

**Department of Energy (DOE)  
Office of Energy Efficiency and Renewable Energy (EERE)**

**Reducing Agricultural Carbon Intensity and  
Protecting Algal Crops (RACIPAC)**

**Funding Opportunity Announcement (FOA) Number: DE-FOA-0002910**

**FOA Type: **Modification 000001****

**Assistance Listing Number: 81.087**

<b>FOA Issue Date:</b>	02/08/23
<b>Submission Deadline for Concept Papers:</b>	03/20/23; 5:00pm ET
<b>Submission Deadline for Full Applications:</b>	05/16/23; 5:00pm ET
<b>Expected Submission Deadline for Replies to Reviewer Comments:</b>	07/14/23; 5:00pm ET
<b>Expected Date for EERE Selection Notifications:</b>	08/19/23
<b>Expected Timeframe for Award Negotiations:</b>	09/30/23

- Applicants must submit a Concept Paper by 5:00pm 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.

## Modifications

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

Mod. No.	Date	Description of Modification
000001	02/17/2023	<p>All references to 'Letters of Intent' have been removed from the FOA language.</p> <p>FOA Cover Page, first bulleted item below the schedule table, reference to submitting a Letter of Intent has been deleted. Letters of Intent are not required and are not being utilized for this FOA. As noted, "Applicants must submit a Concept Paper by 5:00pm ET on the due date listed above to be eligible to submit a Full Application."</p> <p>Section IV.A – Application Process: The reference to 'three phases' including a 'Letter of Intent' phase has been revised and updated to reflect the two phases for this FOA, the Concept Letter phase and the Full Application phase.</p> <p>Section VI.B.i.4 – Grants.gov: The reference to 'Letters of Intent' has been removed. As noted, 'However, please note that Concept Papers and Full Applications will not be accepted through Grants.gov.'</p> <p>All other terms and conditions within the FOA remain the same.</p>

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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 is a top priority of President Biden's Administration. This FOA will advance President Biden's 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"<sup>1</sup> to the benefit of all Americans. The Department of Energy 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 support of these Administration priorities, the Bioenergy Technologies Office (BETO) focuses on developing the domestic biomass and waste resources, such as agricultural residues (see definition in Appendix D) and algae, and the corresponding technologies to convert those resources into affordable biofuels and bioproducts that significantly reduce carbon emissions on a life-cycle basis as compared to equivalent petroleum-based products. These bioenergy technologies 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 bioeconomy. 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 an economy-wide net-zero emissions by 2050.

#### ii. Technology Space and Strategic Goals

BETO's Renewable Carbon Resources' (RCR) Research and Development (R&D) program develops science-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, collection,

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<sup>1</sup> Executive Order 14008, "Tackling the Climate Crisis at Home and Abroad," January 27, 2021.

storage, preprocessing, and transportation, and identify the key feedstock quality and operational variables for conversion performance.

The United States has the potential to produce more than one billion tons of sustainable biomass per year, which can be used as feedstocks for renewable transportation fuels and chemicals.<sup>2</sup> In fact, the 2016 Billion-Ton report also estimated approximately 120 million tons of agricultural residues can be sustainably collected each year. BETO recognizes that decarbonizing transportation and decarbonizing agriculture are intrinsically linked when it comes to biofuels. BETO-funded R&D has focused on reducing the cost and energy inputs for biomass feedstock production and supply. A result of these efforts is that the carbon intensity associated with feedstock preprocessing has been substantially reduced<sup>3</sup>; however, data available for quantifying the impact of farming practices on the carbon intensity of feedstock production are still very limited.

BETO has funded R&D in the areas of landscape design, sustainable production of dedicated biomass energy crops, and ecosystem services, in the following prior-year FOAs: 1) “Landscape Design for Sustainable Bioenergy Systems,” in which projects developed models and tools for landscape planning applicable to feedstock supply and logistic systems, 2) “Affordable and Sustainable Energy Crops” in which projects used new varieties/cultivars of energy crops and assessed ecosystem service benefits, such as carbon sequestration, nutrient loss, and greenhouse gas (GHG) emission reduction, and 3) “Bio-Restore: Biomass to Restore Natural Resources,” in which projects developed and employed methods to quantify the environmental and economic benefits of growing energy crops on marginal crop land with a focus on restoring water quality and soil health. Projects funded by these three FOAs demonstrated increases in soil carbon storage associated with energy crops; reductions in carbon dioxide, nitrous oxide, and methane emissions; and reductions in the carbon intensity of energy crops for biofuels production.

Cultivating algae (micro-, macro-, and cyanobacteria) and converting it to biofuels and bioproducts is an important component of BETO’s strategy for enabling the production of sustainable aviation fuels (SAF). Algae can provide a new and abundant, renewable feedstock source for affordable, reliable biofuels, bioproducts, and bioenergy that does not compete with existing feedstocks.

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<sup>2</sup> 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.

<sup>3</sup> Lin, Yingqian, Roni, Mohammad S., Thompson, David N., Hartley, Damon S., Griffel, Mike, and Cai, Hao. Herbaceous Feedstock 2020 (State of Technology Report). United States: N. p., 2020. Web. doi:10.2172/1785122

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Algae can be grown on non-arable land or in marine environments using non-potable water, waste carbon dioxide captured from point-source emissions or the ambient air, and in some cases, waste nutrients, all while achieving high yields of valuable product precursors. Fuels and products made from algae can be infrastructure-compatible, high-performance blend stocks, direct replacements, and additives to existing products. In addition, algae cultivation can deliver the benefits of the bioeconomy to new areas of the nation outside traditional agricultural and forestry areas. Using the carbon dioxide recycled in algae biomass to make affordable fuels and products can displace GHG emissions from petroleum-based products.

The overall strategic goal of the algae research portfolio within BETO's Renewable Carbon Resources (RCR) Program is to develop technologies that enable production of environmentally sustainable algal feedstocks that perform reliably in conversion processes to yield renewable fuel blend stocks, as well as bioproducts and chemical intermediates. In order to meet the Administration's goals for decarbonization of the transportation and industrial sectors, renewable resources, such as algae, must be produced in a cost-effective manner to ensure products like SAF reach cost parity with incumbent technologies (i.e., petroleum-based aviation fuel). One of the major cost contributors of producing algae is biomass loss due to predation, competition, and pest infestations. Addressing algae biomass loss due to pests (see definition in Appendix D) is essential to making cost-competitive sustainable biofuels and bioproducts.

### **iii. Diversity, Equity, and Inclusion**

It is the policy of President Biden's Administration that:

[T]he Federal Government should pursue a comprehensive approach to advancing equity<sup>4</sup> 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 processes, executive departments, and agencies (agencies) must recognize and work to

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<sup>4</sup> 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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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.<sup>5</sup>

As part of this whole of government approach, this FOA seeks to encourage the participation of underserved communities<sup>6</sup> and underrepresented groups. Applicants are highly encouraged to include individuals from groups historically underrepresented<sup>7,8</sup> in science, technology, engineering, and mathematics (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 underrepresented

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<sup>5</sup> Executive Order 13985, “Advancing Racial Equity and Support for Underserved Communities Through the Federal Government” (Jan. 20, 2021).

<sup>6</sup> The term “underserved communities” refers to populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life, as exemplified by the list in the definition of “equity.” E.O. 13985. For purposes of this 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.

<sup>7</sup> 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>

<sup>8</sup> 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.

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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.). The plan should 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 Institutions<sup>9</sup>, 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.).

## **B. Topic Areas**

### **i. Topic Area 1: Climate-Smart Agricultural Practices for Low Carbon Intensity Feedstocks**

The goal of Topic Area 1 is to fund projects that will assess the efficacy of climate-smart agricultural practices that reduce the carbon intensity (CI) of biomass feedstocks for biofuels. Implementation of climate-smart agricultural practices is essential to produce low CI feedstocks to enable sustainable aviation fuel production with lower greenhouse gas emissions. BETO estimates that over 6 billion gallons of biofuels could potentially be produced from agricultural residues each year.<sup>10</sup>

Climate-smart agricultural practices have been promoted in recent years as a systematic approach to not only ensure sustainable food security in the context of climate change, but also reduce greenhouse gas emissions and enhance soil

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<sup>9</sup> 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>.

<sup>10</sup> Rogers, J.N., B. Stokes, J. Dunn, H. Cai, M. Wu, Z. Haq, and H. Baumes. 2017. An assessment of the potential products and economic and environmental impacts resulting from a billion ton bioeconomy. Biofuels, Bioprod. Bioref. 11:110–128 (2017); DOI: 10.1002/bbb.1728;

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carbon sequestration.<sup>11</sup> Climate-smart agricultural practices, such as conservation tillage, cover crops, nutrient management, and soil amendments, are promising approaches to reduce carbon intensity, improve sustainable production biomass resources, and support President Biden’s Administration’s goal to produce sustainable aviation fuels.

Topic Area 1 has two subtopic areas:

- Subtopic Area 1a: Climate-Smart Agricultural Practices to Produce Low CI Feedstocks Derived from Agricultural Residues, and
- Subtopic Area 1b: Biochar Strategies to Increase Soil Carbon Levels and Agronomic Benefits of Crops for Energy Production

These subtopic areas have been identified through the SAF Grand Challenge Roadmap<sup>12</sup> and a FY22 stakeholder engagement workshop on the Role of Soil Carbon Storage in Bioenergy<sup>13</sup> as near-term R&D needs.

### **Subtopic Area 1a: Climate-Smart Agricultural Practices to Produce Low CI Feedstocks Derived from Agricultural Residues**

This subtopic is centered on assessing the efficacy of climate-smart agricultural practices and technologies to reduce the carbon intensity of agricultural residues harvested for biofuel production. For the purposes of this FOA, “agricultural residues” are defined as crop residues from agricultural land following harvest. Examples of agricultural residues include, but are not limited to, corn stover, wheat straw, oat straw, barley straw, and sorghum stubble. Projects could focus on optimizing residue quantity and/or quality (e.g., reducing the need for preprocessing or increasing the convertibility to fuels). Examples of climate-smart agricultural practices that may affect residue quality/quantity include, but are not limited to:

- conservation tillage
- cover crops
- nutrient management
- soil amendments

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<sup>11</sup> Bai, Xiongxiang & Huang, Yawen & Ren, Wei & Coyne, Mark & Jacinthe, Pierre-André & Tao, Bo & Hui, Dafeng & Yang, Jian & Matocha, Chris. (2019). Responses of soil carbon sequestration to climate smart agriculture practices: A meta-analysis. *Global Change Biology*. 25. 10.1111/gcb.14658.

<sup>12</sup> [Sustainable Aviation Fuel Grand Challenge Roadmap: Flight Plan for Sustainable Aviation Fuel Report | Department of Energy](#)

<sup>13</sup> [Workshop: Bioenergy’s Role in Soil Carbon Storage | Department of Energy](#)

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Anticipated technology approaches for Subtopic 1a include, but are not limited to:

- Implement climate-smart agricultural practices to improve the efficiency of harvesting, collection, and storage of agricultural residues that reduce the carbon intensity of the feedstock production cycle compared to conventional approaches.
- Develop models for assessing the performance of climate-smart agricultural practices for the harvest and collection of agricultural residues that provide a framework to maintain soil carbon levels and minimize greenhouse gas emissions, including nitrous oxide (N<sub>2</sub>O).
- Demonstrate the soil carbon and greenhouse gas implications of using soil amendments on residue quantity and quality.

### **Subtopic Area 1b: Biochar Strategies to Increase Soil Carbon Levels and Agronomic Benefits of Crops for Energy Production**

- Biochar has been promoted as a way to increase durable carbon storage in the soil, serve as a substrate for biogenic carbon sorption, and improve crop yields. There are many variables that will impact the ability of biochar to provide these benefits. For example, the way that a biochar is produced from thermochemical conversion of biomass will greatly influence its ability to lead to long-term soil carbon storage. This subtopic area asks applicants to correlate biochar characteristics with biochar performance (e.g., agronomic benefits, such as yield increase). Applicants can develop new tools, technologies, models, and/or strategies that will determine the efficacy of biochar application for producing lower carbon intensity feedstocks for biofuels production. Crops of interest for this subtopic include, but are not limited to, energy crops (e.g., switchgrass, miscanthus, willow, poplar, hemp, etc.) and major commodity crops (e.g., corn, soybean, wheat, oilseeds, etc.) that have high commercial potential for energy production.

Anticipated technology approaches for Subtopic Area 1b include, but are not limited to:

- Conduct research at multiple locations to understand agronomic and soil carbon effects of different biochar types in varying soils and circumstances.
- Demonstrate and deploy tools (including models) and methodologies to quantify soil carbon sequestration under different biochar application regimes.

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- Characterize biochar produced for use in these projects from a variety of materials (e.g., woody biomass, sludge, herbaceous biomass, municipal solid waste streams) to determine the critical characteristics that enable long-term sequestration of soil carbon in different soil types.

### **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 evaluation criteria in Section V.A.ii.):

For both Subtopic Areas 1a and 1b:

- Applicants must explain the current state of technology, how the project will improve the state of technology, and how this improvement is applicable to the eligible biomass types for this FOA (see subtopic area descriptions above). Projects must also explain how broadly the technology could be implemented across the United States.
- Applicants must propose a verifiable baseline to measure carbon intensity reduction of agricultural residues (Subtopic Area 1a) or durability of soil carbon (Subtopic Area 1b). It is allowable to set up a project-specific baseline using a defined current conventional approach. The use of published literature is an acceptable resource for data on which to develop baseline carbon intensity. For projects developing strategies to understand or optimize the soil carbon, standard scientific and agricultural practices should be proposed for setting the soil carbon baseline. For projects demonstrating technologies to rapidly analyze soil carbon, soil carbon measurement accuracy should be baselined against current soil carbon measurement protocols, and analysis speed should allow measurements to be taken in the field.
- Applicants must discuss how they will meet the metric noted in the Topic Area 1 Performance Metrics table below (for Subtopic Area 1a or 1b, as applicable). The discussion must include the specific targets, baselines, and basis.
- Participation in BETO's Biennial Peer Review is required. Attendance and participation must be included in applicants' scopes, schedules, and budgets.
- Participation in initial and interim verifications as described in Appendix G is required. Participation must be included in applicants' scopes, schedules, and budgets.

For Subtopic Area 1a:

- Applicants must describe how the proposed work will reduce the carbon intensity of feedstocks for biofuel production, contributing to a goal of 70% reduction in GHG emissions relative to petroleum fuels.
- Applicants must provide a framework for evaluating feedstock carbon intensity by defining the system boundary (including crop production, harvest, collection, and storage) and parameters for the project. An example of carbon intensity evaluation is provided in the link in the footnote below.<sup>14</sup>
- Applicants must propose to perform a technoeconomic analysis and life cycle assessment (including land use change impact) at the outset and completion of the project.
- If selected for negotiation of award, the applicant will be required to perform initial and interim verifications at the field site of the proposed work.

For Subtopic 1b:

- Life cycle assessment (including land use change impact) is required at the outset and completion of the project.
- Applicants must provide rationale towards the commercial relevance of the proposed crop.

**Topic Area 1 Performance Metrics:**

Applications to Topic Area 1 must propose to meet the project targets as outlined in the table below:

Metric	Minimum Target
Subtopic Area 1a. Carbon intensity reduction in agricultural residues	Targets will be project specific. By the end of the project, awardees must demonstrate that the proposed climate-smart agricultural practice(s) cause a statistically significant reduction in the carbon intensity of the feedstock relative to the approved baseline.

<sup>14</sup> [Argonne GREET Publication: Feedstock Carbon Intensity Calculator \(FD-CIC\) - Users' Manual and Technical Documentation \(anl.gov\)](#). Carbon intensity: amount of carbon or CO<sub>2</sub> equivalent or full GHG emission per unit of energy consumed.

Subtopic Area 1b. Quantify durability of soil carbon from biochar and agronomic benefits	Targets will be project specific. By the end of the project awardees must calculate the durability of soil carbon from biochar and quantify the agronomic benefits.
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**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 Subtopic Areas 1a and 1b, applications that target developing feedstock preprocessing unit operations.
- For Subtopic Area 1a, applications that propose animal manure, algae, and forest residues as agricultural residues.

**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 this Topic Area (including both Subtopic Areas 1a and 1b):

- 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 G. Participation must be included in applicants’ scopes, schedules, and budgets as described in the appendix.
- Prior to project closeout, projects must deliver representative replicate (at least two) biomass samples to be archived and characterized in the Bioenergy Feedstock Library (<https://bioenergylibrary.inl.gov/Home/Home.aspx>) 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. Additionally, all data resulting from physical sample characterization must be catalogued in the Bioenergy Feedstock Library.
- Projects must upload all additional non-proprietary data stemming from funded projects to the Bioenergy Knowledge Discovery Framework

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(<https://bioenergykdf.net/>) 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 (<https://greet.es.anl.gov/index.php>) as soon as they become available.

All work under Energy Efficiency and Renewable Energy (EERE) funding agreements must be performed in the United States. See Section IV.J.iii. and Appendix C.

## ii. **Topic Area 2: Algae Crop Protection**

Topic Area 2 focuses on developing crop protection methods and strategies for algae cultivation systems. A major barrier to the scaling and intensification of algae cultivation is the partial or complete loss of productivity due to pests. For the purpose of this FOA, “pests” are defined as any organism that infects, consumes, competes with, or has other deleterious effects on the algal strain (or strains) being cultivated. Cultivation of algae requires active pest management approaches to maintain robust productivity. Developing effective strategies to protect algal biomass production is essential to meeting BETO’s long-term goals of decarbonizing the transportation and industrial sectors via cost competitive algal-derived biofuels and bioproducts.

As noted at BETO’s Algae Crop Protection Workshop<sup>15</sup>, held in April 2021, crop protection is a significant and complex issue for all algae growers, and available pest mitigation solutions are lacking. To address this significant and complex issue, a holistic systems approach - increasing fundamental knowledge resulting in applied crop protection strategies - is needed.

Similar to terrestrial crop protection strategies, algae crop protection strategies need to be developed throughout the cultivation process - everything from biological mechanisms to mechanical/operational strategies. The goal of this topic area is to take a holistic approach to developing algae crop protection strategies.

Potential approaches to developing algae crop protection strategies include, but are not limited to:

- Developing pest resistant strains (e.g., through directed evolution, genetic modification, or breeding).

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<sup>15</sup> [Barriers to Scale: Algae Crop Protection Workshop Summary Report | Department of Energy](#)

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- Identifying genetic markers for infection and using these as targets for successful mitigation strategies.
  - Designing pond operations to mitigate pests (e.g., changing media composition, reducing time in culture, and pond additives).
  - Developing mechanical approaches to crop protection (e.g., methods to remove or selectively destroy pests).
  - Deploying rationally designed polycultures to improve stability, resilience, and performance of algae cultivation.
  - Recycle/reuse of water/media and harvesting strategies relative to crop protection.
  - Integrating multiple crop protection approaches into a successful cultivation strategy, comparable to integrated pest management in agriculture.

Applicants must propose to develop a crop protection strategy that is financially and environmentally viable. While technoeconomic and life cycle analyses are not required deliverables under Topic Area 2, consideration of costs and environmental impacts must be assessed throughout the proposed effort. Additionally, applicants must include plans to test the efficacy of their proposed crop protection strategy during the project lifetime.

Anticipated outcomes include newly developed and tested crop protection strategies that prevent productivity losses and result in more robust cultivation systems. Increasing productivity while extending the cultivation period will lead to fewer pond crashes and downtime and result in lower overall production costs.

For this topic area, modifications to existing experimental infrastructure at one or more partnering facilities is allowable. Capital expenditure for analytical tools and instrumentation to enhance cultivation infrastructure is also allowable. Ultimately, all projects must produce and test a crop protection strategy.

Recipients of awards from this topic area will be required to participate in two topic area-specific meetings over the course of their projects, one midway through the project, and one towards the end of the project. The objective of these meetings is to encourage collaboration by sharing ideas, challenges, approaches, and lessons learned. A key challenge identified at BETO's Algae Crop Protection Workshop<sup>14</sup> is a lack of shared information and data about algae pests. Therefore, there is a requirement for award recipients to participate in information-sharing meetings with fellow awardees from this topic area. Applicants need to be aware of this requirement and must include both meetings in their scopes, budgets, and schedules.

**Topic Area 2 Specific Requirements**

- Applicants must discuss the current state of technology, how the project will improve the state of technology, and how this improvement will impact the industry.
- Applicants must include their baseline productivity with a discussion of how their proposed strategy will result in maintaining or increasing that productivity. The basis for the baseline productivity must be included. The use of published literature is an acceptable resource for establishing the baseline productivity.
- Applicants must discuss sustainability, life cycle and technoeconomic impacts of their proposed algal crop protection approach and how these considerations will be used throughout their project to help guide development of their proposed crop protection strategy (technoeconomic and life cycle analyses are NOT required deliverables for this topic area).
- A technical data sheet template is included with this FOA (see Appendix H). Applicants are required to submit the information requested in the data sheet at the time of application.
- Participation in initial and interim verifications as described in Appendix G is required. Participation must be included in applicants' scopes, schedules, and budgets as described in the appendix.
- Participation in BETO's Biennial Peer Review is required. Attendance and participation must be included in applicants' scopes, schedules, and budgets.
- Participation in two topic area-specific meetings – one held approximately midway through the projects and the other towards the end of the projects, is required. Attendance and participation must be included in applicants' proposed scopes, schedules, and budgets.
- If experimental plans rely on genetically modified organism (GMO) 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.
- Applicants must discuss how they will meet both metrics noted in the Topic Area 2 Performance Metrics table below. The discussion must include the specific targets, baselines, and basis for both.

**Topic Area 2 Performance Metrics:**

The goal of algae crop protection is to maintain productivity (or even increase it) by reducing or eliminating pond contamination and crashes. Therefore, both metrics in the table below are applicable to all proposed strategies. The applicant must provide the baseline and target values and include a discussion of the basis and rationale for both for each required metric.

<b>Metric</b>	<b>Target</b>	<b>Units</b>
Minimize algae crop loss due to pests	Targets will be project specific. By the end of the project, awardees must demonstrate that their pest mitigation strategies significantly reduce algae crop loss compared to their approved baseline.	e.g., # of days between crashes
Areal productivity	No drop in productivity (from baseline)*.	g (AFDW)/m2/day

\*Baseline productivity will be project specific based on the strain, cultivation system, and applied crop protection strategy as proposed by the applicant. The use of published literature is an acceptable resource for establishing a baseline productivity and should be noted if used.

**Topic Area 2 Applications Specifically Not of Interest**

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

- Applications that propose to develop technology that relies on purely heterotrophic algae cultivation.
- Applications that propose to develop technology for the artificial lighting-based cultivation of algae for energy products (other than as an enabling tool for high-throughput laboratory-based screening).
- Applications that propose to work on biomass other than algae biomass (e.g., lignocellulosic biomass).
- 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.

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

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## Topic Area 2 Special Deliverables

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

- 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 G. Participation must be included in applicants' scopes, schedules, and budgets as described in the appendix.
- A Technical Datasheet (see Appendix H)
- A presentation at the topic area-specific meeting held midway through the project.
- A presentation at the topic area-specific meeting held towards the completion of the project.

## 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 as specifically not of interest under Topic Area 1 and Topic Area 2 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).

## D. Authorizing Statutes

The programmatic authorizing statute for EERE BETO is EPLaw 2005, § 931 as codified at 42 U.S.C. § 16231; and EPLaw 2005 § 932, as codified at 42 U.S.C § 16232.

Awards made under this announcement will fall under the purview of 2 Code of Federal Regulation (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 \$25.5 million of federal funding available for new awards under this FOA, subject to the availability of appropriated funds. EERE anticipates making approximately 7-9 awards under this FOA. EERE may issue one, multiple, or no awards. Individual awards may vary between \$1 million and \$5 million depending on Topic Area.

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 (months)
1	Climate-Smart Agricultural Practices for Low Carbon Intensity Feedstocks	3-4	\$4M	\$5M	\$15.5M	Up to 84 months
2	Algae Crop Protection	4-5	\$1M	\$2M	\$10M	Up to 36 months

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 three to seven years in length for Topic Area 1 and one to three years in length for Topic Area 2, comprised of one or more budget periods. Project continuation will be contingent upon several elements, including satisfactory performance and go/no go decision review. For a complete list, see Section VI.B.xiv. At the go/no go decision points, EERE will evaluate project performance, project schedule adherence, the extent

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milestone objectives are met, compliance with reporting requirements, and overall contribution to the program goals and objectives. As a result of this evaluation, EERE 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.

### **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 United States 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.

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

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

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.

### **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. Non-profit entities; and
4. State and local governmental entities, and tribal nations.

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.

DOE/NNSA FFRDCs are eligible to apply for funding as a subrecipient but are not eligible to apply as a prime recipient.

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

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

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

## iii. Incorporated Consortia

Incorporated consortia are eligible to participate as a prime recipient or subrecipient. For consortia incorporated (or otherwise formed) under the laws of a state or territory of the United States, please refer to "Domestic Entities" above. For consortia incorporated (or otherwise formed) in a foreign country, please refer to the requirements in "Foreign Entities" above.

Each incorporated consortium must have an internal governance structure and a written set of internal rules. Upon request, the consortium must provide a written description of its internal governance structure and its internal rules to the EERE Contracting Officer.

## iv. Unincorporated Consortia

Unincorporated Consortia must designate one member of the consortium to serve as the prime recipient/consortium representative. The prime recipient/consortium representative must qualify as a domestic entity.

Upon request, unincorporated consortia must provide the DOE Contracting Officer with a collaboration agreement, commonly referred to as the articles of collaboration, which sets out the rights and responsibilities of each consortium member. This agreement binds the individual consortium members together and should include the consortium's:

- Management structure;

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- Method of making payments to consortium members;
  - Means of ensuring and overseeing members' efforts on the project;
  - Provisions for members' cost sharing contributions; and
  - Provisions for ownership and rights in intellectual property developed previously or under the agreement.

If the consortium includes foreign members, the applicant must submit a separate explicit written waiver request in the Full Application for each foreign member. See Appendix C.

## **B. Cost Sharing**

### **Cost Share 20%**

The cost share must be at least 20% of the total allowable costs for research and development projects (i.e., the sum of the government share, including FFRDC costs if applicable, and the recipient share of allowable costs equals the total allowable cost of the project) and must come from non-federal sources unless otherwise allowed by law. (See 2 CFR 200.306 and 2 CFR 910.130 for the applicable cost sharing requirements.)

To assist applicants in calculating proper cost share amounts, EERE has included a cost share information sheet and sample cost share calculation as Appendices A and B to this FOA.

#### **i. Legal Responsibility**

Although the cost share requirement applies to the project as a whole, 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 project as a whole 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.

Project teams may provide cost share in the form of cash or in-kind contributions. 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 funding was not provided to the state or local government by the federal government.

The prime recipient may not use the following sources to meet its cost share obligations including, but not limited to:

- 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**

EERE 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

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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 EERE 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**

**Concept Papers, Full Applications, and Replies to Reviewer Comments must meet all compliance criteria listed below or they will be considered noncompliant. EERE will not review or consider noncompliant submissions,** including Concept Papers, Full Applications, and Replies to Reviewer Comments that were: submitted through means other than EERE eXCHANGE; submitted after the applicable deadline; and/or submitted incomplete. EERE will not extend the submission deadline for applicants that fail to submit required information by the applicable deadline due to server/connection congestion.

### **i. Compliance Criteria**

#### *i. Concept Papers*

Concept Papers are deemed compliant if:

- The Concept Paper complies with the content and form requirements in Section IV.C. of the FOA; and
- The applicant successfully uploaded all required documents and clicked the "Submit" button in EERE eXCHANGE by the deadline stated in this FOA.

#### *ii. Full Applications*

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Full Applications are deemed compliant if:

- The applicant submitted a compliant Concept Paper;
- The Full Application complies with the content and form requirements in Section IV.D. of the FOA; and
- The applicant successfully uploaded all required documents and clicked the “Submit” button in EERE eXCHANGE by the deadline stated in the FOA.

iii. *Replies to Reviewer Comments*

Replies to Reviewer Comments are deemed compliant if:

- The Reply to Reviewer Comments complies with the content and form requirements in Section IV.E. of the FOA; and
- The applicant successfully uploaded all required documents to EERE eXCHANGE by the deadline stated in the FOA.

## **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 Federally Funded Research and Development Centers Included as a Subrecipient**

DOE/NNSA and non-DOE/NNSA FFRDCs may be proposed as a subrecipient on another entity’s application subject to the following guidelines:

i. *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.

ii. *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

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subject line.*

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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.

iii. *Value/Funding*

The value of and funding for the FFRDC portion of the work will not normally be included in the award to a successful applicant. Usually, DOE will fund a DOE/NNSA FFRDC contractor through the DOE field work proposal (WP) system and non-DOE/NNSA FFRDC through an interagency agreement with the sponsoring agency.

iv. *Cost Share*

Although the FFRDC portion of the work is usually excluded from the award to a successful applicant, 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.

v. *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 contractor.

vi. *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 provided that 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 submit an application in response to this FOA lies solely with the applicant.

# IV. Application and Submission Information

## A. Application Process

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

At each phase, EERE performs an initial eligibility review of the applicant submissions to determine whether they meet the eligibility requirements of Section III. of the FOA. EERE will not review or consider submissions that do not meet the eligibility requirements of Section III. All submissions must conform to the following form and content requirements, including maximum page lengths (described below) and must be submitted via EERE eXCHANGE at <https://eere-eXCHANGE.energy.gov>, unless specifically stated otherwise. **EERE will not review or consider submissions submitted through means other than EERE eXCHANGE, submissions submitted after the applicable deadline, or incomplete submissions.** EERE will not extend deadlines for applicants who fail to submit required information and documents due to server/connection congestion.

A **Control Number** will be issued when an applicant begins the EERE eXCHANGE application process. This control number must be included with all application documents, as described below.

The Concept Paper, Full Application, and Reply to Reviewer Comments must conform to the following requirements:

- Each must be submitted in Adobe PDF format unless stated otherwise;
- Each must be written in English;

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- All pages must be formatted to fit on 8.5 x 11-inch 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;
  - The Control Number must be prominently displayed on the upper right corner of the header of every page. 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.

Applicants are responsible for meeting each submission deadline. **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 in advance of the submission deadline), applicants should allow at least 1 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 urges applicants to carefully review their Concept Papers, Full Applications, and Replies to Reviewer Comments to allow sufficient time for the submission of required information and documents. All Full Applications that pass the initial eligibility review will undergo comprehensive technical merit review according to the criteria identified in Section V.A.ii. of the FOA.

#### **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. Should applicants experience problems with EERE eXCHANGE, the following information may be helpful.

*Questions about this FOA? Email [FY23BETORACIPACFOA@ee.doe.gov](mailto:FY23BETORACIPACFOA@ee.doe.gov)  
Problems with EERE Exchange? Email [EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov) Include FOA name and number in  
subject line.*

Applicants that experience issues with submission PRIOR to the FOA deadline: In the event that an applicant experiences technical difficulties with a submission, the applicant should contact the EERE eXCHANGE helpdesk for assistance ([EERE-eXCHANGESupport@hq.doe.gov](mailto:EERE-eXCHANGESupport@hq.doe.gov)). The EERE eXCHANGE helpdesk and/or the EERE eXCHANGE system administrators will assist applicants in resolving issues.

## **B. Application Forms**

The application forms and instructions are available on EERE eXCHANGE. To access these materials, 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 10MB. Files in excess of 10MB cannot be uploaded, and hence cannot be submitted for review. If a file exceeds 10MB 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**

## **C. Content and Form of the Concept Paper**

To be eligible to submit a Full Application, applicants must submit a Concept Paper by the specified due date and time.

### **i. Concept Paper Content Requirements**

EERE will not review or consider ineligible Concept Papers (see Section III. of the FOA).

Each Concept Paper must be limited to a single concept or technology. Unrelated concepts and technologies should not be consolidated into a single Concept Paper.

The Concept Paper must conform to the following content requirements:

Section	Page Limit	Description
<b>Cover Page</b>	1 page maximum	The cover page should include the project title, the specific announcement Topic Area and Subtopic Area being addressed (if applicable), both the technical and business points of contact, names of all team member organizations, and any statements regarding confidentiality.
<b>Technology Description</b>	3 pages maximum	<p>Applicants are required to describe succinctly:</p> <ul style="list-style-type: none"> <li>• The proposed technology, including its basic operating principles and how it is unique and innovative;</li> <li>• The proposed technology’s target level of performance (applicants should provide technical data or other support to show how the proposed target could be met);</li> <li>• The current state-of-the-art in the relevant field and application, including key shortcomings, limitations, and challenges;</li> <li>• How the proposed technology will overcome the shortcomings, limitations, and challenges in the relevant field and application;</li> <li>• The potential impact that the proposed project would have on the relevant field and application;</li> <li>• The key technical risks/issues and potential mitigation associated with the proposed technology development plan; and</li> <li>• The impact that EERE funding would have on the proposed project.</li> </ul>
<b>Addendum</b>	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"> <li>• Whether the Principal Investigator (PI) and Project Team have the skill and expertise needed to successfully execute the project plan;</li> <li>• Whether the applicant has prior experience which demonstrates an ability to perform tasks of similar risk and complexity;</li> <li>• Whether the applicant has worked together with its teaming partners on prior projects or programs; and</li> <li>• 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.</li> <li>• Applicants may provide graphs, charts, or other data to supplement their Technology Description.</li> </ul>

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 Problems with EERE Exchange? Email [EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov) Include FOA name and number in subject line.

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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. An applicant who receives a “discouraged” notification may still submit a Full Application. EERE will review all eligible Full Applications. However, by discouraging the submission of a Full Application, EERE intends to convey its lack of programmatic interest in the proposed project in an effort to save the applicant the time and expense of preparing an application that is unlikely to be selected for award negotiations.

EERE may include general comments provided from reviewers on an applicant’s Concept Paper in the encourage/discourage notification posted on EERE eXCHANGE at the close of that phase.

## **D. Content and Form of the Full Application**

Applicants must submit a Full Application by the specified due date and time to be considered for funding under this FOA. Applicants must complete the following application forms found on the EERE eXCHANGE website at <https://eere-eXCHANGE.energy.gov/>, in accordance with the instructions.

Applicants will have approximately 30 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. Applicants will receive a control number upon clicking the “Create Concept Paper” button in EERE eXCHANGE and should include that control number in the file name of their Full Application submission (i.e., *Control number\_Applicant Name\_Full Application*).

### **i. Full Application Content Requirements**

EERE will not review or consider ineligible Full Applications (see Section III. of the FOA).

Each Full Application shall be limited to a single concept or technology. Unrelated concepts and technologies shall not be consolidated in a single Full Application. Full Applications must conform to the following requirements:

Component	File Format	Page Limit	File Name
Technical Volume	PDF	25	ControlNumber_LeadOrganization_TechnicalVolume
Resumes	PDF	2 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
SF-424	PDF	n/a	ControlNumber_LeadOrganization_App424
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, if applicable (see DOE O 412.1A, Attachment 3)	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
Foreign Entity and Foreign Work Waivers	PDF	n/a	ControlNumber_LeadOrganization_Waiver
Diversity Equity and Inclusion Plan	PDF	5	ControlNumber_LeadOrganization_DEIP
Current and Pending Support	PDF	n/a	ControlNumber_LeadOrganization_CPS
Technical Datasheet (Topic Area 2 Only)	PDF	n/a	ControlNumber_LeadOrganization_TechDataSht
Transparency of Foreign Connections (if applicable)	PDF	n/a	ControlNumber_LeadOrganization_TFP
Potentially Duplicative Funding Notice (if applicable)	PDF	n/a	ControlNumber_LeadOrganization_PDFN

**Note:** The maximum file size that can be uploaded to the EERE eXCHANGE website is 10MB. Files in excess of 10MB cannot be uploaded, and hence cannot be submitted for review. If a file exceeds 10MB 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**

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**EERE will not accept late submissions that resulted from technical difficulties due to uploading files that exceed 10MB.**

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

**ii. Technical Volume**

The Technical Volume must be submitted in PDF format. The Technical Volume must conform to the following content and form requirements, including maximum page lengths. If applicants exceed the maximum page lengths indicated below, EERE will review only the authorized number of pages and disregard any additional pages. This volume must address the Merit Review Criteria as discussed in Section V.A.ii. 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, maps, photos, or other graphics, and must include all of the information in the table below. The applicant should consider the weighting of each of the evaluation 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. The Technical Volume must conform to the following content requirements:

SECTION/PAGE LIMIT	DESCRIPTION
Cover Page	The cover page should include the project title, the specific FOA Topic Area and Subtopic Area being addressed (if applicable), both the technical and business points of contact, names of all team member organizations, names of the senior/key personnel and their organizations, and any statements regarding confidentiality.

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<p><b>Project Overview</b> (Approximately 10% of the Technical Volume)</p>	<p>The Project Overview should contain the following information:</p> <ul style="list-style-type: none"> <li>• <b>Background:</b> The applicant should discuss the background of their 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.</li> <li>• <b>Project Goal:</b> The applicant should explicitly identify the targeted improvements to the baseline technology and the critical success factors in achieving that goal.</li> <li>• <b>DOE Impact:</b> 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.</li> </ul>
<p><b>Technical Description, Innovation, and Impact</b> (Approximately 30% of the Technical Volume)</p>	<p>The Technical Description should contain the following information:</p> <ul style="list-style-type: none"> <li>• <b>Relevance and Outcomes:</b> The applicant should provide a detailed description of the technology, 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.</li> <li>• <b>Feasibility:</b> The applicant should demonstrate the technical feasibility of the proposed technology and capability of achieving the anticipated performance targets, including a description of previous work done and prior results.</li> <li>• <b>Innovation and Impacts:</b> The applicant should describe the current state-of-the-art in the applicable field, the specific innovation of the proposed technology, the advantages of proposed technology over current and emerging technologies, and the overall impact on advancing the state-of-the-art/technical baseline if the project is successful.</li> </ul>
<p><b>Workplan and Market Transformation Plan</b> (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"> <li>• <b>Project Objectives:</b> 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.</li> <li>• <b>Technical Scope Summary:</b> 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</li> </ul>

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	<p>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.</p> <ul style="list-style-type: none"> <li>• <b>WBS and Task Description Summary:</b> 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.</li> <li>• <b>Milestone Summary:</b> 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 SMART technical milestone. SMART milestones 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.</li> <li>• <b>Go/No Go Decision Points:</b> The applicant should provide a summary of project-wide go/no go decision points at appropriate points in the Workplan. A go/no go decision point 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 actually beginning the execution of future phases. At a minimum, each project must have at least one project-wide go/no go decision point for each budget period (12 to 18-month period) of the project. See Section VI.B.xiv. The applicant should also provide the specific technical criteria to be used to evaluate the project at the</li> </ul>
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	<p>go/no go decision point. The summary provided should be consistent with the SOPO (both topic areas) and the Technical Datasheet for Topic Area 2 only. Go/No Go decision points are considered “SMART” and can fulfill the requirement for an annual SMART milestone.</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> <li>• Project Management: The applicant should discuss the team’s proposed management plan, including the following:             <ul style="list-style-type: none"> <li>○ The overall approach to and organization for managing the work</li> <li>○ The roles of each project team member</li> <li>○ Any critical handoffs/interdependencies among project team members</li> <li>○ The technical and management aspects of the management plan, including systems and practices, such as financial and project management practices</li> <li>○ The approach to project risk management</li> <li>○ A description of how project changes will be handled</li> <li>○ If applicable, the approach to Quality Assurance/Control</li> <li>○ How communications will be maintained among project team members</li> </ul> </li> <li>• Market Transformation Plan: The applicant should provide a market transformation plan, including the following:             <ul style="list-style-type: none"> <li>○ Identification of target market, competitors, and distribution channels for proposed technology along with known or perceived barriers to market penetration, including a mitigation plan</li> <li>○ 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.</li> </ul> </li> </ul>
<b>Technical Qualifications and Resources</b>	The Technical Qualifications and Resources should contain the following information:

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 Problems with EERE Exchange? Email [EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov) Include FOA name and number in  
 subject line.*

<p>(Approximately 20% of the Technical Volume)</p>	<ul style="list-style-type: none"> <li>• Describe the project team’s unique qualifications and expertise, including those of key subrecipients.</li> <li>• Describe the project team’s existing equipment and facilities 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.</li> <li>• This section should also include relevant, previous work efforts, demonstrated innovations, and how these enable the applicant to achieve the project objectives.</li> <li>• Describe the time commitment of the key team members to support the project.</li> <li>• Describe the technical services to be provided by DOE/NNSA FFRDCs, if applicable.</li> <li>• For multi-organizational or multi-investigator projects, describe succinctly:             <ul style="list-style-type: none"> <li>○ The roles and the work to be performed by each PI and senior/key personnel;</li> <li>○ Business agreements between the applicant and each PI and senior/key personnel;</li> <li>○ How the various efforts will be integrated and managed;</li> <li>○ Process for making decisions on scientific/technical direction;</li> <li>○ Publication arrangements;</li> <li>○ Intellectual Property issues; and</li> <li>○ Communication plans</li> </ul> </li> </ul>
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### iii. Resumes

A resume provides information that can be used by reviewers to evaluate the 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 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

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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; and
6. Synergistic Activities: List up to five professional and scholarly activities related to the proposed effort.

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/>, and is also available at <https://nsf.gov/bfa/dias/policy/nsfapprovedformats/biosketch.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".

#### **iv. Letters of Commitment**

Submit letters of commitment from all subrecipient and third-party cost share providers. If applicable, also include any letters of commitment from partners/end users (one-page maximum per letter). Save the letters of commitment in a single PDF file using the following convention for the title "ControlNumber\_LeadOrganization\_LOCs".

#### **v. Statement of Project Objectives (SOPO)**

Applicants are required to complete a SOPO. A SOPO template is available 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

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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”.

**vi. SF-424: Application for Federal Assistance**

Applicants are required to complete the SF-424 Application for Federal Assistance. This form is available on EERE eXCHANGE at <https://eere-eXCHANGE.energy.gov/>. Complete all required fields in accordance with the instructions on the form. The list of certifications and assurances in Field 21 can be found at <http://energy.gov/management/office-management/operational-management/financial-assistance/financial-assistance-forms>, under Certifications and Assurances. 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”.

**vii. Budget Justification Workbook**

Applicants are required to complete the Budget Justification Workbook. This form is available on EERE eXCHANGE at <https://eere-eXCHANGE.energy.gov/>. Prime recipients must complete each tab of the Budget Justification Workbook for the project as a whole, 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”.

**viii. Summary/Abstract for Public Release**

Applicants are required to submit a one-page summary/abstract of their project. The project summary/abstract must contain a summary of the proposed activity 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

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(e.g., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as DOE may make it available to the public after selections are made. The project summary must not exceed 1 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".

#### **ix. Summary Slide**

Applicants are required to provide a single slide summarizing the proposed project. This slide is used during the evaluation process.

The Summary Slide template requires 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, Principal Investigator, and senior/key personnel information; and
- Requested EERE funds and proposed applicant cost share;
- Slide size should be "Widescreen (16:9)".

Save the Summary Slide in a single Microsoft Powerpoint file using the following convention for the title "ControlNumber\_LeadOrganization\_Slide".

#### **x. 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 percent 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".

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**xi. Budget for DOE/NNSA FFRDC (if applicable)**

If a DOE/NNSA FFRDC contractor is to perform a portion of the work, the applicant must provide a DOE WP in accordance with the requirements in DOE Order 412.1A, Work Authorization System, Attachment 3, 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".

**xii. 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".

**xiii. SF-LLL: Disclosure of Lobbying Activities (required)**

Prime 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".

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**xiv. Waiver Requests: Foreign Entity and Foreign Work (if applicable)****i. Foreign Entity Participation:**

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

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

As set forth in Section IV.J.iii., all work under EERE funding agreements 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 C lists the necessary 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".

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

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".

## **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 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 foreign government-sponsored talent recruitment programs must be identified in current and pending support.

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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 – end date); and
- The person-months of effort per year being 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.

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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/nsfapprovedformats/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

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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 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 DOE award.<sup>16</sup>

#### **xvii. Additional Requirements**

For Topic Area 2, a Technical Datasheet is required with the application. See Appendix H. Save the Technical Datasheet in a single pdf file using the following convention for the title, "ControlNumber\_LeadOrganization\_Topic\_TechDataSht."

#### **xviii. Transparency of Foreign Connections**

Applicants must identify the following as they relate to the proposed recipient and subrecipients:

1. the identity of all owners and covered individuals 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);
2. 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;
3. any current or pending contractual or financial obligation or other agreement specific to a business arrangement, or joint venture-like

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<sup>16</sup> 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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- arrangement with an enterprise owned by a foreign state or any foreign entity;
4. percentage, if any, that the proposed recipient or subrecipient has foreign ownership or control;
  5. percentage, if any, that the proposed recipient or subrecipient is wholly or partially owned by an entity in a foreign country of risk;
  6. the 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;
  7. any technology licensing or intellectual property sales to a foreign country of risk, during the 5-year period preceding submission of the proposal; and
  8. any foreign business entity, offshore entity, or entity outside the United States related to the proposed recipient or subrecipient.

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

Save the Transparency of Foreign Participation information in a single PDF file using the following convention for the title  
“ControlNumber\_LeadOrganization\_TFP.”

#### **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 DOE 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.”

## E. Content and Form of Replies to Reviewer Comments

If replies to reviewer comments are applicable, EERE will provide applicants with reviewer comments following the evaluation of all eligible Full Applications. Applicants will have a brief opportunity to review the comments and to prepare a short Reply to Reviewer Comments responding to the comments however they desire or supplementing their Full Application. The Reply to Reviewer Comments is an optional submission; applicants are not required to submit a Reply to Reviewer Comments. 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 in the event that 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 Replies to Reviewer Comments.

EERE will not review or consider ineligible Replies to Reviewer Comments (see Section III. of the FOA). EERE will review and consider each eligible Full Application, even if no Reply is submitted or if the Reply is found to be ineligible.

Replies to Reviewer Comments must conform to the following content and form requirements, including maximum page lengths, described below. If a Reply to Reviewer Comments is more than three (3) pages in length, EERE will review only the first three (3) pages and disregard any additional pages.

SECTION	PAGE LIMIT	DESCRIPTION
<b>Text</b>	2 pages max	Applicants may respond to one or more reviewer comments or supplement their Full Application.
<b>Optional</b>	1 page max	Applicants may use this page however they wish; text, graphs, charts, or other data to respond to reviewer comments or supplement their Full Application are acceptable.

## F. Post Selection Information Requests

If selected for award, EERE reserves the right to request additional or clarifying information regarding the following (non-exhaustive list):

*Questions about this FOA? Email [FY23BETORACIPACFOA@ee.doe.gov](mailto:FY23BETORACIPACFOA@ee.doe.gov)  
Problems with EERE Exchange? Email [EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov) Include FOA name and number in  
subject line.*

- Personnel proposed to work on the project and collaborating organizations (See Section VI.B.xviii. Participants and Collaborating Organizations);
- Current and Pending Support (See Sections IV.D.xvii and VI.B.xix. Current and Pending Support);
- 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.xxi.;
- Indirect cost information;
- Other budget information;
- Commitment Letters 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);
- 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) Be registered in the SAM at <https://www.sam.gov> before submitting its application; (2) provide a valid UEI in its application; and (3) continue to 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 and, if an applicant has not fully complied with the requirements by the time DOE is ready to make a federal award, the 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.

## **H. Submission Dates and Times**

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

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Problems with EERE Exchange? Email [EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov) Include FOA name and number in  
subject line.*

## 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.

Refer to the following applicable federal cost principles for more information:

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

### ii. Pre-Award Costs

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 assigned to the award.

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 override these NEPA requirements 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 EERE awards 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, EERE 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**

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subject line.*

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There may be limited circumstances where it is in the interest of the project to perform a portion of the work outside the United States. To seek a foreign work waiver, the applicant must submit a written waiver request to EERE. Appendix C lists the necessary information that must be included in a request for a foreign work waiver.

The applicant must demonstrate to the satisfaction of EERE that a waiver would further the purposes of the FOA and is in the economic interests of the United States. EERE may require additional information before considering a waiver request. Save the waiver request(s) in a single PDF file. The applicant does not have the right to appeal EERE'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 U.S. 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**

Property disposition will be required at the end of a project if the current fair market value of property exceeds \$5,000. For-profit entity disposition requirements are set forth at 2 CFR 910.360. Property disposition requirements for other non-federal entities are set forth in 2 CFR 200.310 – 200.316.

#### **vii. Domestic Preference – Infrastructure Projects**

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As appropriate and to the extent consistent with law, Applicants shall ensure that, to the greatest extent practicable, iron and aluminum as well as steel, cement, and other manufactured products (items and construction materials composed in whole or in part of non-ferrous metals such as aluminum; plastics and polymer-based products such as polyvinyl chloride pipe; aggregates such as concrete; glass, including optical fiber; and lumber) used in the proposed project shall be produced in the United States. This requirement shall flow down to all sub-awards including all contracts, subcontracts and purchase orders for work performed under the proposed project.

### **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**

Prior to making a federal award, the DOE is required by 31 U.S.C. 3321 and 41 U.S.C. 2313 to review information available through any Office of Management and Budget (OMB)-designated repositories of government-wide eligibility qualification or financial integrity information, such as SAM Exclusions and "Do Not Pay."

In addition, DOE evaluates the risk(s) posed by applicants before they receive federal awards. This evaluation may consider: results of the evaluation of the applicant's eligibility; the quality of the application; financial stability; quality of management systems and ability to meet the management standards prescribed in this part; history of performance; reports and findings from audits; and the

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applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-federal entities.

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. 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;
- 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*

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*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. Foreign Collaboration Considerations**

- a. Consideration of new collaborations with foreign organizations and governments. The recipient will be required to provide DOE with advanced written notification of any potential collaboration with foreign organizations or governments in connection with its DOE-funded award scope. The

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subject line.*

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recipient will then be required to await further guidance from DOE prior to contacting the proposed foreign organization or government regarding the potential collaboration or negotiating the terms of any potential agreement.

- b. Existing collaborations with foreign 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 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 technology, describes how the technology is innovative, and how the technology will advance the current state-of-the-art;

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- The applicant has identified risks and challenges, 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 merit 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 or process is innovative;
- Degree to which the current state of the technology and the proposed advancement 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; and
- Sufficiency of technical detail in the application to assess whether the proposed work is scientifically meritorious, including relevant data, calculations, and discussion of prior work in the literature with analyses that support the viability of the proposed work.

Impact of Technology Advancement

- How likely the project is to meet or exceed the topic area objectives, target specifications, and metrics; and
- The potential impact of the project on advancing the state-of-the-art.

### **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; and

- 
- Degree to which the task descriptions are clear, detailed, timely, and reasonable, resulting in a high likelihood of success in meeting project goals.

#### 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.

#### Baseline, Metrics, and Deliverables

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

#### Market Transformation Plan

- Identification of target market, competitors, and path to commercial viability for proposed technology along with known or perceived barriers to commercialization, including legal/regulatory considerations, intellectual property, and infrastructure requirements.

### **Criterion 3: Team and Resources (15%)**

This criterion involves consideration of the following factors:

- The 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;
- The sufficiency of the facilities to support the work;
- The level of participation by project participants as evidenced by letter(s) of commitment and how well they are integrated into the Workplan; and
- The reasonableness of the budget and spend plan for the proposed project and objectives.

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

This criterion involves consideration of the following factors:

- The quality and manner in which diversity, equity and inclusion goals are incorporated into the project; and
- Extent to which the project benefits underserved communities.

## **iii. Criteria for Replies to Reviewer Comments**

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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 is likely to lead to increased employment and manufacturing in the United States;
- 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; and
- 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 diversity, equity, and inclusion elements, including but not limited to team members from Minority Serving Institutions (e.g. Historically Black Colleges and Universities (HBCUs)/Other Minority Institutions), Minority Business Enterprises, Minority

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Owned Businesses, Woman Owned Businesses, Veteran Owned Businesses, or members within underserved communities.

**Diversity (other than technological)**

- The degree to which the proposed project collectively represents diverse types and sizes of applicant organizations.

**Optimize Funding**

- The degree to which the proposed project avoids duplication/overlap with other publicly or privately funded work.

**Complementary Efforts**

- The degree to which the proposed project supports complementary efforts or projects, which, when taken together, will best achieve the research goals and objectives.

**Market Impact**

- The degree to which the proposed project enables new and expanding market segments.

**EE/Deployment**

- The degree to which the project's solution or strategy will maximize deployment or replication.

**Tech Transfer**

- The degree to which the project promotes increased coordination with nongovernmental entities for demonstration of technologies and research applications to facilitate technology transfer.

**D. Evaluation and Selection Process****i. Overview**

*Questions about this FOA? Email [FY23BETORACIPACFOA@ee.doe.gov](mailto:FY23BETORACIPACFOA@ee.doe.gov)  
Problems with EERE Exchange? Email [EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov) Include FOA name and number in  
subject line.*

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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, 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 and will be limited to information already provided in the application documentation. 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 response 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 Integrity and Performance Matters**

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 information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313).

The applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any

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information about itself that a federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM.

DOE will consider any written comments by the applicant, in addition to the other information in the designated integrity and performance system, 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, 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.

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

### **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. Successful Applicants**

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. Applicants do not receive an award 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 60 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 before submitting an application in response to this FOA, and it is vital that applicants address these items as soon as possible. Some may take several weeks, and failure to complete them could interfere with an applicant's ability to apply to this FOA, or to meet the negotiation deadlines and receive an award if the application is 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.

Beginning on July 29, 2022\*, eXCHANGE will be updated to integrate with [Login.gov](https://login.gov). As of September 30, 2022\*, potential applicants will be required to have a Login.gov account to access [EERE eXCHANGE](#). 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

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\* Please note that these dates are tentative and subject to change.

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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.

It is recommended that each organization or business unit, whether acting as a team or a single entity, use only one account as the contact point for each submission. Applicants should also designate backup points of contact so they may be easily contacted if deemed necessary. **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. **However, please note that Concept Papers and Full Applications will not be accepted through Grants.gov.**

## 5. 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 foreign national’s participation in the award. Likewise, DOE may elect to deny a foreign national’s access to a DOE sites, 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)**

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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. 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 in response 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 the following definitions apply:

A Corporation includes any 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]. It includes both for-profit and non-profit organizations.

### 3. Nondisclosure and Confidentiality Agreements Representations

In submitting an application in response 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 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.

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- (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.

#### **viii. 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.

#### **ix. 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 as a whole. 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).

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4. EERE participates in major project decision-making processes.

**x. Intellectual Property Management Plan (IPMP)**

As a quarter 1 milestone if selected for award, applicants may be required per the discretion of the Contracting Officer to submit an executed IPMP between the members of the consortia or teaming arrangements.

The award will set forth the treatment of and obligations related to intellectual property rights between EERE and the individual members. The IPMP should describe how the members will handle intellectual property rights and issues between themselves while ensuring compliance with federal intellectual property laws, regulations, and policies (see Sections VIII.K.-VIII.N. of this FOA for more details on applicable federal intellectual property laws and regulations). Guidance regarding the contents of IPMP is available from EERE upon request.

The following is a non-exhaustive list of examples of items that the IPMP may cover:

- The treatment of confidential information between members (e.g., the use of NDAs);
- The treatment of background intellectual property (e.g., any requirements for identifying it or making it available);
- The treatment of inventions made under the award (e.g., any requirements for disclosing to the other members on an application, filing patent applications, paying for patent prosecution, and cross-licensing or other licensing arrangements between the members);
- The treatment of data produced, including software, under the award (e.g., any publication process or other dissemination strategies, copyrighting strategy or arrangement between members);
- Any technology transfer and commercialization requirements or arrangements between the members;
- The treatment of any intellectual property issues that may arise due to a change in membership of the consortia or team; and
- The handling of disputes related to intellectual property between the members.

**xi. Subject Invention Utilization Reporting**

In order to ensure that prime recipients and subrecipients 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

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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 both Topic 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.

Applications submitted under both topic areas are required to participate in a verification as described in Section I.D.

### Topic Area 1:

- Prior to project closeout, projects must deliver representative replicate (at least two) biomass samples to be archived and characterized in the Bioenergy Feedstock Library (<https://bioenergylibrary.inl.gov/Home/Home.aspx>) 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. Additionally, all data resulting from physical sample characterization must be catalogued in the Bioenergy Feedstock Library.
- Projects must upload all additional non-proprietary data stemming from funded projects to the Bioenergy Knowledge Discovery Framework

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(<https://bioenergykdf.net/>) administered at Oak Ridge National Laboratory to facilitate dissemination to other researchers and industry.

Topic Area 2:

- A Technical Datasheet (see Appendix H)
- A presentation at the topic area-specific meeting held midway through the project.
- A presentation at the topic area-specific meeting held towards the completion of the project.

#### **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. 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 EERE 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; 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 United States government would 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 \$1,000,000, 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. Implementation of Executive Order 13798, Promoting Free Speech and Religious Liberty**

States, local governments, or other public entities may not condition sub-awards in a manner that would discriminate, or disadvantage sub-recipients based on their religious character.

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**xviii. 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 within 30 days after the applicant is notified of the selection. 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.

**xix. 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.

**xx. 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 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 to practice 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.

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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.

## **xxi. Data Management Plan (DMP)**

Each applicant whose Full Application is selected for award negotiations will be required to submit a 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 in order to validate the results of the proposed work or how the results could 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.

## **xxii. Interim Conflict of Interest Policy for Financial Assistance**

The DOE interim Conflict of Interest Policy for Financial Assistance (COI Policy)<sup>17</sup> 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 their 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. 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

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<sup>17</sup> 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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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 (currently FAPIIS). 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 requirements, including but not limited to independent program and project audits to mitigate risks for fraud, waste, and abuse.

#### **xxiv. Human Subjects Research**

Research involving human subjects, biospecimens, or identifiable private information conducted with DOE funding is subject to the requirements of DOE Order 443.1C, Protection of Human Research Subjects, 45 CFR Part 46, Protection of Human Subjects (subpart A which is referred to as the “Common Rule”), and 10 CFR Part 745, Protection of Human Subjects. Additional information on the DOE Human Subjects Research Program can be found at: [HUMAN SUBJECTS Human Subjects Pr... | U.S. DOE Office of Science \(SC\) \(osti.gov\)](#).

## **VII. Questions/Agency Contacts**

*Questions about this FOA? Email [FY23BETORACIPACFOA@ee.doe.gov](mailto:FY23BETORACIPACFOA@ee.doe.gov)  
Problems with EERE Exchange? Email [EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov) Include FOA name and number in  
subject line.*

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Upon the issuance of a FOA, EERE personnel are prohibited from communicating (in writing or otherwise) with applicants regarding the FOA except through the established question and answer process as described below. Specifically, questions regarding the content of this FOA must be submitted to:

FY23BETORACIPACFOA@ee.doe.gov. Questions must be submitted not later than 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>. **Please note that you must first select this specific FOA Number in order to view the questions and answers specific to this FOA.** EERE will attempt to respond to a question within 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](mailto:EERE-eXCHANGESupport@hq.doe.gov).

## **VIII. Other Information**

### **A. FOA Modifications**

Amendments to this FOA will be posted on the EERE eXCHANGE website 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**

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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 commercial or financial information that is privileged or confidential 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 information that is commercial or financial, or information that is confidential or privileged, it is furnished to the Government in confidence with the understanding that the information shall be used or disclosed only for evaluation of the application. Such information will be withheld from public disclosure to the extent permitted by law, including the Freedom of Information Act. Without assuming any liability for inadvertent disclosure, 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 Government's right to use the information if it is obtained from another source.

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

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

### **Notice of Restriction on Disclosure and Use of Data:**

Pages [list applicable pages] of this document may contain trade secrets, confidential, proprietary, or privileged information that is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes or in accordance with a financial assistance or loan 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]

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

## **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;

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subject line.*

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- 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. In order 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: For an applicant not covered by a Class Patent Waiver or the Bayh-Dole Act, the applicant 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.

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- 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.xx. 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 on the website above further DEC's 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 and subrecipients 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 contractors doing work on behalf of the government.

### **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:

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- 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 U.S. 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 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. 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).

## **P. 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

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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 uses *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.

## **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, then 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.

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## 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 of the terms in the titles specific to regulations applicable to cost sharing. EERE almost always uses the term “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 even a couple of 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, then it is allowable as cost share. Conversely, if the cost is not allowable under the cost principles and not eligible for reimbursement, then 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 regulations referenced above, other factors may also come into play such as timing of donations and length of the project period. For example, the value of ten 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 item or service is reimbursed for, 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, 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. If questions exist, consult your DOE contact 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

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.

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**(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.

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- 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 – SAMPLE COST SHARE CALCULATION FOR BLENDED COST SHARE PERCENTAGE

The following example shows the math for calculating required cost share for a project with \$2,000,000 in federal funds with four tasks requiring different non-federal cost share percentages:

Task	Proposed Federal Share	Federal Share %	Recipient Share %
Task 1 (R&D)	\$1,000,000	80%	20%
Task 2 (R&D)	\$500,000	80%	20%
Task 3 (Demonstration)	\$400,000	50%	50%
Task 4 (Outreach)	\$100,000	100%	0%

Federal share (\$) divided by federal share (%) = Task Cost

Each task must be calculated individually as follows:

### Task 1

\$1,000,000 divided by 80% = \$1,250,000 (Task 1 Cost)

Task 1 Cost minus federal share = non-federal share

\$1,250,000 - \$1,000,000 = \$250,000 (non-federal share)

### Task 2

\$500,000 divided 80% = \$625,000 (Task 2 Cost)

Task 2 Cost minus federal share = non-federal share

\$625,000 - \$500,000 = \$125,000 (non-federal share)

### Task 3

\$400,000 / 50% = \$800,000 (Task 3 Cost)

Task 3 Cost minus federal share = non-federal share

\$800,000 - \$400,000 = \$400,000 (non-federal share)

### Task 4

Federal share = \$100,000

Non-federal cost share is not mandated for outreach = \$0 (non-federal share)

The calculation may then be completed as follows:

Tasks	\$ Federal Share	% Federal Share	\$ Non-Federal Share	% Non-Federal Share	Total Project Cost
Task 1	\$1,000,000	80%	\$250,000	20%	\$1,250,000
Task 2	\$500,000	80%	\$125,000	20%	\$625,000
Task 3	\$400,000	50%	\$400,000	50%	\$800,000
Task 4	\$100,000	100%	\$0	0%	\$100,000
Totals	\$2,000,000		\$775,000		\$2,775,000

Blended Cost Share %

Non-federal share (\$775,000) divided by Total Project Cost (\$2,775,000) = 27.9% (non-federal)

Federal share (\$2,000,000) divided by Total Project Cost (\$2,775,000) = 72.1% (federal)

## **APPENDIX C – WAIVER REQUESTS AND APPROVAL PROCESSES: 1. FOREIGN ENTITY PARTICIPATION; AND 2. PERFORMANCE OF WORK IN THE UNITED STATES (FOREIGN WORK WAIVER)**

### **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 economy security.<sup>18</sup> 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 U.S. 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;

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<sup>18</sup> See [Critical and Emerging Technologies List Update \(whitehouse.gov\)](https://www.whitehouse.gov/critical-emerging-technologies/).

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- 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 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 domestic American manufacturing of products and/or services;
  - 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. Waiver for Performance of Work in the United States (Foreign Work Waiver)**

As set forth in Section IV.J.iii., all work under EERE funding agreements must be performed in the United States. To seek a waiver of the Performance of Work in the

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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 EERE that it would further the purposes of this FOA and is otherwise in the economic interests of the United States to perform work outside of the United States. A request for a foreign work waiver must include the following:

- The rationale for performing the work outside the U.S. (“foreign work”);
- A description of the work proposed to be performed outside the U.S.;
- An explanation as to how the foreign work is essential to the project;
- A description of the anticipated benefits to be realized by the proposed foreign work and the anticipated contributions to the US economy;
- The associated benefits to be realized and the contribution to the project from the foreign work;
- How the foreign work will benefit U.S. research, development, and manufacturing, including contributions to employment in the U.S. and growth in new markets and jobs in the U.S.;
- How the foreign work will promote domestic American manufacturing of products and/or services;
- A description of the likelihood of Intellectual Property (IP) being created from the foreign work and the treatment of any such IP;
- The total estimated cost (DOE and recipient cost share) of the proposed foreign work;
- The countries in which the foreign work is proposed to be performed; and
- The name of the entity that would perform the foreign work.

EERE may require additional information before considering the waiver request.

The applicant does not have the right to appeal EERE’s decision concerning a waiver request.

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## APPENDIX D – GLOSSARY

**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.

**Continuation application** – 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 to EERE its continuation application, which includes the following information:

- i. A report on the Recipient’s progress towards meeting the objectives of the project, including any 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 negotiated Statement of Project Objectives and/or Milestone Summary Table.

**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 <https://www.energy.gov/gc/downloads/doe-cooperative-research-and-development-agreements>

**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/>.

**Go/No-Go Decision Points:** – A decision point at the end of a budget period that defines the overall objectives, milestones, and deliverables to be achieved by the recipient in that budget period. As a result of EERE’s review, EERE may take one of the following actions: 1) authorize federal funding for the next budget period; 2) recommend redirection of work; 3) discontinue

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providing federal funding beyond the current budget period; or 4) place a hold on federal funding pending further supporting data.

Pests – any organism that infects, consumes, competes with, or has other deleterious effects on the algal strain (or strains) being cultivated.

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

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.

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. See section III.E.ii.

## APPENDIX E – DEFINITION OF TECHNOLOGY READINESS LEVELS

TRL 1:	Basic principles observed and reported
TRL 2:	Technology concept and/or application formulated
TRL 3:	Analytical and experimental critical function and/or characteristic proof of concept
TRL 4:	Component and/or breadboard validation in a laboratory environment
TRL 5:	Component and/or breadboard validation in a relevant environment
TRL 6:	System/subsystem model or prototype demonstration in a relevant environment
TRL 7:	System prototype demonstration in an operational environment
TRL 8:	Actual system completed and qualified through test and demonstrated
TRL 9:	Actual system proven through successful mission operations

## APPENDIX F – LIST OF ACRONYMS

COI	Conflict of Interest
DEC	Determination of Exceptional Circumstances
DEI	Diversity, Equity, and Inclusion
DMP	Data Management Plan
DOE	Department of Energy
DOI	Digital Object Identifier
EERE	Energy Efficiency and Renewable Energy
FAR	Federal Acquisition Regulation
FFATA	Federal Funding and Transparency Act of 2006
FOA	Funding Opportunity Announcement
FOIA	Freedom of Information Act
FFRDC	Federally Funded Research and Development Center
GAAP	Generally Accepted Accounting Principles
IPMP	Intellectual Property Management Plan
M&O	Management and Operating
MPIN	Marketing Partner ID Number
MSI	Minority-Serving institution
MYPP	Multi-Year Program Plan
NDA	Non-Disclosure Acknowledgement
NEPA	National Environmental Policy Act
NNSA	National Nuclear Security Agency
OMB	Office of Management and Budget
OSTI	Office of Scientific and Technical Information
PII	Personal Identifiable Information
R&D	Research and Development
RFI	Request for Information
RFP	Request for Proposal
SAM	System for Award Management
SOPO	Statement of Project Objectives
SPOC	Single Point of Contact
STEM	Science, Technology, Engineering, and Mathematics
TIA	Technology Investment Agreement
TRL	Technology Readiness Level
UCC	Uniform Commercial Code
UEI	Unique Entity Identifier
WBS	Work Breakdown Structure
WP	Work Proposal

Questions about this FOA? Email [FY23BETORACIPACFOA@ee.doe.gov](mailto:FY23BETORACIPACFOA@ee.doe.gov)  
 Problems with EERE Exchange? Email [EERE-ExchangeSupport@hq.doe.gov](mailto:EERE-ExchangeSupport@hq.doe.gov) Include FOA name and number in  
 subject line.

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## APPENDIX G – 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 Section II.A.ii. 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 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 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.M. 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 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 H – TECHNICAL DATASHEET

Topic Area 1 – Climate Smart Agricultural Practices for Low Carbon Intensity: Applicants selected and awarded from this Topic Area (both Subtopic areas) will be required to submit a technical datasheet during the initial verification (see Appendix G for details regarding the initial verification).

Topic Area 2 - Algae Crop Protection: A technical datasheet is required with the application. Please see **Technical Datasheet Instructions** below.

### **Technical Datasheets Instructions:**

For Topic Area 2 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>) for instructions.