This webinar will be recorded.

#### Department of Energy Office of Technology Transitions EPIC Round 3

#### **Phase 2: Informational Webinar**











#### A M E R I C A N MADE U.S. DEPARTMENT OF ENERGY

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### Agenda

- **1** American-Made Overview
- **2** OTT & EPIC Round 3, Phase 2
- **3** Submission Elements and Scoring
- 4 HeroX
- 5 Next Steps

# Housekeeping

#### This webinar is being recorded and replay link will be available on HeroX.

# **IMPORTANT:** Only EPIC Round 3, Phase 1 winners are eligible to participate in EPIC Round 3, Phase 2.

#### **Questions?**

- To submit a question, please type it into the Chat box in the webinar platform.
- We'll collect questions from the chat and post answers to your questions on HeroX as quickly as possible.
- Given the Prize to Cooperative Agreement model, some questions may need to be routed to DOE Legal for review and will take extra time answer.

#### Technical Issues:

- If you experience technical issues on the webinar, please check your audio settings.
- If you continue experiencing issues, direct message the host

# Supercharge A REVOLUTION OF BOLD IDEAS

Fast track your ideas for the clean energy revolution

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### Office of Technology Transitions

A M E R I C A N MADE U.S. DEPARTMENT OF ENERGY

**OTT & EPIC Prize Overview** 

### **OTT Mission**

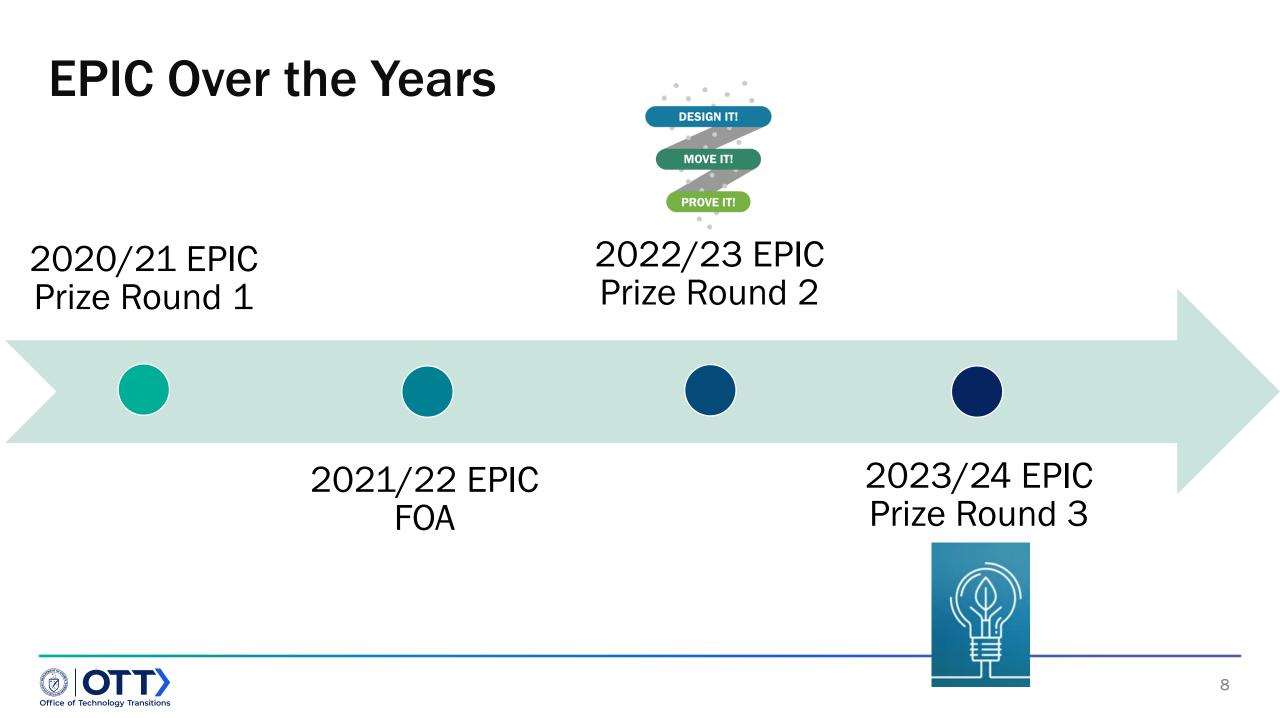
"To expand the commercial impact of the research investments of the Department"

&

To drive private sector uptake of clean energy technologies

Steward commercialization across the DOE





#### **EPIC Program Overview**



#### What is EPIC Round 3?



#### EPIC Round 3, Phase 2



**Program Details** 

#### **Read the Rules**







Powered by the Office of Technology Transitions

Official Rules for EPIC Round 3 are on the HeroX webpage (also linked below).

**EPIC Round 3 Official Rules** 

### **Program Requirements**

Across all phases of EPIC Round 3, competitors must address the following:

**Program Requirements:** 

- 1. Create New Programming
- 2. Support Startup Creation
- 3. Build Regional Partnerships
- 4. Focus on one of the 5 Impact Areas

Impact Areas: (5)

- 1. Diversity, Equity, Inclusion, and Accessibility
- 2. Rural and Disadvantaged Communities
- 3. Lab-to-Market
- 4. Sector-Specific-Support
- 5. Other High-Impact Theme

### **Eligibility – Section 4 of the Rules**

- General EPIC Eligibility EPIC is open to private entities subject to the following requirements:
  - Private entities must be incorporated in and maintain a primary place of business in the United States with majority domestic ownership and control.
  - Programming proposed by incubators must have an emphasis on supporting startups with a hard-tech focus.
- Phase 2 Eligibility Only winners of EPIC Round 3, Phase 1 are eligible to compete in Phase 2.
  - Cooperative Agreement Eligibility Only winners of EPIC Round 3, Phase 2 will be selected to move on to negotiations of the Cooperative Agreement. Non-winners of Phase 2 will be considered alternates.

September 30, 2024 - Phase 2 Submission Deadline (5 p.m. ET) October 23 and October 24, 2024 - Phase 2 Interview Days November 1, 2024 - Phase 2 Winner Announcement (Anticipated)

Cooperative Agreement negotiation with DOE starts with Phase 2 Winner Announcement.



#### EPIC Round 3, Phase 2



#### **Submission Elements and Requirements**

## Phase 2 Submission Package Elements

- 1. Summary PowerPoint Slide (will be made public)
- 2. Cover page
- 3. Progress Narrative
- 4. Updated success metrics table
- 5. Future Plans Documentation (3-parts)
  - Future Pans Narrative
  - Proposed Statement Of Project Objectives SOPO
  - Proposed Cooperative Agreement Budget Estimate (Cost Share 20%)
- 6. Partner Letters of Commitment and Support
- 7. SF-424
- 8. SF-LLL

Full details on the Phase 2 submission package can be found in the Official Rules document

#### Section: 6.5.1 Summary Slide (will be made public)

- Make your own public-facing, one-slide submission summary that contains information about your organization, MVP, progress made on implementation, and project description to be used for the public selection announcement.
- There is no template, so feel free to present the information as you see fit. Please make any text readable in a standard printout and conference room projection.
- Document should be uploaded as a PDF file in HeroX

#### Section: 6.5.2 Cover Page

- No Template but your 1-page Cover Page should include:
  - Organization name
  - Key project members (names, contacts, and links to their LinkedIn profiles)
  - Program Requirement(s) you are addressing
  - Your city, state, and nine-digit zip code
  - Relevant partners and affiliates (if applicable).
  - Document should be uploaded as a single page PDF in HeroX.

#### Section: 6.5.3 Progress Narrative (Optional Template on HeroX)

- <u>Organization and MVP Overview</u> Briefly describe your organization, the context in which you are working, and your MVP.
- <u>Minimum Viable Program (MVP) Results</u> Describe progress you have made toward the completion of your MVP

**Submission Tip**: Review the suggested content bullets for the Progress Narrative on (Pg. 17-18 of the Prize Rules).

The Progress Narrative does not have a word limit; however, the aggregate response document <u>must not</u> exceed three pages at 11-point font size, not including captions, figures/graphs, or references. The document should be uploaded as a single PDF file into HeroX.

#### Section: 6.5.4 Updated Success Metrics Table

- Competitors are required to submit an updated Success Metrics table.
- The updated table should show the metric originally proposed in Phase 1 and the metrics actually achieved during Phase 2.
- An optional Phase 2 Success Metrics Table Template is available on the HeroX website.

MADE EPIC Round 3 OTT> Success Metrics Table \*All example metrics shown are purely illustrative and should not be considered benchmarks or indicative of desired targets Proposed Metric Description of Metric Phase 2 Target Phase 2 Actuals Cooperative Agreement Targe \*Example Description This metric targets the number of applications our program will receive We expect to receive a total of 50+ applications by the end of EPIC Round \*Example Metric: \*Example Phase 2 \*Example Cooperative Agreement 3 and 300+ applications by the end of Number of applicants to our Target Target the Cooperative Agreement period 300 50 program This metric is important to track ecause it will indicate the success o our outreach programming and hecause it will allow our team to select a strong and diverse cohort

Success Metrics Table template can be found in the Resources tab in HeroX.

#### Section: 6.5.5 Future Plans Documentation

- The Future Plans documentation consists of three parts
  - Future Plans Narrative
  - Statement of Project Objectives (SOPO), and
  - Proposed Cooperative Agreement Budget Estimate.

#### Section: 6.5.5 Future Plans Narrative (Optional template available in HeroX)

- Describe your plans and timeline to complete your MVP implementation
  - *Pro Tip!* Future Plans timing and budget should align (and can be less than, but not exceed) the \$1M Federal Share and 3-year Cooperative Agreement.
- Describe what the scale-up of your MVP into a full program would look like during the Cooperative Agreement phase
- Describe what changes would be made to the program moving forward, based on lessons learned during the program
- Identify your goals for the program at 1 year, 3 years, and 5 years
  - Be sure to include a sentence confirming that you agree to the 20% cost share requirement.

The Future Plans Narrative does not have a word limit; however, the aggregate response document <u>must not</u> exceed three pages <u>inclusive of any figures or tables you wish to include</u>. Recommend using 11-point font size. The document should be uploaded as a single PDF file into HeroX.

#### Section: 6.5.5 <u>Statement of Project Objectives (SOPO)</u>

- Competitors are required to complete a SOPO outline.
- SOPOs should indicate cooperative agreement project period of performance between 1 and 3 years, include task titles with a short description, annual Go/No-Go milestones and end of project goals
- SOPO should describe how project will advance diversity, contribute to energy equity, and create quality jobs and invest in America's workforce.
- SOPO Should include at least one SMART milestone per budget period supported by metrics that measure the success of the proposed activities.

EPIC Round 3		
[ Organiza	roject Objectives tion Name] ct Title]	
[The instructional red and blue text and attac version of	chments below should be removed the SOPO]	in the final
Specifically, the SOPO must be consistent with th submitted by the Competitor. The SOPO should the expected progress to be achieved. See the f limits of the SOPO.	accurately define what work is to b	e done and
The following items should not be included in th Dollar amounts. Specific dates (only include gener Month 3, not Demonstrate XY2 by Ju Subcontractors, vendors or indivi and, as such, the SOPO should not ge	ral time frames (i.e. Demonstrate X) ne 8°, 2013). duals by name. The award is with t	he prime
A. Project Objectives		
Provide a clear and concise (high-level) stateme well as the expected outcomes. If the award is objective(s) for each Budget Period.		
B. Technical Scope Summa Note: This content must be consistent with the o submitted by the competitor.		ratives
Provide a summary description of the overall wn objective(s). The work scope description needs separated by discrete, approximately annual de on go/n-og decision points). The applicant sho each performance period.	to be divided by Budget Periods the cision points (see below for more in	at are nformation
C. Tasks To Be Performed		
The section should briefly describe the specific a project. This section provides a high-level summ should clearly articulate what work must be acc thus meet the established project objectives. If	nary of the planned approach to thi complished to execute the project so	is project and cope and

A SOPO outline template is available on HeroX. The SOPO outline, including the Go/No-Go Table, must not exceed 3 pages when printed using standard 8.5 x 11 paper with 1" margins (top, bottom, left, and right) with font not smaller than 11 point.

#### Section: 6.5.5 Proposed Cooperative Agreement Budget Estimate

- Competitors are required to complete a cooperative agreement budget estimate.
- A template document is on HeroX to assist
- The budget estimate is a high-level breakdown of budget proposal contained in the SF-424.
- This document should show how you plan to allocate (up to \$1,000,000) if you win Phase 2
- Subawardees in your cooperative agreement should be identified by organization name, description of scope of work, name of the project leader, and estimated total costs)
- Cost Share 20%

EERE T 540.132 01 Budget Justification (3 BPs OMB Control Number: 1910-516 Instructions and Summary Expiration Date: 04/30/2025 Date of Submission Award Numbe Award Recipien Form submitted by (May be award recipient or sub-recipi worksheet tab before starting. If you have any questions, please ask your EERE contact Do not modify this template or any cells or formulas award application, negotiation, or budget revision, fill out the blank white cells in workbook tabs a, through i, with total project costs Blue colored cells contain instructions, headers, or summary calculations and should not be modified. Only blank white cells should be populated. Enter detailed support for the project costs identified for each Category line item within each worksheet tab to autopopulate the summary tab . The total budget presented on tabs a, through i, must include both Federal (DOE) and Non-Federal (cost share) portions All costs incurred by the preparer's sub-recipients, contractors, and Federal Research and Development Centers (FFRDCs), should be entered only in section f. Contractual. All oth-AR Part 31 for For-Profit entities; and 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities. ws as needed throughout tabs a through i If rows are added formulas/calculations may need to be adjusted by the preparer. Do not ad tab. If your project contains more than three budget periods, consult your EERE contact before adding additional budget period rows or column URDEN DISCLOSURE STATEMEN rting burden for this collecti no the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including agestions for reducing this burden to Office of Information Resources Management Policy Plans, and Oversight, AD-241-2 - GTN, Paperwork Reduction Project (1910-5162), U.S. Department SUMMARY OF BUDGET CATEGORY COSTS PROPOSED udget Period 1 0.00% udget Period 2 0.00% daet Period 0.00% 0.00% nstructions and Summary

The Proposed Cooperative Agreement Budget should be uploaded as a single Excel (XLS,XLSX) file into HeroX.

#### Section: 6.5.5 Proposed Cooperative Agreement Budget Estimate – Cost Share

- <u>The Cooperative Agreement Proposed Budget includes a cost share requirement of 20%</u>
- The cost share must be at least 20% of the total allowable costs for research and development projects and must come from non-federal sources unless otherwise allowed by law.
- Please include a sentence confirming that you agree to this cost share requirement in your Future Plans Narrative.

#### Cost Share Examples: <u>2 CFR 200 § 910.130</u>:

- **Cash:** which encompasses all contributions to the project made by the recipient or subrecipient(s), for costs incurred and paid for during the project. Cash contributions include, but are not limited to, personnel costs, fringe costs, supply and equipment costs, indirect costs, and other direct costs
- In kind: which encompasses all contributions to the project made by the recipient or subrecipient(s) that do not involve a payment or reimbursement and represent donated items or services. In-Kind cost share items may include volunteer time (of non-salaried employees), donated existing equipment, or donated existing supplies. The cash value and calculations thereof for all In-Kind cost share items must be justified and explained in the Cost Share section of the project Budget Justification.
- All cost share items must be reasonable, allowable, allocable and necessary to the performance of the project.

#### Section: 6.5.6 Letters of Commitment

- Combine and upload one-page letters of commitment from relevant entities (e.g., partners, potential customers, community organizations, local government) to provide context and show the viability of the project as a single file.
- This could include updated letters from partners or others you believe are critical to the success of your proposal or new partners.
- Letters should show commitments to provide assistance, partner, offtake, validate, co-fund, or tangibly increase the likelihood of MVP success in some way.

All letters of commitment must be on letterhead and combined with other letters and uploaded as a single PDF File

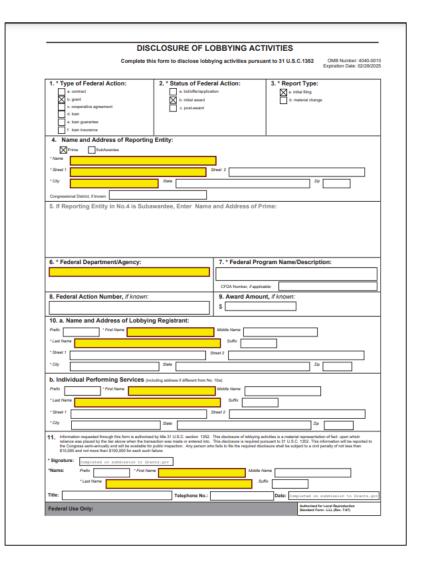
# Section: 6.5.7 SF-424: Application for Federal Assistance

- An <u>SF-424, "Application for Federal Assistance</u>" is required to be considered for the cooperative agreement.
- Complete all required fields in accordance with the instructions on the form.
- The list of certifications and assurances in Field 21 can be found at <u>http://energy.gov/management/officemanagement/operational-management/financial-assistance/financial-assistance-forms</u>, under Certifications and Assurances.
- Note: The dates and dollar amounts on the SF-424 are for the complete cooperative agreement project period and not just the first project year, first phase, or other subset of the project period.

Application for Federal As	ssistance SF-424	
1. Type of Submission:	* 2. Type of Application: * If Revision, select appropriate letter(s):	
Preapplication	New	
Application	Continuation * Other (Specify):	
Changed/Corrected Applicat	ation Revision	
* 3. Date Received:	4. Applicant Identifier:	
Completed by Grants.gov upon submission	n.	
5a. Federal Entity Identifier:	5b. Federal Award Identifier:	
State Use Only:	·	
6. Date Received by State:	7. State Application Identifier:	1
8. APPLICANT INFORMATION:		
* a. Legal Name:		
* b. Employer/Taxpayer Identificatio	on Number (EIN/TIN): * c. UEI:	
b. Employen raxpayer identificatio		
d. Address:		
* Street1:		
Street2:		
* City:		
County/Parish:		
* State:		
Province:		
Province: Country: USA: UNIT	TED STATES	
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Province:  Country: DBA: UNIT  Department Name:  Conganizational Unit: Department Name:  Conganizational Affiliation:	Division Name:	
* Country: USA : UNIT: * Zip / Postal Code: • Organizational Unit: Department Name:	Division Name:	

# Section: 6.5.8 SF-LLL: Application for Federal Assistance

- A <u>SF-LLL, "Disclosure of Lobbying Activities</u>" form is required to be considered for the cooperative agreement.
- Prime recipients and subrecipients may not use any federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters
- Prime recipients and subrecipients are required to complete and submit SF-LLL to ensure that nonfederal funds have not been paid and will not be paid to any person for influencing or attempting to influence any of the following in connection with the application:
  - An officer or employee of any federal agency;
  - A Member of Congress;
  - An officer or employee of Congress; or
  - An employee of a Member of Congress.



#### EPIC Round 3, Phase 2



**Cooperative Agreement** 

#### Section: 7.4 Award Overview

- Estimated Funding: OTT anticipates making between 1 and 6 cooperative agreements depending on the availability of FY24 funding. OTT may issue one, multiple, or no awards. Individual awards may be **up to \$1,000,000**.
- Period of Performance: OTT anticipates awards will run up to 36 months

#### See the Prize Rules for full details on estimated funding and period of performance.

## Phase 3: Cooperative Agreement

#### Section: 7.5 What to Submit for Cooperative Agreement Negotiations

- Selected teams will participate in several meetings to negotiate the term of the cooperative agreement.
- The negotiation period will consist of the following elements:
  - 1. State of Project Objectives (SOPO)
  - 2. Budget justification
  - 3. Summary abstract for public release
  - 4. Unique Entity Identifier (UEI) and System for Award Management (SAM) registration: <u>https://www.sam.gov</u>
  - 5. FedConnect registration: FedConnect Gateway to Government Opportunities (test instance)
  - 6. At least 20% cost share
- Phase 3 Submission Platform: <u>EERE eXCHANGE: Login (energy.gov)</u>

Award negotiation will include rapid turnaround times. DOE may terminate award negotiations with selectees that are not able to meet required deadlines.

### **Phase 3: Cooperative Agreement**

# Please consider registering for SAM and applying for your UEI now!

- \*\*System for award Management(SAM) registration and Unique Entity Identification(UEI): <u>https://www.sam.gov</u>
- Required for federal financial assistance award
- Can sometimes take up to 3 months and could delay the start of your cooperative agreement
- If you already have your SAM and UEI please make sure it is active.

#### EPIC Round 3, Phase 2



Assessment and Scoring

# Phase 2 Scoring

#### Section: 6.6 – Assessment

- The Prize Administrator screens all completed submissions and ensures the teams are eligible.
- The Prize Administrator then assigns eligible submissions to expert reviewers.
- Competitor's submission packages will be reviewed according to the criteria and weighing below and on the next few pages.
- The scores from each individual reviewer will be averaged to produce a final score for the competing team/organization.
- This score will inform the judge's decisions on awards.

Phase 2 Scoring Criteria	Weighting
Organizational Capacity	30%
<b>MVP</b> Implementation	30%
Future Plans	30%
Reviewer Recommendation	10%

## Phase 2 Scoring - Criteria

Criteria	Description	Weighting
Organizational Capacity	<ul> <li>The competitor has taken concrete action to demonstrate that implementation and continuation of the MVP is a priority and adds value to the organization</li> <li>The competitor has demonstrated expanded knowledge, capacity, and networks to successfully implement a full version of the MVP during the Cooperative Agreement phase</li> <li>The competitor significantly advanced their understanding of the program areas during Phase 2</li> </ul>	30%
MVP Implementation	<ul> <li>The competitor has made significant progress toward the implementation of their MVP</li> <li>The competitor successfully met all, or most, of the success metrics proposed during Phase 1</li> <li>The competitor has successfully engaged with their intended audience</li> <li>The MVP clearly addresses one of the identified focus areas (DEIA, rural and disadvantaged communities, lab-to-market, sector-specific support, other high-impact theme)</li> <li>The competitor made any necessary changes to their MVP quickly and efficiently</li> <li>The competitor provided sufficient quantitative measurements to evaluate success of their MVP implementation</li> <li>The MVP creates new programming in the region or expands incubator program offerings to a new region</li> </ul>	30%

# Phase 2 Scoring - Criteria

Criteria	Description	Weighting
Future Plans	<ul> <li>•The competitor presents an ambitious, but realistic, plan to complete their MVP and implement a full program during the Cooperative Agreement phase</li> <li>•The competitor explains the extent to which the regional communities could benefit through scaling MVP</li> <li>•There is a high probability the competitor will be successful in both their project negotiation with DOE, and their project execution, if they win Phase 2</li> <li>• If successful, the short-term and long-term goals have a significant impact on the support available for energy entrepreneurs</li> <li>• The competitor proposes a reasonable budget and appropriate cost share for future implementation during the Cooperative Agreement phase</li> </ul>	30%
Reviewer Recommendation	•The competitor should be strongly considered for a Phase 2 prize (yes/no)	10%

### **Phase 2 Interviews**

#### Section: 6.7 – Interviews

- The Prize Administrator will hold a short interview with <u>some, or all, of the Phase 2 competitors</u>.
- Interviews will be held prior to the announcement of winners and will serve to help clarify questions the judge may have.
- Attending interviews is required, and interviews are not an indication of winning

#### Interview Dates: October 23 or October 24 - SAVE THE DATES!

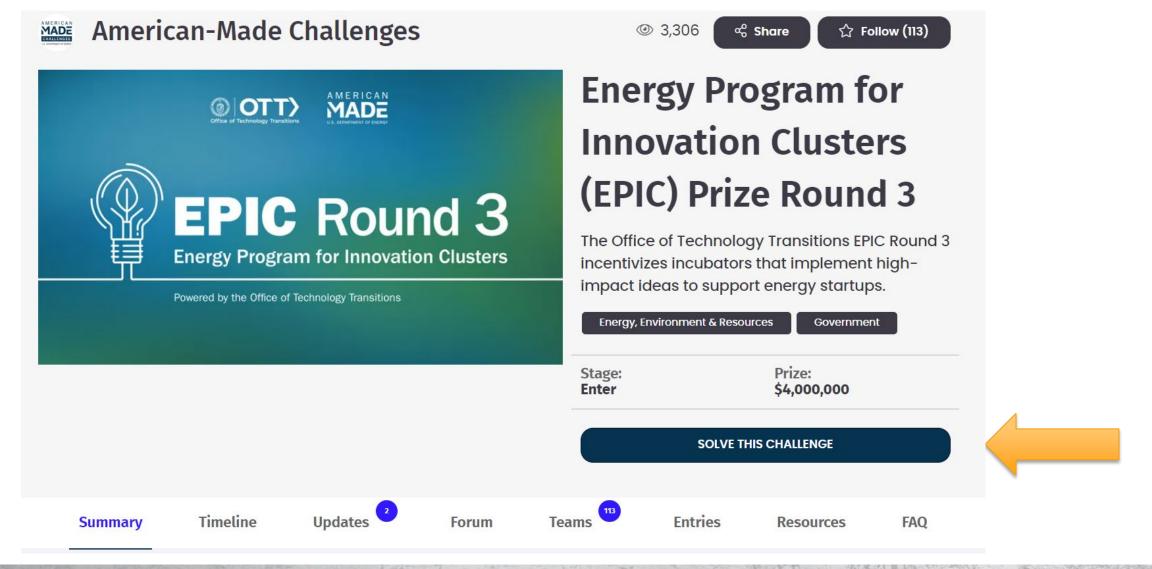
- <u>Some, or all may be a subset</u>
- If identified for an interview your team will be notified via email as soon as possible following the
  external review period and will be given an opportunity to sign up for an interview time slot on 10/23
  or 10/24 first come, first serve.
- Reviewer/Judge Clarifying questions

#### EPIC Round 3, Phase 2



#### HeroX Application & Resource Review

# How to Apply



Questions submitted in the chat during today's informational webinar will be collected with responses posted to the HeroX page 'Resources' section.

#### Additional Prize questions?

- Post them in the HeroX Forum or
- Send via email to: <u>epicprize@nrel.gov</u>

#### **Cooperative Agreement Questions?**

- Send an e-mail to: <a href="https://ote-gov">ott-epic@hq.doe.gov</a>
- Include "EPIC Round 3 Cooperative Agreement Question" in email title

To help ensure a response to your prize questions, please submit any questions as soon as possible and a minimum of 3-business days prior to prize application deadline.

# What's Next?

- 1. Review the prize rules, submission forms, and templates.
- 2. Start working on and finalizing your Phase 2 submission Requirements!
- 3. Submit your required Phase 2 documents by September 30, 2024, 5pm EST
- 4. Phase 2 Interview Days October 23 and 24
- 5. Winner Announcement November 1, 2024 (anticipated)
- 6. Cooperative Agreement Negotiation begins with Phase 2 Winner Announcements

#### Thank you!



Questions submitted in the chat will be collected with responses posted to HeroX

Additional questions? Post them in the **HeroX Forum** or send via email to: <u>epicprize@nrel.gov</u>

### **Platform & Template Overview**

- HeroX: <a href="https://www.herox.com/EPICRound3">https://www.herox.com/EPICRound3</a>
- Phase 2 Resources