Applications for this RFP will be reviewed and considered on a rolling basis as they are received. However, to be considered in the first round of selections, they must be received no later than 11:59 PM Eastern Time on June 22, 2020. CESMII may issue an amendment to extend the RFP to open future selection windows subject to funding availability.

Applicants (project teams) must work together to develop a full proposal in response to this RFP. See Section 11 (APPLICATION AND SUBMISSION INFORMATION) of this RFP for more information.

Full proposals need to be submitted directly by the proposed project lead organization to CESMII by email to roadmapprojects.info@cesmii.org.

The RFP, templates and other related information are at https://www.cesmii.org/request-for-proposal/.

Questions regarding this opportunity can be submitted at roadmapprojects.info@cesmii.org. An attempt will be made to answer all questions. Questions and answers will be posted publicly on the https://www.cesmii.org/questions-and-answers/.

Informational webinars will be held Additional information will be posted on the CESMII website: https://www.cesmii.org/request-for-proposal-webinar/.

Do not include any proprietary information in the proposals.
Modifications
All modifications to the RFP are highlighted in yellow in the body of this solicitation.

<table>
<thead>
<tr>
<th>Mod. No.</th>
<th>Date</th>
<th>Description of Modification</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>5/28/2020</td>
<td>Revised Schedule</td>
</tr>
</tbody>
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1. REQUEST FOR PROPOSAL

1.1 CESMII OVERVIEW

The objective of the Clean Energy Smart Manufacturing Innovation Institute (“Institute” or “CESMII”) is to support U.S. prosperity and security, significantly advance manufacturing within the U.S., and contribute to the creation of the Manufacturing USA network. The vision for this Institute and other Institutes within the network is to help revitalize American manufacturing and support domestic manufacturing competitiveness.

The Clean Energy Smart Manufacturing Innovation Institute (CESMII) was awarded to the University of California at Los Angeles (UCLA) under the U.S. Department of Energy (DOE) Cooperative Agreement DE-EE0007613. CESMII is a national network that brings together over $140 million in public-private investment and more than 100 partners from leading manufacturers and universities across 30+ states. The Institute will accelerate Smart Manufacturing (SM) adoption through the integration of advanced sensors, data analytics, platforms and controls to radically improve productivity, precision, performance and energy consumption.

The overall objectives of the Institute are to:

1. Lead a national effort to develop, research, test, and widely validate SM technologies and practices in a continuously evolving manner;
2. Develop a roadmap for SM technologies, practices, services, and training and update the roadmap periodically as needed;
3. Support SM Research & Development, to provide capabilities for and collaboration in open, pre-competitive work among multiple parties;
4. Establish a technical education and workforce development program that leverages regional networks;
5. Stimulate growth of a SM domestic supply chain;
6. Demonstrate participation of underrepresented groups in CESMII; and
7. Be financially self-sustaining after the five-year period of federal funding

The above objectives and goals are driven by the overall performance metrics for CESMII, which are:

1. Energy Productivity: Energy productivity gains in U.S. manufacturing will be doubled in 10 years.
2. Energy Efficiency: 15% improvement in energy efficiency in first-of-a-kind industrial testbeds will be achieved within 5 years.
3. Industry Deployment Costs: Cost of deploying SM technologies including hardware and software in existing manufacturing processes will be reduced 50% relative to state-of-the-art in 5 years.
4. Adoption Costs: Installed and operating cost for adoption of SM technologies including hardware and software will be recovered through energy savings and productivity improvements in 10 years.
5. Workforce: SM workforce capacity in U.S. will be increased two-fold by 2020 and five-fold by 2030.
6. Supply Chain: SM supply chain will increase value and participation 40% by 2030.

CESMII and its members have worked together to develop a Roadmap to identify themes and topics that are of specific importance in the development of SM solutions necessary to achieve CESMII’s goals. Our Roadmap can be found at https://www.cesmii.org/cesmii-roadmap/.

As SM becomes the norm in U.S. manufacturing, U.S. companies will create innovations in new, integrated, systematic processes with a highly skilled SM workforce and vibrant supply chain that will lead
a global transformation of the manufacturing industry. To initiate this transformation, CESMII is utilizing an integrated technical approach of advanced sensors, controls, platforms and modeling across a diverse portfolio of technology projects.

1.2 ABOUT THIS RFP:
This Request for Proposals (RFP) is the fourth and final wave of the second round of requests (RFP2) for CESMII. It seeks to fund projects that support the objectives and goals stated above. RFP2 represents a total investment of approximately $14.6M with 50% in federal funding and 50% awardee cost-share. Wave 1 was focused on closing specific gaps in enabling R&D ($6.25M total funding) while Wave 2 was focused on education and workforce development ($1.4M total funding). Wave 3, under preparation, is focused on developing capabilities of the SM Innovation Platform™ ($2.0M total funding).

For this RFP (Wave 4), approximately $5.0M ($2.5M federal and $2.5M cost share) will be allocated toward funding SM Innovation Projects that help solve manufacturing use cases using SM technologies and solutions (including the core capabilities of the SM Innovation Platform) while creating SM Profiles™ and innovative SM software Applications that will be used to populate the SM Marketplace™ (a concept similar to app store) in the future.

Additional details are provided in the subsequent sections.

This document outlines the process that CESMII will use to solicit, review, and award projects for RFP2-Wave 4. The most recent version of the RFP for this wave is available at https://www.cesmii.org/request-for-proposal/.

2. TECHNICAL AREAS OF INTEREST
2.1 BACKGROUND INFORMATION
CESMII’s goal is to accelerate Smart Manufacturing (SM) adoption through the integration of building block technologies such as advanced sensors, controls, platforms and modeling (ASCPM) to radically improve productivity, precision, performance and energy consumption. While each individual building block may on its own be useful in eliminating specific barriers to SM implementation, the information flow between these building blocks is essential to ensure that the solutions developed with these technologies are implemented in a cost effective, re-usable, secure, scalable and repeatable manner. An articulation is provide here: Building block SM technologies and information flow between them

In order for SM solutions to be developed and implemented in a fashion that is secure, scalable, reusable and interoperable, the following three key capabilities are required:
- An environment (platform) that allows individual functional components to be able to interoperate, and for data to be orchestrated between these components
- Common information models that provide the ability to move “data-in-context” from source to consumption, and between components that consume the data to provide a solution
- A marketplace from where the information models, and functional components can be “serviced” to create solutions to manufacturing use cases

An overview of CESMII’s SM Innovation Platform and SM Profiles™ is provided in the following documents:

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1 SM Profile is an information model (a core representation of hardware and software things in IIoT). Developers and end-users will adapt or customize the information model with constructs that are specific to a particular domain, platform or application. In other words, a profile is a digital extension mechanism to seamlessly connect, collect, analyze and act at the edge, the cloud and in the apps in the Smart Manufacturing Platform™.
2 The framework for SM Marketplace will be developed by CESMII in the near future.
SM Innovation Platform-and-SM Profiles
Understanding the SM Innovation Platform

In August 2019, CESMII demonstrated some of the core capabilities of the SM Platform™ in a Community Technology Preview (https://youtu.be/7I1xNVjh4VY) followed by an updated demonstration in April 2020, focusing on the interoperability and openness of the platform (https://youtu.be/j8fymUL55xx). Readers are encouraged to review the information and capabilities demonstrated in these videos.

The capabilities of the SM Innovation Platform will be augmented by SM Profiles and software applications required for solving manufacturing use cases. These profiles and applications will be developed rapidly through SM Innovation Projects solicited in this RFP.

2.2 SM INNOVATION PROJECTS
This RFP will be focused on a new category of projects called Innovation Projects. Innovation Projects create solutions to manufacturing problems through the use of CESMII technologies (including the core capabilities of the SM Innovation Platform) and develop information models and software applications that will help create SM Profiles and SM Applications3 for the SM Marketplace.

Innovation Projects are designed to rapidly develop innovative solutions (including SM Profiles and SM Applications) to solve challenging manufacturing use cases for processes and equipment relevant for CESMII’s membership. Projects must bring value rapidly (approximately 3-6 months) and will be executed in an agile manner by an interdisciplinary team ideally led by a manufacturer. The team should include a manufacturer, and one or more of the following: a systems integrator, an app vendor, a college or university, and a machine builder or Original Equipment Manufacturer (OEM). The manufacturer will define target manufacturing assets/processes based on a specific problem to be solved. The project team will collaborate and develop a solution that includes information models and applications necessary to solve the use case.

This must be accomplished through development of innovative SM solutions that include creation of new information models and software applications that will be useful for creating SM Profiles and populating the SM Marketplace for processes and/or equipment relevant for CESMII. Solutions must be demonstrated for the manufacturing use case. Profiles and software applications must be configured for access through the CESMII SM Marketplace. Proposals are entertained for all types of manufacturing - discrete, batch and continuous.

Innovation projects will leverage technologies developed through SM Innovation Platform Capability Projects solicited in RFP2-Wave3.

Small and medium manufacturers are particularly encouraged to identify use cases in their respective manufacturing operations. Use cases should serve as proof-of-concept projects that help overcome barriers to adoption of SM technologies for improving performance, productivity, profitability, energy consumption/productivity, quality and so forth.

Please see Section 7 for the allowed types of project work in Section 7 to abide by NEPA requirements.

In reference to the themes stated above, CESMII is inviting proposals for innovation projects in the following areas:

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3 SM Software Applications represent tools that provide specific functionalities to help create these solutions.
2.2.1 ENERGY CONSUMPTION AND/OR ENERGY PRODUCTIVITY USE CASES
Proposals should focus on solving manufacturing use cases that address energy consumption and energy productivity for unit operations or flow paths.

2.2.2 PROCESS PERFORMANCE AND PRODUCTIVITY USE CASES
Proposals should focus on solving manufacturing use cases that address improvements in process performance, equipment performance, yield, productivity and waste reduction improvement for unit operations or flow paths.

2.2.3 PROCESS MONITORING AND PREDICTIVE DIAGNOSTICS USE CASES
Proposals should focus on solving manufacturing use cases that address process and/or equipment monitoring and predictive diagnostics.

3. AWARD INFORMATION
3.1 AWARD OVERVIEW

3.1.1. ESTIMATED FUNDING
CESMII intends to fund Projects in this RFP with the greatest chance of achieving the goals and mission of CESMII. CESMII may award an entire proposal or any part of a proposal at a funding level that will involve negotiation with the applicant. CESMII may issue awards in one, multiple, or none of the above Areas of Interest.

CESMII expects to make approximately $5.0M of federal funding available for new awards under this RFP-2 Wave 4. Projects will also be required to provide matching (1:1) cost share per Section 10 below. Projects may range from $50K to $200K (total, federal + cost share). Details are shown in Table 1.

<table>
<thead>
<tr>
<th>Technical Areas of Interest</th>
<th>Number of Awards Anticipated</th>
<th>Total Federal Funding Available For this RFP Wave</th>
<th>Member cost-share</th>
<th>Period of Performance</th>
</tr>
</thead>
<tbody>
<tr>
<td>SM Innovation Projects</td>
<td>~25</td>
<td>$2,500,000</td>
<td>$2,500,000</td>
<td>~6 Months</td>
</tr>
<tr>
<td>Total:</td>
<td>~25</td>
<td>$2,500,000</td>
<td>$2,500,000</td>
<td>~6 Months</td>
</tr>
</tbody>
</table>

NOTE: INNOVATION PROJECT FUNDS WILL BE ALLOCATED IN SEVERAL BATCHES FOR THIS RFP. INITIAL FUNDING WILL BE APPROXIMATELY $1M (TOTAL) TO HELP PILOT THIS CONCEPT. FUNDING FOR EACH PROJECT MUST NOT EXCEED $200K (FEDERAL FUNDS + COST SHARE)

3.1.2. PERIOD OF PERFORMANCE
For this RFP, CESMII anticipates making awards with periods of performance of up to 6 months. All projects will be stage-gated with Go/No-Go decisions at approximately half way into the project. Project budgets and work scope need to be developed around this anticipated schedule. A more accurate schedule will be provided when the awards are approved. Project continuation will be contingent upon satisfactory performance and mid-project decision review.

3.1.3. CESMII / UCLA FUNDING AGREEMENTS
UCLA will negotiate a subrecipient agreement with lead organizations for each of the project teams. These agreements will include mandatory flow-down terms and conditions from the DOE-UCLA cooperative agreement.

4. ELIGIBILITY INFORMATION
Project teams consisting of CESMII members as well as non-members are eligible to submit proposals in response to this RFP. All proposals are submitted directly to CESMII Headquarters for evaluation. Proposal
team leads and team members (current or potential members who will be sub-recipients under UCLA) must meet the criteria set forth below to be considered for eligibility and evaluation.

4.1 ELIGIBLE APPLICANTS

4.1.1. PROJECT TEAM MEMBERS
All project team members submitting proposals to CESMII must be members in good standing by the time the project is awarded by CESMII. A member is in good standing if they have executed a membership agreement and are current with their annual dues. A potential member may submit a proposal but must be a member in good standing by the time the project is awarded. Information regarding CESMII Membership can be found on the CESMII website, [https://www.cesmii.org/membership-information/](https://www.cesmii.org/membership-information/).

4.1.2. PARTICIPATION BY FOREIGN ENTITIES
Approved CESMII members who are foreign entities may apply for project funding. If any project work will be done in a foreign country, CESMII will work with the project team to complete a Foreign Work Waiver (FWW) that will be submitted to DOE for review and approval. See section 5 below for more information.

5. PERFORMANCE OF WORK IN THE UNITED STATES
All work must be performed in the United States unless a waiver has been approved. This requirement does not apply to the purchase of supplies and equipment; however, every effort should be made to purchase supplies and equipment within the United States.

5.1 FAILURE TO COMPLY
If the Project Team fails to comply with the Performance of Work in the United States requirement, CESMII will deny reimbursement for the work conducted outside the United States and such costs will not be recognized as allowable cost share regardless of whether the work is performed by the sub-recipients, contractors or other project partners.

5.2 WAIVER FOR WORK OUTSIDE THE U.S.
All work must be performed in the United States, however, CESMII may approve the performance of a portion of the work outside the United States under limited circumstances. A waiver must be submitted to CESMII and approved by DOE prior to conducting any work outside the U.S. To request a waiver, the Project Team must submit a written waiver request to CESMII, which includes the following information:

1. The rationale for performing the work outside the U.S.;
2. A description of the work proposed to be performed outside the U.S.;
3. A description of the anticipated benefits to be realized by the proposed work and the anticipated contributions to the US economy;
4. A description of the likelihood of Intellectual Property (IP) being created from the work and the treatment of any such IP;
5. The total estimated cost (CESMII funding and Project Team cost share) proposed for the work to be performed; and
6. The countries in which the work is proposed to be performed.

For the rationale, the Project Team must demonstrate to the satisfaction of CESMII and DOE that the performance of work outside the United States would further the purposes of the CESMII Prime Cooperative Agreement and is in the economic interests of the United States.

6. U.S. MANUFACTURING COMMITMENTS
CESMII’s U.S. Manufacturing Plan represents our commitment to support U.S. manufacturing as a result of its performance under the (DOE) Cooperative Agreement DE-EE0007613. When a project is selected for an
award, the U.S. Manufacturing Plan will become part of the terms and conditions of the sub-agreement. The CESMII Manufacturing Plan can be found at https://www.cesmii.org/request-for-proposal/.

7. NEPA REQUIREMENTS
[Note: This form is not required for the Innovation projects as the type of project work must be limited to one or more of the following: modeling, simulations, data analytics, testbed development and implementation (i.e., integrating sensors onto existing manufacturing assets and systems-integration with CESMII SM Innovation Platform for data-management aspects of process control and automation), technical assistance, or intellectual/academic/analytical activities.]

8. INTELLECTUAL PROPERTY PLAN
The CESMII Intellectual Property Management Plan governs the treatment of Intellectual Property and the rights between CESMII and its Members. The DOE Cooperative Agreement controls the Intellectual Property rights between DOE, CESMII, and its Sub recipients/Sub-awardees. For details and additional information, the CESMII Intellectual Property Plan can be found at https://www.cesmii.org/request-for-proposal/ and the DOE Intellectual Property Clauses pertaining to the Cooperative Agreement can be found at https://www.cesmii.org/model-sub-agreement/.

9. MODEL SUB-AGREEMENT
CESMII will negotiate sub-agreements for all selected projects. Model sub-agreements, which include mandatory flow-down clauses as required by the Cooperative Agreement DE-EE0007613, Reporting Requirements, Intellectual Property Clauses, and National Policy Assurances can be found at https://www.cesmii.org/model-sub-agreement/.

10. COST SHARING
The cost share must be at least 50% of the total allowable costs for the project (i.e., the sum of the CESMII share and the recipient share of allowable costs equals the total allowable cost of the project) and must come from non-Federal sources unless otherwise allowed by law. (See 2 CFR 200.306 and 2 CFR 910.130 for the applicable cost sharing requirements.) Although the cost share requirement applies to the project, including work performed by members of the project team, the project lead organization is responsible for ensuring that the project contributes the required cost share. See (link) for an example.

10.1 COST SHARE ALLOCATION
Each Project Team is free to determine how best to allocate the cost share requirement among the team members. The amount contributed by individual Project Team members may vary, as long as the cost share requirement for the project as a whole is met.

10.2 ALLOWABLE COST SHARE
The Team members may provide cost share in the form of cash or in-kind contributions. See 2 CFR 200.306 and 2 CFR 910.130 for information on what is allowable cost share.

10.3 COST SHARE VERIFICATION
Upon selection for award negotiations, all Project Team Members are required to provide written assurance of their proposed cost share contributions in their final SOPOs. Each organization providing cost share in support of the Project must submit a Letter of Commitment that describes the contribution and signed by an authorized representative of the organization.

11. APPLICATION AND SUBMISSION INFORMATION
11.1 APPLICATION PROCESS

Both current and prospective CESMII members are encouraged to write proposals for submission in response to the RFP2 Wave 4. Any project team members who are not CESMII members will be required to finalize CESMII membership and be in good standing prior to the awarding of the project by CESMII Head Quarters (HQ).

SM Innovation Projects follow a Stage Gate Process outlined in Figure 1). The basic flow of documentation begins with potential project ideas and concepts generated by the CESMII members or potential members in response to this RFP.
CESMII Roadmap Projects RFP-2- Wave 4

INNOVATION PROJECTS PROCESS OVERVIEW

RFP DEVELOPMENT & ISSUANCE

- Areas of Interest
- DOE Conformance
- Issue RFP

PROJECT REVIEW AND SELECTION

- CESMII Internal Evaluation & Selection
- DOE Technical & Financial Reviews and Final Selection

CONTRACTING

- DOE SOPO
- UCLA Contractual Review and Work

PROJECT EXECUTION

- Projects Kickoff Meetings
- Project Activities
- Project Deliverables Validation

All proposal submissions must conform to the following form, its content requirements, (described below) and must be submitted to roadmapprojects.info@cesmii.org unless specifically stated otherwise.

FIGURE 1: SM INNOVATION PROJECT PROCESS OVERVIEW

1. Members and prospective members will submit full proposals in response to this RFP
2. CESMII will conduct a review of Innovation project proposals
3. CESMII will conduct due-diligence and make project selection recommendations for DOE approval.
4. CESMII will submit budget and SOW/SOPO packages for selected Innovation projects to the DOE.
5. CESMII/UCLA will issue subrecipient agreements to DOE-approved Innovation projects based on their work packages.
Proposals must conform to the following requirements:

- Proposals must be submitted in Adobe PDF format unless requested otherwise.
- Proposals must be written in English.
- All pages must be formatted to fit on 8.5 x 11-inch paper with margins not less than one inch on every side. Use Times New Roman typeface, a black font color, and a font size of 12 point or larger (except in figures or tables, which may be a 10-point font). A symbol font may be used to insert Greek letters or special characters, but the font size requirement still applies. References must be included as footnotes or endnotes in a font size of 10 or larger. Footnotes and endnotes are counted toward the maximum page requirement.
- Submit the proposal as a single PDF file.

11.2 APPLICATION FORMS
The application guidelines and instructions are available on the CESMII website. ([https://http://www.cesmii.org/request-for-proposal/](https://http://www.cesmii.org/request-for-proposal/))

11.3 PROPOSAL
The full proposals must address the Review Criteria as discussed in section 12 of this RFP.

Applicants must provide sufficient citations and references to the primary research literature to justify the claims and approaches made in the Technical Approach. However, CESMII and reviewers are under no obligation to review cited sources.

Proposals must be completed using the provided proposal template available on the CESMII website ([https://http://www.cesmii.org/request-for-proposal/](https://http://www.cesmii.org/request-for-proposal/)). Proposals should contain no more than 15 pages total.

12. EVALUATION & SELECTION CRITERIA

12.1 TECHNICAL EVALUATION CRITERIA

- **Areas of Interest: SM INNOVATION PROJECTS**
- **Technical Merit (Weight: 40%)** – The extent to which the project addresses the areas of interest stated in this RFP. The extent to which the project, if successfully carried out, will make a valuable contribution to the field of smart manufacturing, SM Platform™, CESMII and its members. The project objectives are clearly stated, challenging, well-conceived, and technically feasible. The degree to which this project will provide valuable new tools, engineering processes, devices, or hardware/software/data to support adjacent Institute activities. The degree to which the project aligns with, and will materially advance, the mission of the Institute. The extent to which the project will impact metrics such as energy reduction and/or productivity.

- **Technical Approach (Weight: 35%)** - Adequacy and feasibility of the applicant’s approach to achieving the stated objectives of the project. The extent to which the project plan, methods, analysis, and technology are properly developed, well integrated, and appropriate to the objectives of the project. Appropriateness rationale, and completeness of the proposed Project Proposal. Degree to which the applicant has identified high risk challenges and presented reasonable mitigation strategies. There is a high degree of innovation, novelty or originality in the approach. Adequacy and appropriateness of the proposed schedule, staffing plan, and proposed travel.

- **Technical and Management Capabilities (Weight: 25%)** - Likelihood that the proposed work can be accomplished within the proposed budget and performance period by the technical team, given their experience, expertise, past accomplishments, available resources, institutional commitment, and access to technologies. Clarity, completeness and appropriateness of the project plan and
timeline. Clarity, logic, and effectiveness of the project organization, including sub awardees to successfully complete the project. Credentials, capabilities, experience of the key personnel. Adequacy and availability of personnel, facilities, and equipment (both hardware and software) to perform the proposed project within the budget specified.

12.2 PORTFOLIO SELECTION CRITERIA
To create a balanced portfolio CESMII will select projects that are complementary and support the accomplishment of CESMII objectives. This will include the following criteria:
1. Meets strategic goals of the Institute
2. Fit with current Budget Period (BP) funding profiles
3. Cross-industry applicability and broad-based impact
4. Utilization of the SM Platform™ core capabilities and messages and SM Marketplace
5. Full compliance with DOE and CESMII requirements
6. Broader base application across other industries for reusability
7. High-level fit to create balance in the Institute’s project portfolio
8. Whether the proposed project will accelerate transformational technological advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty

13 OTHER INFORMATION
13.1 RFP MODIFICATIONS
Amendments to this RFP will be posted on the CESMII Website at https://www.cesmii.org/request-for-proposal/. CESMII recommends that you check the website often to ensure you receive timely notice of any amendments to the RFP.

13.2 INFORMAL WEBINAR
CESMII will conduct one or more informational webinars during the RFP process. Webinars will be held after the initial RFP release but before the due date for Proposals.

Specific dates for webinars can be found on the cover page of the RFP and the CESMII website upon release of RFP.

14 POST SELECTION REQUIREMENTS
The following documents are required to be submitted after selection during award negotiations:
1. Project Statement of Project Objectives (SOPO- SMART deliverables and milestones)
2. EQ-1 NEPA Form (NOT REQUIRED FOR SM INNOVATION PROJECTS)
3. Cost Share commitment letters matching EERE335
4. EERE 335 forms for different team members as necessary
5. Project work breakdown structure (WBS)
6. Schedule
7. Salary waivers if necessary