



**Appendix 10** provides examples and descriptions of the standard award agreement documents.

Six documents comprise the standard award package. Once executed by the DOE Grants Officer, they are provided electronically to the Recipient through [FedConnect.net](#):

1. Assistance Agreement;
2. Special Terms and Conditions;
3. Attachment 1 Statement of Project Objectives (SOPO);
4. Attachment 2 Federal Assistance Reporting Checklist;
5. Attachment 3 Budget Information; and
6. Attachment 4 Intellectual Property Provision.

## 1. Assistance Agreement

The images below reflect the Assistance Agreement and the Continuation Sheet. The DOE Grants Officer's signature on the Assistance Agreement obligates DOE funds and executes the agreement. Highlighted fields below identify key award information.

1. Award No.s DE-EE0006532d		2. Effective Dates 1/19/2013d		3. CFDA No.s	4. Period of Performances
5. Awarded To		6. Recipient			
7. Project Start and End Dates					
8. Type of Agreements <input type="checkbox"/> Grants <input type="checkbox"/> Cooperative Agreements <input type="checkbox"/> Others		9. Authoritys		10. Purchase Request or Funding Document No.s	
11. Remittance Address DOE and Recipient Cost Share		12. Total Amounts Govt. Share: \$0.00d Cost Share : \$0.00d Total : \$0.00d		13. Funds Obligated This action: \$0.00d Total : \$0.00d	
14. Principal Investigators		15. Program Managers		16. Administrators Golden Field Office U.S. Department of Energy Golden Field Office 5013 Denver West Parkway Golden CO 80401	
17. Submit Payment Requests		18. Paying C		19. Submit Reports To	
20. Accounting and Appropriation Data See Scheduled		21. Research Title and/or Description of Project s		22. Signature of Person Authorized to Signs	
23. Name and Titles		24. Date Signeds		25. Signature of Grants/Agreements Officers	
26. Name of Officers		27. Date Signeds		28. Grants Officer Signature	



Page 2 of the Assistance Agreement is a Continuation Sheet that provides additional information on the award, including the Recipient's Unique Entity ID (UEI) number and both the Recipient and DOE contacts for the award.

CONTINUATION SHEET		REFERENCE NO. OF DOCUMENT BEING CONTINUEDs DE-EE0006532d			PAGEs OFs 2 d   2	
NAME OF OFFEROR OR CONTRACTORs						
ITEM NO.s (A)s	SUPPLIES/SERVICESs (B)s	QUANTITYs (C)s	UNITS (D)	UNIT PRICES (E)s	AMOUNTs (F)	
	DUNS Number: Not Available ASAP: YESd					



## 2. Special Terms and Conditions

The Special Terms and Conditions define the requirements specific to a particular award. The images on the next few pages are the cover page and Table of Contents from a sample Special Terms and Conditions, which indicate the types of requirements for a financial assistance award. In addition to the requirements included in the award documents and Special Terms and Conditions, the following are incorporated by reference:

- a) DOE Assistance Regulations, 2 CFR part 200 as amended by 2 CFR part 910 at <http://www.eCFR.gov>.
- b) National Policy Assurances to be Incorporated as Award Terms in effect on date of award at <http://www.nsf.gov/awards/managing/rtc.jsp>.
- c) The Recipient's application/proposal as approved by the Office of Indian Energy.

 U.S. DEPARTMENT OF  
**ENERGY** | Office of  
Indian Energy (9/2021)

IE Award No. DE-IE000 [REDACTED] with Tribal Organization Special Terms and Conditions

**SPECIAL TERMS AND CONDITIONS**

Tribal Organization ("Recipient"), which is identified in Block 5 of the Assistance Agreement, and the Office of Indian Energy Policy and Programs ("Office of Indian Energy"), an office within the United States Department of Energy ("DOE"), enter into this Award, referenced above, to achieve the project objectives and the technical milestones and deliverables stated in the Statement of Project Objectives (Attachment 1 to this Award).

This Award consists of the following documents, including all terms and conditions therein:

	Assistance Agreement
	Special Terms and Conditions
Attachment 1	Statement of Project Objectives
Attachment 2	Federal Assistance Reporting Checklist and Instructions
Attachment 3	Budget Information SF-424A
Attachment 4	Intellectual Property Provisions

The following are incorporated into this Award by reference:

- a) DOE Assistance Regulations, 2 CFR part 200 as amended by 2 CFR part 910 at <http://www.eCFR.gov>.
- b) National Policy Requirements (November 12, 2020) at <http://www.nsf.gov/awards/managing/rtc.jsp>.
- c) The Recipient's application/proposal as approved by Office of Indian Energy.

[REDACTED]

1 of [REDACTED]



IE Award No. DE-IE000XXX.0000 with Tribe X Special Terms and Conditions

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IE Award No. DE-IE000XXX.0000 with Tribe X Special Terms and Conditions

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### 3. Attachment 1 Statement of Project Objectives (SOPO)

The Statement of Project Objectives (SOPO) documents the project objectives, tasks, and associated milestones. The SOPO is written in general terms to allow project management flexibility. Specifically, it describes allowable activities under the award. Substantive changes to the SOPO require an award modification.

STATEMENT OF PROJECT OBJECTIVES							
Solar Electric Deployment Project on Tribal Facilities							
A. <u>Project Objectives</u>							
<p>The project objective is to install up to approximately 695 kilowatts of solar electric modules on the roofs of up to nine Tribal facilities with trust or fee status and located on the Reservation. The maximum system size is approximately 695 kilowatts that will generate an estimated 817,000 kilowatt-hours of energy per year with an estimated \$80,000 in projected revenue per year at net-meter rates.</p> <p>The three primary benefits to the Tribe from this project are:</p> <ol style="list-style-type: none"><li>1) Construction of approximately 695 kilowatts of photovoltaics to supply more than 10% of energy consumption,</li><li>2) The funding strategy will introduce the Tribe to new avenues to pursue different energy technologies,</li><li>3) The project will be a significant contribution to the Tribe's renewable portfolio.</li></ol>							
B. <u>Project Summary</u>							
<p>Solar arrays are planned to be installed on the roof of each of the nine building. Each building will undergo the necessary engineering and design to meet system and code requirements. The maximum system size is approximately 695 kilowatts that will generate an estimated 817,000 kilowatt-hours of energy per year with an estimated \$80,000 in projected revenue per year at net-meter rates. System size for each individual project was based on solar resource, energy consumption data, roof top dimensions and condition, interconnection capabilities, and utility net-meter criteria.</p>							
C. <u>Tasks To Be Performed</u>							
<b>Task 1 - Financial Strategy</b>							
<b>Task 1.1 Initiate Capital Improvement Project (CIP), M1 to M3</b>							
<p>The CIP process is a standard exercise for all Tribal capital projects that receive Tribal contribution, grants, and funding from other sources to complete capital projects. The CIP process is divided into four tasks:</p> <ol style="list-style-type: none"><li>I. Project Request &amp; CIP Package;</li></ol>							
<b>Milestone Summary Table</b>							
Recipient Name:	Project Title:	Task Number	Task or Subtask (if applicable) Title	Milestone Type (Milestone)	Milestone Number*	Milestone Description	Milestone Verification Process (What, How, Who, Where)
Anticipated Date (Months from Start of the Project)	Anticipated Quarter (Quarters from Start of the Project)						
<b>1.0 Material synthesis</b>							
1.1 Batch Quality Milestone 1.1.1 Demonstrate a 1L batch size with a >1.5% absolute performance improvement over a non-coated device Send 5 slides to NREL for transmission test, 3 must meet pass over 350~1000nm ASTM173 spectrum 1 1							
1.1 Batch Quality Milestone 1.1.2 Demonstrate a 1L batch size with a >2.0% absolute performance improvement over a non-coated device Send 5 slides to NREL for transmission test, 3 must meet pass over 350~1000nm ASTM173 spectrum 6 2							
1.1 Batch Quality Milestone 1.1.3 Demonstrate a 1L batch size with a >2.5% absolute performance improvement over a non-coated device Send 5 slides to NREL for transmission test, 3 must meet pass over 350~1000nm ASTM173 spectrum 14 5							
1.2 Batch Volume Milestone 1.2.1 Demonstrate a 100L batch size with a >2.0% absolute performance improvement over a non-coated device Send 5 slides to NREL for transmission test, 3 must meet pass over 350~1000nm ASTM173 spectrum 10 4							
1.2 Batch Volume Milestone 1.2.2 Demonstrate a 1000L batch size with a >2.5% absolute performance improvement over a non-coated device Send 5 slides to NREL for transmission test, 3 must meet pass over 350~1000nm ASTM173 spectrum 16 6							
<b>2.0 Coating Area &amp; Uniformity</b>							

#### **4. Attachment 2 Federal Assistance Reporting Checklist**

The Federal Assistance Reporting Checklist as shown below indicates the reports that the Recipient is required to submit under the terms of the agreement. Typically, under Project Management Reporting (Section I of the form), Recipients are required to submit quarterly Progress and Financial Reports throughout the grant performance period and a final Financial Report (SF-425) as part of the grant close-out. Quarterly reports are due 30 days after the end of each quarter.

Award Management Reporting (Section II) includes the Participants and Collaborating Organizations and Current and Pending Support forms, required during the award negotiation process and subsequently when changes in key Recipient or Subrecipient personnel take place. The Tribal Project Manager and Business Contact are required to complete annual Demographic Reporting in the Project Management Center (PMC) when accounts are created and annually throughout the project period of performance.

Closeout Reporting (Section III) typically includes a Final Scientific/Technical Report and Final Property Report (SF-428 and SF-428B), in addition to the Final Federal Financial Report. Final reports are due 120 days after the end date of the award.



1. Award Number:	2. Program/Project Title:	
3. Recipient:		
4. Reporting Requirements (see also the DOE Special Instructions) <i>Detailed instructions included after the Table of Contents</i>	Frequency	Addresses
<p><b>I. PROJECT MANAGEMENT REPORTING</b></p> <p><input checked="" type="checkbox"/> A. Research Performance Progress Report (RPPR)</p> <p><input checked="" type="checkbox"/> B. Financial Report (SF-425)</p> <p><input type="checkbox"/> C. Scientific and Technical Reporting           <ul style="list-style-type: none"> <li><input type="checkbox"/> 1. Accepted Manuscript of Journal Article(s)</li> <li><input type="checkbox"/> 2. Conference Product(s)</li> <li><input type="checkbox"/> 3. Technical Report(s)</li> <li><input type="checkbox"/> 4. Software &amp; Manual(s)</li> <li><input type="checkbox"/> 5. Dataset(s)</li> <li><input type="checkbox"/> 6. Other STI (Dissertation / Thesis, etc.)</li> </ul> </p> <p><input type="checkbox"/> D. Intellectual Property Reporting           <ul style="list-style-type: none"> <li><input type="checkbox"/> 1. Intellectual Property Reporting</li> <li><input type="checkbox"/> 2. Invention Utilization Report</li> </ul> </p> <p><input type="checkbox"/> E. Project Management Plan (PMP)</p> <p><input checked="" type="checkbox"/> F. Special Status Report</p> <p><input type="checkbox"/> G. Continuation Application</p> <p><input type="checkbox"/> H. Other Project Management Reporting (see Special Instructions)</p>	<p><b>Q</b></p> <p><b>F, Q</b></p> <p><b>A5</b></p>	<p>A. <a href="#">EERE PMC</a></p> <p>B. <a href="#">EERE PMC</a></p> <p>C.1. <a href="#">OSTI E-Link</a></p> <p>C.2. <a href="#">OSTI E-Link</a></p> <p>C.3. <a href="#">OSTI E-Link</a></p> <p>C.4. <a href="#">DOE CODE</a></p> <p>C.5. <a href="#">OSTI E-Link Datasets</a></p> <p>C.6. <a href="#">OSTI E-Link</a></p> <p>D.1. <a href="#">Edison</a></p> <p>D.2. <a href="#">Edison</a></p> <p>E. <a href="#">EERE PMC</a></p> <p>F. See section I.F. for instructions and due dates</p> <p>G. <a href="#">EERE PMC</a></p> <p>H. See Special Instructions</p>



II. AWARD MANAGEMENT REPORTING		
<input checked="" type="checkbox"/> A. Participants and Collaborating Organizations	AS	A. <a href="#">EERE PMC</a>
<input checked="" type="checkbox"/> B. Current and Pending Support	AS	B. <a href="#">EERE PMC</a>
<input checked="" type="checkbox"/> C. Demographic Reporting	AS	C. <a href="#">EERE PMC</a>
<input type="checkbox"/> D. Tangible Personal Property Report - Annual Property Report (SF-428 & SF-428A)	AS	D. <a href="#">EERE PMC</a>
<input checked="" type="checkbox"/> E. Tangible Personal Property Report – Disposition Request/Report (SF-428 & SF-428C)	AS	E. <a href="#">EERE PMC</a>
<input type="checkbox"/> F. Uniform Commercial Code (UCC) Financing Statements		F. See section II. F. for instructions and due dates
<input type="checkbox"/> G. Federal Subaward Reporting System (FSRS)		G. <a href="#">SAM.gov- FSRS</a>
<input type="checkbox"/> H. Annual Incurred Cost Proposal		H. See section II. H. for instructions and due dates
<input type="checkbox"/> I. DOE For-Profit Compliance Audit		I. See section II. I. for instructions and due dates
<input checked="" type="checkbox"/> J. Single Audit: States, Locals, Tribal Governments, and Non-Profits		J. See section II. J. for instructions and due dates
<input type="checkbox"/> K. Other Award Management Reporting (see Special Instructions)		K. See Special Instructions
III. CLOSEOUT REPORTING		
<input checked="" type="checkbox"/> A. Final Scientific/Technical Report	F	A. <a href="#">OSTI E-Link</a>
<input type="checkbox"/> B. Invention Certification (DOE F 2050.11)	F	B. <a href="#">EERE PMC</a>
<input checked="" type="checkbox"/> C. Tangible Personal Property Report – Final Report (SF-428 & SF-428B)	F	C. <a href="#">EERE PMC</a>
<input type="checkbox"/> D. Verification of Receipt of Accepted Manuscripts		D. See section III.D. for instructions and due dates
<input type="checkbox"/> E. Other Closeout Reporting (see Special Instructions)		E. See Special Instructions
IV. POST-PROJECT REPORTING		
<input checked="" type="checkbox"/> A. Scientific and Technical Reporting	P	A. <a href="#">OSTI E-Link</a>
<input type="checkbox"/> B. Intellectual Property Reporting		B. <a href="#">iEdison</a>

The second page of the FARC provides a legend for the frequency codes on page 1 as well as full links for some of the reporting websites. Special instructions generally explain the requirements for quarterly reporting.



## FREQUENCY CODES AND DUE DATES:

AS – As Specified or within five (5) calendar days after the event.

F – Final; within 120 calendar days after expiration or termination of the award.

O – Other: See instructions for further details.

P – Post-project (after the period of performance); within five (5) calendar days after the event, or as specified.

Q – Quarterly; within 30 calendar days after the end of the federal fiscal year quarter.

S – Semiannually; within 30 days after end of the reporting period.

Y – Yearly; within 90 calendar days after the end of the federal fiscal year.

Y180 – Yearly; within 180 calendar days after the close of the recipient's fiscal year.

## FULL URLs:

OSTI E-Link: <http://www.osti.gov/elink-2413>OSTI E-Link Datasets: <https://www.osti.gov/elink/2416-submission.jsp>DOE CODE: <https://www.osti.gov/doecode/>iEdison: <http://www.iedison.gov>EERE PMC: <https://www.eere-pmc.energy.gov/SubmitReports.aspx>FSRS: <https://sam.gov/fsrs>

## 1. DOE Special Instructions:

The deadline for submitting quarterly reports is 30 days after the end of each fiscal year quarter. If requested by DOE, the deadline for submitting corrected reports is 30 days from the date of the request. Failure to submit reports on time may result in a corrective action plan (CAP), temporarily withholding payments, or applying other actions prescribed by 2 CFR §200.339.



## 5. Attachment 3 Budget Information

The Budget Information - Non Construction Programs (SF-424A) form summarizes the total approved project costs, both federal and non-federal cost share, and itemizes project costs by budget categories (personnel, fringe, etc.). The Recipient has the right, without prior DOE approval, to move funds (regardless of whether those are federal or cost share) between Budget Object Class Categories up to a cumulative of 10% of the total project costs. Budget adjustments of 10% or more of the total project costs require a grant modification.

Applicant Name:	Tribal Organization		Award Number:		DE-IE0000XXX.0000	
<b>Budget Information - Non Construction Programs</b>						
OMB Approval No. 0348-0044						
<b>Section A - Budget Summary</b>						
Grant Program Function or Activity	Catalog of Federal Domestic Assistance #	Estimated Unobligated Funds		New or Revised Budget		
		Federal	Non-Federal	Federal	Non-Federal	Total
(a)	(b)	(c)	(d)	(e)	(f)	(g)
1. Budget Period 1	81.087			\$582,384	\$145,596	\$727,980
2.						
3.						
4.						
5. Totals				\$582,384	\$145,596	\$727,980
<b>Section B - Budget Categories</b>						
Object Class Categories	Grant Program, Function or Activity				Total (5)	
	Budget Period 1					
a. Personnel	\$33,282					\$33,282
b. Fringe Benefits	\$8,231					\$8,231
c. Travel	\$7,278					\$7,278
d. Equipment	\$95,072					\$95,072
e. Supplies	\$14,525					\$14,525
f. Contractual	\$524,370					\$524,370
g. Construction	\$0					\$0
h. Other	\$4,500					\$4,500
i. Total Direct Charges (sum of 6a-6h)	\$687,258					\$687,258
j. Indirect Charges	\$40,722					\$40,722
k. <b>Totals</b> (sum of 6i-6j)	\$727,980					\$727,980
7. Program Income						\$0
Previous Edition Usable						
SF-424A (Rev. 4-92)						
Prescribed by OMB Circular A-102						



## 6. Attachment 4 Intellectual Property Provision

Intellectual Property Provisions (NRD-115) apply to non-research and development projects, and intangible and intellectual property rights are subject to 2 CFR 200.315 or 910.362.

These provisions address the use, disposition, copyright of property acquired, and work performed under a federal award. The federal government has the right to obtain, reproduce, publish, or otherwise use the data produced under a federal award.

DE-IE0000050.0000  
Attachment 4

### Intellectual Property Provisions (NRD-115) Nonresearch and Development

Intellectual property rights are subject to 2 CFR 200.315 or 910.362.