# **Broad Agency Announcement Template**

Below is a template for a BAA where only OT agreements will be awarded.

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## A. Program Description

This section should identify that DOE is awarding only OT agreements under 42 U.S.C 7256 and why OT agreements were chosen for the award instrument.

This section describes the technical or focus areas which the DOE funding is available. As appropriate, it may include any program history (*e.g.,* whether this is a new program or a new or changed area of program emphasis). This section must include program goals and objectives and the expected performance goals, indicators, targets, baseline data, data collection, and other outcomes DOE expects the project to achieve. This section also may include other information DOE deems necessary, and must at a minimum include citations for authorizing statutes and regulations for the funding opportunity.

## B. Federal Award Information

This section provides sufficient information to help an applicant make an informed decision about whether to submit a proposal. Relevant information could include the total amount of funding that the DOE expects to award through the announcement; the expected performance indicators, targets, baseline data, and data collection; the anticipated number of awards; the expected amounts of individual awards (which may be a range); the amount of funding per award, on average, experienced in previous years; and the anticipated start dates and periods of performance for new awards.

## C. Eligibility Information

This section addresses the considerations or factors that determine applicant or application eligibility. This includes the eligibility of particular types of applicant organizations, any factors affecting the eligibility of the principal investigator or project director, and any criteria that make particular projects ineligible. This section should make clear whether an applicant's failure to meet an eligibility criterion by the time of an application deadline will result in the DOE returning the application without review. Key elements to be addressed are:

1. ***Eligible Applicants.*** Announcements must clearly identify the types of entities that are eligible to apply as primes and subrecipients. If there are no restrictions on eligibility, this section may simply indicate that all potential applicants are eligible. If there are restrictions on eligibility, it is important to be clear about the specific types of entities that are eligible, not just the types that are ineligible. For example, if the program is limited to nonprofit organizations subject to [26 U.S.C. 501(c)(3)](https://www.govinfo.gov/link/uscode/26/501) of the tax code ([26 U.S.C. 501(c)(3)](https://www.govinfo.gov/link/uscode/26/501)), the announcement should say so. Similarly, it is better to state explicitly that Native American tribal organizations are eligible than to assume that they can unambiguously infer that from a statement that nonprofit organizations may apply. This section should also include a discussion on how consortia, partnership and teaming arrangements will be considered. Eligibility also can be expressed by exception, (e.g., open to all types of domestic applicants other than individuals). DOE National Laboratories are not eligible for an OT agreement, but their eligibility as a subawardee should be included.

2. ***Cost Sharing or Matching.*** Announcements must state whether there is required cost sharing, matching, or cost participation without which an application would be ineligible (if cost sharing is not required, the announcement must explicitly say so). Required cost sharing may be a certain percentage or amount, or may be in the form of contributions of specified items or activities (*e.g.,* provision of equipment). It is important that the announcement be clear about any restrictions on the types of cost (*e.g.,* in-kind contributions) that are acceptable as cost sharing.

3. ***Other.*** If there are other eligibility criteria (i.e., criteria that have the effect of making an application or project ineligible for Federal awards, whether referred to as “responsiveness” criteria, “go-no go” criteria, “threshold” criteria, or in other ways), must be clearly stated and must include a reference to the regulation of requirement that describes the restriction, as applicable. For example, if entities that have been found to be in violation of a particular Federal statute are ineligible, it is important to say so. This section must also state any limit on the number of applications an applicant may submit under the announcement and make clear whether the limitation is on the submitting organization, individual investigator/program director, or both. This section should also address any eligibility criteria for beneficiaries or for program participants other than Federal award recipients.

## D. Application and Submission Information

1. ***Address to Request Application Package.*** Potential applicants must be told how to get application forms, kits, or other materials needed to apply (if this announcement contains everything needed, this section need only say so). An Internet address where the materials can be accessed is acceptable. However, since high-speed Internet access is not yet universally available for downloading documents, and applicants may have additional accessibility requirements, there also should be a way for potential applicants to request paper copies of materials, such as a U.S. Postal Service mailing address, telephone or FAX number, Telephone Device for the Deaf (TDD), Text Telephone (TTY) number, and/or Federal Information Relay Service (FIRS) number.

2. ***Content and Form of Application Submission.*** This section must identify the required content of an application and the forms or formats that an applicant must use to submit it. If any requirements are stated elsewhere because they are general requirements that apply to multiple programs or opportunities, this section should refer to where those requirements may be found. This section also should include required forms or formats as part of the announcement or state where the applicant may obtain them.

This section should specifically address content and form or format requirements for:

i. Pre-applications, letters of intent, or white papers required or encouraged (see Section D.4), including any limitations on the number of pages or other formatting requirements similar to those for full applications.

ii. The application as a whole. For all submissions, this would include any limitations on the number of pages, font size and typeface, margins, paper size, number of copies, and sequence or assembly requirements. If electronic submission is permitted or required, this could include special requirements for formatting or signatures.

iii. Component pieces of the application (e.g., if all copies of the application must bear original signatures on the face page or the program narrative may not exceed 10 pages). This includes any pieces that may be submitted separately by third parties (e.g., references or letters confirming commitments from third parties that will be contributing a portion of any required cost sharing).

iv. Information that successful applicants must submit after notification of selection but prior to award.

3. ***Unique entity identifier and System for Award Management (SAM).*** This paragraph must state clearly that each applicant (unless an exception was approved DOE) is required to:

(i) Be registered in SAM before submitting its application;

(ii) Provide a valid unique entity identifier in its application; and

(iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency. It also must state that the Federal awarding agency may not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

4. ***Submission Dates and Times.*** Announcements must identify due dates and times for all submissions. This includes not only the full applications but also any preliminary submissions (*e.g.,* letters of intent, white papers, or pre-applications). It also includes any other submissions of information before Federal award that are separate from the full application.

5. ***Funding Restrictions.*** Notices must include information on funding restrictions in order to allow an applicant to develop an application and budget consistent with program requirements. Examples are whether construction is an allowable activity, if there are any limitations on direct costs such as foreign travel or equipment purchases, and if there are any limits on indirect costs (or facilities and administrative costs). Applicants must be advised if the awards will not allow reimbursement of pre-award costs.

## E. Application Review Information

1. ***Criteria.*** This section must address the criteria that DOE will use to evaluate applications. This includes the merit and other review criteria that evaluators will use to judge applications, including any statutory, regulatory, or other preferences (e.g., minority status or Native American tribal preferences) that will be applied in the review process. These criteria are distinct from eligibility criteria that are addressed before an application is accepted for review and any program policy or other factors that are applied during the selection process, after the review process is completed. The intent is to make the application process transparent so applicants can make informed decisions when preparing their applications to maximize fairness of the process. The announcement should clearly describe all criteria, including any sub-criteria. If criteria vary in importance, the announcement should specify the relative percentages, weights, or other means used to distinguish among them. For statutory, regulatory, or other preferences, the announcement should provide a detailed explanation of those preferences with an explicit indication of their effect (e.g., whether they result in additional points being assigned).

2. ***Review and Selection Process.*** This section must list any program policy or other factors or elements, other than merit criteria, that the selecting official may use in selecting applications for award (e.g., geographical dispersion, program balance, or diversity). The DOE may also include other appropriate details. For example, this section may indicate who is responsible for evaluation against the merit criteria (e.g., peers external to the DOE) and/or who makes the final selections for awards. If there is a multi-phase review process, the announcement must describe the phases.

3. ***Anticipated Announcement and Award Dates.*** This section is intended to provide applicants with information they can use for planning purposes. If there is a single application deadline followed by the simultaneous review of all applications, the DOE can include in this section information about the anticipated dates for announcing or notifying successful and unsuccessful applicants and for having DOE awards in place.

## F. Federal Award Administration Information

*1.* ***Award Notice.*** This section must address what a successful applicant can expect to receive following selection.

2. ***Reporting.*** This section must include general information about the type (*e.g.,* financial or performance), frequency, and means of submission (paper or electronic) of post-Federal award reporting requirements.

## G. DOE Contact(s)

The announcement must give potential applicants a point(s) of contact for answering questions or helping with problems while the funding opportunity is open.

## H. Other Information

This section may include any additional information that will assist an applicant.