



Iowa
energy
center

Grant Program Handbook

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INTRODUCTION

This handbook serves as a guide to the vision, policies, and processes related to the Iowa Energy Center's funding support for energy research, development, demonstration, deployment, education, and workforce development through the center's grant programs.

This handbook is intended to be a living document that will be updated as warranted. The Iowa Energy Center welcomes constructive suggestions related to this handbook. Please send comments and suggestions to iecgrant@iastate.edu.

Interested parties are encouraged to visit <http://www.iowaenergycenter.org/grant-funding/> for the most up-to-date information on Iowa Energy Center funding opportunities.

Mission

The Iowa Energy Center was created by the Iowa Energy Efficiency Act of 1990 with a mission to:

- Strive to increase energy efficiency in all areas of Iowa energy use;
- Conduct and sponsor research on energy efficiency and conservation that will improve the environmental, social, and economic well-being of Iowans, minimize the environmental impact of existing energy production and consumption, and reduce the need to add new power plants;
- Serve as a model for state efforts to decrease reliance on imported fuels and to decrease reliance on energy production from nonrenewable, resource-depleting fuels;
- Conduct and sponsor research to develop alternative energy systems that are based upon renewable sources and that will reduce the negative environmental and economic impact of energy production systems;
- Assist Iowans in assessing technology related to energy efficiency and alternative energy production systems and support educational and demonstration programs that encourage implementation of energy efficiency and alternative energy production systems;
- Develop a program to provide assistance to rural residents for energy efficiency efforts;
- Cooperate with the state board of education in developing a curriculum which promotes energy efficiency and conservation; and
- Sponsor research grants and projects submitted on a competitive basis by Iowa colleges and universities and private nonprofit agencies and foundations.

The Iowa Energy Center supports economic development, environmental sustainability, and social well-being in Iowa through energy innovation, education and entrepreneurship. We provide Iowans with reliable, objective information on energy and efficiency options.

Source of Funding

The Iowa Energy Center receives core annual funding from an assessment on the intrastate revenues of Iowa's gas and electric utilities (§476.10A, Code of Iowa).

Iowa Energy Center Administration

Administration of the Iowa Energy Center is described in §266.39C, Code of Iowa. The center is led by a director appointed by the president of Iowa State University, which provides administrative oversight of the center. The founding statute established an advisory council that provides advice to the director on the development of a budget, policies and procedures, funding of research grant proposals, and program planning and review.

In accordance with Iowa State University policy the Energy Center does not discriminate on the basis of race, color, age, ethnicity, religion, national origin, pregnancy, sexual orientation, gender identity, genetic information, sex, marital status, disability, or status as a U.S. veteran. Inquiries regarding non-discrimination policies may be directed to Robinette Kelley, Director, Office of Equal Opportunity, Title IX/ADA Coordinator, and Affirmative Action Officer, 3350 Beardshear Hall, Ames, Iowa 50011, Tel. 515 294-7612, email eooffice@iastate.edu.

GRANT PROGRAMS

Grant Funding Principles

The Iowa Energy Center's grant programs support work by Iowa organizations that further the broad mission of the center. One objective is to help Iowa organizations be more successful in attracting external funding that supports projects related to energy research, technology development, demonstration, deployment, education, workforce development, and community development. With that objective in mind, the Energy Center's three core grant programs are designed to leverage its limited resources to maximize the return on its investment and to advance the environmental, social, and economic well-being of Iowans through improved energy efficiency measures and alternative energy technology. A fourth center program, the Special Project grants,

supports public education activities that provide high impact and statewide value, including events, publications, web development, studies, workshops, and technology demonstrations.

Eligibility for Funding

Organizations eligible to receive Energy Center grants are Iowa's educational institutions and Iowa-registered private nonprofit organizations and foundations. The Energy Center does not award grants to individuals; for-profit entities; and state, county or local government entities, though those groups may be partners in the work conducted by the grant recipient. Proof of the private nonprofit status of the applicant may be requested. Collaborations among Iowa organizations are encouraged, but not required.

Iowa Energy Center Staff Roles

- **Director:** Leads development of grant initiatives and strategic focus; provides oversight of the development of requests for proposals; leads proposal reviews and makes final funding decisions; signs grant agreements.
- **Grant Coordinator:** Tracks proposals and awards; performs grant database entry and management; prepares grant agreements and manages post-award administrative actions; manages grant closeout.
- **Contract Coordinator:** Reviews language in grant agreements subject to final approval by Iowa State University's Office of Sponsored Programs Administration or University Counsel. Updates requests for proposals and policies in conjunction with and under direction of the Director.
- **Fiscal Officer:** Approves payments to peer reviewers, sets up grant accounts, and provides fiscal oversight for award funds.
- **Project Managers:** Each serves as the grant recipient's Iowa Energy Center contact for programmatic aspects of the grant award; assists the Director in reviewing proposals; reviews grantee performance and approves reimbursement for grant expenditures; accepts reports and other deliverables on behalf of the Iowa Energy Center.

Overview of Grant Types

The Iowa Energy Center offers funding to eligible grant recipients through published requests for proposals (RFPs). The Energy Center may have more than one RFP open at any given time for various types of grants. The Energy Center currently has four active RFPs.

Planning Grants

The Energy Center's planning grants help facilitate applicants' preparation of proposals in response to major federal, nonprofit, or private-sector solicitations. An Energy Center award would provide funding for a set of activities specifically aimed at bringing potential partners together to strategize, plan, or execute a response to a known or likely external funding opportunity.

Proposals for conducting education or training events, conferences, seminars, and similar types of activities that are not directly related to development of a response to an external funding opportunity will not be considered.

The current RFP for planning grants may be found at: <http://www.iowaenergycenter.org/planning-grants/>.

Opportunity Grants

The Energy Center seeks proposals for near-term projects that will enable researchers to be more competitive in response to federal, nonprofit, or private sector solicitations. An Iowa Energy Center award would fund proof-of-concept tests, early experimentation, economic viability analyses, piloting, preliminary studies, and similar efforts necessary to enhance a proposal targeting a known or likely external funding opportunity.

Proposals for activities related to external-proposal preparation (e.g., drafting, planning, and technical editing) will not be considered.

The Opportunity Grant program requires the submission of a pre-proposal. Applicants will be notified whether a full proposal may be submitted for consideration.

The current RFP for opportunity grants may be found at: <http://www.iowaenergycenter.org/opportunity-grants/>.

Matching Grants

The Energy Center seeks opportunities to assist eligible organizations in meeting matching or cost sharing requirements for funding opportunities in response to federal, nonprofit, or private-sector solicitations, with the goal to attract new funding to the State of Iowa. These matching-grant funds are not intended to maintain or supplement current, ongoing, or newly funded operations or programs of the applicant.

Matching funds may be approved for externally sponsored projects under either of the following conditions:

- Cost share or matching funds are required by the sponsor;
- Cost share or matching funds are recommended and rewarded by the sponsor.

Matching-grant funding from the Energy Center should result in a five- to ten-fold return on its investment in terms of new funding that comes to Iowa and is used in Iowa.

The current RFP for matching grants may be found at: <http://www.iowaenergycenter.org/matching-grants/>.

Special Project Grants

For activities that do not readily fit within other Energy Center grant programs, the center's special-project grant program is seeking proposals for public education activities that will have high impact and statewide value, including events, publications, web development, studies, workshops, and technology demonstrations.

The Energy Center will not fund marketing or promotional campaigns for commercial products or services, nor will it fund policy advocacy activities.

The current RFP for special project grants may be found at: <http://www.iowaenergycenter.org/grant-funding/competitive-grants/special-project-grant>.

GRANT POLICIES

Costing Guidance

In general, the Iowa Energy Center follows federal guidelines regarding allowable and allocable costs for Energy Center grants. This guidance for unallowable expenses is embodied in applicable 2 CFR 200 for educational and non-profit institutions found at: http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=394ccef1f1add661dfe486ab68f07b1d1&ty=HTML&h=L&mc=true&n=pt2.1.200&r=PART#_top.

The Energy Center sets its own policies with respect to certain types of costs, including tuition, computers, capital expenses, and indirect costs:

Tuition

The current tuition policy is found at: <http://www.iowaenergycenter.org/grantfunding/competitive-grants/forms-and-other-resources/>.

Computers

In general the Energy Center will not fund the purchase of personal computers, including desktops, laptops, notebooks, and tablets. Exceptions are possible, such as when a dedicated data-acquisition system is required for a funded project.

Capital Support

Under most circumstances the Energy Center funds may not be used to procure motor vehicles and other capital expenses such as the construction, repair, or improvement of grounds and buildings (including fixed equipment within buildings).

Indirect Costs

Indirect costs are not allowable expenses for grants provided by the Energy Center. The current policy on indirect costs is found at: <http://www.iowaenergycenter.org/grant-funding/competitive-grants/forms-and-other-resources/>.

Iowa State University provides policy and guidance on cost allowability and appropriateness at: <http://www.controller.iastate.edu/accounting/allowability.htm>.

To minimize the potential for disputes and to streamline proposal, award, and post-award processes, the Energy Center should be contacted whenever a proposal budget or grant expenditure question arises.

Types of Awards

All Iowa Energy Center grants shall be cost reimbursable. For planning grants, funding advances may be made at the recipient's request and at the discretion of the Iowa Energy Center.

Pre-Award Spending

In general, the Iowa Energy Center will not reimburse pre-award costs under its grant programs. Exceptions may be made in special circumstances and require written approval of the Director of the Iowa Energy Center.

Invoices/Payments

Allowable costs incurred on grants awarded by the Energy Center shall be reimbursed upon presentation and approval of acceptable invoices. Where the Energy Center has direct access to grant recipient financial records, reimbursement may be made upon Energy Center review of expenditures.

Payment will be made upon receipt of proper invoices until payment has reached 90% of award amount for a given year. The remaining 10% invoiced will be paid after the Energy Center has received and approved all contracted deliverables for that year.

Invoices should be submitted not more often than monthly to:

Iowa State University
Office of Sponsored Programs Accounting
3609 Administrative Services Building
Ames, IA 50011-3609
spa@iastate.edu

Budget Reallocation

Within the awarded budget, the grant recipient may reallocate budgeted amounts in line items without written Energy Center approval with the exception of the following:

- Increasing the domestic or foreign travel budget for travel not already approved by the Iowa Energy Center;
- More than a 10% increase or decrease in planned equipment expenditures;
- More than a 10% increase or decrease in payments to sub-agreement organizations or consultants;
- Any increase in budgeted tuition. Unused budgeted tuition funds may not be reallocated to any other budget category. Funds from other budget categories may be used to cover a shortfall in tuition funds with the prior written approval of the Energy Center.

Whenever possible, grant recipients should anticipate the need for reallocation approval and avoid retroactive requests. All reallocations must be justified and the Energy Center reserves the right to request justification even when the reallocation does not require written approval by the Iowa Energy Center.

No-Cost Extensions

Grant recipients may request no-cost extensions by contacting their project manager by email. The project manager or grant coordinator will send the applicant and invitation to fill out an on-line no-cost extension request. Approved extensions require an amendment to the grant agreement.

Requests for no-cost extensions, when the primary purpose is to enable spending down awards, will not be approved.

Change of Principal Investigator or Co-Principal Investigator

The Principal Investigator (PI) for a grant awarded by the Energy Center may not be changed without the approval of the Energy Center. Grant recipients may request to change the PI using the form located at: <http://www.iowaenergycenter.org/grant-funding/competitive-grants/forms-and-other-resources/>. Changing the PI requires an amendment to the grant agreement.

Grant recipients may also add or remove Co-Principal Investigators with Energy Center approval. Changes in co-PI typically will not require an amendment to the grant agreement.

Use the form located at <http://www.iowaenergycenter.org/grant-funding/competitive-grants/forms-and-other-resources/>.

Transfer of Award

In general, Iowa Energy Center grants may not be transferred to another organization.

Account Balance at Close-Out

The Energy Center policy requires accurate and realistic budgeting by the Principal Investigator. Variances from anticipated spending plans should be brought to the attention of the Energy Center in a timely manner so that the PI and the Energy Center's staff can agree on a spending path moving forward.

The Energy Center will be alert for unusual spending as the project end date approaches and will not sanction "use it or

lose it” spending. Unencumbered/unspent funds will be deobligated at project termination and will no longer be available to the grant recipient.

Intellectual Property

The general policy of the Energy Center is that all property rights, titles, and interests in intellectual property (IP) generated by the grant recipient under a grant issued by the Energy Center will belong to the grant recipient.

Changes to U.S. patent law from a “first to invent” to a “first to file” system, which became effective in early 2013, make it essential that any IP developed be protected as soon as possible. Filing for protection is time sensitive. Grant recipients should monitor public disclosures carefully and work with the Energy Center to ensure that grant reporting obligations do not adversely impact the recipient’s ability to protect its IP.

In some cases the grant recipient may not wish to retain ownership of the IP or may not have the means to protect the IP. In such cases the grant recipient is asked to assign the IP rights to the Energy Center, which will work with the Iowa State University Office of Intellectual Property and Technology Transfer to assess the IP and to seek protection if warranted. Grant recipients have one year from the expiration date or termination date of the grant agreement, whichever is earlier, to elect ownership or assign ownership to ISU.

Confidentiality

The Iowa Energy Center intends to treat pre-proposals and full proposals as proprietary until an award is made. Nonetheless, applicants are requested to not include proprietary, confidential, or sensitive information in their submittals to the Energy Center.

For some proposals the Energy Center will seek external expert reviews. Although reviewers will be bound by confidentiality agreements, such reviews may be considered to be public disclosures that could impact IP rights.

Upon award, most documents related to the award, including proposals, will become public records. The Energy Center considers proposal reviews and unfunded proposals to be exempt from disclosure, but cannot guarantee that it will not be compelled to release reviews or unfunded proposals under federal or state laws.

Project Manager Conflict of Interest

For any of the Energy Center grant programs, if an Energy Center manager is listed as a PI or co-PI, the project must be managed by a different center manager.

Notwithstanding that condition, if an Energy Center manager is involved in the external funding opportunity being pursued (the target of a planning, opportunity, or matching grant application) or if his or her facility (BECON or the Energy Resource Station) is involved in either the internal (Energy Center) or external project, then that person will be named as the project manager for the Energy Center grant application. Clearly that will be the person most qualified to guide the successful completion of the project. Nonetheless, the decision to invite an opportunity grant full proposal must be made by someone else. Likewise, any internal review required by the center’s grant management system must be performed by someone else. The substitute reviewer shall be named in the Internal Review tab’s Notes/Comments field along with an explanation as to why the project manager is not performing the review.

Publications/Acknowledgements

Grant recipients are encouraged to publish and otherwise release findings made under their grants and are required to send such publications and materials to the Energy Center once they are issued. The recipient is responsible for ensuring that every publication of material (including, but not limited to, presentations, posters, internet sites, and videos) based on or developed under the Energy Center grant award, contains the following acknowledgement:

“This [report/publication/presentation/video/other] was prepared by [recipient name] under award [grant number] from the Iowa Energy Center. Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the Iowa Energy Center.”

Proposal and Review Processes

General Request-for-Proposal Development Process

Ideally, request-for-proposal (RFP) development will begin no later than the last quarter of any fiscal year. The date for release of RFPs will typically be July 1. The window during which proposals will be accepted will depend on the specific RFP and may take into account reviewer constraints as well as budgeting and award preferences.

RFP development is initiated by the Energy Center director in accordance with strategic and budget planning. Input from Iowa Energy Center program managers, the grant coordinator, and the contract coordinator is provided at various points along the development timeline. At the request of the director, the Iowa Energy Center's advisory council may be asked to provide advice to the director on the RFPs. RFPs issued subsequent to the inaugural RFP may incorporate changes based on lessons learned in the previous year with the goal of making the RFP as effective as possible for both applicants and the Iowa Energy Center.

The RFP should have the following traits.

- It should be a stand-alone document with all required forms included. Links to fillable forms and templates on the Iowa Energy Center web site should be provided.
- Language and instructions should be concise, organized logically, and non-repetitive. Extraneous information should be avoided.
- Submission instructions should be clearly identified and easy for the applicant to find and follow.
- Expectations should be clearly worded and have a direct relationship to submission and review processes.
- Review processes and criteria should be explained in sufficient detail to promote transparency and to foster responsive proposals.

Planning Grants

The Planning Grant RFP is normally issued on July 1 of each year and closes on June 30 of the following year. Refer to the current RFP for program-specific information.

Proposal Receipt and Review

Proposals must be uploaded electronically as a single PDF file through the Iowa Energy Center's Grant Management System (<https://iec.smartsimple.com>) during the acceptance period. An acknowledgement of proposal receipt and Iowa Energy Center intent to review will be sent to the applicant by the Iowa Energy Center's Grant Management System upon verification that the proposal was received according to RFP requirements.

A proposal that was properly submitted will be processed and reviewed as follows:

- Responsiveness and eligibility – The Iowa Energy Center grant coordinator will evaluate the eligibility of the applicant. The grant coordinator will inform the director of any concerns. The grant coordinator will, in consultation with the director, assign an Energy Center project manager to the application.
- Proposal evaluation – All proposals must be consistent with the Iowa Energy Center's mission to advance the environmental, social, and economic well-being of Iowans through improved energy efficiency measures and alternative energy technologies. Proposals accepted for review will be evaluated by Iowa Energy Center staff according to the following criteria:

Weight	Criteria	Description
40%	Vision	<ol style="list-style-type: none"> 1. The proposal articulates a well thought-out concept and approach to capturing funding from a private- or public-sector sponsor. 2. There is a high likelihood that this vision will lead to external funding.
40%	Opportunity	<ol style="list-style-type: none"> 1. The proposal clearly identifies an external source of potential funding beyond the IEC-funded project. 2. The IEC-funded project significantly improves the likelihood of future external funding that will flow into Iowa. 3. External funding would bring at least \$50,000 of new funding to Iowa, and ideally more than \$100,000.
20%	Capability and Collaboration	<ol style="list-style-type: none"> 1. The anticipated team would provide an appropriate level of expertise and capability for attracting external funding. 2. The team is seeking collaboration with other Iowa non-profit and academic institutions, such as regent universities, independent colleges and universities, and community colleges.

- Applicant Notification – The decision of the Iowa Energy Center project manager, in consultation with the director, will be provided to the applicant, ideally within 7 days following receipt of the proposal.

Grant Award

The award process will be managed by the Iowa Energy Center grant coordinator and may take up to three weeks to complete. All awards made under this grant program will be cost reimbursable; however, funding advances can be made at the recipient's request and at the discretion of the Iowa Energy Center.

- Project Negotiation – The Iowa Energy Center may enter into pre-award discussions with an applicant to address issues such as:
 - Budget items;
 - The scope of the proposed effort that is selected for award;
 - Additional information that is needed to enable an award decision;
 - Any special terms and conditions that may be required.

The result of the discussions will be a concise project work plan that will be incorporated into the grant agreement.

- Grant Agreement – Processing the grant agreement is different for non-ISU versus ISU awards.

For non-ISU entities an award letter and grant agreement are prepared by the Energy Center and sent electronically to the grant recipient. The agreement may be sent to the principal investigator or the principal investigator's contracting official. The grant recipient contracting official signs the agreement and returns it to the Iowa Energy Center. The Iowa Energy Center director signs the agreement and forwards it to Iowa State University's Office of Sponsored Programs Administration (OSPA) for final signature. OSPA forwards the award to ISU's Sponsored Programs Accounting office, which works with the ISU Purchasing Department to issue a purchase order for the grant. The purchase order is sent to the grant recipient. The Energy Center provides the recipient with a fully signed copy of the grant agreement.

For grants issued to ISU an award letter and grant agreement are prepared by the Energy Center and sent electronically to the principal investigator. The PI prepares a GoldSheet for the award and routes it for approval. General guidance on preparing and routing a GoldSheet is found at www.ospa.iastate.edu/proposal/faq. GoldSheet guidance specific to Energy Center grants is at <http://www.iowaenergycenter.org/grant-funding/competitive-grants/forms-and-other-resources/>. The PI is responsible for ensuring that the GoldSheet is routed to the appropriate department(s) and Resource Responsibility Center(s). The PI must include the Iowa Energy Center in the department-level routing. The PI must attach the RFP under which the award was issued, the award letter, the signed grant agreement, and a detailed budget using the OSPA One Page Budget Form (www.ospa.iastate.edu/forms/#budget).

Opportunity Grants

The Opportunity Grant RFP is normally issued on July 1 of each year and closes on June 30 of the following year. Refer to the current RFP for program-specific information. The Opportunity Grant program requires both a pre-proposal and invited full proposal.

Pre-proposal Receipt and Review

- Pre-proposals must be uploaded electronically as a single PDF file through the Iowa Energy Center's Grant Management System (<https://iec.smartsimple.com>) during the acceptance period. An acknowledgement of pre-proposal receipt and Iowa Energy Center intent to review will be sent to the applicant by the Iowa Energy Center's Grant Management System upon verification that the pre-proposal was received according RFP requirements.

A pre-proposal that was properly submitted will be processed and reviewed as follows:

- Responsiveness and eligibility – The Iowa Energy Center grant coordinator will evaluate the eligibility of the applicant. The grant coordinator will inform the director of any concerns. The grant coordinator will, in consultation with the director, assign an Energy Center project manager to the application.
- Pre-proposal evaluation – Pre-proposals accepted for review will be evaluated by Iowa Energy Center staff on eligibility requirements, the prospects for external funding, and consistency with the center's mission.
- Applicant Notification – The decision of the Iowa Energy Center project manager regarding a full-proposal invitation will be provided to the applicant, ideally within 7 days following receipt of the pre-proposal. The

Energy Center staff will work with the applicant to help ensure that the best possible proposal is submitted for consideration by external expert reviewers.

Full Proposal Receipt and Review

Invited full proposals must be uploaded electronically as a single PDF file through the Iowa Energy Center's Grant Management System: (<https://iec.smartsimple.com>). An acknowledgement of full proposal receipt and Iowa Energy Center intent to review will be sent to the applicant by the Iowa Energy Center's Grant Management System upon verification that the full proposal was received according RFP requirements.

A full proposal that was properly submitted will be processed and reviewed as follows:

Weight	Criteria	Description
8%	Return on Investment	In terms of the ratio of potential external funding for Iowa vs. the IEC award, the project offers, at a minimum, a five-times return on investment. Ideally, the project should be seeking a ten-times return on investment.
15%	Impact	The project's goals are consistent with the mission of the Iowa Energy Center to advance the environmental, social, and economic well-being of Iowans through improved energy efficiency measures and alternative energy technology.
6%	Capability and Collaboration	<ol style="list-style-type: none"> 1. The team has sought collaboration with other Iowa non-profit and academic institutions, including regent universities, independent colleges and universities, and/or community colleges. 2. The team has sought collaboration with private sector partners where applicable.

- Responsiveness and eligibility – The Iowa Energy Center grant coordinator will review the applicant information for. The grant coordinator will inform the project manager and director of any concerns.
- Full proposal internal evaluation – The Energy Center project manager will conduct a non-technical internal review through the Grant Management System using the following criteria:
- Full proposal external evaluation – Full proposals accepted for review will be evaluated by external expert reviewers according to the criteria outlined in the RFP. Note that the review criteria vary depending on the type of project that is proposed.

For projects asking for at least \$100,000 that have passed those reviews, the advisory council will be invited to complete non-technical reviews through the online system, covering the same evaluation criteria as the center review (see above).

That is, for large projects the technical merits of the proposal will be judged by the center's external expert panel; non-technical issues will be assessed by the advisory council and the center. A lack of a quorum of advisory council reviews will imply concurrence with the Energy Center's funding recommendation. With a quorum, the advisory council review scores will be combined with the external expert reviews to provide guidance to the center director on his final funding decision.

The opportunity grant program is open on a continuous basis, so requests for advisory council reviews may come at any time. Advisory council members have one week to provide their input. Their comments will be combined, edited as necessary, and provided to the applicant, along with comments from the panel of experts.

Research and Development Projects – External Review Criteria

Weight	Criteria	Description
30%	Technical Merit	<p>The proposal demonstrates the technical merit and rationale for the proposed project and provides a clearly defined, technically feasible, and implementable work plan. The technical description of the proposed project and the work plan convincingly present and justify the following:</p> <ol style="list-style-type: none"> 1. Validity of the proposed approach and likelihood of success based on current state of the art and on the scientific principles underpinning the proposed approach. 2. Development of a comprehensive and complete work plan and schedule with milestones and interrelated tasks that clearly lead to the successful completion of the project. 3. The identification of key technical risks and mitigation strategies to address them. 4. A clear set of deliverables.
17%	Return on Investment	<ol style="list-style-type: none"> 1. The proposal clearly identifies an external source of potential funding beyond the IEC-funded project. 2. The IEC-funded project significantly improves the likelihood of future external funding that will flow into Iowa.
10%	Impact	The project, if taken to completion with external funding, will have a transformative effect on how the nation produces, transports, or uses energy.
9%	Capability and Collaboration	The team provides an appropriate level of expertise and capability, and is building toward a multi-disciplinary, multi-institutional, strategic collaboration to attract external funding.
5%	Leadership	The project helps establish Iowa as a leader in energy or efficiency.

Demonstration and Deployment Projects – External Review Criteria

Weight	Criteria	Description
30%	Technical Merit	<p>The proposal demonstrates the technical merit and rationale for the proposed project and provides a clearly defined, technically feasible, and implementable work plan. The technical description of the proposed project and the work plan convincingly present and justify the following:</p> <ol style="list-style-type: none"> 1. The maturity of the technology and its suitability for demonstration or deployment. 2. Development of a comprehensive and complete work plan and schedule with milestones and interrelated tasks that clearly lead to the successful completion of the project. 3. The identification of key technical risks and mitigation strategies to address them. 4. A clear set of deliverables.

(continued on following page)

Weight	Criteria	Description <i>(Demonstration and Deployment Projects - continued from previous page)</i>
17%	Return on Investment	<ol style="list-style-type: none"> 1. The proposal clearly identifies an external source of potential funding beyond the IEC-funded project. 2. The IEC-funded project significantly improves the likelihood of future external funding that will flow into Iowa.
10%	Impact	The project, if taken to completion with external funding, will have a transformative effect on how the nation produces, transports, or uses energy.
9%	Capability and Collaboration	The team provides an appropriate level of expertise and capability, and is building toward a multi-disciplinary, multi-institutional, strategic collaboration to attract external funding.
5%	Leadership	The project helps establish Iowa as a leader in energy or efficiency.

Education and Workforce Development Grants – External Review Criteria

Weight	Criteria	Description
30%	Technical Merit	<p>The proposal demonstrates the technical merit and rationale for the proposed project and provides a clearly defined, technically feasible, and implementable work plan. The technical description of the proposed project and the work plan convincingly present and justify the following:</p> <ol style="list-style-type: none"> 1. Validity of the proposed approach and likelihood of success based on education or workforce development best practices. 2. Development of a comprehensive and complete work plan and schedule with milestones and interrelated tasks that clearly lead to the successful completion of the project. 3. The identification of key technical risks and mitigation strategies to address them. 4. A clear set of deliverables.
17%	Return on Investment	1. The proposal clearly identifies an external source of potential funding beyond the IEC-funded project.
10%	Impact	2. The IEC-funded project significantly improves the likelihood of future external funding that will flow into Iowa.
9%	Capability and Collaboration	<p>The project, if taken to completion with external funding, will – through education or workforce development – help transform how the nation produces, transports, or uses energy.</p> <p>The team provides an appropriate level of expertise and capability, and is building toward a multi-disciplinary, multi-institutional, strategic collaboration to attract external funding.</p>
5%	Leadership	The project helps establish Iowa as a leader in energy or efficiency.

The reviewers retained by the Energy Center have agreed to perform a proposal review and provide written feedback within ten days. If a reviewer does not begin a draft review online within five days, declines to perform the review, or declares a conflict of interest, the Grant Management System will notify the grant coordinator and the project manager

will select an alternative reviewer. Each full proposal is typically sent to three external reviewers who are experts in the subject matter of the proposal. A reviewer is offered payment for each proposal that is reviewed.

For each evaluation criterion, internal and external reviewers indicate whether the proposal “does not meet the criterion,” “slightly meets the criterion,” “somewhat meets the criterion,” or “meets the criterion very well.” Those judgments are translated into a weighted numerical score, as indicated in the calibration table on the next page. For example, if all criteria are marked as having “somewhat met criteria,” the review score would be 67. If the average score among the three reviewers, combined with the internal review score, meets a certain quantitative threshold, the project will be funded. Projects with scores less than a minimum threshold will not be funded. For scores that lie between those two boundaries, the center director will make an assessment as to whether modifications to the work scope could be sufficient to lift the score past the funding threshold.

Calibration Table for Weighted Scores of the Iowa Energy Center Proposal Evaluations

Rating	Score	Were criteria addressed?	Strengths and weaknesses	Team capability
Superior <i>Meets the criteria very well</i>	100	All comprehensively addressed	Significant strengths; no weaknesses	No doubt of capability to perform
	90		Significant strengths; a few minor, correctable weaknesses	
Good <i>Somewhat meets criteria</i>	80	All adequately addressed	A number of strengths; a few minor, correctable weaknesses	Little doubt of capability to perform
	70		A few strengths only; several correctable weaknesses	
Satisfactory	60	All addressed to some degree	The number and level of strengths outweigh weaknesses; weaknesses are correctable	Reasonably demonstrated capability
	50		The number and level of strengths slightly outweigh weaknesses; weaknesses may be correctable	
Marginal <i>Slightly meets criteria</i>	40	Some not adequately addressed	The number and level of weaknesses slightly outweigh strengths	Some doubt as to capability to perform
	30		The number and level of weaknesses outweigh strengths	
Unsatisfactory	20	Most not adequately addressed	Significant weaknesses	Fails to demonstrate the capability to perform
	10			
Deficient <i>Does not meet criteria</i>	0	Nor responsive	The proposal has no merit	

- Applicant Notification – The decision of the Iowa Energy Center will be provided to the applicant, ideally within three weeks following receipt of the full proposal. Applicants will be provided with written review comments, edited to keep the reviewers anonymous. The combination of help from Energy Center staff on the editing of the full proposal and comments from the expert reviewers should provide value to the applicants even if the Energy Center opts not to fund the work.

Grant Award

The award process will be managed by the Iowa Energy Center grant coordinator and may take up to 5 weeks to complete. All awards made under this grant program will be cost reimbursable.

- Project Negotiation – The Iowa Energy Center may enter into pre-award discussions with an applicant to address issues such as:
 - Budget items;
 - The scope of the proposed effort that is selected for award;
 - Additional information that is needed to enable an award decision;
 - Any special terms and conditions that may be required.

The result of the discussions will be a concise project work plan that will be incorporated into the grant agreement.

- Grant Agreement – Processing the grant agreement is different for non-ISU versus ISU awards.

For non-ISU entities an award letter and grant agreement is prepared by the Energy Center and sent electronically to the grant recipient. The agreement may be sent to the principal investigator or the principal investigator's contracting official. The grant recipient contracting official signs the agreement and returns it to the Iowa Energy Center. The Iowa Energy Center director signs the agreement and forwards it to Iowa State University's Office of Sponsored Programs Administration (OSPA) for final signature. OSPA forwards the award to ISU's Sponsored Programs Accounting office, which works with the ISU Purchasing Department to issue a purchase order for the grant. The purchase order is sent to the grant recipient. The Energy Center provides the recipient with a fully signed copy of the grant agreement.

For grants issued to ISU an award letter and grant agreement are prepared by the Energy Center and sent electronically to the principal investigator. The PI prepares a GoldSheet for the award and routes it for approval. General guidance on preparing and routing a GoldSheet is found at www.ospa.iastate.edu/proposal/faq. GoldSheet guidance specific to Energy Center grants is at <http://www.iowaenergycenter.org/grant-funding/competitive-grants/forms-and-other-resources/>. The PI is responsible for ensuring that the GoldSheet is routed to the appropriate department(s) and Resource Responsibility Center(s). The PI must include the Iowa Energy Center in the department-level routing. The PI must attach the RFP under which the award was issued, the award letter, the signed grant agreement, and a detailed budget using the OSPA One Page Budget Form (www.ospa.iastate.edu/forms/#budget).

Matching Grants

The Matching Grant RFP is normally issued on July 1 of each year and closes on June 30 of the following year. Refer to the current RFP for program-specific information. Awards under this RFP are contingent on the external funding opportunity being awarded. The review process will lead only to a commitment of award. An actual Energy Center award will take place upon documentation from the principal investigator that the external award being targeted was issued.

Proposal Receipt and Review

Proposals must be uploaded electronically as a single PDF file through the Iowa Energy Center's Grant Management System (<https://iec.smartsimple.com>) during the acceptance period. An acknowledgement of proposal receipt and Iowa Energy Center intent to review will be sent to the applicant by the Iowa Energy Center's Grant Management System upon verification that the proposal was received according to the RFP requirements.

A proposal that was properly submitted will be processed and reviewed as follows:

- Responsiveness and eligibility – The Iowa Energy Center grant coordinator will evaluate the eligibility of the applicant. The grant coordinator will inform the director of any concerns. The grant coordinator will, in consultation with the director, assign an Energy Center project manager to the application.
- Proposal evaluation – All proposals must be consistent with the Iowa Energy Center's mission to advance the environmental, social and economic well-being of Iowans through improved energy efficiency measures and alternative energy technology.

Proposals accepted for review will be evaluated by Iowa Energy Center staff according to the following criteria:

Weight	Criteria	Description
55%	Return on Investment	<ol style="list-style-type: none"> 1. The proposal clearly identifies an external source of potential funding. 2. Iowa Energy Center funding significantly improves the likelihood of external funding that will flow into Iowa. 3. In terms of the ratio of potential external funding for Iowa vs. the Iowa Energy Center award, the project offers, at a minimum, a five-fold return on investment. Ideally, the project should be seeking a ten-fold return on investment.
25%	Impact	The project, if taken to completion with external funding, will have a transformative effect on how the nation produces, transports, or uses energy.
15%	Collaboration	<ol style="list-style-type: none"> 1. The team has sought collaboration with other Iowa non-profit and academic institutions, including regent universities, independent colleges and universities, and/or community colleges. 2. The team has sought collaboration with private sector partners where applicable.
5%	Leadership	The project helps establish Iowa as a leader in energy or efficiency.

The Iowa Energy Center will not make award decisions based on the technical merits of the external proposal, since those will be judged competitively by the sponsor.

For projects asking for at least \$100,000 from the Energy Center that have passed the internal review process, the director will attempt to hold a teleconference so that available advisory council members can provide advice on how to make the proposed project more successful (for example, through partnerships).

- Applicant Notification – The decision of the Iowa Energy Center will be provided to the applicant, ideally within two weeks following receipt of the proposal.

Leading up to the applicant's submission of the external proposal, the Iowa Energy Center will work with the applicant to address any issues related to the matching-grant commitment and to provide documentation needed for the external proposal, such as a formal letter of commitment.

The applicant must notify the Energy Center whether the external project was funded. This is important even if the external proposal is rejected, so that the Energy Center can release committed funds to pursue other opportunities.

Grant Award

An Energy Center matching grant award will only be made to the applicant upon receipt of documentation that the external funding was awarded. The award process will be managed by the Iowa Energy Center grant coordinator and may take up to 5 weeks to complete. All awards made under this grant program will be cost reimbursable.

- Project Negotiation – The grant recipient shall document the amount of new funding to Iowa awarded by the external sponsor. The Energy Center reserves the right to modify its funding commitment if the financial terms of the external award differ from the expectations laid out in the proposal to the Energy Center.

The Iowa Energy Center may enter into pre-award discussions with an applicant to address issues such as:

- Budget items;
- The scope of the proposed effort that is selected for award;
- Additional information that is needed to enable an award decision;
- Any special terms and conditions that may be required.

The result of the discussions will be a concise project work plan that will be incorporated into the grant agreement.

- Grant Agreement – Processing the grant agreement is different for non-ISU versus ISU awards.

For non-ISU entities an award letter and grant agreement are prepared by the Energy Center and sent

electronically to the grant recipient. The agreement may be sent to the principal investigator or the principal investigator's contracting official. The grant recipient contracting official signs the agreement and returns it to the Iowa Energy Center. The Iowa Energy Center director signs the agreement and forwards it to Iowa State University's Office of Sponsored Programs Administration (OSPA) for final signature. OSPA forwards the award to ISU's Sponsored Programs Accounting office, which works with the ISU Purchasing Department to issue a purchase order for the grant. The purchase order is sent to the grant recipient. The Energy Center provides the recipient with a fully signed copy of the grant agreement.

For grants issued to ISU an award letter and grant agreement are prepared by the Energy Center and sent electronically to the principal investigator. The PI prepares a GoldSheet for the award and routes it for approval. General guidance on preparing and routing a GoldSheet is found at www.ospa.iastate.edu/proposal/faq. GoldSheet guidance specific to Energy Center grants is at <http://www.iowaenergycenter.org/grant-funding/competitive-grants/forms-and-other-resources/>. The PI is responsible for ensuring that the GoldSheet is routed to the appropriate department(s) and Resource Responsibility Center(s). The PI must include the Iowa Energy Center in the department-level routing. The PI must attach the RFP under which the award was issued, the award letter, the signed grant agreement, and a detailed budget using the OSPA One Page Budget Form (www.ospa.iastate.edu/forms/#budget).

Special-Project Grants

The Special-Project Grant RFP is normally issued on July 1 of each year and closes on June 30 of the following year. Refer to the current RFP for program-specific information.

Proposal Receipt and Review

Proposals must be uploaded electronically as a single PDF file through the Iowa Energy Center's Grant Management System (<https://iec.smartsimple.com>) during the acceptance period. An acknowledgement of proposal receipt and Iowa Energy Center intent to review will be sent to the applicant by the Iowa Energy Center's Grant Management System upon verification that the proposal was received according to RFP requirements.

A proposal that was properly submitted will be processed and reviewed as follows.

- Responsiveness and eligibility – The Iowa Energy Center grant coordinator will evaluate the eligibility of the applicant. The grant coordinator will inform the director of any concerns. The grant coordinator will, in consultation with the director, assign an Energy Center project manager to the application.
- Proposal evaluation – All proposals must be consistent with the Iowa Energy Center's mission to advance the environmental, social, and economic well-being of Iowans through improved energy efficiency measures and alternative energy technology.

Furthermore, proposed projects cannot be eligible for funding under another, currently open Iowa Energy Center grant program. At least 50% of the overall project costs must be provided by non-Energy-Center sources.

Weight	Criteria	Description
30%	Public Education	<p>The project supports an educated Iowa citizenry through one or more of the following ways:</p> <ol style="list-style-type: none"> 1. The project supports capacity building for a broad Iowa energy community or fosters ongoing partnerships. 2. The project is effective in providing information sharing, promoting a public dialogue on energy issues, or disseminating information on incentives or funding opportunities. 3. The project creates knowledge important to Iowa's energy picture.

(continued on following page)

Eligible proposals will be evaluated according to the following criteria:

Weight	Criteria	Description <i>(Special Project grant evaluation - continued from previous page)</i>
15%	Merit	<ol style="list-style-type: none"> 1. The proposal provides a clearly defined, feasible, and implementable work plan and schedule with milestones and interrelated tasks that clearly lead to the successful completion of the project. 2. The proposal provides a clear set of deliverables.
35%	Impact and Reach	<ol style="list-style-type: none"> 1. The project provides high and enduring impact with respect to the Iowa Energy Center's mission. 2. The project has wide-ranging, statewide value. 3. Energy Center funding is essential to the success of the project. Moreover, the value of the project cannot depend on ongoing Energy Center support.
20%	Capability and Collaboration	<ol style="list-style-type: none"> 1. The team provides an appropriate level of expertise and capability to ensure the success of the project. 2. The team has sought collaboration with other Iowa registered nonprofits and Iowa academic institutions, including regent universities, independent colleges and universities, or community colleges. 3. The team has sought collaboration with private-sector partners, as appropriate.

The review process for special-project grant proposals is:

1. The Energy Center performs a full review of the proposal against the evaluation criteria and makes a funding recommendation.
2. Proposals that pass the Energy Center review will be passed on to the advisory council through the online grant management system for a full review. Advisory council members will be expected to, at a minimum, provide constructive comments for the applicants as part of the "overall assessment" section of the review.

The special-project grant program runs on a monthly cycle, running from the first Friday of the month to the first Thursday of the following month. Proposals that pass the internal Energy Center review are submitted to the advisory council on the second Thursday of each month, with the online reviews due on the fourth Monday (i.e., a 10-day review window spanning two weekends).

A lack of a quorum of advisory council reviews will imply concurrence with the Energy Center's funding recommendation. With a quorum, an average advisory council review score will be calculated and become the basis for a final funding decision by the director.

- Applicant Notification – The decision of the Iowa Energy Center director will be provided to the applicant, ideally within 7 days after the fourth Monday of each monthly funding cycle.

Grant Award

The award process will be managed by the Iowa Energy Center grant coordinator and may take up to three weeks to complete. All awards made under this grant program will be cost reimbursable; however, funding advances can be made at the recipient's request and at the discretion of the Iowa Energy Center.

- Project Negotiation – The Iowa Energy Center may enter into pre-award discussions with an applicant to address issues such as
 - Budget items;
 - The scope of the proposed effort that is selected for award;
 - Additional information that is needed to enable an award decision;
 - Any special terms and conditions that may be required.

The result of the discussions will be a concise project work plan that will be incorporated into the grant agreement.

- Grant Agreement – Processing the grant agreement is different for non-ISU versus ISU awards.

For non-ISU entities an award letter and grant agreement is prepared by the Energy Center and sent electronically to the grant recipient. The agreement may be sent to the principal investigator or the principal investigator's contracting official. The grant recipient contracting official signs the agreement and returns it to the Iowa Energy Center. The Iowa Energy Center director signs the agreement and forwards it to Iowa State University's Office of Sponsored Programs Administration (OSPA) for final signature. OSPA forwards the award to ISU's Sponsored Programs Accounting office, which works with the ISU Purchasing Department to issue a purchase order for the grant. The purchase order is sent to the grant recipient. The Energy Center provides the recipient with a fully signed copy of the grant agreement.

For grants issued to ISU an award letter and grant agreement are prepared by the Energy Center and sent electronically to the principal investigator. The PI prepares a GoldSheet for the award and routes it for approval. General guidance on preparing and routing a GoldSheet is found at www.ospa.iastate.edu/proposal/faq. GoldSheet guidance specific to Energy Center grants is at <http://www.iowaenergycenter.org/grant-funding/competitive-grants/forms-and-other-resources/>. The PI is responsible for ensuring that the GoldSheet is routed to the appropriate department(s) and Resource Responsibility Center(s). The PI must include the Iowa Energy Center in the department-level routing. The PI must attach the RFP under which the award was issued, the award letter, the signed grant agreement, and a detailed budget using the OSPA One Page Budget Form (www.ospa.iastate.edu/forms/#budget).

GRANT MANAGEMENT

Pre-Award

From the applicant's perspective, pre-award activities include the entire process from proposal development through the effective date of award (or decline) by the center. From the Energy Center's perspective, under its competitive solicitations, pre-award activities begin upon proposal receipt and continue throughout review and up to the effective date of award (or decision to decline).

Tracking

The Energy Center's Grant Management System tracks pre-award actions for each proposal selected for award and is accessible by all authorized Energy Center staff.

- Database – Information is entered by the applicant into the Iowa Energy Center's Grant Management System and is permanently stored there. From the database records, information is merged into grant agreements, amendments, and correspondence. The database is also used to generate information for reports.
- Electronic files - All documents and records related to proposals, reviews, and awards are entered and uploaded into the Grant Management System. These data are stored on the Grant Management System cloud. Data for grant proposals prior to the launch of the Grant Management System are in the process of being uploaded to the system.

Negotiation

Negotiation of awards is performed by an assigned Energy Center project manager. Negotiation involves coming to an acceptable agreement between the Energy Center and the grant recipient on the final scope of work, budget, timeline, and deliverables. The intended result of the negotiations is a final project work plan that will be incorporated into the grant agreement.

Negotiations should be completed at least 4 weeks prior to the effective start date of the award to enable the grant approval process to be completed and spending authorization to be issued prior to the start date. If negotiations are not successful, the Energy Center can decline to issue the award.

Significant deviations from the reviewed proposal (as may be requested by either the Energy Center or the applicant) require input and approval from the Energy Center.

Approvals

Following submission of the final project work plan by the recipient, any new or updated information is entered into the Grant Management System. At that time, the grant agreement is prepared and sent to the recipient by

e-mail. Processing the grant agreement is different for non-ISU versus ISU awards.

Non-ISU recipients should follow their established internal procedures for review of the grant agreement. Additional negotiation of award terms and conditions is still possible at this point. Any changes to Energy Center grant terms and conditions must be approved by the Energy Center.

The recipient's authorized organization official must sign the agreement. The signed grant agreement should then be e-mailed to the Energy Center at iecgrant@iastate.edu.

The order of signature approvals is:

1. Recipient
2. Iowa Energy Center Director
3. Iowa State University Office of Sponsored Programs Administration (OSPA)

For grants issued to ISU an award letter and grant agreement are prepared by the Energy Center and sent to the principal investigator. The PI prepares a GoldSheet for the award and routes it for approval. General guidance on preparing and routing a GoldSheet is found at www.ospa.iastate.edu/proposal/faq. GoldSheet guidance specific to Energy Center grants is at <http://www.iowaenergycenter.org/grant-funding/competitive-grants/forms-and-other-resources/>. The PI is responsible for ensuring that the GoldSheet is routed to the appropriate departments and Resource Responsibility Centers.

The PI must include the Iowa Energy Center in the department-level routing. The PI must attach the RFP under which the award was issued, the award letter, the signed grant agreement, and a detailed budget using the OSPA One Page Budget Form (www.ospa.iastate.edu/forms/#budget).

The order of routing approvals is:

1. Principal Investigator (PI)
2. Departments of PI
3. College and/or Resource Responsibility Center (RRC)
4. Vice President for Research
5. Iowa Energy Center
6. Office of Sponsored Programs Accounting (OSPA)

Accounts and Purchase Orders

Upon final approval by OSPA, the award is sent to Iowa State University's Sponsored Programs Accounting office, where either an internal account is established (ISU recipients) or a Purchase Order is issued (non-ISU recipients).

Post-Award

Post-award activities begin on the effective date of the grant agreement. The center tracks the agreed-to project start date as the "award date." Success of a grant relies not only on the ability of the project team to carry out the effort, but also on the effective interaction of three groups of people: (1) the investigator and the project team, (2) the recipient's postaward research administrators, and (3) the Energy Center's management team.

Project Team

The principal investigator is responsible for ensuring that the project objectives are met in a cost-effective manner and that obligations related to milestones, deliverables, and invoices are met. The principal investigator conducts the project according to the terms of the grant and his or her organization's policies. The principal investigator is the primary contact for the Energy Center's project manager on matters related to the project work plan.

Recipient's Grant Administrator

The recipient may have post-award administrators that provide support to the grantee for compliance, financial management, interpretation of organization and Energy Center policies and procedures, purchasing, and other non-technical requirements of the grant.

Often there are identified points of contact for contractual, financial, and compliance matters, and those individuals act as a liaison between the investigators and the Energy Center to ensure that the project moves forward smoothly.

Energy Center Management

The Energy Center will assign a project manager to interact with the principal investigator on matters related to the project work plan, including technical performance and project deliverables. The Energy Center's grant coordinator will interact with the recipient's grant administrators on matters related to financial management and compliance with grant terms and conditions.

- Programmatic Interaction – The approach of Energy Center project management is to give the recipient freedom to perform the project work plan without undue oversight. Nevertheless, the Iowa Energy Center project manager will review deliverables and general progress.

The Iowa Energy Center project manager will also certify to the Iowa Energy Center director and grant coordinator that the project met its goals and objectives and can be closed out.

- Administrative Interaction – The Energy Center grant coordinator will serve as the primary liaison between the recipient's grant administrator and the Iowa Energy Center project manager. The primary function in this role is to ensure that the recipient complies with the terms and conditions of the grant agreement, particularly in the areas of financial performance, on-time reports and deliverables, and acknowledgments of Energy Center support in publications. The grant coordinator interprets Iowa Energy Center grant policies if questions arise from the recipient.

Tracking Deliverables

The Iowa Energy Center project manager and grant coordinator will, through the Grant Management System, maintain central electronic correspondence records regarding project deliverables and ensure deadlines are met.

The project manager is responsible for reviewing and accepting reports and deliverables on behalf of the Energy Center. The project manager will work directly with the principal investigator to resolve deficiencies in the reports and deliverables and will ensure that the grant coordinator is aware of actions taken, including deadlines imposed for resolving deficiencies.

Performance Management

If warranted, a grant may be terminated for cause or convenience by either the Energy Center or the grant recipient. In general, the Energy Center will not terminate a grant for cause unless all reasonable efforts to resolve the underlying performance issues have been exhausted. The project manager will work with the Energy Center's director and grant coordinator to provide timely notice to the grant recipient, as required by the grant agreement, and to monitor grant expenditures.

Approval of Expenses

Reimbursement of grantee expenses is not automatic. Grant expenses are reviewed based on invoices (non-ISU grantees) or direct access to the grant account (ISU grantees). Approval is a multi-step process.

1. Invoices and internal expenses are routed through ISU's Office of Sponsored Programs Accounting (SPA).
2. Upon receipt of an invoice, a payment voucher is prepared and routed electronically to the Energy Center. These are initially reviewed by the Iowa Energy Center grant coordinator, who enters the invoiced expenses into an internal financial report. The grant coordinator flags any expense categories that may be non-compliant with Energy Center policies. The grant coordinator reviews ISU grant expenditures on a monthly basis and prepares the same internal financial report for those grants.
3. The internal financial report is sent to the Iowa Energy Center project manager for final review. The project manager may approve reimbursement of the expenses, seek additional information prior to approval, or disallow certain expenses.
4. If expenses are acceptable, the electronic payment voucher is approved by the grant coordinator and a reimbursement payment is issued to the grantee. If certain expenses are not approved, the reimbursement is held until questions about the expenses are resolved. For awards to ISU, the grant coordinator initiates a fund transfer to reimburse the ISU grant account.

Administrative Actions

As discussed under Grant Policies, certain administrative actions require formal Iowa Energy Center approval or amendment of the grant agreement: budget reallocations for certain budget categories, no-cost time extensions, change of principal investigator, and increasing the award amount.

Awardees should contact their project manager to discuss the need for any action that requires a grant amendment with the Iowa Energy Center. The grantee will then be invited to complete the correct form through the Grant Management System. The request will be reviewed by the Iowa Energy Center grant coordinator and the project manager. If approved, the grant coordinator will route a grant amendment. The order of signature approvals for an amendment is the same as for the original award:

1. Recipient
2. Iowa Energy Center Director
3. Iowa State University Office of Sponsored Programs Administration (OSPA)

Increasing the grant award amount requires substantial justification and approval of the Energy Center director. Award processing will follow the same procedures as an original award.

Grant Closeout

The practice of project closeout completes project activities across all phases of the project. The purpose of project closeout is to assess the project, ensure completion, and (internally) derive any lessons learned and best practices to be applied to future projects.

Unless otherwise stated in the grant agreement, project closeout must be completed within 90 days following the grant end date. Both the grantee and the Energy Center have certain responsibilities for closeout.

Grant Recipient

- Submit all required reports and deliverables for review and acceptance by the Energy Center.
- Ensure that final grant expenditures have been closed and posted so that a final invoice can be submitted to the Energy Center. If the project has a sub-recipient, the grantee must ensure that sub-recipient expenses are finalized and that the subrecipient final invoice has been approved and paid.
- Ensure record retention and disposition are completed according to the grant agreement and recipient policies.

Energy Center

- Review and approve required reports and deliverables.
- Review and approve the grantee's final invoice.
- Review disposition of any equipment purchased under the grant. If the Energy Center wishes to recall equipment for other Energy Center purposes, notice must be given to the grantee.
- Archive grant records according to Energy Center procedures.
- Provide notice to the grant recipient that closeout is completed.

Post Closeout

The Energy Center will track metrics on funded projects for two years after their completion. The metrics will include, but not necessarily be limited to, information on publications, patents, commercialization, student education, external sponsorship, use of the grant as cost share, and further collaborations among the partners that were facilitated by the Energy Center funding.

The Iowa Energy Center's Grant Management System will send an annual questionnaire to grant recipients to collect this information, which will be shared with the project manager. Documentation may be requested to verify the metrics being reported. The annual surveys will be sent approximately on September 1 during the project period and for two years after the project's completion.

RELATED POLICIES AND PROCEDURES

Letters of Support

Occasionally the Energy Center is asked to provide a letter of support for a project. These letters do not imply or commit any financial or other Energy Center resources. Letters of support do, however, constitute an endorsement of a project by the Energy Center and as such require programmatic review within the Energy Center.

Letters of support should be requested from the Energy Center at least five business days prior to the date the letter is needed to enable review and preparation of the actual letter. Requestors are encouraged to provide a draft letter that indicates to whom the letter should be addressed and general content requirements. Support letters shall be signed and issued by the director.

Use of Awarded Energy Center Grants as Cost Share

In general, the Energy Center is willing to allow its awarded grants to be designated as cost share by the grant recipient on other recipient proposals and awards. However, an Energy Center grant may not be used as cost share required by any other Energy Center grant program.

The grant recipient should promptly notify the Energy Center when any part of the Iowa Energy Center grant will be proposed as cost share. Upon notification, the Energy Center will send the grantee a letter outlining the conditions under which the grant may be used for cost share.

Regardless of whether the Energy Center is notified in advance that Iowa Energy Center funds are being used as cost share toward other proposals and awards, the following will apply:

With regard to federal, state, or other audit requirements for cost share, the reasonableness, allowability, allocability, and consistency in treatment of costs incurred under the Iowa Energy Center-awarded grant, as well as any unrecovered indirect costs, will be for the recipient to determine. The Energy Center assumes no liability to any individual or entity whatsoever to provide additional funding to cover any portion of the cost share that may be disallowed.

The Energy Center assumes no responsibility to perform except as stated in the Energy Center grant agreement with the recipient.

APPENDIX

Glossary of Terms Used in this Handbook

Allocable Cost: An allowable cost that is appropriate and can be specifically identified with the grant to which it is charged. A cost may be allowable under various cost policies and yet not be allocable to a particular grant.

Allowable Cost: An approved expenditure for the funded project. Whether costs are allowed on Iowa Energy Center grants is determined by federal Office of Management and Budget (OMB) circulars, specific Iowa Energy Center policy, or other policies as stated in the grant agreement. Only allowable funds may be requested in grant budgets and charged to the award.

Amendment: Any change made to an existing sponsored agreement.

Authorized Organization Official: Typically not the principal investigator, an authorized organization official is a person who has the authority to sign a grant agreement on behalf of the recipient's organization.

Capital Equipment – See: Equipment (defined as Capital Equipment)

Capital Support: Funds provided for buildings, construction, equipment, or renovation.

Consistent Application: Costs must be treated consistently in like circumstances under generally accepted accounting principles. This means that all costs incurred for the same purpose, in like circumstances, must be treated in the same way.

Cost Reimbursable Award: All Iowa Energy Center grants are cost reimbursable, which requires the recipient to invoice the center for reimbursement of allowable costs incurred in performance of a project.

Cost Share: The portion of project costs not borne by the sponsor. Cost share may be provided by the recipient or a third party.

Deliverable: Anything that is required to be submitted to the Iowa Energy Center in return for the Iowa Energy Center's providing grant funds. Deliverables are typically written reports, but may also be data, devices, software, or other items as specified in the grant agreement.

Direct costs: Those costs that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.

Effective Date: The date specified in the grant agreement signifying the official start of a grant. This is also referred to as the Award Date.

Endorsement: A commitment, through the Matching Grant program, that the Energy Center will provide funding to a grantee under the contingency that the grantee wins funding in the targeted external competition. Only upon winning the external funding is an Energy Center grant agreement executed and the grant awarded.

Equipment (defined as Capital Equipment): Nonexpendable, tangible personal property having a useful life of more than one year and a unit value of \$5,000 or greater. If component parts are assembled into a final product that meets the definition of equipment the component parts are, themselves, also considered to be capital equipment.

Grant: A grant represents a mutual joining of interests on the part of the Iowa Energy Center and the grant recipient in the pursuit of common objectives. In this relationship, the grant recipient shares with the Iowa Energy Center the obligation to act in the public interest in achieving a common purpose. This is a relationship of trust that imposes upon the grant recipient the responsibility to ensure that the grant is performed in accordance with the terms and conditions of the grant agreement, including that grant funds are utilized for the purpose for which they were awarded.

Note: A grant is distinguished from a contract in that a grant does not constitute the procurement of goods and services by the grantor (Iowa Energy Center). The Iowa Energy Center does not issue contracts under its grant programs.

Grant Agreement (also called Award): The legally binding official written document that notifies the recipient and others that a grant has been made and that contains the terms and conditions under which the Iowa Energy Center commits grant funds and the recipient accepts the funding commitment. The grant agreement is signed by individuals who are authorized to sign on behalf of their respective organizations.

Grant Recipient (also called awardee, grantee or recipient): A grant recipient is the legal recipient of a grant. The Iowa Energy Center provides grants to eligible organizations. The principal investigator is never the grant recipient on an Iowa Energy Center grant. When an organization accepts a grant award on behalf of an individual, the organization becomes the grant recipient.

Principal Investigator (PI): The principal investigator is the person authorized to assume responsibility for the administrative and programmatic aspects of an Iowa Energy Center grant, including ensuring that funds are spent in accordance with institutional and Iowa Energy Center guidelines and that milestones and other programmatic obligations are met. The grant may include one or more co-investigators; however, the Iowa Energy Center recognizes only one principal investigator as the primary contact for performance of the grant.

Project Work Plan: A document that specifies how the project team intends to accomplish the set of tasks necessary to complete the project. A project work plan includes a list of subtasks, project participants, a timeline, a budget, and planned deliverables.

Reallocation (also called re-budgeting): Changing the allotment of approved funding between budget categories to allow best use of funds to accomplish the project goals. Reallocation requires Iowa Energy Center approval for certain budget categories or for greater than 10% variance in spending versus budget in certain budget categories.

Reasonable-Costs: A cost may be considered reasonable if the nature of the goods or services acquired, and the amount involved, reflect the action that a prudent person would have taken under the circumstances at the time the decision to incur the cost was made. To be reasonable, the cost must be necessary for the operation of the institution or for the performance of the sponsored agreement.

Request for Proposal (RFP): This is the official announcement of a grant funding opportunity. The request for proposal is issued by the sponsor (i.e., the Iowa Energy Center) and contains specific instructions for preparing and submitting a proposal.

Sub-award: A mechanism that is used to provide funding to an institution (sub-recipient) that is collaborating with the lead institution (prime recipient) in the performance of a funded project. The sub-award is formalized with a sub-award agreement.

Sub-recipient: The legal entity with which a sub-award is made and that is accountable to the prime awardee for the use of the funds provided.

Uniform Guidance (2 CFR 200): Establishes Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. The final Guidance in 2 CFR Part 200 has been issued that supersedes requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in 2 C.F.R. Parts 220, 225, 215, and 230); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up.²¹⁵ Uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and other non-profit organizations.

- 220: Cost principles for educational institutions. Applicable for determining costs applicable to grants, contracts, and other agreements with educational institutions.
- 225: Cost principles for state, local, and Indian tribal governments.
- 230: Cost principles for non-profit organizations. Formerly OMB Circular A-122: "Cost Principles for Non-Profit Organizations."
- 500: Audits

General Grant Terms and Conditions
Grant Agreement Non-ISU

Grant No. «GrantNumber»

GRANT AGREEMENT

The 73rd General Assembly of the State of Iowa established the Iowa Energy Center (IEC) at Iowa State University of Science and Technology (ISU), an agency of the State of Iowa. The statute which created the IEC (Iowa Code Section 266.39C) is referred to and incorporated into this Grant Agreement as the Prime Agreement.

Under the Prime Agreement, ISU desires to provide a grant for the project: «LastOfTitle». This Grant Agreement for performance of that project is entered into by and between ISU acting as the Grantor, and:

«Organization», «Add1», «City», «State» «Zip5» «Zip4»
 FEIN = «FEIN»

acting as the Grantee.

The parties agree as follows:

ARTICLE 1 Scope of Work

The scope of work, timeline and budget for the project are detailed in the attached project work plan referred to and incorporated into this Grant Agreement as Exhibit A.

ARTICLE 2 Grant Period

The grant period for this Grant Agreement is «LastOfStartDate» - «LastOfEndDate». The grant period may not be changed without a written amendment executed by the parties.

ARTICLE 3 Key Contacts

The Grantee's principal investigator (PI) for the Grant Agreement is «Salutation» «FirstName» «LastName». The PI shall not be replaced without a written amendment executed by the parties.

The Grantee's contracting administrator for the Grant Agreement is «GranteeAdminContact». All notices to the Grantee under this Grant Agreement shall be sent to the PI with a copy to the Grantee's contracting administrator.

The Grantor's administrative contact is Patty Prouty, patty@iastate.edu, 515-294-8819. All notices to the Grantor under this Grant Agreement shall be sent to the Grantor's administrative contact.

The Grantor's project manager is «ProjectManager», «Email», «Phone».

ARTICLE 4 Reports and Other Deliverables

Exhibit A includes the schedule by which the Grantee agrees to provide reports and other deliverables to the Grantor. The Grantor will advise the Grantee regarding the format for reports and other deliverables. Changes in the schedules in Exhibit A require a written amendment executed by the parties. The Grantee grants the Grantor permission to reproduce, distribute, display, perform, create derivative works of and use the reports and other deliverables for noncommercial purposes.

The Grantee is encouraged to publish and otherwise release findings made under this grant but shall send such publications and materials to the Grantor once they are issued. The Grantee is responsible for assuring that every publication of material (including presentations, posters, internet sites, and videos) based on or developed under this Grant Agreement, contains the following acknowledgement: "This [report/publication/presentation/video] was prepared by [recipient name] under award [grant number] from the Iowa Energy Center. Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the Iowa Energy Center."

For up to two years after termination, the Energy Center will follow up on this award with an annual survey of accomplishments that must be completed.

ARTICLE 5 Expenditures and Payment of Invoices

This grant is cost reimbursable. The Grantor agrees to reimburse the Grantee for performance of the grant in the amount not to exceed «LastOfAward». All costs incurred in the performance of this grant are subject to the limitations of Articles 6 and 7 in this Grant Agreement. The Grantee must submit signed invoices not more often than monthly to spa@iastate.edu or by mail to:

Sponsored Programs Accounting Office
 Iowa State University
 3609 Administrative Services Building
 Ames, IA 50011-3609

Reimbursements will be made upon review and approval Payment will be made upon receipt of proper invoices until payment has reached 90% of the total award. The Energy Center may opt to withhold the remaining 10% until the IEC has received and

approved Grantee's required reports and other deliverables (see Article 4). The Grantee's final invoice is due no later than 90 days after «LastOfEndDate» or the date of termination of this Grant Agreement, whichever is earlier.

The Grantee will be reimbursed for all actual and allowable expenses and all uncancellable obligations properly incurred during the grant period and prior to «LastOfEndDate» or the date of the termination notice as further described in Article 14, whichever is earlier. Funds awarded by the Grantor but not properly and timely expended according to the terms of this Agreement will not remain obligated to the Grantee for any purpose.

ARTICLE 6 Indirect Costs

Indirect costs will not be reimbursed under this grant.

ARTICLE 7 Allowable Costs

The allowability of costs chargeable to this grant is determined by the Prime Agreement, 2 CFR 200, as applicable, and the Grantor's policies. Exceptions to policies must be negotiated with the Grantor. Questions regarding cost allowability shall be addressed to the Grantor.

The Grantee shall reimburse Grantor for any losses resulting from audit disallowances relating to costs originally incurred by the Grantee during performance of this grant. Reimbursement to Grantor shall be made within 30 days of notice of audit disallowance.

ARTICLE 8 Reallocations Within the Awarded Budget

Reallocation of awarded funds requires written approval by the Grantor's administrative contact for any of the following:

- 1) increasing the domestic or foreign travel budget for travel not already approved by the Grantor,
- 2) more than a 10% increase or decrease in planned equipment expenditures,
- 3) more than a 10% increase or decrease in payments to sub-agreement organizations or consultants,
- 4) Any increase in budgeted tuition expense.

The Grantee may reallocate awarded funds among other budget categories without the Grantor's approval.

ARTICLE 9 Accounts, Audits and Records

1. The Grantee shall maintain books, records, documents, and other evidence, including accounting procedures and practices, sufficient to reflect properly all costs of whatever nature the Grantee claims to have incurred for the performance of this grant and the work furnished in connection with the project. The foregoing constitutes "records" for the purposes of this article.
2. The Grantee shall preserve and make available to Grantor, the Auditor of the State of Iowa or other auditor as the Grantor deems appropriate all records until the expiration of 3 years after submission of the final invoice for the grant or longer if required by state or federal statute.
3. If requested by the Grantor, the Grantee shall forward to the ISU Office of Sponsored Programs Accounting one copy of its most recent OMB A-133 or independent financial audit, as applicable.

ARTICLE 10 Equipment Accountability and Disposition

The Grantee shall maintain inventory and maintenance records for equipment purchased from the awarded funds for 3 years following submission of the final invoice for the grant or longer if required by state or federal statute.

Equipment is defined as an article of nonexpendable, tangible personal property having a useful life of more than one year and a unit value of \$5,000 or greater. If component parts are assembled into a final product that meets the definition of equipment the component parts are, themselves, also considered to be equipment.

Title to all equipment purchased pursuant to this grant shall vest in the Grantee subject to the right of the Grantor to claim title to said equipment upon written notice to the Grantee within 90 calendar days after the expiration or termination of this Grant Agreement, whichever is earlier.

ARTICLE 11 Inspection

The Grantor reserves the right to inspect facilities, acquired materials and equipment, and to review the progress of the work performed pursuant to this grant. The Grantor shall give the Grantee reasonable notice prior to conducting any such inspection and review.

ARTICLE 12 Intellectual Property

The Grantee shall inform the Grantor's project manager of all intellectual property generated under this Grant Agreement. Subject to the conditions contained in this Article, all property rights, titles, and interests in intellectual property generated under this grant shall belong to the Grantee.

The Grantee shall take appropriate steps to protect intellectual property generated under this grant.

The Grantee may elect to assign ownership of intellectual property generated under this grant to the Grantor, such election to be made within one year following the expiration or termination of this Grant Agreement, whichever is earlier. The Grantee's rights in intellectual property assigned to the Grantor shall be governed by the policies established by Iowa State University Research

Foundation, Inc. When ownership of intellectual property rights is assigned to the Grantor, the Grantee shall ensure that the inventor/creator(s) sign all necessary papers required for intellectual property protection including, but not limited to, assignments, disclosures, filings, and royalty distributions and shall provide to the Grantor copies of all enabling data, drawings, materials and methods, software code, and prepared, submitted or published manuscripts that describe the intellectual property.

If the Grantee retains ownership of and files for protection of intellectual property generated under this agreement, the Grantor shall have a non-exclusive, irrevocable, royalty-free license to use the intellectual property for non-commercial research and educational purposes.

ARTICLE 13 Sub-agreements

The terms of this Grant Agreement shall flow down to any sub-agreements awarded under this grant. The Grantee shall not enter into any sub-agreements, other than those agreed upon in the project work plan, without a written amendment to this Grant Agreement executed by the parties.

ARTICLE 14 Termination for Convenience

This Grant Agreement may be terminated for convenience by either party upon 30-day written notice to the other party. Except for uncancellable obligations properly incurred prior to the Grantee's receipt of the notice of termination from the Grantor, new expenditures incurred by the Grantee after the receipt of the termination notice shall not be reimbursed. If the Grantee provides a notice of termination, the Grantee shall not incur, nor shall the Grantee be reimbursed for, any new costs after the date that the notice was first given.

ARTICLE 15 Applicable Law

This agreement shall be authorized by and construed in accordance with the laws of the State of Iowa.

ARTICLE 16 Compliance with Laws

During the performance of this agreement, the Grantee shall comply with all applicable federal, state, and local laws, rules, ordinances, regulations, and orders including but not limited to:

1. Equal Opportunity. The Grantee shall not discriminate against any employee or applicant for employment because of race, color, religion, sexual orientation, gender identification, marital status, national origin, sex, age, or physical or mental disability, or status as a US veteran. The Grantee shall take affirmative action to ensure that applicants are employed and that the employees are treated during employment without regard to their race, creed, color, religion, national origin, sex, age, or physical or mental disability or status as a Vietnam-era/disabled veteran, except where it relates to a bona fide occupational qualification. Such action shall include but not be limited to the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or terminations; rates of pay or other forms of compensation; and selection for training, including apprenticeship.
2. Export Controls. The Grantee shall comply with any applicable export control laws and regulations, including but not limited to the Export Administration Regulations and the International Traffic in Arms Regulations. The Grantee shall not provide the Grantor with items that are export controlled (other than EAR99 items) without the prior consent of the Grantor.
3. Human Subjects, Vertebrate Animals, Recombinant or Synthetic Nucleic Acid. If the project requires the use of human subjects, animal subjects, or recombinant or synthetic nucleic acid, the Grantee shall comply with any applicable law or regulation to which the Grantee is subject including any requirement to have the project reviewed, approved and monitored by an Institutional Review Board ("IRB"), Institutional Animal Care and Use Committee ("IACUC") or Institutional Biosafety Committee as applicable.

ARTICLE 17 Debarment, Suspension, and Drug-Free Workplace

The Grantee certifies that it is in current compliance with the Drug Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Sec. 5152; 41 USC 701-707, as amended) and is not currently under debarment or suspension according to Executive Order 12549 dated February 18, 1986 and as supplemented by Executive Order 12689 issued August 16, 1989. The Grantee shall notify the Grantor if the Grantee's status of compliance changes with regard to this Article.

ARTICLE 18 Use of Name

Neither party shall use the name of the other party or its employees for publicity, advertising or any other commercial purpose without the prior written approval of the other party. This prohibition shall not apply to publicly available documents that merely identify the existence of this Grant Agreement.

ARTICLE 19 Independent Contractor

The Grantor and the Grantee are independent contractors, and nothing in this Grant Agreement creates a partnership or joint venture. The Grantee shall be solely responsible for self-employment, income or any other taxes relating to payments under this Grant Agreement and shall be responsible for payment of all compensation owed to its employees, including but not limited to payment of any wages, benefits, employment-related taxes, unemployment compensation and workers' compensation.

ARTICLE 20 Miscellaneous

This Grant Agreement, including Exhibit A, constitutes the entire agreement between the parties with respect to the subject matter of this Grant Agreement and supersedes all prior agreements, whether written, oral, or implied. If any term or condition of this Grant Agreement is held to be illegal or invalid by any court, the invalidity of such term or condition shall not affect any of the

Grant No. «GrantNumber»

remaining terms or conditions and this Grant Agreement shall be construed and enforced as if such illegal or invalid term or condition had not been contained in this Grant Agreement. This Grant Agreement shall not be modified without the mutual written consent of the parties. The failure of either party to require performance of any term or condition of this Grant Agreement by the other party shall not constitute a waiver to subsequently enforce such term or condition. This Grant Agreement may not be assigned by either party without the prior written permission of the other party.

ARTICLE 21 Authority

Each party warrants and represents to the other that the person executing this Grant Agreement for and on its behalf is duly authorized by all necessary and appropriate action to execute this Grant Agreement.

ACCEPTED

For «**Organization**»

For **Iowa State University**

Authorized Contracting Official Date

Director, Iowa Energy Center Date

Pamela Helfer Date
Office of Sponsored Programs Administration

GRANT AGREEMENT
Iowa Energy Center and Iowa State University

The 73rd General Assembly of the State of Iowa created the Iowa Energy Center (IEC), to be administered by Iowa State University (ISU), an agency of the State of Iowa. The legislation which created the IEC (Section 266.39C, Code of Iowa and as amended) is incorporated by reference herein and referred to as the Prime Agreement.

Under the Prime Agreement, ISU desires to provide an internal grant for the project: «*LastOfTitle*». This internal grant agreement for performance of that project is awarded to:

«Organization», «Add1», «Add2», «City», «State» «Zip5»
 FEIN = «FEIN»

acting as the grantee. The IEC will act on behalf of ISU in administering this agreement in accordance with the terms herein subject to ISU approval where necessary. The parties agree as follows:

ARTICLE 1 Scope of Work

The scope of work, timeline and budget for the project are detailed in the attached Exhibit A referred to herein as the Project Work Plan.

ARTICLE 2 Grant Period

The grant period for this agreement is «LastOfStartDate» - «LastOfEndDate». The grant period may not be changed without written approval by the IEC in the form of an amendment.

ARTICLE 3 Key Contacts

The grantee's principal investigator (PI) for the agreement is «Salutation» «FirstName» «LastName». The PI shall not be replaced without written approval by the IEC in the form of an amendment. All notices to the grantee under this agreement shall be sent to the PI with a copy to the grantee's contracting administrator.

The grantee's contracting administrator for the agreement is the Office of Sponsored Programs Administration.

The IEC's administrative contact is Patty Prouty, patty@iastate.edu, 515-294-8819. All notices to the IEC under this agreement shall be sent to the IEC's administrative contact.

The IEC's project manager is «ProjectManager», «Email», «Phone».

ARTICLE 4 Reports and Other Deliverables

The project work plan includes the schedule by which the grantee agrees to provide reports and other deliverables to the IEC. The IEC will advise the grantee regarding format for reports and other deliverables. Changes in the schedules represented in the project work plan require written approval by the IEC project manager. The IEC reserves the right to stop reimbursements to the grantee until delinquent reports and other deliverables are accepted.

The grantee is encouraged to publish and otherwise release findings made under this grant but shall send such publications and materials to the IEC once they are issued. The grantee is responsible for assuring that every publication of material (including presentations, posters, internet sites, and videos) based on or developed under this award, contains the following acknowledgement: "This [report/publication/presentation/video] was prepared by [recipient name] under award [grant number] from the Iowa Energy Center."

For up to two years after termination, the Energy Center will follow up on this award with an annual survey of accomplishments that must be completed.

ARTICLE 5 Expenditures, Reimbursements, and Reallocations Within the Awarded Budget

This grant is cost reimbursable. An ISU account shall be established by ISU's Sponsored Programs Accounting Office following signing of this agreement and completion of the ISU Gold Sheet. Expenditures shall be in accordance with the budget, in the project work plan, for an amount not to exceed «LastOfAward».

Payment will be made upon verification of allowed expenses until payment has reached 90% of the total award. The Energy Center may opt to withhold the remaining 10% until the IEC has received and approved Grantee's required reports and other deliverables (see Article 4).

Reimbursement of expenses will be made, no more frequently than monthly, upon review and approval of incurred expenses. After «LastOfEndDate», the only reimbursements will be for (a) expenses encumbered by that date in ISU's accounting system and (b) expenses that the grantee can document were incurred during the project period. Payments related to both (a) and (b) must be completed within 90 days after «LastOfEndDate». Funds awarded by the IEC but not properly expended according to the terms of this Agreement will not remain obligated to the grantee for any purpose.

Reallocation of awarded funds requires written approval by the IEC for any of the following:

- 1) increasing the domestic or foreign travel budget for travel not already approved by the IEC,
- 2) more than a 10% increase or decrease in planned equipment expenditures,
- 3) more than a 10% increase or decrease in payments to sub-agreement organizations or consultants,
- 4) any increase in budgeted tuition expense.

The grantee may reallocate IEC funds among other budget categories without IEC approval.

ARTICLE 6 Indirect Costs

Indirect costs will not be reimbursed under this grant.

ARTICLE 7 Allowable Costs

The allowability of costs chargeable to this grant is determined by the Prime Agreement, 2 CFR 200, and ISU and IEC cost policies. Exceptions to policies must be negotiated with the IEC. Questions regarding cost allowability shall be addressed to the IEC.

The grantee shall reimburse the IEC for any losses resulting from audit disallowances relating to costs originally incurred by the grantee. Reimbursement to the IEC shall be made within 30 days of notice of audit disallowance.

ARTICLE 8 Equipment Disposition

Title to all equipment purchased pursuant to this grant shall vest in ISU. The IEC has the right to assume responsibility for and to relocate said equipment if requested in writing by the IEC within 90 calendar days after the expiration or termination of this agreement. Equipment is defined as an article of nonexpendable, tangible personal property having a useful life of more than one year and a unit value of \$5,000 or greater. If component parts are assembled into a final product that meets the definition of equipment the component parts are, themselves, also considered to be equipment.

ARTICLE 9 Inspection

The IEC reserves the right to inspect facilities, acquired materials and equipment, and to review the progress of the work performed pursuant to this agreement. The IEC shall give the grantee reasonable notice prior to conducting any such inspection and review.

ARTICLE 10 Intellectual Property: Patents, Inventions, Computer Software, Copyrights, Processes and Data

The grantee shall inform the IEC project manager of all intellectual property disclosures generated under this agreement. Intellectual property arising from work performed under this agreement by an ISU employee shall be the property of ISU. The ownership of intellectual property developed as part of a sub-agreement to this grant shall be addressed in the sub-agreement.

ARTICLE 11 Sub-agreements

The terms of this grant agreement shall flow down to any sub-agreements awarded under this grant. The grantee shall not enter into any sub-agreements, other than those agreed upon in the project work plan, without written approval from the IEC, in the form of an amendment.

ARTICLE 12 Default

If the grantee fails to substantially perform its obligations, the IEC, in addition to whatever legal remedy it may have in law or in equity, shall have the right to terminate this agreement subject to a 30-day written notice to the grantee. The grantee will be compensated for all actual and allowable expenses and all uncancellable obligations properly incurred prior to the date of termination.

ARTICLE 13 Non-appropriation of Funds

If funds received by the IEC pursuant to the Prime Agreement are not forthcoming or are insufficient for the IEC to meet its obligations under this grant the IEC may terminate this grant upon 30-day written notice to the grantee. If at any time the Prime Agreement is terminated by the State of Iowa, this grant shall also be terminated upon written notice to the grantee from the IEC. Except for uncancellable obligations properly incurred prior to the receipt of the notice of termination, new expenditures incurred by the grantee after the receipt of the termination notice shall not be reimbursed.

ARTICLE 14 Termination for Convenience

This agreement may be terminated for convenience by either party upon 30-day written notice to the other party. Except for uncancellable obligations properly incurred prior to the receipt of the notice of termination from the IEC, new expenditures incurred by the grantee after the receipt of the termination notice shall not be reimbursed. If the grantee provides a notice of termination, the grantee shall not incur, nor shall grantee be reimbursed for, any new costs after the date that the notice was first given.

ARTICLE 15 Applicable Law

This agreement shall be authorized by and construed in accordance with the laws of the State of Iowa. In all other matters relating to the performance of this project, ISU's regulations and procedures will be in effect.

ACCEPTED

For Iowa State University

For Iowa Energy Center

«FirstName» «LastName» Date
Principal Investigator

Director, Iowa Energy Center Date

Pamela Helfer Date
Office of Sponsored Programs Administration