GUIDE FOR THE SUBMISSION OF
UNSOLICITED PROPOSALS

The National Energy Technology Laboratory (NETL), Pittsburgh Office has operational responsibility of the DOE Unsolicited Proposal (USP) Program. All unsolicited proposals should be forwarded by Email to John N. Augustine at DOEUSP@NETL.DOE.GOV who will serve as the single point of contact for all Department of Energy (DOE) unsolicited proposals. Please direct all unsolicited proposals, abstracts and correspondence to:

John N. Augustine, Mail Stop 921-107
Unsolicited Proposal Manager

U.S. Department of Energy
National Energy Technology Laboratory
626 Cochrans Mill Road
P.O. Box 10940
Pittsburgh, PA 15236-0940

Email: DOEUSP@NETL.DOE.GOV

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INTRODUCTION

The U.S. Department of Energy (DOE) looks to the private sector to assist in the accomplishment of its mission (www.doe.gov/about/index.htm) and program objectives. Organizations and individuals are encouraged to submit proposals which are relevant to the DOE's research and development mission either in response to formal DOE solicitations and opportunity announcements or through self-generated unsolicited proposals.

In the solicited area, program sponsors issue competitive announcements and solicitations to involve the public in a basic or applied research and development project. Additionally, broad competitive announcements/solicitations that may cover multiple projects are also issued by program offices. The predominance of DOE's funding for research and development is awarded through competitive financial assistance funding opportunity announcements (FOA)

The Department of Energy (DOE) makes awards as a result of competitive announcements and solicitations. An unsolicited proposal (which would fall under a noncompetitive process) may be considered if it represents a unique or innovative idea that would not otherwise be eligible under a known agency competitive announcement. You can access DOE grant opportunities at; http://www.grants.gov/search/search.do;jsessionid=F0QjLvyVnLPBSpw45PyH1yZVkj8LtyhRT6pXGn8ML1cJV4r56NrL!-769876458?mode=AGENCYSEARCH&agency=DOE; competitive announcements for the Recovery Act at www.energy.gov/recovery/funding.htm; competitive announcements for the National Energy Technology Laboratory (NETL) can be accessed at www.netl.doe.business/solicitations/index.html.

All organizations/individuals that want to do business with the Dept. of Energy must be registered with the Central Contractor Registration (CCR). **CCR registration may be completed at http://www.ccr.gov.**

The website at **www.grants.gov** is used to find and apply for financial assistance opportunities, but registration is required in CCR and FedConnect (www.fedconnect.net) to apply.

The General Services Administration provides access to the Catalog of Federal Domestic Assistance (CFDA), which is a government-wide compendium of Federal programs, projects, services, and activities that provide assistance or benefits to the American public. The website contains financial and non-financial Federal assistance programs. If you would like to identify future opportunity announcements and register to obtain grant e-mail notifications of those that may interest you, go to www.grants.gov. After clicking on 'Find Grant Opportunity,' you may apply for notifications under 'e-mail subscriptions'; then click on 'Notices Based on Advanced Criteria' to subscribe for specific areas that interest you. You will have to insert a Catalog of Federal Domestic Assistance (CFDA) number on this page. The General Services Administration provides access to the CFDA, which is a government-wide compendium of Federal programs, projects, services, and activities that provide assistance or benefits to the American public. The website contains financial and non-financial Federal assistance

programs. The CFDA website is located at www.cfda.gov , under "Search" (right side of screen), click "Find Programs by Agency". The Dept. of Energy CFDA numbers can be located at https://cfda.symplicity.com/?s=agency&mode=form&tab=program&id=f9b483c381bd2a656b43cec368f9438f. Once there, you will be able to access the majority of DOE's financial assistance programs that fall within Science and Technology and Other Research & Development.

The unsolicited proposal is another method used by the DOE to fund research and development. An "Unsolicited Proposal" is an application for support of an idea, method, or approach which is submitted by individuals, businesses, and organizations solely on the proposer's initiative, and not in response to a "formal" Government solicitation or announcement. Funding of unsolicited proposals is considered a noncompetitive action and DOE is under no obligation to fund a meritorious unsolicited proposal due to funding limitations or other program priorities.

There are a number of applicable regulations relating to criteria governing acceptance and funding of an unsolicited proposal, principally, they are:

- Title 48 Code of Federal Regulations (CFR), Chapter 1, The Federal Acquisition Regulation (FAR) Subpart 15.6 - Unsolicited Proposals;

- Title 48 CFR, Chapter 9, the Department of Energy Acquisition Regulation (DEAR) Subpart 915.6 - Unsolicited Proposals; and

- Title 10 CFR, Part 600.6 Financial Assistance Rules.

This guide is directed towards helping those prospective individuals, businesses, or organizations interested in submitting unsolicited proposals. It offers an overview of the unsolicited proposal process and describes the policies and procedures for the preparation and submission of an unsolicited proposal document to the DOE.

PART 1 — SUBMITTING AN UNSOLICITED PROPOSAL

The DOE encourages the submission of unsolicited proposals that will contribute to its mission objectives. DOE considers proposals in all areas of energy and energy-related research and development with emphasis on long-term, high-risk, high-payoff technologies.

An unsolicited proposal may be accepted by DOE if it:

- Demonstrates a unique and innovative concept, or demonstrates a unique capability of the submitter;
- Offers a concept or services not otherwise available to the Government;
- Does not resemble the substance of a recent, current or pending competitive solicitation/announcement; and,
- Is independently originated by the proposer without Government supervision.

The unsolicited proposal is the document intended to persuade the staff of the DOE and other qualified members of the scientific and engineering community who review and advise on the proposed work, that the project represents a worthwhile approach to the investigation of an important, timely problem. Each proposal should be self-contained and written with clarity and thoroughness.

In the unsolicited proposal, the proposer must present objectives and the pertinence of the proposed work to DOE, the rationale of the approach, the methods to be pursued, the qualifications of the investigators and the institution, if applicable, and the level of funding required to attain the objectives.

Part 3 of this guide lists the various DOE program offices, with a brief description of each and contact point. Further insight into general areas of current and anticipated research needs can be gained by following the progress of related work at the websites identified under each of the DOE programs in Part 3.

Who May Submit

DOE will consider unsolicited proposals submitted by any individual or organization. This guide is prepared for the benefit of all prospective proposers including individuals, commercial firms, non-profit research organizations, and educational institutions. These guidelines are designed as general instructions/information. If the format is not suitable for a particular proposal, it should be modified as may be appropriate under the circumstances.

Submission

DOE is not responsible for costs incurred in the preparation of proposals. The proposer may inquire informally via an abstract submission regarding the possible interest of DOE in the research and development area involved prior to the formal submittal of a proposal. This approach will determine if the work proposed is sufficiently related to the current DOE mission goals to warrant a formal submission, the level of funding support currently being expended in that field, and whether DOE has any programmatic interest in the type of work being proposed. In order to determine whether your technology has any relevance to DOE's program objectives and fits any current or planned competitive DOE announcements/solicitations, **you may submit, by e-mail (preferred) or in writing, a structured/detailed technical abstract/summary of at least 500 words. The abstract should briefly describe your technology.** ***If your abstract does not include the (3) criteria below, it will be returned for re-submittal.***

Abstract Sample format: (3 separate paragraphs)

1. **What you propose to do and how (summary of at least 500 words)**

2. **Why it is beneficial to DOE**

3. **How the technology meets DOE's mission (www.doe.gov/about/index.htm).**

This approach will allow us to locate the appropriate DOE office that has programmatic responsibility for a particular area of research. Once we have identified the cognizant program area within DOE, we will forward your abstract to that program area for review to determine programmatic interest and whether or not it would fit under any of DOE's competitive announcements/solicitations.

If you have already prepared or would prefer to generate and submit a full unsolicited proposal, you may submit it to our attention. However, you have the option to submit a technical abstract following the above guidelines to determine potential interest.

Abstract submissions must be sent via e-mail to DOEUSP@NETL.DOE.GOV.

The option to submit an abstract or a full proposal does not imply the potential of DOE funding for a research idea. It merely serves to assist DOE in determining if there is any interest in an idea, concept or technology from our perspective.

When to Submit

There are no specific dates for the submission of unsolicited proposals. However, because a comprehensive review is required before a proposal can be acted upon, new proposals should be submitted as early as possible, usually six months in advance of the desired beginning of support. Receipt of proposals will be acknowledged and the proposer will be notified when a decision is made on the proposal. If a proposer wishes to have a proposal withdrawn from consideration, he/she should promptly notify DOE in writing.

It is the policy of DOE to evaluate each proposal fairly and objectively, and to process proposals expeditiously and, where practicable, to keep proposers advised as decisions are made.

Where to Submit

The office below is the central point for the receipt, distribution, and tracking of DOE unsolicited proposals. Full proposals received are acknowledged and assigned a DOE-USP identification (tracking) number. The number appears in the acknowledgment letter and should be referenced in all subsequent communications pertaining to the proposal. Abstracts are not assigned an identification number until it is warranted that a full proposal should be submitted. Your submission should be sent to:

John Augustine
Unsolicited Proposal Manager

U.S. Department of Energy
National Energy Technology Laboratory
626 Cochrans Mill Road
P.O. Box 10940, MS 921-107
Pittsburgh, PA 15236-0940

DOEUSP@NETL.DOE.GOV

A proposal may be a potential candidate for support by more than one DOE program office. The cognizant receiving office is familiar with the DOE areas of interest and tries to ensure that each research proposal is sent to the potentially interested program offices.

What to Submit

The unsolicited proposal forms the basis for further technical evaluation and potentially a contract or grant award. There is not a particular format to follow for the submission of unsolicited proposals but **we prefer submission via Email**. All unsolicited proposals should cover the points discussed in this guide. If you must submit in writing, please submit one unbound copy of the

proposal. Unsolicited proposals should be signed by an authorized official of the proposing organization or by the proposer if submitted by an individual.

Elaborate proposals or presentations are not desired. Each applicant should review the submission to ensure that all data necessary for critical evaluation is included initially. Correspondence generated by omission of essential items delays processing of proposals. The following is a list of essential items that an unsolicited proposal should contain.

Cover Page

A sample cover page format has been included in Appendix A.

Basic Information

1. Name and address of submitter.

2. Proposal submission date.

3. Type of business (indicate whether profit, nonprofit, educational, small business, woman- owned, socially and economically disadvantaged, or other).

4. Proposed starting date and estimated period of performance.

5. Period for which proposal is valid (minimum of six months from date of submission).

6. Names and telephone numbers of the proposer's primary business and technical personnel whom DOE may contact for evaluation or negotiation purposes.

7. Signature of person authorized to contractually represent the individual or organization.

8. List of other Federal, State, or local government agencies or private organizations to which the proposal has been submitted and/or those funding the proposed effort.

9. Statement that the proposal may, or may not, be subjected to external review. (See "Limited Use of Data.")

10. Statement that the proposal does/does not contain proprietary information.

If you choose to include proprietary information in your proposal, the title page must be marked with the following legend:

"USE AND DISCLOSURE OF DATA"

This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this

proposal. However, if a contract is awarded to this offeror as a result of-or in connection with-the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in these data if they are obtained from another source without restriction. The data subject to this restriction are contained in *[insert page numbers].*

The proposer must also mark each page of data it wishes to restrict with the following legend:

> *Use or disclosure of data contained on this page is subject to the restriction on the title page of this proposal.*

Any unsolicited proposal marked with a legend different from that provided above will be returned to the offeror and the proposal cannot be considered because it is impracticable for the Government to comply with the legend. The proposal will be considered if it is resubmitted with the proper legend.

Business and Financial Information

1. A cost estimate for the proposed effort sufficiently detailed by element of cost to permit a meaningful evaluation (where a cost-sharing arrangement is proposed, the proposer's share should be separately identified and similarly detailed);

2. A descriptive brochure if available of the proposer's organization, if applicable; and

3. A brief description of the proposer's facilities.

Technical Information

1. A concise title and about a 500-word abstract of the proposed research. The abstract should be informative to other re-searchers in the same field, but in language that can be understood by an intelligent layman. It should be kept in mind that the abstract is the reviewer's introduction to the proposed research.

2. The body of the proposal should contain a statement of the work plan with sufficient technical detail to permit a meaningful evaluation: the phase-by-phase procedures to be followed; the objectives and expected significance; the method of approach and extent of the effort employed; the nature and extent of the anticipated results; the manner in which the work will help to support accomplishment of the DOE's mission (**www.doe.gov/about/index.htm**); the relation of the study both to the present state of knowledge in the field and to comparable work in progress elsewhere; and, a bibliography of pertinent literature. Particularly important are references authored by the proposer. The general plan of approach should be out lined. Experimental methods and procedures should be adequately described. Appraisal of the scientific merit of the

proposed research will be influenced in large measure by this presentation. It is understood that carefully detailed plans may require modification during the course of the research.

3. Available facilities and major items of equipment especially adapted or suited to the proposed research should be described. If all or any part of the project is to be performed away from the proposer's facility, this should be explained in full.

4. Names of key project personnel including the principal investigator or project leader along with brief biographical in-formation on each, clearly showing the investigator's experience and expertise in the technical area(s) of the proposal.

Limited Use of Proposal Data

It is the policy of DOE that all Government and non-Government personnel handling unsolicited proposals shall exercise extreme care to ensure that the proposal information is not duplicated, used, or disclosed in whole or in part for any purpose other than to evaluate the proposal, without written permission of the offeror.

In some instances the proposal may be subject to evaluation by Government personnel outside the Department and/or by leading scientists or preeminent experts outside the Government.

In such instances a written agreement will be obtained from any non-Government evaluator that the evaluator will not disclose information in the proposal outside the Government.

If a proposal under consideration expressly states that only Government evaluation is authorized and DOE believes that evaluation outside the Government is necessary to determine the technical merit of the proposal, the proposer may be advised that DOE will be unable to give full consideration to the proposal unless the proposer consents in writing to having the proposal evaluated outside the Government.

If a proposal contains proprietary data, it shall be marked in accordance with the procedure in the FAR 15.609 or 10 CFR 600.15. These regulations provide specific coverage and language to be included in a proposal to identify those parts of the proposal which are proprietary.

Classified Research and Security Considerations

Most solicitations of proposals for DOE projects are unclassified (i.e., in terms of national security). Unsolicited proposals are expected to be unclassified. If it is not feasible to submit an unclassified proposal and classified data or information is to be included or used, the proposal must be classified in accordance with its content. Additionally, if during the evaluation of an unsolicited proposal it is found that the work will involve a classified topic, any resulting business arrangement will take this into account and the proposer will be required to comply

with applicable Government security regulations. Appropriate classification guidance will be furnished.

Guidance with regard to the preparation, handling, submission and disposition of a classified proposal may be obtained from contacting the DOE Unsolicited Proposal Office found on page 1 of this guide.

Patents, Data, and Copyrights

Small business and nonprofit organizations generally have the right to elect to retain title to inventions they make in the performance of DOE funding agreements (grants, contracts, and cooperative agreements) for experimental, developmental, or research work unless DOE determines that exceptional circumstances require a different disposition of rights. (Public Law 96-517, amended by Public Law 98-620.)

Organizations which are not small business or nonprofit organizations are subject to DOE's statutory patent policy under Section 152 of the Atomic Energy Act of 1954, as amended and Section 9 of the Federal Non-nuclear Energy Research and Development Act of 1974. Under this policy, title to inventions conceived or first actually reduced to practice in the course of or under a contract, grant, or cooperative agreement with DOE vests in the Government, and the contractor receives a royalty free, nonexclusive, revocable license for use of such inventions. The contractor or grantee may request greater rights to inventions under the DOE's waiver procedures; such requests are governed by DOE's waiver procedures set forth in 10 CFR 784. Proposers intending to make such requests should submit them to the contracting officer as soon as possible prior to award or within thirty days thereafter.

Policies governing patents under contracts are contained in 48 CFR 927.3 and in 10 CFR 600.27 for financial assistance actions.

To preserve existing rights it is suggested that those who believe that they have patentable inventions should file, as a protection to themselves and to the Government, necessary patent applications with the U.S. Patent and Trademark Office.

The DOE will obtain unlimited rights in technical data and copyrighted material submitted in an unsolicited proposal if it is subsequently selected for award of a contract or grant. Unlimited rights apply to technical data and copyrighted material contained in the proposal unless the proposer marks those portions which it asserts are "proprietary data," or specifies those portions which are not directly related to or utilized in the contract work. Policies governing technical data and copyrights are detailed in 48 CFR 927.4.

Reports

Offerors submitting unsolicited proposals should be aware that if selected for funding, a number of reporting requirements will be required. A schedule of reports will be arranged at time of award.

The selection of appropriate reports, their frequency and the amount of detail required will vary based on factors such as the program objectives, amount of funding, and type of instrument awarded. DOE program managers have been instructed to use discretion in report selection in order to keep administrative burdens to a minimum. Usually, an annual progress report is sufficient for fundamental research. Applied research and development will vary as just described. In any event, a final report will be required.

Acquisition and Assistance Awards

An unsolicited proposal may, if accepted, result in an acquisition (contract) or an assistance (grant or cooperative agreement) award. A contract is used when the principal purpose is the acquisition of an item or service for the direct benefit or use of the Federal Government. A grant would be awarded when no substantial involvement is expected between DOE and the recipient during performance of the contract, while a cooperative agreement would be used when substantial involvement between the DOE and the recipient is expected. The decision to award an acquisition or assistance instrument will be made by the program office funding the effort.

Cost Sharing or Cost Participation

The decision as to whether an acquisition or assistance agreement will include either a cost-sharing or cost-participation provision, respectively, is made on a case-by-case basis. Normally, DOE will fully fund the early phases of basic research and development programs. However, subsequent phases of those programs, which provide the performer with present or future economic benefits through commercialization, will require some form of cost-sharing or cost participation.

Accounting System Requirements: Should your proposal be selected for negotiation toward award, you must have an accounting system that meets government standards for recording and collecting costs. If you have not had prior government awards, a government audit may be requested to verify that the accounting system is acceptable. The award may contain an article that prohibits reimbursement until the system is deemed acceptable.

PART 2 — REVIEW AND EVALUATION

Initial Review

Before a detailed evaluation of an unsolicited proposal will be undertaken, it will be initially reviewed to determine if the proposal contains sufficient technical and cost information, has been approved by a representative authorized to contractually obligate the proposer, and properly complies with any data disclosure restrictions.

If the document contains most of the information required, the proposal will be processed and any missing information may be requested by the program office from the proposer so that it may be reviewed and evaluated as an unsolicited proposal.

Evaluation

The DOE is not required to perform comprehensive evaluations of unsolicited proposals not related to its mission.

The principal elements considered in evaluating a proposal are:

1. Unique and innovative methods, approaches, or concepts demonstrated by the proposal;

2. Overall scientific/technical or socioeconomic merit of the proposed activity;

3. Potential contribution of the effort to the DOE's specific mission;

4. The proposer's capabilities, related experience, facilities, techniques, or unique combinations of these which are integral factors for achieving the proposal objectives;

5. The qualifications, capabilities, and experience of the proposed principal investigator, team leader, or key personnel who are critical in achieving the proposal objectives;

6. The realism of the proposed costs;

7. The availability of funding to support the proposed project and the relative merit of the project to others which could be supported with the same funds.

Unsolicited proposals may be accepted upon a determination by the responsible official or designee, that support (award of a contract/grant or other arrangement as authorized by law) to the proposer is justified because the proposal was submitted on the proposer's own

initiative; and the purpose is to explore a method, approach, or an idea or to carry out an initial development in support of DOE's mission which (a) demonstrates a unique and innovative concept, or, demonstrates a unique capability of the proposer to provide the particular research sciences proposed; (b) offers a concept or services not otherwise available to the government; and (c) does not duplicate or resemble the substance of a pending competitive acquisition [FAR 6.302-l(a)(2)(i)].

A favorable comprehensive evaluation of an unsolicited proposal is not, in itself, sufficient justification for executing a noncompetitive award with the offeror. When a document qualifies as an unsolicited proposal, but the substance (a) is available to the Government without restriction from another source, or (b) closely resembles that of a pending competitive solicitation, or (c) does not demonstrate an innovative and unique method, approach or concept, the unsolicited proposal shall not be accepted [FAR 15.607 (a)].

DOE has no obligation to make an award even if the technical evaluation is favorable, since other program priorities or funding limitations may preclude such action.

The proposer will be notified if it is decided that the proposal will not be supported. Copies of unsolicited proposals which have been declined will not normally be returned except on the written request of the principals involved.

If, on the other hand, the decision is made to support the proposal, the proposer will be advised and may be asked to submit additional details, revised budgets, or simply a confirmation of the proposal goals. Plans for getting the project underway may be firmed up at this time, but no real commitment of funds may be made until a formal notification action is completed.

A proposer may propose activities that are also of interest to other agencies. Interagency proposal evaluation may be initiated with the prior written approval of the proposer. If found acceptable, an agency may write a separate contract/grant or jointly fund the program with another agency having a collateral interest.

PART 3 — RESEARCH AREAS

Program Offices

The various DOE program divisions and staff offices that consider unsolicited proposals and their respective areas of responsibility are discussed below.

Office of Science (SC)

The Office of Science (SC) publishes an annual notice of availability in the Federal Register for this program as well as other notices of availability for scientific areas that are of particular interest. Instructions and required forms for preparing an application and understanding the SC review and funding process are contained in the Office of Science Financial Assistance Program, Grant Application Guide, located at **www.science.doe.gov/grants/**.

The Application Guide also provides a more detailed description of SC programs and program contacts. Potential applicants are encouraged to contact SC program staff for pre-application technical assistance and/or for more specific information regarding funding opportunities. The scientific areas of interest to SC are listed below:

1. Basic Energy Sciences, which includes:
   - (i) Materials Sciences
   - (ii) Chemical Sciences
   - (iii) Engineering Research
   - (iv) Geosciences
   - (v) Energy Biosciences

2. High Energy and Nuclear Physics, which includes:
   - (i) High Energy Physics
   - (ii) Nuclear Physics (includes Nuclear Data Program)

3. Advanced Scientific Computing Research, which includes:
   - (i) Mathematical, Information and Computational Science
   - (ii) Applied Mathematics
   - (iii) Computer Science
   - (iv) Networking

4. Fusion Energy Sciences, which includes:
   (i) Life Sciences Research
   (ii) Medical Applications and Measurement Science
   (iii) Environmental Remediation
   (iv) Environmental Processes

Unless otherwise directed by a specific notice in the Federal Register, all applications must be submitted directly to SC at the following address:

Contact:

Office of Science
Grants and Contracts Division, SC-64
U.S. Department of Energy
19901 Germantown Road
Germantown, MD 20874-1290
Kim Liang
Email: kim.liang@science.doe.gov

Energy Efficiency and Renewable Energy (EE)

The mission of the Office of Energy Efficiency and Renewable Energy (EERE) is to develop cost competitive clean energy technologies and practices and facilitate their commercialization and deployment in the marketplace to strengthen America's energy security, environmental quality, and economic vitality. EERE achieves their mission through a strong and balance of research, development, and market development through private sector partnerships. EERE is organized around 10 energy programs:

- Biomass Program
- Building Technologies Program
- Federal Energy Management Program
- Vehicle Technologies Program
- Geothermal Technologies Program
- Fuel Cell Technologies Program
- Industrial Technologies Program
- Solar Energy Technology Program
- Wind & Water Power Technologies Program
- Weatherization & Intergovernmental Program

For information on the different Energy Programs within the Office of Energy Efficiency and Renewable Energy, visit their homepage at: www.eere.doe.gov.

Contact:

Unsolicited Proposal Coordinator
Kim Wade
Email: Kim.wade@ee.doe.gov

Fossil Energy

The Energy Department's Fossil Energy organization is made up of about 1,000 scientists, engineers, technicians and administrative staff. Its headquarters offices are in downtown Washington, DC, and in Germantown, Maryland. The organization also includes the National Energy Technology Laboratory with offices in Morgantown, WV, Pittsburgh, PA, Sugar Land, TX, Albany, OR, and Fairbanks, AK; the Strategic Petroleum Reserve based in New Orleans, LA; and the Rocky Mountain Oilfield Testing Center in Casper, Wyoming.

The Office of Fossil Energy is responsible for several high-priority initiatives including implementation of the $2 billion, 10-year Clean Coal Power Initiative to develop a new generation of environmentally sound clean coal technologies, and the nation's Strategic Petroleum Reserve and Northeast Home Heating Oil Reserve, both key emergency response tools available to the President to protect Americans from energy supply disruptions.

Fossil Energy has received $3.4 billion from the American Recovery and Reinvestment Act for initiatives focusing on research, development and deployment of technologies to use coal more cleanly and efficiently. Investments will go toward finding and testing new ways to produce energy from coal - such as gasification - and improving techniques to clean or capture and store the carbon dioxide emissions from coal-fired power plants.

The Fossil Energy Home Page is at: http://www.fe.doe.gov.

Solicitations issued by NETL for FE Programs can be viewed at:
http://www.netl.doe.gov/business/solicitations/index.html.

Contact: John Augustine
Unsolicited Proposal Manager
Email: DOEUSP@NETL.DOE.GOV

Nuclear Energy

The Office of Nuclear Energy represents the core of the U.S. Government's expertise in nuclear engineering and technology and provides technical leadership in addressing critical nuclear issues, contributing to energy supply diversity, and advancing U.S. competitiveness and security. We provide nuclear products and services that meet the needs of the U.S. and the world community in a safe, environmentally sound, and economical manner; encourages public involvement in our programs; and provides information to increase public knowledge. Details about our programs in the areas of nuclear power research and development, space power systems, facilities management, and science education can be found at our website: **www.nuclear.gov/**.

Contact:

Unsolicited Proposal Coordinator
Office of Budget and Planning
Karen Tappert
Email: karen.tappert@nuclear.energy.gov

Advanced Research Projects Agency – Energy (ARPA-E)

The Advanced Projects Research Agency – Energy (ARPA-E) was established within the U.S. Department of Energy (DOE) under the 2007 America Competes Act. Modeled after the successful Defense Advanced Research Projects Agency (DARPA), ARPA-E focuses exclusively on high risk, high payoff concepts that the private sector is unlikely to finance— technologies promising genuine transformation in the ways we generate, store, and utilize energy.

ARPA-E will not support (1) projects that wholly comprise basic science or (2) incremental improvements in existing technologies. Instead, ARPA-E funds the development of game-changing technologies that have the potential to leapfrog existing technologies.

Specifically, ARPA-E aims to fund the development of transformational energy technologies that will:

- enhance the economic and energy security of the United States by reducing imports of energy from foreign sources, decrease energy-related emissions (e.g., greenhouse gases), and improve energy efficiency of all economic sectors, and
- ensure that the United States establishes or maintains a technological lead in key energy sectors.

To learn more about ARPA-E, the technologies the agency is funding, and current solicitations, visit: http://www.arpa-e.energy.gov

Contact:

Unsolicited Proposal Coordinator
Matthew Dunne
Email: matthew.dunne@hq.doe.gov

Civilian Radioactive Waste Management

The Office of Civilian Radioactive Waste Management (RW) was established by the Nuclear Waste Policy Act (NWPA) of 1982 (42 U.S.C. 10224). The Office has responsibility for the Nuclear Waste Fund and for the management of Federal programs for siting, licensing, constructing, and operating a repository for disposal of high-level radioactive waste and spent nuclear fuel; accepting and transporting high-level radioactive waste and spent nuclear fuel to a repository in 2010.

NWPA permits funding from the Nuclear Waste Funds' monies only for nongeneric research, development and demonstration activities directly supporting the development of RW's systems.

For additional information on this program, visit their website at **www.ocrwm.doe.gov**.

Contact:

Unsolicited Proposal Coordinator Contract Management Division
Craig Jordahl
Email: craig.jordahl@ymp.gov

Environmental Management

During the past nine years of its existence, the Department's Office of Environmental Management (EM) program has made significant progress in meeting the enormous challenge of cleaning up the nuclear weapons complex. In the initial stages of the program, the focus was on characterizing waste, assessing the magnitude of contamination, stabilizing material, addressing urgent risks and achieving regulatory compliance. The current focus is on completing the cleanup mission by establishing an acceleration and closure strategy.

EM's mission is realized through the following program areas: waste management; stabilization of nuclear material and spent fuel, deactivation and decommission of facilities, remedial actions to soil and water; infrastructure and support; and national programs focused on activities including science technology development, transportation, emergency management, and pollution prevention. The EM program is executed through 11 operations/field offices across the United States.

To reduce the costs of the massive cleanup effort, the Environmental Management program continues to seek significant opportunities to accelerate cleanup without jeopardizing the safety of workers, communities, or the environment. The EM program has identified the six performance enhancement mechanisms (see Page 15) to assist in meeting the challenges of accelerating cleanup and reducing related costs.

For additional information on this program, visit their website at **www.em.doe.gov**.

Contact:

Unsolicited Proposal Coordinator
Nancy Gareis
Email: nancy.gareis@emcbc.doe.gov

EM Program Performance Enhancement Mechanisms

Mechanism	Achieves Efficiency By
Technology Deployment	Introducing less expensive and more effective cleanup technologies.
Integration	Identifying better ways to transfer and manage wastes among sites.
Project Sequencing	Concentrating on completing projects with high "upkeep" costs.
Pollution Prevention	Reducing waste volumes and associated disposal costs.
Contract Reform	Creating incentives for contractors to work more productively.
Lessons Learned	Increasing productivity through sharing of lessons learned.

Health, Safety, and Security

The Office of Health, Safety and Security (HSS) is the Department of Energy's central organization responsible for health, safety, environment, and security; providing corporate-level leadership and strategic vision to coordinate and integrate these vital programs. HSS is responsible for policy development and technical assistance; safety analysis; corporate safety and security programs; education and training; complex-wide independent oversight; and enforcement. The Chief Health, Safety, and Security Officer advises the Deputy Secretary and the Secretary on all matters related to health, safety, and security across the complex.

For additional information on this program, visit their website at http://hss.energy.gov/mission_functions.html.

Contact:

Unsolicited Proposal Coordinator
Ron Barnes
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National Nuclear Security Administration (NNSA)

NNSA Planned Organization

The Associate Administrator for Management and Administration will ensure that the management of budget, finance, procurement, information, and people is efficient and serves the needs of the program components. The Associate Administrator for Facilities and Operations will ensure responsible stewardship of our facilities and will be successful only if these facilities are available to the program components for missions.

The Defense Programs component will maintain the safety, security, and reliability of the nuclear stockpile. NNSA has made significant strides in that area with the Department of Defense—it is implementing plans for detailed, requirements-driven stockpile life extension and refurbishment. Defense Programs will direct planning and set goals for production at the plants and laboratories and for the science-based stockpile stewardship activities at the national laboratories and test sites.

The Defense Nuclear Nonproliferation component will continue to reduce the threats posed by weapons of mass destruction; strengthen nonproliferation institutions and norms; improve the security of weapons-usable materials in Russia, the New Independent States, and other areas of concern; develop technologies to prevent nuclear smuggling, detect proliferation, and respond

to possible domestic chemical or biological weapons use; and reduce the danger posed by unsafe operation of Soviet designed reactors worldside.

Nuclear Nonproliferation

Mission — Enhance U.S. national security by promoting nuclear nonproliferation, reducing global danger from weapons of mass destruction, advancing international nuclear safety and safeguards, and eliminating inventories of surplus fissile materials usable for nuclear weapons.

For additional information on this program, visit their website at **http://www.nnsa.doe.gov**.

Contact:

Unsolicited Proposal Coordinator
Richard Medlin
Email: richard.medlin@nnsa.doe.gov

Small Business Innovation Research Program

The purpose of the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs including increasing private sector commercialization of technology developed through DOE-supported R&D (research and development), stimulating technological innovation in the private sector, and improving the return on high-quality research for economic and social benefits to the nation. DOE supports high-quality research or research and development on advanced concepts concerning important mission-related scientific or engineering problems and opportunities that could lead to significant public benefit if the research is successful. Applications are accepted for competitive evaluation in response to an annual Program Solicitation. Approximately 300 Phase I awards are made for a nine-month project period in an amount not to exceed $100,000 each. The Phase I awardees are eligible to compete for Phase II funding, not to exceed $750,000, for a two-year project period to further develop their work. For the commercialization phase (Phase III) the small business seeks funding from non-Federal sources outside the SBIR program. Also, under Phase III, Federal agencies may award non-SBIR/STTR funded follow-on grants or contracts for (1) products or processes that meet the mission needs of those agencies, or (2) further research or R&D.

For additional information on this program, visit their website at www.science.doe.gov/sbir.

Contact:

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19901 Germantown Road
Germantown, MD 20874
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Office of Cyber Security (IM30), OCIO

The Office of Cyber Security, directly supporting the DOE Chief Information Security Officer, provides staff support to the Office of the Chief Information Officer (OCIO) and program offices at DOE Headquarters. The DOE's cyber security program exists to support the DOE mission in a world with constantly evolving threats. In the Office of Cyber Security's advisory role, new cyber security technologies, procedures, and protocols can benefit the entire DOE enterprise. US industry and academia are invited to bring forth their best ideas to contribute to reliable cyber security across the DOE.

The Office of Cyber Security welcomes proposals that are cutting-edge, unique, and innovative approaches to the security needs of the DOE enterprise and the DOE field sites. Here are only a few of the areas of interest: Identity, Credential and Access Management Computer Forensics Security Automation Cloud Computing Security Compliance Management

To learn more about doing business with DOE Headquarters, visit
http://management.energy.gov/business_doe/hq_services.htm

Contact:

Unsolicited Proposal Coordinator
Office of Cyber Security
Email: CS-VendorRelations@hq.doe.gov

APPENDIX A

UNSOLICITED PROPOSAL COVER SHEET

Proposal Receipt Date: _____ USP # _____
(internal use)

DUNS No.: _____ DOE Amount Requested: $ _____

Taxpayer Identification No.:_____ Proposed Cost Share: $_____

Congressional District No.:_____ Total Project Value $:_____

Organization Name: _____

Doing Business As (DBA), if applicable: _____

Division: _____

Street Address: _____

City/State/Zip + 4: _____

Email Address: _____

Business Contact/Phone/FAX/Email:_____

_____

Principal Investigator/Phone/FAX/Email:_____

_____

Major Team Member/Subcontractor (if applicable): _____

Proposal Title: _____

Proposed Project Duration _____ months Proposal Valid Through _____ (6 months is recommended)

Organization Type _____	Support Type _____	Socio-Economics Type _____
1-Educational	1-Development	1-Disadvantaged Business
2-Foreign	2-Institutional Support	2-Small Business
3-Government	3-Interdisciplinary	3-Women Owned
4-Hospital	4-Research	
5-Indian	5-Training	
6-Individual	6-Other	
7-Non-Profit		
8-Profit		

The proposal **does** _____ **does not** _____ contain proprietary information. (Check one)

This proposal **may** _____ **may not** _____ be subjected to external review. (Check one)

Name of other Federal, state, local agencies, or parties receiving the proposal or funding the proposed effort:

_____

Signature of person authorized to represent
and contractually obligate the offeror: _____