

**U.S. Department of Energy (DOE)
Office of Energy Efficiency and Renewable Energy (EERE)
Regional Resource Hubs for Purpose-Grown Energy Crops**

Funding Opportunity Announcement (FOA) Number: DE-FOA-0003209

FOA Type: Modification 000001

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FOA Issue Date:	02/08/2024
Submission Deadline for Concept Papers:	03/14/2024 5:00 p.m. ET
Submission Deadline for Full Applications:	06/13/2024 5:00 p.m. ET
Expected Submission Deadline for Replies to Reviewer Comments:	08/22/2024 5:00 p.m. ET
Expected Date for EERE Selection Notifications:	10/31/2024
Expected Timeframe for Award Negotiations:	01/10/2025

- Applicants must submit a Concept Paper by 5:00 p.m. ET on the due date listed above to be eligible to submit a Full Application.
- To apply to this FOA, applicants must register with and submit application materials through EERE eXCHANGE at <https://eere-eXCHANGE.energy.gov>, EERE’s online application portal.
- Applicants must designate primary and backup points-of-contact in EERE eXCHANGE with whom EERE will communicate to conduct award negotiations. If an application is selected for award negotiations, it is not a commitment to issue an award. It is imperative that the applicant/selectee be responsive during award negotiations and meet negotiation deadlines. Failure to do so may result in cancelation of further award negotiations and rescission of the selection.
- **Unique Entity Identifier (UEI) and System for Award Management (SAM)** - Each applicant (unless the applicant is excepted from those requirements under 2 CFR 25.110) is required to: (1) register in the SAM at <https://www.sam.gov> before submitting an application; (2) provide a valid UEI number in the application; and (3) maintain an active SAM registration with current information when the applicant has an active federal award or an application or plan under consideration by a federal awarding agency. DOE may not make a federal award to an applicant until the applicant has

complied with all applicable UEI and SAM requirements and, if an applicant has not fully complied with the requirements by the time DOE is ready to make a federal award, DOE will determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

NOTE: Due to the high number of UEI requests and SAM registrations, entity legal business name and address validations are taking longer than expected to process. Entities should start the UEI and SAM registration process as soon as possible. If entities have technical difficulties with the UEI validation or SAM registration process they should use the [HELP](#) feature on [SAM.gov](#). SAM.gov will address service tickets in the order in which they are received and asks that entities not create multiple service tickets for the same request or technical issue. Additional entity validation resources can be found here: [GSAFSD Tier 0 Knowledge Base - Validating your Entity](#).

Modifications

All modifications to the FOA are **HIGHLIGHTED** in the body of the FOA.

Mod. No.	Date	Description of Modification
000001		<p>Section I.B, Subtopic Area 1a: Algae, first paragraph, fourth sentence, is modified as follows: ‘The collection of algae blooms as well as the harvest of wild offshore algae such as seaweed is not of interest.’ This modification deletes the phrase, ‘...or the cultivation of offshore algae such as seaweed...’.</p> <p>Section I.B – Herbaceous Energy Crops. The definition for herbaceous energy crops has been revised to include annual, biennial, or perennial herbaceous energy crops.</p> <p>Section I.B - Topic Area 1 Applications Specifically Not of Interest, ‘For Subtopic Area 1a (Algae)’. Third bulleted item revised to indicate that the development and/or use of artificial lighting-based cultivation systems for algae to biofuels and bioproducts is non-responsive to this FOA. This modification adds ‘use of’ as non-responsive and further expands the terms ‘energy products’ to mean biofuels and/or bioproducts.</p> <p>Appendix H – Glossary. Definitions for annual plants, biennial plants, commodity crops, and perennial plants have been added to the glossary.</p>

		Appendix H – Glossary. The definition for herbaceous energy crop has been revised to match the definition included in Section I.B – Herbaceous Energy Crops.
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I. Funding Opportunity Description

A. Background and Context

i. Background and Purpose

Building a clean and equitable energy economy and addressing the climate crisis are top priorities of the Biden Administration. This Funding Opportunity Announcement (FOA) will advance the Biden Administration’s goals to achieve carbon pollution-free electricity by 2035 and to “deliver an equitable, clean energy future, and put the United States on a path to achieve net-zero emissions, economy-wide, by no later than 2050”¹ to the benefit of all Americans. The Department of Energy (DOE) is committed to pushing the frontiers of science and engineering, catalyzing clean energy jobs through research, development, demonstration, and deployment (RDD&D), and ensuring environmental justice and inclusion of underserved communities.

In response to the Biden Administration’s Executive Order 14008, the Departments of Energy, Transportation, Housing and Urban Development, and the Environmental Protection Agency released the [U.S. National Blueprint for Transportation Decarbonization](#). This document outlines the strategies and actions to remove all emissions from the transportation sector (aviation, maritime, rail, medium- and heavy duty, as well as off-road) by 2050 and offers a whole-of-government approach to addressing the climate crisis. Individual agencies followed with specific strategies of their own. The Department of Energy, the Department of Transportation (DOT), the U.S. Department of Agriculture (USDA), and other federal agencies released the [Sustainable Aviation Fuel \(SAF\) Grand Challenge](#), a government-wide approach to reduce the cost, enhance the sustainability, and expand the production of domestic SAF to meet 100% of the aviation fuel demand by 2050. Additionally, DOE has announced the [Energy Earthshots Initiative](#) to accelerate breakthroughs of more abundant, affordable, and reliable clean energy solutions within the decade.

The SAF Grand Challenge and the associated [SAF Grand Challenge Roadmap](#) lay out action areas spanning activities with the potential to impact supply and end use expansion, cost reduction, and sustainability enhancement of SAF. The action areas - Feedstock Innovation, Building Supply Chains, Policy and Valuation Analysis, and Communicating Progress and Building Support – are of particular interest to DOE’s Bioenergy Technologies Office (BETO). These areas require substantial research, development, and demonstration (RD&D) in feedstock

¹ Executive Order 14008, “Tackling the Climate Crisis at Home and Abroad,” January 27, 2021.

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production and sustainability to ensure that feedstocks of sufficient quality and quantity are available to inform policy decisions and support SAF demands.

In May 2023, DOE launched the Clean Fuels & Products Shot™, the seventh [Energy Earthshot™](#). This Energy Earthshot™ focuses on decarbonizing the fuel and chemical industry through alternative sources of carbon to advance cost-effective technologies with a minimum of 85% lower Greenhouse Gas (GHG) emissions by 2035. Mobilization of renewable carbon resources, at scale, will provide feedstocks that are needed for decarbonizing the transportation and chemical industries.

The RD&D activities to be funded under this FOA will support the government-wide approach to the climate crisis by driving the innovation that can lead to the deployment of clean energy technologies, which are critical for climate protection. Specifically, the objective of this FOA is to support high-impact RD&D on mobilizing low carbon intensity, purpose-grown energy crops necessary to support the production goals of the SAF Grand Challenge and the sustainability goals of the Clean Fuels & Products Shot™. The mobilization of these resources can enable a transition to a clean energy economy, create high-quality jobs, support rural economies, and spur innovation in renewable energy and chemicals production. The activities funded by BETO through this opportunity support DOE's investment in the production of biofuels and bioproducts; innovation and growth in agricultural industries; the development and deployment of bioenergy technologies; and the achievement of economy-wide net-zero emissions by 2050.

ii. **Technology Space and Strategic Goals**

BETO's Renewable Carbon Resources (RCR) subprogram develops science and engineering-based strategies and technologies to cost-effectively transform renewable carbon resources into high-quality, environmentally sustainable, conversion-ready feedstocks for biofuels and bioproducts. These strategies and technologies are designed to improve the efficiency, sustainability, and reliability of feedstock production, harvesting or collection, storage, preprocessing, and transportation, and identify the key feedstock quality and operational variables for efficient conversion performance.

As described in DOE's 2016 Billion-Ton report,² the United States has the potential to sustainably produce more than one billion tons of biomass per year,

² Langholtz, M.H.; Stokes, B.J.; Eaton, L.M. 2016. 2016 Billion-ton report: Advancing domestic resources for a thriving bioeconomy, Volume 1: Economic availability of feedstock. U.S. Department of Energy. ORNL/TM-2016/160.

which can be used as feedstocks for renewable transportation fuels and chemicals. The 2016 Billion-Ton report estimated that over 400 million tons of herbaceous and woody energy crops alone can be sustainably collected each year, with the potential to supply over a third of the biomass needed to fuel hard to decarbonize modes of transportation such as aviation, maritime, rail, and off-road. In subsequent analyses, similar supply potentials were described for microalgae crops.³ BETO-funded RD&D has continuously focused on reducing the cost and energy inputs for biomass feedstock production and supply. This FOA will further expand on these efforts by funding RD&D focused on demonstrating purpose-grown energy crop systems, including algae, at pre-commercial scales. For purpose of this FOA, “purpose-grown energy crops” are defined as crops grown solely for renewable bioenergy production. Data generated from these studies will contribute to certifying these crops for markets and bringing these systems to commercial scales.

Bringing energy crops from laboratory to commercial scales requires a full crop development program and associated certification. A [Feedstock Readiness Level \(FSRL\) Tool](#)⁴ was developed collaboratively among the USDA, US Federal Aviation Administration, and Research and Innovation Technology Administration under the guidance of the Commercial Aviation Alternative Fuels Initiative® (CAAFI®). This tool assigns feedstocks a FSRL level between 1 and 9 to highlight key requirements for production, market, policy, and linkages to conversion end users at each readiness level. This FOA will utilize the FSRL tool to identify and solve gaps associated with demonstrating purpose-grown energy crop systems, including algae, at pre-commercial scales (below FSRL 7). Such crop development programs are essential to achieving commercial scale production and certification programs required to sustainably grow energy crops, all of which are critical for mobilizing purpose-grown energy crops.

iii. **Teaming Partner List**

DOE is compiling a Teaming Partner List to facilitate the formation of project teams for this FOA. The Teaming Partner List allows organizations that may wish to participate on a project to express their interest to other applicants and explore potential partnerships.

³ Davis, R.; Coleman, A.; Wigmosta, M.; Markham, J.; Kinchin, C.; Zhu, Y.; Jones, S.; Han, J.; Canter, C.; Li, Q. 2018. 2017 Algae Harmonization Study: Evaluating the Potential for Future Algal Biofuel Costs, Sustainability, and Resource Assessment from Harmonized Modelling. Technical Report ANL-18/12; NREL/TP-5100-70715; PNNL-27547. August 2018. 91p.

⁴ Steiner, J. J.; Lewis, K. C.; Baumes, H. S.; Brown, N. L., A Feedstock Readiness Level Tool to Complement the Aviation Industry Fuel Readiness Level Tool. *Bioenerg. Res.* 2012, 5 (2), 492-503, DOI: 10.1007/s12155-012-9187-1.

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The Teaming Partner List will be available on EERE eXCHANGE and will be regularly updated to reflect new teaming partners who provide their organization's information.

SUBMISSION INSTRUCTIONS: View the Teaming Partner List by visiting the [EERE eXCHANGE](#) homepage and clicking on "Teaming Partners" within the left-hand navigation pane. This page allows users to view published Teaming Partner Lists. To join the Teaming Partner List, submit a request within eXCHANGE. Select the appropriate Teaming Partner List from the drop-down menu and fill in the following information: Investigator Name, Organization Name, Organization Type, Subtopic Area, Background and Capabilities, Website, Contact Address, Contact Email, and Contact Phone.

DISCLAIMER: By submitting a request to be included on the Teaming Partner List, the requesting organization consents to the publication of the above-referenced information. By facilitating the Teaming Partner List, DOE is not endorsing, sponsoring, or otherwise evaluating the qualifications of the individuals and organizations that are identifying themselves for placement on this Teaming Partner List. DOE will not pay for the provision of any information, nor will it compensate any applicants or requesting organizations for the development of such information.

B. Topic Area

This FOA contains only one Topic Area – Topic Area 1 – which is composed of the following four Subtopic Areas:

- Subtopic Area 1a: Algae
- Subtopic Area 1b: Herbaceous Energy Crops
- Subtopic Area 1c: Intermediate Energy Crops
- Subtopic Area 1d: Short-Rotation Woody Crops

Topic Area 1 and each of the Subtopic Areas is discussed in greater detail below.

Topic Area 1: Purpose-Grown Energy Crops

The objective of Topic Area 1 is to fund projects that will enable the mobilization of low carbon intensity,⁵ purpose-grown energy crops across varied agronomic and geographic landscapes through the generation of data and research findings. Each application selected from this FOA will become a member of the larger [Regional Biomass Resource Hub Initiative \(RBRH\)](#) that will work together with BETO's established Regional Resource Hub Initiative Coordinator, Idaho National Laboratory (INL), to coordinate experimental plans, report data, and collectively achieve the FOA and Initiative objectives. In addition to project teams from this FOA, the RBRH will work with a broad range of partners including National Laboratories, universities, private companies, farmer organizations, landowner groups, and other government agencies to develop and demonstrate sustainable production systems for purpose-grown energy crops. Initiative partners, including projects selected from this FOA, will work collaboratively with others based on project locations and feedstock types.

Feedstock groups will consist of projects organized by the Subtopic Areas listed below and regional groups will be based on logical geographic regions. Participants in each feedstock group will work together to develop data standards and procedures, including but not limited to: minimum data quality assurance and quality control standards; minimum data collection standards; minimum biomass compositional analysis procedures; methods for standardization across each of the projects within the feedstock group to allow for cross-comparisons; and data reporting and publication timelines. Participants in each regional group will collaborate to collectively overcome resource mobilization challenges and barriers unique to their regions, as well as coordinate stakeholder outreach opportunities such as field days or workshops and facilitate connections with external partners. Each applicant selected from this FOA will work closely with BETO and INL to:

- Establish and maintain collaboration/participation spanning farmer/landowner, seed producers/developers, logistics operation suppliers or aggregators, end-use stakeholders, and state/regional/federal policy makers.
- Identify end users to utilize excess produced biomass.

⁵ Carbon intensity is defined as the amount of carbon by weight emitted per unit of energy consumed. A common measure of carbon intensity is weight of carbon per British thermal unit (Btu) of energy. When there is only one fossil fuel under consideration, the carbon intensity and the emissions coefficient are identical. When there are several fuels, carbon intensity is based on their combined emissions coefficients weighted by their energy consumption levels. ([EIA, 2023](#))

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- Develop and institute standardized data collection and analysis procedures to be utilized for consistency and institute a framework that will be used to curate RBRH data repositories. The Data Collection Requirements, included in Appendix D, provides additional information on data expectations and requirements. Interim data generated by selected applications may be utilized prior to the completion of the project to advance the mobilization of purpose-grown energy crops.
- Leverage existing data and sample archival tools and procedures to receive, track, and maintain samples and data within the [Bioenergy Feedstock Library](#) (BFL) and [Bioenergy Knowledge Discovery Framework](#) (KDF).
- Facilitate the connections with non-BETO funding agencies that are interested in partnering with the RBRH.
- Provide input regarding regional matters such as watershed management, pest management, land-use change, and state-level policy.
- Host working groups to identify region-specific challenges.
- Manage and provide intersections for regionally relevant resources.
- Provide project teams with additional connections to industry partners to support mobilization and supply chain development.
- Help identify gaps and needs for data collection efforts to advance feedstock readiness levels of purpose-grown energy crops.

Developing feedstock supplies for biofuels and bioproducts is the primary focus of this Topic Area. To accomplish this, applications are sought that will generate data and research findings needed to support resource mobilization including improvements to quality, yield, cost, mechanization of propagation/planting systems, pest management, carbon intensity reduction, ecosystem services, and more from the cultivation of purpose-grown energy crops. Examples of reducing carbon intensity include optimization of nutrient applications or implementation of precision agricultural practices which can reduce overall GHG emissions. Examples of ecosystem services may include water quality improvements, water use reduction, site remediation or biodiversity improvements. Biodiversity between species and/or genetic diversity within species may also be addressed to further understand the future impact of pests or climate on crop productivity. Barriers and resource-relevant gaps preventing feedstocks from meeting market qualification metrics must also be addressed.

Data supporting the design of crop systems meeting market qualification standards (sustainability, performance, etc.) for pre-commercialization scales of feedstocks capable of substantially contributing to near-term SAF production markets is of particular interest for this FOA. This data, generated over the course of four to ten years, will be used to improve modeling projections, adapt crops and/or crop management strategies to address varying climates, understand variations in soil

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and belowground carbon storage, quantify ecosystem services, and reduce the carbon intensity for these crop systems. With these durations, applications are expected to be completed by 2035, allowing approximately 15 years for further deployment and adoption to meet the goal of 35 billion gallons of SAF by 2050. While cultivation scale will vary based on the proposed crop, scales must be large enough to represent cultivation of the proposed crop at pre-commercial scale. Applicants must describe how their proposed cultivation scale and supporting technologies, such as harvesting, are representative of commercial operations. All cultivation must be outdoors in real environments (not simulated or controlled) for the respective crop(s). Applicants must justify the selected sites and discuss how they are representative of the regions in which the proposed crop(s) should be grown. Applicants must specify which regions their proposed sites represent.

In addition to defining and justifying the locations of each project site, applicants must include a disposition plan for the biomass produced throughout the project. While not a requirement, applicants are encouraged to include an end user on the project team that will utilize the biomass for a downstream use. Applicants that propose landfilling or open burning the biomass are not of interest under this FOA, will be deemed non-responsive, and will not be considered. Disposition plans that aim to advance the state of the industry and maximize the environmental benefit are encouraged.

As listed above in the role description of the RBRH Coordinator, selected projects will have the opportunity to work with INL to identify additional end users to utilize the excess produced biomass. Applicants may, therefore, allocate project funds to the preprocessing (size reduction, drying, etc.) and/or storage of the produced biomass in order to prepare or hold the material for an identified end user. Preprocessing and storage may also be performed in order to evaluate crops for meeting a particular specification; however, research studies to evaluate the impacts of storage, preprocessing, material flow handling or conversion are not allowable. Additionally, applications that solely propose the development of measurement tools and techniques are not allowable. The primary focus of applications must be on the production, harvesting, and collection of biomass, all of which are required to mobilize purpose-grown energy crops.

As noted above, Topic Area 1 has four Subtopic Areas:

- Subtopic Area 1a: Algae
- Subtopic Area 1b: Herbaceous Energy Crops
- Subtopic Area 1c: Intermediate Energy Crops
- Subtopic Area 1d: Short-Rotation Woody Crops

These Subtopic Areas have been identified through the [SAF Grand Challenge Roadmap](#) and the FY23 stakeholder engagement workshop on [Deploying Purpose-Grown Energy Crops for Sustainable Aviation Fuel](#) as near-term RD&D needs. Applications should expand on existing crop systems where possible as the outcome of this FOA effort will be the generation of feedstock production and sustainability data that quantifies the carbon intensity of feedstock production in a manner suitable for use by analysts, policy makers, and industry to understand the potential of the feedstock in SAF production pathways.

Subtopic Area 1a: Algae

Algae, as described in BETO's [2023 Multi-Year Program Plan](#), have the potential to greatly expand the domestic biomass resource capacity of the Nation while minimizing water consumption, maximizing carbon dioxide utilization, and generating value from non-arable land. The objective of Subtopic Area 1a is to support projects that seek to cultivate and harvest as much algae from their given system(s) as possible each year for at least three years. The deliberate cultivation of algae with non-potable water, including all types of microalgae, cyanobacteria, and macroalgae, and algae grown to treat wastewaters is of interest. **The collection of algae blooms as well as the harvest of wild offshore algae such as seaweed are not of interest.** The critical deliverables of proposed applications under Subtopic Area 1a include production of harvested algae biomass and the collection and dissemination of data necessary to de-risk further development and mobilization of domestic algae cultivation for biofuels and bioproducts.

Integration of projects from Subtopic Area 1a with the RBRH described above is required. Therefore, applications must include detailed plans for dedicated project management, data collection (see Appendix D), and experimental management as necessary to effectively work within the Initiative framework. Data quality assurance and control is of particular interest. Projects must collect data from their systems using best available and/or advanced technologies to demonstrate high yields of harvested algae biomass cultivated to support conversion pathways to low-carbon intensity SAF and/or other high-volume, low carbon-intensity products. Doing so will accelerate the realization of algae resource potential to contribute in a timely manner to the SAF Grand Challenge and decarbonization goals.

It is the intent of Subtopic Area 1a to support projects that already have at least some of the necessary technology and equipment in place at a site to meet the objective. At the start of the project, applicants must already have, at minimum, a site that can support experimentation and generate replicable data on cultivation and harvesting at scales

larger than “mini-pond”⁶ and in a manner relevant to commercialization. Applicants may propose multiple sites in a single project. Equipment available at the site(s) is expected to include inoculum systems, cultivation equipment, media storage and mixing capabilities, harvesting, and media recycling capabilities. Technology available at the site(s) is expected to include the strains of interest, data acquisition, and data manipulation/analysis capabilities. Applicants must clearly discuss the site(s) they will use, how the site(s) will be operated throughout the duration of the project, and why the operations are relevant to commercialization. To be “relevant to commercialization” means, at a minimum, having the capability to harvest all the algae cultivated for the project each year, as well as the ability to recycle media if the media formulation systems use prepared media (i.e., non-wastewater systems). Maximizing these capabilities must be management goals of the project.

Applications may include RDD&D on strain improvement, optimizing cultivation and harvesting, crop management, and optimizing tools over the course of the multi-year effort to improve quality, yield, carbon utilization and other operational parameters, and to reduce carbon intensity. However, the primary focus of an application must be on the cultivation and data generation/gathering through multiple long-term cultivation campaigns. Optimization and improvement activities must include clear decision points resulting in either being incorporated in subsequent year trials or discontinued. Similarly, tool development such as developing novel sensors, control strategies, or data acquisition devices is not a focus of Subtopic Area 1a. Improved tools may only be developed and incorporated to replace baseline capabilities as the project progresses, if warranted, for improvements in quality, yield, carbon utilization, and other operational parameters, and carbon intensity reduction. Research studies on storage, preprocessing, and conversion are not of interest for Subtopic Area 1a. While equipment installation at project sites is allowable, construction and groundbreaking activities are not.

Applicants must describe cultivation campaign objectives and test plans for each year. Each annual cultivation campaign must be proposed to include at least 270 days of cultivation and harvest. Campaigns must be timed to support collection of data on strain rotation strategies, if strain rotation is necessary, to optimize system performance or to be commercially relevant. For each cultivation campaign, applicants must include well-defined sets of cultivation protocols, including but not limited to: scale, defined strain(s) and/or inoculum(s), media recipes or wastewater sources, operational protocols, crop protection strategies, harvest protocols, and harvest technologies. It must be a project management objective to cultivate and harvest algae for as much of each year as possible.

⁶ “Mini-ponds” or other down-scaled cultivation systems are typically algae cultivation research vessels ranging from 100-1,000 liters volume and 1-5 square meters.

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Data collection on the cultivation campaigns must describe, at minimum, the water, nitrogen, phosphorus, and carbon utilization efficiency of the operation. Targets for harvested biomass yield must be proposed and tracked. Advanced development for yield enhancement, cultivation control, and monitoring, such as but not limited to: non-contact sensing; metagenomics or other ‘omics; rapid compositional analysis; integrated crop management; media optimization; and strain optimization is allowed, but must only be in addition to a clearly described base suite of proposed cultivation and data capture capabilities. Applicants must include a Technical Datasheet detailing their algae strain characteristics, cultivation, productivity, and harvesting method. Additional detail on the Technical Datasheet requirement for Subtopic Area 1a can be found in Appendix G. Projects must include integrated techno-economic (TEA) and life-cycle analysis (LCA) modeling frameworks that inform target setting and data collection needs during the active project and at key decision points. Additional detail on data collection requirements can be found in Appendix D.

Subtopic Area 1b: Herbaceous Energy Crops

Subtopic Area 1b is centered on enhancing the mobilization of low-carbon intensity herbaceous energy crops across varied agronomic landscapes. For the purposes of Subtopic Area 1b, “herbaceous energy crops” are defined as annual, biennial, or perennial plants and grasses grown primarily for bioenergy production. Annual plants are defined as plants or grasses that complete a life cycle in one year. Biennial plants are defined as plants or grasses requiring all or part of two years to complete its life cycle. Perennial plants are defined as plants or grasses that live for more than two years and are harvested annually after taking two to three years to reach full productivity.

Examples of herbaceous energy crops include, but are not limited to, switchgrass, miscanthus, high-biomass sorghum, wheatgrass, and energycane. Applications must include field trials that produce data demonstrating how the mobilization of the proposed herbaceous crop system could support future conversion pathways to low-carbon intensity SAF and/or other high-value products. To generate this data, applications may include project scope covering storage and preprocessing (e.g., size reduction, drying) for the purpose of verifying a crop’s suitability for known conversion process requirements, such as particle size or moisture/ash content. Applicants may also include storage and preprocessing costs in order to store and/or prepare the produced biomass for an end use partner. Research studies on storage, preprocessing, and conversion are not allowable. Similarly, lower FSRL research efforts such as pest studies or nutrient management issues are not a major focus of Subtopic Area 1b. These activities are allowable, if warranted; however, at smaller scales in order to evaluate new pressures observed at the pre-commercial level for improvements in quality, yield, carbon utilization, and other operational parameters, as well as carbon intensity reduction.

Applications to Subtopic Area 1b must consist of sites covering regions applicable to the proposed crop(s), with a minimum of three separate sites for each crop, and at least five harvesting cycles at each site (or the maximum number of harvest cycles feasible for proposed the herbaceous energy crop(s)). Applicants must propose sites where the effects of climate, soil and other regional factors on crop system performance and sustainability can be compared and contrasted. Applications must evaluate the effects of regional or geographic variability on ecosystem services, carbon intensity, and feedstock quality and quantity at each site. Applications that propose projects located on productive agricultural lands that are currently used for food commodity crops are not of interest under Subtopic Area 1b. Instead, applications must propose projects located on marginal lands, such as fields or portions thereof, that are not economical to farm or pose other limitations for growing traditional commodity crops.

Applicants must describe how their selected sites are representative of where the proposed crop(s) would be grown at commercial scale. While cultivation scale will vary based on the proposed crop(s), scales must be large enough to represent cultivation at pre-commercial scale. Applicants must describe how their proposed cultivation scale and supporting technologies, such as harvesting, are representative of commercial operations.

Applicants may propose to work with multiple types of herbaceous energy crops; however, applications proposing the use of energy crops that are not herbaceous (e.g., commodity crops, intermediate crops, woody crops) are not of interest under Subtopic Area 1b and applications proposing the use of non-herbaceous energy crops will be considered ineligible for selection. **Note:** Applications proposing the use of intermediate energy crops in any capacity must be submitted to Subtopic Area 1c: Intermediate Energy Crops.

Data collection must include soil health indicators, biodiversity, water quality, water usage, crop production, and biomass composition in addition to operational data to be collected from crop fields. Additional detail on data collection requirements can be found in Appendix D. Applicants must perform a TEA and LCA at the outset and completion of the project. The TEA must include planting, harvesting, and collecting, and on farm storage of the biomass where applicable, to derive an estimated farm-gate price and return on investment for the biomass at the farm gate. The TEA must also quantify any measured ecosystem services derived from energy crops in the study system and potential economic benefits realized with those ecosystem services.

Subtopic Area 1c: Intermediate Energy Crops

For the purposes of Subtopic Area 1c, “intermediate energy crops” are defined as crops planted between the harvest of a main crop and sowing of the next crop. Typically

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grown for environmental benefits such as increasing soil carbon or reducing nutrient leaching and soil erosion, intermediate energy crops have the additional potential to be harvested for conversion into low carbon intensity fuels and products. Challenges remain regarding the timing of intermediate energy crops between the harvesting and planting of the primary crop, their impacts on the yield and productivity of the primary crop, and the effects that harvesting the intermediate energy crop has on the soil and soil carbon. The objective of Subtopic Area 1c is to support field trials and the collection of data demonstrating the potential of intermediate energy cropping systems and solving mobilization barriers for supplying feedstock for low-carbon intensity SAF production and high-value products, as well as evaluating the system's impact on soil health and sustainability.

Projects proposed under Subtopic Area 1c must consist of project sites covering regions applicable to the proposed crop system, with a minimum of three separate sites, and at least five harvesting cycles at each site (or the maximum number of harvest cycles feasible for proposed the intermediate energy crop(s)). Applicants must propose their own crop systems consisting of (1) a primary crop and (2) an intermediate energy crop (such as camelina, pennycress, or carinata) to be grown in between harvesting and planting of the primary crop. Proposed sites may utilize previously established crop systems where applicable. Applicants must propose sites where the effects of climate, soil and other regional factors on crop system performance and sustainability can be compared and contrasted. Applications must evaluate the effects of regional or geographic variability on ecosystem services, carbon intensity, and feedstock quality and quantity at each site. While cultivation scales will vary based on the proposed crop, scales must be large enough to represent cultivation at pre-commercial scale. Applicants must describe how their proposed cultivation scale and supporting technologies, such as harvesting, are representative of commercial operations.

Project scope must include production, harvesting, collection, and compositional analysis. Control plots consisting of only the primary crop are allowable in order to evaluate the effects of the intermediate energy crop on the overall crop system; however, the scope of work for the application must focus on the intermediate energy crop. Project scope covering storage and preprocessing (e.g., size reduction, drying) is allowable for the purpose of generating data needed to evaluate the system's potential; however, applications must focus on the production, harvest, and collection of the proposed crop system. Applicants may also include storage and preprocessing costs to store and/or prepare the produced biomass for an end use partner. While these activities are allowable for data generation and material preparation, research studies on storage, preprocessing, and conversion are not of interest for Subtopic Area 1c. Similarly, lower FSRL research efforts such as pest studies or nutrient management issues are not a major focus of Subtopic Area 1c. These activities are allowable, if warranted; however, at smaller scales to evaluate new pressures observed at the pre-

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commercial level for improvements in quality, yield, carbon utilization, and other operational parameters, as well as carbon intensity reduction.

Data collection must include soil health indicators, biodiversity, water quality, water usage, crop production, and biomass composition in addition to operational data to be collected from crop fields. Additional detail on data collection requirements can be found in Appendix D. Applicants must perform a TEA and LCA at the outset and completion of the project. The TEA must include planting, harvesting, collecting, and on farm storage of the biomass, where applicable, to derive an estimated farm-gate price and return on investment for the biomass at the field edge. The TEA must also quantify any measured ecosystem services derived from energy crops in the study system and potential economic benefits realized with those ecosystem services.

Subtopic Area 1d: Short-Rotation Woody Crops

Subtopic Area 1d is focused on enhancing the mobilization of short-rotation woody crops across various geographic landscapes by performing regional field trials to examine long term yield and sustainability. For the purposes of Subtopic Area 1d, “short-rotation woody crops” is defined as fast-growing trees that are harvested within five to eight years of planting. Such trees include, but may not be limited to, species such as, hybrid poplar and shrub willow.

Applicants to Subtopic Area 1d must include project sites covering regions applicable to the proposed crop(s), with a minimum of three separate field installations, and at least two harvesting cycles at each site (or the maximum number of harvest cycles feasible for proposed the short-rotation woody crop(s)). Applications must include field trials that produce data demonstrating how the mobilization of the proposed woody crop system could support future conversion pathways to low-carbon intensity SAF and/or other high-value products. Applicants may utilize previously established installations where applicable. Regions appropriate to the proposed feedstock must be represented to fully capture the effects of climate, soil, and other regional factors on the performance and sustainability of the crop system. While cultivation scale will vary based on the proposed crop, scales must be large enough to represent cultivation of the proposed crop at pre-commercial scale. Applicants must describe how their proposed cultivation scale and supporting technologies, such as harvesting, are representative of commercial operations.

Applicants may propose agroforestry regimes with herbaceous or other crops; however, the primary focus of the scope of work must be on the proposed woody crop(s). Project scope must include production, harvesting, collection, and compositional analysis. Project scope covering storage and preprocessing (e.g., size reduction, drying) is allowable for the purpose of generating data needed to evaluate the system’s potential;

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however, applications must focus on the production, harvest, and collection of the proposed woody crop. Applicants may also include storage and preprocessing costs in order to store and/or prepare the produced biomass for an end use partner. While these activities are allowable for data generation and material preparation, research studies on storage, preprocessing, and conversion are not of interest for Subtopic Area 1d. Similarly, lower FSRL research efforts such as pest studies or nutrient management issues are not a major focus of Subtopic Area 1d. These activities are allowable, if warranted; however, at smaller scales to evaluate new pressures observed at the pre-commercial level for improvements in quality, yield, carbon utilization, and other operational parameters, as well as carbon intensity reduction.

Data collection must include soil health indicators, biodiversity, water quality, water usage, crop production, and biomass composition in addition to operational data to be collected from crop fields. Additional detail on data collection requirements can be found in Appendix D. Applicants must perform a TEA and LCA at the outset and completion of the project. The TEA should include planting, harvesting, collecting, and on farm storage of the biomass, where applicable, to derive an estimated farm-gate price and return on investment for the biomass at the field edge. The TEA must also quantify any measured ecosystem services derived from energy crops in the study system and potential economic benefits realized with those ecosystem services.

Topic Area 1 Specific Requirements

The following requirements must be addressed in the application and the strength of the applicant's discussion will be evaluated by the independent technical review panel for scientific merit (see Technical Review Criteria in Section V.A.):

For all Subtopic Areas:

- Applicants must discuss the current state of technology for the proposed crop system, how the project will improve the state of technology, and how data generated by the project will impact the industry. Applications must also explain how broadly the proposed crop system could be implemented across the United States.
- Applicants must identify and fully describe the current FSRLs for the production, market, and policy sections for each crop to justify the RD&D proposed to increase the mobilization state of the crop system(s). Applicants may reference the [FSRL tool](#) to make their determination. In the description, applicants must identify the barriers and resource relevant gaps that are preventing this feedstock from moving up the FSRL. Applicants selected for award under this FOA will be required to submit a completed FSRL tool table that will provide a means of tracking progress of feedstocks towards increased mobilization and commercial readiness.

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- Scales of fields and algae cultivation systems must be large enough to represent cultivation of the proposed crop at pre-commercial scale.
- Applications must include a disposition plan for the biomass produced throughout the project. Applicants are encouraged to include an end user on the project team that will utilize the biomass for a downstream use. Applicants that propose landfilling or open burning the biomass are not of interest under this FOA, will be deemed non-responsive, and will not be considered.
- Applicants must evaluate feedstock carbon intensity and assess the impact of the proposed project on carbon intensity throughout the duration of the project. Applicants must define the system boundary (including crop production, harvest and collection, and storage, where applicable) and other parameters for the project. An example of carbon intensity evaluation is provided in the footnote below.⁷
- Applicants must discuss how they will meet the metrics identified in the Topic Area 1 Performance Metrics section below.
- Selected applicants will be required to partner with the RBRH Coordinator, INL, to coordinate experimental plans, report data, and collectively achieve the FOA and Initiative objectives. Additional information on the RBRH can be found here: [Regional Biomass Resource Hub Initiative](#).
- Applicants must address the data requirements detailed in Appendix D in the Statement of Project Objectives (SOPO) section “D. Project Management and Reporting”.
- Participation in RBRH virtual and annual in-person meetings is required. Attendance and in-person participation must be included in applicants’ scopes, schedules, and budgets. Applicants must include funds in Budget Period 1 to travel to Idaho National Laboratory for an Initiative Kick-off Workshop in early 2025. Locations for in-person meetings beyond year 1 will be determined after project selections.
- Participation in initial and interim verifications as described in Appendix E is required. Participation must be included in applicants’ scopes, schedules, and budgets.
- Participation in BETO’s Biennial Peer Review is required. Attendance and participation must be included in applicants’ scopes, schedules, and budgets.

For Subtopic Area 1a (Algae):

- Applicants must include their baseline productivity with a discussion of how their proposed strategy will result in maintaining or increasing that productivity. The

⁷ Argonne GREET Publication: Feedstock Carbon Intensity Calculator (FD-CIC) - Users' Manual and Technical Documentation, ANL/ESD-21/12 Rev. 1 (anl.gov). Carbon intensity: amount of carbon or CO₂ equivalent or full GHG emission per unit of energy consumed.

basis for the baseline productivity must be included and must be directly attributable to the proposed site(s).

- Applicants must describe cultivation campaign objectives and test plans for each year. Each annual cultivation campaign must be proposed to include at least 270 days of cultivation and harvest. Campaigns must be timed to support collection of data on strain rotation strategies, if strain rotation is necessary, to optimize system performance or to be commercially relevant. For each cultivation campaign, applicants must include well-defined sets of cultivation protocols, including but not limited to: scale, defined strain(s) and/or inoculum(s), media recipes or wastewater sources, operational protocols, crop protection strategies, harvest protocols, and harvest technologies. It must be a project management objective to cultivate and harvest algae for as much of each year as possible.
- At the start of the project, applicants must already have, at minimum, a site that can support experimentation and generate replicable data on cultivation and harvesting at scales larger than “mini-pond” and in a manner relevant to commercialization.
- Applicants must clearly discuss the site(s) they will use, how the site(s) will be operated throughout the duration of the project, and why the operations are relevant to commercialization.
- Projects must collect data from their systems using best available and/or advanced technologies to demonstrate high yields of harvested algae biomass cultivated to support conversion pathways to low-carbon intensity SAF and/or other high-volume, low carbon-intensity products.
- Data collection on the cultivation campaigns must describe, at minimum, the water, nitrogen, phosphorus, and carbon utilization efficiency of the operation. Targets for harvested biomass yield must be proposed and tracked. Advanced development for yield enhancement, cultivation control, and monitoring, such as but not limited to: non-contact sensing; metagenomics or other ‘omics; rapid compositional analysis; integrated crop management; media optimization; and strain optimization is allowed, but must only be in addition to a clearly described base suite of proposed cultivation and data capture capabilities. Projects must include integrated techno-economic (TEA) and life-cycle analysis (LCA) modeling frameworks that inform target setting and data collection needs during the active project and at key decision points. Additional detail on data collection requirements can be found in Appendix D.
- If experimental plans rely on genetically modified organism technology, a discussion of the U.S. regulatory landscape – e.g., Toxic Substance Control Act (TSCA), the Animal and Plant Health Inspection Service (APHIS) – and the impacts of regulations on the project objectives, scope, and schedule is required.
- A Technical Datasheet, (see Appendix G), must be completed with the application.

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For Subtopic Area 1b (Herbaceous Energy Crops):

- Applications must include field trials that produce data demonstrating how the mobilization of the proposed herbaceous crop system could support future conversion pathways to low-carbon intensity SAF and/or other high-value products.
- Applications must consist of sites covering regions applicable to the proposed crop(s), with a minimum of three separate sites for each crop, and at least five harvesting cycles at each site (or the maximum number of harvest cycles feasible for proposed the herbaceous energy crop(s)). Applicants must propose sites where the effects of climate, soil and other regional factors on crop system performance and sustainability can be compared. Applications must evaluate the effects of regional or geographic variability on ecosystem services, carbon intensity, and feedstock quality and quantity at each site.
- Applicants must describe how their selected sites are representative of where the proposed crop(s) would be grown at commercial scale.-While cultivation scale will vary based on the proposed crop(s), scales must be large enough to represent cultivation at pre-commercial scale. Applicants must describe how their proposed cultivation scale and supporting technologies, such as harvesting, are representative of commercial operations.
- Data collection must include soil health indicators, biodiversity, water quality, water usage, crop production, and biomass composition in addition to operational data to be collected from crop fields. Additional detail on data collection requirements can be found in Appendix D.
- Applicants must perform a TEA and LCA at the outset and completion of the project. The TEA must include planting, harvesting, and collecting, and on farm storage of the biomass where applicable, to derive an estimated farm-gate price and return on investment for the biomass at the farm gate. The TEA must also quantify any measured ecosystem services derived from energy crops in the study system and potential economic benefits realized with those ecosystem services.

For Subtopic Area 1c (Intermediate Energy Crops):

- Projects proposed under Subtopic Area 1c must consist of project sites covering regions applicable to the proposed crop system, with a minimum of three separate sites, and at least five harvesting cycles at each site (or the maximum number of harvest cycles feasible for proposed the intermediate energy crop(s)). Applicants must propose their own crop systems consisting of (1) a primary crop and (2) an intermediate energy crop (such as camelina, pennycress, or carinata) to be grown in between harvesting and planting of the primary crop.
- Applicants must propose sites where the effects of climate, soil and other regional factors on crop system performance and sustainability can be compared and contrasted. Applications must evaluate the effects of regional or geographic

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- variability on ecosystem services, carbon intensity, and feedstock quality and quantity at each site.
- While cultivation scales will vary based on the proposed crop, scales must be large enough to represent cultivation at pre-commercial scale. Applicants must describe how their proposed cultivation scale and supporting technologies, such as harvesting, are representative of commercial operations.
 - Project scope must include production, harvesting, collection, and compositional analysis. Control plots consisting of only the primary crop are allowable in order to evaluate the effects of the intermediate energy crop on the overall crop system; however, the scope of work for the application must focus on the intermediate energy crop.
 - Data collection must include soil health indicators, biodiversity, water quality, water usage, crop production, and biomass composition in addition to operational data to be collected from crop fields. Additional detail on data collection requirements can be found in Appendix D.
 - Applicants must perform a TEA and LCA at the outset and completion of the project. The TEA must include planting, harvesting, collecting, and on farm storage of the biomass, where applicable, to derive an estimated farm-gate price and return on investment for the biomass at the field edge. The TEA must also quantify any measured ecosystem services derived from energy crops in the study system and potential economic benefits realized with those ecosystem services.

For Subtopic Area 1d (Short-Rotation Woody Crops):

- Applicants to Subtopic Area 1d must include project sites covering regions applicable to the proposed crop(s), with a minimum of three separate field installations, and at least two harvesting cycles at each site (or the maximum number of harvest cycles feasible for proposed the short-rotation woody crop(s)). Applications must include field trials that produce data demonstrating how the mobilization of the proposed woody crop system could support future conversion pathways to low-carbon intensity SAF and/or other high-value products.
- Regions appropriate to the proposed feedstock must be represented to fully capture the effects of climate, soil, and other regional factors on the performance and sustainability of the crop system.
- While cultivation scale will vary based on the proposed crop, scales must be large enough to represent cultivation of the proposed crop at pre-commercial scale. Applicants must describe how their proposed cultivation scale and supporting technologies, such as harvesting, are representative of commercial operations.
- Project scope must include production, harvesting, collection, and compositional analysis.

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- Data collection should include soil health indicators, biodiversity, water quality, water usage, crop production, and biomass composition in addition to operational data to be collected from crop fields. Additional detail on data collection requirements can be found in Appendix D.
- Applicants must perform a TEA and LCA at the outset and completion of the project. The TEA should include planting, harvesting, collecting, and on farm storage of the biomass, where applicable, to derive an estimated farm-gate price and return on investment for the biomass at the field edge. The TEA must also quantify any measured ecosystem services derived from energy crops in the study system and potential economic benefits realized with those ecosystem services.

Topic Area 1 Performance Metrics

1. Applicants must indicate how the proposed work will generate sufficient, representative growth and sustainability data at scales necessary to accelerate mobilization and commercialization of the proposed crop(s).
2. Applicants must indicate how the proposed work will advance the FSRLs for production, market, and policy for the proposed purpose-grown energy crop system.

Topic Area 1 Applications Specifically Not of Interest

The following types of applications will be deemed nonresponsive and will not be reviewed or considered:

For all Subtopic Areas

- Applications that propose use of the following feedstocks which are not considered purpose-grown energy crops:
 - Agricultural residues (including but not limited to, e.g., corn stover – corn stalks, cobs, and leaves);
 - Forestry residues (including but not limited to, e.g., logging residues, forest thinning);
 - Waste streams (including but not limited to e.g., the nonrecycled organic portion of municipal solid waste, biosolids, sludges, plastics, CO₂, and industrial waste gases); and
 - Resources from ecosystem restoration or maintenance (including but not limited to e.g., harmful algal blooms, invasive species, salvaged material from natural disasters, fire mitigation)
- Applications that propose purpose-grown energy crops that may cause negative environmental impacts. Proposed crops and crop systems must comply with all Federal, State, and local laws and regulations.

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- Applicants that propose landfilling or open burning the biomass are not of interest under this FOA, will be deemed non-responsive, and will not be considered.
- Applications that propose a purpose-grown energy crop that does not have a previously demonstrated potential for conversion to biofuels or bioproducts.
- Applications that propose the development of conversion or feedstock preprocessing unit operations.
- Applications that solely propose the development of measurement tools and techniques.
- Applications that propose research studies to evaluate the impact of storage, preprocessing, material flow handling, or conversion. Preprocessing and storage work is allowable only to test materials for meeting a particular specification, or to prepare or hold the material for an identified end user.

For Subtopic Area 1a (Algae):

- The collection of algae blooms as well as the harvest of wild offshore algae such as seaweed.
- Applications that propose to develop technology that relies on purely heterotrophic algae cultivation.
- Applications that propose the development and/or use of artificial lighting-based cultivation systems for algae to biofuels and/or bioproducts (other than as an enabling tool for high-throughput laboratory-based screening).
- Applications that propose mixotrophic systems utilizing anything other than renewable biomass-derived sugars such as lignocellulosic sugars or carbon-containing waste effluent.
- Applications that propose major construction of new cultivation facilities. While equipment installation at project sites is allowable, construction and groundbreaking activities are not.
- Applications where the primary crop of interest is an intermediate energy crop, short-rotation woody crop, or herbaceous energy crop.

For Subtopic Area 1b (Herbaceous Energy Crops):

- Applications where the primary crop of interest is not a herbaceous energy crop (e.g., commodity crops, intermediate energy crops, short-rotation woody crops, or algae).
- Applications that propose projects located on productive agricultural lands that are currently used for food commodity crops. Instead, applications must propose projects located on marginal lands, such as fields or portions thereof, that are not economical to farm or pose other limitations for growing traditional commodity crops.

For Subtopic Area 1c (Intermediate Energy Crops):

- Applications where the primary crop of interest is a herbaceous energy crop, short-rotation woody crop, or algae.

For Subtopic Area 1d (Short-Rotation Woody Crops):

- Applications where the primary crop of interest is a herbaceous energy crop, an intermediate energy crop, or algae.

Topic Area 1 Special Deliverables

In addition to the deliverables required in the Federal Assistance Reporting Checklist, the following deliverables are required for awards made under Topic Area 1:

- Participation in RBRH virtual and annual in-person meetings is required. Attendance and in-person participation must be included in applicants' scopes, schedules, and budgets. Applicants must include funds in Budget Period 1 to travel to Idaho National Laboratory for an Initiative Kick-off Workshop in early 2025. Locations for in-person meetings beyond year 1 will be determined after project selections.
- Participation in BETO's Biennial Peer Review process. Attendance and participation must be included in applicants' scopes, schedules, and budgets. Attendance and participation are required so that external subject matter experts can review project accomplishments and provide feedback to ensure optimal use of BETO funds.
- Participation in initial and interim verifications as described in Appendix E. Participation must be included in applicants' scopes, schedules, and budgets as described in the Appendix E.
- Projects must deliver representative annually harvested biomass samples along with relevant origin information and characterization data to the [Bioenergy Feedstock Library](#) located at the Idaho National Laboratory to enable broad access to physical samples and a database containing information about their chemical and physical properties, as available. These samples should represent the experimental design of each individual site of the project and at least two replicate samples should be provided for archival. The samples should be provided in a biologically stable and milled format in volumes between 100-1000g. In most cases milled samples should be processed to pass between a 2- and 6-mm screen. Each project team will work with the Bioenergy Feedstock Library and RBRH groups to develop a Sample and Data Management Plan to detail the specific archival strategy and sample formats for each projects' samples.

- Projects must upload all additional non-proprietary data stemming from funded projects to the [Bioenergy Knowledge Discovery Framework](#) administered at Oak Ridge National Laboratory to facilitate dissemination to other researchers and industry.
- Applicants are encouraged to make data available for the [GREET model](#) as soon as they become available.
- **Subtopic Area 1a only:** A Technical Datasheet. See Appendix G.

All work under DOE funding agreements must be performed in the United States. See Section IV.J.iii. and Appendix B.

C. Applications Specifically Not of Interest

The following types of applications will be deemed nonresponsive and will not be reviewed or considered (See Section III.D. of the FOA):

- All applications identified under Topic Area 1 Applications Specifically Not of Interest above.
- Applications that fall outside the technical parameters specified in Section I.A. and I.B. of the FOA.
- Applications for proposed technologies that are not based on sound scientific principles (e.g., violates the laws of thermodynamics).
- Applications proposing INL as a Prime Recipient, Subrecipient, or other project participant. Due to INL's involvement with the FOA as RBRH Coordinator, such applications will be deemed ineligible, non-responsive, and will not be further considered.

D. Diversity, Equity, and Inclusion

It is the policy of the Biden Administration that:

[T]he Federal Government should pursue a comprehensive approach to advancing equity⁸ for all, including people of color and others who have been historically underserved, marginalized, and adversely affected by persistent poverty and inequality. Affirmatively advancing equity, civil rights, racial justice, and equal opportunity is the responsibility of the whole of our government. Because advancing equity requires a systematic approach to embedding fairness in decision-making

⁸ The term "equity" means the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who belong to underserved 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.

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processes, executive departments, and agencies (agencies) must recognize and work to redress inequities in their policies and programs that serve as barriers to equal opportunity.

By advancing equity across the Federal Government, we can create opportunities for the improvement of communities that have been historically underserved, which benefits everyone.⁹

As part of this whole of government approach, this FOA seeks to encourage the participation of underserved communities¹⁰ and underrepresented groups. Applicants are highly encouraged to include individuals from groups historically underrepresented^{11,12} in STEM on their project teams. As part of the application, applicants are required to describe how diversity, equity, and inclusion objectives will be incorporated in the project. Specifically, applicants are required to submit a Diversity, Equity, and Inclusion Plan that describes the actions the applicant will take to foster a welcoming and inclusive environment, support people from

⁹ Executive Order 13985, “Advancing Racial Equity and Support for Underserved Communities Through the Federal Government” (Jan. 20, 2021).

¹⁰ The term “underserved communities” refers to populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life, as exemplified by the list of in the definition of “equity.” E.O. 13985. For purposes of this FOA, as applicable to geographic communities, applicants can refer to economically distressed communities identified by the Internal Revenue Service as Qualified Opportunity Zones; communities identified as disadvantaged or underserved communities by their respective States; communities identified on the Index of Deep Disadvantage referenced at <https://news.umich.edu/new-index-ranks-americas-100-most-disadvantaged-communities/>, and communities that otherwise meet the definition of “underserved communities” stated above.

¹¹ According to the National Science Foundation’s 2019 report titled, “Women, Minorities and Persons with Disabilities in Science and Engineering”, women, persons with disabilities, and underrepresented minority groups—blacks or African Americans, Hispanics or Latinos, and American Indians or Alaska Natives—are vastly underrepresented in the STEM (science, technology, engineering and math) fields that drive the energy sector. That is, their representation in STEM education and STEM employment is smaller than their representation in the U.S. population. <https://nces.nsf.gov/pubs/nsf19304/digest/about-this-report> For example, in the U.S., Hispanics, African Americans and American Indians or Alaska Natives make up 24 percent of the overall workforce, yet only account for 9 percent of the country’s science and engineering workforce. DOE seeks to inspire underrepresented Americans to pursue careers in energy and support their advancement into leadership positions. <https://www.energy.gov/articles/introducing-minorities-energy-initiative>

¹² See also. Note that Congress recognized in section 305 of the American Innovation and Competitiveness Act of 2017, Public Law 114-329:

(1) [I]t is critical to our Nation’s economic leadership and global competitiveness that the United States educate, train, and retain more scientists, engineers, and computer scientists; (2) there is currently a disconnect between the availability of and growing demand for STEM-skilled workers; (3) historically, underrepresented populations are the largest untapped STEM talent pools in the United States; and (4) given the shifting demographic landscape, the United States should encourage full participation of individuals from underrepresented populations in STEM fields.

underrepresented groups in STEM, advance equity, and encourage the inclusion of individuals from these groups in the project; and the extent the project activities will be located in or benefit underserved communities. (See Section IV.D.vii.)). The plan must include at least one SMART (Specific, Measurable, Assignable, Realistic and Time-Related) milestone per budget period supported by metrics to measure the success of the proposed actions. This plan will be evaluated as part of the technical review process and incorporated into the award if selected.

Further, Minority Serving Institutions¹³, Minority Business Enterprises, Minority Owned Businesses, Woman Owned Businesses, Veteran Owned Businesses, or entities located in an underserved community that meet the eligibility requirements (See Section III.) are encouraged to apply as the prime applicant or participate on an application as a proposed partner to the prime applicant. The Selection Official may consider the inclusion of these types of entities as part of the selection decision (See Section V.C.).

E. Authorizing Statutes

The programmatic authorizing statute is BETO: Energy Policy Act (EPA) 2005, Pub. L. 109-58, § 931 as codified at 42 U.S.C. § 16231; EPA 2005 § 932, as codified at 42 U.S.C § 16232.

Awards made under this announcement will fall under the purview of 2 CFR Part 200 as amended by 2 CFR Part 910.

II. Award Information

A. Award Overview

i. Estimated Funding

EERE expects to make a total of approximately \$27M-29M of federal funding available for new awards under this FOA, subject to the availability of appropriated funds. EERE anticipates making approximately 2-5 awards under this FOA. EERE may issue one, multiple, or no awards. Individual awards may vary between \$5M and \$10M.

¹³ Minority Serving Institutions (MSIs), including Historically Black Colleges and Universities/Other Minority Institutions as educational entities recognized by the Office of Civil Rights (OCR), U.S. Department of Education, and identified on the OCR's Department of Education U.S. accredited postsecondary minorities' institution list. See <https://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>.

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EERE may issue awards in one, multiple, or none of the following topic areas:

Topic Area Number	Topic Area Title	Anticipated Number of Awards	Anticipated Minimum Award Size for Any One Individual Award (Fed Share)	Anticipated Maximum Award Size for Any One Individual Award (Fed Share)	Approximate Total Federal Funding Available for All Awards	Anticipated Period of Performance (years)
1	Purpose-Grown Energy Crops	2-5	\$5M	\$10M	\$27M-\$29M	4-10 years

EERE may establish more than one budget period for each award and fund only the initial budget period(s). Funding for all budget periods, including the initial budget period, is not guaranteed.

ii. Period of Performance

EERE anticipates making awards that will run from 4 years up to 10 years, comprised of one or more budget periods. Project continuation will be contingent upon several elements, including satisfactory performance and Go/No-Go decision. For a complete list of project continuation elements, see Section VI.B.xiv.

iii. New Applications Only

EERE will accept only new applications under this FOA. EERE will not consider applications for renewals of existing EERE-funded awards through this FOA.

B. EERE Funding Agreements

Through cooperative agreements and other similar agreements, EERE provides financial and other support to projects that have the potential to realize the FOA objectives. EERE does not use such agreements to acquire property or services for the direct benefit or use of the U. S. government.

i. Cooperative Agreements

EERE generally uses cooperative agreements to provide financial and other support to prime recipients.

Through cooperative agreements, EERE provides financial or other support to accomplish a public purpose of support or stimulation authorized by federal statute. Under cooperative agreements, the government and prime recipients share responsibility for the direction of projects.

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EERE has substantial involvement in all projects funded via cooperative agreement. See Section VI.B.x. of the FOA for more information on what substantial involvement may involve.

ii. Funding Agreements with Federally Funded Research and Development Center (FFRDCs)¹⁴

In most cases, FFRDCs are funded independently of the remainder of the project team. The FFRDC then executes an agreement with any non-FFRDC project team members to arrange work structure, project execution, and any other matters. Regardless of these arrangements, the entity that applied as the prime recipient for the project will remain the prime recipient for the project. See Section III.E.

III. Eligibility Information

To be considered for substantive evaluation, an applicant's submission must meet the criteria set forth below. If the application does not meet these eligibility requirements, it will be considered ineligible and removed from further evaluation.

A. Eligible Applicants

i. Domestic Entities

The proposed prime recipient and subrecipient(s) must be domestic entities. The following types of domestic entities are eligible to participate as a prime recipient or subrecipient of this FOA:

1. Institutions of higher education;
2. For-profit entities;
3. Nonprofit entities; and
4. State and local governmental entities and federally recognized Indian Tribes (Indian Tribes).

To qualify as a domestic entity, the entity must be organized, chartered, or incorporated (or otherwise formed) under the laws of a particular state or territory of the United States; have majority domestic ownership and control; and have a physical place of business in the United States.

¹⁴ FFRDCs are public-private partnerships that conduct research for the U.S. government. A listing of FFRDCs can be found at <http://www.nsf.gov/statistics/ffrdclist/>.

With the exception of the Idaho National Laboratory (INL), DOE/National Nuclear Security Agency (NNSA) FFRDCs are eligible to apply for funding as a subrecipient but are not eligible to apply as a prime recipient. Any application that includes INL as a Prime Recipient or Subrecipient will be deemed ineligible, non-responsive, and will not be further considered.

Non-DOE/NNSA FFRDCs are eligible to participate as a subrecipient but are not eligible to apply as a prime recipient.

Federal agencies and instrumentalities (other than DOE) are eligible to participate as a subrecipient but are not eligible to apply as a prime recipient.

Entities banned from doing business with the U.S. government such as entities debarred, suspended, or otherwise excluded from or ineligible for participating in federal programs are not eligible.

Nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995, are **not** eligible to apply for funding.

ii. **Foreign Entities**

In limited circumstances, DOE may approve a waiver to allow a foreign entity to participate as a prime recipient or subrecipient. A foreign entity may submit a Full Application to this FOA, but the Full Application must be accompanied by an explicit written waiver request. Likewise, if the applicant seeks to include a foreign entity as a subrecipient, the applicant must submit a separate explicit written waiver request in the Full Application for each proposed foreign subrecipient.

Appendix B lists the information that must be included in a foreign entity waiver request. The applicant does not have the right to appeal DOE's decision concerning a waiver request.

B. Cost Sharing

- **Cost Share 20%**
Applicants are bound by the cost share proposed in their Full Applications if selected for award negotiations.

- **Cost Sharing Generally**

The cost share must be at least 20% of the total project costs¹⁵ for research and development projects.¹⁶ The cost share must come from non-federal sources unless otherwise allowed by law.

To help applicants calculate proper cost share amounts, EERE has included a cost share information sheet and sample cost share calculation as Appendix A to this FOA.

- i. Legal Responsibility**

Although the cost share requirement applies to the entire project, including work performed by members of the project team other than the prime recipient, the prime recipient is legally responsible for paying the entire cost share. If the funding agreement is terminated prior to the end of the project period, the prime recipient is required to contribute at least the cost share percentage of total expenditures incurred through the date of termination.

The prime recipient is solely responsible for managing cost share contributions by the project team and enforcing cost share obligation assumed by project team members in subawards or related agreements.

- ii. Cost Share Allocation**

Each project team is free to determine how best to allocate the cost share requirement among the team members. The amount contributed by individual project team members may vary, as long as the cost share requirement for the entire project is met.

- iii. Cost Share Types and Allowability**

Every cost share contribution must be allowable under the applicable federal cost principles, as described in Section IV.J.i. of the FOA. In addition, cost share must be verifiable upon submission of the Full Application. Cost share may be provided in the form of cash or cash equivalents, or in-kind contributions. Cost share must come from non-federal sources (unless otherwise allowed by law), such as project participants, state or local governments, or other third-party financing. Federal financing, such as DOE Loan Guarantee, cannot be leveraged by applicants to provide the required cost share or otherwise support the same scope that is proposed under a project.

¹⁵ Total project costs is the sum of the government share, including FFRDC costs if applicable, and the recipient share of project costs.

¹⁶ Energy Policy Act of 2005, Pub. L. 109-58, sec. 988. Also see 2 CFR 200.306 and 2 CFR 910.130 for additional cost sharing requirements.

Cost share may be provided by the prime recipient, subrecipients, or third parties (entities that do not have a role in performing the scope of work). Vendors/contractors may not provide cost share. Any partial donation of goods or services is considered a discount and is not allowable.

Cash contributions include but are not limited to personnel costs, fringe costs, supply and equipment costs, indirect costs, and other direct costs.

In-kind contributions are those where a value of the contribution can be readily determined, verified, and justified but where no actual cash is transacted in securing the good or service comprising the contribution. Allowable in-kind contributions include but are not limited to the donation of volunteer time or the donation of space or use of equipment.

Project teams may use funding or property received from state or local governments to meet the cost share requirement, so long as the federal government did not provide the funding to the state or local government.

The recipient may not use the following sources to meet its cost share obligations:

- Revenues or royalties from the prospective operation of an activity beyond the project period;
- Proceeds from the prospective sale of an asset of an activity;
- Federal funding or property (e.g., federal grants, equipment owned by the federal government); or
- Expenditures that were reimbursed under a separate federal program.

Project teams may not use the same cash or in-kind contributions to meet cost share requirements for more than one project or program.

Cost share contributions must be specified in the project budget, verifiable from the prime recipient's records, and necessary and reasonable for proper and efficient accomplishment of the project. As all sources of cost share are considered part of total project cost, the cost share dollars will be scrutinized under the same federal regulations as federal dollars to the project. Every cost share contribution must be reviewed and approved in advance by the Contracting Officer and incorporated into the project budget before the expenditures are incurred.

Applicants are encouraged to refer to 2 CFR 200.306 as amended by 2 CFR 910.130 for additional cost sharing requirements.

iv. Cost Share Contributions by FFRDCs

Because FFRDCs are funded by the federal government, costs incurred by FFRDCs generally may not be used to meet the cost share requirement. FFRDCs may contribute cost share only if the contributions are paid directly from the contractor's Management Fee or another non-federal source.

v. Cost Share Verification

Applicants are required to provide written assurance of their proposed cost share contributions in their Full Applications.

Upon selection for award negotiations, applicants are required to provide additional information and documentation regarding their cost share contributions. Please refer to Appendix A of the FOA.

vi. Cost Share Payment

DOE requires prime recipients to contribute the cost share amount incrementally over the life of the award. Specifically, the prime recipient's cost share for each billing period must always reflect the overall cost share ratio negotiated by the parties (i.e., the total amount of cost sharing on each invoice when considered cumulatively with previous invoices must reflect, at a minimum, the cost sharing percentage negotiated). As FFRDC funding will be provided directly to the FFRDC(s) by DOE, prime recipients will be required to provide project cost share at a percentage commensurate with the FFRDC costs, on a budget period basis, resulting in a higher interim invoicing cost share ratio than the total award ratio.

In limited circumstances, and where it is in the government's interest, the Contracting Officer may approve a request by the prime recipient to meet its cost share requirements on a less frequent basis, such as monthly or quarterly. Regardless of the interval requested, the prime recipient must be up to date on cost share at each interval. Such requests must be sent to the Contracting Officer during award negotiations and include the following information: (1) a detailed justification for the request; (2) a proposed schedule of payments, including amounts and dates; (3) a written commitment to meet that schedule; and (4) such evidence as necessary to demonstrate that the prime recipient has complied with its cost share obligations to date. The Contracting Officer must approve all such requests before they go into effect.

C. Compliance Criteria

All applicant submissions must:

- Comply with the applicable content and form requirements listed in Section IV. of the FOA;
- Include all required documents;
- Be uploaded and submitted to EERE eXCHANGE <https://eere-eXCHANGE.energy.gov>; and
- Be submitted by the deadline stated in the FOA.

EERE will not review or consider submissions submitted through means other than EERE eXCHANGE, submissions submitted after the applicable deadline, or incomplete submissions.

Applicants are strongly encouraged to submit their Concept Papers, Full Applications, and Replies to Reviewer Comments at least 48 hours in advance of the submission deadline. Under normal conditions (i.e., at least 48 hours before the submission deadline), applicants should allow at least one hour to submit a Concept Paper, Full Application, or Reply to Reviewer Comments. Once the Concept Paper, Full Application, or Reply to Reviewer Comments is submitted in EERE eXCHANGE, applicants may revise or update that submission until the expiration of the applicable deadline. If changes are made to any of these documents, the applicant must resubmit the Concept Paper, Full Application, or Reply to Reviewer Comments before the applicable deadline. EERE will not extend the submission deadline for applicants that fail to submit required information by the applicable deadline due to server/connection congestion.

D. Responsiveness Criteria

All “Applications Specifically Not of Interest,” as described in Section I.C. of the FOA, are deemed nonresponsive and are not reviewed or considered.

E. Other Eligibility Requirements

i. Requirements for DOE/NNSA and Non-DOE/NNSA FFRDCs Included as a Subrecipient

With the exception of the Idaho National Laboratory (INL),¹⁷ DOE/NNSA and non-DOE/NNSA FFRDCs may be proposed as a subrecipient on another entity’s application subject to the following guidelines:

¹⁷ Any application that includes INL as a prime recipient or a subrecipient will be deemed ineligible, non-response, and will not be further considered. See Section III.A. above.

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- a. Authorization for non-DOE/NNSA FFRDCs
The federal agency sponsoring the FFRDC must authorize in writing the use of the FFRDC on the proposed project and this authorization must be submitted with the application. The use of a FFRDC must be consistent with its authority under its award.
- b. Authorization for DOE/NNSA FFRDCs
The cognizant Contracting Officer for the FFRDC must authorize in writing the use of the FFRDC on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization:

Authorization is granted for the Laboratory to participate in the proposed project. The work proposed for the Laboratory is consistent with or complementary to the missions of the Laboratory and will not adversely impact execution of the DOE assigned programs at the Laboratory.

- c. Funding, Cost Share, and Subaward with FFRDCs
The value of and funding for the FFRDC portion of the work will not normally be included in the award. DOE/NNSA FFRDCs participating as a subrecipient on a project will be funded directly through the DOE field work proposal (WP) process. Non-DOE/NNSA FFRDCs participating as a subrecipient will be funded through an interagency agreement with the sponsoring agency. Although the FFRDC portion of the work is excluded from the award, the applicant's cost share requirement will be based on the total cost of the project, including the applicant's, the subrecipient's, and the FFRDC's portions of the project.

Unless instructed otherwise by the DOE Contracting Officer for the DOE award, all FFRDCs are required to enter into a Cooperative Research and Development Agreement¹⁸ (CRADA) or, if the role of the DOE/NNSA FFRDC is limited to technical assistance and intellectual property is not anticipated to be generated from the DOE/NNSA FFRDC's work, a Technical Assistance Agreement (TAA), with at least the prime recipient before any project work

¹⁸ A cooperative research and development agreement is a contractual agreement between a national laboratory contractor and a private company or university to work together on research and development. For more information, see <https://www.energy.gov/gc/downloads/doe-cooperative-research-and-development-agreements>

begins. Any questions regarding the use of a CRADA or TAA should be directed to the cognizant DOE field intellectual property (IP) counsel.

The CRADA or TAA is used to ensure accountability for project work and provide the appropriate management of IP, e.g., data protection and background IP. The CRADA or TAA must be agreed upon by all parties and submitted to DOE or other sponsoring agency, when applicable, for approval, or submitted to DOE for notice under the Master Scope of Work process, when applicable, using any DOE or other sponsoring agency approved CRADA or TAA template without substantive changes by the time the award is made to the prime recipient.

d. Responsibility

The prime recipient will be the responsible authority regarding the settlement and satisfaction of all contractual and administrative issues including but not limited to disputes and claims arising out of any agreement between the prime recipient and the FFRDC.

e. Limit on FFRDC Effort

The FFRDC effort, in aggregate, shall not exceed 50% of the total estimated cost of the project, including the applicant's and the FFRDC's portions of the effort.

F. Limitation on Number of Concept Papers and Full Applications Eligible for Review

An entity may submit more than one Concept Paper and Full Application to this FOA, provided that each application describes a unique, scientifically distinct project and an eligible Concept Paper was submitted for each Full Application.

G. Questions Regarding Eligibility

EERE will not make eligibility determinations for potential applicants prior to the date on which applications to this FOA must be submitted. The decision whether to apply in response to this FOA lies solely with the applicant.

IV. Application and Submission Information

A. Application Process

The application process includes two phases: a Concept Paper and Full Application. **Only applicants who have submitted an eligible Concept Paper will be eligible to submit a Full Application.**

All submissions must conform to the form and content requirements described below, including maximum page lengths.

- Each must be submitted in Adobe PDF format unless stated otherwise;
- Each must be written in English;
- All pages must be formatted to fit on 8.5" x 11" paper with margins not less than one inch on every side. Use Calibri typeface, a black font color, and a font size of 12-point or larger (except in figures or tables, which may be 10-point font). A symbol font may be used to insert Greek letters or special characters, but the font size requirement still applies. References must be included as footnotes or endnotes in a font size of 10 or larger. Footnotes and endnotes are counted toward the maximum page requirement;
- A **control number** will be issued when an applicant begins the EERE eXCHANGE application process. The control number must be included with all application documents. Specifically, the control number must be prominently displayed on the upper right corner of the header of every page and included in the file name (i.e., *Control Number_Applicant Name_Full Application*);
- Page numbers must be included in the footer of every page; and
- Each submission must not exceed the specified maximum page limit, including cover page, charts, graphs, maps, and photographs when printed using the formatting requirements set forth above and single spaced. If applicants exceed the maximum page lengths indicated below, EERE will review only the authorized number of pages and disregard any additional pages.

i. Additional Information on EERE eXCHANGE

EERE eXCHANGE is designed to enforce the deadlines specified in this FOA. The "Apply" and "Submit" buttons will automatically disable at the defined submission deadlines.

Applicants who experience technical difficulties with submission PRIOR to the FOA deadline should contact the EERE eXCHANGE helpdesk for assistance (EERE-eXCHANGESupport@hq.doe.gov).

B. Application Forms

The application forms and instructions are available at [EERE Funding Application and Management Forms](#) and on EERE eXCHANGE. To access these materials on EERE eXCHANGE, go to <https://eere-eXCHANGE.energy.gov> and select the appropriate funding opportunity number.

Note: The maximum file size that can be uploaded to the EERE eXCHANGE website is 50MB. Files larger than 50MB cannot be uploaded and hence cannot be submitted for review. If a file is larger than 50MB but is still within the maximum page limit specified in the FOA, it must be broken into parts and denoted to that effect. For example:

TechnicalVolume_Part_1
TechnicalVolume_Part_2

DOE will not accept late submissions that resulted from technical difficulties due to uploading files that exceed 50MB.

C. Content and Form of the Concept Paper

Each Concept Paper must be limited to a single concept or technology. The Concept Paper must conform to the requirements listed below, including the stated page limits.

Section	Page Limit	Description
Cover Page	1 page maximum	The cover page should include the project title, the specific Subtopic Area being addressed, both the technical and business points of contact, names of all team member organizations, the project location(s), and any statements regarding confidentiality.
Technology Description	3 pages maximum	Applicants are required to succinctly describe: <ul style="list-style-type: none"> • The proposed crop system, including basic operating principles and how it is unique or innovative in addressing the mobilization of purpose-grown energy crops; • The proposed crop system’s target level of performance (applicants should provide technical data or other support to show how the proposed target could be met); • The current state of the art in the relevant field and application, including key shortcomings, limitations, and challenges; • How the proposed activities will overcome the shortcomings, limitations, and challenges in the relevant field and application;

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		<ul style="list-style-type: none"> • The potential impact that the proposed project would have on the relevant field and application; • How the proposed locations of the proposed project will support technology development and long-term success; • The key technical risks/issues associated with the proposed technology development plan; and • The impact that EERE funding would have on the proposed project.
Addendum	1 page maximum	<p>Applicants are required to describe succinctly the qualifications, experience, and capabilities of the proposed project team, including:</p> <ul style="list-style-type: none"> • Whether the Principal Investigator (PI) and project team have the skill and expertise needed to successfully execute the project plan; • Whether the applicant has prior experience which demonstrates an ability to perform tasks of similar risk and complexity; • Whether the applicant has adequate access to equipment and facilities necessary to accomplish the effort and/or clearly explain how it intends to obtain access to the necessary equipment and facilities; and • Applicants may provide graphs, charts, or other data to supplement their Technology Description.

EERE makes an independent assessment of each Concept Paper based on the criteria in Section V.A.i. of the FOA. EERE will encourage a subset of applicants to submit Full Applications. Other applicants will be discouraged from submitting a Full Application. See Section VI.A.

D. Content and Form of the Full Application

Applicants must complete the following application forms found at [EERE Funding Application and Management Forms](#) and on the EERE eXCHANGE website at [EERE eXCHANGE: Funding Opportunity \(energy.gov\)](#)

Applicants will have approximately 60 days from receipt of the Concept Paper Encourage/Discourage notification on EERE eXCHANGE to prepare and submit a Full Application. Regardless of the date the applicant receives the Encourage/Discourage notification, the submission deadline for the Full Application remains the date and time stated on the FOA cover page.

All Full Application documents must be marked with the Control Number issued to the applicant.

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i. Full Application Content Requirements

Each Full Application must be limited to a single concept. Full Applications must conform to the following requirements and must not exceed the stated page limits.

Component	File Format	Page Limit	File Name
SF-424: Application for Federal Assistance	PDF	n/a	ControlNumber_LeadOrganization_App424
Technical Volume	PDF	25	ControlNumber_LeadOrganization_TechnicalVolume
Resumes	PDF	3 pages each	ControlNumber_LeadOrganization_Resumes
Letters of Commitment	PDF	1 page each	ControlNumber_LeadOrganization_LOCs
Statement of Project Objectives	MS Word	15	ControlNumber_LeadOrganization_SOPO
Diversity Equity and Inclusion Plan	PDF	5	ControlNumber_LeadOrganization_DEIP
Budget Justification Workbook	MS Excel	n/a	ControlNumber_LeadOrganization_Budget_Justification
Summary/Abstract for Public Release	PDF	1	ControlNumber_LeadOrganization_Summary
Summary Slide	MS PowerPoint	1	ControlNumber_LeadOrganization_Slide
Subrecipient Budget Justification	MS Excel	n/a	ControlNumber_LeadOrganization_Subrecipient_Budget_Justification
DOE Work Proposal for FFRDC, (see DOE O 412.1A, Attachment 2)	PDF	n/a	ControlNumber_LeadOrganization_WP
Authorization from cognizant Contracting Officer for FFRDC	PDF	n/a	ControlNumber_LeadOrganization_FFRDCAuth
SF-LLL Disclosure of Lobbying Activities	PDF	n/a	ControlNumber_LeadOrganization_SF-LLL
Waiver Requests	PDF	n/a	ControlNumber_LeadOrganization_Waiver
Current and Pending Support	PDF	n/a	ControlNumber_LeadOrganization_CPS
Location(s) of Work	MS Excel	n/a	ControlNumber_LeadOrganization_LOW
Transparency of Foreign Connections	PDF	n/a	ControlNumber_LeadOrganization_TFC
Potentially Duplicative Funding Notice	PDF	n/a	ControlNumber_LeadOrganization_PDFN
Technical Datasheet (Subtopic Area 1a only)	MS Excel	n/a	ControlNumber_LeadOrganization_Topic_TechDataSht

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Note: The maximum file size that can be uploaded to the EERE eXCHANGE website is 50MB. See Section IV.B.

EERE provides detailed guidance on the content and form of each component below.

ii. SF-424: Application for Federal Assistance

Applicants must complete the SF-424 Application for Federal Assistance, which is available on [EERE Funding Application and Management Forms](#).

Effective January 1, 2020, the System for Award Management (SAM) is the central repository for common government-wide certifications and representations required of Federal grants recipients. As registration in SAM is required for eligibility for a federal award and registration must be updated annually, Federal agencies use SAM information to comply with award requirements and avoid increased burden and costs of separate requests for such information, unless the recipient fails to meet a federal award requirement, or there is a need to make updates to their SAM registration for other purposes.

Note: The dates and dollar amounts on the SF-424 are for the complete project period and not just the first project year, first phase, or other subset of the project period.

Save the SF-424 in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_424”.

iii. Technical Volume

The Technical Volume must conform to the following content and form requirements. This volume must address the technical review criteria as discussed in Section V. of the FOA.

Save the Technical Volume in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_TechnicalVolume”.

Applicants must provide sufficient citations and references to the primary research literature to justify the claims and approaches made in the Technical Volume. However, EERE and reviewers are under no obligation to review cited sources.

The Technical Volume to the Full Application may not be more than 25 pages, including the cover page, table of contents, and all citations, charts, graphs,

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maps, photos, or other graphics, and must include all information in the table below. The applicant should consider the weighting of each of the technical review criteria (see Section V.A.ii. of the FOA) when preparing the Technical Volume.

The Technical Volume should clearly describe and expand upon information provided in the Concept Paper.

Technical Volume Content Requirements	
SECTION/PAGE LIMIT	DESCRIPTION
Cover Page	The cover page should include the project title, the specific FOA Subtopic Area being addressed, both the technical and business points of contact, names of all team member organizations, names of the PI, Senior/Key Personnel and their organizations, the project location(s), and any statements regarding confidentiality.
Project Overview (Approximately 10% of the Technical Volume)	<p>The Project Overview should contain the following information:</p> <ul style="list-style-type: none"> • Background: The applicant should discuss the background of its organization, including the history, successes, and current research and development status (i.e., the technical baseline) relevant to the technical topic being addressed in the Full Application. • Project Goals: (1) Applicants must indicate how the proposed work will generate sufficient, representative growth and sustainability data at scales necessary to accelerate mobilization and commercialization of the proposed crop(s); and (2) applicants must indicate how the proposed work will advance the FSRLs for production, market, and policy for the proposed purpose-grown energy crop system. • DOE Impact: The applicant should discuss the impact that DOE funding would have on the proposed project. Applicants should specifically explain how DOE funding, relative to prior, current, or anticipated funding from other public and private sources, is necessary to achieve the project objectives.
Technical Description, Innovation, and Impact (Approximately 30% of the Technical Volume)	<p>The Technical Description should contain the following information:</p> <ul style="list-style-type: none"> • Relevance and Outcomes: The applicant should provide a detailed description of the crop system, including the scientific and other principles and objectives that will be pursued during the project. This section should describe the relevance of the proposed project to the goals and objectives of the FOA, including the potential to meet specific DOE technical targets or other relevant performance targets. The applicant should clearly specify the expected outcomes of the project.

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	<ul style="list-style-type: none"> • Feasibility: The applicant should demonstrate the technical feasibility of the proposed activities and capability of achieving the anticipated performance targets, including a description of previous work done and prior results. • Innovation and Impacts: The applicant should describe the current state-of-the-art in the applicable field, the specific innovation of the proposed crop system, the advantages of the proposed activities over current and emerging technologies, and the overall impact on advancing the state-of-the-art/technical baseline if the project is successful.
<p>Workplan and Market Transformation Plan (Approximately 40% of the Technical Volume)</p>	<p>The Workplan should include a summary of the Project Objectives, Technical Scope, Work Breakdown Structure (WBS), Milestones, Go/No-Go decision points, and Project Schedule. A detailed SOPO is separately requested. The Workplan should contain the following information:</p> <ul style="list-style-type: none"> • Project Objectives: The applicant should provide a clear and concise (high-level) statement of the goals and objectives of the project as well as the expected outcomes. • Technical Scope Summary: The applicant should provide a summary description of the overall work scope and approach to achieve the objective(s). The overall work scope is to be divided by performance periods that are separated by discrete, approximately annual decision points (see below for more information on Go/No-Go decision points). The applicant should describe the specific expected end result of each performance period. • Work Breakdown Structure (WBS) and Task Description Summary: The Workplan should describe the work to be accomplished and how the applicant will achieve the milestones, will accomplish the final project goal(s), and will produce all deliverables. The Workplan is to be structured with a hierarchy of performance period (approximately annual), task and subtasks, which is typical of a standard WBS for any project. The Workplan shall contain a concise description of the specific activities to be conducted over the life of the project. The description shall be a full explanation and disclosure of the project being proposed (i.e., a statement such as “we will then complete a proprietary process” is unacceptable). It is the applicant’s responsibility to prepare an adequately detailed task plan to describe the proposed project and the plan for addressing the objectives of this FOA. The summary provided should be consistent with the SOPO. The SOPO will contain a more detailed description of the WBS and tasks. • Milestone Summary: The applicant should provide a summary of appropriate milestones throughout the project to demonstrate success. A milestone may be either a progress measure (which can be activity based) or a Specific, Measurable, Attainable, Realistic, and Timely (SMART) technical milestone. SMART milestones

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	<p>should be Specific, Measurable, Achievable, Relevant, and Timely, and must demonstrate a technical achievement rather than simply completing a task. Unless otherwise specified in the FOA, the minimum requirement is that each project must have at least one milestone per quarter for the duration of the project with at least one SMART technical milestone per year (depending on the project, more milestones may be necessary to comprehensively demonstrate progress). The applicant should also provide the means by which the milestone will be verified. The summary provided should be consistent with the Milestone Summary Table in the SOPO.</p> <ul style="list-style-type: none"> • Go/No-Go Decision Points (See Section VI.B.xiv. for more information on the Go/No-Go Review): The applicant should provide a summary of project-wide Go/No-Go decision points at appropriate points in the Workplan. At a minimum, each project must have at least one project-wide Go/No-Go decision point for each budget period (12 to 24-month period) of the project. The applicant should also provide the specific technical criteria to be used to evaluate the project at the Go/No-Go decision point. The summary provided should be consistent with the SOPO (all Subtopic Areas) and the Technical Datasheet (Subtopic 1a only). Go/No-Go decision points are considered “SMART” and can fulfill the requirement for an annual SMART milestone. • End of Project Goal: The applicant should provide a summary of the end of project goal(s). At a minimum, each project must have one SMART end of project goal. The summary provided should be consistent with the SOPO. • Project Schedule (Gantt Chart or similar): The applicant should provide a schedule for the entire project, including task and subtask durations, milestones, and Go/No-Go decision points. • Buy America Requirements for Infrastructure Projects: Within the first two pages of the Workplan, include a short statement on whether the project will involve the construction, alteration, and/or repair of infrastructure in the United States. See Appendix C for applicable definitions and other information to inform this statement. • Project Management: The applicant should discuss the team’s proposed management plan, including the following: <ul style="list-style-type: none"> ○ The overall approach to and organization for managing the work; ○ The roles of each project team member; ○ Any critical handoffs/interdependencies among project team members;
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	<ul style="list-style-type: none"> ○ The technical and management aspects of the management plan, including systems and practices, such as financial and project management practices; ○ The approach to project risk management; ○ A description of how project changes will be handled; ○ If applicable, the approach to Quality Assurance/Control; and ○ How communications will be maintained among project team members. <ul style="list-style-type: none"> ● Market Transformation Plan: The applicant should provide a market transformation plan, including the following: <ul style="list-style-type: none"> ○ Identification of target market, competitors, and distribution channels for proposed technology along with known or perceived barriers to market penetration, including a mitigation plan; ○ Disposition plan for the biomass produced throughout the project; and ○ Identification of a product development and/or service plan, commercialization timeline, financing, product marketing, legal/regulatory considerations including intellectual property, infrastructure requirements, data dissemination, and product distribution.
<p>Technical Qualifications and Resources (Approximately 20% of the Technical Volume)</p>	<p>The Technical Qualifications and Resources should contain the following information:</p> <ul style="list-style-type: none"> ● A description of the project team’s unique qualifications and expertise, including those of key subrecipients; ● A description of the project team’s existing equipment and facilities, or equipment or facilities already in place on the proposed project site, that will facilitate the successful completion of the proposed project; include a justification of any new equipment or facilities requested as part of the project; ● Relevant, previous work efforts, demonstrated innovations, and how these enable the applicant to achieve the project objectives; ● The time commitment of the key team members to support the project; ● A description of the technical services to be provided by DOE/NNSA FFRDCs, if applicable; ● The skills, certifications, or other credentials of the construction and ongoing operations workforce;

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	<ul style="list-style-type: none"> • For multi-organizational projects, describe succinctly: <ul style="list-style-type: none"> ○ The roles and the work to be performed by the PI and Senior/Key Personnel at the prime and sub levels; ○ Business agreements between the applicant and sub; ○ How the various efforts will be integrated and managed; ○ Process for making decisions on technical direction; ○ Publication arrangements; ○ Intellectual property issues; and ○ Communication plans.
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iv. Resumes

A resume provides information reviewers can use to evaluate an individual’s skills, experience, and potential for leadership within the scientific community. Applicants must submit a resume (limited to three pages) for each Principal Investigator and Senior/Key Personnel that includes the following:

1. Contact information;
2. Education and training: Provide name of institution, major/area, degree, and year for undergraduate, graduate, and postdoctoral training;
3. Research and professional experience: Beginning with the current position, list professional/academic positions in chronological order with a brief description. List all current academic, professional, or institutional appointments, foreign or domestic, at the applicant institution or elsewhere, whether or not remuneration is received, and, whether full-time, part-time, or voluntary;
4. Awards and honors;
5. A list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically. Patents, copyrights, and software systems developed may be provided in addition to or substituted for publications. An abbreviated style such as the Physical Review Letters (PRL) convention for citations (list only the first author) may be used for publications with more than 10 authors;
6. Synergistic activities: List up to five professional and scholarly activities related to the proposed effort; and
7. There should be no lapses in time over the past 10 years or since age 18, whichever period is shorter.

As an alternative to a resume, it is acceptable to use the biographical sketch format approved by the National Science Foundation (NSF). The biographical sketch format may be generated by the Science Experts Network Curriculum Vita (SciENCv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, also available at https://www.nsf.gov/bfa/dias/policy/researchprotection/commonform_biographicalsketch.pdf. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.

Save the resumes in a single PDF file using the following convention for the title "ControlNumber_LeadOrganization_Resumes".

v. Letters of Commitment

Submit letters of commitment from all subrecipient and third-party cost share providers. If applicable, the letter must state that the third party is committed to providing a specific minimum dollar amount or value of in-kind contributions allocated to cost sharing. The following information for each third party contributing to cost sharing should be identified: (1) the name of the organization; (2) the proposed dollar amount to be provided; and (3) the proposed cost sharing type (cash-or in-kind contributions). Each letter must not exceed one page.

Save the letters of commitment in a single PDF file using the following convention for the title "ControlNumber_LeadOrganization_LOCs".

Letters of support or endorsement for the project from entities that do not have a substantive role in the project will not be accepted.

vi. Statement of Project Objectives (SOPO)

Applicants must complete a SOPO. A SOPO template is available on [EERE Funding Application and Management Forms and](#) on EERE eXCHANGE at <https://eere-eXCHANGE.energy.gov/>. The SOPO, including the Milestone Table, must not exceed 15 pages when printed using standard 8.5" x 11" paper with 1" margins (top, bottom, left, and right) with font not smaller than 12-point (except in figures or tables, which may be 10-point font).

Save the SOPO in a single Microsoft Word file using the following convention for the title "ControlNumber_LeadOrganization_SOPO".

vii. Diversity, Equity, and Inclusion Plan

As part of the application, applicants are required to describe how diversity, equity, and inclusion objectives will be incorporated in the project. Specifically, applicants are required to submit a Diversity, Equity, and Inclusion Plan that describes the actions the applicant will take to foster a welcoming and inclusive environment, support people from groups underrepresented in STEM, advance equity, and encourage the inclusion of individuals from these groups in the project; and the extent the project activities will be located in or benefit underserved communities (also see Section I.D.). The plan must include at least one SMART milestone per Budget Period supported by metrics to measure the success of the proposed actions and will be incorporated into the award if selected (also see Section V.A.ii, Criterion 4). The Diversity, Equity, and Inclusion Plan should contain the following information:

- Equity Impacts: the impacts of the proposed project on underserved communities, including social and environmental impacts.
- Benefits: The overall benefits of the proposed project, if funded, to underserved communities; and
- How diversity, equity, and inclusion objectives will be incorporated in the project.

The following is a non-exhaustive list of actions that can serve as examples of ways the proposed project could incorporate diversity, equity, and inclusion elements. These examples should not be considered either comprehensive or prescriptive. Applicants may include appropriate actions not covered by these examples.

- a. Include persons from groups underrepresented in STEM as PI, co-PI, and/or other senior personnel;
- b. Include persons from groups underrepresented in STEM as student researchers or post-doctoral researchers;
- c. Include faculty or students from Minority Serving Institutions as PI/co-PI, senior personnel, and/or student researchers, as applicable;
- d. Enhance or collaborate with existing diversity programs at your home organization and/or nearby organizations;
- e. Collaborate with students, researchers, and staff in Minority Serving Institutions;
- f. Disseminate results of research and development in Minority Serving Institutions or other appropriate institutions serving underserved communities;
- g. Implement evidence-based, diversity-focused education programs (such as implicit bias training for staff) in your organization;

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- h. Identify Minority Business Enterprises, Minority Owned Businesses, Woman Owned Businesses and Veteran Owned Businesses to solicit as vendors and sub-contractors for bids on supplies, services, and equipment; and
- i. Foster partnerships with state and local governments or community-based organizations near research installations/plantings.

The Diversity, Equity, and Inclusion Plan must not exceed 5 pages. Save the Diversity, Equity and Inclusion Plan in a single PDF file using the following convention for the title "ControlNumber_LeadOrganization_DEIP".

viii. Budget Justification Workbook

Applicants must complete the Budget Justification Workbook, which is available on [EERE Funding Application and Management Forms and](#) on EERE eXCHANGE at <https://eere-eXCHANGE.energy.gov/>. Applicants must complete each tab of the Budget Justification Workbook for the project, including all work to be performed by the prime recipient and its subrecipients and contractors. Applicants should include costs associated with required annual audits and incurred cost proposals in their proposed budget documents. The "Instructions and Summary" included with the Budget Justification Workbook will auto-populate as the applicant enters information into the Workbook. Applicants must carefully read the "Instructions and Summary" tab provided within the Budget Justification Workbook.

Save the Budget Justification Workbook in a single Microsoft Excel file using the following convention for the title "ControlNumber_LeadOrganization_Budget_Justification".

ix. Summary for Public Release

Applicants must submit a one-page summary of their project that is suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (e.g., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or business-sensitive information as DOE may make it available to the public after selections are made. The summary must not exceed one page when printed using standard 8.5" x 11" paper with 1" margins (top, bottom, left, and right) with font not smaller than 12-point.

Save the Summary for Public Release in a single PDF file using the following convention for the title "ControlNumber_LeadOrganization_Summary".

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x. Summary Slide

Applicants must provide a single slide summarizing the proposed project. The Summary Slide template is available on EERE eXCHANGE at <https://eere-eXCHANGE.energy.gov/> and must include the following information:

- A technology summary;
- A description of the technology's impact;
- Proposed project goals;
- Any key graphics (illustrations, charts and/or tables);
- The project's key idea/takeaway;
- Project title, prime recipient, PI, and Senior/Key Personnel information; and
- Requested EERE funds and proposed applicant cost share.

Save the Summary Slide in a single Microsoft PowerPoint file using the following convention for the title "ControlNumber_LeadOrganization_Slide".

xi. Subrecipient Budget Justification (if applicable)

Applicants must provide a separate budget justification for each subrecipient that is expected to perform work estimated to be more than \$250,000 or 25% of the total work effort, whichever is less. The budget justification must include the same justification information described in the "Budget Justification" section above.

Save each subrecipient budget justification in a Microsoft Excel file using the following convention for the title:
"ControlNumber_LeadOrganization_Subrecipient_Budget_Justification".

xii. Budget for DOE/NNSA FFRDC (if applicable)

If a DOE/NNSA FFRDC other than the Idaho National Laboratory is to perform a portion of the work, the applicant must provide a DOE work proposal (WP) in accordance with the requirements in DOE Order 412.1A, Work Authorization System, Attachment 2, available at: <https://www.directives.doe.gov/directives-documents/400-series/0412.1-BOrder-a-chg1-AdmChg>.

Save the WP in a single PDF file using the following convention for the title
"ControlNumber_LeadOrganization_WP".

xiii. Authorization for Non-DOE/NNSA or DOE/NNSA FFRDCs (if applicable)

The federal agency sponsoring the FFRDC must authorize in writing the use of the FFRDC on the proposed project and this authorization must be submitted with the application. The use of a FFRDC must be consistent with the contractor's authority under its award.

Save the Authorization in a single PDF file using the following convention for the title "ControlNumber_LeadOrganization_FFRDCAuth".

xiv. SF-LLL: Disclosure of Lobbying Activities

Recipients and subrecipients may not use any federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters.

Prime recipients and subrecipients are required to complete and submit SF-LLL, "Disclosure of Lobbying Activities"

(<https://www.grants.gov/web/grants/forms/sf-424-individual-family.html>) to ensure that non-federal funds have not been paid and will not be paid to any person for influencing or attempting to influence any of the following in connection with the application:

- An officer or employee of any federal agency;
- A Member of Congress;
- An officer or employee of Congress; or
- An employee of a Member of Congress.

Save the SF-LLL in a single PDF file using the following convention for the title "ControlNumber_LeadOrganization_SF-LLL".

xv. Waiver Requests (if applicable)**Foreign Entity Participation**

For projects selected under this FOA, all recipients and subrecipients must qualify as domestic entities. See Section III.A. To request a waiver of this requirement, the applicant must submit an explicit waiver request in the Full Application. Appendix B lists the information that must be included in a waiver request.

Performance of Work in the United States (Foreign Work Waiver Request)

As set forth in Section IV.J.iii., all work for projects selected under this FOA must be performed in the United States. To request a waiver of this requirement, the applicant must submit an explicit waiver request in the Full Application.

Appendix B lists the information that must be included in a foreign work waiver request.

Save the Waivers in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_Waiver”.

xvi. Current and Pending Support

Current and pending support is intended to allow the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support. As part of the application, the principal investigator and all Senior/Key Personnel at the applicant and subrecipient level must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual’s research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All connections with foreign government-sponsored talent recruitment programs must be identified in current and pending support.

For every activity, list the following items:

- The sponsor of the activity or the source of funding;
- The award or other identifying number;
- The title of the award or activity. If the title of the award or activity is not descriptive, add a brief description of the research being performed that would identify any overlaps or synergies with the proposed research;
- The total cost or value of the award or activity, including direct and indirect costs and cost share. For pending proposals, provide the total amount of requested funding;
- The award period (start date through end date); and
- The person-months of effort per year dedicated to the award or activity.

To identify overlap, duplication of effort, or synergistic efforts, append a description of the other award or activity to the current and pending support.

Details of any obligations, contractual or otherwise, to any program, entity, or organization sponsored by a foreign government must be provided on request to either the applicant institution or DOE. Supporting documents of any identified source of support must be provided to DOE on request, including certified translations of any document.

PIs and Senior/Key Personnel must provide a separate disclosure statement listing the required information above regarding current and pending support. Each individual must sign and date their respective disclosure statement and include the following certification statement:

I, [Full Name and Title], certify to the best of my knowledge and belief that the information contained in this Current and Pending Support Disclosure Statement is true, complete, and accurate. I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil, or administrative penalties for fraud, false statements, false claims or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3733 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to DOE's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

The information may be provided in the format approved by the National Science Foundation (NSF), which may be generated by the Science Experts Network Curriculum Vita (SciENcv), a cooperative venture maintained at <https://www.ncbi.nlm.nih.gov/sciencv/>, and is also available at https://www.nsf.gov/bfa/dias/policy/researchprotection/commonform_cps.pdf. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats. If the NSF format is used, the individual must still include a signature, date, and a certification statement using the language included in the paragraph above.

Save the Current and Pending Support in a single PDF file using the following convention for the title "ControlNumber_LeadOrganization_CPS".

Definitions:

Current and pending support – (a) All resources made available, or expected to be made available, to an individual in support of the individual’s RD&D efforts, regardless of (i) whether the source is foreign or domestic; (ii) whether the resource is made available through the entity applying for an award or directly to the individual; or (iii) whether the resource has monetary value; and (b) includes in-kind contributions requiring a commitment of time and directly supporting the individual’s RD&D efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students. This term has the same meaning as the term Other Support as applied to researchers in NSPM-33: For researchers, Other Support includes all resources made available to a researcher in support of and/or related to all of their professional RD&D efforts, including resources provided directly to the individual or through the organization, and regardless of whether or not they have monetary value (e.g., even if the support received is only in-kind, such as office/laboratory space, equipment, supplies, or employees). This includes resource and/or financial support from all foreign and domestic entities, including but not limited to gifts provided with terms or conditions, financial support for laboratory personnel, and participation of student and visiting researchers supported by other sources of funding.

Foreign Government-Sponsored Talent Recruitment Program – An effort directly or indirectly organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to physically relocate to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United States research facilities or receipt of federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to United States 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.

Senior/Key Personnel – An individual who contributes in a substantive, meaningful way to the scientific development or execution of a research, development, and demonstration (RD&D) project proposed to be carried out with a DOE award.¹⁹

xvii. Locations of Work

The applicant must provide a list of locations where project work will be performed by the prime recipient or subrecipient(s) including the following information for each location:

- Location Type
- Location Type Category
- Is this a Principal Place of Performance?
- Prime or Subrecipient Location?
- If Subrecipient, Subrecipient/Community Name
- Facility Name (if applicable)
- Is location in a foreign country?
- Street Address, City, State, 5-Digit Zip Code - +4
- Briefly describe the primary activity at this location or with this population. For example, management headquarters; construction, operations, production; raw materials extraction, etc.
- Latitude/Longitude
- Does the location or community qualify as a disadvantaged community according to the Climate and Economic Justice Screening Tool?
- If a disadvantaged community, add the census tract number or describe the distributed disadvantaged community served (e.g., migrant workers)
- % of work performed at this location

For your convenience, a Locations of Work template is available on EERE eXCHANGE at <https://eere-eXCHANGE.energy.gov/>. Applicants are strongly encouraged to use the template. If the template is not used, the submission must include all of the elements described above, and as outlined in the template.

Applicants must provide the Locations of Work Documentation as a Microsoft Excel file using the following convention for the title: “Control Number_LeadOrganization_LOW”.

¹⁹ Typically, these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered Senior/Key Personnel if their involvement meets this definition. Consultants, graduate students, and those with a postdoctoral role also may be considered Senior/Key Personnel if they meet this definition.

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xviii. Transparency of Foreign Connections

Applicants must provide the following information as it relates to the proposed recipient and subrecipients. Include a separate disclosure for the applicant and each proposed subrecipient. U.S. National Laboratories, domestic government entities, and institutions of higher education are only required to respond to items 1, 2 and 9, and if applying as to serve as the prime recipient, must provide complete responses for project team members that are not U.S. National Laboratories, domestic government entities, or institutions of higher education.

1. Entity name, website address, and physical address;
2. The identity of all owners, principal investigators, project managers, and Senior/Key Personnel who are a party to any *Foreign Government-Sponsored Talent Recruitment Program* of a foreign country of risk (i.e., China, Iran, North Korea, and Russia);
3. The existence of any joint venture or subsidiary that is based in, funded by, or has a foreign affiliation with any foreign country of risk, including the People's Republic of China;
4. Any current or pending contractual or financial obligation or other agreement specific to a business arrangement, or joint venture-like arrangement with an enterprise owned by a foreign state or any foreign entity;
5. Percentage, if any, that the proposed recipient or subrecipient has foreign ownership or control;
6. Percentage, if any, that the proposed recipient or subrecipient is wholly or partially owned by an entity in a foreign country of risk;
7. Percentage, if any, of venture capital or institutional investment by an entity that has a general partner or individual holding a leadership role in such entity who has a foreign affiliation with any foreign country of risk;
8. Any technology licensing or intellectual property sales to a foreign country of risk, during the 5-year period preceding submission of the proposal;
9. Any foreign business entity, offshore entity, or entity outside the United States related to the proposed recipient or subrecipient;
10. Complete list of all directors (and board observers), including their full name, citizenship and shareholder affiliation, date of appointment, duration of term, as well as a description of observer rights as applicable;
11. Complete capitalization table for your entity, including all equity interests (including LLC and partnership interests, as well as derivative securities). Include both the number of shares issued to each equity holder, as well as the percentage of that series and all equity on a fully diluted basis. Identify the principal place of incorporation (or organization) for

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each equity holder. If the equity holder is a natural person, identify the citizenship(s). If the recipient or subrecipient is a publicly traded company, provide the above information for shareholders with an interest greater than 5%;

12. A summary table identifying all rounds of financing, the purchase dates, the investors for each round, and all the associated governance and information rights obtained by investors during each round of financing; and
13. An organization chart to illustrate the relationship between your entity and the immediate parent, ultimate parent, and any intermediate parent, as well as any subsidiary or affiliates. Identify where each entity is incorporated.

DOE reserves the right to request additional or clarifying information based on the information submitted.

Save the Transparency of Foreign Connections information in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_TFC”.

xix. Potentially Duplicative Funding Notice

If the applicant or project team member has other active awards of federal funds, the applicant must determine whether the activities of those awards potentially overlap with the activities set forth in its application to this FOA. If there is a potential overlap, the applicant must notify DOE in writing of the potential overlap and state how it will ensure any project funds (i.e., recipient cost share and federal funds) will not be used for identical cost items under multiple awards. Likewise, for projects that receive funding under this FOA, if a recipient or project team member receives any other award of federal funds for activities that potentially overlap with the activities funded under the DOE award, the recipient must promptly notify DOE in writing of the potential overlap and state whether project funds from any of those other federal awards have been, are being, or are to be used (in whole or in part) for one or more of the identical cost items under the DOE award. If there are identical cost items, the recipient must promptly notify the Contracting Officer in writing of the potential duplication and eliminate any inappropriate duplication of funding.

Save the Potentially Duplicative Funding Notice in a single PDF file using the following convention for the title “ControlNumber_LeadOrganization_PDFN”.

xx. Additional Requirements

For Subtopic Area 1a: Algae, a Technical Datasheet is required with the application. See Appendix G. Save the Technical Datasheet in a single pdf file using the following convention for the title, “ControlNumber_LeadOrganization_Topic_TechDataSht”.

E. Content and Form of Replies to Reviewer Comments

EERE will provide applicants with reviewer comments following the evaluation of all eligible Full Applications. Applicants will have a brief opportunity to prepare a short Reply to Reviewer Comments (Reply). The Reply must not exceed three pages. If a Reply is more than three pages in length, EERE will review only the first three pages and disregard additional pages. Applicants may use the Reply to respond to one or more comments or to supplement their Full Application. The Reply may include text, graphs, charts, or data.

EERE will post the reviewer comments in EERE eXCHANGE. The expected submission deadline is on the cover page of the FOA; however, it is the applicant’s responsibility to monitor EERE eXCHANGE if the expected date changes. The deadline will not be extended for applicants who are unable to timely submit their Reply due to failure to check EERE eXCHANGE or relying on the expected date alone. Applicants should anticipate having approximately three (3) business days to submit a Reply.

Applicants are not required to submit a Reply to Reviewer Comments. EERE will review and consider each eligible Full Application, even if no Reply is submitted or if the Reply is found to be ineligible.

F. Post Selection Information Requests

If selected for award negotiations, DOE reserves the right to require that selected applicants provide additional or clarifying information regarding the application submissions, the project, the project team, the award requirements, and any other matters related to anticipated award. The following is a list of examples of information that may be required:

- Personnel proposed to work on the project and collaborating organizations (See Section VI.B.xix. Participants and Collaborating Organizations);
- Current and Pending Support (See Sections IV.D.xvi. and VI.B.xx.);
- An Intellectual Property Management Plan (if applicable) describing how the project team/consortia members will handle intellectual property rights and issues between themselves while ensuring compliance with federal intellectual property laws, regulations, and policies.

- A Data Management Plan (if applicable) describing how all research data displayed in publications resulting from the proposed work will be digitally accessible at the time of publications, in accordance with Section VI.B.xxiii.;
- Indirect cost information;
- Other budget information;
- Letters of Commitment from third parties contributing to cost share, if applicable;
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5);
- Information for the DOE Office of Civil Rights to process assurance reviews under 10 CFR 1040;
- Representation of Limited Rights Data and Restricted Software, if applicable; and
- Environmental Questionnaire.

G. Unique Entity Identifier (UEI) and System for Award Management (SAM)

Each applicant (unless the applicant is an individual or federal awarding agency that is excepted from those requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the federal awarding agency under 2 CFR 25.110(d)) is required to: (1) register in the SAM at <https://www.sam.gov> before submitting an application; (2) provide a valid UEI in the application; and (3) maintain an active SAM registration with current information at all times during which it has an active federal award or an application or plan under consideration by a federal awarding agency. DOE may not make a federal award to an applicant until the applicant has complied with all applicable UEI and SAM requirements. If an applicant has not fully complied with the requirements by the time DOE is ready to make a federal award, DOE will determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

NOTE: Due to the high demand of UEI requests and SAM registrations, entity legal business name and address validations are taking longer than expected to process. Entities should start the UEI and SAM registration process as soon as possible. If entities have technical difficulties with the UEI validation or SAM registration process they should use the [HELP](#) feature on [SAM.gov](https://www.sam.gov). SAM.gov will work entity service tickets in the order in which they are received and asks that entities not create multiple service tickets for the same request or technical issue. Additional entity validation resources can be found here: [GSAFSD Tier 0 Knowledge Base - Validating your Entity](#).

H. Submission Dates and Times

All required submissions must be submitted in EERE eXCHANGE no later than 5 p.m. ET on the dates provided on the cover page of this FOA.

I. Intergovernmental Review

This FOA is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

J. Funding Restrictions

i. Allowable Costs

All expenditures must be allowable, allocable, and reasonable in accordance with the applicable federal cost principles. Pursuant to 2 CFR 910.352, the cost principles in the Federal Acquisition Regulations (48 CFR 31.2) apply to for-profit entities. The cost principles contained in 2 CFR Part 200, Subpart E apply to all entities other than for-profits.

ii. Pre-Award Costs

Applicants selected for award negotiations (selectees) must request prior written approval to charge pre-award costs. Pre-award costs are those incurred prior to the effective date of the federal award directly pursuant to the negotiation and in anticipation of the federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the federal award and **only** with the written approval of the federal awarding agency, through the Contracting Officer.

Pre-award costs cannot be incurred prior to the Selection Official signing the Selection Statement and Analysis.

Pre-award expenditures are made at the selectee's risk. EERE is not obligated to reimburse costs: (1) in the absence of appropriations; (2) if an award is not made; or (3) if an award is made for a lesser amount than the selectee anticipated.

1. National Environmental Policy Act (NEPA) Requirements Related to Pre-Award Costs

EERE's decision whether and how to distribute federal funds under this FOA is subject to NEPA. Applicants should carefully consider and should seek legal counsel or other expert advice before taking any action related to the proposed project that would have an adverse effect on the environment or

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limit the choice of reasonable alternatives prior to EERE completing the NEPA review process.

EERE does not guarantee or assume any obligation to reimburse pre-award costs incurred prior to receiving written authorization from the Contracting Officer. If the applicant elects to undertake activities that DOE determines may have an adverse effect on the environment or limit the choice of reasonable alternatives prior to receiving such written authorization from the Contracting Officer, the applicant is doing so at risk of not receiving federal funding for their project and such costs may not be recognized as allowable cost share. Nothing contained in the pre-award cost reimbursement regulations or any pre-award costs approval letter from the Contracting Officer overrides the requirement to obtain the written authorization from the Contracting Officer prior to taking any action that may have an adverse effect on the environment or limit the choice of reasonable alternatives. Likewise, if an application is selected for negotiation of award, and the prime recipient elects to undertake activities that are not authorized for federal funding by the Contracting Officer in advance of EERE completing a NEPA review, the prime recipient is doing so at risk of not receiving federal funding and such costs may not be recognized as allowable cost share.

iii. Performance of Work in the United States (Foreign Work Waiver)

1. Requirement

All work performed under awards issued under this FOA must be performed in the United States. The prime recipient must flow down this requirement to its subrecipients.

2. Failure to Comply

If the prime recipient fails to comply with the Performance of Work in the United States requirement, DOE may deny reimbursement for the work conducted outside the United States and such costs may not be recognized as allowable recipient cost share. The prime recipient is responsible should any work under this award be performed outside the United States, absent a waiver, regardless of whether the work is performed by the prime recipient, subrecipients, contractors or other project partners.

3. Waiver

To seek a foreign work waiver, the applicant must submit a written waiver request to DOE. [Appendix B lists the information that must be included in a request for a foreign work waiver.](#)

Save the waiver request(s) in a single PDF file. The applicant does not have the right to appeal DOE's decision concerning a waiver request.

iv. Construction

Recipients are required to obtain written authorization from the Contracting Officer before incurring any major construction costs.

v. Foreign Travel

If international travel is proposed for your project, please note that your organization must comply with the International Air Transportation Fair Competitive Practices Act of 1974 (49 USC 40118), commonly referred to as the "Fly America Act," and implementing regulations at 41 CFR 301-10.131 through 301-10.143. The law and regulations require air transport of people or property to, from, between, or within a country other than the United States, the cost of which is supported under this award, to be performed by or under a cost-sharing arrangement with a United States flag carrier, if service is available. Foreign travel costs are allowable only with the written prior approval of the Contracting Officer assigned to the award.

vi. Equipment and Supplies

To the greatest extent practicable, all equipment and products purchased with funds made available under this FOA should be American-made. This requirement does not apply to used or leased equipment.

vii. Build America Buy America Requirements for Infrastructure Projects

Pursuant to the Build America Buy America Act (Buy America, or BABA), subtitle IX of BIL (Biden Infrastructure Law), federally assisted projects that involve infrastructure work, undertaken by applicable recipient types, require that:

- All iron, steel, and manufactured products used in the infrastructure work are produced in the United States; and
- All construction materials used in the infrastructure work are manufactured in the United States.

Whether a given project must apply this requirement is project-specific and dependent on several factors, such as the recipient's entity type, whether the work involves "infrastructure," as defined in Section 70914 of the BIL, and whether the infrastructure in question is publicly owned or serves a public function.

Applicants are strongly encouraged to consult Appendix C of this FOA to determine whether their project may have to apply this requirement, both to make an early determination as to the need of a waiver, as well as to determine what impact, if any, this requirement may have on the proposed project's budget.

Please note that, based on implementation guidance from the Office of Management and Budget issued on April 18, 2022, the Buy America requirements of the BIL do not apply to DOE projects in which the prime recipient is a for-profit entity; the requirements only apply to projects whose prime recipient is a "non-Federal entity," e.g., a State, local government, Indian Tribe, Institution of Higher Education, or nonprofit organization. Subawards should conform to the terms of the prime award from which they flow; in other words, for-profit prime recipients are not required to flow down these Buy America requirements to subrecipients, even if those subrecipients are non-Federal entities as defined above. Conversely, prime recipients which are non-Federal entities must flow the Buy America requirements down to all subrecipients, even if those subrecipients are for-profit entities. Finally, for all applicants—both non-Federal entities and for-profit entities—DOE is including a Program Policy Factor that the Selection Official may consider in determining which Full Applications to select for award negotiations that considers whether the applicant has made a commitment to procure U.S. iron, steel, manufactured products, and construction materials in its project.

The DOE financial assistance agreement will require each recipient to: (1) fulfill the commitments made in its application regarding the procurement of U.S.-produced products and (2) fulfill the commitments made in its application regarding the procurement of other key component metals and domestically manufactured products that are deemed available in sufficient and reasonably available quantities or of a satisfactory quality at the time of award negotiation. Applicants may seek waivers of these requirements in very limited circumstances and for good cause shown. Further details on requesting a waiver can be found in Appendix C and the terms and conditions of an award.

Applicants are strongly encouraged to consult Appendix C for more information.

viii. Lobbying

Recipients and subrecipients may not use any federal funds to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters.

Recipients and subrecipients are required to complete and submit SF-LLL, “Disclosure of Lobbying Activities” (<https://www.grants.gov/web/grants/forms/sf-424-individual-family.html>) to ensure that non-federal funds have not been paid and will not be paid to any person for influencing or attempting to influence any of the following in connection with the application:

- An officer or employee of any federal agency;
- A Member of Congress;
- An officer or employee of Congress; or
- An employee of a Member of Congress.

ix. Risk Assessment

Pursuant to 2 CFR 200.206, DOE will conduct an additional review of the risk posed by applications submitted under this FOA. Such risk assessment will consider:

1. Financial stability;
2. Quality of management systems and ability to meet the management standards prescribed in 2 CFR 200 as amended and adopted by 2 CFR 910;
3. History of performance;
4. Audit reports and findings; and
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-federal entities.

DOE may make use of other publicly available information and the history of an applicant’s performance under DOE or other federal agency awards.

Depending on the severity of the findings and whether the findings were resolved, DOE may elect not to fund the applicant.

In addition to this review, DOE must comply with the guidelines on government-wide suspension and debarment in 2 CFR 180 and must require non-federal entities to comply with these provisions. These provisions restrict federal awards, subawards and contracts with certain parties that are debarred, suspended, or otherwise excluded from or ineligible for participation in federal programs or activities.

Further, as DOE invests in critical infrastructure and funds critical and emerging technology areas, DOE also considers possible vectors of undue foreign influence in evaluating risk. As part of the research, technology, and economic security risk

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review, DOE may contact the applicant and/or proposed team members for additional information to inform the review. If high risks are identified and cannot be sufficiently mitigated, DOE may elect to not fund the applicant.

x. Invoice Review and Approval

DOE employs a risk-based approach to determine the level of supporting documentation required for approving invoice payments. Recipients may be required to provide some or all of the following items with their requests for reimbursement:

- Summary of costs by cost categories;
- Timesheets or personnel hours report;
- Invoices/receipts for all travel, equipment, supplies, contractual, and other costs;
- Uniform Commercial Code (UCC) filing proof for equipment acquired with project funds by for-profit recipients and subrecipients;
- Explanation of cost share for invoicing period;
- Analogous information for some subrecipients; and
- Other items as required by DOE.

xi. Prohibition Related to Foreign Government-Sponsored Talent Recruitment Programs

a. Prohibition

Persons participating in a *Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk* are prohibited from participating in projects selected for federal funding under this FOA. Should an award result from this FOA, the recipient must exercise ongoing due diligence to reasonably ensure that no individuals participating on the DOE-funded project are participating in a *Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk*. Consequences for violations of this prohibition will be determined according to applicable law, regulations, and policy. Further, the recipient must notify DOE within five (5) business days upon learning that an individual on the project team is or is believed to be participating in a foreign government talent recruitment program of a foreign country of risk. DOE may modify and add requirements related to this prohibition to the extent required by law.

b. Definitions

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

xii. Affirmative Action and Pay Transparency Requirements

All applicants must comply with all applicable federal labor and employment laws, including but not limited to Title VII of the Civil Rights Act of 1964, the Fair Labor Standards Act, the Occupational Safety and Health Act, and the National Labor Relations Act, which protects employees' right to bargain collectively and engage in concerted activities for the purpose of workers' mutual aid or protection.

All federally assisted construction contracts exceeding \$10,000 annually will be subject to the requirements of Executive Order 11246:

- (1) Recipients, subrecipients, contractors, and subcontractors are prohibited from discriminating in employment decisions on the basis of race, color, religion, sex, sexual orientation, gender identity, or national origin.

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(2) Recipients and contractors are required to take affirmative action to ensure that equal opportunity is provided in all aspects of their employment. This includes flowing down the appropriate language to all subrecipients, contractors, and subcontractors.

(3) Recipients, subrecipients, contractors, and subcontractors are prohibited from taking adverse employment actions against applicants and employees for asking about, discussing, or sharing information about their pay or, under certain circumstances, the pay of their co-workers.

DOL's Office of Federal Contractor Compliance Programs (OFCCP) uses a neutral process to schedule compliance evaluations. Consult OFCCP's Technical Assistance Guide²⁰ to gain an understanding of the requirements and possible actions the recipients, subrecipients, contractors, and subcontractors must take. Additional guidance may also be found in the National Policy Assurances, produced by DOE.

xiii. Foreign Collaboration Considerations

- a. Consideration of new collaborations with foreign entities, organizations, and governments. The recipient will be required to provide DOE with advanced written notification of any potential collaboration with foreign entities, organizations, or governments in connection with its DOE-funded award scope. The recipient will then be required to await further guidance from DOE prior to contacting the proposed foreign entity, organization, or government regarding the potential collaboration or negotiating the terms of any potential agreement.
- b. Existing collaborations with foreign entities, organizations, and governments. The recipient will be required to provide DOE with a written list of all existing foreign collaborations in which has entered in connection with its DOE-funded award scope.
- c. Description of collaborations that should be reported. In general, a collaboration will involve some provision of a thing of value to, or from, the recipient. A thing of value includes but may not be limited to all resources made available to, or from, the recipient in support of and/or related to the DOE award, regardless of whether or not they have monetary value. Things

²⁰ See OFCCP's Technical Assistance Guide at:

<https://www.dol.gov/sites/dolgov/files/ofccp/Construction/files/ConstructionTAG.pdf?msclkid=9e397d68c4b111ec9d8e6fecb6c710ec> Also see the National Policy Assurances <http://www.nsf.gov/awards/managing/rtc.jsp>

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of value also may include in-kind contributions (such as office/laboratory space, data, equipment, supplies, employees, students). In-kind contributions not intended for direct use on the DOE award but resulting in provision of a thing of value from or to the DOE award must also be reported. Collaborations do not include routine workshops, conferences, use of the recipient's services and facilities by foreign investigators resulting from its standard published process for evaluating requests for access, or the routine use of foreign facilities by awardee staff in accordance with the recipient's standard policies and procedures.

V. Application Review Information

A. Technical Review Criteria

i. Concept Papers

Concept Papers are evaluated based on consideration the following factors. All sub-criteria are of equal weight.

Concept Paper Criterion: Overall FOA Responsiveness and Viability of the Project (Weight: 100%)

This criterion involves consideration of the following factors:

- The applicant clearly describes the proposed crop system, how it is unique or innovative in addressing the mobilization of purpose-grown energy crops;
- The applicant has identified risks and challenges of the technology, regulatory and financial aspects of the proposal including possible mitigation strategies, and has shown the impact that EERE funding and the proposed project would have on the relevant field and application;
- The applicant has the qualifications, experience, capabilities, and other resources necessary to complete the proposed project; and
- The proposed work, if successfully accomplished, would clearly meet the objectives as stated in the FOA.

ii. Full Applications

Applications will be evaluated against the technical review criteria shown below. All sub-criteria are of equal weight.

Criterion 1: Technical Merit, Innovation, and Impact (50%)

This criterion involves consideration of the following factors:

Technical Merit and Innovation

- Extent to which the proposed technology, process, or project is innovative or replicable;
- Degree to which the current state of the technology and the proposed advancement toward mobilization and commercialization are clearly described;
- Extent to which the application specifically and convincingly demonstrates how the applicant will move the state of the art to the proposed advancement toward mobilization and commercialization;
- Sufficiency of technical detail in the application to assess whether the proposed work is scientifically meritorious and revolutionary, including relevant data, calculations, and discussion of prior work, with analyses that support the viability of the proposed work;
- Degree to which siting and environmental constraints are considered for deployment; and
- Soundness of a plan to expeditiously address environmental, siting, and other regulatory requirements for the project.

Impact of Technology Advancement

- Ability of the project to advance grower and industry adoption;
- Extent to which the project supports the Topic Area objectives and target specifications and metrics;
- Potential impact of the project on advancing the state of the art; and
- Extent to which demonstration/deployment is replicable and may lead to future adoptions.

Criterion 2: Project Research and Market Transformation Plan (25%)

This criterion involves consideration of the following factors:

Research Approach, Workplan, and SOPO

- Degree to which the approach and critical path have been clearly described and thoughtfully considered;
- Degree to which the task descriptions are clear, detailed, timely, and reasonable, resulting in a high likelihood that the proposed Workplan and SOPO will succeed in meeting the project goals; and
- Adequacy, reasonableness, and soundness of the project schedule, as well as periodic Go/No-Go decisions prior to further funds disbursement, interim milestones, and metrics to track progress.

Identification of Technical Risks

- Discussion and demonstrated understanding of the key technical risk areas involved in the proposed work and the quality of the mitigation strategies to address them.

Baseline, Metrics, and Deliverables

- Level of clarity in the definition of the baseline, metrics, and milestones; and
- Relative to a clearly defined project baseline, the strength of the quantifiable metrics, milestones, and mid-point deliverables defined in the application, such that meaningful interim progress will be made.

Market Transformation Plan

- Inclusion of a disposition plan for the biomass produced through the project.
- Identification of target market, competitors, and distribution channels for proposed purpose-grown energy crops along with known or perceived barriers to market penetration; and
- Comprehensiveness of market transformation plan including but not limited to product development and/or service plan, commercialization timeline, financing, product marketing, crop certification development, legal/regulatory considerations including intellectual property, infrastructure requirements, and product distribution.

Criterion 3: Team and Resources (15%)

This criterion involves consideration of the following factors:

- Capability of the Principal Investigator(s) and the proposed team to address all aspects of the proposed work with a high probability of success. The qualifications, relevant expertise, and time commitment of the individuals on the team;
- Diversity of expertise and perspectives of the team and the inclusion of industry partners that will amplify impact;
- Sufficiency of the facilities to support the work;
- Degree to which the proposed consortia/team demonstrates the ability to facilitate and expedite further demonstration, development, and commercial deployment of the proposed technologies;
- Level of participation by project participants as evidenced by letter(s) of commitment and how well they are integrated into the Workplan; and
- Reasonableness of the budget and spend plan for the proposed project and objectives; and

- Adequacy of proposed project management systems including the ability to track scope, cost, and schedule progress and changes;

Criterion 4: Diversity, Equity, and Inclusion (10%)

This criterion involves consideration of the following factors:

- The quality and manner in which the DEI plan incorporates diversity, equity and inclusion goals in the project;
- Quality of the project's DEI goals, as measured by the goals' depth, breadth, likelihood of success, inclusion of appropriate and relevant SMART milestones, and overall project integration;
- Extent to which the project benefits underserved communities;
- Extent to which the project incorporates groups underrepresented in STEM into student or faculty development opportunities (i.e. internships, fellowships, or visiting faculty programs) for longer-term curriculum integration;
- Extent of engagement of organizations that represent disadvantaged communities as a core element of their mission, including MSIs, Minority Business Entities, and nonprofit or community-based organizations; and
- Approach to document the knowledge, skills, and abilities of the workforce required for successful commercial deployment of innovations resulting from this research.

iii. Criteria for Replies to Reviewer Comments

EERE has not established separate criteria to evaluate Replies to Reviewer Comments. Instead, Replies to Reviewer Comments are attached to the original applications and evaluated as an extension of the Full Application.

B. Standards for Application Evaluation

Applications that are determined to be eligible will be evaluated in accordance with this FOA, by the standards set forth in EERE's Notice of Objective Merit Review Procedure (76 Fed. Reg. 17846, March 31, 2011) and the guidance provided in the "DOE Merit Review Guide for Financial Assistance," effective September 2020, which is available at: <https://energy.gov/management/downloads/merit-review-guide-financial-assistance-and-unsolicited-proposals-current>.

C. Other Selection Factors

i. Program Policy Factors

In addition to the above criteria, the Selection Official may consider the following program policy factors in determining which Full Applications to select for award negotiations:

- The degree to which the proposed project exhibits technological diversity when compared to the existing DOE project portfolio and other projects selected from the subject FOA;
- The degree to which the proposed project, including proposed cost share, optimizes the use of available EERE funding to achieve programmatic objectives;
- The level of industry involvement and demonstrated ability to accelerate commercialization and overcome key market barriers;
- The degree to which the proposed project will accelerate transformational technological advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty;
- The degree to which the proposed project, or group of projects, represent a desired geographic distribution (considering past awards and current applications);
- The degree to which the proposed project incorporates applicant or team members from Minority Serving Institutions (e.g., Historically Black Colleges and Universities (HBCUs)/Other Minority Institutions (OMIs)); and partnerships with Minority Business Enterprises, minority-owned businesses, woman-owned businesses, veteran-owned businesses, or Indian Tribes; and
- The degree to which the proposed project will employ procurement of U.S. iron, steel, manufactured products, and construction materials.

D. Evaluation and Selection Process

i. Overview

The evaluation process consists of multiple phases; each includes an initial eligibility review and a thorough technical review. Rigorous technical reviews of eligible submissions are conducted by reviewers that are experts in the subject matter of the FOA. Ultimately, the Selection Official considers the recommendations of the reviewers, along with other considerations such as program policy factors and risk reviews, in determining which applications to select.

ii. Pre-Selection Clarification

EERE may determine that pre-selection clarifications are necessary from one or more applicants. Pre-selection clarifications are distinct from and less formal than pre-selection interviews. These pre-selection clarifications will solely be for the purposes of clarifying the application. The pre-selection clarifications may occur before, during or after the merit review evaluation process. Information provided by an applicant that is not necessary to address the pre-selection clarification question will not be reviewed or considered. Typically, a pre-selection clarification will be carried out through either written responses to EERE's written clarification questions or video or conference calls with EERE representatives.

The information provided by applicants to EERE through pre-selection clarifications is incorporated in their applications and contributes to the merit review evaluation and EERE's selection decisions. If EERE contacts an applicant for pre-selection clarification purposes, it does not signify that the applicant has been selected for negotiation of award or that the applicant is among the top ranked applications.

EERE will not reimburse applicants for expenses relating to the pre-selection clarifications, nor will these costs be eligible for reimbursement as pre-award costs.

iii. Recipient Responsibility and Qualifications

DOE, prior to making a federal award with a total amount of federal share greater than the simplified acquisition threshold, is required to review and consider any responsibility and qualification information about the applicant that is in the entity information domain in [SAM.gov](https://sam.gov) (see 41 U.S.C. 2313).

The applicant, at its option, may review information in the entity information domain in [SAM.gov](https://sam.gov) and comment on any information about itself that a federal awarding agency previously entered and is currently in the entity information domain in [SAM.gov](https://sam.gov).

DOE will consider any written comments by the applicant, in addition to the other information in the entity information domain in [SAM.gov](https://sam.gov), in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 2 CFR 200.206.

iv. Selection

The Selection Official may consider the technical merit, the Federal Consensus Board's recommendations, program policy factors, risk reviews, and the amount of funds available in arriving at selections for this FOA.

E. Anticipated Notice of Selection and Award Negotiation Dates

EERE anticipates notifying applicants selected for negotiation of award and negotiating awards by the dates provided on the cover page of this FOA.

VI. Award Administration Information

A. Award Notices

i. Ineligible Submissions

Ineligible Concept Papers and Full Applications will not be further reviewed or considered for award. The Contracting Officer will send a notification letter by email to the technical and administrative points of contact designated by the applicant in EERE eXCHANGE. The notification letter will state the basis upon which the Concept Paper or the Full Application is ineligible and not considered for further review.

ii. Concept Paper Notifications

EERE will notify applicants of its determination to encourage or discourage the submission of a Full Application. EERE will post these notifications to EERE eXCHANGE. EERE may include general comments provided from reviewers on an applicant's Concept Paper in the encourage/discourage notifications.

Applicants may submit a Full Application even if they receive a notification discouraging them from doing so. By discouraging the submission of a Full Application, EERE intends to convey its lack of programmatic interest in the proposed project. Such assessments do not necessarily reflect judgments on the merits of the proposed project. The purpose of the Concept Paper phase is to save applicants the considerable time and expense of preparing a Full Application that is unlikely to be selected for award negotiations.

A notification encouraging the submission of a Full Application does not authorize the applicant to commence performance of the project.

iii. Full Application Notifications

EERE will notify applicants of its determination via a notification letter by email to the technical and administrative points of contact designated by the applicant in EERE eXCHANGE. The notification letter will inform the applicant whether or not its Full Application was selected for award negotiations. Alternatively, EERE may notify one or more applicants that a final selection determination on particular Full Applications will be made at a later date, subject to the availability of funds or other factors.

iv. Applicants Selected for Award Negotiations

Successful applicants will receive written notification that they have been selected for award negotiations. Receipt of a notification letter selecting a Full Application for award negotiations does not authorize the applicant to commence performance of the project. If an application is selected for award negotiations, it is not a commitment by EERE to issue an award nor is it a guarantee of federal government funding. Applicants do not receive an award unless and until award negotiations are complete and the Contracting Officer executes the funding agreement, accessible by the prime recipient in FedConnect.

The award negotiation process will take approximately 90 days. Applicants must designate a primary and a backup point-of-contact in EERE eXCHANGE with whom EERE will communicate to conduct award negotiations. The applicant must be responsive during award negotiations (i.e., provide requested documentation) and meet the negotiation deadlines. If the applicant fails to do so or if award negotiations are otherwise unsuccessful, EERE will cancel the award negotiations and rescind the Selection. EERE reserves the right to terminate award negotiations at any time for any reason.

Please refer to Section IV.J.ii. of the FOA for guidance on pre-award costs.

v. Alternate Selection Determinations

In some instances, an applicant may receive a notification that its application was not selected for award and EERE designated the application to be an alternate. As an alternate, EERE may consider the Full Application for federal funding in the future. A notification letter stating the Full Application is designated as an alternate does not authorize the applicant to commence performance of the project. EERE may ultimately determine to select or not select the Full Application for award negotiations.

vi. Unsuccessful Applicants

EERE shall promptly notify in writing each applicant whose application has not been selected for award or whose application cannot be funded because of the unavailability of appropriated funds.

B. Administrative and National Policy Requirements**i. Registration Requirements**

There are several one-time actions applicants must take before applying to this FOA. Some of these may take several weeks, so it is vital applicants build in enough time to complete them. Failure to complete these actions could interfere with application or negotiation deadlines or the ability to receive an award if selected. These requirements are as follows:

1. EERE Funding Opportunity Exchange (eXCHANGE)

Register and create an account on EERE eXCHANGE at <https://eere-eXCHANGE.energy.gov>. This account will allow the user to apply to any open EERE FOAs that are currently in EERE eXCHANGE.

To access [EERE eXCHANGE](#), potential applicants must have a [Login.gov](#) account. As part of the eXCHANGE registration process, new users will be directed to create an account in Login.gov. Please note that the email address associated with Login.gov must match the email address associated with the eXCHANGE account. For more information, refer to the eXCHANGE Multi-Factor Authentication (MFA) Quick Guide in the [Manuals section](#) of eXCHANGE.

Each organization or business unit, whether acting as a team or a single entity, should use only one account as the contact point for each submission. Applicants should also designate backup points of contact. **This step is required to apply to this FOA.** The eXCHANGE registration does not have a delay; however, **the remaining registration requirements below could take several weeks to process and are necessary for a potential applicant to receive an award under this FOA.**

2. System for Award Management

Register with the SAM at <https://www.sam.gov>. Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called a Marketing Partner ID Number (MPIN) are important steps in SAM registration. Please update your SAM registration annually.

3. FedConnect

Register in FedConnect at <https://www.fedconnect.net>. To create an organization account, your organization's SAM MPIN is required. For more information about the SAM MPIN or other registration requirements, review the FedConnect Ready, Set, Go! Guide at https://www.fedconnect.net/FedConnect/Marketing/Documents/FedConnect_Ready_Set_Go.pdf.

4. Grants.gov

Register in Grants.gov (<http://www.grants.gov>) to receive automatic updates when Amendments to this FOA are posted. Please note that Letters of Intent, Concept Papers, and Full Applications will not be accepted through Grants.gov.

Electronic Authorization of Applications and Award Documents

Submission of an application and supplemental information under this FOA through electronic systems used by the DOE, including EERE eXCHANGE and FedConnect.net, constitutes the authorized representative's approval and electronic signature.

ii. Award Administrative Requirements

The administrative requirements for DOE grants and cooperative agreements are contained in 2 CFR Part 200 as amended by 2 CFR Part 910.

iii. Foreign National Participation

All applicants selected for an award under this FOA and project participants (including subrecipients and contractors) who anticipate involving foreign nationals in the performance of an award, may be required to provide DOE with specific information about each foreign national to satisfy requirements for foreign national participation. A "foreign national" is defined as any person who is not a United States citizen by birth or naturalization. The volume and type of information collected may depend on various factors associated with the award. DOE concurrence may be required before a foreign national can participate in the performance of any work under an award.

DOE may elect to deny a foreign national's participation in the award. Likewise, DOE may elect to deny a foreign national's access to a DOE site, information, technologies, equipment, programs, or personnel.

iv. Subaward and Executive Reporting

Additional administrative requirements necessary for DOE grants and cooperative agreements to comply with the Federal Funding and Transparency Act of 2006 (FFATA) are contained in 2 CFR Part 170. Prime recipients must register with the new FFATA Subaward Reporting System database and report the required data on their first tier subrecipients. Prime recipients must report the executive compensation for their own executives as part of their registration profile in SAM.

v. National Policy Requirements

The National Policy Assurances that are incorporated as a term and condition of award are located at: <http://www.nsf.gov/awards/managing/rtc.jsp>.

vi. Environmental Review in Accordance with National Environmental Policy Act (NEPA)

EERE's decision whether and how to distribute federal funds under this FOA is subject to 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 <https://www.energy.gov/nepa>.

While NEPA compliance is a federal agency responsibility and the ultimate decisions remain with the federal agency, all recipients selected for an award will be required to assist in the timely and effective completion of the NEPA process in the manner most pertinent to their proposed project. If DOE determines certain records must be prepared to complete the NEPA review process (e.g., biological evaluations or environmental assessments), the recipient may be required to prepare the records and the costs to prepare the necessary records may be included as part of the project costs.

vii. Flood Resilience

Applications should indicate whether the proposed project location(s) is within a floodplain, how the floodplain was defined, and how flooding will factor into the project's design. The base floodplain long used for planning has been the 100-year floodplain, which has a 1% chance of flooding in any given year. As directed by Executive Order 13690, Establishing a Federal Flood Risk Management Standard and a Process for Further Soliciting and Considering Stakeholder Input (2015), federal agencies, including DOE, must continue to avoid development in a floodplain to the extent possible. When doing so is not possible, federal agencies are directed to "expand management from the current base flood level

to a higher vertical elevation and corresponding horizontal floodplain to address current and future flood risk and ensure that projects funded with taxpayer dollars last as long as intended.” The higher flood elevation is based on one of three approaches: climate-informed science (preferred), freeboard value, or 0.2% annual flood change (500-year floodplain). EO 13690 and related information is available at: <https://www.energy.gov/nepa/articles/eo-13690-establishing-federal-flood-risk-management-standard-and-process-further>.

viii. Applicant Representations and Certifications

1. Lobbying Restrictions

By accepting funds under this award, the prime recipient agrees that none of the funds obligated on the award shall be expended, directly or indirectly, to influence Congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. § 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

2. Corporate Felony Conviction and Federal Tax Liability Representations

In submitting an application to this FOA, the applicant represents that:

- a. It is **not** a corporation that has been convicted of a felony criminal violation under any federal law within the preceding 24 months; and
- b. It is **not** a corporation that has any unpaid federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

For purposes of these representations, a corporation is any for-profit or nonprofit entity that has filed articles of incorporation in any of the 50 states, the District of Columbia, or the various territories of the United States [but not foreign corporations].

3. Nondisclosure and Confidentiality Agreements Representations

In submitting an application to this FOA the applicant represents that:

- a. It **does not and will not** require its employees or contractors to sign internal nondisclosure or confidentiality agreements or statements prohibiting or otherwise restricting its employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or

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law enforcement representative of a federal department or agency authorized to receive such information.

- b.** It **does not and will not** use any federal funds to implement or enforce any nondisclosure and/or confidentiality policy, form, or agreement it uses unless it contains the following provisions:

(1) *“These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling.”*

(2) The limitation above shall not contravene requirements applicable to Standard Form 312 Classified Information Nondisclosure Agreement (<https://fas.org/sgp/othergov/sf312.pdf>), Form 4414 Sensitive Compartmented Information Disclosure Agreement (<https://fas.org/sgp/othergov/intel/sf4414.pdf>), or any other form issued by a federal department or agency governing the nondisclosure of classified information.

(3) Notwithstanding the provision listed in paragraph (a), a nondisclosure or confidentiality policy form or agreement that is to be executed by a person connected with the conduct of an intelligence or intelligence-related activity, other than an employee or officer of the United States government, may contain provisions appropriate to the particular activity for which such document is to be used. Such form or agreement shall, at a minimum, require that the person will not disclose any classified information received in the course of such activity unless specifically authorized to do so by the United States government. Such nondisclosure or confidentiality forms shall also make it clear that they do not bar disclosures to Congress, or to an authorized official of an executive agency or the Department of Justice, that are essential to reporting a substantial violation of law.

ix. Statement of Federal Stewardship

EERE will exercise normal federal stewardship in overseeing the project activities performed under EERE awards. Stewardship Activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing assistance and/or temporary intervention in unusual circumstances to correct deficiencies that develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the project objectives have been accomplished.

x. Statement of Substantial Involvement

EERE has substantial involvement in work performed under awards made as a result of this FOA. EERE does not limit its involvement to the administrative requirements of the award. Instead, EERE has substantial involvement in the direction and redirection of the technical aspects of the project. Substantial involvement includes, but is not limited to, the following:

1. EERE shares responsibility with the recipient for the management, control, direction, and performance of the project.
2. EERE may intervene in the conduct or performance of work under this award for programmatic reasons. Intervention includes the interruption or modification of the conduct or performance of project activities.
3. EERE may redirect or discontinue funding the project based on the outcome of EERE's evaluation of the project at the Go/No-Go decision point(s).
4. EERE participates in major project decision-making processes.

xi. Subject Invention Utilization Reporting

To ensure that prime recipients, subrecipients, and contractors holding title to subject inventions are taking the appropriate steps to commercialize subject inventions, EERE may require that each prime recipient holding title to a subject invention submit annual reports for ten (10) years from the date the subject invention was disclosed to EERE on the utilization of the subject invention and efforts made by prime recipient or their licensees or assignees to stimulate such utilization. The reports must include information regarding the status of development, date of first commercial sale or use, gross royalties received by the prime recipient, and such other data and information as EERE may specify.

xii. Intellectual Property Provisions

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at <http://energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>.

xiii. Reporting

Reporting requirements are identified on the Federal Assistance Reporting Checklist, attached to the award agreement.

BETO Reporting Requirements

In addition to the deliverables required in the Federal Assistance Reporting Checklist, the following deliverables are required for awards:

For all Subtopic Areas, attendance at the BETO Biennial Peer Review is required so that external subject matter experts can review project accomplishments and provide feedback to ensure optimal use of BETO funds.

Topic Area 1:

- Projects must deliver representative annually harvested biomass samples along with relevant origin information and characterization data to the [Bioenergy Feedstock Library](#) located at the Idaho National Laboratory to enable broad access to physical samples and a database containing information about their chemical and physical properties, as available. These samples should represent the experimental design of each individual site of the project and at least two replicate samples should be provided for archival. Each project team will work with the Bioenergy Feedstock Library and RBRH groups to develop a Sample and Data Management Plan to detail the specific archival strategy and sample formats for each projects' samples.
- Projects must upload all additional non-proprietary data stemming from funded projects to the Bioenergy Knowledge Discovery Framework (<https://bioenergykdf.net/>) administered at Oak Ridge National Laboratory to facilitate dissemination to other researchers and industry.

xiv. Go/No-Go Review

Each project selected under this FOA will be subject to a periodic project evaluation referred to as a Go/No-Go Review. A Go/No-Go Review is a risk management tool and a project management best practice to ensure that, for the current phase or period of performance, technical success is definitively achieved and potential for success in future phases or periods of performance is evaluated, prior to beginning the execution of future phases. At the Go/No-Go decision points, EERE will evaluate project performance, project schedule

adherence, meeting milestone objectives, compliance with reporting requirements, and overall contribution to the program goals and objectives. Federal funding beyond the Go/No-Go decision point (continuation funding) is contingent upon (1) availability of federal funds appropriated by Congress for the purpose of this program; (2) the availability of future-year budget authority; (3) recipient's technical progress compared to the Milestone Summary Table stated in Attachment 1 of the award; (4) recipient's submittal of required reports; (5) recipient's compliance with the terms and conditions of the award; (6) EERE's Go/No-Go decision; (7) the recipient's submission of a continuation application;²¹ and (8) written approval of the continuation application by the Contracting Officer.

As a result of the Go/No-Go Review, DOE may, at its discretion, authorize the following actions: (1) continue to fund the project, contingent upon the availability of funds appropriated by Congress for the purpose of this program and the availability of future-year budget authority; (2) recommend redirection of work under the project; (3) place a hold on federal funding for the project, pending further supporting data or funding; or (4) discontinue funding the project because of insufficient progress, change in strategic direction, or lack of funding.

The Go/No-Go decision is distinct from a non-compliance determination. In the event a recipient fails to comply with the requirements of an award, EERE may take appropriate action, including but not limited to, redirecting, suspending, or terminating the award.

xv. Conference Spending

The recipient shall not expend any funds on a conference not directly and programmatically related to the purpose for which the grant or cooperative agreement was awarded that would defray the cost to the United States government of a conference held by any Executive branch department, agency, board, commission, or office for which the cost to the U.S. government would

²¹ A continuation application is a non-competitive application for an additional budget period within a previously approved project period. At least ninety (90) days before the end of each budget period, the recipient must submit its continuation application, which includes the following information:

- i. A progress report on the project objectives, including significant findings, conclusions, or developments, and an estimate of any unobligated balances remaining at the end of the budget period. If the remaining unobligated balance is estimated to exceed 20 percent of the funds available for the budget period, explain why the excess funds have not been obligated and how they will be used in the next budget period.
- ii. A detailed budget and supporting justification if there are changes to the negotiated budget, or a budget for the upcoming budget period was not approved at the time of award.
- iii. A description of any planned changes from the SOPO and/or Milestone Summary Table.

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otherwise exceed \$20,000, thereby circumventing the required notification by the head of any such Executive Branch department, agency, board, commission, or office to the Inspector General (or senior ethics official for any entity without an Inspector General), of the date, location, and number of employees attending such conference.

xvi. Uniform Commercial Code (UCC) Financing Statements

Per 2 CFR 910.360 (Real Property and Equipment) when a piece of equipment is purchased by a for-profit recipient or subrecipient with federal funds, and when the federal share of the financial assistance agreement is more than \$1 million the recipient or subrecipient must:

Properly record, and consent to the Department's ability to properly record if the recipient fails to do so, UCC financing statement(s) for all equipment in excess of \$5,000 purchased with project funds. These financing statement(s) must be approved in writing by the Contracting Officer prior to the recording, and they shall provide notice that the recipient's title to all equipment (not real property) purchased with federal funds under the financial assistance agreement is conditional pursuant to the terms of this section, and that the government retains an undivided reversionary interest in the equipment. The UCC financing statement(s) must be filed before the Contracting Officer may reimburse the recipient for the federal share of the equipment unless otherwise provided for in the relevant financial assistance agreement. The recipient shall further make any amendments to the financing statements or additional recordings, including appropriate continuation statements, as necessary or as the Contracting Officer may direct.

xvii. Real Property and Equipment

Real property and equipment purchased with project funds (federal share and recipient cost share) are subject to the requirements at 2 CFR 200.310, 200.311, 200.313, and 200.316 (non-federal entities, except for-profit entities) and 2 CFR 910.360 (for-profit entities).

For projects selected for awards under this FOA, the recipients may (1) take disposition action on the real property and equipment; or (2) continue to use the real property and equipment after the conclusion of the award period of performance with Contracting Officer approval. The recipient's written request for Continued Use must identify the property and include: a summary of how the property will be used (must align with the authorized project purposes); a proposed use period, (e.g., perpetuity, until fully depreciated, or a calendar date when the recipient expects to submit disposition instructions); acknowledgement that the recipient shall not sell or encumber the property or

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permit any encumbrance without prior written DOE approval; current fair market value of the property; and an estimated useful life or depreciation schedule for equipment.

When the property is no longer needed for authorized project purposes, the recipient must request disposition instructions from DOE. For-profit entity disposition requirements are set forth in 2 CFR 910.360. Property disposition requirements for other non-federal entities are set forth in 2 CFR 200.310 – 200.316.

xviii. Implementation of Executive Order 13798, Promoting Free Speech and Religious Liberty

States, local governments, and other public entities may not condition subawards in a manner that would discriminate against or otherwise disadvantage subrecipients based on their religious character.

xix. Participants and Collaborating Organizations

If selected for award negotiations, the selected applicant must submit a list of personnel who are proposed to work on the project, both at the recipient and subrecipient level and a list of collaborating organizations prior to award. Recipients will have an ongoing responsibility to notify DOE of changes to the personnel and collaborating organizations and submit updated information during the life of the award.

xx. Current and Pending Support

If selected for award negotiations, within 30 days of the selection notice, the selectee must submit 1) current and pending support disclosures and resumes for any new PIs or Senior/Key Personnel and 2) updated disclosures if there have been any changes to the current and pending support submitted with the application. Throughout the life of the award, the Recipient has an ongoing responsibility to submit 1) current and pending support disclosure statements and resumes for any new PI and Senior/Key Personnel and 2) updated disclosures if there are changes to the current and pending support previously submitted to DOE. Also see Section IV.D.xvi.

xxi. U.S. Manufacturing Commitments

A primary objective of DOE's multi-billion-dollar research, development and demonstration investments is to cultivate new research and development ecosystems, manufacturing capabilities, and supply chains for and by United States industry and labor. Therefore, in exchange for receiving taxpayer dollars to support an applicant's project, the applicant and any subrecipient and

contractor must agree to a U.S. Competitiveness provision requiring that any products embodying any subject invention or produced through the use of any subject invention will be manufactured substantially in the United States unless the recipient can show to the satisfaction of DOE that it is not commercially feasible. Award terms, including the specific U.S. Competitiveness Provision applicable to the various types of recipients and projects, are available at: <https://www.energy.gov/gc/standard-intellectual-property-ip-provisions-financial-assistance-awards>.

Please note that a subject invention is any invention conceived or first actually reduced in performance of work under an award. An invention is any invention or discovery which is or may be patentable. The recipient includes any awardee, recipient, sub-awardee, or sub-recipient.

As noted in the U.S. Competitiveness Provision, if an entity cannot meet the requirements of the U.S. Competitiveness Provision, the entity may request a modification or waiver of the U.S. Competitiveness Provision. For example, the entity may propose modifying the language of the U.S. Competitiveness Provision in order to change the scope of the requirements or to provide more specifics on the application of the requirements for a particular technology. As another example, the entity may request that the U.S. Competitiveness Provision be waived in lieu of a net benefits statement or United States manufacturing plan. The statement or plan would contain specific and enforceable commitments that would be beneficial to the United States economy and competitiveness. Examples of such commitments could include manufacturing specific products in the United States, making a specific investment in a new or existing United States manufacturing facility, keeping certain activities based in the United States or supporting a certain number of jobs in the United States related to the technology. DOE may, in its sole discretion, determine that the proposed modification or waiver promotes commercialization and provides substantial United States economic benefits, and grant the request. If granted, DOE will modify the award terms and conditions for the requesting entity accordingly.

More information and guidance on the waiver and modification request process can be found in the DOE Financial Assistance Letter on this topic, available at <https://www.energy.gov/management/pf-2022-09-fal-2022-01-implementation-doe-determination-exceptional-circumstances-under>. Additional information on DOE's Commitment to Domestic Manufacturing for DOE-funded R&D is available at <https://www.energy.gov/gc/us-manufacturing>.

The U.S. Competitiveness Provision is implemented by DOE pursuant to a Determination of Exceptional Circumstances (DEC) under the Bayh-Dole Act and DOE Patent Waivers. See Section VIII.J. Title to Subject Inventions of this FOA for more information on the DEC and DOE Patent Waivers.

xxii. Interim Conflict of Interest Policy for Financial Assistance

The DOE interim Conflict of Interest Policy for Financial Assistance (COI Policy)²² is applicable to all non-Federal entities applying for, or that receive, DOE funding by means of a financial assistance award (e.g., a grant, cooperative agreement, or technology investment agreement) and, through the implementation of this policy by the entity, to each Investigator who is planning to participate in, or is participating in, the project funded wholly or in part under the DOE financial assistance award. The term “Investigator” means the PI and any other person, regardless of title or position, who is responsible for the purpose, design, conduct, or reporting of a project funded by DOE or proposed for funding by DOE. Recipients must flow down the requirements of the interim COI Policy to any subrecipient non-federal entities. Further, for DOE funded projects, the recipient must include all financial conflicts of interest (FCOI) (i.e., managed and unmanaged/ unmanageable) in its initial and ongoing FCOI reports.

It is understood that non-federal entities and individuals receiving DOE financial assistance awards will need sufficient time to come into full compliance with DOE’s interim COI Policy. To provide some flexibility, DOE allows for a staggered implementation. Specifically, prior to award, applicants selected for award negotiations must: ensure all Investigators complete their significant financial disclosures; review the disclosures; determine whether a FCOI exists; develop and implement a management plan for FCOIs; and provide DOE with an initial FCOI report that includes all FCOIs (i.e., managed and unmanaged/ unmanageable). Recipients will have 180 days from the date of the award to come into full compliance with the other requirements set forth in DOE’s interim COI Policy. Prior to award, the applicant must certify that it is, or will be within 180 days of the award, compliant with all requirements in the COI Policy.

xxiii. Data Management Plan

Each applicant whose Full Application is selected for award negotiations will be required to submit a Data Management Plan (DMP) during the award negotiations phase. A DMP explains how, when appropriate, data generated in the course of the work performed under an EERE award will be shared and preserved to validate the results of the proposed work or how the results could

²² DOE’s interim COI Policy can be found at [PF 2022-17 FAL 2022-02 Department of Energy Interim Conflict of Interest Policy Requirements for Financial Assistance](#).

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be validated if the data is not shared or preserved. The DMP must provide a plan for making all research data displayed in publications resulting from the proposed work digitally accessible at the time of publications.

xxiv. Fraud, Waste, and Abuse

The mission of the DOE Office of Inspector General (OIG) is to strengthen the integrity, economy, and efficiency of the Department's programs and operations including deterring and detecting fraud, waste, abuse, and mismanagement. The OIG accomplishes this mission primarily through investigations, audits, and inspections of DOE activities to include grants, cooperative agreements, loans, and contracts.

The OIG maintains a hotline for reporting allegations of fraud, waste, abuse, or mismanagement. To report such allegations, please visit <https://www.energy.gov/ig/ig-hotline>.

Additionally, recipients of DOE awards must be cognizant of the requirements of [2 CFR 200.113 Mandatory disclosures](#), which states:

The non-Federal entity or applicant for a federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a federal award including the term and condition outlined in appendix XII of 2 CFR Part 200 are required to report certain civil, criminal, or administrative proceedings to SAM.gov. Failure to make required disclosures can result in any of the remedies described in [2 CFR 200.339](#). (See also [2 CFR part 180](#), [31 U.S.C. § 3321](#), and [41 U.S.C. § 2313](#).) [[85 FR 49539](#), Aug. 13, 2020]

Applicants and subrecipients (if applicable) are encouraged to allocate sufficient costs in the project budget to cover the costs associated for personnel and data infrastructure needs to support performance management and program evaluation needs, including but not limited to independent program and project audits to mitigate risks for fraud, waste, and abuse.

VII. Questions/Agency Contacts

Upon the issuance of a FOA, EERE personnel are prohibited from communicating (in writing or otherwise) with applicants regarding the FOA except through the

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established question and answer process described below. Questions regarding this FOA must be submitted to FY24RRHCropsFOA@ee.doe.gov no later than three (3) business days prior to the application due date and time. Please note, feedback on individual concepts will not be provided through Q&A.

All questions and answers related to this FOA will be posted on EERE eXCHANGE at: <https://eere-exchange.energy.gov>. **You must first select the FOA Number to view the questions and answers specific to this FOA.** EERE will attempt to respond to a question within three (3) business days unless a similar question and answer has already been posted on the website.

Questions related to the registration process and use of the EERE eXCHANGE website should be submitted to: EERE-eXCHANGESupport@hq.doe.gov.

VIII. Other Information

A. FOA Modifications

Amendments to this FOA will be posted on EERE eXCHANGE and the Grants.gov system. However, you will only receive an email when an amendment or a FOA is posted on these sites if you register for email notifications for this FOA in Grants.gov. EERE recommends that you register as soon after the release of the FOA as possible to ensure you receive timely notice of any amendments or other FOAs.

B. Government Right to Reject or Negotiate

EERE reserves the right, without qualification, to reject any or all applications received in response to this FOA and to select any application, in whole or in part, as a basis for negotiation and/or award.

C. Commitment of Public Funds

The Contracting Officer is the only individual who can make awards or commit the government to the expenditure of public funds. A commitment by anyone other than the Contracting Officer, either express or implied, is invalid.

D. Treatment of Application Information

Applicants should not include trade secrets or business-sensitive, proprietary, or otherwise confidential information in their application unless such information is necessary to convey an understanding of the proposed project or to comply with a requirement in the FOA. Applicants are advised to not include any critically sensitive proprietary detail.

If an application includes trade secrets or business-sensitive, proprietary, or otherwise confidential information, it is furnished to the federal 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, EERE will seek to limit disclosure of such information to its employees and to outside reviewers when necessary for merit review of the application or as otherwise authorized by law. This restriction does not limit the federal government's right to use the information if it is obtained from another source.

If an applicant chooses to submit trade secrets or business-sensitive, proprietary, or otherwise confidential information, the applicant must provide **two copies** of the submission (e.g., Concept Paper, Full Application). The first copy should be marked "non-confidential," with the information believed to be confidential deleted. The second copy should be marked "confidential" and must clearly and conspicuously identify the trade secrets or business-sensitive, proprietary, or otherwise confidential information and 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 federal government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose as authorized by law.

The cover sheet of the Full Application, and other applicant submission must be marked as follows and identify the specific pages containing trade secrets or business-sensitive, proprietary, or otherwise confidential information:

Notice of Restriction on Disclosure and Use of Data:

Pages [list applicable pages] of this document may contain trade secrets or business-sensitive, proprietary, or otherwise confidential information that is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance agreement between the submitter and the government. The government may use or disclose any information that is not appropriately marked or otherwise restricted, regardless of source. [End of Notice]

In addition, (1) the header and footer of every page that contains trade secrets or business-sensitive, proprietary, or otherwise confidential information must be marked as follows: "Contains Trade Secrets or Business-Sensitive, Proprietary, or Otherwise Confidential Information Exempt from Public Disclosure," and (2) every line or paragraph containing such information must be clearly marked with double

brackets or highlighting. DOE will make its own determination about the confidential status of the information and treat it according to its determination.

E. Evaluation and Administration by Non-Federal Personnel

In conducting the merit review evaluation, the Go/No-Go Reviews, and Peer Reviews, the government may seek the advice of qualified non-federal personnel as reviewers. The government may also use non-federal personnel to conduct routine, nondiscretionary administrative activities, including EERE contractors. The applicant, by submitting its application, consents to the use of non-federal reviewers/administrators. Non-federal reviewers must sign conflict of interest (COI) and non-disclosure acknowledgements (NDA) prior to reviewing an application. Non-federal personnel conducting administrative activities must sign an NDA.

F. Notice Regarding Eligible/Ineligible Activities

Eligible activities under this FOA include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned, or pending legislation.

G. Notice of Right to Conduct a Review of Financial Capability

EERE reserves the right to conduct an independent third-party review of financial capability for applicants that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

H. Requirement for Full and Complete Disclosure

Applicants are required to make a full and complete disclosure of all information requested. Any failure to make a full and complete disclosure of the requested information may result in:

- The termination of award negotiations;
- The modification, suspension, and/or termination of a funding agreement;
- The initiation of debarment proceedings, debarment, and/or a declaration of ineligibility for receipt of federal contracts, subcontracts, and financial assistance and benefits; and
- Civil and/or criminal penalties.

I. Retention of Submissions

EERE expects to retain copies of all Full Applications and other submissions. No submissions will be returned. By applying to EERE for funding, applicants consent to EERE's retention of their submissions.

J. Title to Subject Inventions

Ownership of subject inventions is governed pursuant to the authorities listed below:

- Domestic Small Businesses, Educational Institutions, and Nonprofits: Under the Bayh-Dole Act (35 U.S.C. § 200 et seq.), domestic small businesses, educational institutions, and nonprofits may elect to retain title to their subject inventions;
- All other parties: The federal Non-Nuclear Energy Act of 1974, 42 U.S.C. § 5908, provides that the government obtains title to new inventions unless a waiver is granted (see below);
- Class Patent Waiver: DOE has issued a class waiver that applies to this FOA. Under this class waiver, domestic large businesses may elect title to their subject inventions similar to the right provided to the domestic small businesses, educational institutions, and nonprofits by law. To avail itself of the class waiver, a domestic large business must agree that any products embodying or produced through the use of a subject invention first created or reduced to practice under this program will be substantially manufactured in the United States.
- Advance and Identified Waivers: Applicants not covered by a Class Patent Waiver or the Bayh-Dole Act may request a patent waiver that will cover subject inventions that may be invented under the award, in advance of or within 30 days after the effective date of the award. Even if an advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver for identified inventions, i.e., individual subject inventions that are disclosed to EERE within the timeframes set forth in the award's intellectual property terms and conditions. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.
- DEC: On June 07, 2021, DOE approved a Determination of Exceptional Circumstances (DEC) under the Bayh-Dole Act to further promote domestic manufacture of DOE science and energy technologies. In accordance with this DEC, all awards, including sub-awards, under this FOA shall include the U.S. Competitiveness Provision in accordance with Section VI.B.xxi. U.S. Manufacturing Commitments of this FOA. A copy of the DEC can be found at <https://www.energy.gov/gc/determination-exceptional-circumstances-decs>. Pursuant to 37 CFR § 401.4, any nonprofit organization or small business firm as defined by 35 U.S.C. 201 affected by any DEC has the right to appeal it by

providing written notice to DOE within 30 working days from the time it receives a copy of the determination.

- DOE may issue and publish further DEC's on the website above prior to the issuance of awards under this FOA. DOE may require additional submissions or requirements as authorized by any applicable DEC.

K. Government Rights in Subject Inventions

Where prime recipients, subrecipients, and contractors retain title to subject inventions, the U.S. government retains certain rights.

i. Government Use License

The U.S. government retains a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States any subject invention throughout the world. This license extends to government contractors.

ii. March-In Rights

The U.S. government retains march-in rights with respect to all subject inventions. Through "march-in rights," the government may require a prime recipient or subrecipient who has elected to retain title to a subject invention (or their assignees or exclusive licensees), to grant a license for use of the invention to a third party. In addition, the government may grant licenses for use of the subject invention when a prime recipient, subrecipient, or their assignees and exclusive licensees refuse to do so.

DOE may exercise its march-in rights only if it determines that such action is necessary under any of the four following conditions:

- The owner or licensee has not taken or is not expected to take effective steps to achieve practical application of the invention within a reasonable time;
- The owner or licensee has not taken action to alleviate health or safety needs in a reasonably satisfied manner;
- The owner has not met public use requirements specified by federal statutes in a reasonably satisfied manner; or
- The United States manufacturing requirement has not been met.

Any determination that march-in rights are warranted must follow a fact-finding process in which the recipient has certain rights to present evidence and witnesses, confront witnesses and appear with counsel and appeal any adverse decision. To date, DOE has never exercised its march-in rights to any subject inventions.

L. Rights in Technical Data

Data rights differ based on whether data is first produced under an award or instead was developed at private expense outside the award.

“Limited Rights Data”: The U.S. government will not normally require delivery of confidential or trade secret-type technical data developed solely at private expense prior to issuance of an award, except as necessary to monitor technical progress and evaluate the potential of proposed technologies to reach specific technical and cost metrics.

Government Rights in Technical Data Produced Under Awards: The U.S. government normally retains unlimited rights in technical data produced under government financial assistance awards, including the right to distribute to the public. However, pursuant to special statutory authority, certain categories of data generated under EERE awards under this FOA may be protected from public disclosure for up to five years after the data is generated (“Protected Data”). For awards permitting Protected Data, the protected data must be marked as set forth in the award’s intellectual property terms and conditions and a listing of unlimited rights data (i.e., non-protected data) must be inserted into the data clause in the award. In addition, invention disclosures may be protected from public disclosure for a reasonable time in order to allow for filing a patent application.

M. Copyright

The prime recipient and subrecipients may assert copyright in copyrightable works, such as software, first produced under the award without EERE approval. When copyright is asserted, the government retains a paid-up nonexclusive, irrevocable worldwide license to reproduce, prepare derivative works, distribute copies to the public, and to perform publicly and display publicly the copyrighted work. This license extends to contractors and others doing work on behalf of the government.

N. Export Control

The United States government regulates the transfer of information, commodities, technology, and software considered to be strategically important to the United States to protect national security, foreign policy, and economic interests without imposing undue regulatory burdens on legitimate international trade. There is a network of federal agencies and regulations that govern exports that are collectively referred to as “Export Controls.” All recipients and subrecipients are responsible for ensuring compliance with all applicable United States Export Control laws and regulations relating to any work performed under a resulting award.

The recipient must immediately report to DOE any export control violations related to the project funded under the DOE award, at the recipient or subrecipient level, and provide the corrective action(s) to prevent future violations.

O. Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment

As set forth in 2 CFR 200.216, recipients and subrecipients are prohibited from obligating or expending project funds (federal funds and recipient cost share) to procure or obtain; extend or renew a contract to procure or obtain; or enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that use *covered telecommunications equipment or services* as a substantial or essential component of any system, or as critical technology as part of any system. As described in Section 889 of Public Law 115-232, *covered telecommunications equipment* is telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).

See Public Law 115-232, Section 889, 2 CFR 200.216, and 2 CFR 200.471 for additional information.

P. Personally Identifiable Information (PII)

All information provided by the applicant must to the greatest extent possible exclude PII. The term “PII” refers to information which can be used to distinguish or trace an individual's identity, such as their name, social security number, biometric records, alone, or when combined with other personal or identifying information which is linked or linkable to a specific individual, such as date and place of birth, mother’s maiden name. (See OMB Memorandum M-17-12 dated January 3, 2017)

By way of example, applicants must screen resumes to ensure that they do not contain PII such as personal addresses, personal landline/cell phone numbers, and personal emails. **Under no circumstances should Social Security Numbers (SSNs) be included in the application.** Federal agencies are prohibited from the collecting, using, and displaying unnecessary SSNs. (See, the Federal Information Security Modernization Act of 2014 (Pub. L. No. 113-283, Dec 18, 2014; 44 U.S.C. § 3551).

Q. Annual Independent Audits

If a for-profit entity is a prime recipient and has expended \$750,000 or more of DOE awards during the entity's fiscal year, an annual compliance audit performed by an independent auditor is required. For additional information, please refer to 2 CFR 910.501 and Subpart F.

If an educational institution, non-profit organization, or state/local government is a prime recipient or subrecipient and has expended \$750,000 or more of federal awards during the non-federal entity's fiscal year, a Single or Program-Specific Audit is required. For additional information, please refer to 2 CFR 200.501 and Subpart F.

Applicants and subrecipients (if applicable) should propose sufficient costs in the project budget to cover the costs associated with the audit. EERE will share in the cost of the audit at its applicable cost share ratio.

APPENDIX A – COST SHARE INFORMATION

Cost Sharing or Cost Matching

The terms “cost sharing” and “cost matching” are often used synonymously. Even the DOE Financial Assistance Regulations, 2 CFR 200.306, use both terms in the titles specific to regulations applicable to cost sharing. EERE almost always uses “cost sharing,” as it conveys the concept that non-federal share is calculated as a percentage of the Total Project Cost. An exception is the State Energy Program Regulation, 10 CFR 420.12, State Matching Contribution. Here “cost matching” for the non-federal share is calculated as a percentage of the federal funds only, rather than the Total Project Cost.

How Cost Sharing Is Calculated

As stated above, cost sharing is calculated as a percentage of the Total Project Cost. FFRDC costs must be included in Total Project Costs. The following is an example of how to calculate cost sharing amounts for a project with \$1,000,000 in federal funds with a minimum 20% non-federal cost sharing requirement:

- Formula: Federal share (\$) divided by federal share (%) = Total Project Cost
Example: \$1,000,000 divided by 80% = \$1,250,000
- Formula: Total Project Cost (\$) minus federal share (\$) = Non-federal share (\$)
Example: \$1,250,000 minus \$1,000,000 = \$250,000
- Formula: Non-federal share (\$) divided by Total Project Cost (\$) = Non-federal share (%)
Example: \$250,000 divided by \$1,250,000 = 20%

What Qualifies for Cost Sharing

While it is not possible to explain what specifically qualifies for cost sharing in one or two sentences, in general, if a cost is allowable under the cost principles applicable to the organization incurring the cost and is eligible for reimbursement under an EERE grant or cooperative agreement, it is allowable as cost share. Conversely, if the cost is not allowable under the cost principles and not eligible for reimbursement, it is not allowable as cost share. In addition, costs may not be counted as cost share if they are paid by the federal government under another award unless authorized by federal statute to be used for cost sharing.

The rules associated with what is allowable as cost share are specific to the type of organization that is receiving funds under the grant or cooperative agreement, though are generally the same for all types of entities. The specific rules applicable to:

- FAR Part 31 for For-Profit entities, (48 CFR Part 31); and
- 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.

In addition to the above regulations, other factors may also come into play such as timing of donations and length of the project period. For example, the value of 10 years of donated maintenance on a project that has a project period of five years would not be fully allowable as cost share. Only the value for the five years of donated maintenance that corresponds to the project period is allowable and may be counted as cost share.

Additionally, EERE generally does not allow pre-award costs for either cost share or reimbursement when these costs precede the signing of the appropriation bill that funds the award. In the case of a competitive award, EERE generally does not allow pre-award costs prior to the signing of the Selection Statement by the EERE Selection Official.

General Cost Sharing Rules on a DOE Award

- 1. Cash Cost Share** encompasses all contributions to the project made by the recipient or subrecipient(s), for costs incurred and paid for during the project. This includes when an organization pays for personnel, supplies, equipment for their own company with organizational resources. If the cost of the item or service is reimbursed, it is cash cost share. All cost share items must be necessary to the performance of the project.
- 2. In-Kind Cost Share** encompasses all contributions to the project made by the recipient or subrecipient(s) that do not involve a payment or reimbursement and represent donated items or services. In-Kind cost share items include volunteer personnel hours, donated existing equipment, and donated existing supplies. The cash value and calculations thereof for all In-Kind cost share items must be justified and explained in the Cost Share section of the project Budget Justification. All cost share items must be necessary to the performance of the project. Consult your DOE contact if you have questions before filling out the In-Kind cost share section of the Budget Justification.
- 3. Funds from other federal sources** may **not** be counted as cost share. This prohibition includes FFRDC subrecipients. Non-federal sources include any source not originally derived from federal funds. Cost sharing commitment letters from subrecipients must be provided with the original application.
- 4. Fee or profit**, including foregone fee or profit, are not allowable as project costs (including cost share) under any resulting award. The project may only incur those costs

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that are allowable and allocable to the project (including cost share) as determined in accordance with the applicable cost principles prescribed in FAR Part 31 for For-Profit entities and 2 CFR Part 200 Subpart E - Cost Principles for all other non-federal entities.

DOE Financial Assistance Rules 2 CFR Part 200 as amended by 2 CFR Part 910

As stated above, the rules associated with what is allowable cost share are generally the same for all types of organizations. Following are the rules found to be common, but again, the specifics are contained in the regulations and cost principles specific to the type of entity:

- (A)** Acceptable contributions. All contributions, including cash contributions and third-party in-kind contributions, must be accepted as part of the prime recipient's cost sharing if such contributions meet all of the following criteria:
- (1)** They are verifiable from the recipient's records.
 - (2)** They are not included as contributions for any other federally assisted project or program.
 - (3)** They are necessary and reasonable for the proper and efficient accomplishment of project or program objectives.
 - (4)** They are allowable under the cost principles applicable to the type of entity incurring the cost as follows:
 - a.** For-profit organizations. Allowability of costs incurred by for-profit organizations and those nonprofit organizations listed in Attachment C to OMB Circular A-122 is determined in accordance with the for-profit cost principles in 48 CFR Part 31 in the FAR, except that patent prosecution costs are not allowable unless specifically authorized in the award document. (v) Commercial Organizations. FAR Subpart 31.2—Contracts with Commercial Organizations; and
 - b.** Other types of organizations. For all other non-federal entities, allowability of costs is determined in accordance with 2 CFR Part 200 Subpart E.
 - (5)** They are not paid by the federal government under another award unless authorized by federal statute to be used for cost sharing or matching.
 - (6)** They are provided for in the approved budget.

(B) Valuing and documenting contributions

- (1) Valuing recipient's property or services of recipient's employees.** Values are established in accordance with the applicable cost principles, which mean that amounts chargeable to the project are determined on the basis of costs incurred. For real property or equipment used on the project, the cost principles authorize depreciation or use charges. The full value of the item may be applied when the item will be consumed in the performance of the award or fully depreciated by the end of the award. In cases where the full value of a donated capital asset is to be applied as cost sharing or matching, that full value must be the lesser or the following:

 - a.** The certified value of the remaining life of the property recorded in the recipient's accounting records at the time of donation; or
 - b.** The current fair market value. If there is sufficient justification, the Contracting Officer may approve the use of the current fair market value of the donated property, even if it exceeds the certified value at the time of donation to the project. The Contracting Officer may accept the use of any reasonable basis for determining the fair market value of the property.
- (2) Valuing services of others' employees.** If an employer other than the recipient furnishes the services of an employee, those services are valued at the employee's regular rate of pay, provided these services are for the same skill level for which the employee is normally paid.
- (3) Valuing volunteer services.** Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as cost sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for volunteer services must be consistent with those paid for similar work in the recipient's organization. In those markets in which the required skills are not found in the recipient organization, rates must be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.
- (4) Valuing property donated by third parties.**

 - a.** Donated supplies may include such items as office supplies or laboratory supplies. Value assessed to donated supplies included in the cost sharing or matching share must be reasonable and must not exceed the fair market value of the property at the time of the donation.

- b.** Normally only depreciation or use charges for equipment and buildings may be applied. However, the fair rental charges for land and the full value of equipment or other capital assets may be allowed, when they will be consumed in the performance of the award or fully depreciated by the end of the award, provided that the Contracting Officer has approved the charges. When use charges are applied, values must be determined in accordance with the usual accounting policies of the recipient, with the following qualifications:

 - i.** The value of donated space must not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately-owned building in the same locality.
 - ii.** The value of loaned equipment must not exceed its fair rental value.
- (5) Documentation.** The following requirements pertain to the recipient's supporting records for in-kind contributions from third parties:
- a.** Volunteer services must be documented and, to the extent feasible, supported by the same methods used by the recipient for its own employees.
 - b.** The basis for determining the valuation for personal services and property must be documented.

APPENDIX B – WAIVER REQUESTS FOR: 1. FOREIGN ENTITY PARTICIPATION; AND 2. FOREIGN WORK

1. Waiver for Foreign Entity Participation

Many of the technology areas DOE funds fall in the category of critical and emerging technologies (CETs). CETs are a subset of advanced technologies that are potentially significant to United States national and economic security.²³ For projects selected under this FOA, all recipients and subrecipients must be organized, chartered, or incorporated (or otherwise formed) under the laws of a state or territory of the United States; have majority domestic ownership and control; and have a physical location for business operations in the United States. To request a waiver of this requirement, an applicant must submit an explicit waiver request in the Full Application.

Waiver Criteria

Foreign entities seeking to participate in a project funded under this FOA must demonstrate to the satisfaction of DOE that:

- a. Its participation is in the best interest of the United States industry and United States economic development;
- b. The project team has appropriate measures in place to control sensitive information and protect against unauthorized transfer of scientific and technical information;
- c. Adequate protocols exist between the United States subsidiary and its foreign parent organization to comply with export control laws and any obligations to protect proprietary information from the foreign parent organization;
- d. The work is conducted within the United States and the entity acknowledges and demonstrates that it has the intent and ability to comply with the United States Competitiveness Provision (see Section VI.B.xxi.); and
- e. The foreign entity will satisfy other conditions that may be deemed necessary by DOE to protect United States government interests.

Content for Waiver Request

A Foreign Entity waiver request must include the following:

- a. Information about the entity: name, point of contact, and proposed type of involvement in the project;
- b. Country of incorporation, the extent of the ownership/level control by foreign entities, whether the entity is state owned or controlled, a summary of the ownership breakdown of the foreign entity, and the percentage of

²³ See [Critical and Emerging Technologies List Update \(whitehouse.gov\)](https://www.whitehouse.gov).

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- ownership/control by foreign entities, foreign shareholders, foreign state or foreign individuals;
- c. The rationale for proposing a foreign entity participate (must address criteria above);
 - d. A description of the project's anticipated contributions to the United States economy;
 - How the project will benefit the United States, including manufacturing, contributions to employment in the United States and growth in new markets and jobs in the United States;
 - How the project will promote manufacturing of products and/or services in the United States;
 - e. A description of how the foreign entity's participation is essential to the project;
 - f. A description of the likelihood of Intellectual Property (IP) being created from the work and the treatment of any such IP; and
 - g. Countries where the work will be performed (Note: if any work is proposed to be conducted outside the United States, the applicant must also complete a separate request foreign work waiver).

DOE may also require:

- A risk assessment with respect to IP and data protection protocols that includes the export control risk based on the data protection protocols, the technology being developed, and the foreign entity and country. These submissions could be prepared by the project lead (if not the prime recipient), but the prime recipient must make a representation to DOE as to whether it believes the data protection protocols are adequate and make a representation of the risk assessment – high, medium, or low risk of data leakage to a foreign entity.
- Additional language be added to any agreement or subagreement to protect IP, mitigate risk, or other related purposes.

DOE may require additional information before considering the waiver request.

DOE's decision concerning a waiver request is not appealable.

2. **Performance of Work in the United States (Foreign Work Waiver Request)**

As set forth in Section IV.J.iii., all work funded under this FOA must be performed in the United States. To seek a waiver of the Performance of Work in the United States requirement, the applicant must submit an explicit waiver request in the Full Application. A separate waiver request must be submitted for each entity proposing performance of work outside of the United States.

Overall, a waiver request must demonstrate to the satisfaction of DOE that it would further the purposes of this FOA and is otherwise in the economic interests of the

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United States to perform work outside of the United States. A request for a foreign work waiver must include the following:

1. The rationale for performing the work outside the United States (“foreign work”);
2. A description of the work proposed to be performed outside the United States;
3. An explanation as to how the foreign work is essential to the project;
4. A description of the anticipated benefits to be realized by the proposed foreign work and the anticipated contributions to the U.S. economy;
5. The associated benefits to be realized and the contribution to the project from the foreign work;
6. How the foreign work will benefit the United States, including manufacturing, contributions to employment in the United States and growth in new markets and jobs in the United States;
7. How the foreign work will promote manufacturing of products and/or services in the United States;
8. A description of the likelihood of IP being created from the foreign work and the treatment of any such IP;
9. The total estimated cost (DOE and recipient cost share) of the proposed foreign work;
10. The countries in which the foreign work is proposed to be performed; and
11. The name of the entity that would perform the foreign work.

DOE may require additional information before considering the waiver request.

DOE’s decision concerning a waiver request is not appealable.

APPENDIX C – REQUIRED USE OF AMERICAN IRON, STEEL, MANUFACTURED PRODUCTS, AND CONSTRUCTION MATERIALS BUY AMERICA REQUIREMENTS FOR INFRASTRUCTURE PROJECTS

A. Definitions

For purposes of the Buy America requirements, based both on the statute and OMB Guidance Document dated April 18, 2022, the following definitions apply:

Construction materials includes an article, material, or supply—other than an item of primarily iron or steel; a manufactured product; cement and cementitious materials; aggregates such as stone, sand, or gravel; or aggregate binding agents or additives²⁴—that is or consists primarily of:

- Non-ferrous metals;
- Plastic and polymer-based products (including polyvinylchloride, composite building materials, and polymers used in fiber optic cables);
- Glass (including optic glass);
- Lumber; or
- Drywall.

Infrastructure includes, at a minimum, the structures, facilities, and equipment for, in the United States, roads, highways, and bridges; public transportation; dams, ports, harbors, and other maritime facilities; intercity passenger and freight railroads; freight and intermodal facilities; airports; water systems, including drinking water and wastewater systems; electrical transmission facilities and systems; utilities; broadband infrastructure; and buildings and real property. Infrastructure includes facilities that generate, transport, and distribute energy.

Moreover, according to the OMB guidance document:

When determining if a program has infrastructure expenditures, Federal agencies should interpret the term “infrastructure” broadly and consider the definition provided above as illustrative and not exhaustive. When determining if a particular construction project of a type not listed in the definition above constitutes “infrastructure,” agencies should consider whether the project will serve a public function, including whether the project is publicly owned and operated, privately operated on behalf of the public, or is a place of public accommodation, as opposed to a project that is privately owned and not open to the public. Projects with the former qualities have greater indicia of infrastructure, while projects with the latter quality have fewer. Projects consisting solely of the

²⁴ BIL, § 70917(c)(1).

purchase, construction, or improvement of a private home for personal use, for example, would not constitute an infrastructure project.

The Agency, not the applicant, will have the final say as to whether a given project includes infrastructure, as defined herein. Accordingly, in cases where the “public” nature of the infrastructure is unclear but the other relevant criteria are met, DOE strongly recommends that applicants complete their full application with the assumption that Buy America requirements will apply to the proposed project.

Project means the construction, alteration, maintenance, or repair of infrastructure in the United States.

B. Buy America Requirements for Infrastructure Projects (“Buy America” requirements)

In accordance with Section 70914 of the BIL, none of the project funds (includes federal share and recipient cost share) may be used for a project for infrastructure unless:

(1) all iron and steel used in the project are produced in the United States--this means all manufacturing processes, from the initial melting stage through the application of coatings, occurred in the United States;

(2) all manufactured products used in the project are produced in the United States—this means the manufactured product was manufactured in the United States; and the cost of the components of the manufactured product that are mined, produced, or manufactured in the United States is greater than 55 percent of the total cost of all components of the manufactured product, unless another standard for determining the minimum amount of domestic content of the manufactured product has been established under applicable law or regulation; and

(3) all construction materials²⁵ are produced in the United States—this means that all manufacturing processes for the construction material occurred in the United States.

The Buy America requirements only apply to articles, materials, and supplies that are consumed in, incorporated into, or affixed to an infrastructure project. As such, it does not apply to tools, equipment, and supplies, such as temporary scaffolding, brought to the construction site and removed at or before the completion of the infrastructure project. Nor does the Buy America requirements apply to equipment and furnishings, such as movable chairs, desks, and portable computer equipment, that are used at or within the finished infrastructure project, but are not an integral part of the structure or permanently affixed to the infrastructure project.

²⁵ Excludes cement and cementitious materials, aggregates such as stone, sand, or gravel, or aggregate binding agents or additives.

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These requirements must flow down to all sub-awards, all contracts, subcontracts, and purchase orders for work performed under the proposed project, except where the prime recipient is a for-profit entity. Based on guidance from the Office of Management and Budget (OMB), the Buy America requirements of the BIL do not apply to DOE projects in which the prime recipient is a for-profit entity; the requirements only apply to projects whose prime recipient is a State, local government, Indian Tribe, Institution of Higher Education, or non-profit organization.

For additional information related to the application and implementation of these Buy America requirements, please see OMB Memorandum M-22-11, issued April 18, 2022:

Note that for all applicants—both non-Federal entities and for-profit entities—DOE is including a Program Policy Factor that the Selection Official may consider in determining which Full Applications to select for award negotiations that considers whether the applicant has made a commitment to procure U.S. iron, steel, manufactured products, and construction materials in its project.

C. Waivers

The DOE financial assistance agreement will require each recipient: (1) to fulfill the commitments made in its application regarding the procurement of U.S.-produced products and (2) to fulfill the commitments made in its application regarding the procurement of other key component metals and domestically manufactured products that are deemed available in sufficient and reasonably available quantities or of a satisfactory quality at the time of award negotiation.

In limited circumstances, DOE may waive the application of the Buy America requirements where DOE determines that:

- (1) Applying the Buy America requirements would be inconsistent with the public interest;
- (2) The types of iron, steel, manufactured products, or construction materials are not produced in the United States in sufficient and reasonably available quantities or of a satisfactory quality; or
- (3) The inclusion of iron, steel, manufactured products, or construction materials produced in the United States will increase the cost of the overall project by more than 25%.

If an applicant or recipient is seeking a waiver of the Buy America requirements, it may submit a waiver request after it has been notified of its selection for award negotiations. A waiver request must include:

- A detailed justification for the use of “non-domestic” iron, steel, manufactured products, or construction materials to include an explanation as to how the non-domestic item(s) is essential to the project;
- A certification that the applicant or recipient made a good faith effort to solicit bids for domestic products supported by terms included in requests for proposals, contracts, and nonproprietary communications with potential suppliers;
- Applicant/Recipient name and Unique Entity Identifier (UEI)
- Total estimated project cost, DOE and cost-share amounts;
- Project description and location (to the extent known);
- List and description of iron or steel item(s), manufactured goods, and construction material(s) the applicant or recipient seeks to waive from Domestic Content Procurement Preference requirement, including name, cost, country(ies) of origin (if known), and relevant Product and Service Code (PSC) and North American Industry Classification System (NAICS) code for each;
- Waiver justification including due diligence performed (e.g., market research, industry outreach) by the applicant or recipient; and
- Anticipated impact if no waiver is issued.

DOE may require additional information before considering the waiver request.

Waiver requests are subject to public comment periods of no less than 15 days and must be reviewed by the Made in America Office. There may be instances where an award qualifies, in whole or in part, for an existing waiver described at [DOE Buy America Requirement Waiver Requests](#).

DOE’s decision concerning a waiver request is not appealable.

APPENDIX D - DATA COLLECTION REQUIREMENTS

This document includes the overall data collection plan for projects selected under this FOA. It accounts for a variety of required data types; however, it is not an exhaustive list. This is a minimum set of required data types and should not be representative of an application's full experimental plan. Additional data or analysis may be requested after selection in coordination with the Regional Biomass Resource Hub Initiative. Interim data generated by selected applications may be utilized prior to the completion of the project to advance the mobilization of purpose-grown energy crops.

Required Data Types

Algal Crop Data (Subtopic Area 1a): Media composition (nitrogen, phosphorous, pH, trace elements), nutrient type, nutrient quantity, nutrient delivery date, pesticide/fungicide information (trade name, type, application date, and application rate) and biomass composition will be collected from each pond. Cultivation data will include pond size and depth, circulation rate and energy requirements, and recharge rates. The data will be recorded and entered into standardized templates. The minimum metadata required in data submission includes sampling date, GPS coordinates, county, state, species, strain, age, and pond identifier.

Terrestrial Crop Data (Subtopic Areas 1b, 1c, and 1d): Soil type(s), soil health indicators (aggregate stability, available water capacity, bulk density, reactive carbon, electrical conductivity, nitrate, pH, total organic carbon, potentially mineralizable nitrogen), biodiversity (presence of taxa of special concern, quantity/quality of habitat for taxa of special concern), GHG flux, autotrophic respiration, fertilizer information (trade name, type, application date, and application rate), herbicide information (trade name, type, application date, and application rate), pesticide information (trade name, type, application date, and application rate), above ground biomass primary production, below ground biomass primary production, crop yield, and biomass compositional data collected from sampled plots. The data will be recorded and entered into provided standardized templates. The minimum metadata required in data submission includes sampling date, GPS coordinates, county, state, crop category, crop species, crop cultivar, crop age, and plot identifier.

Operational Data: Controller Area Network (CAN) bus Logger Files, GPS Tracks, soil moisture, fuel use, air quality metrics (particulate matter, ozone, NO_x) will be collected from crop fields for all operations including but not limited to cultivation, tillage, fertilization, pest management and harvest. The data will be collected by use of either manual or digital methods based on data type. Manual methods will require data entry into a standardized template. The minimum metadata required in data submission includes operation type, equipment operation date, operation start, operation stop, equipment type, equipment horsepower, implement GPS coordinates, county, state, crop category, crop species, crop cultivar, crop age, and field identifier.

Water Quality Data: Subsurface drain flow water characteristics (nitrate, total phosphorous, pH), surface water sample characteristics (nitrate, phosphorous, total suspended solids, pH, metals) will be collected from field sites. The data will be recorded and entered into standardized templates. The minimum metadata required in data submission includes sampling date, GPS coordinates, county, state, crop category, crop species, crop cultivar, crop age, and plot identifier.

Satellite and geospatial data will be collected from online repositories using file transfer protocol or other direct access methods as needed. These data will be stored in GeoTIFFs, shapefiles, or other geospatial data formats. These data will be initially stored on desktop computers and uploaded to the RBRH Data Lake Storage.

Data Format

Research data will initially be stored at the individual institutions using the provided standardized templates. The data will then be uploaded to Data Lake storage located at INL for long term storage of the data and access for later analyses. Satellite imagery will be stored as tagged image file format (TIFF) files with appropriate metadata to geolocate the imagery. Ortho mosaic maps and other raster maps will be stored as GeoTIFF files to enable georeferencing of the data contained in the file. Vector file maps will be stored as open specification geospatial vector files, such as shape files.

Data Storage and Preservation

Throughout the duration of the project, all internal data sharing within the project teams will be done at the discretion of the individual project teams, with any paper records being retained for at least 3 years after the end of the project. Electronic versions of the data will be stored in a Data Lake, housed, and maintained by Idaho National Laboratory. Access to the Data Lake will be provided to all project teams so that they can access their data along with any data that has been made public.

Data Sharing and Public Access

A combination of data access and sharing procedures will be implemented. During the project, data access and sharing for team members will be through a collaborative effort with Oak Ridge National Laboratory and the Knowledge Discovery Framework. Access to the data will be maintained as group protected until the time that the project teams release the data into the public domain (See Sections VI.B.xii and VIII.L). When the data is released into the public domain or after the expiration of the data protections, the data shall be made available to the public without use restrictions. Software for statistical analyses, data management, and modeling will be stored as open-source projects on a Git Repository and will be maintained and curated by INL and ORNL.

It is anticipated that Idaho National Lab managing the RBRH will enter into Cooperative Research and Development Agreements (CRADA) or similar agreements directly with the project teams (See Section III.E.i.c.) implementing this Appendix D and the data submission and management requirements under this FOA in addition to being addressed between the project teams and BETO in the Statement of Project Objectives (SOPO) for each project.

APPENDIX E – VERIFICATION

All applications selected for award negotiations under this FOA are required to participate in a verification process led by DOE’s identified external third-party non-conflicted verification team. This team may be led by the National Renewable Energy Laboratory’s Systems Integration team, DOE BETO’s independent engineering contractor, or another non-conflicted BETO contractor. Personnel involved in verifications sign project specific non-disclosure agreements and conflict of interest statements. This verification process provides technical assistance to both DOE BETO and the project team by providing an in-depth analysis of key technical and economic metrics to ensure transparency and increase the likelihood of project success.

The objectives of the verification effort are to:

- Verify the applicant’s technical data/performance metrics/targets as described in the original application.
- Establish a framework to evaluate and track progress over time so that the milestones and go/no go decision points separating budget periods may be tracked and evaluated.
- Establish benchmark, baseline, and associated target values.
- Identify potential major showstoppers and discuss risk mitigation strategies.
- Align project goals with BETO’s expectations and FOA-specific requirements.

There are two types of verification periods throughout the lifetime of the project: the “initial verification,” conducted at the beginning of the project (months 0-3), and the “interim verification(s),” conducted as a part of go/no go decisions separating budget periods. Verifications can take place virtually or in-person at the recipient’s facility.

The specific objectives of these verifications are set forth below:

- The Initial Verification is to confirm the benchmark data and assumptions provided in the application, which will establish the project baseline against which future performance and cost improvements will be evaluated. During the initial verification, the verification team will work closely with the project team to discuss the project effort in detail; initiate the review of application data, metrics, and procedures as provided in the original application; and set the date for the initial verification meeting. This is an iterative process between the two teams and establishes the agenda for the on-site (or virtual) meeting. The project baseline will be set in this period, either through revision of the application data or by submission of additional/new data. The verification results, including the initial verification report, are used by DOE at its sole discretion, among other factors, in making the go/no go decision to proceed with Budget Period 2 (BP2).

See Sections II.A.ii. and VI.B.xiv. for information on period of performance and go/no go decisions.

- An interim verification will be conducted toward the end of BP2. The interim verification assesses progress towards the project's BP2 go/no go decision point and the achievement of the Statement of Project Objectives (SOPO) milestones in support of the go/no go decision point. Current project performance and progress towards project objectives will be compared against any targets established in the application, SOPO, or the initial verification. The verification results are used by DOE at its sole discretion, among other factors, in making the go/no go decision to proceed with the next budget period. In projects with more than 3 budget periods, additional interim verifications will be conducted toward the end of each budget period.

Technical Datasheets:

Projects selected from this FOA will be required to complete a Technical Datasheet which will be used throughout the verification process. The data and claims provided in the full application will be used as the basis for review and discussion during the initial verification and will be considered the project's baseline. The Technical Datasheet will also be used to assess progress towards interim and final targets during later verifications. It is expected the data will have been experimentally produced by the applicant in the applicant's facilities. However, if literature data needs to be used for parts of the process, those metrics based on literature data should be marked appropriately.

Verification Timeline:

The initial verification period, including on-site meeting (if applicable) and report creation, can take up to three months. Applicants must include this time in their schedule. Selected projects that receive a 'go' decision at the conclusion of the initial verification effort will be subject to an interim verification. The applicant must also consider that time should be allocated for these verifications.

Verification Task:

All applicants must include the initial verification task within their scope as Task 1. It must be separated from the rest of the scope of work by a go/no go decision point, and applicants should estimate, at minimum, a three-month duration for the verification effort. This task, Task 1, will also be within a separate budget period, Budget Period 1 (BP1), from the remainder of the project. By way of example, the inclusion of the verification in the scope could include something like the following:

Task 1. Initial Verification. At the beginning of the project, the baseline data and project targets provided in the technical datasheet will be verified. Process information and data will be provided to DOE and the verification team (when applicable) to support the process claims within the original application. Technical metrics for project progress will be tailored to the project as needed. These metrics may include additional go/no go decision points or other

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modifications that will be incorporated into the overall project and Statement of Project Objectives (SOPO). Demonstration of equipment or processes may be requested as part of the verification process at the discretion of the DOE or verification team.

There will be a go/no go associated with Task 1 as follows: Process information and data supports the technology readiness level of the overall process, the unit operations within the process, and the original application. Technical metrics are based on preliminary data and represent a meaningful baseline and set of targets.

Upon successful completion of the initial verification effort and go/no go decision point, the project will commence with the remaining scope of work after the necessary steps to approve the remaining scope and associated funding for the project have been completed. Similar provisions must be included for the interim verification(s) as a task(s) that will occur prior to the end of each budget period and/or go/no go decision point.

Verification Conflict of Interest/Proprietary Information:

All of the technical and economic information requested will be disclosed to non-conflicted DOE National Renewable Energy Laboratory Systems Integration (NREL-SI) personnel and/or external third-party non-conflicted reviewers or DOE contractors performing the verifications (BETO's verification team), participating in the go/no go review process, and/or interim review meetings. It is expected that developments and advancements in technical performance made during the course of the project will be shared with the public via technical publications in journals or conference proceedings. It is also anticipated the initial verification may, if necessary, involve pre-existing intellectual property of which DOE will not require publication. Data access, deliverables and dissemination requirements will be negotiated and set forth in the Statement of Project Objectives and will be consistent with Section VIII.L. of this FOA. DOE and those working on DOE's behalf, such as support service contractors, NREL personnel, Independent Engineers, and reviewers, must be able to have sufficient access to these data, including but not limited to raw technical and financial data, to assess the baseline performance of the technology – subject to appropriate non-disclosure agreements or other protections.

Verification Process:

The verification effort generally includes three steps: pre-verification, on-site verification meeting (if applicable), and post-verification. The verification effort will be adapted to be appropriate for the technology readiness level and funding available to the project. However, the details provided below establish the framework for the process.

All steps are performed in concert with BETO's verification team and the project management team. During the pre-verification step, the verification team will work closely with the project team to discuss the effort in detail, initiate the review of the data from the Technical Datasheet and metrics as provided in the original application, and provide a list of requirements for the verification process. This is an iterative process between the two teams and establishes the

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agenda for the verification meeting. During the verification meeting, the two teams will work together to discuss the goals and performance metrics, ideas for tracking project progress, and alignment with BETO's goals. The post-verification step includes the verification team reporting to DOE, and the DOE personnel proceeding with any necessary notifications, negotiations, and modifications to the award based on the go/no go decision.

If a provisional 'go' decision is reached, the project team and DOE Technology Manager will proceed with the necessary steps to release the remaining scope and associated funding for the project. At the conclusion of the verification effort and if an affirmative "go" decision has been made, the Contracting Officer will notify the recipient regarding the go/no go decision via a formal modification approving continuation of the project. A 'no go' decision may result in termination of the project or re-direction of scope.

Key Verification Requirements:

- During the initial verification effort (i.e., BP1), no additional experimental or project work, beyond that associated with the verification, may commence within the proposed scope. Only work associated with the verification – typically project management and data gathering activities – is allowed during the verification. The budget associated with the verification effort should correspond to these types of activities only and is typically minimal compared to the remaining project scope and budget.
- It is anticipated that the interim verification(s) will include the recipient presenting the project progress toward the targets established during the initial verification. Interim verification(s) must be noted and accounted for within the scope, schedule, and budget, so that if a project is selected and receives a 'go' decision at the conclusion of the initial verification effort, the schedule and budget will already account for the interim verification(s).

APPENDIX F – LIST OF ACRONYMS

APHIS	Animal and Plant Health Inspection Service
BABA	Build America Buy America
BETO	Bioenergy Technologies Office
BFL	Biomass Feedstock Library
BIL	Biden Infrastructure Law
CAAFI	Commercial Aviation Alternative Fuels Initiative
CAN	Controller Area Network
CET	Critical and Emerging Technologies
COI	Conflict of Interest
CO ₂	Carbon Dioxide
CRADA	Cooperative Research and Development Agreement
DEC	Determination of Exceptional Circumstances
DEI	Diversity, Equity, and Inclusion
DMP	Data Management Plan
DOE	Department of Energy
DOI	Digital Object Identifier
DOT	Department of Transportation
EBiz POC	Electronic Business Point of Contact
EERE	Energy Efficiency and Renewable Energy
FAR	Federal Acquisition Regulation
FCOI	Financial Conflicts of Interest
FFATA	Federal Funding and Transparency Act of 2006
FOA	Funding Opportunity Announcement
FOIA	Freedom of Information Act
FFRDC	Federally Funded Research and Development Center
FSRL	Feedstock Readiness Level
GAAP	Generally Accepted Accounting Principles
GHG	Greenhouse Gas
INL	Idaho National Laboratory
IP	Intellectual Property
IRB	Institutional Review Board
KDF	Knowledge Discovery Framework
LCA	Life Cycle Analysis
LGBTQ+	Lesbian, gay, bisexual, transgender, and queer
M&O	Management and Operating
MFA	Multi-Factor Authentication
MPIN	Marketing Partner ID Number
MSI	Minority-Serving institution
NAICS	North American Industry Classification System
NDA	Non-Disclosure Acknowledgement
NEPA	National Environmental Policy Act

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NNSA	National Nuclear Security Agency
NREL-SI	National Renewable Energy Laboratory's Systems Integration
NSF	National Science Foundation
OFCCP	Office of Federal Contractor Compliance Programs
OIG	Office of Inspector General
OMB	Office of Management and Budget
OSTI	Office of Scientific and Technical Information
OTA	Other Transactions Authority
PI	Principal Investigator
PII	Personal Identifiable Information
PRL	Physical Review Letters
PSC	Product and Service Code
RBRH	Regional Biomass Resource Hub Initiative
RCR	Renewable Carbon Resources
RD&D	Research, Development and Demonstration
RDD&D	Research, Development, Demonstration, and Deployment
RFI	Request for Information
RFP	Request for Proposal
SAF	Sustainable Aviation Fuel
SAM	System for Award Management
SciENCv	Science Experts Network Curriculum Vita
SMART	Specific, Measurable, Attainable, Realistic, and Timely
SOPO	Statement of Project Objectives
SPOC	Single Point of Contact
SSN	Social Security Number
STEM	Science, Technology, Engineering, and Mathematics
TAA	Technical Assistance Agreement
TEA	Techno-Economic Analysis
TIA	Technology Investment Agreement
TRL	Technology Readiness Level
TSCA	Toxic Substance Control Act
UCC	Uniform Commercial Code
UEI	Unique Entity Identifier
USDA	United States Department of Agriculture
WBS	Work Breakdown Structure
WP	Work Proposal

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APPENDIX G – TECHNICAL DATASHEET (SUBTOPIC AREA 1A)

Subtopic Area 1a – Algae

A technical datasheet is required with the application. Please see Technical Datasheet Instructions below.

Technical Datasheets Instructions:

For Subtopic Area 1a please refer to the Technical Datasheet (Excel spreadsheet) associated with this FOA and Topic Area available for download from EERE Exchange ([https://eere-exCHANGE.energy.gov](https://eere-exchange.energy.gov)) for instructions.

APPENDIX H – GLOSSARY

Algae – A renewable resource consisting of microalgae, macroalgae (seaweed), or cyanobacteria.

Applicant – The lead organization submitting an application under the FOA.

Agricultural residues – Crop residues from agricultural land following harvest. Examples include, but are not limited to, corn stover, wheat straw, oat straw, barley straw, and sorghum stubble.

Annual plants – Plants or grasses that complete a life cycle in one year (e.g., high-biomass sorghum).

Biennial plants – Plants or grasses that require all or part of two years to complete its life cycle.

Commodity crops – Crops that are not grown for direct consumption, but rather for sale or trade on a commodity market (e.g., sugarcane, corn, grain sorghum, oilseed crops, wheat, rice).

Cooperative Research and Development Agreement (CRADA) – A contractual agreement between a national laboratory contractor and a private company or university to work together on research and development. For more information, see energy.gov/gc/articles/doe-cooperative-research-and-development-agreements.

Crop system – The full range of activities required for the crop or crop(s) being grown at a given site from site preparation through harvesting.

Ecosystem Services - The benefits people obtain from nature. The Millennium Ecosystem Assessment, a United Nations report describing the condition and trends of the world's ecosystems, categorizes ecosystem services as: (1) provisioning services such as food, clean water, fuel, timber, and other goods; (2) regulating services such as climate, water, and disease regulation as well as pollination; (3) supporting services such as soil formation and nutrient cycling; and (4) cultural services such as educational, aesthetic, and cultural heritage values, recreation, and tourism.

Federally Funded Research and Development Centers (FFRDC) - FFRDCs are public-private partnerships which conduct research for the United States government. A listing of FFRDCs can be found at <http://www.nsf.gov/statistics/ffrdclist/>.

Herbaceous energy crops – Annual, biennial, or perennial plants and grasses grown primarily for bioenergy production.

Intermediate energy crops – Energy crops planted between the harvest of a main crop and sowing of the next crop.

Marginal lands – Fields or portions thereof, that are not economical to farm or pose other limitations for growing traditional commodity crops. Examples of these other limitations may be geographical (e.g., temperature, slope), ecosystem-based (e.g., recreation areas), or have soil limitations (e.g., physical and chemical soil properties).

Perennial plants – Plants or grasses that live for more than two years and are harvested annually after taking two or three years to reach full productivity (e.g., switchgrass, miscanthus, energycane).

Project – The entire scope of the cooperative agreement which is contained in the recipient’s Statement of Project Objectives.

Purpose-grown energy crops – Crops grown solely for renewable bioenergy production.

Recipient or “Prime Recipient” – A non-federal entity that receives a federal award directly from a federal awarding agency to carry out an activity under a federal program. The term recipient does not include subrecipients.

Short-rotation woody energy crops - Fast-growing trees that are harvested within five to eight years of planting. Such trees include, but may not be limited to, species such as, hybrid poplar and shrub willow.

Subrecipient – A non-federal entity that receives a subaward from a pass-through entity to carry out part of a federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency. Also, a DOE/NNSA and non-DOE/NNSA FFRDC may be proposed as a subrecipient on another entity’s application.