



U.S. DEPARTMENT OF ENERGY

FLOWIN PRIZE

Official Rules
Phase 3

June 2024

Preface

The U.S. Department of Energy's FLoating Offshore Wind ReadINess (FLOWIN) Prize is governed by 15 U.S.C. §3719 and this Official Rules document. This is not a procurement under the Federal Acquisitions Regulations and will not result in a grant or cooperative agreement under 2 CFR 200. The Prize Administrator reserves the right to modify this Official Rules document if necessary and will publicly post any such notifications as well as notify registered prize participants.

Date	Modification

Executive Summary

Overview

The Wind Energy Technologies Office (WETO) of the U.S. Department of Energy's (DOE) Office of Energy Efficiency and Renewable Energy (EERE) is running the FLoating Offshore Wind ReadINess (FLOWIN) Prize in accordance with authorizations under the Energy Act of 2020.

Phase One of the FLoating Offshore Wind ReadINess (FLOWIN) Prize was announced on September 12, 2022, with submittals from competitors due by January 13, 2023. Phase Two of the prize was open from March 21, 2023, until March 1, 2024. The present rules pertain to Phase Three, which will be open from June 11, 2024, until April 30, 2025. Only Phase Two awardees are eligible to compete in Phase Three.

The objectives of the prize are to:

- Advance designs for floating offshore wind energy platforms for on-site manufacturing.
- Improve the readiness of the supply chain to enable mass production and assembly in the United States; lower associated costs and risks.
- Further the principles of job quality, inclusion, and environmental justice embodied in the Biden administration's executive orders and Justice40 Initiative.

The overarching goal of the FLOWIN Prize is to establish a pathway to cost-effective domestic manufacture and deployment of commercial utility-scale floating wind farms in U.S. waters.

The prize objectives will be accomplished by encouraging teaming among the different types of companies and regional organizations needed to manufacture and deploy floating wind farms; helping them iterate platform designs to enable easier production within U.S. infrastructure; and supporting the development of robust plans to move forward to industrial-scale deployment.

Prizes

The FLOWIN Prize has three phases with a total prize pool of \$5.85 million, plus at least \$1.175 million in vouchers for technical support from DOE national laboratories. Prizes are divided among multiple awardees. The potential cumulative cash award value to any one awardee through the three phases is \$1.45 million, plus at least \$175,000 in vouchers. The structure of the prize phases is provided in Table ES-1.

Table ES-1 Structure of FLOWIN Prize Phases

	Cash Prize per Awardee	Voucher Value per Awardee	Number of Awards
Phase One (Completed)	\$100,000	\$75,000	9
Phase Two (Completed)	\$450,000	\$100,000	5
Phase Three	\$900,000	-	3 (anticipated)

Under this prize’s structure, funding awards are made on the merits of completed work and may be used to offset the costs of further work. There are no restrictions on how winners use the cash prizes. Vouchers are funds that must be used at DOE national laboratories. Awards are made for each phase, and only the winning teams of each phase are eligible to compete for prizes in subsequent phases. DOE will not take any interest in intellectual property developed by competitors under this prize.

In Phase One of the FLOWIN Prize, the winning submissions demonstrated that teams had a technically advanced floating platform technology under development and had identified supply chain challenges and pathways to commercialization.

Phase Two of the prize focused largely on developing initial plans for serial production and assembly of each competitor’s floating platform technology.

Only Phase Two winners are eligible to compete in Phase Three. The activities evaluated in Phase Three focus on long range planning for U.S. commercialization and manufacture of the floating offshore wind energy technology. Competitors need to establish in greater detail the current commercial readiness of their platform through a risk-based assessment and a credible industrialization pathway to full commercial adoption and deployment of the technology in gigawatt-scale wind farms. All aspects of the process will need to be addressed, including U.S. suppliers, fabrication facility and tooling plans, specific port accommodations, and how vessel requirements will be met, maximizing the use of U.S. infrastructure where possible. Up to three winners are anticipated for Phase Three, each receiving a cash prize of \$900,000.

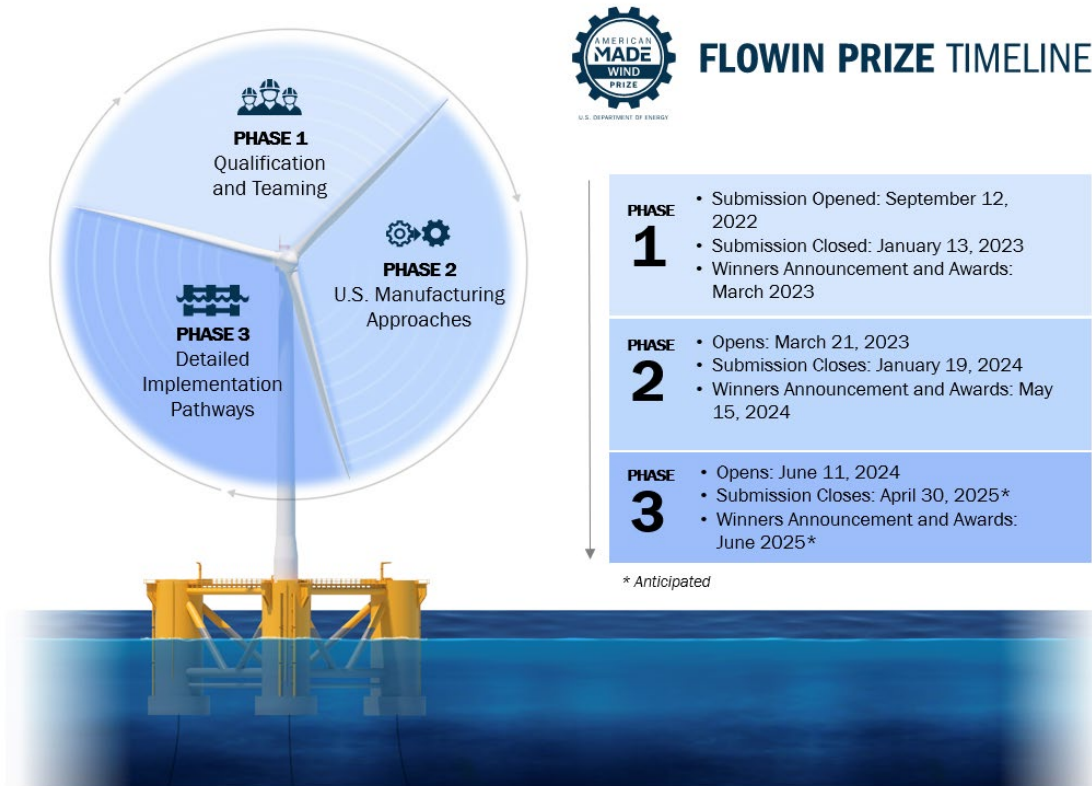


Figure ES-1. The FLOWIN Prize Timeline. Graphic by John Frenzel, NREL

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Glossary

For the clarity of this document, several terms are defined below and in Figure 1.

Adoption readiness The readiness of a system to be adopted by industry based on an assessment of various risks.

Commercialization The process of bringing new products to market. In this context, it is the process by which floating offshore wind energy platforms can be made and sold on a large scale to support a robust domestic industry.

Domestic content Components or fabrication materials procured from U.S. suppliers that have been (largely) produced domestically. Products that originate overseas with little work on them by the U.S. supplier are considered non-domestic content. If raw materials are of foreign origin but significant work on a component is done in the United States, domestic content can be calculated as a portion of the value of that component.

Environmental justice The fair treatment and meaningful involvement of all people—regardless of race, color, national origin, or income—with respect to protection from environmental and health hazards, as well equal access to the decision-making process for providing a healthy environment in which to live, learn, and work.

Fabrication The process of making or assembling a product from raw materials and components.

Floating substructure/platform/hull or floater Part of the floating wind system that connects to the tower and mooring system and consists of a buoyant substructure able to support operational loads.

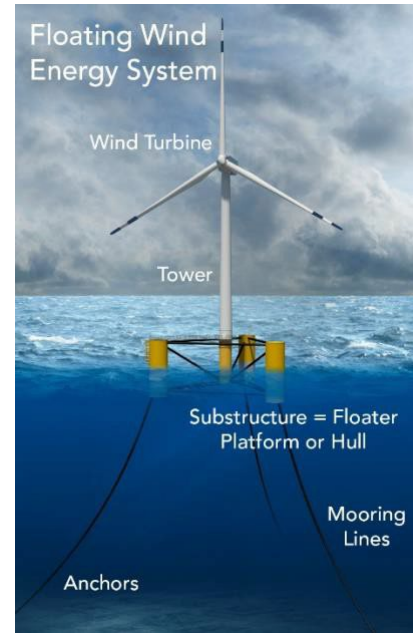


Figure 1. Components of a Floating Offshore Wind Turbine. Graphic by John Frenzel, NREL

Industrialization	The process to enable the floating wind system to be mass-manufactured for deployment at scale.
Manufacturing	The making of products, usually from raw materials, using machinery. Mass manufacturing is the manufacturing of products in large numbers.
Megawatt-scale, gigawatt-scale	Megawatt (MW), a unit of power equal to 1 million watts, is used as a measure of the output of a power generator—in this case, individual wind turbines. A gigawatt (GW) equals 1,000 megawatts. As used herein, gigawatt-scale refers to anticipated wind farms comprising large numbers of individual megawatt-scale turbines totaling over 1 GW in output capacity.
Ocean co-use	Multiple activities that occur in the maritime space, with overlapping spatial extent.
Production	The whole process of making products or goods to be sold (or deployed) as a final output, which includes manufacturing and fabrication within the process of production.
Serial production	The combination of multiple phases or components to enable high-throughput production of large quantities of product.
Supply chain	A network of organizations, suppliers, resources, facilities, and activities that are needed to produce, distribute, and deploy a product.

1 Background

The Biden administration has set ambitious goals to address climate change, including achieving a 50%–52% reduction from 2005 levels in economywide net greenhouse gas pollution by 2030, a zero-carbon electricity grid by 2035, and reaching net zero emissions economywide by no later than 2050.¹ Achieving these goals will require both innovative solutions and the acceleration of the deployment and implementation of climate and energy technologies, policies, and processes, with environmental and climate justice as key considerations.

In March 2021, the U.S. Department of Energy (DOE), U.S. Department of the Interior, and U.S. Department of Commerce announced a national goal to deploy 30 gigawatts (GW) of offshore wind capacity by 2030.² Deploying 30 GW represents a significant increase from the 42 megawatts (MW) of offshore wind energy operating in the United States as of the end of 2023. Reaching the 30-GW-by-2030 goal would generate enough electricity to power over 10 million American homes³ and establish the United States as a major participant in the global offshore wind energy industry. It would also create tens of thousands of jobs in a range of occupations that would pay at or above the national average and sustain more than \$12 billion a year in offshore wind energy project capital investments. Such project investments would spur additional investments in supply chain development, port revitalization, vessel construction, wind power plant operations, and onshore assembly facilities.

Although the majority of the pre-2030 deployment will be fixed-bottom wind turbines, at least 2.5 GW is likely to be floating turbines, with the potential to build another 5–10 GW of floating offshore wind capacity in the early 2030s. To reach a potential 110 GW of offshore wind energy by 2050, floating turbines will need to make a significant contribution. Floating offshore wind technology is needed in deep water (generally deeper than 40–60 meters), where deploying fixed-bottom structures becomes uneconomical or impractical.

To accelerate floating offshore wind deployment, the Biden administration announced a Floating Offshore Wind Shot™ in September 2022,³ with the target of reducing the cost of floating offshore wind by 70% by 2035. This is the fifth of the Energy Earthshots™ launched by DOE but the first to be interagency in recognition of the all-of-government approach needed. In parallel with the cost-reduction target, the U.S. Department of the

¹ The White House. 2021. “FACT SHEET: President Biden Sets 2030 Greenhouse Gas Pollution Reduction Target Aimed at Creating Good-Paying Union Jobs and Securing U.S. Leadership on Clean Energy Technologies.” The White House. Accessed May 2024. <https://www.whitehouse.gov/briefing-room/statements-releases/2021/04/22/fact-sheet-president-biden-sets-2030-greenhouse-gas-pollution-reduction-target-aimed-at-creating-good-paying-union-jobs-and-securing-u-s-leadership-on-clean-energy-technologies/>.

² The White House. 2021. “FACT SHEET: Biden Administration Jumpstarts Offshore Wind Energy Projects to Create Jobs.” The White House. Accessed May 2024. <https://www.whitehouse.gov/briefing-room/statements-releases/2021/03/29/fact-sheet-biden-administration-jumpstarts-offshore-wind-energy-projects-to-create-job>.

³ Wind Energy Technologies Office. 2023. “Floating Offshore Wind Shot.” U.S. Department of Energy. Accessed May 2024. <https://www.energy.gov/eere/wind/floating-offshore-wind-shot>.

Interior's Bureau of Ocean Energy Management (BOEM) announced a deployment target of 15 GW of floating offshore wind energy by 2035.

Floating offshore wind energy will be key to achieving long-term deployment goals, as approximately 60% of the nation's offshore wind resource potential is in deepwater areas where floating platforms would be used.⁴ As such, the U.S. floating offshore wind market is expected to be large; with focused investment, the country could become a global leader in this part of the industry, as no commercial-scale floating offshore wind projects have yet been constructed. Deployment of floating offshore wind platforms will lag behind fixed-bottom structures because the technology is less mature, but floating offshore wind energy capacity could eventually exceed that of fixed-bottom offshore wind energy in the United States. Through the ability to mass-manufacture systems, and with dedicated infrastructure development, floating offshore wind energy could also be more cost-effective.

DOE is committed to pushing the frontiers of science and engineering, catalyzing clean energy jobs through research, development, demonstration, and deployment (RDD&D), and ensuring the creation of quality jobs, environmental justice, and inclusion of underserved communities as reflected in the administration's Justice40 Initiative.^{5,6} The research and development (R&D) activities that are rewarded through this prize support the governmentwide approach to the climate crisis by driving innovation that can lead to the deployment of clean energy technologies, which are critical for climate protection.

Specifically, this prize is enabling the production of clean offshore energy through the development of a domestic supply chain and local infrastructure, accelerating the market readiness of U.S. designs. In addition, this prize emphasizes increasing diversity of staff, increasing diversity of voices in design, and increasing quantification and emphasis on supporting underserved communities.

⁴ The technical resource potential is the amount of resource that could potentially be developed using existing technology but excludes areas that are unlikely to be developed or cannot legally be developed. For more information, see Computing America's Offshore Wind Energy Potential: The White House. 2021. "FACT SHEET: Biden Administration Jumpstarts Offshore Wind Energy Projects to Create Jobs." Posted March 29, 2021. <https://www.energy.gov/eere/articles/computing-america-s-offshore-wind-energy-potential>.

⁵ The term "underserved communities" refers to populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life, as exemplified by the list in the definition of "equity." E.O. 13985. For purposes of this prize, as applicable to geographic communities, competitors can refer to economically distressed communities identified by the Internal Revenue Service as Qualified Opportunity Zones; communities identified as disadvantaged or underserved communities by their respective States; communities identified on the Index of Deep Disadvantage (referenced at: Jared Wadley. 2020. "New Index Ranks America's 100 Most Disadvantaged Communities." University of Michigan News. Jan. 30, 2020. <https://news.umich.edu/new-index-ranks-americas-100-most-disadvantaged-communities/>.) and communities that otherwise meet the definition of "underserved communities" stated above. See Appendix section A1.3 for specific considerations related to the focus of this prize.

⁶ The White House. 2021. "The Path to Achieving Justice40." The White House. Posted July 21, 2021. <https://www.whitehouse.gov/omb/briefing-room/2021/07/20/the-path-to-achieving-justice40/>.

1.1 DOE/EERE Renewable Energy Research and Development Support

The DOE Office of Energy Efficiency and Renewable Energy (EERE) supports RDD&D of renewable energy and energy efficiency technologies. DOE funds RDD&D activities in climate and energy technologies through its 17 national laboratories and a variety of mechanisms that include external competitive solicitations. In addition, DOE programs support building and sustaining an innovation ecosystem for climate and energy technologies, encompassing early-career and high-road workforce development, entrepreneurial programs and resources for individuals and organizations, and support for communities and regions.

The Wind Energy Technologies Office (WETO) within EERE invests in research to address wind energy technology and manufacturing challenges and inform solutions as part of its R&D portfolio. Its overall goal is to facilitate responsible, sustainable, and economically viable clean energy deployment. WETO's R&D activities: (1) spur innovation, (2) lower wind energy costs and impacts, (3) maximize the use of available wind resources, (4) accelerate reliable and safe energy production, (5) improve the number and quality of jobs, (6) address social and economic effects of wind energy deployment, and (7) provide data and technical assistance. WETO works with other DOE offices to maximize the impacts of funds spent on wind energy research, including the Advanced Research Projects Agency–Energy, and their recent investments in the Aerodynamic Turbines Lighter and Afloat with Nautical Technologies and Integrated Servo-control (ATLANTIS) program.⁷ EERE partners with federal and state entities in the execution of its wind energy research program. DOE and its offices do not implement or enforce regulatory processes related to wind energy.

1.2 Prize Goal

The goal of this prize is to establish a pathway to cost-effective domestic manufacture and deployment of gigawatt-scale floating offshore wind farms in U.S. waters. Toward realization of that goal, the prize is:

- Incentivizing and supporting further development of technically and economically viable floating wind platform structures that can support 12-MW-rated or larger⁸ wind turbines in water depths over 40 meters.
- Incentivizing the creation of a supply chain that will enable domestic on-site manufacturing of floating offshore wind farm components utilizing a skilled and trained workforce.
- Promoting awareness of the importance and principles of inclusion and

⁷ Advanced Research Projects Agency–Energy. 2019. “Aerodynamic Turbines Lighter and Afloat with Nautical Technologies and Integrated Servo-control.” U.S. Department of Energy. Jan. 1, 2019. <https://arpa-e.energy.gov/technologies/programs/atlantis>.

⁸ This prize focuses on 12-MW or larger turbines, but smaller turbines will be considered if there is sufficient justification that they are appropriate for floating offshore wind energy industrialization.

environmental justice.

The FLOWIN Prize aims to support organizations carrying out activities that enhance the readiness of the United States to cost-competitively manufacture and deploy utility-scale floating offshore wind farms by facilitating collaboration among floating offshore wind platform designers, fabricators, and project site developers. Collaborators could include: (1) floating platform designers; (2) developers; (3) engineering, procurement, and construction companies; (4) fabricators; (5) logistics firms; (6) ports; and (7) vessel operators. Such activities will spur technology refinement, identify manufacturing needs and capabilities, and develop or adapt assembly and deployment infrastructure.

Successful prize submission narratives will demonstrate that teams have the capability to successfully develop and implement plans that will achieve the objectives of this prize.

1.3 Prize Phases

Only Phase Two winners may submit application packages in Phase Three of the prize. In Phase Three, it is anticipated that there will be up to three winners, with \$900,000 awarded per winner. Table 1 outlines the FLOWIN Prize structure per phase.

Table 1. Structure of FLOWIN Prize Phases

	Cash Prize per Awardee	Voucher Value per Awardee	Number of Awards
Phase One (Completed)	\$100,000	\$75,000	9
Phase Two (Completed)	\$450,000	\$100,000	5
Phase Three	\$900,000	-	3 (anticipated)

It is expected that cash awards will help offset expenses and aid winning organizations in overcoming technical and organizational hurdles in successfully bringing new technologies to the U.S. market. In contrast to previous phases, the Phase Three award will not include a voucher for work at the DOE national laboratories.

To achieve the desired impact on U.S manufacturing readiness, competitors are expected to engage in areas of interest that include:

- Targeting development of and collaboration with the U.S. supply chain to identify pathways to on-site manufacturing and deployment of specific floating wind technologies.
- Engineering to refine or “industrialize” existing floating platform designs for serial production in the United States using existing or modified facilities and/or modular designs enabling cost-effective fabrication and assembly.
- Optimizing manufacturing processes and fabrication tooling required for serial

production, including efficient use of materials to increase productivity, lower costs, and improve manufacturability.

- Identifying low-emission processes for manufacturing offshore platforms to strengthen the U.S. supply chain for future opportunities.
- Optimizing the integration of balance-of-floating-system components with the substructure to lower costs and enhance safety and performance.
- Identifying and evaluating existing infrastructure, such as ports and vessels, and proposing any required improvements or adaptations as part of integrated manufacturing and deployment strategies.
- Enhancing coordination between industry and federal, state, and local agencies and organizations to realize mutual objectives for product commercialization, job creation, and domestic content.
- Generating other innovative ideas that improve the readiness of floating platforms for serial production in the United States, including “future-proofing” platform designs to accommodate turbine ratings beyond 15 MW.

1.3.1 Phase Three Summary: Detailed Implementation Pathways

The activities evaluated in Phase Three are related to the completion of a detailed, highly credible set of implementation plans for U.S. manufacturing and deployment of the subject floating offshore wind technology based on the competitor’s assessment of current adoption readiness level (ARL)⁹ and the steps needed to reach full gigawatt-scale adoption in an identified wind energy area.

All aspects of the development process will need to be addressed, including the expected contribution of U.S. suppliers, fabrication facility and tooling plans, necessary port accommodations, and how vessel requirements can be met. This implementation plan should also identify current limitations of the U.S. supply chain that could impact execution, as well as potential solutions.

Detailed content requirements are provided in Section 2.

1.4 Key Dates

Competitors will have approximately 11 months to complete Phase Three submittal packages after the opening date of June 11 2024, with the closing date of April 30 2025, and winners tentatively being announced in June 2025, as shown in Figure 2.

⁹ Office of Technology Transitions. “Adoption Readiness Levels (ARL): A Complement to TRL.” U.S. Department of Energy. Accessed May 2024. <https://www.energy.gov/technologytransitions/adoption-readiness-levels-arl-complement-trl>.

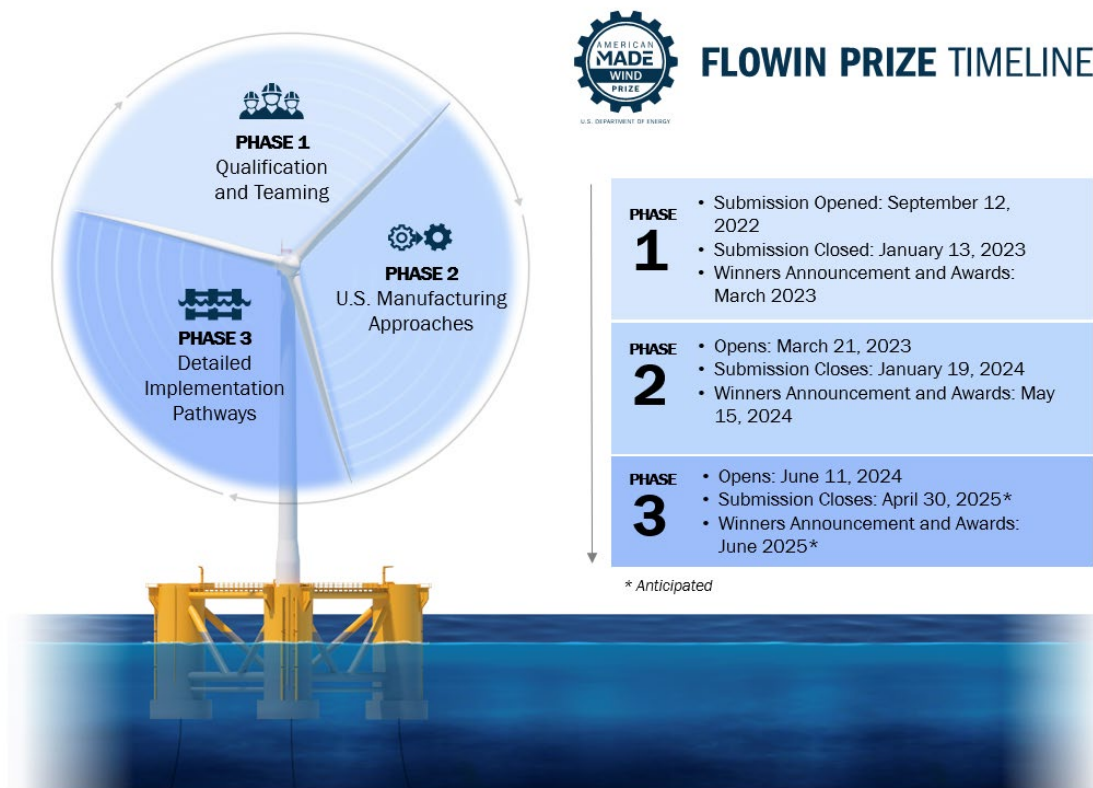


Figure 2. The FLOWIN Prize Timeline. Graphic by John Frenzel, NREL

1.5 Eligibility and Competitors

The competition is only open to legally formed entities, including for-profit and nonprofit organizations, academic institutions, and nonfederal government entities, such as states, counties, Tribes, and municipalities. Competitors are subject to the following requirements:

- Competitors must be Phase Two winners.
- If a lead competitor is a private entity, it must be incorporated in and maintain a primary¹⁰ place of business in the United States.
- If the lead competitor is an academic institution, it must be based in the United States.
- DOE employees, employees of sponsoring organizations, members of their immediate families (e.g., spouses, children, siblings, or parents), and persons living in the same household as such persons, whether or not related, are not eligible to participate in the prize.

¹⁰ This means a U.S.-incorporated entity that does business in the United States and has staff based in the United States.

- Individuals who worked at DOE (federal employees or support service contractors) within six months prior to the submission deadline of any contest are not eligible to participate in any prize contests in this program.
- Federal entities and federal employees are not eligible to participate in any portion of the prize.
- DOE national laboratory and other federally funded research and development center employees cannot compete in the prize.
- Individuals are not eligible to compete on their own. Because of the scope of this prize, only legally formed entities may compete in this prize.
- Entities and individuals publicly banned from doing business with the U.S. government, such as entities and individuals debarred, suspended, or otherwise excluded from or ineligible for participating in federal programs are not eligible to compete.
- Entities owned by, controlled by, or subject to the jurisdiction or direction of a government of a country of risk are not eligible to compete.
- Individuals participating in a foreign government talent recruitment program¹¹ sponsored by a country of risk¹² and teams that include such individuals are not eligible to compete.
- To be eligible, an individual authorized to represent the competitor must agree to and sign the following statement upon registration with HeroX:

I am providing this submission package as part of my participation in this prize. I understand that the information contained in this submission will be relied on by the federal government to determine whether to issue a prize to the named competitor. I certify under penalty of perjury that the named competitor meets the eligibility requirements for this prize competition and complies with all other rules contained in the Official Rules document. I further represent that the information contained in the submission is true and contains no misrepresentation. I understand false statements or misrepresentations to the Federal Government

¹¹ Foreign Government-Sponsored Talent Recruitment Program is defined as an effort directly or indirectly organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to relocate physically to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United States research facilities or receipt of federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to U.S. entities. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.

¹² DOE has designated the following countries as foreign countries of risk: Iran, North Korea, Russia, and China. This list is subject to change.

may result in civil and/or criminal penalties under 18 U.S.C. § 1001 and § 287.

Entities may only submit one application as the lead but can be part of the team on other applications.

In keeping with the goal of growing a community of innovators, competitors are encouraged to form multidisciplinary teams, including with labor unions, while developing their concept.

Competitors are highly encouraged to include individuals from groups historically underrepresented in the fields of science, technology, engineering, and mathematics (STEM) on their teams. As indicated in the prize criteria, competitors are required to describe how diversity and inclusion objectives will be incorporated into their development process.

Participation by minority-serving institutions, minority business enterprises, minority-owned businesses, woman-owned businesses, and entities located in a disadvantaged community on teams is encouraged.¹³ The Selection Official may consider the inclusion of these types of entities as part of the selection decision.

1.6 Support for Competitors

The competitors will be supported through several mechanisms:

- DOE has partnered with the National Renewable Energy Laboratory (NREL) to administer the FLOWIN Prize. NREL helps competitors locate and leverage the capabilities at the national laboratories and other program resources available to FLOWIN Prize competitors.
- DOE staff may offer optional webinars for competitors on topics of interest, such as financing opportunities through the DOE Loan Programs Office or “green manufacturing” and advanced recycling approaches and resources.

1.7 Check-In Meetings

WETO will hold status meetings with individual competitors approximately 3 and 7 months after the phase opens to answer questions and gauge progress toward the submittal package for Phase Three. They will also provide opportunities for competitors to request clarifications from DOE. These meetings will not impact prize scoring or judging.

¹³ DOE defines “disadvantaged communities” to be areas that most suffer from a combination of economic, health, and environmental burdens, such as poverty, high unemployment, air and water pollution, and the presence of hazardous wastes as well as a high incidence of asthma and heart disease. Examples include but are not limited to: economically distressed communities identified by the Internal Revenue Service as Qualified Opportunity Zones; communities identified as disadvantaged communities by their respective States; communities identified on the Index of Deep Disadvantage (Wadley, Jared and Lauren Slagter. 2020. Index of Deep Disadvantage. University of Michigan. Last updated: Jan. 30, 2020. <https://news.umich.edu/new-index-ranks-americas-100-most-disadvantaged-communities/>), and communities that otherwise meet the DOE definition of a disadvantaged community. See Appendix Section A1.3 for specific considerations related to the focus of this prize.

2 Submission Requirements and Review Process

2.1 How To Enter

Go to the FLOWIN Prize [HeroX website¹⁴](#) and follow the instructions for registering and submitting all required materials before the deadline as listed in the following Important Process Dates section or as displayed on the HeroX website.

Competitors can also form teams or find partners through the HeroX platform and through facilitated discussion organized through the Prize Administrator.

2.2 Important Process Dates

- Phase Three Opens: June 11, 2024
- Phase Three Submission Closes: April 30, 2025
- Phase Three Winners Announcement and Awards: June 2025 (anticipated)

2.3 What To Submit for Phase Three

The items in Table 2 constitute the required and optional contents of the submissions package for Phase Three of the FLOWIN Prize and must be submitted through the HeroX platform. The submission will not be considered if any of the required documents are not included. Each item is described in more detail in the subsections following the table.

Table 2. Phase Three Submission Requirements

Item	May Be Made Public	Scored Item
Cover Page	No	No
Summary Slide	Yes ¹⁵	No
Technical Narrative	No	Yes
Video (Optional)	No	No*

*The optional video will not be independently scored but may be used to support information within the Technical Narrative.

¹⁴ American-Made Challenges. 2023. "FLoating Offshore Wind ReadINess (FLOWIN) Prize." U.S. Department of Energy. Accessed May 2024. <https://www.herox.com/FLOWIN>.

¹⁵ May be made public but only for the winning teams.

2.3.1 Cover Page

The Cover Page, included in the final submission, will not be made public or scored. Competitors should list basic information about their submission, including:

- Title
- Entity name
- Point of contact
- Key project members (names, contacts, and links to their professional online profiles)
- Other partners (if any)
- Competitor's city and state.

2.3.2 Summary Slide

Competitors should submit an updated public-facing, one-slide summary that introduces their team and organization and their mission. Please include the following information on your summary slide:

- Primary submitter name (team captain)
- City and state
- Members' names (including partners and affiliates)
- Submission title
- Brief description of platform design
- Brief description of the commercialization approach.

Competitors are free to present the information in any format and are encouraged to use graphics to convey their design and approach. Any text must be readable on a standard printed page and in a conference room projection and should be in at least 14-point font. This will not be scored but may be used for public communication of the prize winners.

2.3.3 Technical Narrative (Scored)

Table 5 lists the expected content to be included in the required Technical Narrative, as well as the corresponding evaluation criteria on which the reviewers' scoring will be based. Scoring of entries will reflect the responsiveness of the Competitor's Technical Narrative, and any supporting information provided in an appendix, to the evaluation criteria. To facilitate review, it is expected that the Technical Narrative will follow the outline provided by Table 5 in terms of responses to the five categories and the individual criteria listed under each. There is no template or form for the Phase Three Technical Narrative.

The total length of the Technical Narrative cannot exceed 15,000 words. Up to 20 graphics and other figures may be included in the Technical Narrative without the text

within them or their captions being included in the word count.

To provide an effective flow of information to reviewers, it is advisable to imbed key technical drawings and other illustrative graphics and tables within the main body of the Technical Narrative, rather than compiled at the end of the Technical Narrative.

Tables will be counted as figures. If the tables extend beyond one page, each page of the table will be counted as a separate figure. Whether figures are illustrations or tables, they should be labeled as figures to indicate that they are to be counted within the allowable total of 20.

In addition to the Technical Narrative and the allowed graphics and figures mentioned above, there are several categories of material that may be provided as appendices not subject to length restrictions, including:

- Letters of support.
- The completed Commercial Adoption Readiness Assessment Tool.
- Outputs from a completed supply chain and production rate model or simulation to support the U.S. Platform Manufacturing Plan narrative. Competitors may present their throughput analysis in whatever format they feel is most effective and appropriate to their plan. Summary data or tables derived from a commercial modeling application may be provided in PDF format. External links to models are not allowed.
- A Microsoft Excel (not PDF) cost spreadsheet supporting the domestic content evaluation.
- The link to a video (optional) as described in Section 2.3.4.

Only material included in the Technical Narrative and appendices will be reviewed. Sufficient information should be provided in the Technical Narrative to address the criteria statements, with the appendices being used as supporting information. Listed or linked external citations or references will not be reviewed and, if included, would count toward the word total.

The Technical Narrative must be submitted as a PDF via the HeroX platform along with the other submission documents. Information beyond the word limit or contained in hyperlinks to external sources will not be reviewed or considered by the reviewers or the judge.

Important Notes Regarding Expected Technical Narrative Content

The same information may be incorporated into the Technical Narrative for more than one phase of the prize, provided it has been updated to reflect progress made, and remains responsive to evaluation criteria of the current phase. Reviewers will *not* be expected to be familiar with the material submitted in prior phases.

More content does not necessarily equal a better Technical Narrative. The content expectations and judging criteria provided in Section 2.4.3, along with the clarifications provided in Appendix 1, are intended to assist competitors in crafting submissions that are as relevant, succinct, and focused as possible.

2.3.4 Video (Optional, Not Scored)

Competitors may choose to submit one video if it serves to illustrate or clarify certain points or concepts presented within the Technical Narrative. Video content may be applicable to any evaluation criterion, or to multiple criteria. The video may, for instance, be used to illustrate both the platform design and the assembly and deployment plan described in the Technical Narrative. If submitted, a video will not be scored directly as a stand-alone item. It will, however, be information that is available to reviewers as they consider their scores to the evaluation criteria to which the video pertains.

The video should not exceed three (3) minutes in length. The video content, not the production quality, will be considered by reviewers.

Videos should be added to the submission package as links in HeroX. Ensure that the video is accessible online (e.g., YouTube, Vimeo). Unlisted or private links are acceptable.

2.4 Confidentiality

All information contained in a Phase Three Technical Narrative, including the cost information, will be considered confidential, proprietary, and/or privileged information and will be withheld from public disclosure to the extent permitted by law. Accordingly, submissions must be marked by competitors in accordance with the requirements described in Appendix A.1.10 Records Retention and Freedom of Information Act. See also Section 2.5 for procedures taken to avoid reviewer conflicts of interest, and Appendix A1.4, Submission Rights.

2.5 Review Criteria and Suggested Content

2.5.1 Evaluation Categories

Table 5 provides detailed content expectations and evaluation criteria that will be used in judging. The table is divided into the five categories summarized below.

Evaluation Category 1: Commercialization

Intent: Provide a risk-based assessment of commercial adoption readiness, followed by the competitor's strategy for progressing from their current floating platform development status to a future state in which their design is mass manufactured in the United States and available for deployment in gigawatt-scale offshore wind energy projects.

Evaluation Category 2: Platform Design and Deployment

Intent: Provide updated summary information about the platform design and the assembly/installation approach as context for the production and deployment planning categories that follow in the narrative.

Evaluation Category 3: U.S. Production

Intent: Finalize manufacturing and supply chain planning to achieve gigawatt-scale production of the floating platform. Accurately assess related costs and illustrate how high domestic content will be achieved.

Evaluation Category 4: U.S. Location

Intent: Identify a current or anticipated offshore wind energy area where the floating platform could be deployed at gigawatt scale; indicating how port, vessel and workforce needs could be met.

Evaluation Category 5: Management

Intent: Indicate how the anticipated progression from current product status to commercial wind-farm-scale sales and serial production capabilities will be managed.

The submission should include information covering all the aspects above to demonstrate that they have been considered, with the responses provided in the same sequence within the narrative. While it is recognized that the word limit may restrict the details that can be provided, competitors should highlight their knowledge and progress within each category, keeping in mind the scoring parameters provided in Table 5.

2.5.2 Scoring Methodology

The Technical Narrative will be assessed based on a series of scoring statements, described in Table 5; each statement will be scored from 1 to 6, as shown in Table 3, based on how well the narrative addresses the scoring criteria. Table 4 explains how the scores for each submission will be calculated.

Table 3. Scoring Criteria Descriptions

1	2	3	4	5	6
Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree

Table 4. Scoring Methodology

Phase Three Categories	Scored Statements	Percentage of Total Score	Total Possible Points
Category 1: Adoption Readiness	2 (both are double-weighted)	40%	24
Category 2: Platform Design and Deployment Approach	1	10%	6
Category 3: U.S. Production	2 (one is double-weighted)	30%	18

Category 4: U.S. Location Considerations	1	10%	6
Category 5: Management	1	10%	6
Total	7	100%	60

2.5.3 Submission Content and Evaluation Criteria

The text box below summarizes the objective of the Phase Three Technical Narrative. Table 5 describes the content for the competitor to provide in the Technical Narrative to successfully address each evaluation criterion. The right-hand column contains the scoring statements that the reviewers will be using for each of the criteria. Individual reviewers will assign a score between 1 and 6 for each scored statement after reviewing the competitor’s submission package.

Objective of the Phase Three Technical Narrative

The primary objective of FLOWIN Prize Phase Three is to encourage and award strategies that delineate achievable pathways for cost-effective U.S. commercialization and manufacture of gigawatt-scale floating platforms for offshore wind farms. All competitors who have qualified for Phase Three are considered to have viable floating platform designs, fabrication plans and deployment concepts. Therefore, Phase Three has an increased emphasis on showing how the competitor will achieve their visions for future success. Competitors are encouraged to differentiate themselves from other contestants through strategies that are comprehensive, highly relevant to the burgeoning industry and, above all, shown to be attainable.

For Phase Three, the commercialization category is a primary focus, and provides a framework and action plan for domestic industrialization that incorporates and ties together the other categories and criteria that follow.

DOE’s Office of Technology Transitions has developed a framework for driving and evaluating technology commercialization based on ARLs as a complement to technology readiness levels (TRL). The ARL framework assesses the adoption risks of a technology as part of an organization’s self-evaluation and planning process.

To assess the appropriate ARL, a risk-based analysis is conducted for multiple criteria. This requires completion of a series of questions through the Commercial Adoption Readiness Assessment Tool (CARAT),¹⁶ which is based on evaluating 17 dimensions of adoption risk spanning four core risk areas. This analysis is a single criterion within Phase Three, with subsequent criteria providing the material to support the conclusions of this analysis. The Commercialization Plan will then use this ARL as a base case and provide details of the actions required to reach an ARL of 9 (full commercial readiness).

In Phase Three, there is no expectation for the competitors to have reached a specific readiness level as a baseline. Overall, the scoring is tied to the accuracy and credibility

¹⁶ Tian, Lucia, Jacob Mees, Vanessa Chan, and William Dean. 2023. *Commercial Adoption Readiness Assessment Tool (CARAT)*. Washington, D.C.: U.S. Department of Energy. https://www.energy.gov/sites/default/files/2023-06/CARAT-R10_6-2-23.pdf.

of their self-assessment and the information that supports their commercialization planning.

Table 5. Technical Narrative Content Expectations and Scored Statements for Phase Three

Evaluation Category 1: Commercialization	
Intent: Provide a risk-based assessment of commercial adoption readiness, followed by the competitor’s strategy for progressing from their current floating platform development status to a future state in which their design is mass manufactured in the United States and available for deployment in gigawatt-scale offshore wind projects.	
Content Expectations	Scored Statements
<p>Adoption Readiness Assessment: Within the context of the Adoption Readiness framework (ARL Overview), the competitor should complete and include the CARAT. The “Comments/Rationale” sections of each designated dimension of risk should include:</p> <ul style="list-style-type: none"> • A summary of conclusions upon which the risk rating is based. • References to where substantiating information may be found under other evaluation criteria within the balance of the narrative. • Mitigation measures for minimizing and managing identified risks and limiting factors. <p>The ARL assessment should be relevant to the competitor and their technology commercialization process to achieve gigawatt-scale deployment, not just to factors affecting the industry at large.</p> <p>Note: The completed CARAT should be included as supporting information and does not count towards the 15,000-word limit.</p>	<p>The competitor has provided a completed CARAT. They have responded to each of the designated risk dimensions with rationale for their responses, have included references to substantiating information as appropriate, and have outlined realistic measures to mitigate risk factors.</p> <p>This criterion is double-weighted.</p>
<p>Commercialization Strategy: The strategy should be an action plan for achieving gigawatt-scale production readiness and commercialization of the floating platform (equivalent to ARL 9), including timeline, key decision points, and critical milestones.</p> <p>The narrative should be comprehensive, highly credible to knowledgeable readers, and reflect an in-depth understanding of the relevant industry factors and necessary groundwork that are likely to</p>	<p>The steps and timeline of the planned progression from current status to commercial sales and serial production are realistic and achievable including plans for meeting the financial commitments required for growth of the organization. Documented engagement with other companies and organizations</p>

ultimately determine commercial success. Evidence of interest and support from other parties should be provided.

The strategy should detail how the organization plans to meet the necessary investment requirements as it progresses toward full commercialization.

Ensure that the strategy integrates the information provided in other evaluation criteria to ensure a cohesive application.

supports the feasibility of the approach and the timeline. The competitor shows evidence of extensive customer and stakeholder discovery.

This criterion is double-weighted.

Evaluation Category 2: Platform Design and Deployment

Intent: Provide updated summary information about the platform design and the assembly/installation approach as context for the production and deployment planning categories that follow in the narrative.

Content Expectations

Platform Design and Deployment: As context for manufacturing and supply chain plans, provide an overview of the design, indicating refinements or modifications that may have occurred since the end of Phase Two.

Emphasize how the design may enable domestic manufacturing and deployment. Include details on any completed or proposed testing and validation required for the technical design to reach full technical and adoption readiness.

Summarize the assembly and installation approach and key infrastructure requirements as context for the implementation scenario under Category 4.

Scored Statements

Sufficient details have been provided to describe the design and how it can facilitate U.S. manufacturing and deployment, plus the remaining validation steps required to reach industrial readiness for gigawatt scale installations in the United States.

Evaluation Category 3: U.S. Production

Intent: Finalize manufacturing and supply chain planning to achieve gigawatt-scale production of the floating platform. Accurately assess related costs and illustrate how high domestic content will be achieved.

Content Expectations

U.S. Platform Manufacturing Plan: A description of all stages of the process from sourcing materials through manufacturing, assembly and final deployment should be provided.

Summarize a completed model or simulation that includes the range of inputs and procedures required to build, transport, and assemble the floating

Scored Statements

The manufacturing, assembly and deployment overview and detailed model present adequate information to convey that the U.S. manufacturing plan is feasible and consistent with a foreseeable offshore market in

platform components and deploy completed units in a gigawatt-scale offshore wind farm. Key fabrication processes and potential suppliers of major components and materials should be identified. The model should include details on the supply of materials and production rate for individual platforms and the overall throughput per month. Include a timeline for different procedures and how each stage fits together for a long-term sustainable process.

the United States and reflective of a mature supply chain approach. The supply chain and production rate modeling is realistic and inclusive of all key manufacturing steps and factors.

This criterion is double-weighted.

Building Domestic Content: Adjust the cost estimation carried out during Phase Two, incorporating any subsequent changes in design or manufacturing plans that may impact the evaluation, and use it to update the determination of domestic content. The narrative should emphasize any potential obstacles to U.S. sourcing and how they can be overcome in the future to maximize domestic content and economic benefit.

The competitor has adequately conveyed that they have realistic plans to maximize domestic content. The narrative and supporting sourcing, fabrication and cost data provide enough detail to demonstrate that the analysis is credible and relevant as a basis for the competitor's decision making.

Summarize key assumptions made in estimating domestic versus foreign sourcing along with planned ongoing actions and activities to address the risks and variables that will ultimately determine whether current estimates will be attainable during actual manufacturing and assembly.

The analysis demonstrates that the planned production process will increase U.S. manufacturing and supply chain capabilities.

Assessments will be based on credibility rather than absolute levels of cost and throughput. Where initial domestic content is low, demonstration of significant increase of domestic content will impact scores.

Evaluation Category 4: U.S. Location

Intent: Identify a current or anticipated offshore wind energy area where the floating platform could be deployed at gigawatt- scale; indicating how port, vessel and workforce needs could be met.

Content Expectations

Scored Statements

U.S. Candidate Site: Identify a specific wind energy area, whether already leased, defined, or proposed by the Bureau of Ocean Energy Management, as a candidate site for deploying the floating platform technology at gigawatt scale. Explain why the technology is suited to the given site, including the preferred ports and infrastructure that could be used to support assembly and deployment and meet transport requirements. Provide details on all important aspects of deploying the technology at

The competitor has completed a realistic and relevant case study for supplying their platform for a gigawatt-scale project in a specific wind energy area. They have identified how the assembly and deployment process would be carried out at candidate ports, any deployment restrictions, and how labor needs could be met;

gigawatt scale for this site, including any likely restrictions due to seasonal conditions. Explain how the workforce requirements of your manufacturing and deployment plans could be met. Provide an overview of potential significant environmental and social impacts with reasonable mitigations for negative impacts.

and have conveyed an understanding of potential environmental and social impacts, indicating possible mitigations where appropriate.

Evaluation Category 5: Management

Intent: Indicate how the anticipated progression from current product status to commercial wind-farm-scale sales and serial production capabilities will be managed.

Content Expectations

Management and Execution Plan: Detail the planned approach to managing the implementation of the commercialization strategy and related plans outlined in the categories and criteria above to progress from the current ARL to full adoption readiness as per the assessment provided under Category 1. Include key personnel and partnerships, active or planned, with appropriate letters of support. Update the diversity, equity, and inclusion plan.

Scored Statements

The competitor has outlined a coordinated and thorough management approach to realizing their commercialization objectives.

The team structure and level of expertise are appropriate to address the range of multiyear program needs, and there is a credible plan in place to promote and benefit from diversity, equity, and inclusivity among the team.

2.6 How We Determine and Award Winners

The Prize Administrator screens all completed submissions and ensures that the teams are eligible. Then the Prize Administrator, in consultation with DOE, assigns subject-matter-expert reviewers who independently score the content of each submission. The reviewers will comprise federal and nonfederal subject matter experts with expertise in areas relevant to the competition. All reviewers will be under a nondisclosure agreement before they are allowed to review submissions, and nonfederal reviewers will be selected to avoid conflicts of interest. They will review the competitors' submitted Technical Narratives according to the evaluation criteria described in Section 2.4.

Reviewers must act in the government's best interest to protect the information received during the judging process. Reviewers are prohibited from:

- Sharing applicants' submissions, evaluation materials, or other materials.
- Disclosing any information outside of the review process.
- Communicating with applicants (and/or others named on the application).

- Using information contained in the applicant submissions for his/her personal benefit or making such information available for the personal benefit of any other individual or organization.

The FLOWIN Prize team will proactively address any potential conflicts of interest. If necessary, this may be resolved by reassigning a submission to a different reviewer or removing the reviewer from the judging process altogether.

2.6.1 Reviewer Panel Scoring

The scoring of submissions will proceed as follows:

- Experts will review each submission individually and assess the information from the competitor as it relates to each statement of the criteria provided in Table 5.
- Reviewers will score each statement from 1 to 6, depending on the degree to which the reviewer agrees that the submission reflects the statement.
- Each statement score will be added together to generate a total score for the submission.
- The total scores from all reviewers will be aggregated to produce a final score for the competing team/organization. This score will inform the judge's decisions on prize awards.

2.6.2 Interviews

DOE may decide to interview a subset of competitors once the submissions have been reviewed. The interviews would be held prior to the announcement of the winners and would serve to help clarify questions the reviewers may have. Participating in interviews is not required, and interviews are not an indication of a competitor's likelihood to win.

2.6.3 Final Determination

DOE will designate a federal employee as the judge before the final determination of the winners. Final determination of the winners by the judge will take into account the reviewers' feedback and scores, application of program policy factors, and the interview findings (if applicable).

2.6.4 Announcement

Approximately 60 days after the contest closes, the Prize Administrator will notify the winners and request the necessary information to distribute the prizes. The Prize Administrator will then publicly announce the winners.

2.7 Additional Terms and Conditions

See the Appendix 1 for additional requirements. **COMPETITORS THAT DO NOT COMPLY WITH THE ADDITIONAL REQUIREMENTS IN THE APPENDIX MAY BE**

DISQUALIFIED.

Appendix 1: Additional Terms and Conditions

A1.1 Requirements

Your submission for the FLoating Offshore Wind ReadINess (FLOWIN) Prize is subject to the following terms and conditions:

- You must post the final content of your submission or upload the submission form online by 5 p.m. ET on April 30, 2025, before the prize's Phase Three submission period closes. Late submissions or any other form of submission may be rejected.
- All submissions that you wish to protect from public disclosure must be marked according to the instructions in Section 10 of Appendix 1 (Section A1.10).
- You must include all the required elements in your submission. The Prize Administrator may disqualify your submission after an initial screening if you fail to provide all required submission elements. Competitors may be given an opportunity to rectify submission errors due to technical challenges.
- Your submission must be in English and in a format readable by Microsoft Office or Adobe PDF. Scanned hand-written submissions will be disqualified.
- Submissions will be disqualified if they contain any matter that, in the sole discretion of the U.S. Department of Energy or the National Renewable Energy Laboratory (NREL), is indecent, obscene, defamatory, libelous, and/or lacking in professionalism, or demonstrates a lack of respect for people or life on this planet.
- If you click "Accept" on the HeroX platform and proceed to register for any of the prizes described in this document, these rules will form a valid and binding agreement between you and DOE and are in addition to the existing HeroX Terms of Use for all purposes relating to these contests. You should print and keep a copy of these rules. These provisions only apply to the prize described here and no other prize on the HeroX platform or anywhere else.
- The Prize Administrator, when feasible, may give competitors an opportunity to fix non-substantive mistakes or errors in their submission packages.
- As part of your submission to this prize, you will be required to sign the following statement:

I am providing this submission package as part of my participation in this prize. I understand that the information contained in this submission will be relied on by the federal government to determine whether to issue a prize to the named competitor. I certify under penalty of perjury that the named competitor meets the eligibility requirements for this prize competition and complies with all other rules contained in the Official Rules document. I further represent that the

information contained in the submission is true and contains no misrepresentations. I understand false statements or misrepresentations to the Federal Government may result in civil and/or criminal penalties under 18 U.S.C. § 1001.

A1.2 Verification for Payments

The Prize Administrator will verify the identity and role of all competitors before distributing any prizes. Receiving a prize payment is contingent upon fulfilling all requirements contained herein. The Prize Administrator will notify winning competitors using provided email contact information for the individual or entity that was responsible for the submission. Each competitor will be required to sign and return to the Prize Administrator, within 30 days of the date on the notice, a completed NREL Request for ACH Banking Information form and a completed W9 form (<https://www.irs.gov/pub/irs-pdf/fw9.pdf>). In the sole discretion of the Prize Administrator, a winning competitor will be disqualified from the competition and receive no prize funds if: (i) the person/entity does not respond to notifications; (ii) the person/entity fails to sign and return the required documentation within the required time period; (iii) the notification is returned as undeliverable; (iv) the submission or person/entity is disqualified for any other reason.

In the event of a dispute as to any registration, the authorized account holder of the email address used to register will be deemed to be the competitor. The “authorized account holder” is the natural person or legal entity assigned an email address by an Internet access provider, online service provider, or other organization responsible for assigning email addresses for the domain associated with the submitted address. All competitors may be required to show proof of being the authorized account holder.

A1.3 Teams and Single-Entity Awards

The Prize Administrator will award a single dollar amount to the designated primary submitter, whether consisting of a single or multiple entities. The primary submitter is solely responsible for allocating any prize funds among its member competitors or teammates as they deem appropriate. The Prize Administrator will not arbitrate, intervene, advise on, or resolve any matters or disputes between team members or competitors.

A1.4 Submission Rights

By making a submission and consenting to the rules of the contest, a competitor is granting to DOE, the Prize Administrator, and any other third parties supporting DOE in the contest, a license to display publicly and use the parts of the submission that are designated as “public” for government purposes. This license includes posting or linking to the public portions of the submission on the Prize Administrator or HeroX applications, including the contest website, DOE websites, and partner websites, and the inclusion of the submission in any other media worldwide. The submission may be viewed by DOE, Prize Administrator, and judges and reviewers for purposes of the contests, including but not limited to screening and evaluation purposes. The Prize

Administrator and any third parties acting on their behalf will also have the right to publicize winning competitors' names and organizations and, as applicable, on the contest website indefinitely.

By entering, the competitor represents and warrants that:

1. The competitor's entire submission is an original work by the competitor and the competitor has not included third-party content (such as writing, text, graphics, artwork, logos, photographs, likeness of any third party, musical recordings, clips of videos, television programs or motion pictures) in or in connection with the submission, unless (i) otherwise requested by the Prize Administrator and/or disclosed by the competitor in the submission, and (ii) competitor has either obtained the rights to use such third-party content or the content of the submission is considered in the public domain without any limitations on use.
2. Unless otherwise disclosed in the submission, the use thereof by Prize Administrator, or the exercise by Prize Administrator of any of the rights granted by competitor under these rules, does not and will not infringe or violate any rights of any third party or entity, including, without limitation, patent, copyright, trademark, trade secret, defamation, privacy, publicity, false light, misappropriation, intentional or negligent infliction of emotional distress, confidentiality, or any contractual or other rights.
3. All persons who were engaged by the competitor to work on the submission or who appear in the submission in any manner have:
 - a. Given the competitor their express written consent to submit the submission for exhibition and other exploitation in any manner and in any and all media, whether now existing or hereafter discovered, throughout the world;
 - b. Provided written permission to include their name, image, or pictures in or with the submission (or, if a minor who is not competitor's child, competitor must have the permission of the minor's parent or legal guardian) and the competitor may be asked by the prize administrator to provide permission in writing; and
 - c. Not been and are not currently under any union or guild agreement that results in any ongoing obligations resulting from the use, exhibition, or other exploitation of the submission.

A1.5 Copyright

Each competitor represents and warrants that the competitor is the sole author and copyright owner of the submission; that the submission is an original work of the competitor or that the competitor has acquired sufficient rights to use and to authorize others, including DOE, to use the submission, as specified throughout the rules; that the submission does not infringe upon any copyright or any other third-party rights of which the competitor is aware; and that the submission is free of malware.

A1.6 Contest Subject to Applicable Law

All contests are subject to all applicable federal laws and regulations. Participation constitutes each participant's full and unconditional agreement to these Official Rules and administrative decisions, which are final and binding in all matters related to the contest. This notice is not an obligation of funds; the final award is contingent upon the availability of appropriations.

A1.7 Resolution of Disputes

DOE is solely responsible for administrative decisions, which are final and binding in all matters related to the contest.

Neither DOE nor the Prize Administrator will arbitrate, intervene, advise on, or resolve any matters between team members or among competitors.

A1.8 Publicity

The winners of these prizes (collectively, “winners”) will be featured on DOE and NREL websites.

Except where prohibited, participation in the contest constitutes each winner’s consent to DOE’s and its agents’ use of each winner's name, likeness, photograph, voice, opinions, and/or hometown and state information for promotional purposes through any form of media worldwide, without further permission, payment, or consideration.

A1.9 Liability

Upon registration, all participants agree to assume any and all risks of injury or loss in connection with or in any way arising from participation in this contest. Upon registration, except in the case of willful misconduct, all participants agree to and, thereby, do waive and release any and all claims or causes of action against the federal government and its officers, employees, and agents for any and all injury and damage of any nature whatsoever (whether existing or thereafter arising, whether direct, indirect, or consequential, and whether foreseeable or not), arising from their participation in the contest, whether the claim or cause of action arises under contract or tort.

In accordance with the delegation of authority to run this contest delegated to the judge responsible for this prize, the judge has determined that no liability insurance naming DOE as an insured will be required of competitors to compete in this competition per 15 U.S.C. § 3719(i)(2). Competitors should assess the risks associated with their proposed activities and adequately insure themselves against possible losses.

A1.10 Records Retention and Freedom of Information Act

All materials submitted to DOE as part of a submission become DOE records and are

subject to the Freedom of Information Act. The following applies only to portions of the submission not designated as public information in the instructions for submission. If a submission includes trade secrets or information that is commercial or financial, or information that is confidential or privileged, it is furnished to the Government in confidence with the understanding that the information shall be used or disclosed only for evaluation of the application. Such information will be withheld from public disclosure to the extent permitted by law, including the Freedom of Information Act. Without assuming any liability for inadvertent disclosure, DOE will seek to limit disclosure of such information to its employees and to outside reviewers when necessary for review of the application or as otherwise authorized by law. This restriction does not limit the Government's right to use the information if it is obtained from another source.

Submissions containing confidential, proprietary, or privileged information must be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the Freedom of Information Act or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose.

The submission must be marked as follows and identify the specific pages containing trade secrets, confidential, proprietary, or privileged information: "Notice of Restriction on Disclosure and Use of Data: Pages [list applicable pages] of this document may contain trade secrets, confidential, proprietary, or privileged information that is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes. [End of Notice]"

The header and footer of every page that contains confidential, proprietary, or privileged information must be marked as follows: "Contains Trade Secrets, Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure." In addition, each line or paragraph containing proprietary, privileged, or trade secret information must be clearly marked with double brackets.

Competitors will be notified of any Freedom of Information Act requests for their submissions in accordance with 29 C.F.R. § 70.26. Competitors may then have the opportunity to review materials and work with a Freedom of Information Act representative prior to the release of materials. DOE does intend to keep all submission materials private except for those materials designated as "will be made public."

A1.11 Privacy

If you choose to provide HeroX with personal information by registering or completing the submission package through the contest website, you understand that such information will be transmitted to DOE and may be kept in a system of records. Such information will be used only to respond to you in matters regarding your submission and/or the contest unless you choose to receive updates or notifications about other contests or programs from DOE on an opt-in basis. DOE and NREL are not collecting any information for commercial marketing.

A1.12 General Conditions

DOE reserves the right to cancel, suspend, and/or modify the prize, or any part of it, at any time. If any fraud, technical failures, or any other factor beyond DOE's reasonable control impairs the integrity or proper functioning of the prize, as determined by DOE in its sole discretion, DOE may cancel the prize. Any performance toward prize goals is conducted entirely at the risk of the competitor and DOE shall not compensate any competitors for any activities performed in furtherance of this prize.

Although DOE may indicate that it will select up to several winners for each prize, DOE reserves the right to only select competitors that are likely to achieve the goals of the program. If, in DOE's determination, no competitors are likely to achieve the goals of the program, DOE will select no competitors to be winners and will award no prize money.

DOE may conduct a risk review, using Government resources, of the competitor and project personnel for potential risks of foreign interference. The outcomes of the risk review may result in the submission being eliminated from the prize competition. This risk review, and potential elimination, can occur at any time during the prize competition. An elimination based on a risk review is not appealable.

A1.13 Program Policy Factors

While the scores of the expert reviewers will be carefully considered, it is the role of the prize judge to maximize the impact of prize funds. Some factors outside the control of competitors and beyond the independent expert reviewer scope of review may need to be considered to accomplish this goal. The following is a list of such factors. In addition to the reviewers' scores, the below program policy factors may be considered in determining winners:

- Geographic diversity and potential economic impact of projects.
- Whether the use of additional DOE funds and provided resources are non-duplicative and compatible with the stated goals of this program and the DOE mission generally.
- The degree to which the submission exhibits technological or programmatic diversity when compared to the existing DOE project portfolio and other competitors.
- The degree to which the submission is likely to lead to increased employment and manufacturing in the United States or provide other economic benefits to U.S. taxpayers.
- The degree to which the submission will accelerate transformational technological, financial, or workforce advances in areas that industry by itself is not likely to undertake because of technical or financial uncertainty.
- The degree to which the submission supports complementary DOE-funded efforts or projects, which, when taken together, will best achieve the goals and objectives of DOE.

- The degree to which the submission expands DOE’s funding to new competitors and recipients who have not been supported by DOE in the past.
- The degree to which the submission enables new and expanding market segments.
- Whether the project promotes increased coordination with nongovernmental entities toward enabling a just and equitable clean energy economy in their region and/or community.
- The inclusion of minority-serving institutions, minority business enterprises, minority-owned businesses, woman-owned businesses, or entities located in a disadvantaged community that meet the eligibility requirements.
- The degree to which the activities described in the submission have been or will be performed in the United States.
- Whether submission content sufficiently confirms the competitor’s intent to commercialize technology.

A1.14 Return of Funds

As a condition of receiving a prize, competitors agree that if the prize was made based on fraudulent or inaccurate information provided by the competitor to DOE, DOE has the right to demand that any prize funds or the value of other non-cash prizes be returned to the government.

ALL DECISIONS BY DOE ARE FINAL AND BINDING IN ALL MATTERS RELATED TO THE PRIZE.