

AMENDMENT 004
UNDER PROGRAM SOLICITATION NO. DE-PS26-00NT40854

The purpose of the subject amendment is to extend the closing date for the second round of applications due under the subject solicitation and to make various administrative changes. Accordingly the following modifications are hereby made:

1. Article 2.8, TIME, DATE, AND PLACE APPLICATIONS ARE DUE (DEC 1999), is hereby changed as detailed below:

“Article 2.8, TIME, DATE, AND PLACE APPLICATIONS ARE DUE (DEC 1999)

Applications shall be submitted in paper media in sealed envelopes or packages addressed to the office and point of contact specified below:

APPLICATIONS MUST BE RECEIVED BY THE CONTRACT SPECIALIST NO LATER THAN 4:00 P.M. EST FOR EACH OF THE APPLICATION DUE DATES SPECIFIED BELOW:

<u>EVALUATION PERIOD</u>	<u>APPLICATION DUE DATE</u>	
1	January 24, 2001	CLOSED
2	January 23, 2002	
3	January 3, 2003	

Applications must be received at the following mailing address:

U. S. Department of Energy
National Energy Technology Laboratory
3610 Collins Ferry Road
P.O. Box 880
Attn: Mary S. Gabriele
Morgantown, WV 26507-0880

Application Submission by Other than U.S. Mail

Applications must be received at the following address:

U.S. Department of Energy
National Energy Technology Laboratory
3610 Collins Ferry Road
Attn: Mary S. Gabriele
Morgantown, WV 26507-0880

External Marking of Applications

Applications shall be marked with the following information:

- (1) Address of Proposer
- (2) Solicitation Number
- (3) Due Time and Date of Applications
- (4) Point of Contact at Issuing Office”

AS DETAILED ABOVE, THE APPLICATION DUE DATE FOR THE SECOND EVALUATION PERIOD IS EXTENDED TO JANUARY 23, 2002.

2. The narrative under Article 3.4, "VOLUME I - FINANCIAL APPLICATION DOCUMENT PREPARATION INSTRUCTIONS (JULY 2000)," is deleted in its entirety and replaced with the following:

"3.4 VOLUME I -- FINANCIAL APPLICATION DOCUMENT PREPARATION INSTRUCTIONS (JULY 2000)"

Volume I consists of a coversheet, assurances, additional representations and certifications, environmental questionnaire, exceptions and deviations, and any other business and financial information.

The application identified as the original shall contain all original signatures of all documents requiring signatures by the applicant. Use of reproductions of signed originals is authorized in all other copies of the application.

Format and Content.

Volume I shall include the following documents (in the order listed):

1. FINANCIAL APPLICATION COVERSHEET*
2. SF424, APPLICATION FOR FEDERAL ASSISTANCE*
3. SF424b, Assurances - Non-Construction Programs*
4. D1600.5, Assurance of Compliance, Nondiscrimination in Federally Assisted Programs*
5. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug Free Workplace Requirements*
6. Representation of Limited Rights Data and Restricted Computer Software*
7. National Environmental Policy Act (NEPA) Environmental Questionnaire*
8. Energy Policy Act (EPA) Representation*
9. SF-LLL Disclosure of Lobbying Activities*
10. ADDITIONAL APPLICATION SUBMISSION REQUIREMENTS FOR FFRDC'S, DOE M&O CONTRACTORS OR LABORATORY ENTITIES

If your application includes work to be performed by an M&O contractor, the following additional information is required:

- A. Application and Field Work Proposal: The application must include a SF 424, Application for Federal Assistance, and budget page for the applicant's portion of the project and a Field Work Proposal (See DOE Order 412.1 Work Authorization System) for the M&O portion of the project.

The application must also describe: 1) the portion of the project that will be conducted by the applicant and the portion that will be conducted by the M&O contractor and 2) the managerial arrangement between the applicant and the M&O contractor. The amount of work (on a cost basis) to be performed by the M&O contractors in the aggregate may not exceed 50 percent of the total work to be performed. DOE will review the application to determine that it meets this criteria and reserves the right to reject any application that fails to do so.

- B. Workscope: The application must provide a scope of work for the effort to be performed by the applicant and a separate scope of work for the effort to be performed by the M&O contractor.

- C. Authorization from the DOE Contracting Officer. The applicant must submit a document from the DOE Contracting Officer or authorized designee stating that the M&O contractor is authorized to participate in the proposed work effort.

- 11. EXCEPTIONS AND DEVIATIONS TAKEN TO THE MODEL AGREEMENT*
- 12. SUMMARY OF EXCEPTIONS AND DEVIATIONS TAKEN IN OTHER VOLUMES*
- 13. ECONOMIC BENEFIT TO THE UNITED STATES

Applicants must provide a separate discussion, not exceeding five (5) pages in length, explaining how the proposed work will benefit the economic interest of the United States. This may be evidenced by (1) investments in the United States in research, engineering, and manufacturing (including, for example, manufacture of major components or subassemblies in the United States; (2) significant contributions to employment in the United States; and (3) agreements to promote the manufacture within the United States of products resulting from technology developed under the project. A description of the quantitative benefits supported by a convincing rationale is preferable to a qualitative discussion. DOE expects that this information will be realistic and constitute a sincere commitment by the applicants to promote economic benefits for the United States.

- 14. PERFORMANCE OF WORK IN THE UNITED STATES AND COMMITMENT TO PROVIDE MANDATORY COST PARTICIPATION

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

Applicants shall provide a statement which demonstrates its agreement with the preceding condition, or provide a detailed argument otherwise.

- 15. COMMITMENT TO PROVIDE MANDATORY COST PARTICIPATION

Applicants shall describe its commitment to cost share a minimum of 20% of Phase I costs and 50% of Phase II and III costs. Detailed information regarding the type and amount of cost participation shall be contained in Volume III.

- * **THE FORMS AND INSTRUCTIONS NEEDED FOR PREPARATION OF THESE DOCUMENTS ARE FOUND ON THE NETL HOMEPAGE AT:**

<http://www.netl.doe.gov/business/faapiaf/main.html>

PLEASE NOTE THAT ALL FORMS WERE DEVELOPED USING WORDPERFECT 6.1, WORD 97 AND ADOBE PDF. FORMS ARE FORMATTED FOR PRINTING USING A HP LASERJET IIIsi PRINTER. INSTRUCTIONS FOR COMPLETION OF THE FORMS ARE CONTAINED ON THE BACK OF EACH FORM. QUESTIONS ON COMPLETION OF THE FORMS SHOULD BE ADDRESSED TO THE CONTRACT SPECIALIST.”

- 3. The narrative under Article 3.7, VOLUME III - COST APPLICATION PREPARATION INSTRUCTIONS, is deleted in its entirety and replaced with the following:

“3.7 VOLUME III - COST APPLICATION PREPARATION INSTRUCTIONS

The applicant must provide detailed budget information on one or more of the following budget forms. The budget for Phase I should be accompanied by detailed supporting cost information as required in Paragraph 1 below. Budgetary estimates should only be provided for Phases II and III.

Supporting cost data shall be submitted as indicated by the instructions on the reverse of the budget form or the supporting cost detail requirement in Paragraph 1 of this clause. The form submitted shall be at the discretion of the applicant.

- a. Federal Assistance Budget Information -- DOE F 4600.4
- b. Budget Information -Non-Construction Programs -- SF424a

The preceding forms are found on the NETL Homepage at:
“http://www.netl.doe.gov/business/faapiaf/volume3/budget_forms.html”.

Failure to provide the detailed cost information as described in the instructions will result in an incomplete package. The applicant shall stipulate in the application the source and amount of cost sharing and the value of third party in-kind contributions proposed to meet the requirement.

The information presented on the forms should reflect the total program (Phases I, II, and III). Detailed supporting information is however required for the Phase I budget only.

1. SUPPORTING COST DETAIL REQUIREMENTS FOR PHASE I

The following cost detail is required for the proposed cost elements for Phase I. Additionally teaming members and subcontractors are also required to submit the below information with their budgets.

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

Fringe Benefits -- Provide the method used to calculate the proposed rate amount. If a fringe benefit has been negotiated with, or approved by, a Federal Government agency, provide a copy of the agreement. If no rate agreement exists, provide the method used to calculate the proposed amount.

Travel -- For each proposed trip, provide the purpose, number of travelers, travel origin and destination, number of days, and a breakdown of costs for airfare, lodging, meals and incidentals. The basis for the airfare, lodging, meals and incidentals must be provided, such as past trips, current quotations, Federal Travel Regulations, etc.

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

Supplies -- Provide an itemized list of supplies, individual costs, and the basis for estimating the cost, for example, vendor quotes, catalog prices, prior invoices, etc.

Contractual -- Include in this category the cost of consultants and subcontractors in the same level of detail as the applicant's costs.

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

Subcontractors -- Provide the total cost per year for each subcontractor. Detail of subcontractor's costs should appear in the subcontractor's budget explanation.

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

Other Direct Costs -- Provide an itemized list with costs for any other item proposed as a direct cost and state the basis for each proposed item.

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

Cost Sharing - Considering the nature of the effort, the potential for future economic benefit, and the Energy Policy Act of 1992, a minimum of 20% of cost-sharing is required for Phase I, and 50% is required for Phase II and III.

The proposed cost share must be presented in the same level of detail as the cost to be reimbursed by the Government. Your cost application must show the breakout between Federal and non-Federal sources. The non-federal share may include cash, personnel, services, equipment, and other resources.

All cost sharing or matching contributions, including cash and third party contributions shall meet the following criteria:

- (1) are verifiable from the recipient's records,
- (2) are necessary and reasonable for proper and efficient accomplishment of project or program objectives,
- (3) are not included as contributions for any other federally-assisted project or program,
- (4) are allowable and allocable under the applicable cost principles,
- (5) are not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching.

Detailed below is a list of project costs not allowed for cost-sharing purposes:

- (1) DOE shall not accept valuation for property sold, transferred exchanged, or otherwise manipulated to acquire a new basis for depreciation purposes or to establish a rental value in circumstances which would amount to a transaction for the mere purpose of meeting the cost share requirements of this solicitation.
- (2) Property which has been fully depreciated will not receive any cost-sharing value except to the extent that it has been in continuous use by the applicant during the entire previous year.
- (3) Existing facilities, equipment, and supplies, or previously expended research or development funds are not cost-sharing for the purposes of this solicitation, except as amortized, depreciated, or expensed in normal business practice. (4) Patents, proprietary data, or prior work will not be valued in determining the offer's cost participation.
- (5) Allowable costs which are absorbed by the applicant as its share of cost participation may not be charged directly or indirectly or may not have been charged directly or indirectly in the past to the Federal Government under other contracts, agreements, or grants. Additionally, other appropriated federal funds are not cost-sharing for the purposes of this solicitation."

3. SECTION V - ELECTRONIC FORMS AND/OR DOCUMENTS is deleted in its entirety. **All instructions for completing Volume I are found above; associated forms/documents can be found on the NETL Homepage at: "<http://www.netl.doe.gov/business/faapiaf/main.html>".**

END OF AMENDMENT 004

