**Subject:** RE: 24-hour sensitivity check for: SETO's Advanced Solar Systems Integration Technologies Notice of Intent

Charlie,

Here is the FOA standard operating procedure.  
It outlines everyone's roles and responsibilities.

[https://eere-intranet2.ee.doe.gov/sites/default/files/documents/EERE%20S%20540.110%20FOA%20Development%20Standard%20Operating%20Procedure 2.pdf](https://eere-intranet2.ee.doe.gov/sites/default/files/documents/EERE%20S%20540.110%20FOA%20Development%20Standard%20Operating%20Procedure%202.pdf)

For a Notice of Intent, your review and approval is required by the procedure.

For the FOA in question, (b) (5) A/C

but I'm not sure of that.

Thank you,

Michael Goldstone  
Attorney Advisor  
U.S. Department of Energy  
[michael.goldstone@ee.doe.gov](mailto:michael.goldstone@ee.doe.gov)  
(b) (6)

**From:** Gay, Charlie  
**Sent:** Friday, August 31, 2018 9:48 AM  
**To:** Goldstone, Michael <Michael.Goldstone@ee.doe.gov>  
**Subject:** FW: 24-hour sensitivity check for: SETO's Advanced Solar Systems Integration Technologies Notice of Intent

Hi Michael:

(b) (5) A/C

- Charlie  
202-287-1987

**From:** Horst, John  
**Sent:** Thursday, August 30, 2018 7:14 PM  
**To:** Fitzsimmons, Alexander <Alexander.Fitzsimmons@ee.doe.gov>; Jayne, Kevin A. <Kevin.Jayne@ee.doe.gov>; Jones, Dylan <Dylan.Jones@EE.Doe.Gov>; Gruse, Jessica (CONTR) <Jessica.Gruse@EE.DOE.Gov>; Wahlert, Kayt <Kayt.Wahlert@ee.Doe.Gov>; Mills, Allison <Allison.Mills@hq.doe.gov>; Oliver, Martha <Martha.Oliver@hq.doe.gov>; Brace, Conner <Conner.Brace@hq.doe.gov>; EERE Legislative Affairs <EERELegAffairs@EE.Doe.Gov>; Rivers, Jennifer

<Jennifer.Rivers@ee.doe.gov>; EEREStakeholderEngagement <EEREStakeholderEngagement@EE.Doe.Gov>  
Cc: Unruh, Timothy <Timothy.Unruh@EE.Doe.Gov>; Hamos, Ian <Ian.Hamos@EE.doe.gov>; Gay, Charlie  
<Charlie.Gay@EE.DOE.Gov>; Murley, Susanna (CONTR) <Susanna.Murley@EE.DOE.Gov>; Vauss, Ebony  
<Ebony.Vauss@ee.doe.gov>; Bristol, Jennifer (CONTR) <Jennifer.Bristol@EE.doe.gov>; Brodie, Pamela  
<Pamela.Brodie@ee.Doe.Gov>; Jacob, Bindu <Bindu.Jacob@ee.doe.gov>; DeCesaro, Jennifer  
<Jennifer.Decesaro@ee.doe.gov>; Barendsen, Eric <Eric.Barendsen@ee.doe.gov>; Sher, Jono <jono.sher@ee.doe.gov>;  
Stowers, Christina (CONTR) <Christina.Stowers@EE.Doe.Gov>; Cone, Kristin (CONTR) <Kristin.Cone@EE.DOE.Gov>; Kane,  
Victor <Victor.Kane@EE.Doe.Gov>; Fricker, Kyle <Kyle.Fricker@EE.DOE.Gov>; Goldstone, Michael  
<Michael.Goldstone@ee.doe.gov>

**Subject:** 24-hour sensitivity check for: SETO's Advanced Solar Systems Integration Technologies Notice of Intent

Hello,

EERE's Solar Energy Technologies Office (SETO) would like to issue a Notice of Intent (NOI) for its "Advanced Solar Systems Integration Technologies." The focus supports early-stage research and development to improve the performance and flexibility of solar technologies that contribute to a reliable and resilient U.S. electric grid. SETO invests in innovative research efforts that securely integrate more solar energy into the grid, enhance the use, storage and dispatch of solar energy, and lower solar electricity costs.

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**Areas of Interest:**

**Solar Grid Integration** – This topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should identify the strategic location of solar photovoltaic (PV) systems that will ensure the Energy Sector provides continuity of service in the face of wide spread and coordinated threats.

**Solar Situational Awareness and Analysis** – This topic will support applications to research and field validate unique and innovative solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Specifically, the solutions should enhance operator capability to observe solar systems deployed throughout the bulk power systems or associated transmission to distribution substations or Behind-the-Meter (BTM) solar including but not limited to battery storage, systems controls, and demand response. Primary focus areas include solar photovoltaic integrated sensor technologies, secure and robust electricity supply delivery and communication tools, advanced data analytics including Artificial Intelligence and Machine to Machine capabilities, and voltage testing.

**Solar Technology Transfer** – This topic will explore unique and innovative approaches to accelerate the transfer of solar system solutions that will improve the resiliency of the Energy Sector's capability to withstand all hazards; focusing on cyber and physical vectors. Potential areas of interest include, but are not limited to, projects or models that deploy alternative capital, for technology R&D transfer, incentivize industry-researcher collaboration, leverage existing facilities or capabilities, data and build approaches and methods that serve to drive down the hardware cost and ensure solutions, validation, certifications, resilience and electricity supply to withstand wide spread and coordinated threats compatible with Topic 1.1 and Topic 1.2

(b) (5)

The estimated

period of performance for each award will be approximately 3 years. For more, see the attached NOI. (b) (5)

concerns. Please reply all with any questions, comments, or



Thanks,  
John

John Horst, APR  
U.S. Department of Energy  
Energy Efficiency and Renewable Energy  
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EERE S 540.110

**FOA Development  
Standard  
Operating  
Procedure**

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*Template Version 8/31/2018*

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## I. Executive Summary

The Office of Energy Efficiency and Renewable Energy (EERE) partners with industry, universities, nonprofits and others to advance the use of renewable energy and energy efficiency technologies. EERE encourages the growth of these technologies by offering financial assistance opportunities for their outreach, research, development and demonstration. To further this goal, EERE publishes Funding Opportunity Announcements (FOAs) through which the public may submit applications for financial assistance awards.

Standard Operating Procedures (SOPs) articulate EERE's commitment to a strong program planning and project management capability. These SOPs represent a broad set of business practices that demonstrate EERE's proficiency as a steward of the public's trust in the commitment, obligation, and expenditure of federally-appropriated funds.

The FOA Development process documented in this SOP begins when a Technology Office identifies the need for a particular set of projects to advance their mission, and prepares a FOA based on that defined need. During this phase, the Technology Office defines the requirements for the FOA and convenes a team to coordinate and manage the development process. The FOA Team creates a FOA Requirements Document (FRD) which outlines key features of the FOA. After FRD approval, the FOA Team drafts the FOA and coordinates review. EERE then ensures DOE has approved the FOA concept, coordinates congressional notification (if applicable), and publishes the FOA. The FOA Development Phase ends with limited post-publication activities, including an optional webinar, a question and answer forum for potential applicants, and any necessary modifications to the FOA.

The additional financial assistance-related processes below can be found in separate SOPs:

- **Evaluation and Selection:** The process for evaluating and selecting applicant proposals under a competitive FOA.
- **Award Negotiations:** EERE conducts activities to resolve key issues with selected applicants (now referred to as selectees) and negotiates awards.
- **Active Project Management:** EERE utilizes Active Project Management (APM) to support the goal of achieving the highest possible mission impact for the taxpayer investment.
- **GFO Closeout SOP:** EERE closes out projects in a timely manner and makes the results of research publicly available.

Applicability: The FOA Development SOP applies to all EERE competitive FOAs. This SOP does not apply to formula grants or non-competitive actions (e.g., Determination of Non-Competitive Financial Assistance (DNFAs)).

Future Updates: The EERE Change Control Board manages changes to this SOP and related templates (for applicability and process, see the EERE OBO Directives SOP). The Change Control Board considers input from subject matter experts from the EERE Technology Offices, Operations Offices, the Golden Field Office (GFO) and the National Energy Technology Laboratory (NETL) to ensure that the process documented in the FOA SOP continues to improve and reflect the business practices that improve efficiency and add value to EERE staff.

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## II. Abbreviations

ASEE	Assistant Secretary of Energy Efficiency & Renewable Energy
CI	Office of Congressional and Intergovernmental Affairs (DOE)
CFO	Chief Financial Officer
CO	Contracting Officer
COI	Conflict of Interest
CS	Contract Specialist (NETL)
DAS	Deputy Assistant Secretary
DOE	Department of Energy
DNFA	Determination of Non-competitive Financial Assistance
DRE	Determination of Restricted Eligibility
EERE	Energy Efficiency & Renewable Energy
FAO	Financial Assistance Office (GFO)
FFRDC	Federally Funded Research and Development Center(s)
FOA	Funding Opportunity Announcement
FRD	FOA Requirements Document
GFO	Golden Field Office
GMS	Grants Management Specialist (GFO)
HCA	Head of Contracting Activity
HQ	Headquarters
IP	Intellectual Property
IPLD	Intellectual Property Law Division (GFO)
MA	Office of Management (DOE)
MA-62	Office of Contract Management (DOE)
MYPP	Multi-Year Program Planning
NDA	Non-Disclosure Acknowledgement
NEPA	National Environmental Policy Act
NETL	National Energy Technology Laboratory
NCO	NEPA Compliance Officer (GFO)
OBO	Office of Business Operations (EERE)
OGC	Office of General Counsel (DOE)
PA	Office of Public Affairs (DOE)
PCN	Priority Congressional Notification
PMCO	Project Management Coordination Office
PDAS	Principal Deputy Assistant Secretary (performs ASEE role in absence of political appointee)
POC	Point of Contact
SO	Selection Official
SOP	Standard Operating Procedure(s)
TM/PM	Technology Manager/Project Manager
TPO	Technical Project Officer

### III. Roles and Responsibilities

The roles and responsibilities identified in the table below provide a high-level overview of the responsibilities for each role as they relate to FOA development. This is only an overview and does not reflect every step required of each role. For more information, see the relevant sections within this SOP.

Roles and Responsibilities	
<b>Assistant Secretary for EERE (ASEE)</b>	<ul style="list-style-type: none"> <li>• Receives MA FOA Cover Sheet briefing from Technology Office Director and FOA Manager</li> <li>• Briefs DOE Review Team and/or MA on the FOA concept</li> </ul>
<b>Deputy Assistant Secretary (DAS)</b>	<ul style="list-style-type: none"> <li>• Approves annual FOA List for his/her sector</li> <li>• Consults on the MA FOA Cover Sheet when requested by Technology Office Director</li> <li>• Concurs on Determinations of Restricted Eligibility (DREs)</li> <li>• Reviews FOA-specific Cost Share Reduction or Waiver Determinations</li> <li>• Approves public announcements for FOA publication</li> </ul>
<b>DAS Chief of Staff</b>	<ul style="list-style-type: none"> <li>• Works with Office of DAS-O and ASEE to schedule FOA briefings</li> <li>• Submits final MA FOA Cover Sheet to Office of DAS-O</li> </ul>
<b>Technology Office Director</b>	<ul style="list-style-type: none"> <li>• Identifies all FOAs to be issued and included on the annual FOA list</li> <li>• Assigns the FOA Manager</li> <li>• Reviews and approves the MA FOA Cover Sheet and the FRD</li> <li>• Reviews and accountable for the Notice of Intent (NOI) and the FOA</li> <li>• May review and edit public announcement</li> <li>• Serves as the Selection Official, with some limited exceptions</li> </ul>
<b>Selection Official</b>	<ul style="list-style-type: none"> <li>• Reviews and approves the FRD</li> </ul>
<b>Operations Supervisor</b>	<ul style="list-style-type: none"> <li>• Ensures MA Work Plan data is accurate and ready for submission to MA on a weekly basis</li> </ul>
<b>FOA Manager<sup>1</sup></b>	<ul style="list-style-type: none"> <li>• Leads development of FOA concept</li> <li>• Develops FOA schedule</li> <li>• Leads development, review, and approval of FRD and FOA</li> <li>• Organizes and leads FOA Strategy Meeting with representatives from business offices</li> <li>• Drafts key documents throughout the FOA process, including RFI, MA FOA Cover Sheet, FRD, NOI, and FOA. Leads development,</li> </ul>

<sup>1</sup> The DOE Merit Review Guide for Financial Assistance (2017) references a "Federal Merit Review Chairperson." Under the current EERE policy, the FOA Manager assumes the duties of the Federal Merit Review Chairperson along with other duties. To reflect current EERE Policy, this document refers to the FOA Manager. The FOA Manager role is typically performed by a Technology Manager or Program Manager.



<b>Roles and Responsibilities</b>	
	<p>review, and approval of FOA-related documents.</p> <ul style="list-style-type: none"> <li>• Leads development, review, and approval of supplemental documents (if required), including FOA-specific Cost Share Reduction or Waiver Determination, Determination of Restricted Eligibility and FOA-specific Evaluation and Selection Plans</li> <li>• Works closely with Technology Office Communications Lead and EERE Communications team to develop (and obtain approval for) public announcements and congressional notifications (and related materials) in advance of FOA publication</li> </ul>
<b>Technical Project Officer (TPO)<sup>2</sup></b>	<ul style="list-style-type: none"> <li>• Performs FOA Manager tasks as delegated by the FOA Manager</li> <li>• Creates Requisitions, as needed</li> </ul>
<b>DOE Business Clearance</b>	<ul style="list-style-type: none"> <li>• Sends an annual request to the Head of Contracting Activity (HCA) for upcoming EERE FOAs and selects FOAs for review</li> <li>• Reviews selected FOAs and provides comments to the Contracting Officer for incorporation into the FOA</li> <li>• If selected for review, provides concurrence before the FOA may be published</li> </ul>
<b>Head of Contracting Activity (HCA)</b>	<ul style="list-style-type: none"> <li>• As the senior contracting official, has ultimate responsibility for ensuring that management systems, awards, and administration of financial assistance are in accordance with laws, regulations, and DOE policies</li> <li>• Ensures that agency policies and procedures are implemented</li> <li>• Establishes review and approval levels for financial assistance actions</li> <li>• Appoints Contracting Officers</li> <li>• Designates Selection Officials for FOAs under \$50 million<sup>3</sup> (Senior Procurement Executive designates for FOAs at or above \$50 million)</li> <li>• Reviews new FOAs if the total value is over \$25 million</li> <li>• Signs the Section 301 Congressional Notification letter, if applicable<sup>4</sup></li> </ul>
<b>Contracting Officer (CO)</b>	<ul style="list-style-type: none"> <li>• Authorized to obligate government funds for financial assistance and execute awards on behalf of DOE</li> <li>• Advises FOA Team on award type, FOA, evaluation, selection, and finalization of the award</li> <li>• Responsible for business management and non-program aspects of the financial assistance process</li> </ul>

<sup>2</sup> In some cases, the FOA Manager may also serve the role as Technical Project Officer.

<sup>3</sup> To calculate the \$50M threshold, both DOE share and cost share are included.

<sup>4</sup> At NETL, delegated to the Procurement Director. At GFO, delegated to the Financial Assistance Office Director for FOAs < \$25M.

<b>Roles and Responsibilities</b>	
	<ul style="list-style-type: none"> <li>• Ensures the integrity of the competitive procurement process</li> <li>• Serves as a focal point for dissemination and interpretation of financial assistance regulations, policies, and procedures</li> <li>• Concurs on FRD and the Evaluation and Selection Plan</li> <li>• Participates in the FOA Strategy Meeting</li> <li>• Coordinates with Legal Counsel regarding any legal issues with FOA</li> <li>• Coordinates any Business Clearance or Head of Contracting Activity review (if applicable) and coordinates any related edits to the FOA</li> <li>• Reviews and concurs on FOA-specific Cost Share Reduction or Waiver Determinations and Determinations of Restricted Eligibility (if applicable)</li> <li>• Reviews all applicable congressional notifications</li> <li>• Publishes the RFI, NOI, FOA and any FOA Modifications</li> <li>• Responsible for the official FOA and award records in STRIPES and ensures the GMS has all necessary documents for the official record and that they are uploaded to STRIPES</li> </ul>
<b>Grants Management Specialist (GMS)/Contract Specialist (CS)</b>	<ul style="list-style-type: none"> <li>• Supports the Contracting Officer in all activities</li> <li>• Primarily responsible for record-keeping and publication of important FOA information, including maintaining the official FOA record in STRIPES, publishing announcements in Exchange and on grants.gov, and ensuring signed COI/NDAs are in official record</li> <li>• Participates in the development of the FOA, including review of FRD and related documents</li> <li>• Participates in the FOA Strategy Meeting</li> <li>• Prepares and sends required Congressional Notifications</li> <li>• Coordinates and publishes responses to all applicant questions to the FOA</li> </ul>
<b>Legal Counsel<sup>5</sup></b>	<ul style="list-style-type: none"> <li>• Provides legal advice to the FOA Team throughout development of the FOA</li> <li>• Prepares the FOA-specific Selection Official Designation Memorandum, if blanket designations cannot be used</li> <li>• Participates in the FOA Strategy Meeting</li> <li>• Advises the FOA Team with respect to the Evaluation and Selection Plan and any proposed non-standard approaches</li> <li>• Concurs on FRD and Evaluation and Selection Plan</li> <li>• Reviews and concurs on RFI, NOI, FOA-specific Cost Share</li> </ul>

<sup>5</sup> For purposes of this SOP, Legal Counsel refers to Field Counsel or GFO's Office of Chief Counsel. It does not refer to General Counsel, which is at HQ. The Office of General Counsel (OGC) role in this FOA SOP process is limited, except where Business Clearance is involved.

<b>Roles and Responsibilities</b>	
	<p>Reduction or Waiver Determinations (if applicable), Determinations of Restricted Eligibility (if applicable), FOA and FOA Modifications</p> <ul style="list-style-type: none"> <li>• Advises on responses to applicant questions or clarification of the FOA requirements (e.g. eligibility) as requested by the CO</li> </ul>
<b>Intellectual Property (IP) Counsel</b>	<ul style="list-style-type: none"> <li>• Leads development of an IP Strategy for the FOA</li> <li>• Provides advice on IP issues throughout the FOA process</li> <li>• Participates in the FOA Strategy Meeting</li> <li>• Provides IP language to include in the FOA</li> <li>• Prepares or adapts any required IP forms for the FOA</li> </ul>
<b>National Environmental Policy Act (NEPA) Staff</b>	<ul style="list-style-type: none"> <li>• Participates in the development of a NEPA strategy for the FOA</li> <li>• If the FOA clearly intends to fund <i>only</i> projects limited to certain administrative activities, the NEPA Compliance Officer (NCO) may categorically exclude the entire FOA or entire topic areas from further NEPA review</li> <li>• Provides NEPA language and any required NEPA forms for the FOA</li> <li>• Participates in the FOA Strategy Meeting</li> </ul>
<b>Technology Office Communications Lead</b>	<ul style="list-style-type: none"> <li>• In consultation with the FOA Manager, coordinates public announcement strategy with the EERE Communications POC</li> <li>• Works with the FOA Manager in planning, drafting, documenting and obtaining approval for a public announcement</li> <li>• Updates the EERE policy calendar, as needed</li> </ul>
<b>EERE Communications POC</b>	<ul style="list-style-type: none"> <li>• Provides support and advice to the Technology Office Communications Lead and FOA Manager throughout all public announcement processes and edits public announcements, as needed</li> <li>• Sends green light emails for publishing FOAs, and sending congressional notifications (if applicable)</li> <li>• Publishes approved public announcements on EERE website</li> </ul>

## IV. Initial FOA Planning

*Schedule Note: Initial planning will take place from approximately February through May. The final Annual FOA List should be complete no later than the end of August. For the most up to date deadlines for the current year, refer to the applicable FY FOA Memo and the latest EERE Business Calendar.*

### A. FOA Concept Development

Each Technology Office will determine its own method for brainstorming FOA ideas, including, but not limited to:

- Technology Roadmaps
- Multi-Year Program Planning (MYPP)
- Overall Program Goals and Objectives
- Administration Priorities
- DOE and EERE Initiatives
- Stakeholder Inputs (e.g., Request for Information (RFI)<sup>6</sup>, Public Workshops<sup>7</sup>)
- Current Technology Office Portfolio
- Congressional Appropriations
- Congressional Direction
- State of Technology
- "FOA Fest" planning meetings

### B. FOA Scenario Planning

Each Technology Office must respond to an annual information management (IM) request for potential FOAs for the upcoming fiscal year. In recent years, Congress has not enacted a final budget for EERE until the second or third quarter of the fiscal year, so the FOA Scenario Planning IM is the Technology Office's projection of what FOAs they will publish under varying budget scenarios (e.g., the Presidential Request level, the House Mark, the Senate Mark, or a full-year continuing resolution). This information may be collected as part of the Budget Execution Spend Plan IM or separately.

### C. Annual FOA List

Using the results of the FOA Scenario Planning IM, each EERE sector will identify all

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<sup>6</sup> RFIs that are intended to inform the development of a FOA must have DOE Approval prior to publishing (see Section V DOE Review and Approval Process). For more information on RFIs (whether associated with a FOA or not) refer to the [RFI Template](#).

<sup>7</sup> All Public Workshops must be published to the Federal Register in addition to EERE Exchange. See [Federal Register Process \(Workshops\)](#) for more information.

of its proposed FOAs for the year and will rank them in priority order. The aggregated list will serve as a basis for workload planning and strategy planning for the DAS, Technology Office Director, and the Office of Business Operations (OBO).

**Step 1:** The Technology Office inputs FOA information as specified in the IM request (see Section IV.B FOA Scenario Planning).

**Step 2:** The Technology Office Director assigns a FOA Manager to each FOA on the list.

**Step 3:** PMCO creates an Annual FOA List based on the information in the IM results and routes to each sector DAS.

**Step 4:** **APPROVAL:** The DAS reviews the list and provides approval for his/her sector.

**Step 5:** PMCO distributes the approved Annual FOA List to GFO Financial Assistance Office and to NETL.

#### **D. Business Clearance Review Initiated**

**Step 1:** Business Clearance sends an annual request to the Head of Contracting Activity (HCA) for upcoming FOAs.

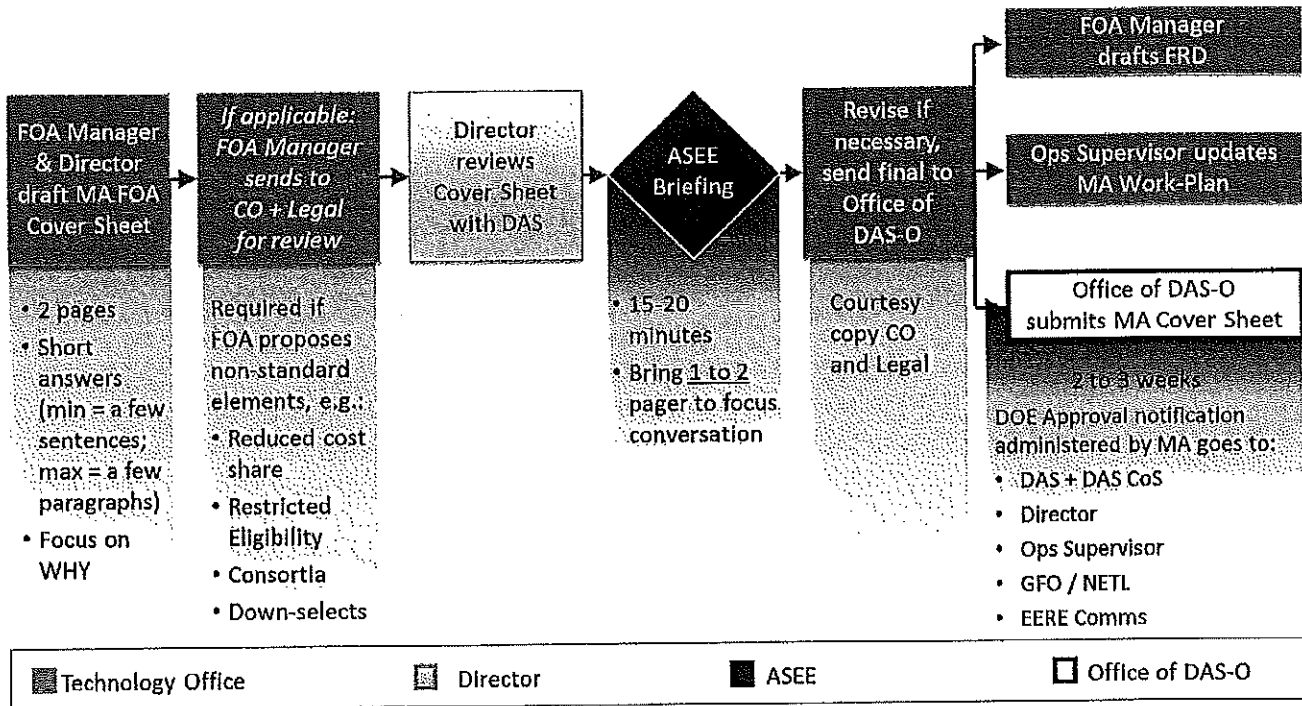
**Step 2:** The HCA sends high level FOA information (e.g. Technology Office, total funding amount, title of FOA, brief description, etc.) as specified in the Business Clearance request.

**Step 3:** Business Clearance determines which FOAs to review. For the complete Business Clearance process, see:  
<https://www.energy.gov/sites/prod/files/2018/02/f49/FY18%20Acquisition%20Guide%20FY2018%20v3.pdf#chapter71.1>.

#### **V. DOE Review and Approval Process**

Purpose: The DOE approval process was instituted DOE-wide in 2017 to ensure that all financial assistance actions, whether competitive (FOAs) or non-competitive (DNFAs), align with the Administration's energy priorities. The process is facilitated by the DOE Office of Management (MA). The approval requirement is not specific to EERE, rather, it applies to any office that conducts financial assistance actions across the DOE complex (e.g., Office of Electricity, Office of Fossil Energy, Office of Science, ARPA-E, etc.).

DOE Review and Approval Process (Figure 1)



## A. MA FOA Cover Sheet

**Step 1:** The FOA Manager drafts the MA FOA Cover Sheet with input from the Technology Office Director and other Technology Office staff, as appropriate.

- If the FOA will include non-standard elements (e.g., cost share below the statutory minimum, restricted eligibility, consortia model, down-selection process, etc.), the FOA Manager must submit the MA FOA Cover Sheet for review to the CO and Legal Counsel that typically support the Technology Office. The CO and Legal Counsel review should occur before the MA FOA Cover Sheet is submitted to the DAS.
- The purpose of the CO and Legal Counsel review is to identify potential legal or contracting issues that could impact the proposed approach and provide early notification of non-standard elements that require more time to address than the standard review process allows (e.g., cost share waiver).

**Step 2:** The Technology Office Director consults with the DAS on the MA FOA Cover Sheet content. The DAS ensures the FOA concept is consistent with ASEE priorities, the President's budget request, and/or Congressional direction. The following criteria may be considered, among other factors:

- Does the FOA support EERE or Technology Office goals?
- Is the FOA consistent with the submitted budget?

- Are there any obstacles to issuing the FOA?

**Step 3:** The DAS Chief of Staff schedules a briefing with ASEE on the FOA concept. Typically, the ASEE sets aside a few hours each month for FOA briefings.

**BEST PRACTICE:** Schedule a briefing time as soon as the FOA Manager begins drafting the MA FOA Cover Sheet. ASEE has limited schedule availability, so early scheduling minimizes the risk of schedule delays.

## B. ASEE Briefing

Purpose: The FOA briefing to ASEE allows the FOA Manager and Technology Office Director to explain the FOA concept and the rationale for choosing the FOA topic(s). It equips ASEE with the information needed to justify the FOA during the review process.

**Step 1:** Prior to the meeting, the Technology Office Director determines the format of the briefing (i.e., whether to just walk through the document itself or bring a presentation to focus the conversation), and prepares his/her staff accordingly.

**Step 2:** During the meeting, the Technology Office Director and FOA Manager brief ASEE on the FOA and answer ASEE questions.

**Step 3:** At the end of the meeting, ASEE determines whether the FOA concept can be submitted to MA as-is, or whether the Technology Office must revise certain information. Additionally, ASEE directs the Technology Office on any follow-up actions (e.g., coordination with another DOE element).

**Step 4:** The FOA Manager revises the MA FOA Cover Sheet, if applicable.

**Step 5:** The Sector DAS Chief of Staff sends the final MA FOA Cover Sheet (and presentation, if used) to the designated representative in the Office of DAS-O, the CO, and Legal Counsel.

## C. Submit FOA Concept to MA

*Schedule Note: DOE approval or rejection of the FOA concept takes approximately 2 to 3 weeks from ASEE briefing date.*

**Step 1:** The designated representative in the Office of DAS-O submits the MA FOA Cover Sheet to the MA FOA mailbox.

**Step 2:** MA coordinates the DOE review and approval process, including the ASEE briefing of the FOA concept to the DOE Review Team.

**Step 3:** DOE Review Team either approves or rejects the FOA concept. MA coordinates notification of decision to EERE.

- If rejected, the Technology Office cancels the FOA and redirects the funds for a different purpose.
- If approved without comments, the Technology Office continues with the FOA process.
- If approved with comments, the Technology Office incorporates the feedback and resubmits the MA FOA Cover Sheet to the Office of DAS-O.

#### D. DOE Approval

**Step 1:** MA notifies ASEE, ASEE Chief of Staff, and Office of DAS-O by email that the FOA has been approved.

**Step 2:** Office of DAS-O forwards the approval to the following people:

- Sector DAS and his/her Chief of Staff
- Technology Office Director
- Operations Supervisor
- FAO Director (GFO or NETL)
- EERE Communications POC

**Step 3:** The Operations Supervisor confirms the FOA is listed on the MA Work Plan spreadsheet, so that the Office of DAS-O may begin reporting the FOA's progress via the weekly MA Work Plan submission (see Section V.E below).

**Step 4:** The FOA Manager requests either the NOI sensitivity check (see Section VII.D NOI), or if the FOA is not utilizing an NOI, the FOA Manager requests the FOA green light (see Section VII.B Green Light to Publish FOA).

#### E. MA Work Plan

Purpose: The Technology Office inputs all DOE-approved FOAs into the MA Work Plan, which is used to report the progress of approved FOAs to MA on a weekly basis.

**Step 1:** On a weekly basis, the designated representative in the Office of DAS-O sends a reminder to Operations Supervisors to update the MA Work Plan spreadsheet with any new information.

**Step 2:** The Operations Supervisor updates the MA Work Plan spreadsheet with any new information (e.g., new planned dates, actual dates, etc.).



**Step 3:** The designated representative in the Office of DAS-O submits the updated Work Plan to MA on a weekly basis.

## F. Major Changes to DOE-Approved FOAs

For FOAs that already have DOE approval, certain changes require additional consideration before the Technology Office can proceed with the change.

The following changes require a new submission to MA (proceed to Section V.A MA FOA Cover Sheet):

- Change to Overall FOA Concept
- TRL Increase

The following changes require ASEE approval, who will determine whether an updated submission to MA is required:

- Increase of \$500,000 or more in DOE Funding
- TRL Decrease
- Alternate Selections

For any other changes, the Operations Supervisor simply updates the MA Work Plan (see Section V.E MA Work Plan, above).

## G. Special Considerations for MA Cover Sheet (If Applicable)

### i. Determination of Restricted Eligibility (DRE)

Standard Practice: The EERE standard eligibility language lists the entities eligible to apply for EERE FOAs (see Section III.A of the FOA Template).

Exceptions: The EERE standard eligibility language should not be modified except in the following circumstances:

- Where there is an approved Determination of Restricted Eligibility
- Where the statutory authority for the FOA includes specific eligibility language. In this instance, the statutory eligibility language replaces the standard EERE eligibility section of the FOA, and a DRE is not necessary.
- Where the FOA restricts FFRDCs or National Laboratories from applying as a prime or subrecipient due to an actual or appearance of a conflict of interest, a DRE is not required; however, the rationale for excluding the Lab(s) would need to be stated in the FRD. For example, it would be appropriate to restrict a Lab from applying to the FOA without a DRE where:
  - The Lab participated in the development of the FOA concept;

- The Technology Office intends to make a specific Lab available to selectees for technical assistance; or
- The Technology Office intends to have a Lab provide some form of project verification or review for the projects selected under the FOA.

**Step 1:** The FOA Manager discusses and finalizes a list of eligible entities with the Technology Office Director, DAS, CO, and Legal Counsel while drafting the MA FOA Cover Sheet (see Section V.A).

**Step 2:** The CO and Legal Counsel determine if a DRE is necessary for the proposed applicant pool for the FOA. If yes, proceed to Step 3.

**Step 3:** The FOA Manager prepares the draft DRE and supporting justification (see DRE Template).

**Step 4:** The GMS/CS, CO, and Legal Counsel review the DRE.

- The CO determines if additional reviews are necessary, based on the procurement review matrix<sup>8</sup>.
- If necessary, the FOA Manager revises the DRE and re-routes for review.

**Step 5: CONCURRENCE**

Once edits from the GMS/CS, CO, and Legal Counsel are incorporated, the Technology Office Director, CO, Legal, and DAS concur by signing the DRE.

**Step 6: APPROVAL**

The FOA Manager sends the DRE to the approver for review, and incorporates any comments from that review. The DRE requires approval from one level above the Contracting Officer<sup>9</sup>. For GFO, the Financial Assistance Division Director approves the DRE. For NETL, the Procurement Director approves the DRE.

**Step 7:** Once the DRE is approved, the FOA Manager sends the signed document to the GMS/CS and incorporates the eligibility language into the draft FOA. DREs must be approved before the CO publishes restricted eligibility language in the FOA.

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<sup>8</sup> This is an internal process specific to the Golden Field Office (see Review Matrix tab of the SWEET). NETL Contract Specialists shall follow the guidance related to this topic in the appropriate Best Practices Guide.

<sup>9</sup> See 2 CFR 910.126(b)(3) Competition

## II. Cost Share Reduction and Waiver Determinations

Standard Practice: Section 988(b) of the Energy Policy Act of 2005 (EPACT 2005, Pub. L. 109-58, requires recipients to provide a specified percentage of cost share depending on the type of project (i.e., ≥50% demonstration, ≥20% research, 0% education/outreach).

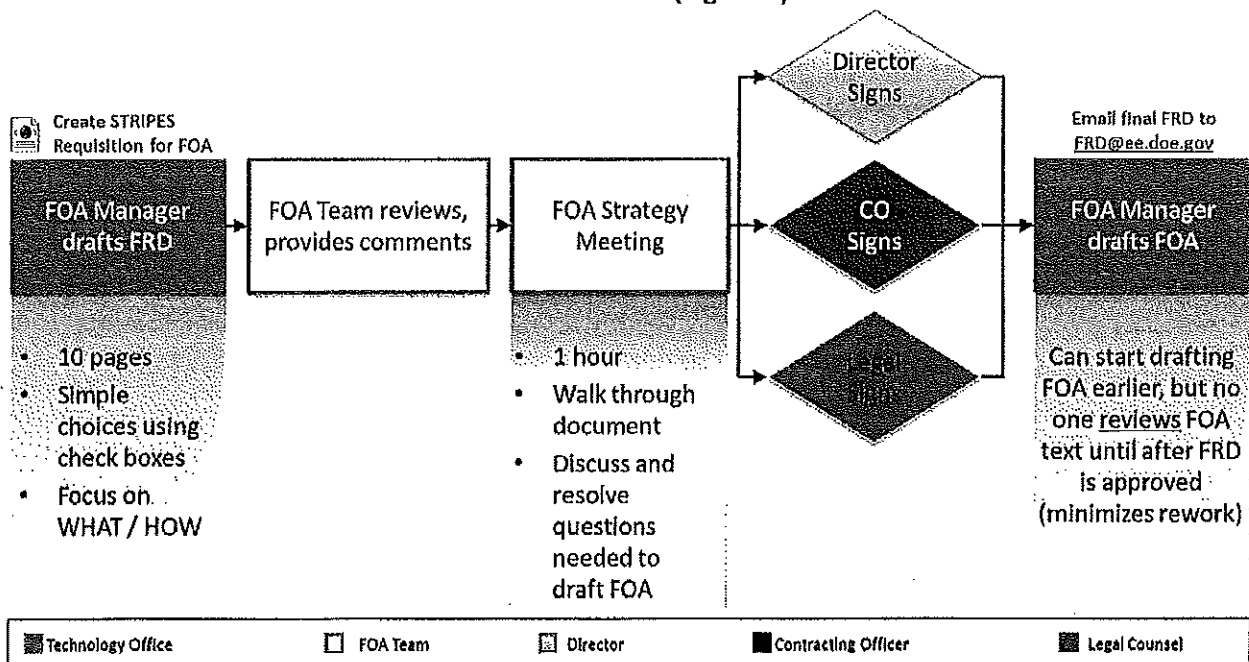
Exceptions:

- If available, apply the blanket EERE Cost Share Reduction Determination. The FOA Manager should check with Legal Counsel to determine if a current blanket EERE Cost Share Reduction Determination is in effect at the time of FOA development.
- Require cost share above the statutory minimums.
- Request a FOA-specific Cost Share Reduction Determination or FOA-specific Cost Share Waiver (see Cost Share Waiver/Reduction SOP)

## VI. FRD Process

Purpose: The FOA Requirements Document (FRD) establishes approved parameters for FOA development, evaluation, and selection. The FRD review and approval process generates mutual understanding amongst all members of the FOA Team (see Section VI.A FOA Team) and the Technology Office Director as to how the FOA will be developed and executed. Once the FRD is concurred with and approved by all appropriate stakeholders, the FOA Manager adds the specific, approved decisions to the FOA template.

FRD Process (Figure 2)



## A. FOA Team

The FOA Team includes the following:

- FOA Manager
- Co-FOA Manager, TPO, and/or support service contractors (as applicable)
- Contracting Officer (CO)
- Grants Management Specialist/Contract Specialist (GMS/CS)
- Legal Counsel
- IP Counsel
- NEPA Staff

**Step 1:** The Technology Office Director assigns the FOA Manager (see Section IV.C Annual FOA List) and may assign additional FOA Team members or delegate to the FOA Manager to assign additional FOA Team members.

**Step 2:** Upon receiving the MA FOA Cover Sheet (see Section V.A, MA FOA Cover Sheet), the Lead CO (or Branch Chief for GFO) assigns a CO and GMS/CS<sup>10</sup> to the FOA.

**Step 3:** The CO communicates all workload assignments to the FOA Manager.

**Step 4:** The FOA Manager ensures there is a current blanket COI/NDA form on file<sup>11</sup> for all FOA Team members (see Standard Evaluation and Selection Plan).

## B. FOA Number Assigned

Purpose: EERE uses STRIPES, a DOE web-based information technology system, as the official FOA and award record. STRIPES is used to award and administer DOE acquisition and financial assistance instruments. The official FOA record in STRIPES contains all relevant documentation pertaining to the development, publication and modification of FOAs.

**Step 1:** The FOA Manager creates a requisition in STRIPES for the FOA (see the STRIPES User Guide).

**Step 2:** GMS/CS uses the requisition to create the STRIPES FOA Number (see the STRIPES User Guide).

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<sup>10</sup> This role is the Grants Management Specialist (GMS) at the Golden Field Office and is the Contract Specialist (CS) at NETL.

<sup>11</sup> EERE employees and EERE support service contractors can complete a single blanket COI/NDA form that will apply to all evaluation and selection activities, across multiple FOAs.

**Step 3:** GMS/CS emails the FOA number to the FOA Manager and the CO for use on the FRD as well as future documentation.

**Step 4:** FOA Manger sends the STRIPES FOA number to the Operations Supervisor for use on the MA Work Plan spreadsheet.

**Step 5:** If the FOA is later cancelled (e.g., due to DOE rejection or otherwise), the GMS/CS cancels the FOA number in STRIPES, and the FOA Manager cancels the requisition.

### C. Draft FRD

*Schedule Note: FRDs must be approved by the end of October. For current year deadlines, refer to the latest FOA Memo or EERE Business Calendar.*

The FOA Manager drafts the FRD using the FOA Requirements Document (FRD) template. Depending on what the FOA Manager selects in the FRD, more in-depth discussion and documentation may be necessary. Refer to the following sections of the SOP for more information:

- Determination of Restricted Eligibility (see Section V.G.i)
- Cost Share Reductions or Waivers (see Section V.G.ii)
- Selection Official Designation (see Evaluation and Selection SOP)
- Major changes to the EERE Standard Evaluation and Selection Plan (see Evaluation and Selection SOP)
- Property<sup>12</sup>

Through Section II.B of the FRD, the Technology Office documents the planned evaluation and selection process for the FOA, including selecting options where applicable, and obtains the necessary concurrences and approvals. For further information on the evaluation and selection process, and how to complete this section of the FRD, refer to the Evaluation and Selection SOP.

### D. FOA Strategy Meeting

Purpose: To involve all members of the FOA Team (see Section VI.A FOA Team) in making key decisions relevant to the entire FOA process. It is an opportunity for the FOA Team to collaboratively develop the FRD by providing expert advice and counsel in their subject matter areas.

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<sup>12</sup> If you expect large equipment purchases on the FOA awards or if the FOA is for large, demonstration-scale projects, the best practice is to discuss a strategy for property disposition at the FRD stage.

**Format:** The FOA Strategy Meeting should be a single meeting. FOA Team members should participate in the FOA Strategy Meeting in-person or via teleconference if in another duty location.

**Step 1: BEFORE THE MEETING**

The FOA Manager schedules a FOA Strategy Meeting with the entire FOA Team.

**Step 2:** The FOA Manager distributes the approved MA FOA Cover Sheet and draft FRD to the FOA Team for review *at least 3 business days* before the meeting.

**Step 3:** The FOA Team reviews the FRD and comes to the meeting prepared to discuss their comments.

**BEST PRACTICE:** FOA Team members send red-lined comments to FOA Manager prior to the meeting. FOA Manager consolidates all comments into one document for use at the meeting<sup>13</sup>.

**Step 4: DURING THE MEETING**

The FOA Manager presents the FRD to the FOA Team and seeks feedback. The discussion should focus on the rationale for and the proposed implementation of each approach selected. The meeting objectives are to:

- Ensure the FOA Team has a complete understanding of the FOA and critical elements of the FRD
- Ensure the CO, GMS/CS, and Legal Counsel have a complete understanding of how the evaluation and selection process will be conducted, particularly if there are any changes to the standard EERE Evaluation and Selection Plan (see Evaluation and Selection SOP)
- Allow Legal Counsel to determine if a new Selection Official designation is needed and review any non-standard approaches (see Evaluation and Selection SOP)
- Allow IP Counsel to develop an IP Strategy for the FOA
- Allow NEPA staff to develop a NEPA Strategy for the FOA
- Establish agreement and commitment of all team members to complete all FOA activities in accordance with the FOA schedule, as described in Section VI of the approved FRD

## E. FRD Approval

**Step 1:** The FOA Manager resolves all FOA Team comments and incorporates any

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<sup>13</sup> To combine comments from multiple documents automatically in Word, select the "Review" menu in the ribbon, click the "Compare" drop down button and select "Combine".

agreed upon outcomes and decisions from the FOA Strategy Meeting into a clean copy of the FRD for the Technology Office Director, CO, and Legal Counsel to sign. The FOA Manager must address all CO and Legal Counsel comments and edits prior to sending the FRD to the Technology Office Director for approval. Once the FOA Manager receives confirmation from the CO and Legal that their comments have been addressed, proceed to Step 2.

**Step 2: TECHNOLOGY OFFICE DIRECTOR REVIEW**

The FOA Manager meets with the Technology Office Director to discuss the FRD. If the FRD is modified as a result of the Technology Office Director's review, the FOA Manager must consult with the CO and Legal Counsel on the changes before the Technology Office Director signs the FRD.

**Step 3: TECHNOLOGY OFFICE DIRECTOR APPROVAL**

The Technology Office Director approves the FRD after any necessary changes are incorporated.

**Step 4: CO & LEGAL CONCURRENCE**

CO and Legal sign the FRD to indicate final concurrence.

**Step 5:** The FOA Manager sends the MA FOA Cover Sheet and signed FRD to the following:

- CO
- GMS/CS
- Legal Counsel
- Technology Office Communications Lead

**F. FRD Modifications (IF APPLICABLE)**

If the FOA Manager contemplates changing an aspect of the FOA or Evaluation and Selection approach after the FRD has been signed, he/she should consult the [FRD Modification Template](#) to determine the appropriate course of action.

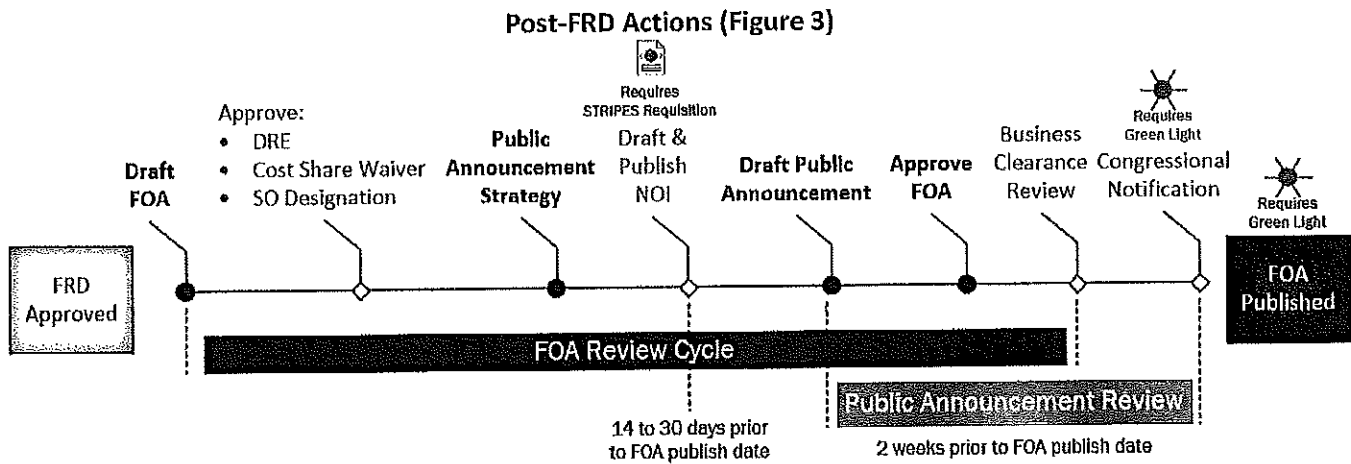
If an FRD Modification is required, the FOA Manager sends the final, approved FRD Modification to the following people:

- CO
- GMS/CS
- Legal Counsel

## VII. FOA Process

*Schedule Note: FOAs must be ready for publication no later than mid-December. For the current year deadlines, refer to the latest FOA Memo or EERE Business Calendar.*

All the actions in Figure 3 (below) can take place concurrently with the FOA review cycle (see Section VII.F FOA Review & Approval) and Public Announcement review cycle (see Section VII.E Public Announcement Review & Approval), but must be completed prior to FOA publication.



Actions shown in grey text in Figure 3 above are only applicable to some FOAs. See the relevant sections below to determine applicability:

Action	Required If...	More Details
Determination of Restricted Eligibility	Approved in FRD	Section V.G.i
FOA-Specific Cost Share Reduction or Waiver Determination	Approved in FRD	Section V.G.ii
New Selection Official Designation	Approved in FRD	Evaluation and Selection SOP
Notice of Intent	Approved in FRD	Section VII.D
Business Clearance Review	Selected by Business Clearance	Section VII.G
Congressional Notification	FOA ≥ \$50M (DOE + Cost Share)	Section VIII.A



**A. FOA Drafting**

The FOA Manager prepares the FOA using the FOA Template. Information and decisions in the approved MA FOA Cover Sheet and FRD are used to create the FOA. The FOA Manager should follow all instructional text in the FOA Template. Because the template follows the OMB-required format for FOAs, the template cannot be altered without input and concurrence from CO and Legal Counsel in order to ensure that proposed changes do not conflict with OMB requirements.

The final FOA will be reviewed by the Technology Office Director for conformance to the MA FOA Cover Sheet and FRD before publication (see Section VII.F FOA Review & Approval).

**B. Plan Public Announcement Strategy**

*Schedule Note: The FOA Manager must discuss the proposed FOA Announcement Strategy with the Technology Office Communications Lead six to eight weeks prior to the planned FOA publication date.*

**Step 1:** The FOA Manager discusses the following topics with the Technology Office Communications Lead:

- Public Announcement Strategy<sup>14</sup> (see Figure 4 below)
- Congressional and Stakeholder Engagement Approach
- Timing of NOI Publication (if approved in the FRD)
- Timing of FOA Publication

**Public Announcement Strategies (Figure 4)**

Stakeholder Email Blast	EERE Progress Alert	DOE Press Release
<ul style="list-style-type: none"> <li>• Default for NOIs<sup>15</sup></li> <li>• Distributed to a targeted email list by the Tech Office Comms Lead</li> <li>• For FOAs, can opt to send <i>in addition to</i> Progress Alert or Press Release</li> </ul>	<ul style="list-style-type: none"> <li>• Default for FOAs up to \$10M DOE Share</li> <li>• Distributed to an email list of 70,000+ general stakeholders and reporters in government and the clean energy industry</li> <li>• Posted on EERE website by EERE Comms</li> </ul>	<ul style="list-style-type: none"> <li>• Default for FOAs &gt; \$10M DOE Share</li> <li>• Distributed to hundreds of reporters nationwide and to EERE’s Progress Alert email subscribers</li> <li>• Posted by DOE Public Affairs</li> </ul>

**Step 2:** The Technology Office Communications Lead adds the FOA (and NOI, if applicable) to the Policy Calendar. For more information on the Communications process, refer to Public Announcement Approval Process.

<sup>14</sup> Note: No public announcement will be made if the subject matter is sensitive or otherwise does not require an announcement. The most common reason not to publicly announce a FOA would be due to political or internal sensitivity at the time the FOA is published.

<sup>15</sup> Stakeholder email blasts are also the default for RFIs.

**C. FOA Mailbox**

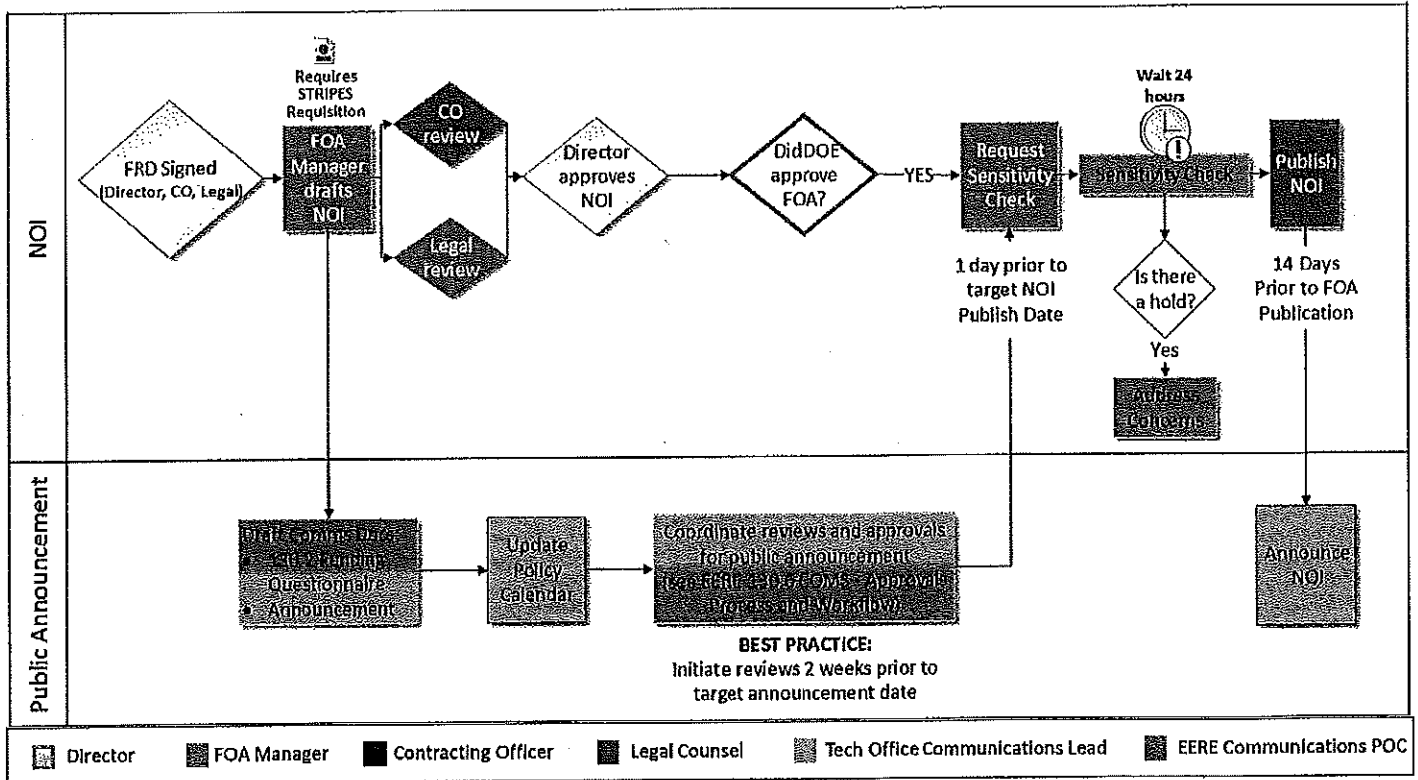
All applicant questions are received in the FOA mailbox once the FOA is published. The GMS/CS is responsible for creating the FOA Mailbox and sending the email address to the FOA Manager to include in the FOA document. Refer to [FOA Q&A Process](#) for detailed instructions<sup>16</sup>.

**D. Notice of Intent (NOI)<sup>17</sup>**

*Schedule Note: NOI publication should occur at least 14 calendar days prior to FOA publication; however, it is a best practice to publish an NOI 30 calendar days prior to FOA publication.*

**Purpose:** The NOI notifies the public and stakeholders of the Technology Office’s intention to publish a new FOA. This notification serves to heighten public awareness of the upcoming FOA, which allows potential applicants additional time to assemble project teams and prepare for applying. An NOI is highly encouraged, but not required. The content of the NOI should be cut and pasted from the draft FOA.

**NOI Process (Figure 5)**



<sup>16</sup> This document is GFO-specific. For NETL, refer to internal procedures.

<sup>17</sup> Note: RFIs follow the same public announcement approval process as NOIs, however, RFIs take place earlier in the FOA process (see Section IV.A Initial FOA Planning).

**Step 1:** Once the FRD is approved, the FOA Manager drafts the NOI using the Notice of Intent (NOI) Template.

**Step 2:** The FOA Manager (or his/her delegate) initiates a requisition in STRIPES for the NOI (see STRIPES User Guide).

**Step 3:** The GMS/CS creates an NOI number in STRIPES (see STRIPES User Guide).

**Step 4:** The FOA Manager sends the draft NOI to the Technology Office Director, CO, GMS/CS and Legal Counsel for review and comment.

- The GMS/CS, CO, and Legal Counsel review.
- The CO determines if additional reviews are necessary based on the local procurement review matrix<sup>18</sup>.

**Step 5:** While the draft NOI is in review, the FOA Manager coordinates with the Technology Office Communication Lead to draft and obtain approval for the NOI public announcement (typically a stakeholder email blast). See Approval Process Workflow and Review Levels for details.

**Step 6:** The FOA Manager incorporates any comments and edits from Step 4 into the draft NOI.

**Step 7: APPROVAL**

The Technology Office Director reviews the final NOI for publication.

- If the NOI is not approved for publication, the FOA Manager revises the NOI based on the Director's comments and re-submits it for Director's approval a second time.
- Any changes made as the result of the Technology Office Director's review also need CO and Legal concurrence.

**STOP** Wait for DOE Approval of the FOA before proceeding to the next step **STOP**

**Step 8:** At least 1 business day prior to publication, the FOA Manager, in coordination with the Technology Office Communications Lead and the EERE Communications POC, requests the sensitivity check<sup>19</sup> for the NOI.

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<sup>18</sup> This is an internal process specific to the Golden Field Office (see the Review Matrix tab of the SWEET). NETL Contract Specialists shall follow the guidance related to this topic in the appropriate Best Practices Guide.

<sup>19</sup> No explicit green light approval is required for NOIs, however, if a hold is requested during the 24 hour waiting period, the hold continues indefinitely until the holding office explicitly approves the publication of the NOI.



Wait 24 hours before proceeding to the next step



**Step 9:** If no holds are requested in Step 8, proceed to the Step 10. If a hold is requested, the FOA Manager contacts the EERE Communications POC to discuss ways to address the concern.

**Step 10:** The FOA Manager emails the GMS/CS and CO indicating the waiting period has expired and to proceed with publishing the NOI.

**Step 11:** To publish the NOI, the GMS/CS enters the NOI into STRIPES and into the Exchange system and routes the NOI to the CO for approval (see [STRIPES User Guide](#) and [Exchange User Guide](#)<sup>20</sup> for instructions).

**Step 12:** The CO approves the NOI in STRIPES and publishes the NOI in the Exchange system.

**Step 13:** The GMS/CS publishes the NOI Synopsis to Grants.gov via STRIPES and notifies the FOA Manager that the NOI has been published.

**Step 14:** The FOA Manager informs the Technology Office's Communications Lead that the NOI has been published and stakeholders should be notified.

## E. Public Announcement Review & Approval

**Purpose:** A public announcement of the FOA both increases awareness of the FOA for potential applicants and provides an opportunity to persuade average Americans to care about a particular initiative. Because the announcement is public-facing, EERE must:

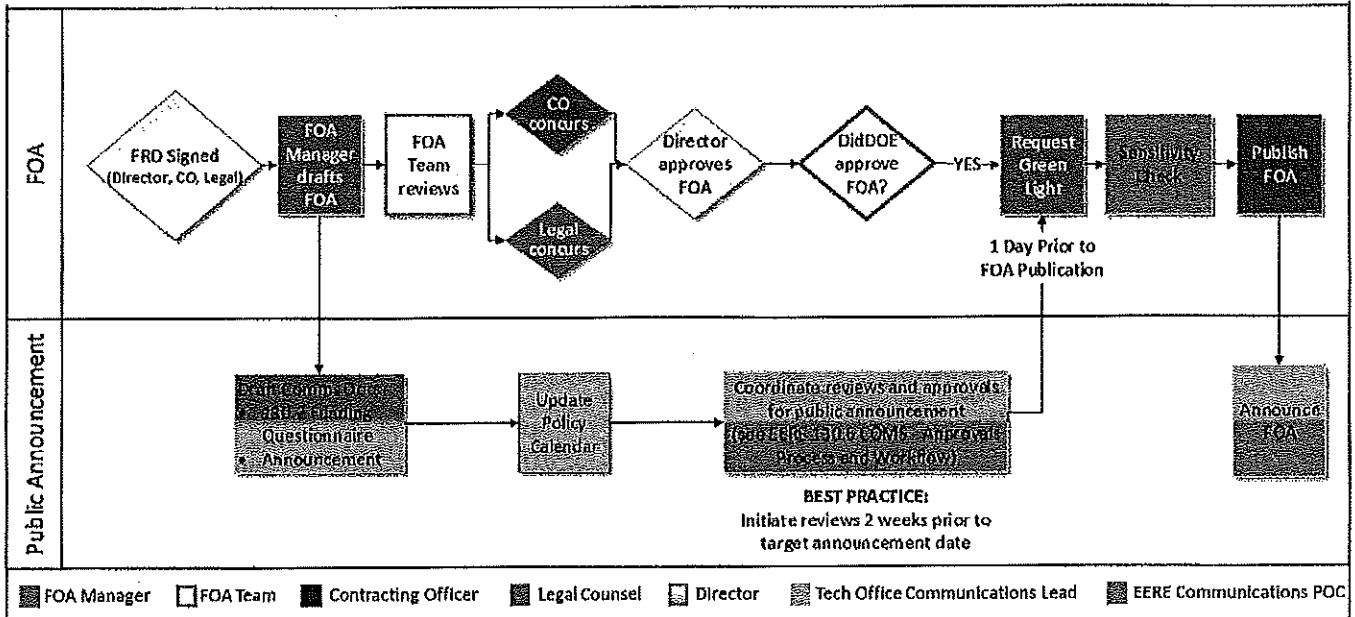
- Coordinate the FOA announcement into DOE's overall communication strategy and messaging.
- Ensure awareness and coordination across various DOE offices (including CI, CF, and PA) via sensitivity checks prior to going public.

The public announcement review and approval process takes place concurrently with the FOA review and approval process (see Figure 6 below).

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<sup>20</sup> Please note, you must log in to the Exchange systems to view user guides for EERE employees.

FOA Public Announcement Process (Figure 6)



**Step 1:** The Technology Office Communications Lead begins writing the communications materials (press release, progress alert, or stakeholder email). For assistance, see [Tips for Writing Public Announcements](#).

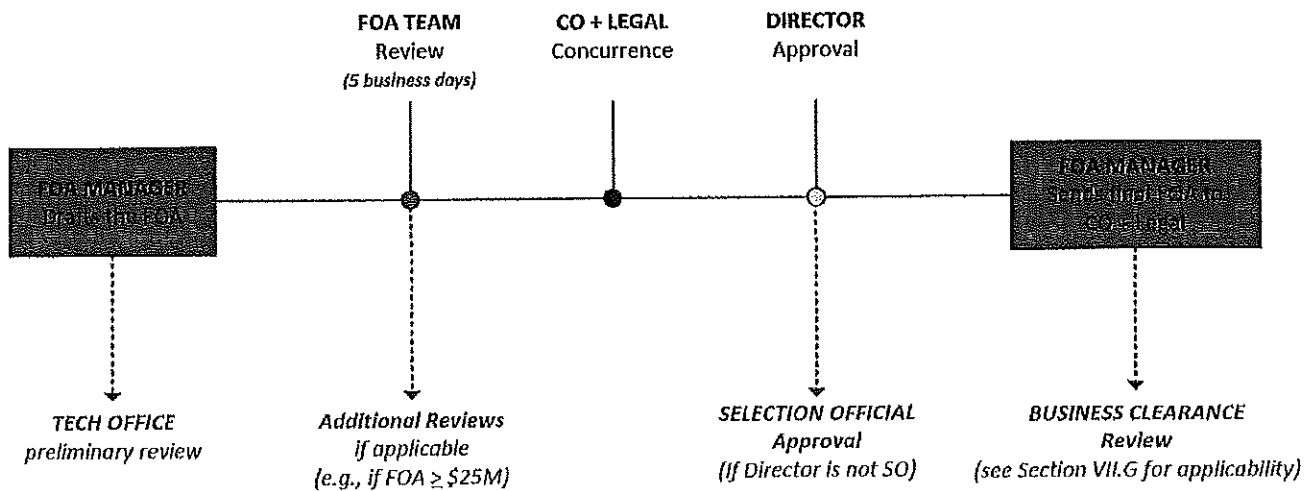
**Step 2:** The Technology Office Communications Lead updates the FOA details on the policy calendar.

**Step 3:** At least 2 weeks before the target FOA Announcement release date, the Technology Office’s Communications Lead initiates the public announcement review process. For details, see [Public Announcement Approval Process](#).

## F. FOA Review & Approval

**Purpose:** The FOA review process supports quality control, compliance, and data verification of the final FOA. Special emphasis is placed on ensuring that the FOA conforms to the approved FOA template as well as the approved MA Cover Sheet and FRD. Successive reviews by senior management are prescribed for FOAs above specified dollar thresholds per the local procurement review matrix. The FOA Manager is responsible for drafting the FOA and obtaining the required reviews and approvals.

**FOA Review and Approval Process (Figure 7)**



**Step 1:** After drafting the FOA (see Section VII.A), the FOA Manager coordinates any preliminary internal Technology Office reviews. This varies by Technology Office, so consult the Technology Office Director for specific requirements.

**Step 2:** If anything in the FOA does not reflect the decisions approved in the final MA Cover Sheet and FRD, the FOA Manager follows the guidance in Section VII of the FRD to determine what actions are necessary.

**Step 3:** The FOA Manager sends the draft FOA to the FOA Team, providing a *minimum of five business days* for review and comments.

**Step 4:** The CO will determine if additional reviews outside of the standard reviews are required based on the local procurement review matrix and coordinate those reviews<sup>21</sup>.

**Step 5:** The FOA Team reviews the draft FOA and provides feedback to the FOA Manager.

**Step 6:** The FOA Manager revises the FOA, maintaining a record of all comments and how they were addressed or resolved.

**Step 7:** After all comments are resolved, the FOA Manager sends the final draft FOA to CO and Legal.

<sup>21</sup> This is an internal process specific to the Golden Field Office (see the Review Matrix tab of the SWEET). NETL Contract Specialists shall follow the guidance related to this topic in the appropriate Best Practices Guide.

**Step 8: CONCURRENCE**

The CO and Legal Counsel review the final draft FOA and provide concurrence.

**Step 9:** If the Technology Office's internal policies require any additional reviews/concurrences on the program side prior to the Technology Office Director's review, the FOA Manager obtains those at this time. If anything changes due to these reviews, the FOA Manager re-sends the FOA to CO and Legal Counsel for final concurrence.

**Step 10:** The FOA Manager collects the final versions of the FOA Package (contents listed below) and sends the FOA Package to the Technology Office Director for review and approval.

FOA Package contents:

- Approved MA FOA Cover Sheet and FRD
- Final draft FOA concurred on by CO and Legal
- If applicable, also include:
  - Approved Determination of Restricted Eligibility (DRE) (see Section V.G.i)
  - Approved Cost Share Reduction or Waiver Determination (see Section V.G.ii)
  - Signed FRD Modification (see Section VI.F)

**Step 11: APPROVAL**

The Technology Office Director reviews the FOA Package. If the Director is not the Selection Official, the FOA Manager must also send the FOA to the Selection Official for approval.

- If the FOA conforms to the approved MA FOA Cover Sheet and FRD, the Technology Office Director approves the FOA and the FOA Manager can proceed to Step 12 below.
- If the FOA does not conform to the approved MA FOA Cover Sheet and FRD, the FOA Manager follows the guidance in Section VII of the FRD to determine if an FRD modification is necessary.

**Step 12:** FOA Manager sends the final FOA to the CO and Legal Counsel.

**BEST PRACTICE:** FOA Manager sends both the clean copy of the FOA and a red-lined version that specifically highlights what changes (if any) were made to the FOA since the CO and Legal Counsel last concurred.

**Step 13:** If Business Clearance elected to review the FOA (see Section IV.D Business Clearance Review Initiated), the CO coordinates the review of the final draft FOA, through the HCA and Office of Management's Field Assistance &

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Oversight Division (MA-621) for Business Clearance review. Additional time must be allocated to accommodate the review and incorporation of any Business Clearance comments and edits provided after Business Clearance review. See Section VII.G below for additional detail on when this might be necessary.

## G. DOE Business Clearance Review (If Applicable)

**Applicability:** At the beginning of the FOA season, a subset of FOAs from the EERE Annual FOA List is sent to Business Clearance (see Section IV.D Business Clearance Review Initiated). From that subset, Business Clearance identifies the EERE FOAs they plan to review. If the FOA was not originally intended to be \$50M or greater, or if the FOA was added to the EERE Annual FOA List after the subset of FOAs was offered to Business Clearance, the CO offers the FOA to Business Clearance at this time. For the complete Business Clearance process, see [Chapter 71](#) of the current [DOE Acquisition Guide](#).

**Timing:** Business clearance review will take at least ten business days. Business Clearance will only review the final draft FOA.

**Step 1:** The GMS/CS drafts the [Transmittal Memo for Business Clearance](#). In addition to the Memo, the Business Clearance Submission package should include the following information:

- Final draft FOA
- Evidence of reviews and approvals from all required reviewers, including all comments and resolution of comments
- Any applicable supporting documents (e.g., DRE, Cost Share Waiver, etc.)

**Step 2:** The GMS/CS coordinates all reviews of the Memo and the Business Clearance Submission package according to the local procurement review matrix<sup>22</sup>. As part of the review, the CO ensures all necessary reviews have been completed for the supporting documents (e.g., legal review for FOA).

**Step 3:** The CO coordinates submission of the final package to Business Clearance.

**Step 4:** Within ten business days, Business Clearance informs the CO if the FOA is “approved,” “not approved,” or “conditionally approved” and if it needs to be re-submitted for subsequent Business Clearance review after revisions are made.

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<sup>22</sup> Golden Field Office GMSs, see the Review Matrix tab of the [SWEET](#). NETL Contract Specialists shall follow the guidance related to this topic in the appropriate Best Practices Guide.



**Step 5:** The CO distributes the comments to the GMS/CS, Legal Counsel, and the FOA Manager.

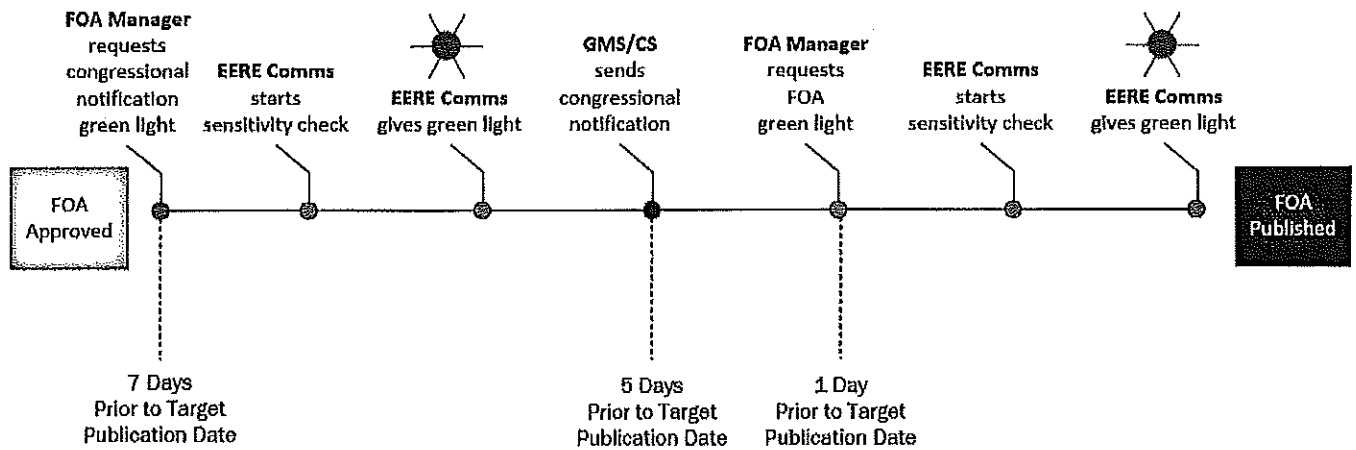
- “Mandatory” comments must be corrected by the GMS/CS, CO, Legal Counsel and the FOA Manager prior to FOA publication.
- “Highly Recommended,” “Clarification,” “Suggestion”, and “Editorial” comments are reviewed by the GMS/CS, CO, Legal Counsel and the FOA Manager and are incorporated where appropriate.

## VIII. FOA Publication

### A. Congressional Notifications (If Applicable)

Purpose: FOAs over \$50 million (DOE Share + Cost Share) require a 72 hour (3 full business days) Congressional Notification ([DOE F 541](#)) prior to FOA publication. See [Chapter 5.1 of the current DOE Acquisition Guide, "Congressional Notification"](#) and [Chapter 2 of the current DOE Guide to Financial Assistance.](#)

**Green Light for Congressional Notifications (Figure 8)**



**Step 1:** The FOA Manager confirms that DOE Approval for the FOA concept has been received (see Section V.D DOE Approval) and the Public Announcement for the FOA has been approved (see Section VII.E Public Announcement Review & Approval).

**Step 2:** The FOA Manager emails the EERE Communications POC to request the Congressional Notification green light. This should occur at least 7 days before the target FOA Announcement publication date.

**Step 3:** The EERE Communications POC performs the sensitivity check (see [Public Announcement Approval Process](#) for details) and emails the Green Light to the FOA

Manager to send congressional notifications.

**Step 4:** The FOA Manager forwards the green light email to the CO and GMS/CS.

**Step 5:** GMS/CS sends a completed [DOE F 541: CI Solicitation Notification](#) form to [CI.Notification@hq.doe.gov](mailto:CI.Notification@hq.doe.gov) with the subject line: "ACTION: CI Solicitation Notification."

## B. Green Light to Publish FOA

### Timing:

- The FOA Manager initiates the FOA Announcement Green Light Process at least one business day before the FOA is scheduled to be published (see Figure 8).
- If congressional notifications WERE required (see Section VIII.A Congressional Notifications), wait to request the FOA green light until 24 hours before the congressional notification waiting period is scheduled to expire.
- If congressional notification WERE NOT required, prior to requesting the green light the FOA Manager must confirm that DOE Approval for the FOA concept has been received (see Section V.D DOE Approval) and the Public Announcement for the FOA has been approved (see Section VII.E Public Announcement Review & Approval).

**Step 1:** The FOA Manager emails the EERE Communications POC to request the green light and confirms that the FOA is ready to publish.

**Step 2:** The EERE Communications POC performs the sensitivity check and emails the green light to the FOA Manager to post the FOA. For details, see [Public Announcement Approval Process](#).

**Step 3:** The FOA Manager forwards the Green Light email from the EERE Communications POC to the CO and GMS/CS.

## C. Publish FOA

**Step 1:** The GMS/CS enters the FOA into STRIPES and into EERE Exchange and routes the FOA to the CO for review and approval (see [STRIPES User Guide](#) and [Exchange User Guide](#)<sup>23</sup> for instructions).

**Step 2: APPROVAL**

The CO publishes the FOA in STRIPES and in EERE Exchange.

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<sup>23</sup> Please note, you must log in to the Exchange systems to view user guides for EERE employees.

**Step 3:** The GMS/CS publishes the FOA Synopsis to Grants.gov via STRIPES (see STRIPES User Guide for instructions)

**Step 4:** The GMS/CS sends the live EERE Exchange link to the FOA Manager, who forwards it to the Technology Office Communication Lead.

**Step 5:** The Technology Office Communications Lead publishes the FOA synopsis on the Technology Office's website. If a public announcement is planned for the FOA, the EERE Communications POC ensures the publication of the announcement. For details, see Public Announcement Approval Process.

## IX. Post-FOA Publication

### A. FOA Webinar (Optional)

Purpose: A FOA webinar provides potential applicants with an overview of the FOA objectives, the applicant submission process, and the evaluation and selection process.

**Step 1:** The FOA Manager prepares the FOA Webinar slide deck using the FOA Webinar Template.

**Step 2:** CO and Legal Counsel review the tailored FOA Webinar slide deck before it is finalized and used.

**Step 3:** The FOA Manager sets up a webinar format that can be recorded (e.g., WebEx, GoToMeeting, etc.) and invites the CO, GMS/CS, and Legal Counsel to participate in the webinar.

**Step 4:** In order to meet the requirements of the Section 508 Amendment to the U.S. Rehabilitation Act<sup>24</sup>, the FOA Manager emails DL-EEREActioNetWebTeam@Hq.Doe.Gov to request a transcription service, copying the Technology Office's Technical Monitor. The request must include:

- Anticipated length of the webinar
- Title of the webinar
- Deliverables, i.e., a transcript and text alternative that includes the following information so that someone could read the transcript and understand everything that occurred during the webinar:
  - All spoken dialogue (except ums and ahs)

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<sup>24</sup> Requires Federal agencies to make their electronic and information technology accessible to people with disabilities.

- Description of all important events and actions that occurred during the webinar
- Description of anything visually displayed during the webinar

**Step 5:** The FOA Manager leads the webinar. Live Q&A can take place during the webinar; however the FOA Manager cannot express opinions or ideas not included in the FOA.

**BEST PRACTICE:** The FOA Manager should ensure the webinar recording has good audio quality. It is important that all speech is audible, otherwise, the transcript will cost more.

**Step 6:** The FOA Manager sends the recording of the webinar and the slides to [DL-EEREActionNetWebTeam@Hq.Doe.Gov](mailto:DL-EEREActionNetWebTeam@Hq.Doe.Gov), who creates a Section 508-compliant transcript and sends it to the FOA Manager to forward to the GMS/CS<sup>25</sup>.

**Step 7:** The GMS/CS posts a link to the webinar recording, Section 508-compliant transcript, and any Q&A to Exchange. This ensures all potential applicants receive the same information.

**Step 8:** Additional webinars are optional and are conducted at the Technology Office's discretion.

## B. FOA Q&A

Purpose: The FOA Q&A process:

- Ensures all applicants have access to the same information about the FOA.
- Prevents the appearance of competitive advantage or applicant "coaching" that could arise from DOE communicating with applicants one-on-one.

For GFO, the details of the FOA Q&A process are explained in [FOA Q&A Process](#). For NETL, the CS posts all questions and answers to the respective FAQs webpage in the Exchange system.

If DOE/EERE employees or contractors receive a question outside of the FOA Q&A process (e.g., by phone or to a non-FOA Mailbox email), the person receiving the question should:

1. Immediately notify the FOA Manager and the Contracting Officer.
2. Direct the person asking the question to Exchange and explain that for fairness purposes, all questions must go through the public process.

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<sup>25</sup> This should take approximately one week, however, if multiple offices request a webinar transcript at the same time, it could take longer. Similarly, if the Technology Office does not have sufficient funds on the web services contract, new funds would need to be added, which could take six weeks or more.

### C. FOA Modifications (If Applicable)

Purpose: After the FOA is published, modifications may be needed based on the needs of the Technology Office or as a result of questions submitted during the Q&A period. For example, if there are many questions requesting clarification of a certain section or a technical requirement, the FOA Manager may see the need to clarify that section of the FOA by publishing a modification for the public to view.

The FOA Manager is responsible for initiating all modifications to the FOA and obtaining the necessary reviews and approvals.

**Step 1:** The FOA Manager revises the FOA document, noting changes on the modifications table (copy from the FOA Template and paste into the modified FOA).

**Step 2:** If the FOA is within 30 days of closing, the CO and FOA Manager, in consultation with Legal Counsel, should consider whether the modification is significant enough to extend the FOA close date.

**Step 3:** The FOA Manager discusses the FOA modification with the Technology Office Director (and the Selection Official, if different from Technology Office Director).

**Step 4:** The FOA Manager sends a red-lined copy of the FOA modification to the GMS/CS and CO for review.

- The CO determines if additional reviews are necessary, based on the local procurement review matrix<sup>26</sup>.
- Depending on the scope of the modification, the CO will determine if Legal Counsel concurrence is necessary, however, Legal will always receive notice that the FOA is being modified (see Step 8 below).

**Step 5:** The GMS/CS enters the FOA modification into STRIPES and into the Exchange system and routes the FOA modification to the CO for approval (see STRIPES User Guides and Exchange User Guides<sup>27</sup> for instructions).

**Step 6:** The CO publishes the FOA modification in STRIPES and in the Exchange system.

**Step 7:** The GMS/CS publishes the FOA modification Synopsis to Grants.gov via STRIPES.

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<sup>26</sup> Golden Field Office GMSs, see the Review Matrix tab of the SWEET. NETL Contract Specialists shall follow the guidance related to this topic in the appropriate Best Practices Guide.

<sup>27</sup> Please note, you must log in to the Exchange systems to view user guides for EERE employees.

**Step 8:** The GMS/CS notifies the FOA Team, Technology Office Director, and Selection Official (if different from the Technology Office Director) once the FOA modification is approved.

*This concludes the FOA Development Phase. For guidance on what comes next, see the Evaluation and Selection SOP. For questions, contact [PMHelpDesk@ee.doe.gov](mailto:PMHelpDesk@ee.doe.gov).*

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Signature

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