



Appendix 10 summarizes the standard award agreement documents, including: (1) Assistant 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 (5) Attachment 4 Intellectual Property Provision. These six documents comprise the standard award package. These documents, once executed by the DOE Contracting Officer, will be provided electronically to the Recipient through FedConnect

A. Assistant Agreement

The images below reflect the Assistant Agreement and the Continuation Sheet. The DOE Contracting Officer’s signature on the Assistance Agreement obligates DOE funds and executes the agreement. A few of the fields highlighted below identify key award information.

1. Award No.s DE-EE0006532d		3. Effective Dates 2/19/2013d		4. CFDA No.s	
5. Awarded To's		8. Sponsoring Offices		7. Period of Performances	
8. Type of Agreements <input type="checkbox"/> Grants <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Others		9. Authorities		10. Award or Funding Document No.s	
11. Remittance Address		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 to Paying Offices		18. Submit Reports To's			
20. Accounting and Appropriation Data See Scheduled		21. Research Title and/or Description of Project s		Contracting Officer Signature	
22. Signature of Person Authorized to Sign		25. Signature of Grants/Agreements Officers			
23. Name and Titles		24. Date Signed		26. Name of Officers	
				27. Date Signed	



Page 2 of the Assistance Agreement is a Continuation Sheet that will provide additional information on the award including the Recipients DUNS number and both the Recipient and DOE contacts for the award.

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

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B. Special Terms and Conditions

The Special Terms and Conditions specify 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. The Table of Contents indicates 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.



IE Award No. DE-IE000 with [Insert Recipient Name] Special Terms and Conditions)

SPECIAL TERMS AND CONDITIONS

_____ (“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
Attachment 5	[Complete Text for additional attachments]

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) [Only include if the subject project is R&D. Otherwise, delete.] If the Award is for research and the Award is to a university or non-profit, the Research Terms & Conditions and the DOE Agency Specific Requirements at <http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp> apply.
- c) National Policy Assurances to be incorporated as Award Terms in effect on date of Award at <http://www.nsf.gov/awards/managing/rtc.jsp>.
- d) The Recipient’s application/proposal as approved by Office of Indian Energy.



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C. 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 requires an award modification.

DE-IE000XXXX.0000
Attachment 1

STATEMENT OF PROJECT OBJECTIVES

Solar Electric Deployment Project on Tribal Facilities

A. Project Objectives

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.

The three primary benefits to the Tribe from this project are:

- 1) Construction of approximately 695 kilowatts of photovoltaics to supply more than 10% of energy consumption.
- 2) The funding strategy will introduce the Tribe to new avenues to pursue different energy technologies.
- 3) The project will be a significant contribution to the Tribe's renewable portfolio.

B. Project Summary

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.

C. Tasks To Be Performed

Task 1 - Financial Strategy

Task 1.1 Initiate Capital Improvement Project (CIP), M1 to M3

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:

1. Project Request & CIP Package.

Milestone Summary Table							
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)
1.0	Material synthesis						
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
2.0	Coating Area & Uniformity						



D. Attachment 2 Federal Assistance Reporting Checklist

The Federal Assistance Reporting Checklist as shown below will specify 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 a quarterly Progress Report and both a quarterly and a final Financial Report (SF-425). Quarterly reports are due 30 days after the end of each quarter. Closeout Reporting (Section II) typically includes a Final Scientific/Technical Report and Final Property Report (SF-428 and SF-428B). Final reports are due 90 days after the end date of the award.

U.S. DEPARTMENT OF ENERGY Office of Indian Energy		Federal Assistance Reporting Checklist (FARC)	
1. Identification Number:		2. Program/Project Title:	
3. Recipient:			
4. Reporting Requirements (see attached "EERE Reporting Instructions"):		Frequency	Addressee* *See attached "EERE Reporting Instructions" for complete submission instructions
I. PROJECT MANAGEMENT REPORTING			
<input type="checkbox"/> A. Research Performance Progress Report (RPPR) (RD&D Projects)		Q	A. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> B. Progress Report (Non-RD&D Projects)		Q	B. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> C. Financial Report (SF-425)		QF	C. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> D. Special Status Report		A	D. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> E. Other (see Special Instructions)		A	E. https://www.eere-pmc.energy.gov/SubmitReports.aspx
II. SCIENTIFIC / TECHNICAL REPORTING			
<input type="checkbox"/> A. Journal Article-Accepted Manuscript		A	A. http://www.osti.gov/elink-2413
<input type="checkbox"/> B. Scientific / Technical Conference Paper / Presentation / Proceeding		A	B. http://www.osti.gov/elink-2413
<input type="checkbox"/> C. Scientific / Technical Software & Manual		A	C. http://www.osti.gov/estsc/241-4.jsp
<input type="checkbox"/> D. Scientific / Technical Dataset		A	D. https://www.osti.gov/elink/241-6
<input type="checkbox"/> E. Other STI (Dissertation / Thesis, see Special Instructions)		A	E. http://www.osti.gov/elink-2413
III. CLOSEOUT REPORTING			
<input type="checkbox"/> A. Final Scientific / Technical Report		F	A. http://www.osti.gov/elink-2413
<input type="checkbox"/> B. Patent Certification (DOE F 2050.11)		F	B. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> C. Final Property Report (SF-428 & SF-428B)		F	C. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> D. Software Deliverable Submission		F	D. http://www.osti.gov/estsc/241-4.jsp
<input type="checkbox"/> E. Other (see Special Instructions)		F	E. https://www.eere-pmc.energy.gov/SubmitReports.aspx
IV. OTHER REPORTING			
<input type="checkbox"/> A. Intellectual Property Reporting Form (EERE 357)		A	A. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> B. Invention Utilization Report (EERE 356)		Y	B. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> C. U.S. Manufacturing Report (EERE 358)		Y	C. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> D. Project Management Plan (PMP)		A	D. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> E. Annual Incurred Cost Proposal		Y180	E. https://www.eere-pmc.energy.gov/SubmitReports.aspx (or Cognizant Federal Agency)
<input type="checkbox"/> F. Annual Audit of For-Profit Recipients		A	F. See section IV. F. for instructions and due dates https://www.eere-pmc.energy.gov/SubmitReports.aspx & send to CFO at : DOE-Audit-Submission@hq.doe.gov
<input type="checkbox"/> G. Annual Property Inventory (SF-428)		Y	G. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> H. Reporting Addendum (EERE 359)		YF	H. https://www.eere-pmc.energy.gov/SubmitReports.aspx
<input type="checkbox"/> I. Other (see Special Instructions)		A	I. https://www.eere-pmc.energy.gov/SubmitReports.aspx

E. 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 those total



project costs by Budget Categories. 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 projects costs requires a grant modification.

Applicant Name: Tribal Organization		Award Number: DE-IE0000000.0000		Attachment 3		
Budget Information - Non Construction Programs						
OMB Approval No. 0348-0044						
Section A - Budget Summary						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Project Period				\$127,500	\$127,500	\$255,000
2.						
3.						
4.						
5. Totals				\$127,500	\$127,500	\$255,000
Section B - Budget Categories						
6. Object Class Categories	Project Period	Grant Program, Function or Activity			Total (5)	
a. Personnel	\$100,000				\$100,000	
b. Fringe Benefits	\$30,000				\$30,000	
c. Travel	\$40,000				\$40,000	
d. Equipment	\$0				\$0	
e. Supplies	\$5,000				\$5,000	
f. Contractual	\$20,000				\$20,000	
g. Construction	\$0				\$0	
h. Other	\$20,000				\$20,000	
i. Total Direct Charges (sum of 6a-6h)	\$215,000				\$215,000	
j. Indirect Charges	\$40,000				\$40,000	
k. Totals (sum of 6i-6j)	\$255,000				\$255,000	
7. Program Income					\$0	
SF-424A (Rev. 4-92)						
Prescribed by OMB Circular A-102						
Authorized for Local Reproduction						



F. 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.

