



*IMPORTANT NOTICE*

*Requests for Grant Applications (RFA) AEA-12-047*

*for*

*Emerging Energy Technology Fund Grant Program*

**RFA ISSUE DATE: January 27, 2012**

Interested applicants that want to be notified of updates or changes to the Emerging Energy Technology Fund Grant request for Applications **MUST** follow the directions below; otherwise the Authority will be unable to notify applicants of possible addenda to this RFA.

To receive email notices regarding the Emerging Energy Technology Fund Grant Program, click on the link below to the State of Alaska List Server; scroll down until you find EmergingEnergyFund click 'Join' and follow the instructions. ([State of Alaska List Server](#))

**Public Records Notice to Applicants:**

- Alaska Energy Authority (AEA) is subject to the Public Records Act, [AS 40.25](#). All materials submitted to the Authority should be presumed to be subject to public disclosure requirements under the Act. Applicants for grants under this program are strongly encouraged to submit their applications without including any information that the applicant would not want publicly displayed on AEA's Web site.
- Without limiting the preceding paragraph: an applicant may request in writing that specifically designated sections of the applicant's grant application be kept confidential by AEA. The applicant's request for confidentiality must: (a) be in writing, and be submitted concurrently with the application to which it refers; (b) for each line, paragraph or page for which confidentiality is requested, state all the reasons why the applicant is seeking confidentiality; and (c) certify that the applicant has never permitted the referenced information to be placed in any other public files, in any state, city, or other jurisdiction. See section 4.13 of this RFA for further detail related to requests for confidentiality.

**Return Completed Applications to:**

Alaska Energy Authority  
**AEA Emerging Energy Technology Grant Application AEA-12-047**  
813 West Northern Lights Blvd  
Anchorage, AK 99503

**Applications are due at the Alaska Energy Authority office by 5PM Alaska Time on Friday, March 9, 2012. Emailed applications cannot be accepted; hard-copies of applications must be submitted.**

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## **1 Purpose**

Pursuant to [AS 42.45.375](#) (referred to below as the program legislation), which establishes the Emerging Energy Technology Grant Fund, the Alaska Energy Authority (“AEA” or “Authority”) is soliciting competitive applications from qualified applicants. Applications will be accepted and evaluated in accordance with [AS 42.45.375](#), 3 AAC 107.700 - 3AAC 107.799 and this Request for Applications (RFA).

### **1.1 Goal**

Promote the expansion of reliable and affordable energy sources available to Alaskans. In order to achieve this goal, the EETF application process and program aims to promote:

1. Clear, rigorous application and review processes.
2. Constructive oversight of projects in order to ensure that the technologies work as advertised, both technically and economically.
3. Development of entities to continue deployment (businesses, etc.).

### **1.2 Government Roles and Responsibilities**

The Alaska Legislature established the Emerging Energy Technology Grant Fund Chapter 83 (SLA 2010), which the legislature enacted in 2010. This bill included a new statute, [AS 42.45.375](#), outlining the program and giving the Alaska Energy Authority responsibility for administering the program.

The Authority is a public corporation of the State of Alaska with the purpose to promote, develop, and advance the general prosperity and economic welfare of the people of the State by providing a means of financing and operating power projects and by carrying out the powers and duties assigned to it. [AS 42.45.375](#) gives AEA the authority to solicit applications for projects, develop and implement regulations.

A seven member Advisory Committee appointed by the governor has been established for the Authority to perform the scoring of abstract and formal applications, and provide final recommendations of projects to the Authority. In conducting the merit review evaluation, the state may also seek the advice of qualified personnel who are not members of the Advisory Committee.

The AEA Program Manager is responsible for developing, coordinating, and facilitating the EETF grant selection process. The AEA Grant Manager is responsible for accepting applications, coordinating the grant evaluation of all applications, and developing the list of grant projects to be funded.

An AEA Project Manager will be assigned to assist each grantee whose application is selected for grant funding. Tasks and level of the Authority project management will vary according to the project management plan developed under the grant agreement. At a minimum, the AEA Project Manager will clarify grant requirements, review reports and billings, and track progress of the grant project.

The state reserves the right to conduct an independent third party review of financial capability for applicants selected for negotiation of an award. The Authority may hire a neutral party to provide independent performance review of the projects.

## **2 Instructions and Requirements for Submitting and Application**

### **2.1 Formatting Requirements**

Applications should have a minimum font size of 11 point, single spacing spaced, all margins a minimum of 0.75”, paper size 8.5”x11”, and pages bound in a low-profile method (i.e. no 3- ring binders). Additionally, each page should be numbered in the footer, and the header should include the title, applicant name. The format of the application should follow the sequence outlined below in sec. 2.2. It is not required to label all subheadings listed in sec. 2.2, but for ease of scoring, any collapsing of subheadings should be easily recognized.

## 2.2 Abstract Application Structure and Requirements

The project application is limited to a minimum of two pages and a maximum of four pages, not including a cover page and proof of eligibility. In order to be evaluated, the application must include the following information.

### Cover Page (not part of page limit)

1. Project Title
2. Applicant contact information
3. Partners
4. Total project cost; Grant funds requested; Match committed (sec. 4.5)
5. Previous project/application title(s) and/or number(s) for grants from the Renewable Energy Fund or Denali Commission Emerging Energy Technology Grant program
6. Previous Project title(s) for abstracts submitted to the Emerging Energy Technology Fund, if applicable.

### Abstract (minimum of two pages and a maximum of four pages)

#### 1. Project Summary

- a. **Project Description:** Provide a summary description of the project.
- b. **Project Eligibility:** Provide a summary explanation of how the project is an eligible emerging energy technology demonstration project, as outlined under AS 42.45.375(c)(1-3), 3 AAC 107.715, and this RFA (sec. 4.2).
- c. **Project Innovation:** Describe how the project will increase performance (output or range of conditions), reliability, decrease capital or operating costs, increase lifespan, etc. in Alaska. Include technical and scientific explanations as needed.
- d. **Priority:** Describe how the proposed project addresses the priority considerations established by AS 42.45.375(d) and this RFA (sec. 4.3).

#### 2. Technology Validation and Research Methodology (sec. 4.7)

- a. **Objectives:** Explain the project information objectives and how they will be achieved.
- b. **Methodology:** Explain how these project performances will be monitored, reported, documented and analyzed. Include both technical and economic aspects and a discussion of project location and testing environment.

#### 3. Summary of Project Schedule and Summary of Project Budget

Provide a summary project schedule and a summary project budget of the estimated project costs. Be sure to include all funding sources and match components of the project as outlined in sec. 4.5 of this RFA.

#### 4. Project Team Qualifications

Briefly outline the project team and their respective responsibilities, and relate the qualifications of the project team.

#### 5. Discussion of Commercialization of Funded Technology

Provide a description of how the proposed project will advance the commercialization of the energy technology within the next five years, and the market for purchasing energy generated by the proposed project.

#### 6. Signed Applicant Certification (sec. 4.6)

Please copy the following paragraph at the end of your application and provide a signature from a member of the applicant organization that has signatory authority:

“By signature on this application, I certify that we are complying and will comply with the amount of matching funds being offered.”

**Proof of Eligibility** (not part of page limit)

Provide proof of eligibility: Alaska business license, etcetera (sec. 4.1).

**2.3 Filing an Application**

Applicants must submit two (2) hard copies of their complete application, including appendices that can be duplicated, and one electronic version on CD in PDF or other word searchable document electronic format in a sealed envelope(s) clearly labeled:

From: Applicant's Return Address

To: Alaska Energy Authority  
**AEA Emerging Energy Technology Grant Application AEA-12-047**  
813 West Northern Lights Blvd  
Anchorage, AK 99503  
Phone: 907-771-3000

**Electronic submissions will not be accepted.**

**2.4 Application Deadline**

**All applications must be received by the Authority no later than 5:00 pm Alaska Time Friday, March 9, 2012.**

The Applicant is solely responsible for complete and timely submission of its application. The Authority accepts no responsibility for submission of applications or for applications that are received after the Application deadlines, whether because they were misdirected, delayed, or erroneously addressed or for any other reason.

Failure to meet the deadline will result in the application being rejected.

**3 Overview of the Grant Application Process**

EETF project selection will be completed through a two-step process. In Step 1 (this RFA), any prospective applicant may send in a project abstract for review. Selected projects will then be asked to submit a full proposal for a second review (Step 2), after which final project selections are made.

Only those projects selected from the Step 1 review will be eligible to submit a full proposal to the Step 2 review.

### 3.1 Step 1 Review

The Step 1 review is divided into three stages: 1) grant review, 2) technical review, and 3) abstract selection. During the grant review, the abstracts will be screened to ensure applicant eligibility, abstract completeness, and responsiveness to the requirements of the RFA. Eligible and complete abstracts will then undergo a technical review to ascertain the technical soundness and assess the technical readiness level (TRL, sec. 4.2). The final phase, abstract selection, will then be performed using the evaluation criteria identified in 3 AAC 107.745 (sec. 3.1.3). Each member of the Advisory Committee will score the abstracts, and projects selected for the Step 2 review will be identified by the Authority.

At any stage in the review process the Authority may request clarifying information and the applicant will have a specified amount of time, but no more than seven (7) business days, to respond to the request for information. Failure to respond timely or provide adequate information will result in the application being rejected.

#### 3.1.1 Step 1, Stage 1 Review: Grant Review

All abstracts received by the deadline will be initially reviewed by Authority staff to assess if the abstract is complete, meets the minimum submission requirements, and has adequate information. The following pass-fail criteria will be used to determine if the abstract meets the minimum requirements:

<b><i>Application must meet all of these criteria to be considered further.</i></b>	
1.	The abstract is submitted by an Eligible Applicant (sec. 4.1).
2.	The project meets the definition of an Eligible Project (sec. 4.2).
3.	A signed Applicant Certification for the amount of match being offered that meets the minimum match requirements (sec. 4.6).
4.	The abstract provides a detailed description of the items required under 3 AAC 107.735(2) (sec. 2.2).
5.	The abstract is complete in that the information provided is sufficiently responsive to the RFA to allow AEA to consider the abstract in the next stage of evaluation.

The Authority will reject abstracts that fail to meet these requirements. The Authority will provide written notice to the application of the rejection. The notice may be given by electronic mail. The Authority will also review the match component of the project budget, per the instructions and restrictions outlined in sec. 4.5, and may reject applications with questionable or ambiguous match. If an abstract is ambiguous regarding questions 1-5 or the match component is ambiguous, the Authority may request clarifying information and the applicant will have a specified amount of time to provide the requested information. Failure to respond timely or provide an adequate explanation will result in the Authority being unable to complete the review of the abstract proposal and the proposal will be rejected.

#### 3.1.2 Step 1, Stage 2 Review: Technical Review

All abstracts that are not rejected under the Stage 1 review will undergo a technical review. This review will be conducted by a Technical Review Team identified by the Authority, and will provide a supplementary technical reference for use by the Advisory Committee in Stage 3. The team will provide an assessment of the project's current Technology Readiness Level (TRL) and anticipated TRL level at end of project (sec. 4.2), a summary technical description of the technology, project, and methodology, a review of the project reporting methodology and objectives (sec. 4.7), an assessment of how well the proposal meets the selection criteria (sec. 3.1.3) and additional analysis if requested by the Advisory Committee in order for it to effectively understand the proposal and provide ranking to the applications.

This review will not result in notices of rejection or a ranking of projects. The purpose of this review is to provide the Advisory Committee with further information to assist in abstract review and selection.

### **3.1.3 Step 1, Stage 3 Review: Abstract Selection**

All abstracts that underwent technical review in Stage 2 will be forwarded to the Advisory Committee. The Authority, in consultation with the Advisory Committee, will evaluate and rank abstracts based on how well the proposed projects address the statutory priorities (sec. 4.3), and the following criteria under 3 AAC 107.145:

1. feasibility of the proposed technology;
2. innovation and quality of the technical explanations submitted;
3. how well the proposed project will demonstrate emerging energy technologies, test methods of conserving energy, improve an existing energy technology, or deploy an existing technology that has not previously been demonstrated in the state;
4. how well the proposed project addresses the priority considerations established for projects under the request for grant applications;
5. whether the proposed schedule is realistic;
6. whether the energy technology can be beneficial when deployed in the state;
7. how suitable the proposed project site is;
8. the extent to which existing research and development demonstrates the energy technology and the systems and components included are likely to successfully work in the proposed location and environment in the state;
9. the extent to which to which the proposed project will advance the commercialization of the energy technology no later than the next five years;
10. capabilities of the project team;
11. potential commercial market for the proposed technology or energy from the proposed technology; and
12. an evaluation of the finance plan and budget for the proposed project.

This process will result in a ranking of eligible projects, which will be published on the RFA website (sec. 5.1). To limit the number of full proposals to be scored by the Advisory Committee, the number of projects eligible for Step 2 review will be approximately 250% of the total grant funds available.

The Authority may reject a proposal based upon the review under this section, AS 42.45.375 and 3 AAC 107.700 – 107.799. The Authority will provide written notice to the applicant of the rejection. The notice may be given by electronic mail.

### **3.2 Step Two Review Summary**

The following provides a summary of the Step Two review process; detailed application requirements, process, and review criteria for the Step 2 review can be found in 3 AAC 107.750 – 3 ACC 107.760.

If eligible for a Step 2 review, the applicant will receive a detailed application packet outlining this information as well as grant execution requirements.

Those applicants requested to provide a full proposal will have approximately four weeks to complete the application. After an initial evaluation of the proposals, the Advisory Committee will submit comments and questions to the applicants which will be answered during a 30-minutes presentation to the Advisory Committee. The Advisory Committee will score the applications using the criteria outlined in 3 AAC 107.760. Final project scoring and recommendations will be performed by the Advisory Committee and will be based on the highest scoring projects that meet all applicant and scoring criteria. In addition to the above criteria, the Advisory Committee may also consider the technology diversity of the projects, the potential geographical distribution of the commercial product, diversity of the project scale, and past performance of grants with the Denali Commission and/or the Authority.

### 3.3 RFA Schedule

Below is a schedule of critical dates as it relates to this RFA and the award of grants. **Actual dates after the application due date are tentative and may vary depending on the number of applications received and the amount of time required for adequate review.**

Task	Target Dates
Abstract Applications Due Date	03/09/2012
Complete Evaluation of Project Abstracts	05/02/2012
Request Full Proposal Applications from Qualifying Abstract Proposals	05/04/2012
Full Proposal Applications Due Date	06/15/2012
Full Proposal Presentations to Advisory Committee	08/14/2012 – 08/15/2012
Final Recommendations Provided by Advisory Committee	08/15/2012
Final Project Selection	08/17/2012

Actual award dates may vary depending on any modifications that may be required to an individual grant scope, schedule and budget prior to award.

### 3.4 Reconsiderations

An applicant who believes an error was made when its abstract or full proposal was rejected or ranked may request reconsideration to the executive director of the Authority. The reconsideration must be in writing, must state the error made during the review, and must be received by the Authority no more than 10 days after the notice of rejection or ranking.

The executive director on reconsiderations may accept or overturn the decision made during the review of the abstract or full proposal, or request additional information from the applicant before making a decision. If the executive director overturns the decision, the Authority shall further consider the abstract or the full proposal. The decision of the executive director on reconsiderations is the final agency decision. If the executive director fails to issue a decision not later than 30 days, the request for reconsideration is denied.

## 4 Grant Eligibility and Requirements

### 4.1 Eligible Applicants

To be eligible for a grant recommendation the applicant must demonstrate formal approval and endorsement of its project by its governing authority (such as board of directors or executive management if it does not have a governing board) and be one of the following types of entities:

1. An electric utility holding a certificate of public convenience and necessity under AS [42.05](#);
2. An independent power producer as defined under [3 AAC 107.695](#) (a) (1);  
“*independent power producer* means a corporation, person, agency, authority, or other legal entity or instrumentality, that is not an electric utility and that owns or operates a facility for the generation or production of energy entirely for use by the residents of one or more municipalities or unincorporated communities recognized by the Department of Commerce, Community, and Economic Development for community revenue sharing under [AS 29.60.850 - 29.60.879](#) and [3 AAC 180](#).”
3. A local government;
4. A quasi-governmental or governmental entity (which includes tribal councils and housing authorities);
5. A business holding an Alaska business license;
6. A nonprofit organization.

In addition, project ownership, operation and maintenance must be documents:

(a) An applicant may demonstrate that they will take ownership of the project; own, lease, or otherwise control the site upon which the project is located; and upon completion of the project operate and maintain it for its economic life for the benefit of the public; or (b) The Authority may consent to the applicant not owning the project or not retaining operation or maintenance responsibilities if the Authority determines that conditions imposed or the alternative ownership, operation, or maintenance protects the public interest in and benefit from the grant. In the event that the project will be installed at a site that is not owned by the grantee, a legal agreement between the grantee and property owner must be in place. At a minimum, the agreement must cover the eventualities of who will be liable if the test device fails or causes harm to property owner or property owner's other property. The grantee, the property owner, or both jointly must take responsibility for these eventualities, and AEA and the State of Alaska will hold no liability.

Applications whose applicants do not meet these requirements will be rejected without further evaluation.

#### 4.2 Eligible Projects

The Authority may make grants for demonstration projects of technologies that have a reasonable expectation of being commercial in five years and that are designed to

1. Test emerging energy technologies or methods of conserving energy;
2. Improve an existing energy technology; or
3. Deploy an existing technology that has not previously been demonstrated in the state.

"Energy technology" means technology that promotes, enhances, or expands the diversity of available energy supply sources or means of transmission, increases energy efficiency, or reduces negative energy-related environmental effects; "energy technology" includes technology related to renewable sources of energy, conservation of energy, enabling technologies, efficient and effective use of hydrocarbons, and integrated energy systems;

The Authority will use the U.S. Department of Energy's Technology Readiness Level (TRL) system as a technical basis for evaluating demonstration projects. **In most cases AEA expects that demonstration projects that are to be funded should progress at least through TRL 6.** However, AEA may accept projects that terminate at a lower TRL level if they will result in information that AEA believes is essential for demonstrating technology that has a high likelihood of commercialization within five years.

The following table is adapted from the Department of Energy's definitions and will be used during the Stage 2 technical review as a framework for assessing an abstract's technology readiness. This review will provide the Advisory Committee with more knowledge about the current state of development of the project proposal, and the anticipated level of development after the project life under this grant.

**Technology Readiness Levels**

Relative Level of Technology Development	Technology Readiness Level	TRL Definition	Description
Basic Technology Research	TRL 1	Basic principles observed and reported.	Lowest level of technology readiness. Scientific research begins to be translated into applied research and development. Examples might include paper studies of a technology's basic properties.
	TRL 2	Technology concept and/or application formulated.	Invention begins. Once basic principles are observed, practical applications can be invented. Applications are speculative and there may be no proof or detailed analysis to support the assumptions. Examples are limited to analytic studies.

<b>Research to prove Feasibility</b>	TRL 3	Analytical and experimental critical function and/or characteristic proof of concept.	Active research and development is initiated. This includes analytical studies and laboratory studies to physically validate analytical predictions of separate elements of the technology. Examples include components that are not yet integrated or representative.
<b>Technology Development</b>	TRL 4	Component and/or breadboard validation in laboratory environment.	Basic technological components are integrated to establish that they will work together. This is relatively "low fidelity" compared to the eventual system. Examples include integration of "ad hoc" hardware in the laboratory.
	TRL 5	Component and/or breadboard validation in relevant environment.	Fidelity of breadboard technology increases significantly. The basic technological components are integrated with reasonably realistic supporting elements so it can be tested in a simulated environment. Examples include "high fidelity" laboratory integration of components. <b>[This is the anticipated level of previous technology development for an EETF applicant]</b>
<b>Technology Demonstration</b>	TRL 6	System/subsystem model or pilot scale demonstration in a relevant environment.	Representative model or prototype system, which is well beyond that of TRL 5, is tested in a relevant environment. Represents a major step up in a technology's demonstrated readiness. Examples include testing a prototype in a high-fidelity laboratory environment or in simulated operational environment.
<b>System Commissioning</b>	TRL 7	Full-scale, similar (prototypical) system, demonstrated in relevant environment	Prototype near, or at, planned operational system. Represents a major step up from TRL 6, requiring demonstration of an actual system prototype in an operational environment.
	TRL 8	Actual system completed and qualified through test and demonstration.	Technology has been proven to work in its final form and under expected but still limited conditions
<b>System Operation</b>	TRL 9	Actual system proven through successful mission operations.	Actual application of the technology in its final form and under actual deployment conditions.

### 4.3 Prioritization

Under AS 42.45.375, the Authority, in consultation with the Advisory Committee, in making EETF grants shall give priority to

1. Alaska residents, associations, organizations, or institutions;
2. projects that demonstrate partnership with the University of Alaska or another Alaska postsecondary institution;
3. projects supported by matching funds or in-kind partnerships; and
4. projects with potential for widespread deployment in the state.

In addition, 3 AAC 107.705 provides that the Authority, in consultation with the Advisory Committee, may establish that certain types of potential projects will receive priority consideration under a solicitation for applications. For this RFA, there is no further prioritization established.

#### 4.4 Grant Funding Availability and Restrictions

The available funding comes from the State of Alaska (up to \$4.8 million) and the Denali Commission (up to \$4.1 million). **It is expected that projects will need to follow Federal requirements associated with Federal funding sources.** Applications are subject to the following grant funding limitations:

- Maximum project funding: \$1,500,000

#### 4.5 Project Match

When reviewing applications, AS 42.45.375 provides the Authority shall prioritize applications that commit the applicant to provide matching contributions. There is no formal match requirement under this RFA, however, match will be used to score and rank projects, and is highly recommended. The Authority will apply this scoring during the grant review process (Stage 1).

A match amount may be contributed to the project by the applicant itself, or by one or more third-party sources whose match contributions have been arranged by the applicant. Applicants should clearly identify the amount and source of match contributions, and also clearly specify whether each contribution amount will be cash, other funds, or other property. Proof of match will be required in the Step 2 review of application evaluation.

**The match component of the budget outlined in Stage 1 must equal the final proposed match in Stage 2. Substantive deviations in match between Stage 1 and Stage 2 may result in the application being rejected.**

Cash or in-kind matching contributions are both eligible. However, absent extraordinary circumstances, land or other real property cannot be used to satisfy matching contribution.

If an application includes labor or equipment as part of a matching contribution, then the applicant must clearly state the proposed labor rates and/or equipment value, and those rates and values are subject to review and approval by the Authority.

The proposed matching funds for this EETF project cannot have been used to match a previous grant request.

In order for funds or in kind contributions to be considered as a matching amount, the amount and source of funds or in kind contributions must be verified to the Authority by the applicant in the Stage 2 review application. At a minimum, the applicant will provide in its Stage 2 application a binding resolution to provide the matching contributions..

**Failure to provide this verification of matching funds or in kind contributions in the Stage 2 application as listed in the Stage 1 abstract application will result in the Authority's rejection of the application in the Stage 2 review.**

Successful applications will be required in the grant award to document the match contribution amounts and in the reimbursement requests submitted to the Authority for review and approval.

Applicants should note that if matching funds are pledged and budgeted in the grant agreement; but later not provided during the grant project, the grant amount will be reduced proportionally.

#### 4.6 Authorized Signature

Applications must be signed by an individual authorized to bind the Applicant to its provisions and to make the commitments of the application.

#### **4.7 Reporting on Project Technology, Operations and Maintenance**

A successful grantee will be required to provide the Authority with technical and economic data, project and budget reports, and other technology validation information appropriate to the project which the Authority specifies in the grant agreement. The grantee will be required to use data collection designs and processes to capture performance information and validate the demonstrated technology as determined by the Authority. The Authority may use third party agents to receive and analyze data from the grantee. If the grantee fails to cooperate in providing information and data required under this section and in the grant agreement, the Authority may cancel the project, require reimbursement of grant funds, determine the grantee ineligible for future emerging energy technology fund grants or other grants from the Authority, or take a combination of these actions.

#### **4.8 Project Scope Reduction and Phasing**

Due to funding restraints, projects selected for funding may be required to limit the project scope and/or phasing, (3 AAC 107.705(2)). Prior to making a final grant commitment, the state may enter into discussion with a selected applicant for any reason deemed necessary including: (1) the budget is not appropriate or reasonable for the requirements; (2) only a portion of the application is selected for award; and/or (3) special terms or conditions are required. Failure to resolve such issues identified by the State will preclude award to the applicant.

#### **4.9 Grantee Reimbursement**

Reimbursement to grantees under this program is on a cost-reimbursable basis. In accordance with the terms of the grant a grantee is required to submit requests for reimbursements that document commitment, expenditures, and demonstrate meeting milestones identified in the grant agreement.

The milestones, with a proposed reimbursement schedule, should be identified in the applicant's full proposal. The final reimbursement schedule is subject to negotiation and will be incorporated into the final grant agreement.

The Authority may authorize advance payments under certain circumstances; however, the grantee will still be obligated to document all expenditures of grant and matching funds including any advance payment in subsequent requests for reimbursement.

The Authority may withhold a percentage of the total grant subject to completion of the project and submission of final reports and other required documentation.

#### **4.10 Pre-Award Obligations and Reimbursement**

If a potential grantee anticipates award of a grant, the grantee may proceed with work on projects prior to award provided:

- They do so at their own risk as there is no guarantee projects will be funded or funded at the level requested in their application.
- They must have sufficient funds from sources other than this program to meet their project commitments prior to grant award.
- **No work performed or obligations incurred prior to the cost eligibility date will be considered for reimbursement.**

#### **4.11 Application Preparation Expenses**

The Authority **will not** pay for any expenses incurred by any applicants in preparing and submitting grant applications. No expense incurred by an applicant in the preparation of its application may be charged or reimbursed as an expense of performing the Grant. Without limiting the preceding sentence, there will be no reimbursement under a grant for any applicant's due diligence, investigations, discussions or negotiations with the Authority or any other entity, or other activities associated with applicant's preparation of one or more grant applications.

The only reimbursable costs will be those allowed in the grant agreement signed by the Authority.

#### **4.12 Correction, Modification or Withdrawal of Applications**

An application may be corrected, modified or withdrawn by providing a written request from an authorized representative of the Applicant to the grant manager before the time and date set for receipt of the applications.

After applications are opened, modifications may be allowed prior to completion of the evaluation process if the Authority determines that it is in the best interest of the program to allow modifications.

Applicants who may be recommended for grant awards may be requested to clarify, modify, or correct their application prior to award of a grant if the Authority determines that it is in the best interest of the program.

Applicants who fail to respond to requests for clarifications, modifications, or corrections within the period specified in the request may have their application rejected.

The Authority may waive minor requirements of the RFA that do not result in a material change in the requirements of the RFA and do not give an applicant an unfair competitive advantage.

#### **4.13 Confidentiality of Materials Submitted to the Authority**

An abstract, full proposal, and other materials submitted to the Authority under AS 42.45.357 and 3 AAC 107.700 – 3 AAC 107.799 are records subject to AS 40.25.100 – 40.25.295 (Alaska Public Records Act) and 2 AAC 96, and may be disclosed to the public unless the records are confidential or otherwise protected from disclosure under AS 40.25.120 or other applicable law.

A person submitting an abstract, full proposal, or other materials submitted to the Authority under AS 42.45.357 and 3 AAC 107.700 – 3 AAC 107.799 may request that certain information be kept confidential.

- If an applicant wishes to make a request for confidentiality for any part of its application, then the applicant is responsible for separating its application into two parts, kept separate by staples or other physical fastener: 1) non-confidential material that the applicant agrees can be posted by AEA onto its publicly-accessible internet site which includes a non-confidential overview of the confidential information that has been submitted separately, 2) materials that the applicant considers confidential. These two separate categories of materials must be clearly labeled by the applicant, with a cover page or similar obvious labeling and a header that indicates that indicates that the section is either "Confidential" or "Non-Confidential".

- With the sole exception of application sections which AEA agrees can be kept confidential, all applications received will be posted on the Authority's web site.

Under 3 AAC 107.770, if the Authority determines the records submitted do not appear to be confidential or otherwise protected from disclosure under AS 40.25.100 – 40.25.295 (Alaska Public Records Act), the Authority will notify the applicant so that the applicant may request to withdraw all or parts of the abstract or full proposal. If the Authority agrees that records received from a grantee appear to be confidential or otherwise protected from disclosure under AS 40.25.100 – 40.25.295 (Alaska Public Records Act), the Authority will agree in the grant agreement to notify the applicant if the Authority receives a public records request so that the applicant may seek judicial relief or take other action necessary to protect the records from disclosure.

## **5 Further Information about the RFA**

### **5.1 RFA Project Web Site**

The Alaska Energy Authority web site at [www.akenergyauthority.org](http://www.akenergyauthority.org) has been set up to make information available to the public regarding the program. The site contains the following information and documents:

- The RFA
- Grant forms
- A summary of relevant questions received regarding the RFA and responses (FAQs)
- Clarifications and addenda to the RFA
- A list of all applications received (upon completion of the review and selection process)
- PDF versions of all applications received (upon completion of the review and selection process)

### **5.2 Questions about the RFA**

Applicants should carefully review all documents and the Authority web site prior to contacting the Grant Manager with questions. Any questions regarding the RFA or grant documents should be directed to:

Grant Manager : Shawn Calfa  
Alaska Energy Authority  
813 West Northern Lights Blvd  
Anchorage, AK 99503  
Phone: (907) 771-3031  
Fax: (907) 771-3942  
E-mail: [eetf@aidea.org](mailto:eetf@aidea.org)

Questions that require clarification or interpretation of this RFA that the applicant cannot answer by careful review of the RFA should be submitted in writing (letter or e-mail) no later than **10 business days before the March 9, 2012 application due date.**

The Grant Manager may contact the applicant directly by phone or e-mail to respond to non-material questions. The Grant Manager will post the answer to material questions on the Project website.

### **5.3 Modifications of the RFA**

Applicants may submit written requests for modifications to this RFA to the Grant Manager no later than February 10, 2012. Please be advised that the Authority cannot modify requirements of Statutes AS 42.45.375 as it relates to the solicitation.

Acceptance or denial of the request is solely in the discretion of the Authority. Failure of the Grant Manager to issue a written modification within 10 days from submittal of request shall be considered a denial of the request.

Modifications to this request for applications may be issued at any time prior to the deadline for receipt of applications at the Authority's option. If modifications are issued within 10 days of the deadline for applications, the application deadline may be extended to allow time for applicants to respond to any changes. All modifications to this RFA will be in writing and posted to the program web site at [www.akenergyauthority.org](http://www.akenergyauthority.org) and the Authority will provide e-mail notice to those registered as described on the cover page of this RFA

#### 5.4 Useful Links

##### AEA links:

1. Energy Pathways community database (<ftp://ftp.aidea.org/2010AlaskaEnergyPlan/2010%20Alaska%20Energy%20Plan/Community%20Deployment%20Scenarios/>)
2. Power Cost Equalization (PCE) Data (<http://www.akenergyauthority.org/programspce.html>)
3. RE Fund applications and analysis ([http://www.akenergyauthority.org/RE\\_Fund\\_Applications.html](http://www.akenergyauthority.org/RE_Fund_Applications.html)) and ([http://www.akenergyauthority.org/RE\\_Fund\\_Applications-III.html](http://www.akenergyauthority.org/RE_Fund_Applications-III.html))
4. AEA program websites(<http://www.akenergyauthority.org/programs.html>)

##### Other links:

1. DCCED community database ([http://www.dced.state.ak.us/dca/commdb/CF\\_CIS.htm](http://www.dced.state.ak.us/dca/commdb/CF_CIS.htm))
2. Denali Commission EETG projects (<http://energy-alaska.wikidot.com/emerging-energy-technology-grant>)
3. Rural Energy Conference presentations (<http://www.uaf.edu/acep/rec/>)
4. National labs:
  - a. NREL (<http://www.nrel.gov/>),
  - b. AETDL (<http://www.alaska.edu/uaf/cem/ine/aetdl/>)
  - c. NETL (<http://www.netl.doe.gov/>)
  - d. Sandia National Laboratories (<http://www.sandia.gov/>)
  - e. ARPA-E (<http://arpa-e.energy.gov/>)