



Phase II Informational Webinar – Statement of Work and NREL CRADAs Lithium-Ion Battery Recycling Prize

August 24, 2020

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U.S. DEPARTMENT OF ENERGY

Agenda

- **Battery Recycling Prize Update**
- **Statement of Work (SOW) Overview**
- **NREL CRADA Process**

Phase II Timeline

PHASE II Prototype & Partnering



Phase II Prizes

Winners of Phase II will receive \$2,500,000 in cash prizes distributed equally among the teams and up to \$100,000 per team in non-cash vouchers to use in the Phase III Contest.

About Vouchers

- The provided vouchers will allow winners of Phase II to access tools, equipment, and expertise within the American-Made Challenge (AMC) Network.
 - These experts are approved Connectors/Voucher Service Providers (VSPs) within the AMC Network
- The DOE's 17 national labs, together with the approved organizations and facilities, may provide competitors with:
 - Access to hardware and development tools
 - Access to national laboratories, universities, and private laboratories
 - Specialized facilities with additive, reductive, and manufacturing support
 - Testing and validation capabilities
 - Other expert services.
- **More details can be found at: herox.com/BatteryRecyclingPrize/resource/399.**

Voucher Process

- **Initiate:** As part of the Phase II Concept Update, participants submit descriptions of technical challenges in a two-page Technical Assistance Request
- **Connect:** Throughout Phase II, participants will have opportunities to learn more about VSPs and how to connect with them
- **Match:** VSPs and Phase II participants contact each other, exchange ideas, and discuss scope and outcomes for using voucher funds
- **Decide & Propose:** Participants must include an overview of potential VSP partnerships in their Phase II Submission.
- **Win & Statement of Work:** Phase II winners develop and negotiate a statement of work for any VSPs they plan to collaborate with no later than 90 days after the Phase II winner announcement.
- **Contract:** Each VSP will have a unique contract process.
- **Begin Work**

Vouchers – Work with a Private Organization or Facility

- Participants must utilize at least \$50,000 in vouchers with National Labs, the remaining \$50,000 may be utilized with AMC VSPs.
- Activities that are described in and support the submission package must be performed in the United States. (As noted in the Phase II Rules under 8. GENERAL SUBMISSION REQUIREMENTS.)
- **Participants will negotiate** a Voucher SOW and develop an itemized budget with the VSP to submit to the Prize Administrator within 90 days after winning the Phase II competition, for feedback.
- **Work with VSPs who are not National Laboratories is funded directly by the participant.** Once the work is complete, the participant will request reimbursement from the Prize Administrator.
- The Prize Administrator will review the work against the allowability requirements, evidence of the completed work, and evidence of payment, and compare the invoice for expenses incurred against the planned budget and SOW.
 - For more details on allowability requirements, refer to the Voucher Guidelines document: <https://www.herox.com/BatteryRecyclingPrize/resource/399>

Vouchers – Work with National Labs

- Participants must utilize at least \$50,000 in vouchers with National Labs.
- The competitor must work directly with the selected National Lab to complete a Statement of Work (SOW) within 90 days after winning the Phase II competition.
- Once the Prize Administrator receives this SOW, the Prize Administrator will work with the desired lab to transfer the allocated voucher funds to the selected lab to perform the work as specified.

Vouchers - General Information

- The period of performance for all voucher work shall be 12 months or shall end on the date that Phase III submissions are due, whichever is shorter.
- If work under this agreement is not completed within the period of performance, the funds will be returned to the Prize Administrator.

FAQs

1. Will voucher funds count as income for the business entity leading the Phase II winning teams?

A: Voucher funds are reimbursed expenses that are redeemed, they are not considered direct funding by the Prize. Phase II winners are encouraged to consult a tax expert to confirm when determining their income.

2. Are we required to work with one of the national labs?

A: Teams are not *required* to work with any national labs, however, they will only be able to use up to one half of the awarded voucher funds at business organizations (that are part of the American Made Challenge (AMC) Network). For example, if you receive \$100,000 voucher funds, then you will only be able to use a maximum of \$50,000 at business organizations. Teams will lose any voucher funds they do not use.

Questions?

Email: BatteryRecyclingPrize@nrel.gov

- All Q&As related to this prize will be posted on HeroX at <https://www.herox.com/BatteryRecyclingPrize/faq>
- The Prize Administrator will attempt to respond to questions within 3 business days, unless a similar Q&A is already posted on the website
- Email us with any problems logging on to HeroX or uploading and submitting application documents.





Statement of Work Development

Presented by the Technology Transfer Office

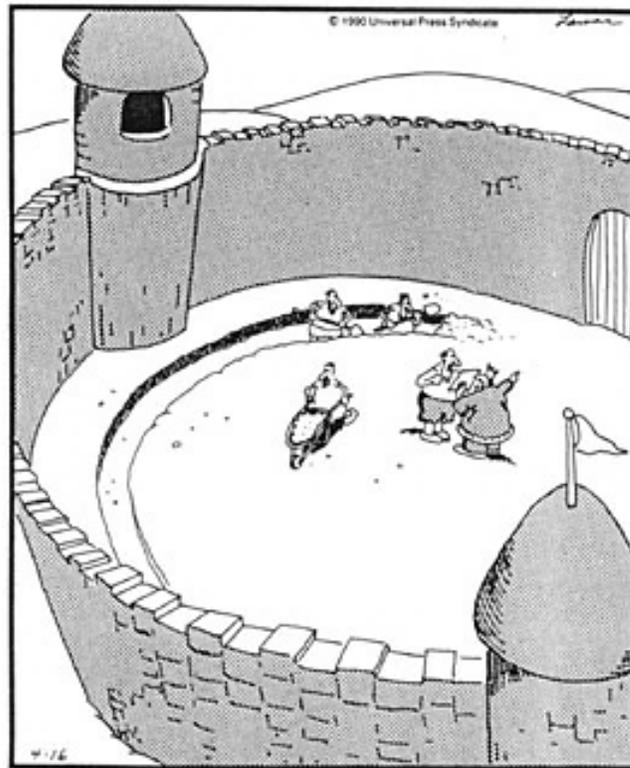
Statements of Work: Value

- It **clarifies** expectations for all parties
- It provides **guidance** to manage the project
- It **bounds/limits** the work
- It highlights the **benefits** of the work to the partner
- It can fund **future planning** for the next project

What Did the SOW Say?

THE FAR SIDE

By GARY LARSON



Suddenly, a heated exchange took place between the king and the moat contractor.

Components of a SOW

1. Background
2. Objective Statement
3. Scope Narrative
4. Tasks
5. Review Meetings & Travel Requirement
6. Deliverables
7. Sole Source Justification
8. Budget (Cost Estimate)
9. Schedule

APPENDIX E - STATEMENT OF WORK

STATEMENT OF WORK
“(Title of the Project)”

NATIONAL LABORATORY:

BATTERY RECYCLING PRIZE TEAM NAME:

*(Date of the Statement of Work)

1.0 BACKGROUND

This work is to be conducted in support of the American-Made Challenges Lithium-Ion Battery Recycling Prize. The intent is to connect Phase II winners with national laboratories that can help accelerate the development of innovative solutions and products. Teams who have won the Phase II Prize are eligible to utilize vouchers at national laboratories to advance their ideas.

2.0 OBJECTIVE (provide the specific objective)

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3.0 SCOPE OF WORK (describe the scope of work)

-

4.0 TASKS (high level description of the tasks to be performed)

4.1 -

5.0 REVIEW MEETINGS AND TRAVEL REQUIREMENTS (if required)

-

6.0 DELIVERABLES (describe the agreed upon deliverables)

-

7.0 SOLE SOURCE JUSTIFICATION (explain why the lab is uniquely qualified)

8.0 BUDGET (provide a high-level budget in support of the work mentioned above)

Note – for Phase III, winning teams can utilize up to \$100K worth of vouchers at a national laboratory. They may also choose to split the funding between various laboratories. The budget submission must not exceed \$100K.

9.0 SCHEDULE (provide a project schedule)

Component 1: Background

- Provides the “why” of the project
- Helps the project team understand the bigger picture for the partner
- Provides context of project with regards to other DOE/Partner work (“leverage” or “integrate”)

BEST PRACTICES for Clarity and Readability

- Include definitions if necessary - avoid acronyms and industry jargon
- Should be understandable laypersons

Component 2: Objective

- First sentence should clearly state the objectives of the project and what **value** it provides to the partner
- Avoid submitting a laundry list of objectives, and focus on the primary **outcomes**
- Describe how the objective is **consistent** with the lab's strategic plan or partner's mission statement

BEST PRACTICE

- Make it **concise**
- Use the Bottom Line, Up Front approach

Component 3: Scope Narrative

- Describes the the technical work to be done in summary form
- Defines each organization's role and tasks or activities within the project

BEST PRACTICES for Clarity and Readability

- Should be a **broad** overview in a **narrative** form
- Reflects the **objective** of the work

Component 4: Tasks & Subtasks

- High level description of technical work to be completed
- Defines each organization's role and activities within the project

Example:

Task I NREL will provide analysis of partner's prototype.

Task I.1 Partner will deliver prototype to South Campus laboratory.

Task I.2 NREL will set-up testing device.

BEST PRACTICES for Clarity and Readability

1. Use **action** verbs
 1. A. (“evaluate, investigate, develop”)
2. Reflects the **objective** of the work
3. Includes **bounding conditions** (e.g., on a named product, place, or process)
4. **Identifies actors** (who is doing what)
5. **Separate** activities in order to break down a complicated project scope

Component 5: Review Meetings & Travel

- If required, include any mandatory meetings and travel expectations

BEST PRACTICES for Clarity and Readability

- Include **frequency** (“once per month”) and **format** (in person, electronically) and **location** (“South Campus”)
- **Identify** (who is in attendance or traveling)
- Include **purpose** of meeting and travel (“to discuss project milestones”, “to attend industry conference”)
- Incorporate any reporting requirement.

Component 6: Deliverables

Deliverables

- A product or service produced as a result of the project that is intended to be delivered to a customer, whether internal or external.
- Examples: reports, software, equipment, recommendations, or analytical results

BEST PRACTICES

- Use deliverables to **clarify expectations**
- **Identify the party** that is providing the deliverable
- Ensure the work to produce every deliverable is planned in the **cost estimate**
- Allocate enough time to **develop and approve any final reports**
- Include **size** and/or **frequency** elements (how many pages in the report, how many runs of an experiment)

Component 7: Sole Source Justification

- Explain why the national laboratory selected is uniquely qualified
- Identify successful projects completed by the lab that align with your project

Component 8: Budget

- **Total** amount of money required to fully execute the project.
- Can be broken out into **specific budget categories** (travel, overheads etc.) required by the project partner
- May include **Cost-Share** or **In-kind** resources

BEST PRACTICES

- Use **estimates**- build in leeway for extra time, tests, etc.
- **Ideal**: the budget is developed from the ground up, on an activity-basis
- **Reality**: the partner asks us “what can you do for this much money?”

Component 9: Schedule

- In the SOW, include *at minimum* a table of **relative deliverable due dates** (e.g., “within 6 months following execution of this agreement”)
- Include **key partner tasks** (such as “review and comment on draft report” or “deliver dataset to NREL”)

BEST PRACTICES

- Do NOT include hard dates, e.g., December 31, 202x
- Confirm partner can meet their required dates
- Re-evaluate the schedule and resource availability regularly as part of the management of the project and make necessary adjustments

Testing the SOW

Can a neutral reader answer these questions?

- What is being delivered?
- When is it being delivered?
- Who does what (roles and responsibilities)?
- When, where, and how is each part to be done?
- What are the characteristics it must have that would indicate it met the expectations and requirements?

Working with NREL: CRADAs

Overview

Cooperative Research & Design Agreement

- Required for work with NREL
- Formal agreement that reflects DOE policies, regulations and statutes, including:
 - Reporting (final report and IP utilization)
 - Government rights
- CRADA terms used as-is
- Contracting staff at each lab are available to answer questions and provide more information regarding the terms and process.

For more information

For more information on CRADAs and working with NREL

Erin Hensley – Agreement Specialist
Technology Transfer Office
[Microsoft Teams or Erin.Hensley@nrel.gov](#)