

## Department of Energy

## § 470.11

Internal Revenue Code or (2) which is not organized for profit and no part of the net earnings of which inure to the benefit of any private shareholder or individual.

*Program* means the appropriate technology small grants program.

*Small business* means a concern, including its affiliates, which is organized for profit, is independently owned and operated, is not dominant in the field of operation in which it is submitting a proposal to DOE, and has 100 employees or less.

*Standard Federal regions* means the 10 standard Federal regions established by Office of Management and Budget Circular A-105, entitled "Standard Federal Regions."

*State* means any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, and any territory or possession of the United States.

*State agency* means an agency or instrumentality of a State government.

*State government* means the government of a State, or an interstate organization.

*Support* means financial support or award under the program by grants, cooperative agreements or contracts.

*Tribal organization* means the recognized governing body of an Indian tribe, or any legally established organization of Native Americans which is controlled, sanctioned, or chartered by such governing body.

### § 470.10 Establishment of program.

There is established, under direction of the Assistant Secretary for Conservation and Solar Energy of DOE, an appropriate technology small grants program for the purpose of encouraging development and demonstration of, and the dissemination of information with respect to, energy-related systems and supporting technologies appropriate to—

(a) The needs of local communities and the enhancement of community self-reliance through the use of available resources;

(b) The use of renewable resources and the conservation of non-renewable resources;

(c) The use of existing technologies applied to novel situations and uses;

(d) Applications which are energy conserving, environmentally sound, small scale and low cost; and

(e) Applications which demonstrate simplicity of installation, operation and maintenance.

### § 470.11 Eligibility requirements.

(a) Support under this part may be made to individuals, local non-profit organizations and institutions. State and local agencies, Indian tribes and small businesses.

(b) The aggregate amount of support made available to any participant in the program, including affiliates, shall not exceed \$50,000 during any 2-year period. This limitation applies only to support for projects and not to funds received by participants from DOE for other purposes, such as performance of services.

(c) Projects which shall be considered for support are those which carry out the purposes of the program as expressed in § 470.10 and which are within the following categories—

(1) Idea development, i.e., the development of an idea or concept or an investigative finding in areas ranging from development of new concepts of energy sources to the utilization of old procedures or systems for a new application;

(2) Device development, i.e., the systematic use and practical application of investigative findings and theories of a scientific or technical nature toward the production of, or improvements in, useful products to meet specific performance requirements but exclusive of manufacturing and production engineering. The dominant characteristic is that the effort be pointed toward specific energy problem areas to develop and evaluate the feasibility and practicability of proposed solutions and determine their parameters. Device development includes studies, investigations, initial hardware development and ultimately development of hardware, systems, or other means for experimental or operational test; or

(3) Demonstration, i.e., the testing of a system or technique under operation conditions to show that commercial application is technically, economically and environmentally feasible.

## § 470.12

(d) Support for each category in paragraph (c) of this section shall not, for a single participant in the program, including affiliates, exceed the following limits for any project—

- (1) For idea development, \$10,000;
- (2) For device development, \$50,000; and
- (3) For demonstration, \$50,000.

(4) A participant may receive under a subsequent program solicitation—

- (i) Additional support for a funded project or;
- (ii) Initial support for a new project, subject to the support limits set forth in paragraphs (b) and (d) of this section.

### § 470.12 Management.

(a) The program shall be managed by a National Program Director within the Office of the Assistant Secretary for Conservation and Solar Energy of DOE.

(b) The program shall be implemented regionally, based on the 10 standard Federal regions or combinations thereof, to insure substantial consideration of the needs, resources, and special circumstances of local communities. Regions may be combined provided the requirements of Office of Management and Budget Circular A-106 entitled "Standard Federal Regulations" are met. Regional Program Managers shall design and manage the regional programs as directed by the National Program Director and shall consult, as appropriate, with State and local officials, the appropriate technology community and other interested parties.

### § 470.13 Program solicitation.

(a) The Regional Program Managers shall be responsible for the preparation of program solicitations which solicit proposals for support under the program pursuant to simplified application procedures. Projects may be supported under the program only if they have successfully completed under a program solicitation.

(b) Each program solicitation shall include—

- (1) A description of the program;
- (2) The eligibility requirements;
- (3) A time schedule for submission of, and action on, proposals;

## 10 CFR Ch. II (1-1-10 Edition)

(4) A simple application form for submitting a proposal for support under the program, together with instructions for completing the application form;

(5) Evaluation criteria, along with a narrative description of their relative importance;

(6) An explanation of the evaluation and selection procedures, including a notice to proposers that if the proposer expressly indicates that only Government evaluation is authorized, DOE may be unable to give full consideration to the proposal.

(7) Other applicable information, terms and conditions, including the desired budget format;

(8) Place for, and manner of, submission;

(9) A unique number for identification purposes;

(10) A statement notifying potential proposers that an announcement does not commit DOE to pay any proposal preparation costs and that DOE reserves the right to select for support any, all, or none of the proposals received in response to a solicitation;

(11) A late proposal provision;

(12) A statement notifying proposers how to identify information in the proposal which the proposer does not want disclosed for purposes other than the evaluation of the proposal.

(13) A statement notifying proposers that all information contained in the proposal will be handled in accordance with the policies and procedures set forth in DOE-AR and DOE-PR, as applicable, and disclosed, if appropriate, in accordance with 10 CFR part 1004 entitled "Freedom of Information."

(14) A statement notifying proposers of their right to request a debriefing pursuant to the procedures set forth in § 470.18; and

(15) A statement notifying proposers of their right to request a waiver of DOE's title to inventions made under the program.

(c) Each program solicitation shall be synopsisized in the *Commerce Business Daily* prior to or concurrent with release. The program solicitation also shall be announced to appropriate newspapers, trade and technical publications, and State and local governments, and shall be circulated directly