Good afternoon everyone and welcome to our webinar. Thank you for your interest in the U.S. Department of Energy's efforts on renewable energy and energy efficiency. You are joining us for the Informational Webinar for Applicants and other interested parties for the MEGABIO Funding Opportunity Announcement, or FOA, which was issued on February 8th. My name is Nichole Fitzgerald and I am a Technology in the Bioenergy Technologies Office within the DOE's Office of Energy Efficiency and Renewable Energy. We hope to cover the basic aspects of the Funding Opportunity Announcement during this webinar.

Before we begin, I'd like to draw your attention to the email address on the left hand side of this cover page. This is the official mailbox to direct all of your questions during the entire FOA process. Please do not contact EERE individuals directly with questions, including myself. All questions received at this mailbox are posted publicly at the Q&A section of the FOA page on EERE Exchange in an anonymous way. The official answers to your questions will typically also be posted within 3 business days. Please be careful not to submit any language that might be business sensitive, proprietary or confidential.

Slide 2

All applicants are strongly encouraged to carefully read the Funding Opportunity Announcement DE- FOA-0001433 ("Bioenergy Technologies MEGA-BIO: Bioproducts to Enable Biofuels FOA") and adhere to the stated submission requirements.

This presentation summarizes the contents of FOA. If there are any inconsistencies between the FOA and this presentation or statements from DOE personnel, the FOA is the controlling document and applicants should rely on the FOA language and seek clarification from EERE.

If you believe there is an inconsistency, please contact <u>BETOMEGABIOFOA@ee.doe.gov</u>

Slide 3

The agenda for this presentation is as follows:

FOA Description Award Information Concept Papers Full Applications Merit Review and Selection Process Registration Requirements Statement of Substantial Involvement Cost Sharing We encourage you to have a copy of the EQ

We encourage you to have a copy of the FOA in front of you for reference as we go through the presentation

As BETO increasingly focuses on hydrocarbon fuels, it is examining strategies that capitalize on revenue from bioproducts as part of cost-competitive biofuel production.

A variety of technology pathways can be used to produce hydrocarbon biofuels, but many of them require the production of value-added chemicals and products in the near-term to achieve an attractive rate of return on cost-competitive fuels.

Value-added chemicals and products can also incentivize the de-risking of "front end" processes (from feedstock logistics through to deconstruction) which are also necessary for fuel production.

It is important to note that while bioproducts are seen as a valuable strategy for enabling fuels, BETO is not interested in pursuing R&D solely on bioproducts without a fuels component.

To clarify on the last bullet, BETO is requesting proposals that describe an entire biomass to bioFUELS pathway, and that pathway to fuels must be clear in your proposal, but the proposed R&D can focus on a specific unit operation that take biomass to bioproducts(s).

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The intent of this FOA is to identify R&D projects that develop biomass to hydrocarbon biofuels conversion pathways that can produce variable amounts of fuels and products based on external factors, such as market demand. These pathways could consist of a route to a platform chemical that could be converted to products or fuels (Scenario A) or a route that coproduces chemicals and fuels (Scenario B). Successful applications will include a clear justification for producing the target molecule(s) from biomass, a compelling narrative explaining how the target product(s) will enable biofuels, and supporting technoeconomic analysis and life cycle analysis.

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There are two topic areas:

- **Topic Area 1:** Early TRL (TRL 2-3) R&D to optimize **one** unit operation of the proposed conversion pathway.
- **Topic Area 2:** Middle TRL (TRL 4-5) R&D optimize and integrate **multiple** unit operations of the proposed conversion pathway.

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

- Applications that fall outside the technical parameters specified in Sections I.A and I.B of the FOA, including but not limited to :
 - Applications for proposed technologies that are not based on sound scientific principles (e.g., violates the laws of thermodynamics).

- Applications that propose R&D on a biomass conversion pathway that does not include a strategy for producing cost-competitive biofuels;
- Applications that propose systems that are not sustainable and/or are not economical (excessive freshwater, unit operations, etc.) when scaled for commercial operation.

Applications that do not explain how the proposed R&D will lower the overall cost of producing a biofuel.

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Applications that do not use an acceptable feedstock as defined in Appendix E.

Applications that use food or feed carbohydrates, lipids, or proteins (e.g. maize or wheat dextrose, beet sucrose, sugar cane or grain sorghum syrup, soybean oil or meal), and/or derivatives (e.g. amino acids from maize dextrose, glycerol from the transesterification of soybean oil).

Applications that propose the production of biodiesel produced from transesterification or hydrotreating or hydrocracking of agronomic, natural plant oils (e.g., soybeans, palm, coconut, safflower, castor, algal).

Applications that propose the production of alcohols or biogas. Note that while ethanol and biogas are unacceptable final products, they will be accepted as process intermediates for upgrading to other advanced biofuels and products, if derived from applicable biomass sources.

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Applications that propose mixotrophic algae cultivation strategies that utilize food-based sugars (i.e., derived from food-based crops including but not limited to corn, beets, sorghum, and sugar cane).

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 the use of pure sugar feeds and/or 'model' intermediate feeds such as avicel, cane and starch sugar or model lignin compounds and mixtures. Note, it is expected that the baseline validation, stage gate and final validations will be performed on cellulosic derived intermediates.

Applications that fail to include the appropriate data as outlined in the Technical and Economic Tables Template (Appendix F).

The bullet in red originally appeared in the FOA but was deleted. To be clear, applications that propose using heterotrophic algae are within the scope of this FOA and will be considered responsive.

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EERE expects to make approximately \$11.3 million of Federal funding available for new awards under this FOA subject to the availability of appropriated funds. The average award amount is anticipated to range from \$1 to \$2 million. We expect the period of performance to take up to 36 months. The cost share requirement must be greater than or equal to 20% of the total project costs. The cost share is reduced from 20% to 10% where:

The Prime Recipient is a domestic institution of higher education; domestic nonprofit entity; FFRDC; or U.S. State, local, or tribal government entity; and The Prime Recipient performs more than 50% of the project work, as measured by the Total Project Cost.

EERE intends to fund cooperative agreements under this FOA.

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Who is Eligible to Apply? Eligible applicants for this FOA include

- Individuals
- Domestic Entities
- Foreign Entities
- Incorporated Consortia
- Unincorporated Consortia

Please note that nonprofit organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 that engaged in lobbying activities after December 31, 1995, are not eligible to apply for funding.

Also, note that all Prime Recipients receiving funding under this FOA must be incorporated (or otherwise formed) under the laws of a State or territory of the United States. If a foreign entity applies for funding as a Prime Recipient, it must designate in the Full Application a subsidiary or affiliate incorporated (or otherwise formed) under the laws of a State or territory of the United States to be the Prime Recipient. The Full Application must state the nature of the corporate relationship between the foreign entity and domestic subsidiary or affiliate.

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The FOA timeline is displayed here. Concept papers are due on 2/26 with full applications due 4/15.

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Applicants must submit a Concept Paper (may submit multiple concept papers - provided that each concept paper describes a unique, scientifically distinct project.)

The Concept Paper must include a technology description (See Section IV.C of the FOA)

The technology description is limited to 3 pages, with 1 page addendum.

Concept Papers must be submitted by 2/26/2016 5 p.m. Eastern Time through EERE Exchange, and must meet the content and form requirements (See Section IV.C of the FOA).

EERE provides applicants with: (1) an "encouraged" or "discouraged" notification, and (2) the reviewer comments

A "discouraged" notification conveys EERE's lack of programmatic interest in the proposed project, and is intended to save an applicant time and money from submitting a full application; however, an applicant who receives a "discouraged" notification may still submit a full application.

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EERE evaluates the Concept Papers based on the following technical review criteria:

The applicant clearly describes the proposed technology, describes how the technology is unique and innovative, and how the technology will advance the current state-of-the-art.

The applicant clearly describes the current market or market potential for the proposed target(s).

The applicant clearly describes in a quantitative manner how the proposed technology will enable biofuels production.

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.

The proposed work, if successfully accomplished, would clearly meet the objectives as stated in the FOA.

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The Full Application includes the following key documents:

Technical Volume: The key technical submission. This is the document within which the applicants will submit information pertaining to the technical content, the work plan and the project team members, etc.

Statement of Project Objectives Applicants are required to complete a Statement of Project Objectives (SOPO). A SOPO template is available on EERE Exchange at <u>https://eere-Exchange.energy.gov/</u>.

SF-424 Application for Federal Assistance: The formal application signed by the authorized representative of the applicant. This document includes cost share amounts and Federal certifications and assurances.

SF-424A Budget & Budget Justification (EERE 159): These documents are the main budget documents that applicants provide that summarizes the major expected costs associated with the project and spend plan.

Summary or Abstract for Public Release: Applicants must provide a 1 page summary of their technology appropriate for public release.

Summary Slide: This is document generated in Powerpoint slide that provides quick facts about the technology. The slide content requirements are provided in the FOA under Section Roman Numeral "4" D.7. (page 30)

Technical and Economic Data Tables: The application must include the applicable data described in the Technical and Economic Tables Template provided in Appendix F of this FOA. Applicants may use the tables as presented or adapt them to fit the specific circumstances of their proposed process(es)

Validation Participate Agreement: The application must include the applicant's acknowledgement to participate in the independent third party validations required under this FOA.

Administrative Documents: E.g., U.S. Manufacturing Plan, FFRDC Authorization (if applicable), Disclosure of Lobbying Activities, etc.

The key technical component of the full application is the Technical Volume, which helps applicants frame the technical information that the application will be evaluated on. The Technical Volume provides information regarding what the project is, how the project tasks will be accomplished, what are the key technical milestones, and the project timetable.

The Technical Volume is comprised of a cover page, project overview, technical description, innovation, and impact, workplan, technical qualifications and resources and the Technology Validation. Please note that the percentages listed here are suggested and are not mandatory.

- The Cover Page will be a one page document and provides basic information on their project, such as title, topic area, points of contact, etc.
- The Project Overview constitutes approximately 20% of the Technical Volume and is where the applicant will concisely describe the goal of the project including what bioproducts they are targeting and why, and this is where the applicant should include a block flow diagram of their proposed project.
- The Background is approximately 10% of the Technical Volume and covers the current research and development status (i.e., the technical baseline) relevant to the technical topic being addressed in the Full Application.
- The Impact section is approximately 15% of the Technical Volume and will need to address three things- DOE Impact, Environmental Impact (ie life cycle analysis) and Economic Impact (ie technoeconomic analysis).
- The Technical Description and Innovation section is approximately 15% of the Technical Volume. It provides a detailed description of the technology, including the scientific and other principles and objectives that will be pursued during the project as well as the technology's feasibility.
- The Workplan is approximately 30% of the Technical Volume. It details the proposed scope, milestones, and project schedule. If selected for award negotiations, the Workplan serves as the starting point when negotiating the Statement of Project Objectives.
- The Technical Qualifications and Resources section is approximately 10% of the Technical Volume. It provides applicants an opportunity to provide information about the proposed project team and demonstrate how the applicant will facilitate the successful completion of the proposed project.

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Applicants must submit a Full Application by 4/15/2016

Full Applications are eligible for review if:

- The Applicant is an eligible entity (Section III.A of FOA);
- The Applicant submitted an eligible Concept Paper;
- The Cost Share requirement is satisfied (Section III.B of FOA);
- The Full Application is compliant (Section III.C of FOA of FOA);
- The proposed project is responsive to the FOA (Section III.D of FOA)
- The Full Application meets any other eligibility requirements listed in Section III of the FOA.

Technical and Economic tables must be included as part the application.

Appendix F of the FOA is recommended template for tables.

- The first tab in the Excel file is for a Block Flow Diagram ("BFD"):
 - Should be high-level and include the entire process from feedstock to all products including fuel.
 - The portion of the process being addressed in the application should be clearly highlighted.
 - Examples of BFDs are provided for both Topic Areas.
 - It is understood that the proposed project may be in the very early stages of R&D and that the block flow diagram may change throughout the project as the applicant better understands how the project would fit into a commercial biofuels plant.
- The second tab in Appendix F is the "Validation Table":
 - This table should include all process relevant technical data and performance metrics.
 - A Benchmark, Intermediate, and Final target data out of each proposed unit operation.
 - The "General Information section" should capture the general aspects of the project.
 - General Information section will include information like feedstock, technology readiness level, products, scale, and the basis for the benchmark data

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-Insert Other Key Performance Parameters section requires net product yield, percent theoretical yield, temperature, pressure, and residence time. Other relevant metrics should be added based on the proposed process.

Reminder, please delete any rows that are not applicable to your proposed project.

TEA

- This tab should include the unit operations that are included in the "BFD" tab

- It is understood that the proposed projects may be low TRL levels. However, the project is expected to know some of the TEA inputs before starting an R&D project. At a minimum, the project should understand the margin between the value of the products and the cost of the feedstock and other process inputs.
- Is not designed to capture improvements to economics resulting from economies of scale or process improvements outside the scope of the project. These should remain constant throughout the project
- Links to the design cases are provided in the Appendix F instructions

- The final 4 tabs in the Appendix F Tables include examples for:
 - The "Validation Tables" tab for Topic Area 1.
 - The "Validation Tables" tab for Topic Area 2.
 - Examples for the Key Performance Parameters for the "Insert Other Key Performance Parameters" section of the "Validation Tables" tab.
 - TRL Definitions.
- Initial on-site validations for projects selected for award will include:
 - Validation of BFD.
 - Validation of the "Validation Table" tab data, adding any additional relevant metrics, and understanding the provided targets.
 - Validation of the "TechnoEconomics" tab data and understanding the assumptions that went into each value and addressing if those assumptions are reasonable.

The Merit Review process consists of multiple phases that each include an initial eligibility review and a thorough technical review

Rigorous technical reviews 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, to make the selection decisions

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The weighting criteria for the full applications is as follows: 60% goes towards Technical Merit, Innovation, Impact, 30% towards the Project Research and Commercialization Plan, and 10% towards the Project Team and Resources.

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Applications will be evaluated against the following merit criteria.

Extent to which the applicant clearly identifies the target molecule(s);

The extent to which the applicant clearly and accurately describes the current (or proposed) market for the target molecule, including the appropriateness of citations;

The level of clarity and accuracy in the applicant's description of how the target molecule(s) (or similar products) are currently produced;

The level of clarity, appropriateness and reasonableness in the applicant's logic for pursuing the chosen molecule(s) The level of clarity and reasonableness in the applicant's proposed route to target molecule(s) and fuels;

Clarity of the applicant's block flow diagram, including illustrating the pathway for producing the target bioproduct(s) and biofuel(s);

Extent to which the proposed target molecule(s) will be useful for enabling biofuels production in a quantifiable manner and reducing the risk of biofuels production.

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Degree to which the applicant fully and accurately describes the state of the art, including a comparison of the applicant's technology to relevant technologies and the extent to which the applicant includes appropriate citations to defend his/her view of the state of the art;

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 and revolutionary, including relevant data, calculations, and discussion of prior work in the literature with analysis that supports the viability of the proposed work.

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The level of impact that DOE funding will have on the proposed project;

The degree to which the applicant defined successful project outcomes;

The degree to which the project supports the topic area objectives and target specifications and metrics;

The potential impact of the project on advancing the state of the art;

If the applicant is successful, the degree to which their success would impact the industry and other researchers; and

The extent to which the applicant provides a compelling LCA or narrative explaining of how the proposed molecule(s) and fuel(s) will be produced from cellulosic biomass with an improved greenhouse gas profile (environmental impact);

The extent to which the applicant justifies assumptions made in describing the proposed LCA/environmental impact and appropriateness of the associated references;

The extent to which the applicant provides a compelling TEA or narrative explaining how the proposed route will enable the production of cost-competitive biofuels (economic impact); and

The degree to which the assumptions in the TEA are based on verifiable and referenceable data.

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Degree to which the research approach is clearly outlined and explained;

Degree to which the applicant makes a compelling case for technical feasibility; and

Degree to which the applicant provides previously acquired data where appropriate (if available).

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Research Approach and Workplan

Degree to which the approach and critical path have been clearly described and thoughtfully considered;

Degree to which the task descriptions are clear, detailed, timely, and reasonable, resulting in a high likelihood that the proposed Workplan will succeed in meeting the project goals;

Level of clarity and reasonableness of the WBS;

Level of clarity and reasonableness of the Gantt chart; and

Reasonableness of schedule.

Identification of Technical Risks

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

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Baseline, Metrics, and Deliverables

The level of clarity in the definition of the baseline, metrics, milestones, and go/no-go decision points; and

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

Market Transformation Plan

Extent to which the application specifically and convincingly assesses the current market and future markets when the product is produced at significant scale for the proposed bioproduct(s) with the most up-to-date and appropriate market information;

Appropriateness of the market for the proposed bioproduct(s) and corresponding pathway;

Adequacy of assessment of unique market risks associated with the proposed bioproduct and pathway;

Identification of target market, competitors, and distribution channels for proposed technology along with known or perceived barriers to market penetration, including mitigation plan; and

Comprehensiveness of commercialization plan including but not limited to product development and/or service plan, commercialization timeline, financing, product marketing, legal/regulatory considerations including intellectual property, infrastructure requirements, data dissemination, U.S. manufacturing plan etc., and product distribution.

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The technical and management capability of the Principal Investigator(s) and the proposed team to address all aspects of the proposed work with a good chance of success. Qualifications, relevant expertise, and time commitment of the individuals on the team;

The sufficiency of the facilities to support the work;

Degree to which the proposed consortia/team demonstrates the ability to facilitate and expedite further development and commercial deployment of the proposed technologies;

Level of participation by project participants as evidenced by letter(s) of commitment and how well they are integrated into the Workplan; and

Reasonableness of budget and spend plan for proposed project and objectives.

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The Full Application are reviewed by experts in the FOA topic area(s). After those experts review the applications, EERE provides those reviewer comments to the applicants and provides the applicants with a brief opportunity to respond.

This a **customer centric** process that provides applicants with a unique opportunity to correct misunderstandings and misinterpretations and to provide additional data that might influence the selection process in their favor. The Replies are considered by the reviewers and the selection official.

Comments will be provided to applicants in Exchange following the evaluation of eligible full applications. Applicants will then be able to respond to the comments through the Reply to Reviewer Comments process. Applicants will have 3 days to respond.

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The Selection Official may consider the merit review recommendation, program policy factors, and the amount of funds available in arriving at selections for this FOA.

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After the Merit Review process, the Selection Official may consider program policy factors to come to a final selection decision. The list of the program policy factors that may be considered by the Selection Official for this FOA is printed on this slide. I will not read these out loud in the interest of time but you may find this information in Section Roman Numeral "5" C.1 of the FOA.

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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.

[DUNS Number]

Obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number.

[System for Award Management]

Register with the System for Award Management (SAM). Designating an Electronic Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in SAM registration. Please update your SAM registration annually.

[Fedconnect]

Register in FedConnect. 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/PublicPages/FedConnect_Ready_Set_Go.pdf.

[Grants.gov]

Register in 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.

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All required submissions must come through EERE Exchange. EERE will not review or consider applications submitted through any other means.

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Check entries in EERE Exchange

Submissions could be deemed ineligible due to an incorrect entry

EERE strongly encourages Applicants to submit 1-2 days prior to the deadline to allow for full upload of application documents and to avoid any potential technical glitches with EERE Exchange

Make sure you hit the submit button

Any changes made after you hit submit will un-submit your application and you will need to hit the submit button again

For your records, print out the EERE Exchange Confirmation page at each step, which contains the application's Control Number

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Applicants must designate primary and backup points-of-contact in EERE Exchange with whom EERE will communicate to conduct award negotiations

It is imperative that the Applicant/Selectee be responsive during award negotiations and meet negotiation deadlines, expected to take place after July 2016.

Failure to do so may result in cancellation of further award negotiations and rescission of the Selection

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Under cooperative agreements, there will be what is known as "substantial involvement" between EERE and the Recipient during the performance of the project.

EERE has substantial involvement in work performed under Awards made following 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 that the Go/No Go decision point.
- 4. EERE participates in major project decision-making processes.

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The total budget presented in the application must include both Federal (DOE), and Non-Federal (cost share) portions, thereby reflecting the TOTAL PROJECT COSTS proposed. All costs must be verifiable from the Recipient's records and be necessary and reasonable for the accomplishment of the project.

Note that every cost share contribution must be reviewed and approved in advance by the Contracting Officer and incorporated into the project budget before expenditures are incurred.

- Applicants must contribute a minimum of 20%*of the total project costs for R&D projects.
- Contributions must be:
 - Specified in the project budget
 - Verifiable from the Prime Recipient's records
 - Necessary and reasonable for proper and efficient accomplishment of 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

Cost Share Reduction*: EERE has reduced the Recipient Cost Share Requirement to **10% for R&D activities where:

- The Prime Recipient is a domestic institution of higher education; domestic nonprofit entity; FFRDC; or U.S. State, local, or tribal government entity; and
- The Prime Recipient performs more than 50% of the project work, as measured by the Total Project Cost

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Cost share must be allowable and must be verifiable upon submission of the Full Application. Please refer to this chart for your entity's applicable cost principles. It is imperative that you follow the applicable cost principles when creating your budget for the full application.

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Cost share can provided in cash and/or in-kind. It can be provided by the Prime Recipient, subs, or a third party.

In-kind cost share is the donation of personnel time, equipment, facilities, or other items that an organization will contribute to the project. It can take many forms, each of which must be assigned a dollar value to be included in the budget.

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Be aware that there are items that are considered unallowable cost share. If a cost is considered unallowable, it cannot be counted as cost share. This slide provides some examples of cost share that is unallowable such as royalties that are expected from the prospective operation of an activity beyond the project period, or cash that originated from DOE or another federal agency.

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Cost Share must be provided on an invoice basis, unless a waiver is requested and approved by the DOE Contracting Officer. For more information, please refer to Section Roman Numeral "3" B.6 of the FOA.

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Questions about this FOA? Email BETOMEGABIOFOA@ee.doe.gov

All Q&As related to this FOA will be posted on EERE Exchange

You must select this specific FOA Number in order to view the Q&As

EERE will attempt to respond to a question within 3 business days, unless a similar Q&A has already been posted on the website

Problems logging into EERE Exchange or uploading and submitting application documents with EERE Exchange? Email: EERE-ExchangeSupport@hq.doe.gov.

Include FOA name and number in subject line

A digital copy of the slides will be posted on EERE Exchange following today's webinar

This concludes the informational webinar. Thank you for joining and have a good rest of the day.