



Grant Application Package

Opportunity Title:	Recovery Act (ARRA) - Industrial EnergyEfficiency
Offering Agency:	National Energy Technology Laboratory
CFDA Number:	81.087
CFDA Description:	Renewable Energy Research and Development
Opportunity Number:	DE-FOA-0000044
Competition ID:	
Opportunity Open Date:	06/01/2009
Opportunity Close Date:	07/14/2009
Agency Contact:	Michael DeStefano Contract Specialist

This electronic grants application is intended to be used to apply for the specific Federal funding opportunity referenced here.

If the Federal funding opportunity listed is not the opportunity for which you want to apply, close this application package by clicking on the "Cancel" button at the top of this screen. You will then need to locate the correct Federal funding opportunity, download its application and then apply.

☐ I will be submitting applications on my behalf, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

* Application Filing Name: Rhode Island LFG Genco, LLC

Mandatory Documents

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Move Form to
Complete

Move Form to
Delete

Mandatory Documents for Submission

SF424 (R & R) RR FedNonFed Budget Project/Performance Site Location(s) Research And Related Other Project Information Research And Related Senior/Key Person Profiles
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Optional Documents

Research & Related Subaward Budget (Total Fed +

Move Form to
Submission List

Move Form to
Delete

Optional Documents for Submission

Disclosure of Lobbying Activities (SF-LDD)

Instructions

- 1 Enter a name for the application in the Application Filing Name field.
 - This application can be completed in its entirety offline; however, you will need to login to the Grants.gov website during the submission process.
 - You can save your application at any time by clicking the "Save" button at the top of your screen.
 - The "Save & Submit" button will not be functional until all required data fields in the application are completed and you clicked on the "Check Package for Errors" button and confirmed all data required data fields are completed.
- 2 Open and complete all of the documents listed in the "Mandatory Documents" box. Complete the SF-424 form first.
 - It is recommended that the SF-424 form be the first form completed for the application package. Data entered on the SF-424 will populate data fields in other mandatory and optional forms and the user cannot enter data in these fields.
 - The forms listed in the "Mandatory Documents" box and "Optional Documents" may be predefined forms, such as SF-424, forms where a document needs to be attached, such as the Project Narrative or a combination of both. "Mandatory Documents" are required for this application. "Optional Documents" can be used to provide additional support for this application or may be required for specific types of grant activity. Reference the application package instructions for more information regarding "Optional Documents".
 - To open and complete a form, simply click on the form's name to select the item and then click on the => button. This will move the document to the appropriate "Documents for Submission" box and the form will be automatically added to your application package. To view the form, scroll down the screen or select the form name and click on the "Open Form" button to begin completing the required data fields. To remove a form/document from the "Documents for Submission" box, click the document name to select it, and then click the <= button. This will return the form/document to the "Mandatory Documents" or "Optional Documents" box.
 - All documents listed in the "Mandatory Documents" box must be moved to the "Mandatory Documents for Submission" box. When you open a required form, the fields which must be completed are highlighted in yellow with a red border. Optional fields and completed fields are displayed in white. If you enter invalid or incomplete information in a field, you will receive an error message.
- 3 Click the "Save & Submit" button to submit your application to Grants.gov.
 - Once you have properly completed all required documents and attached any required or optional documentation, save the completed application by clicking on the "Save" button.
 - Click on the "Check Package for Errors" button to ensure that you have completed all required data fields. Correct any errors or if none are found, save the application package.
 - The "Save & Submit" button will become active; click on the "Save & Submit" button to begin the application submission process.
 - You will be taken to the applicant login page to enter your Grants.gov username and password. Follow all onscreen instructions for submission.

APPLICATION FOR FEDERAL ASSISTANCE

SF 424 (R&R)

3. DATE RECEIVED BY STATE

State Application Identifier

1. * TYPE OF SUBMISSION

☐ Pre-application ☒ Application ☐ Changed/Corrected Application

4. a. Federal Identifier

b. Agency Routing Number

2. DATE SUBMITTED

07/14/2009

Applicant Identifier

5. APPLICANT INFORMATION

* Organizational DUNS: 831120659

* Legal Name: Rhode Island LFG Genco, LLC

Department:

Division:

* Street1: 947 Linwood Avenue

Street2:

* City: Ridgewood

County / Parish: Bergen

* State:

NJ: New Jersey

Province:

* Country:

USA: UNITED STATES

* ZIP / Postal Code: 07450-2939

Person to be contacted on matters involving this application

Prefix: Mr.

* First Name: Stephen

Middle Name: D.

* Last Name: Galowitz

Suffix:

* Phone Number: 201-447-9000

Fax Number: 201-447-0474

Email: sgalowitz@ridgewood.com

6. * EMPLOYER IDENTIFICATION (EIN) or (TIN): 020704599

7. * TYPE OF APPLICANT: Q: For-Profit Organization (Other than Small Business)

Other (Specify):

Small Business Organization Type ☐ Women Owned ☐ Socially and Economically Disadvantaged

8. * TYPE OF APPLICATION:

☒ New ☐ Resubmission☐ Renewal ☐ Continuation ☐ Revision

If Revision, mark appropriate box(es).

☐ A. Increase Award ☐ B. Decrease Award ☐ C. Increase Duration ☐ D. Decrease Duration☐ E. Other (specify):* Is this application being submitted to other agencies? Yes ☐ No ☒ What other Agencies?

9. * NAME OF FEDERAL AGENCY:

National Energy Technology Laboratory

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 81.087

TITLE: Renewable Energy Research and Development

11. * DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

Area 3 (Combined Cycle Electricity Generation Plant Fueled by Landfill Gas)

12. PROPOSED PROJECT:

* Start Date

* Ending Date

01/01/2009

12/31/2011

* 13. CONGRESSIONAL DISTRICT OF APPLICANT

5th

14. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION

Prefix: Mr.

* First Name: Stephen

Middle Name: D.

* Last Name: Galowitz

Suffix:

Position/Title: Managing Director

* Organization Name: Rhode Island LFG Genco, LLC

Department:

Division:

* Street1: 947 Linwood Avenue

Street2:

* City: Ridgewood

County / Parish: Bergen

* State:

NJ: New Jersey

Province:

* Country:

USA: UNITED STATES

* ZIP / Postal Code: 07450-2929

* Phone Number: 201-447-9000

Fax Number: 201-447-0474

* Email: sgalowitz@ridgewood.com

SF 424 (R&R) APPLICATION FOR FEDERAL ASSISTANCE

Page 2

15. ESTIMATED PROJECT FUNDING a. Total Federal Funds Requested 15,000,000.00 b. Total Non-Federal Funds 85,081,146.00 c. Total Federal & Non-Federal Funds 100,081,146.00 d. Estimated Program Income 0.00	16. * IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES ☐ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE: b. NO ☒ PROGRAM IS NOT COVERED BY E.O. 12372; OR ☐ PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
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17. By signing this application, I certify (1) to the statements contained in the list of certifications* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances * and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

☒ * I agree

* The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

18. SFLLL or other Explanatory Documentation 	Add Attachment Delete Attachment View Attachment
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19. Authorized Representative

Prefix: * First Name: Middle Name:

* Last Name: Suffix:

* Position/Title:

* Organization:

Department: Division:

* Street1:

Street2:

* City: County / Parish:

* State: Province:

* Country: * ZIP / Postal Code:

* Phone Number: Fax Number:

* Email:

* Signature of Authorized Representative Stephen Galowitz	* Date Signed 07/14/2009
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20. Pre-application	Add Attachment Delete Attachment View Attachment
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RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION A, BUDGET PERIOD 1

* ORGANIZATIONAL DUNS: 8311206590000

* Budget Type: ☒ Project ☐ Subaward/Consortium

Enter name of Organization: Rhode Island LFG Genco, LLC

* Start Date: 01/01/2009 * End Date: 12/31/2009 * Budget Period: 1

A. Senior/Key Person

1. Prefix		* First Name		Middle Name		* Last Name		Suffix	
Mr.		Stephen		D.		Galowitz			
* Project Role		PD/PI							
Base Salary (\$)		Cal.	Acad.	Sum.	* Total (Sal & FB)		* Federal (\$)		* Non-Federal (\$)
		Months	Months	Months	(Fed + Non-Fed)(\$)		0.00		0.00
							0.00		0.00
* Req. Salary (\$)		0.00		0.00		0.00		0.00	
* Fringe Ben. (\$)		0.00		0.00		0.00		0.00	
2. Prefix		* First Name		Middle Name		* Last Name		Suffix	
Mr.		Randall		D.		Holmes			
* Project Role		President & CEO of Ridgewood Renewable Power, Project Development Sponsor							
Base Salary (\$)		Cal.	Acad.	Sum.	* Total (Sal & FB)		* Federal (\$)		* Non-Federal (\$)
		Months	Months	Months	(Fed + Non-Fed)(\$)		0.00		0.00
							0.00		0.00
* Req. Salary (\$)		0.00		0.00		0.00		0.00	
* Fringe Ben. (\$)		0.00		0.00		0.00		0.00	
3. Prefix		* First Name		Middle Name		* Last Name		Suffix	
Mr.		Douglas		R.		Wilson			
* Project Role		Managing Director of Ridgewood Renewable Power, Project Development Sponsor							
Base Salary (\$)		Cal.	Acad.	Sum.	* Total (Sal & FB)		* Federal (\$)		* Non-Federal (\$)
		Months	Months	Months	(Fed + Non-Fed)(\$)		0.00		0.00
							0.00		0.00
* Req. Salary (\$)		0.00		0.00		0.00		0.00	
* Fringe Ben. (\$)		0.00		0.00		0.00		0.00	
4. Prefix		* First Name		Middle Name		* Last Name		Suffix	
Mr.		Neil				Solomon			
* Project Role		Project Manager							
Base Salary (\$)		Cal.	Acad.	Sum.	* Total (Sal & FB)		* Federal (\$)		* Non-Federal (\$)
		Months	Months	Months	(Fed + Non-Fed)(\$)		0.00		90,000.00
							0.00		90,000.00
* Req. Salary (\$)		90,000.00		0.00		0.00		0.00	
* Fringe Ben. (\$)		0.00		0.00		0.00		0.00	

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION A, BUDGET PERIOD 1

* ORGANIZATIONAL DUNS: 8311206590000

* Budget Type: ☒ Project ☐ Subaward/Consortium

Enter name of Organization: Rhode Island LFG Genco, LLC

* Start Date: 01/01/2009 * End Date: 12/31/2009 Budget Period 1

A. Senior/Key Person (continued)

5. Prefix * First Name Middle Name * Last Name Suffix

* Project Role

Base Salary (\$)	Cal. Months	Acad. Months	Sum. Months	* Req. Salary (\$)	* Fringe Ben. (\$)	* Total (Sal & FB) (Fed + Non-Fed)(\$)	* Federal (\$)	* Non- Federal (\$)

6. Prefix * First Name Middle Name * Last Name Suffix

* Project Role

Base Salary (\$)	Cal. Months	Acad. Months	Sum. Months	* Req. Salary (\$)	* Fringe Ben. (\$)	* Total (Sal & FB) (Fed + Non-Fed)(\$)	* Federal (\$)	* Non- Federal (\$)

7. Prefix * First Name Middle Name * Last Name Suffix

* Project Role

Base Salary (\$)	Cal. Months	Acad. Months	Sum. Months	* Req. Salary (\$)	* Fringe Ben. (\$)	* Total (Sal & FB) (Fed + Non-Fed)(\$)	* Federal (\$)	* Non- Federal (\$)

8. Prefix * First Name Middle Name * Last Name Suffix

* Project Role

Base Salary (\$)	Cal. Months	Acad. Months	Sum. Months	* Req. Salary (\$)	* Fringe Ben. (\$)	* Total (Sal & FB) (Fed + Non-Fed)(\$)	* Federal (\$)	* Non- Federal (\$)

9. Total Funds requested for all Senior Key Persons in the attached file

Total Senior/Key Person

90,000.00	0.00	90,000.00
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* Additional Senior Key Persons:

* ORGANIZATIONAL DUNS: 8311206590000

* Budget Type: ☒ Project ☐ Subaward/Consortium

Enter name of Organization: Rhode Island LFG Genco, LLC

* Start Date:	01/01/2009	* End Date:	12/31/2009	Budget Period	1
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B. Other Personnel

[illegible][illegible][illegible][illegible][illegible][illegible]

	Total Number Other Personnel	Total Other Personnel
	Total Salary, Wages and Fringe Benefits (A + B)	
	90,000.00	0.00
		90,000.00

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION C, D, & E, BUDGET PERIOD 1

* ORGANIZATIONAL DUNS: 8311206590000

* Budget Type: ☒ Project ☐ Subaward/Consortium

Enter name of Organization: Rhode Island LFG Genco, LLC

* Start Date: 01/01/2009 * End Date: 12/31/2009 Budget Period 1

C. Equipment Description

List items and dollar amount for each item exceeding \$5,000

* Equipment item	* Federal (\$)	* Non-Federal (\$)	* Total (Fed + Non-Fed) (\$)
1. CTG-Solar turbines	0.00	0.00	0.00
2. Fuel Gas Compressor-Vilter	0.00	0.00	0.00
3. HRSG-Rentech	0.00	0.00	0.00
4. STG-Dresser-Rand	0.00	0.00	0.00
5. LO-CAT H2S Removal-Merichen	0.00	0.00	0.00
6. Step-Up Transformer	0.00	0.00	0.00
7. CTG Associated Equipment	0.00	0.00	0.00
8. Combined Cycle Blance of Plant	0.00	0.00	0.00
9. Electrical Equipment	0.00	0.00	0.00
10. Bulks and Construction	0.00	0.00	0.00
11. Total funds requested for all equipment listed in the attached file			
Total Equipment	0.00	0.00	0.00

* Additional Equipment:

Add Attachment Delete Attachment View Attachment

D. Travel

* Federal (\$)	* Non-Federal (\$)	* Total (Fed + Non-Fed) (\$)
1. Domestic Travel Costs (Incl. Canada, Mexico and U.S. Possessions)	0.00	0.00
2. Foreign Travel Costs	0.00	0.00
Total Travel Costs	0.00	0.00

E. Participant/Trainee Support Costs

* Federal (\$)	* Non-Federal (\$)	* Total (Fed + Non-Fed) (\$)
1. Tuition/Fees/Health Insurance		
2. Stipends		
3. Travel		
4. Subsistence		
5. Other		

Number of Participants/Trainees Total Participant/Trainee Support Costs

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION F-G, BUDGET PERIOD 1

* ORGANIZATIONAL DUNS: 8311206590000

* Budget Type: ☒ Project ☐ Subaward/Consortium

Enter name of Organization: Rhode Island LFG Genco, LLC

* Start Date: 01/01/2009 * End Date: 12/31/2009 Budget Period 1

F. Other Direct Costs

	* Federal (\$)	* Non-Federal (\$)	* Total (Fed + Non-Fed) (\$)
1. Materials and Supplies			
2. Publication Costs			
3. Consultant Services			
4. ADP/Computer Services			
5. Subawards/Consortium/Contractual Costs	0.00	5,818,195.00	5,818,195.00
6. Equipment or Facility Rental/User Fees			
7. Alterations and Renovations			
8.			

9.

10.

Total Other Direct Costs 0.00 5,818,195.00 5,818,195.00

G. Direct Costs

	* Federal (\$)	* Non-Federal (\$)	* Total (Fed + Non-Fed) (\$)
Total Direct Costs (A thru F)	0.00	5,908,195.00	5,908,195.00

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - SECTION H-K, BUDGET PERIOD 1

* ORGANIZATIONAL DUNS: 8311206590000

* Budget Type: ☒ Project ☐ Subaward/Consortium

Enter name of Organization: Rhode Island LFG Genco, LLC

* Start Date: 01/01/2009 * End Date: 12/31/2009 Budget Period 1

H. Indirect Costs

* Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	* Federal (\$)	* Non-Federal (\$)	* Total (Fed + Non-Fed) (\$)
1. Indirect Costs			0.00	865,229.00	865,229.00
2.					
3.					
4.					
Total Indirect Costs			0.00	865,229.00	865,229.00

Cognizant Agency

(Agency Name, POC Name, and Phone Number)

I. Total Direct and Indirect Costs

* Federal (\$)	* Non-Federal (\$)	* Total (Fed + Non-Fed) (\$)
	6,773,424.00	6,773,424.00
Total Direct and Indirect Costs (G + H)		

J. Fee

Federal (\$)

K. * Budget Justification

Johnston - Budget Justification.pdf

Add Attachment

Delete Attachment

View Attachment

(Only attach one file.)

RESEARCH & RELATED BUDGET (TOTAL FED + NON-FED) - Cumulative Budget

	Total Federal (\$)	Total Non-Federal (\$)	Totals (\$)
Section A, Senior/Key Person	0.00	270,000.00	270,000.00
Section B, Other Personnel			
Total Number Other Personnel			
Total Salary, Wages and Fringe Benefits (A + B)	0.00	270,000.00	270,000.00
Section C, Equipment	15,000,000.00	39,160,711.00	54,160,711.00
Section D, Travel	0.00	0.00	0.00
1. Domestic	0.00	0.00	0.00
2. Foreign	0.00	0.00	0.00
Section E, Participant/Trainee Support Costs			
1. Tuition/Fees/Health Insurance			
2. Stipends			
3. Travel			
4. Subsistence			
5. Other			
6. Number of Participants/Trainees			
Section F, Other Direct Costs	0.00	26,008,896.00	26,008,896.00
1. Materials and Supplies			
2. Publication Costs			
3. Consultant Services			
4. ADP/Computer Services			
5. Subawards/Consortium/Contractual Costs	0.00	26,008,896.00	26,008,896.00
6. Equipment or Facility Rental/User Fees			
7. Alterations and Renovations			
8. Other 1			
9. Other 2			
10. Other 3			
Section G, Direct Costs (A thru F)	15,000,000.00	65,439,607.00	80,439,607.00
Section H, Indirect Costs	0.00	19,641,539.00	19,641,539.00
Section I, Total Direct and Indirect Costs (G + H)	15,000,000.00	85,081,146.00	100,081,146.00
Section J, Fee			

Project/Performance Site Location(s)

Project/Performance Site Primary Location

☐ I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name: Rhode Island LFG Genco, LLC

DUNS Number: 8311206590000

* Street1: 65 Shun Pike

Street2:

* City: Providence

County:

* State: RI: Rhode Island

Province:

* Country: USA: UNITED STATES

* ZIP / Postal Code: 02919-4512

* Project/ Performance Site Congressional District: RI-002

Project/Performance Site Location 1

☐ I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

* Street1:

Street2:

* City:

County:

* State:

Province:

* Country: USA: UNITED STATES

* ZIP / Postal Code:

* Project/ Performance Site Congressional District:

RESEARCH & RELATED Senior/Key Person Profile (Expanded)

PROFILE - Project Director/Principal Investigator			
Prefix:	Mr.	* First Name:	Stephen
		Middle Name:	D.
* Last Name:	Galowitz	Suffix:	
Position/Title:	Managing Director	Department:	
Organization Name:	Rhode Island LFG Genco, LLC	Division:	
* Street1:	947 Linwood Avenue		
Street2:			
* City:	Ridgewood	County/ Parish:	Bergen
* State:	NJ: New Jersey	Province:	
* Country:	USA: UNITED STATES	* Zip / Postal Code:	07450-2929
* Phone Number:	201-447-9000	Fax Number:	201-447-0474
* E-Mail:	sgalowitz@ridgewood.com		
Credential, e.g., agency login:			
* Project Role:	PD/PI	Other Project Role Category:	
Degree Type:			
Degree Year:			
* Attach Biographical Sketch	Galowitz-Bio.pdf	Add Attachment	Delete Attachment View Attachment
Attach Current & Pending Support		Add Attachment	Delete Attachment View Attachment

PROFILE - Senior/Key Person 1			
Prefix:	Mr.	* First Name:	Randall
		Middle Name:	D.
* Last Name:	Holmes	Suffix:	
Position/Title:	President & CEO	Department:	
Organization Name:	Ridgewood Renewable Power, Project Development Sponsor	Division:	
* Street1:	947 Linwood Avenue		
Street2:			
* City:	Ridgewood	County/ Parish:	Bergen
* State:	NJ: New Jersey	Province:	
* Country:	USA: UNITED STATES	* Zip / Postal Code:	07450-2929
* Phone Number:	201-447-9000	Fax Number:	
* E-Mail:	rhomes@ridgewoodpower.com		
Credential, e.g., agency login:			
* Project Role:	Other Professional	Other Project Role Category:	Development
Degree Type:			
Degree Year:			
* Attach Biographical Sketch	Holmes-Bio.pdf	Add Attachment	Delete Attachment View Attachment
Attach Current & Pending Support		Add Attachment	Delete Attachment View Attachment

Delete Entry

Next Person

RESEARCH & RELATED Senior/Key Person Profile (Expanded)

PROFILE - Senior/Key Person 2			
Prefix:	Mr.	* First Name:	Douglas
		Middle Name:	R.
* Last Name:	Wilson	Suffix:	
Position/Title:	Managing Director	Department:	
Organization Name:	Ridgewood Renewable Power, Project Development Sponsor		Division:
* Street1:	947 Linwood Avenue		
Street2:			
* City:	Ridgewood	County/ Parish:	Bergen
* State:	NJ: New Jersey	Province:	
* Country:	USA: UNITED STATES	* Zip / Postal Code:	07450-2929
* Phone Number:	201-447-9000	Fax Number:	
* E-Mail:	dwilson@ridgewoodpower.com		
Credential, e.g., agency login:			
* Project Role:	Other Professional	Other Project Role Category:	Development
Degree Type:			
Degree Year:			
* Attach Biographical Sketch	Wilson-Bio.pdf	Add Attachment	Delete Attachment View Attachment
Attach Current & Pending Support		Add Attachment	Delete Attachment View Attachment
Delete Entry		Next Person	

PROFILE - Senior/Key Person 3			
Prefix:	Mr.	* First Name:	Neil
		Middle Name:	
* Last Name:	Solomon	Suffix:	
Position/Title:	Project Manager	Department:	
Organization Name:	Ridgewood Renewable Power, Project Development Sponsor		Division:
* Street1:	3326 Caminito Gandara		
Street2:			
* City:	La Jolla	County/ Parish:	
* State:	CA: California	Province:	
* Country:	USA: UNITED STATES	* Zip / Postal Code:	92037-2905
* Phone Number:	858-205-2898	Fax Number:	
* E-Mail:	nsolomon@ridgewoodpower.com		
Credential, e.g., agency login:			
* Project Role:	Other (Specify)	Other Project Role Category:	Project Manager
Degree Type:			
Degree Year:			
* Attach Biographical Sketch	Solomon-Bio.pdf	Add Attachment	Delete Attachment View Attachment
Attach Current & Pending Support		Add Attachment	Delete Attachment View Attachment
Delete Entry		Next Person	

To ensure proper performance of this form; after adding 20 additional Senior/ Key Persons; please save your application, close the Adobe Reader, and reopen it.

RESEARCH & RELATED Other Project Information

1. * Are Human Subjects Involved? ☐ Yes ☒ No

1.a If YES to Human Subjects

Is the Project Exempt from Federal regulations? ☐ Yes ☐ No

If yes, check appropriate exemption number. ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6

If no, is the IRB review Pending? ☐ Yes ☐ No

IRB Approval Date:

Human Subject Assurance Number:

2. * Are Vertebrate Animals Used? ☐ Yes ☒ No

2.a. If YES to Vertebrate Animals

Is the IACUC review Pending? ☐ Yes ☐ No

IACUC Approval Date:

Animal Welfare Assurance Number

3. * Is proprietary/privileged information included in the application? ☐ Yes ☒ No

4.a. * Does this project have an actual or potential impact on the environment? ☒ Yes ☐ No

4.b. If yes, please explain:

4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed? ☐ Yes ☐ No

4.d. If yes, please explain:

5. * Is the research performance site designated, or eligible to be designated, as a historic place? ☐ Yes ☒ No

5.a. If yes, please explain:

6. * Does this project involve activities outside of the United States or partnerships with international collaborators? ☐ Yes ☒ No

6.a. If yes, identify countries:

6.b. Optional Explanation:

7. * Project Summary/Abstract

8. * Project Narrative

9. Bibliography & References Cited

10. Facilities & Other Resources

11. Equipment

12. Other Attachments

☒

1. * Type of Federal Action: ☐ a. contract ☒ b. grant ☐ c. cooperative agreement ☐ d. loan ☐ e. loan guarantee ☐ f. loan insurance	2. * Status of Federal Action: ☐ a. bid/offer/application ☒ b. initial award ☐ c. post-award	3. * Report Type: ☒ a. initial filing ☐ b. material change
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4. Name and Address of Reporting Entity:
☒ Prime ☐ SubAwardee

 * Name
 * Street 1 Street 2
 * City State Zip
 Congressional District, if known:

5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:

6. * Federal Department/Agency: National Energy Technology Laboratory	7. * Federal Program Name/Description: Renewable Energy Research and Development CFDA Number, if applicable: 81.087
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8. Federal Action Number, if known: 	9. Award Amount, if known: \$
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10. a. Name and Address of Lobbying Registrant:
 Prefix * First Name Middle Name
 * Last Name Suffix
 * Street 1 Street 2
 * City State Zip

b. Individual Performing Services (including address if different from No. 10a)
 Prefix * First Name Middle Name
 * Last Name Suffix
 * Street 1 Street 2
 * City State Zip

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* Signature: Stephen Galowitz	* Name: Prefix Mr. * First Name Stephen Middle Name D. * Last Name Galowitz Suffix
Title: Managing Director	Telephone No.: 201-447-9000 Date: 07/14/2009