

# Inclusive Energy Innovation Prize



U.S. DEPARTMENT OF ENERGY

## Phase Two

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## Official Rules

MARCH 2023

# Preface

The U.S. Department of Energy's Inclusive Energy Innovation Prize will be 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
February 24, 2023	Included additional Regional Winner prizes, to be evaluated and distributed in advance of the final pitch event.
March 3, 2023	Correction to description of Summary Slide and clarification around video submission.



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# 1 Executive Summary

The U.S. Department of Energy (DOE) Office of Energy Efficiency and Renewable Energy (EERE) and Office of Economic Impact and Diversity (ED) are launching Phase Two of the Inclusive Energy Innovation Prize.

Through this prize, DOE seeks to support organizations identified in Phase One of the Inclusive Energy Innovation Prize as:

- Organizations that are community-centric and have experience in successfully engaging with disadvantaged communities
- Organizations that promote environmental, climate, and energy justice and demonstrate strong community ties
- Organizations that can use their experience to serve as bridges between DOE and disadvantaged communities
- Clean energy grassroots innovation related to technology advancement in climate and clean energy with a focused impact on disadvantaged communities.

## 1.1 Prizes

Phase Two of the Inclusive Energy Innovation Prize is open only to Phase One awardees. Two prizes will be awarded during Phase Two:

<b>Regional Prizes</b>	All Phase One winning teams are eligible to receive up to \$5,000 each from a total cash prize pool of \$90,000.
<b>Grand Prizes</b>	Up to six awards totaling a cash prize pool of \$1,500,000 will be selected based on execution of the Impact Plan proposed during Phase One.

**Regional Prizes:** In advance of the final pitch where Grand Prizes will be determined, Phase Two competitors are eligible to receive Regional Prizes. Winners of Regional Prizes will be awarded up to \$5,000 for their preliminary work toward the final pitch event. A maximum of \$90,000 total will be awarded to regional winners.

**Grand Prizes:** Phase One awardees may submit narratives describing activities carried out and progress they have made toward the goals of the prize since the end of Phase One. These submissions will be reviewed by DOE and external experts selected by DOE. Up to six winning teams will be selected to receive a share of a \$1,500,000 cash prize pool to continue to carry out the activities they have successfully executed on as described in their impact plans. Teams are encouraged to leverage in-kind mentorship and other support services offered through the Prize Administrator related to executing the prize impact plan during Phase Two. Please see Section 2.4.

Phase Two of the Inclusive Energy Innovation Prize will be open for 12 months for the winners selected in Phase One. Winners will be selected at the close of Phase Two based on their success in executing on the activities proposed during Phase One.

## 1.2 Key Dates

- **Phase One Winner Announcement and Awards:** May 24, 2022



- **Phase Two Opens:** May 24, 2022
- **Innovation Reports Due:** May 24, 2023
- **Regional Prize Winner Announcement:** May 24, 2023
- **Phase Two Closes:** June 14, 2023
- **Phase Two Grand Prize Winner Announcement:** June 14, 2023

## 1.3 Eligibility and Competitors

Phase Two of the competition is open only to winners of Phase One of the Inclusive Energy Innovation Prize. These winners may be private entities (for-profits and nonprofits), non-federal government entities such as states, counties, tribes, and municipalities, academic institutions, and individuals, subject to the requirements stated in Appendix A.1.

As part of your submission to this prize program, 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 I am providing this submission to the Federal Government. 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 and § 287.

## 2 Background

DOE is pursuing efforts to enable an inclusive and just entrepreneurial innovation ecosystem<sup>1</sup> in climate and energy technologies.

Advancing equity,<sup>2</sup> civil rights, racial justice, and equal opportunity is the responsibility of the entire government. The administration wants to create opportunities for all. As part of the government’s approach, DOE is taking proactive steps to diagnose and eliminate barriers to equal opportunities. In particular, through this prize, DOE aims to support efforts by organizations and groups to remove barriers to DOE programs, specifically in climate and energy technologies.

### 2.1 Prize Background

The aims of the prize blend the missions of the Office of Energy Efficiency and Renewable Energy (EERE) and the Office of Economic Impact and Diversity (ED). EERE supports research, development, demonstration, and commercial application (RDD&CA) of renewable energy and energy efficiency

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<sup>1</sup> The innovation ecosystem is defined as “the evolving set of actors, activities, and artifacts, and the institutions and relations, including complementary and substitute relations, that are important for the innovative performance of an actor or a population of actors” (Grandstrand, Ove and Marcus Holgersson. 2020. “Innovation Ecosystems: A Conceptual Review and a New Definition.” Technovation 90-91(2020) 102098. <https://doi.org/10.1016/j.technovation.2019.102098>).

<sup>2</sup> The term “equity” means the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to disadvantaged communities that have been denied such treatment, such as Black, Latino, and Indigenous and Native American persons, Asian Americans and Pacific Islanders and other persons of color; members of religious minorities; lesbian, gay, bisexual, transgender, and queer (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality. Executive Order 13985, “Advancing Racial Equity and Support for Underserved Communities Through the Federal Government” (Jan. 20, 2021).



technologies. ED works to identify and ensure that everyone is afforded an opportunity to participate fully in DOE's programs, opportunities, and resources.

DOE funds RDD&CA activities in climate and energy technologies through its 17 national laboratories and a variety of mechanisms encompassing external competitive solicitations. In addition, DOE programs support building and sustaining an innovation ecosystem for climate and energy technologies, encompassing early career and workforce development, entrepreneurial programs and resources for individuals and organizations, and support for communities and regions.

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 and reaching net-zero emissions economywide by no later than 2050.<sup>3</sup> Achieving these goals will require a combination of innovative solutions and acceleration of the deployment and implementation of climate and energy technologies, policies, and processes, with environmental and climate justice as key considerations.

In addition to setting goals to significantly reduce pollution and greenhouse gas emissions to decarbonize the economy, the administration also announced the Justice40 Initiative. This governmentwide initiative has a goal of delivering 40% of the overall benefits of relevant federal investments in climate and energy to disadvantaged communities, and it tracks performance toward that goal. ED will lead this effort at DOE and will inform equitable research, development, and deployment within DOE.

Improvements are needed to make the clean energy innovation ecosystem more inclusive and accessible to individuals from groups historically underrepresented in science, technology, engineering, and mathematics (STEM), and disadvantaged communities. The Justice40 Initiative, in concert with the administration's climate and decarbonization goals, will aim to address these inequities.

DOE is taking steps to understand the structural barriers to entry into its funding opportunities and other forms of assistance to help meet its climate and justice goals and move toward ultimately eliminating those barriers and making DOE-supported projects equitable and inclusive. In June 2021, DOE released a request for information (RFI) on [Inclusive Innovation and Entrepreneurship in Climate Technology](#) and held the [Inclusive Innovation and Entrepreneurship Roundtable with the Pacific Northwest National Laboratory](#). These efforts were aimed at characterizing the programmatic, operational, and other internal measures that DOE could implement to remove existing structural barriers to applying into and receiving assistance from DOE. A summary of the responses received to the RFI were released through a report in February 2022.<sup>4</sup>

EERE and ED launched the Inclusive Energy Innovation Prize in September 2021, the goals of which were informed in part by responses received to the RFI and feedback from the roundtable. Phase One of the Prize closed on Feb. 25, 2022. Eighteen winners were announced on May 24, 2022, and received \$200,000 each in cash prizes as well as in-kind mentorship support to carry out the activities proposed in their prize entries.

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<sup>3</sup> "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," Washington, D.C.: the White House. <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/>

<sup>4</sup> Office of Energy Efficiency & Renewable Energy. 2022. "EERE Releases Report with Stakeholder Recommendations to Increase Inclusivity in Climate Innovation and Entrepreneurship." U.S. Department of Energy. Feb. 2, 2022. <https://www.energy.gov/eere/articles/eere-releases-report-stakeholder-recommendations-increase-inclusivity-climate>.



## 2.2 Prize Goals

The Inclusive Energy Innovation Prize aims to fund organizations for ongoing and/or proposed activities related to climate change mitigation and clean energy that support, build trust, and strengthen relationships and partnerships with disadvantaged communities. Specifically, this prize seeks to enable and enhance business and technology incubation, acceleration, and other community- and university-based entrepreneurship and innovation in climate and clean energy technologies and continue to encourage and incentivize their engagement with DOE.

As defined in the Office of Management and Budget Memo M-21-28: Interim Implementation Guidance for the Justice40 Initiative,<sup>5</sup> whether a specific community is disadvantaged is based on a combination of variables that may include but are not limited to the following:

- Low income, high and/or persistent poverty
- High unemployment and underemployment
- Racial and ethnic residential segregation, particularly where the segregation stems from discrimination by government entities
- Linguistic isolation
- High housing cost burden and substandard housing
- Distressed neighborhoods
- High transportation cost burden and/or low transportation access
- Disproportionate environmental stressor burden and high cumulative impacts
- Limited water and sanitation access and affordability
- Disproportionate impacts from climate change
- High energy cost burden and low energy access
- Jobs lost through the energy transition
- Access to healthcare.

All use of the terms “disadvantaged community” or “disadvantaged communities” throughout this document can be understood as referring to the definition set forth above and in Memo M-21-28.

The goals of the prize are to:

1. Enable clean energy and climate innovation and entrepreneurship programming and capabilities at technology incubation, acceleration, and other community-based organizations and/or colleges and universities that serve large populations of students underrepresented in STEM, Minority Serving Institutions, community colleges, and undergraduate institutions.

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<sup>5</sup> Executive Office of the President Office of Management and Budget. 2021. “Memorandum for Heads of Departments and Agencies M-21-28: Interim Implementation Guidance for the Justice40 Initiative,” July 20, 2021. The White House. <https://www.whitehouse.gov/wp-content/uploads/2021/07/M-21-28.pdf>.



2. Create or increase participation in clean energy and climate-smart job training and job placement/hiring, including programs that target participation from disadvantaged communities, including formerly incarcerated individuals and youth transitioning out of foster care. Workforce training could cover identifying energy efficiencies and greenhouse gas inventories, renewable energy manufacturing, and deployment.
3. Foster grassroots innovation related to just and equitable clean energy deployment through activities focusing on community-centric networks and bottom-up solutions for sustainable development, based on the needs of the communities involved.
4. Identify and fund activities that will help disadvantaged communities become aware of, apply into, or otherwise secure DOE funding or other federal, state, local government or private (for-profit or nonprofit) funding, in support of the government's Justice40 goals.
5. Enable the development of replicable clean energy transitions that deliver just and equitable benefits to disadvantaged communities in support of the government's Justice40 goals.

## 2.3 Anticipated Prize Impact

Successful prize submission narratives will demonstrate that the team or organization involved has effectively implemented their impact plan to achieve one or more of the goals of this prize and identifies future work prize funding could support.

The 18 winners of Phase One of the Inclusive Energy Innovation Prize received cash awards of \$200,000 each. Phase One winners are eligible to participate in Phase Two of the prize. In Phase Two, two sets of prizes will be distributed, and regional winners are eligible to receive up to \$5,000 from a \$90,000 cash prize pool. The Grand Prize cash prize pool is for a total of \$1,500,000 in cash prizes and will be awarded as bonus prizes to up to six teams based on their success in meeting one or more of the prize goals, as described in their winning Phase One submissions.

Phase One funds are intended to enable the winning organizations to fund proposed programs at approximately the level of effort from one full-time-equivalent person and to carry out related activities that may include actively engaging with disadvantaged communities in their regions, building relationships through workshops and other events, providing technical support, and facilitating connections with technical expertise and academic institutions. These are examples of potential activities, and organizations are encouraged to continue to think creatively about specific activities that play to their strengths and serve their communities as they execute on their impact plans in Phase Two.

DOE seeks to continue to support organizations identified in Phase One that are community-centric and have experience in successfully engaging disadvantaged communities and/or in promoting environmental, climate, and energy justice. Successful organizations will demonstrate strong community ties and will show how they have served as bridges between DOE and innovators with whom DOE has not previously engaged. DOE also seeks to support and recognize clean energy grassroots innovation related to technology advancement from disciplines beyond science and engineering, which accelerate climate and clean energy technology development and adoption with a focused impact on disadvantaged communities. This may include innovations in processes related to siting, financing, and community ownership of clean energy and climate solutions at the local or state level.

## 2.4 Competitor Support Mechanisms

To ensure competitor success, the Inclusive Energy Innovation Prize Administrator team is providing access to a network of supporters for competing teams. The following mechanisms have been formalized



for competitors to leverage to ensure they are able to develop a high-quality application or support the execution of the Impact Plan in Phase Two of the prize.

## 2.4.1 Connector Network

Connectors are organizations that seek to support the efforts of competitors in the Inclusive Energy Innovation Prize. Current Connectors are included in the [American-Made Network](#), and competitors are encouraged to reach out to a Connector organization best suited to provide the support that would be most helpful in the execution of their Impact Plan. Connectors can be incubators, universities, think tanks, industry groups or any U.S.-based organization that provides support activities such as:

- Helping competitors implement their Impact Plan, work with mentors, or connect with investors
- Assisting competitors in the preparation of their submission packages
- Raising nonfederal funding to support this program and its participants
- Providing access to resources, tools, and facilities.

These one-on-one relationships between Connectors and the Phase Two competitors will be supported with Recognition Rewards, outlined in Table 1. These rewards will allow Phase Two competitors to receive support offered by organizations in the Connector Network most appropriate for their project. If a competitor elects to receive this support, they must submit a short statement of work (SOW) for review by the Prize Administration Team. By submitting a SOW for review, a competitor will help ensure selected Connectors are able to receive Recognition Rewards for their work.

This SOW should include a short explanation of why they selected this Connector to provide support and the work the Connector will do toward the execution of the competitor’s Impact Plan. A template for the SOW to offer guidance on length and detail required is provided on HeroX.

**Table 1 Recognition Rewards**

Recognition Reward	Anticipated # of Rewards	Dollar Amounts	Details*
Phase 2: Mentor	One Connector per winning Phase Two teams (up to six competitors).	\$10,000 per competitor.	Distributed to Connectors that mentor winning competitors during Phase Two as they execute on their Impact Plan outlined in Phase One.
	One Connector per non-winning Phase Two teams (remaining competitors).	\$2,500 per competitor.	Distributed to Connectors that mentor non-winning competitors during Phase Two as they execute on their Impact Plan outlined in Phase One.
<i>*Power Connectors and National Laboratories are ineligible to receive recognition rewards.</i>			



## 2.4.2 Power Connectors

Power Connectors play a more substantial role in supporting all of the Phase One winner teams in the competition. The Power Connectors will provide additional support, training, and networking sessions for the benefit of all of the teams. Power Connectors are ineligible to receive Recognition Rewards. In Phase Two of this Prize, Power Connectors may be rewarded for efforts outlined in Table 2.

Table 2 Power Connector Efforts

Support Tasks	Detailed Execution
Regional Support	<p>In Phase Two of this Prize, Power Connectors may be rewarded for efforts related to regional support that:</p> <ul style="list-style-type: none"> <li>• In regions representative of the Phase One winners, identify existing regional/place-based entrepreneurship or innovation hubs supporting disadvantaged or underrepresented communities and connect with teams.</li> <li>• Develop a map of the ecosystem of these regional/place-based entrepreneurship hubs.</li> <li>• Collaboratively expand training and onsite programming to meet the needs of the local winners, leveraging the hubs' existing expertise and programs combined with Power Connector energy-specific expertise and relationships.</li> </ul>
Targeted Trainings	<p>In Phase Two of this Prize, Power Connectors may be rewarded for efforts related to targeted training that:</p> <ul style="list-style-type: none"> <li>• In partnership with competitors, identify training session topics that would be the most impactful for Phase One winners and the community or communities they are supporting.</li> <li>• Produce, amplify, and host information sessions, trainings, workshops, matchmaking events, career fairs, or internship/apprenticeship programs.</li> <li>• Host seminars featuring experts on topics such as clean energy development for nonprofits, grant/proposal writing, community engagement, or other topics of interest.</li> </ul>
Networking	<p>In Phase Two of this Prize, Power Connectors may be rewarded for efforts related to networking that:</p> <ul style="list-style-type: none"> <li>• Host quarterly peer-to-peer workshops where Phase One winners and other organizations focused on creating an inclusive energy innovation ecosystem can discuss challenges and make connections with potential partners.</li> <li>• Host a public showcase and networking event featuring the Phase One winners, their projects, and any partnership opportunities.</li> </ul>

Updates on training sessions, mentorship contacts, and office hours will be posted on the [HeroX platform](#) periodically, and competitors are encouraged to leverage these opportunities.

## 3 Submission Requirements and Review Process

### 3.1 Prizes

Table 3 Phase Two Prizes



<b>Regional Prizes</b>	All Phase One winning teams are eligible to receive up to \$5,000 each from a total cash prize pool of \$90,000.
<b>Grand Prizes</b>	Up to six awards totaling a cash prize pool of \$1,500,000 will be selected based on execution of the Impact Plan proposed during Phase One.

## 3.2 How To Enter

Those qualified to compete should go to [HeroX](#) and follow the instructions to register and submit all required materials before the deadline in the Important Dates section (3.3) and as displayed on the HeroX website.

## 3.3 Important Dates

Important prize dates (shown in Figure 1) include:

- **Phase One Winner Announcement and Awards:** May 24, 2022
- **Innovation Reports Due:** May 24, 2023
- **Regional Prize Winner Announcement:** May 24, 2023
- **Phase Two Closes:** June 14, 2023
- **Phase Two Grand Prize Winner Announcement:** June 14, 2023 \*anticipated



Figure 1 A visualization of the important dates of the Inclusive Energy Innovation Prize

## 3.4 Regional Prizes

### 3.4.1 What To Submit

The following items constitute the submission package for the Inclusive Energy Innovation Prize Phase Two Regional Prizes and must be submitted through the HeroX platform. Each is described in more detail in the following sections (3.4.1.1-3.4.1.2).



The items in Table 4 are required for each submission.

**Table 4 Submission Package Requirements**

Item	Will Be Made Public? <sup>6</sup>	Scored Item?
Registration Form	No	No
Written Summary	No	Yes

### 3.4.1.1 Registration Form

Teams interested in receiving a Regional Prize are required to complete the registration form provided on HeroX. This form will identify the team members that intend to present at the Live Pitch event in person. This is a required submission element, and teams that do not intend to send a minimum of one team member in person to the live pitch are not eligible to receive this award.

Deadline for this submission is **May 24, 2023**.

### 3.4.1.2 Scored Item: Written Summary

The scored items in the submission package is the Written Summary. This will be scored on a scale of 1–6, as shown in the following table, on how well they address the scoring statement.

#### Scored Item Scale

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

### Written Summary

As a part of the submission package for the Regional Prizes, teams provide information about their progress and team makeup that intends to present during the final pitch. Competitors are required to submit an initial 200-word summary that addresses their agenda and high-level updates they intend to share during the live pitch. Specific scoring statements for the live pitch are included in Section 3.5.1.3. Reviewers will evaluate the submitted Written Summary for each team using the scoring statement provided in the following table. Teams will be evaluated based on the extent to which the Written Summary aligns with the scoring statement.

Written Summary Scoring Criteria	
<b>Suggested Content Competitor Provides</b>	<b>Each Statement Scored on a 1–6 Scale</b> <ul style="list-style-type: none"> <li>The competitor has made progress in their Impact Plan within their community from</li> </ul>

<sup>6</sup> Competitors who do not want their submitted material to be made public will need to mark them according to the instructions in Appendix A (Section A.11).



<ul style="list-style-type: none"> <li>• A high-level agenda of the topics the competitor plans to present during the live pitch event.</li> <li>• A list of the team members that intend to present this information at the live pitch event in person.</li> <li>• A description of how the competitor has progressed in the initial engaged with the relevant disadvantaged community or communities during Phase One of the prize.</li> </ul>	<p>what was initially proposed in support of the clean energy transition and has prepared for the final live pitch event in June.</p>
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Based on the results from this scoring statement, prize administrators will distribute an additional cash prize of \$5,000 to award those that have adequately prepared for the final live pitch event. Teams that receive this award are expected to present their live pitch in person at the final live pitch event scheduled for June 13-14, 2023.

Deadline for this submission is **May 24, 2023**.

## 3.5 Grand Prizes

### 3.5.1 What To Submit

The following items constitute the submission package for the Inclusive Energy Innovation Prize Phase Two Grand Prizes and must be submitted through the HeroX platform. Each is described in more detail in the following sections (3.5.1.1–3.5.1.3).

The items in Table 5 are required for each submission.

**Table 5 Submission Package Requirements**

Item	Will Be Made Public? <sup>7</sup>	Scored Item?
Cover Page (See Section 3.5.1.1)	Yes	No
Summary Document (See Section 3.5.1.2)	Yes	No
Live Pitch Event Participation (See Section 3.5.1.3)	Yes	Yes
Inclusive Energy Innovation Report (See Section 3.5.1.3)	No	Yes

#### 3.5.1.1 Cover Page Content (Will Be Made Public)

The Cover Page, included in a competitor’s final submission, will be made public. A competitor should list basic information about their submission, including:

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<sup>7</sup> Competitors who do not want their submitted material to be made public will need to mark them according to the instructions in Appendix A (Section A.11).



- Title
- Team name
- Short description
- Key project members (names, contacts, and links to their professional online profiles)
- Other partners (if any)
- City and state.

Deadline for this submission is **May 24, 2023**.

### 3.5.1.2 Submission Summary Document (Will Be Made Public)

The competitor must write a public-facing, two-page summary document that describes their team and/or organization and their efforts during Phase One of the prize in enabling an inclusive clean energy ecosystem, and how they met one or more goals of the prize. There is no template, so competitors are free to present the information in any format. Any text must be readable in a standard printed format. The summary document must be submitted as an image (.jif, .jpeg, .png, etc.), or a document (.pdf, .docx, .pptx, etc.) via the HeroX platform along with the other submission documents.

Deadline for this submission is **May 24, 2023**.

### 3.5.1.3 Scored Items: Live Pitch Event and Inclusive Energy Innovation Report

The scored items in the submission package are the Impact Plan and the live pitch event. The report and pitch event will both be scored on a scale of 1–6, as shown in

Table 6, on how well they address the statements in each criteria.

**Table 6 Scored Item Scale**

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

Table 7 outlines the weight of the scoring between the live pitch event and the report.

**Table 7 Scored Item Scoring Guide**

Submission Requirement	Number of Scored Statements	Percentage of Total Score	Total Possible Points
Live Pitch Event Participation	6	20%	36
Inclusive Energy Innovation Report	25	80%	150
<b>TOTAL</b>	<b>31</b>	<b>100%</b>	<b>186</b>



## Live Pitch Event

At the end of Phase Two, scheduled to take place June 13-14, 2023, competitors will present their activities and impacts over the previous 12 months to a panel of expert reviewers during the Live Pitch Event. The event will be in person and teams are encouraged to travel. Event details will be communicated from [InclusiveEnergy@nrel.gov](mailto:InclusiveEnergy@nrel.gov). There will be a virtual option available for teams that require this accommodation. Each team should prepare a 20-minute presentation and be prepared to answer questions for 10 minutes. The pitch should be a combination of prerecorded videos and a live presentation. Pre-recorded videos should not exceed 3 minutes of the 20-minute presentation. Teams are expected to share a publicly available link to the video that can be shared in future DOE outreach. Additional details on the presentation will be provided closer to the presentation date.

Competitors' presentations should focus on relevant stories of specific activities, individuals, partners, or others impacted directly by the activities carried out as a result of this prize. Presentations should also highlight the disadvantaged communities that were directly impacted by competitors' efforts in Phase Two. Videos should include interviews with or testimonials from community members who have directly received the benefit of efforts undertaken by competitors. Competitors should be creative and convey their information in a fun and engaging way but not expend time on labor-intensive activities that only improve production quality (e.g., technical elements, such as décor, lighting, and cinematic techniques). Reviewers will focus on the content, not the quality, of the video production.

The Live Pitch Event will be scored against the statements in Table 8.

**Table 8 Live Pitch Event Scoring Criteria**

Live Pitch Event Scoring Criteria	
<p><b>Suggested Content Competitor Provides</b></p> <ul style="list-style-type: none"> <li>• A description of how the competitor has engaged with the relevant disadvantaged community or communities during Phase One of the prize.</li> <li>• Interviews with or testimonials from community members that have directly received the benefit from the efforts undertaken by the competitor.</li> <li>• How the activities undertaken in Phase Two have had a positive impact on the disadvantaged community or communities, illustrated with specific outcomes.</li> <li>• How activities have strengthened relationships and built trust with the relevant disadvantaged communities.</li> </ul>	<p><b>Each Statement Scored on a 1–6 Scale</b></p> <ul style="list-style-type: none"> <li>• The competitor has directly engaged with the disadvantaged community or communities as part of the activities carried out after the Phase One award.</li> <li>• The pitch clearly shows a positive outcome in the disadvantaged community or communities engaged in Phase Two.</li> <li>• The pitch includes accounts or testimonials directly from community members receiving the benefits from the work undertaken in Phase Two.</li> <li>• The pitch clearly demonstrates the impact achieved in the disadvantaged community or communities engaged in Phase Two.</li> <li>• The competitor clearly describes how the positive outcomes from the efforts undertaken in Phase Two of the prize connect back to one or more of the goals of the prize.</li> <li>• The competitor has clearly demonstrated that their activities have built trust and</li> </ul>



	strengthened relationships with the relevant disadvantaged communities.
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## Inclusive Energy Innovation Report

In advance of the live pitch event, teams will write a detailed report in a narrative format describing their team/organization, activities carried out related to the prize over the last 12 months, current and anticipated impacts through quantitative and qualitative data, and their vision for future work, including how inclusive energy innovation relates to the mission or goals of their organization. There is a template that will be made available on the HeroX platform to help competitors draft the report; usage of the template is optional.

The total length of the report should not exceed **5,000** words. Titles, headings, subheadings, footnotes, a short description and the list of team members/partners do not count towards the 5,000-word limit. Competitors may include up to **five** supporting visualizations, tables, or graphics. If a competitor chooses to include a budget, that will not count towards the five supporting visualizations. The report must be submitted as a PDF via the HeroX platform along with the other submission documents. Information contained in hyperlinks to external sources will not be reviewed or considered by the reviewers or the Judge.

Deadline for this submission is **May 24, 2023**, and will be evaluated by the same reviewers that will provide feedback on the live pitch event.

There are four criteria that need to be addressed in the report. They are:

- **Criterion 1:** Community Engagement, Partnerships, and Outcomes
- **Criterion 2:** Fostering Clean Energy Innovation and Entrepreneurship
- **Criterion 3:** Program Implementation and Ecosystem Building
- **Criterion 4:** Long-Term Vision, Projected Impacts, Sustainability Plan.

The report should summarize the proposed Phase Two activities; describe progress to date; describe achieved and projected impact; and address all four criteria.

Table 9 explains how scores for the report will be calculated.

**Table 9 Inclusive Energy Innovation Report Scoring Criteria**

Criteria	Number of Scored Statements	Percentage of Total Score	Total Possible Points
Criterion 1	7	28%	42
Criterion 2	8	32%	48
Criterion 3	5	20%	30
Criterion 4	5	20%	30
<b>TOTAL</b>	<b>25</b>	<b>100%</b>	<b>150</b>



The following tables describe the content that the team/organization (competitor) should provide in the report to successfully address each criterion. The right-hand column contains the scored statements (see Table 9) that the reviewers will be using for each of the four criteria. Individual reviewers will assign a score between 1 and 6 (see Table 6) for each scored statement after reviewing the project submission. The left-hand column includes suggested content that addresses each criterion. The suggested content is not mandatory, and competitors will not be scored against it. Rather, these are examples of details to include to help guide their responses, and competitors are welcome to use other information as they see fit.

Competitors are strongly encouraged to include individual stories of specific activities, individuals, partners, or others impacted directly by the activities carried out as a result of this prize.

<b>Criterion 1: Community Engagement, Partnerships, and Impact</b>	
<p><b>Suggested Content Competitor Provides:</b></p> <ul style="list-style-type: none"> <li>● A description of how the competitor has engaged with the relevant disadvantaged community or communities during Phase Two of the Prize.</li> <li>● A description of the specific activities and events the competitor has carried out during Phase Two of the Prize.</li> <li>● A description of how the competitor’s activities have strengthened relationships and will build trust between DOE and the relevant disadvantaged communities.</li> <li>● A description of how the competitor has promoted and/or incorporated energy, environmental, and/or climate justice in their activities.</li> <li>● With the appropriate metrics, a detailed description of how the competitor has successfully met one or more of the goals of this prize aligned with their community partner or partners.</li> <li>● An evaluation of the successes and/or failures in building trusted relationships with disadvantaged communities and plans for incorporating lessons learned into future efforts.</li> </ul>	<p><b>Each Statement Scored on a 1–6 Scale</b></p> <ul style="list-style-type: none"> <li>● The competitor has effectively engaged with disadvantaged community or communities and have successfully understood and described their most pressing climate change and clean energy related needs part of the activities during Phase Two of the prize.</li> <li>● The competitor has clearly described the specific activities and events they have employed during Phase Two of the prize to engage the relevant disadvantaged communities.</li> <li>● The competitor has clearly demonstrated that their activities have built trust and strengthened relationships with the relevant disadvantaged communities.</li> <li>● The competitor’s activities during Phase Two of the prize have promoted and incorporated energy, environmental, and/or climate justice.</li> <li>● The competitor’s activities during Phase Two of the prize are likely to strengthen connections between DOE and the relevant disadvantaged communities.</li> <li>● The competitor has demonstrated, using appropriate metrics and specific, measurable, actionable, relevant, and time-bound goals that they have met one or more of the goals of this prize and align with the relevant community</li> <li>● The competitor has evaluated the successes and/or failures of any efforts toward building relationships with disadvantaged</li> </ul>



	communities and how these can improve implementing future efforts.
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## Criterion 2: Fostering Clean Energy Innovation and Entrepreneurship

### Suggested Content Competitor Provides:

- A description of the activities the competitor has carried out that will meet [one or more of the goals of the prize](#) stated in Section 2.2 of this document
- If applicable, a description of how the competitor increased participation in clean energy and climate-smart job training and job placement/hiring, including programs that target participation from disadvantaged communities.
- If applicable, a description of how the competitor enabled innovation and entrepreneurship programming and capabilities at colleges and universities that primarily serve students underrepresented in STEM.
- If applicable, a description of how the competitor fostered grassroots innovation related to equitable clean energy deployment based on the needs of disadvantaged communities.
- If applicable, a description of how the competitor's activities resulted in increased access to federal, state, or local government or private funding for disadvantaged communities.
- If applicable, a description of how the competitor enabled the development of clean energy systems that deliver just and equitable benefits to local communities in support of the government's Justice40 goals.
- A description of how the competitor successfully fostered clean energy innovation and/or entrepreneurship in disadvantaged communities that advanced the government's Justice40 goals.

### Each statement is scored on the 1–6 scale in Table 6.

- The competitor's activities during Phase Two of the prize successfully met one or more of the goals of the prize.
- The competitor's activities during Phase Two of the prize increased participation in clean energy and climate-smart job training and job placement/hiring, including programs that target participation from disadvantaged communities.
- The competitor's activities during Phase Two of the prize enabled innovation and entrepreneurship programming and capabilities at technology incubation, acceleration, and other community-based organizations and/or colleges and universities that primarily serve students underrepresented in STEM.
- The competitor's activities during Phase Two of the prize fostered grassroots innovation related to equitable clean energy deployment based on the needs of disadvantaged communities.
- The competitor's activities during Phase Two of the prize resulted in increased access to other sources of funding beyond the Phase One award for disadvantaged communities.
- The competitor's activities during Phase Two of the prize resulted in increased community capacity building related to the government's Justice40 goals.
- The competitor's activities during Phase Two of the prize enabled the development of clean energy systems that deliver just and equitable benefits to local communities in support of the government's Justice40 goals.
- The competitor successfully fostered clean energy innovation and/or entrepreneurship in disadvantaged communities that advanced the government's Justice40 goals.



### Criterion 3: Program Implementation and Ecosystem Building

#### Suggested Content Competitor Provides

- A budget breakdown of how the competitor utilized the Phase One prize award to carry out activities in line with the goals of the prize, including personnel and overhead costs, organizational costs, online and in-person activities and event costs, and any other relevant activities.
- A description of how team members and/or organization staff were involved in carrying out the activities associated with the prize, including time commitment, number of staff, etc.
- A description of outreach and engagement strategies and platforms used to effectively engage and partner with disadvantaged communities.
- A description of other resources and strategies the competitor has utilized to execute their activities, which may include technical resources.
- A description of how the competitor's activities have successfully resulted in initiating or strengthening an ecosystem of activities to support innovation and entrepreneurship in climate and energy technologies in one or more disadvantaged communities.

#### Each statement is scored on the 1–6 scale in Table 6.

- The competitor has described in adequate detail how they have utilized the Phase One prize award to carry out associated activities that are in line with the goals of the prize.
- The competitor has described in adequate detail the involvement of team members and/or staff to carry out associated activities that are in line with the goals of the prize.
- The competitor has described in adequate detail the outreach and engagement strategies and platforms used to effectively work with disadvantaged communities.
- The competitor has described in adequate detail any other resources and capabilities they have utilized to execute activities in line with the prize.
- The competitor's activities have successfully resulted in initiating or strengthening an ecosystem of activities to support innovation and entrepreneurship in climate and energy technologies in one or more disadvantaged communities.



## Criterion 4: Long-Term Vision, Projected Impacts, Sustainability Plan

### Suggested Content Competitor Provides:

- A description of how the competitor's activities during Phase Two of the Prize enabled a just and equitable transition to a clean energy economy in the relevant community and region.
- An ambitious and achievable long-term vision for a just and equitable transition to a clean energy economy.
- A description of anticipated impact of the competitor's efforts after 2–5 years.
- A description of strategies the competitor will employ to secure ongoing funding to build upon the proposed activities to ensure sustainability of the proposed activities.
- A description of progress toward a clean energy transition that the competitor could achieve with ongoing funding beyond the initial award from this prize.

### Each statement is scored on the 1–6 Scale in Table 6.

- The competitor's activities during Phase Two of the prize enabled/will help enable a just and equitable transition to a clean energy economy.
- The competitor's long-term vision for a just and equitable transition to a clean energy economy is ambitious yet achievable.
- The description of expected results from the competitor's efforts after 2–5 years is achievable, impactful, in line with DOE's climate and justice goals described in Section 2 of this document, and progress to date is in line with achieving these results.
- The competitor's strategies to secure ongoing funding in the next 2–5 years are likely to yield a sustainable funding stream for the competitor.
- The provided description of what the competitor will be able to do with ongoing funding toward enabling a just and equitable transition to a clean energy economy in their region and/or community are ambitious, achievable, and in line with the goals of this prize.

## 3.6 How Winners Are Determined and Awarded

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 be composed of federal and nonfederal subject-matter experts with expertise in areas relevant to the competition. They will review the competitor's submitted live pitches and impact plans according to the evaluation criteria described in Section 3.4.

### 3.6.1 Reviewer Panel Scoring

The scoring of submissions will proceed as follows:

- Experts will review each live pitch and impact plan submission individually and assess the response from the competitor to each statement in the criteria described.
- Reviewers will score each statement 1–6, 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, which can be up to 150 points as described in Table 7.
- The total scores from each reviewer will be averaged to produce a final score for the competing team/organization. This score will inform the Judge's decisions on prize awards.



## 3.6.2 Interviews

DOE may decide to interview a subset of competitors. 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.

## 3.6.3 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).

## 3.6.4 Announcement

Approximately 30 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.

## 3.7 Additional Terms and Conditions

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



# Appendix A: Additional Terms and Conditions

## A.1 Eligibility

Phase Two of the competition is open only to winners of Phase One of the Inclusive Energy Innovation Prize. These winners may be private (for-profit and nonprofit) entities; nonfederal government entities, such as states, counties, tribes, and municipalities; academic institutions; and individuals. All are subject to the following requirements:

- Private entities must be incorporated in and maintain a primary place of business in the United States with majority domestic ownership and control.
- Academic institutions must be based in the United States.
- An individual prize competitor or group of competitors who are not competing as part of an incorporated private entity must all be United States citizens or legal permanent residents.
- Individuals competing as part of an incorporated private entity may participate if they are legally allowed to work 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.
- Individuals who worked at the U.S. Department of Energy (DOE) (federal employees or support service contractors) within 6 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 employees cannot compete in the 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 and individuals identified as a restricted party on one or more screening lists of Department of Commerce, State and the Treasury are not eligible to compete. See Consolidated Screening List.
- This prize competition is expected to positively impact U.S. economic competitiveness. Participation in a foreign government talent recruitment program<sup>8</sup> could conflict with this objective by resulting in unauthorized transfer of scientific and technical information to foreign government entities. Therefore, individuals participating in foreign government talent recruitment programs of foreign countries of risk are not eligible to compete. Further, teams that include individuals participating in foreign government talent recruitment programs of foreign countries of risk<sup>9</sup> are not eligible to compete.

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<sup>8</sup> Foreign government talent recruitment program is defined as an effort directly or indirectly organized, managed, or funded by a foreign government to recruit science and technology professionals or students (regardless of citizenship or national origin, and 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 physically relocate to the foreign state for the above purpose. Some programs allow for or encourage continued employment at U.S. 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.

<sup>9</sup> Currently, the list of countries of risk includes Russia, Iran, North Korea, and China



## A.2 Requirements

A submission for the Inclusive Energy Innovation Prize is subject to the following terms and conditions:

- Competitors must post the final content of their submission or upload the submission form online by 5 p.m. ET on May 24, 2023, before the prize's Phase Two submission period closes. Late submissions or any other form of submission may be rejected.
- Competitors must present their pitch at the final live pitch event, scheduled for June 13-14, 2023. Grand Prize awards will be determined based on the materials submitted in advance of the final pitch and their performance at the final event.
- All submissions that a competitor wishes to protect from public disclosure must be marked according to the instructions in Section 10 of Appendix A (Section A.11). Unmarked or improperly marked submissions will be deemed to have been provided with unlimited rights and may be used in any manner and for any purpose whatsoever.
- Competitors must include all the required elements in their submission. The Prize Administrator may disqualify a submission after an initial screening if a competitor fails to provide all required submission elements. Competitors may be given an opportunity to rectify submission errors due to technical challenges.
- Submissions must be in English and in a format readable by Microsoft Word 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 DOE 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 a competitor clicks "Accept" on the HeroX platform and proceeds to register for any of the prizes described in this document, these rules will form a valid and binding agreement between the competitor and DOE and are in addition to the existing HeroX Terms of Use for all purposes relating to these contests. Competitors 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 nonsubstantive mistakes or errors in their submission packages.
- As part of their submission to this prize, competitors 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 I am providing this submission to the Federal Government. 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.

## A.3 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.

## A.4 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.

## A.5 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, the Prize Administrator, the Judge, 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 competitors' names and, as applicable, the names of competitors' team members and organization, which participated in the submission 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.

## A.6 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.

## A.7 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.

## A.8 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.

## A.9 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.

## A.10 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.

## A.11 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."

## A.12 Privacy

If a competitor chooses to provide HeroX with personal information by registering or completing the submission package through the contest website, they 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 them in matters regarding your submission and/or the contest unless they 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.



## A.13 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.

## A.14 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 nonduplicative 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.

## A.15 National Environmental Policy Act Compliance

This prize is subject to the National Environmental Policy Act (NEPA) (42 U.S.C. § 4321, et seq.). NEPA requires federal agencies to integrate environmental values into their decision-making processes by considering the potential environmental impacts of their proposed actions. For additional background on NEPA, please see DOE's NEPA website at <http://nepa.energy.gov/>.

While NEPA compliance is a federal agency responsibility and the ultimate decisions remain with the federal agency, all participants in the Inclusive Energy Innovation Prize will be required to assist in the timely and effective completion of the NEPA process in the manner most pertinent to their participation in the prize competition. Participants may be asked to provide DOE with information on fabrication and



testing of their device such that DOE can conduct a meaningful evaluation of the potential environmental impacts.

## A.16 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.



# Inclusive Energy Innovation Prize



U.S. DEPARTMENT OF ENERGY

Phase Two

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**OFFICIAL RULES**

MARCH 2023