

**Financial Assistance  
Notice of Funding Opportunity  
Part 1**



**U.S. DEPARTMENT *of* ENERGY**

**Department of Energy (DOE)  
Manufacturing Deployment Office (MDO)  
Infrastructure Investment and Jobs Act (IIJA) Section 40207  
Battery Materials Processing & Battery Manufacturing and  
Recycling Grant Programs  
Notice of Funding Opportunity Number: DE-FOA-0003585  
Application due: April 24, 2026, at 5:00 PM ET**

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## Before You Begin

### Navigating the Notice of Funding Opportunity

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To reduce the burden on Applicants in the Notice of Funding Opportunity (NOFO) process and limit the length of the NOFO information requests, the Department of Energy (DOE) has separated the NOFO into two parts.

The NOFO Part 1 describes the specific DOE programmatic goals and evaluation criteria, eligibility, and other components that are specific to each funding opportunity. The NOFO Part 2 includes the fixed DOE requirements that generally do not change from NOFO to NOFO, including standard information for the application phase, expectations for award negotiations, and post-award requirements. Applicants must review both the NOFO Part 1 and the NOFO Part 2 prior to applying. To facilitate navigation, you will find links throughout this document to additional information found in Part 2.

There are several required one-time actions Applicants must take before applying to this NOFO. Some of these actions may take several weeks, so it is vital Applicants build in enough time to complete them. Failure to complete these actions could interfere with application or negotiation deadlines or the ability to receive an award if selected. If you have previously completed the necessary registrations, make sure your registration is active and up to date. All registrations are free. Please refer to [NOFO Part 1, Submission Requirements and Deadlines](#), for additional information.

This announcement is published in conjunction with NOFO Part 2 DE-FOA-0003585.



# I. Basic Information

## A. Key Facts

<b>Issuing Agency</b>	Department of Energy, Manufacturing Deployment Office	<b>KEY DATES</b>  <b>Notice of Funding Opportunity Issue Date:</b> <b>March 13, 2026</b>  <b>Informational Webinar:</b> <b>March 26, 2026</b>  <b>Letter of Intent Deadline:</b> <b>March 27, 2026</b>  <b>Application Deadline:</b> <b>April 24, 2026</b>  <b>Anticipated Selection Notification Date:</b> <b>Second Quarter Calendar Year 2026</b>  <b>Anticipated Award Date:</b> <b>Third Quarter Calendar Year 2026</b>  <b>Estimated Period of Performance:</b> <b>2026 –2029</b>
<b>Funding Opportunity Title</b>	Infrastructure Investment and Jobs Act (IIJA) Battery Materials Processing & Battery Manufacturing and Recycling Grant Programs	
<b>Announcement Version</b>	Initial	
<b>Funding Opportunity Number</b>	DE-FOA-0003585	
<b>Funding Instrument</b>	Cooperative Agreement	
<b>Assistance Listing Number</b>	81.253	
<b>Announcement Type</b>	Non-Research, Development and Demonstration	
<b>Funding Opportunity Description</b>	The Manufacturing Deployment Office (MDO) is issuing this NOFO to request applications for projects which will develop domestic facilities toward battery materials processing, manufacturing, and recycling.	
<b>Program Goals &amp; Objective(s)</b>	The goals of this program are to strengthen critical domestic manufacturing and supply chains while increasing critical minerals production by up to 15% by 2030 for key critical materials used in batteries and other applications.	
<b>Expected Total Available Funding</b>	Approximately \$500 Million	
<b>Topic Areas</b>	<ul style="list-style-type: none"> <li>• <b>Topic Area 1:</b> Domestic Critical Materials Processing from Raw Feedstocks</li> <li>• <b>Topic Area 2:</b> Domestic Critical Materials Recycling</li> <li>• <b>Topic Area 3:</b> Domestic Battery Materials and Component Manufacturing</li> </ul>	
<b>Statutory Authority</b>	The programmatic authorizing statutes are Public Law (P.L.) 95-91, DOE Organization Act, and Infrastructure Investment and Jobs Act, Pub. L. No. 117-58, 135 Stat. 429 (2021).	
<b>Eligible Applicants</b>	<ul style="list-style-type: none"> <li>• Domestic Entities (institutions of higher education, non-profit and for-profit private entities, state and local governments and consortia of the aforementioned entities).</li> <li>• Foreign Entities (in limited circumstances, DOE may approve a waiver to allow a foreign entity to participate as a prime or subrecipient).</li> </ul>	
<b>eXCHANGE URL and Helpdesk</b>	<ul style="list-style-type: none"> <li>• <b>URL:</b> <a href="https://infrastructure-exchange.energy.gov">https://infrastructure-exchange.energy.gov</a></li> <li>• <b>Help Desk:</b> <a href="mailto:InfrastructureExchangeSupport@hq.doe.gov">InfrastructureExchangeSupport@hq.doe.gov</a></li> </ul>	



## 1. Funding Details

Approximate total available funding including all topic areas: \$500 million

### Topic Area 1: Domestic Critical Materials Processing from Raw Feedstocks

- Approximate total available funding: \$200 million
- Approximate number of awards: 2–4
- Approximate dollar amount of individual awards: \$50 million–100 million
- Minimum cost share required: 50% minimum private cost share

### Topic Area 2: Domestic Critical Materials Recycling

- Approximate total available funding: \$100 million
- Approximate number of awards: 1–2
- Approximate dollar amount of individual awards: \$50 million–\$100 million
- Minimum cost share required: 50% minimum private cost share

### Topic Area 3: Domestic Battery Materials and Component Manufacturing

- Approximate total available funding: \$200 million
- Approximate number of awards: 1–4
- Approximate dollar amount of individual awards: \$50 million–\$100 million
- Minimum cost share required: 50% minimum private cost share

## 2. Period of Performance

DOE anticipates making awards that will run from no more than 36 months, comprised of one or more budget periods. If applicable, project continuation will be contingent upon DOE's Go/No-Go decision. For a complete list of post award requirements and more information on the Go/No-Go review, see the [NOFO Part 2, Award Administration Information](#). Funding for all budget periods, including the initial budget period, is not guaranteed.

## B. Executive Summary

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The Department of Energy (DOE), through its Manufacturing Deployment Office (MDO), part of the Office of Critical Minerals and Energy Innovation (CMEI) is issuing a new Notice of Funding Opportunity (NOFO) for the development of demonstration and commercial facilities to increase the domestic supply of critical minerals and materials for advanced batteries.

The Trump administration, through E.O. 14154 “Unleashing American Energy,” has directed DOE to “ensure that critical mineral projects, including the processing of critical minerals, receive consideration for federal support, contingent on the availability of appropriated funds.”<sup>1</sup> This program will advance the Administration’s plans to bolster the United States (U.S.) domestic supply chain for critical minerals and materials (CMM), thereby reducing reliance on foreign sources, enhancing national security, and creating energy dominance.

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<sup>1</sup> "Executive Order 14154: Unleashing American Energy." *The White House*, The United States Government, January 20, 2025, [www.whitehouse.gov/presidential-actions/2025/01/unleashing-american-energy/](https://www.whitehouse.gov/presidential-actions/2025/01/unleashing-american-energy/).



The key objective of the program is to increase supply chain resilience for the U.S. and reduce reliance on foreign supply chains by up to 15% by 2030 for key critical materials and advanced battery components by investing in manufacturing projects that:

- Process key critical materials from raw feedstocks prioritizing lithium, nickel and cobalt; or
- Recover critical materials from end-of-life batteries and manufacturing scrap, prioritizing black mass production and recovery of graphite, nickel and cobalt; as well as rare earth materials (if included in the recycled battery chemistry); or
- Manufacture components needed for advanced batteries, prioritizing synthetic graphite, cathode active materials and specialty metals (copper, aluminum, lithium).

## C. Teaming Partner List

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

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

**SUBMISSION INSTRUCTIONS:** View the Teaming Partner List by visiting the eXCHANGE homepage and clicking on “Teaming Partners” within the left-hand navigation pane. This page allows users to view published Teaming Partner Lists. To join the Teaming Partner List, submit a request within eXCHANGE. Click on “Submit Entry to Teaming Partner List”, select the appropriate Teaming Partner List from the drop-down menu, and fill in the following information: Investigator Name, Organization Name, Organization Type, Topic Area, Background and Capabilities, Website, Contact Address, Contact Email, and Contact Phone.

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

## D. Related DOE Efforts

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DOE Office of Critical Minerals and Energy Innovation, Advanced Materials and Manufacturing Technologies Office (AMMTO) has released a Notice of Intent to Issue NOFO DE-FOA-0003589, “Critical Minerals and Materials Accelerator.” The anticipated AMMTO NOFO will focus investments on American, industry-led partnerships to prototype and pilot innovative critical materials production technologies that are currently only proven at the bench scale to address challenges in high-impact areas. Link to NOI:

<https://www.energy.gov/eere/ammto/critical-minerals-and-materials-accelerator-0>.



## E. Agency Contact Information

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For questions relating to this specific NOFO, please send emails to [DE-FOA-0003585@netl.doe.gov](mailto:DE-FOA-0003585@netl.doe.gov).

**DISCLAIMER:** Applicants are discouraged from submitting information considered proprietary unless it is deemed essential for proper evaluation of the application. If the application contains information that the Applicant organization considers to be trade secrets, information that is commercial or financial, or information that is privileged or confidential, the pages containing that information must be identified as specified in the application instructions. When such information is included in the application, it will be withheld from public disclosure to the extent permitted by law, including the Freedom of Information Act, with the understanding that the information will be used or disclosed only for evaluation of the application. The information contained in the application will be protected by DOE from unauthorized disclosure, consistent with the need for merit review of applications of financial assistance awards to assure the integrity of the competitive process and the accuracy and completeness of the information. If a federal financial assistance award is made as a result of or in connection with an application, the Federal government has the right to use or disclose the information to the extent authorized by law. This restriction does not limit the Federal government's right to use the information if it is obtained without restriction from another source.

### **Implementation of Presidential Memorandum Simplifying the Funding of Energy Infrastructure and Critical Mineral and Material Projects**

Pursuant to this Presidential Memorandum, DOE may share and use within the Government any application information provided by or on behalf of the Applicant. Accordingly, in accordance with applicable law and notwithstanding any other provisions herein, by submitting an application or agreeing to a financial assistance arrangement with DOE under this NOFO, the Applicant is providing consent for any properly marked trade secret, confidential, proprietary, privileged or otherwise sensitive application information provided by or on behalf of the Applicant to be disclosed to the Executive Office of the President and relevant Agencies offering loans, grants, equity, guarantees or other federal funding, for the purposes of the Presidential Memorandum on Simplifying the Funding of Energy Infrastructure and Critical Mineral and Material Project.<sup>2</sup>

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<sup>2</sup> *FAL25-06 Implementation of PM on Simplifying Funding Energy Infrastructure and CMM Projects (Final) 082725.pdf*. U.S. Department of Energy, August 27, 2025, [www.energy.gov/sites/default/files/2025-08/FAL25-06%20Implementation%20of%20PM%20on%20Simplifying%20Funding%20Energy%20In%20Infrastructure%20and%20CMM%20Projects%20%28Final%29%20082725.pdf](http://www.energy.gov/sites/default/files/2025-08/FAL25-06%20Implementation%20of%20PM%20on%20Simplifying%20Funding%20Energy%20In%20Infrastructure%20and%20CMM%20Projects%20%28Final%29%20082725.pdf).



## II. Eligibility

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 and ineligible for any award. DOE will not make eligibility determinations for potential Applicants prior to the date on which applications to this NOFO must be submitted. The decision whether to apply in response to this NOFO lies solely with the Applicant. The information included here is specific to eligibility requirements for this NOFO. For eligibility requirements applicable to all NOFOs, please consult the [NOFO Part 2, Eligibility](#).

### A. Eligible Applicants

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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. Eligible entities are described within 42 USC 16353(b).

#### 1. Domestic Entities

Domestic entities are eligible to apply as recipients or subrecipients. The following types of domestic entities are eligible to participate as a recipient or subrecipient of this NOFO:

- Institutions of higher education (See [Title 20 U.S.C. § 1001](#) for the definition);
- Nonprofit organizations and for-profit private entities;
- State and local governments; and
- Consortia of entities listed above.

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 or under the laws of the United States; have majority domestic ownership and control; and have a physical place of business in the United States.

#### Participant Limitations

Participation of the following entities is limited as follows.

- DOE federally funded research and development centers (FFRDC)<sup>3</sup> are eligible to apply for funding as a subrecipient but are not eligible to apply as a recipient.
- Non-DOE FFRDCs are eligible to participate as a subrecipient but are not eligible to apply as a recipient.
- Federal agencies and instrumentalities (other than DOE) are eligible to participate as a subrecipient but are not eligible to apply as a recipient.

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<sup>3</sup> FFRDCs are federally funded research and development centers that conduct research for the U.S. government. A listing of FFRDCs can be found at <https://nces.nsf.gov/resource/master-gov-lists-ffrdc>.



## 2. Foreign Entity Participation

In general, foreign entities are not eligible to apply as either a recipient or subrecipient. In limited circumstances, DOE may approve a waiver to allow a foreign entity to participate as a recipient or subrecipient.

A foreign entity may submit an application to this NOFO, but the 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 application for each proposed foreign subrecipient. Please see [NOFO Part 2, Application Content and Form—Application Content Requirements](#) for the requirements for submission of a foreign entity waiver request. The Applicant does not have the right to appeal DOE's decision concerning a waiver request.

## 3. Performance of Work in the United States

All work for the awards under this NOFO must be performed in the United States. To request a waiver of this requirement, the Applicant must submit an explicit waiver request in the application. Absent an approved waiver, such costs will not be allowable under the award. The [NOFO Part 2, Application Content and Form—Application Content Requirements](#) lists the requirements for submission of a foreign work waiver request.

## 4. Ineligible Participants

The following entities are ineligible for participation in this NOFO as a recipient, subrecipient, or subcontractor:

- In accordance with 2 CFR 200.214, entities banned from doing business with the U.S. government such as entities debarred, suspended, or otherwise excluded from or ineligible for participating in federal programs.
- Entities identified on the Department of the Treasury Office of Foreign Assets Control Treasury's Sanctions Program Specially Designated Nationals list are prohibited from doing business with the United States government and are not eligible. See [OFAC - Sanctions List Service \(treas.gov\)](#).
- 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.

### Deprioritized Entities

- Foreign Entities of Concern as defined under 42 U.S.C. 18741 (a)(5). For more information on Foreign Entities of Concern: [Foreign Entity of Concern Interpretive Guidance | Department of Energy](#)

### Entity of Concern Prohibition

Entities of Concern are prohibited from participating in projects selected under this NOFO (see [NOFO Part 2, Eligibility, Other Eligibility Information, Entity of Concern Prohibition](#) section for details and definitions).



## B. Limitation on Number of Letters of Intent and Applications Eligible for Review

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An entity may submit more than one Letter of Intent and associated application to this NOFO provided that each describes a unique, scientifically distinct project concept. Applicants are requested to submit a non-binding Letter of Intent by the specified due date and time, but submissions are not mandatory to be eligible to submit an application.

## C. Cost Sharing

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Applicants are expected to follow through on estimated cost share commitments proposed in their applications if selected for award negotiations. Please refer to the **NOFO Part 2, Eligibility** for more information on Cost Sharing.

### 1. Cost Share Requirements

The cost share must be at least 50% of the total project costs<sup>4</sup> for demonstration projects or commercial projects.<sup>5</sup> The cost share must come from non-federal sources, unless otherwise allowed by law.

### 2. Unallowable Cost Share Sources, NOFO Specific

The recipient and subrecipient(s) may not use the following sources to meet cost share obligations:

- Cost share derived from federal sources (unless otherwise authorized by law).
- Cost share that does not meet:
  - Requirements set forth in 2 C.F.R. §§ 200.306 and 910.130;
  - Cost principles set forth in 2 C.F.R. §§ 200.400-476 and 2 C.F.R. §§ 910.352; or
  - For State Energy Programs, refer to 10 C.F.R. §§ 420.
- 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);
- Expenditures that were reimbursed under a separate federal program;
- Cash or in-kind contributions used to meet cost share requirements for another federal project or program;
- Existing data as an in-kind contribution (e.g., data owned by an entity, that is not routinely sold commercially but is instead donated to the project and assigned a value); or
- In general, deferred or avoided costs such as unrealized tax credits

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<sup>4</sup> Total project costs are the sum of the government share, including FFRDC costs if applicable, and the recipient share of project costs.

<sup>5</sup> 42 U.S.C. § 16352. See 2 CFR 200.306 and 2 CFR 910.130 for additional cost-sharing requirements.



## D. FFRDC Eligibility Criteria

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### 1. DOE and Non-DOE FFRDCs as a Subrecipient

As long as they have no conflict, DOE and non-DOE FFRDCs may be proposed as a subrecipient on another entity's application subject to the following guidelines:

#### *Authorization for non-DOE 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.

#### *Authorization for DOE FFRDCs*

The cognizant Contracting Officer for the FFRDC must authorize in writing the use of the FFRDC on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization:

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

#### *Funding, Cost Share, and Subaward with FFRDCs*

The value of and funding for the FFRDC portion of the work will not normally be included in the award. DOE FFRDCs participating as a subrecipient on a project will be funded directly through the DOE Work Authorization process in accordance with DOE O 412.1A. Non-DOE FFRDCs participating as a subrecipient will be funded through an interagency agreement with the sponsoring agency.

Although the FFRDC portion of the work is excluded from the award, the Applicant's cost share requirement will be based on the total cost of the project, including the Applicant's, the subrecipient's, and the FFRDC's portions of the project.

All DOE FFRDCs are required to enter into a Cooperative Research and Development Agreement<sup>6</sup> (CRADA) or, if the role of the DOE FFRDC is limited to technical assistance and intellectual property is not anticipated to be generated from the DOE FFRDC's work, a Technical Assistance Agreement (TAA), with at least the recipient. A fully executed CRADA or TAA must be in place or be compliant with a Master Scope of Work process prior to the FFRDC starting work directly allocable to the financial assistance award.

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<sup>6</sup> A cooperative research and development agreement is a contractual agreement between a national laboratory contractor and a private company or university to work together on research and development. For more information, see <https://www.energy.gov/gc/downloads/doe-cooperative-research-and-development-agreements>.



A CRADA is used to ensure accountability for project work and provide the appropriate management of IP, e.g., data protection and background IP. A Data Management Plan is not suited for this purpose.

***Limit on FFRDC Effort***

The scope of work to be performed by the FFRDC should not be more significant than the scope of work to be performed by the Applicant.



## III. Program Description

### A. Background and Context

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The Manufacturing Deployment Office is issuing this Notice of Funding Opportunity (NOFO). Awards made under this NOFO will be funded with approximately \$500 Million authorized by Section 40207 of the Infrastructure Investment and Jobs Act, codified at 42 U.S.C. 13344.

MDO's core mission involves fortifying the nation's critical energy supply chains. These supply chains are the backbone of the economy, underpinning national security and ensuring the consistent availability of the materials, components, and systems needed to make, store, and use energy. Disruptions in these essential networks can lead to widespread economic instability, job losses, and shortages of vital products that impact daily life. MDO's efforts ensure a resilient and robust American energy infrastructure.

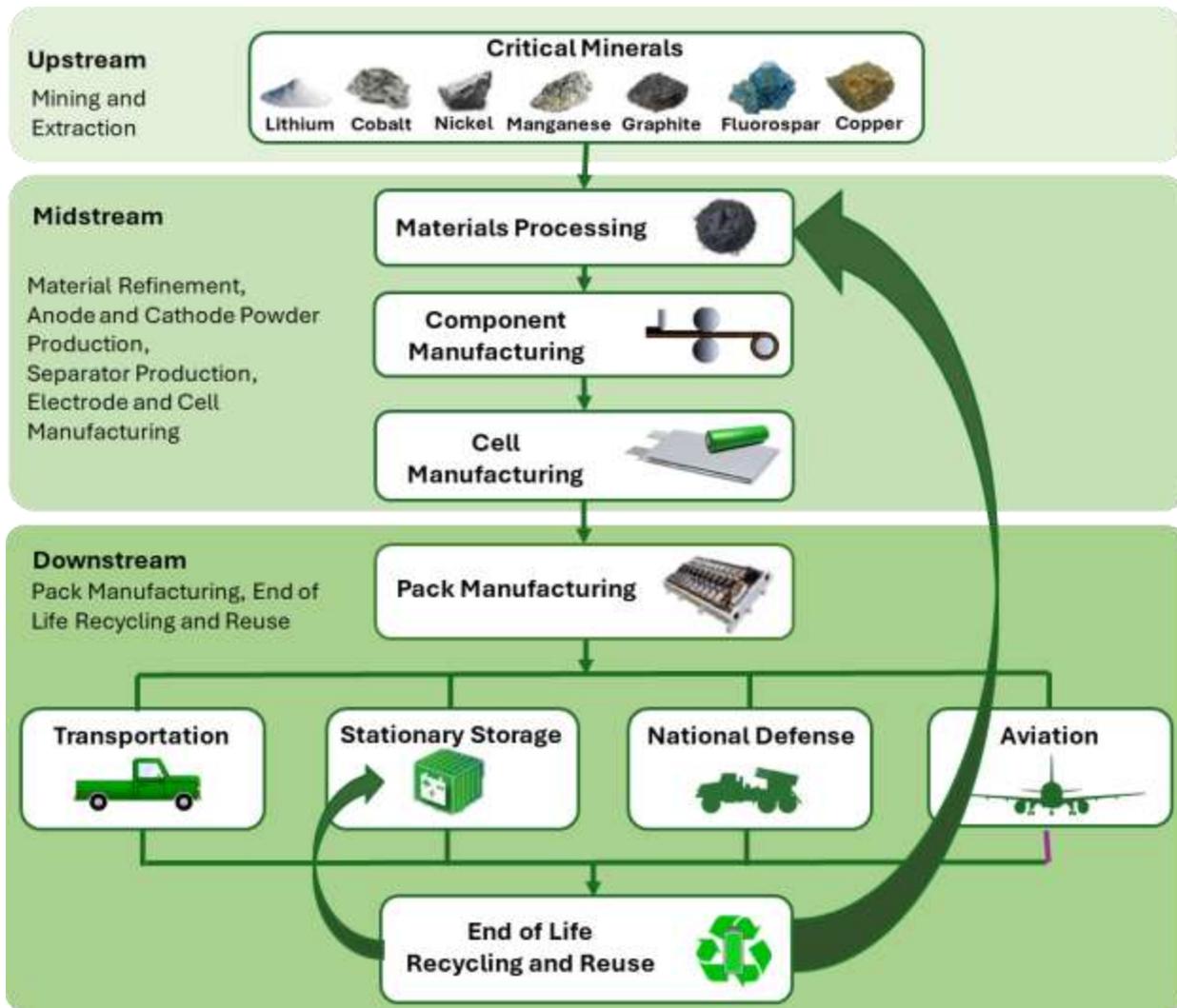
By stabilizing supply chains, MDO helps maintain competitive advantages for domestic manufacturers, which in turn supports job creation and economic growth. This focus extends beyond immediate economic concerns to encompass long-term strategic interests, guaranteeing that the U.S. has access to the materials and components necessary for both current production and future technological advancements. A secure supply chain directly translates into a more stable and prosperous society.

MDO focuses, in part, on battery critical materials processing and battery manufacturing and recycling because of their critical need across a wide array of end uses and energy sectors, including for grid resilience and defense applications. The global supply chain for battery materials has for the last several decades become concentrated to a few foreign entities, resulting in market instability and challenges for domestic entities to compete and grow. MDO's efforts focus on the development of domestic supply of battery materials and components, as well as recycling.

### B. Program Purpose

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The high-capacity battery supply chain consists of five main steps including: (1) raw battery critical minerals extraction or production; (2) materials refinement and processing to materials; (3) battery material/component manufacturing and cell fabrication; (4) battery pack and end use product manufacturing; and (5) battery end-of-life, reuse and recycling. The graphic below shows how these five steps relate to the IJA investments in the battery supply chain. For this NOFO, the term "battery material" means the raw and processed form of a mineral, metal, chemical, or other material used in an advanced battery component.



This NOFO seeks applications to address increasing domestic battery manufacturing and critical mineral processing used in advanced battery components. The overall NOFO scope includes commercial facilities for battery-grade critical materials, battery components, and recycling. Detailed technical descriptions of the specific Topic Areas are provided in the sections that follow.

### C. Program Goals and Objectives

The primary purpose of this program is to provide domestic facility investments toward battery materials processing, manufacturing and recycling.

The activities to be funded under this NOFO are funded through IJJA sections 40207 (b) & (c) and support the broader government-wide approach to expanding and securing America’s energy infrastructure, including by building critical domestic manufacturing and strengthening material supply chains. Batteries are critical for many energy sectors, such as grid resilience, data centers, transportation, drones, and other defense applications. Critical minerals and materials (CMMs) needed for the battery sector include lithium, nickel, cobalt, manganese,



graphite, fluorspar, copper, and aluminum. For many of these CMMs, the U.S. is reliant on foreign sources.

This program will:

- Enhance national security by reducing the reliance of the United States on foreign competitors for critical materials and technologies;
- Expand the capabilities of the United States in advanced battery component manufacturing;
- Ensure that the United States has a viable battery materials processing, manufacturing, and recycling industry with sufficient capacity to supply the North American battery supply chain;
- Deploy innovative processing efficiency, manufacturing, and recycling technologies that can increase U.S. competitiveness and economic viability; and
- Ensure investments in and provide high-quality jobs that support America's competitive advantage.

## D. Expected Performance Goals

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The key objective of the program is to increase supply chain resilience for the U.S. and reduce reliance on foreign supply chains by up to 15% by 2030 for key critical materials and battery components by investing in manufacturing projects that:

- Process key critical materials from raw feedstocks prioritizing lithium, nickel and cobalt; or
- Recover critical materials from end-of-life batteries and manufacturing scrap, prioritizing black mass production and recovery of graphite, nickel and cobalt; as well as rare earth materials (if included in the recycled battery chemistry); or
- Manufacture components needed for advanced batteries, prioritizing synthetic graphite, cathode active materials and specialty metals (copper, aluminum, lithium).

Projects should maximize the production output for the federal funding requested. Specific goals are provided in each area of interest.

### Project Structure

Awards selected under this NOFO will adhere to a four-phased structure for managing scope, schedule, deliverables, and budget. The figure below shows an example of the phase progression, major work activities, funding proportion, and timeline. These activities will also be further defined during award negotiations and subsequent negotiations between phases. DOE anticipates all awarded projects will be funded through Phase 4 pending successful Go/No-Go reviews, which will be designed to manage risk and will occur between and within phases. The expectation is that projects are at a level of maturity that would allow completion of project activities within 36 months. As such, DOE will prioritize proposals that have a higher likelihood of completion within the 36-month expected timeframe.

Phases can be staggered for multiple line builds and intermediate scales within the workplan, if needed.



While the phase figure and the narrative text below provide approximate timetables for each phase, these timetables are representative only. It is DOE’s intention to work with Recipients to progress projects through the phased project implementation as prudently as possible. While phases are used to conceptually describe the progression of project development, awards will be managed in budget periods as defined in 2 CFR 200.1 “Budget period.”<sup>7</sup>

☆ Initial Application ◇ Go/No-Go Decisions	Application	Phase 1: Initial Planning	Phase 2: Permitting and Preparation	Phase 3: Construction and Installation	Phase 4: Commissioning, Qualification, and Validation
Approximate Proportion of Project Cost	Pre-DOE Funding	5-10%	5-20%	60-80%	10%
Approximate Duration	N/A	Up to 12 Months		Up to 18 Months	Up to 6 Months
Budget Period	N/A	Budget Period 1		Budget Period 2	Budget Period 3
Phase/Milestone Summary	N/A	Conduct initial planning and analysis for the facility activities.	Obtaining the required permits for construction and finalise activities required to initiate construction.	Execute the construction and/or tenant improvements of the facility and complete installation of any required equipment.	Finalize the line commissioning, complete qualification and/or acceptance testing, and validation. Ensure that the facility is able to meet production targets.

### Phase 1 - Initial Planning and Phase 2 - Permitting and Preparation (Budget Period 1)

Budget Period (BP) 1 will constitute two Phases of activity with an intermediate Go/No-Go decision point in between to move forward into the second phase of Budget Period 1. Phase 1 and 2 activities should focus on completing specific details about the overall project plan and analysis to refine projections submitted as part of the proposal. Budget Period 1 will be a maximum of up to 12 months. It is at the discretion of the Applicant to detail the timeframe and activities of each phase. For example, Phase 1 to get to a final Front End Engineering Design (FEED) and obtain financial commitments could be 9 months and Phase 2 to complete permitting actions could be 3 months with an appropriate Go/No-Go decision point between phases.

#### Phase 1 Initial Planning

At the end of Phase 1, it is expected that there is a completed FEED study with final cost estimates completed for the remainder of the project, there are financial commitments for the full cost share for the project and sufficient offtake agreements in place to proceed to Phase 2 and beyond.

<sup>7</sup> 2 CFR 200.1 “Budget Period”, [https://www.ecfr.gov/current/title-2/part-200#p-200.1\(Budget%20period\)](https://www.ecfr.gov/current/title-2/part-200#p-200.1(Budget%20period))



This phase will include finalization of the Project Management Plan and Risk Management Plan. This phase should also include a detailed strategy for obtaining all permits that will be required for both construction level and operations level project activities. Applicants should fully engage with the NEPA team of the DOE as the permitting plans are developed. Applicants should begin and make meaningful progress towards the necessary permitting and approval activities to initiate construction. Plans for any operational, validation, or acceptance testing should be refined.

### **Phase 2 Permitting and Preparation**

The end of Phase 2 and Budget Period 1 will include a final Go/No-Go decision point that will include all aspects of the project (permitting, long lead item specifications, etc.) indicating the Applicant is ready for construction, including final investment decision by the Applicant. Project teams should complete any required tasks associated with any federal, state, and local regulatory requirements to initiate construction including the NEPA review of the DOE. All procurement plans should be matured and finalized during this phase. Long-lead procurement activities may begin in this phase. Typical expectations for this phase would include ALL permits or authorizations for construction activities to be in place and any associated planning required prior to construction activities have been completed. Recipients are expected to reach a Final Investment Decision by the end of Budget Period 1 and should have final costs and schedule for the project ready to initiate construction.

### **Phase 3 - Construction (Budget Period 2)**

In Phase 3 (Budget Period 2), activities will focus on construction and equipment installation. This phase and Budget Period shall be up to 18 months total and must include an intermediate Go/No-Go decision point aligning with an appropriate and significant critical path milestone such as: completion of the facility building shell, the installation of a major piece of equipment, or the installation and testing of the first of several production lines.

Recipients will conduct and complete any activities associated with facility construction and/or retrofitting required under the specific project. Budget Period 2 may vary significantly for each project, as each will entail differing degrees of construction and/or retrofitting scope.

Recipients will execute the plans developed in the previous phases and complete any revisions and updates as appropriate to reflect actual performance and progress. Engineering may be further refined during this phase, as appropriate. Operations protocols and controls should approach finalization.

Any outstanding permits required to begin operational activities should be obtained during this phase. Typical expectations for this phase completion would include construction activities completed, operations permit obtained, and equipment installed. The end of this Budget Period will be the completion of all installation and construction work.

Additionally, in this phase Recipients will transition to the commissioning, qualification, and validation activities which may include individual pieces of equipment, or an initial production line commissioned, tested and validated leading into the final full plant commissioning, qualification and demonstration in Phase 4.



## Phase 4 - Commissioning, Qualification and Demonstration (Budget Period 3)

In Phase 4 (Budget Period 3), Recipients will complete commissioning, qualification, and validation activities. All installed production lines, equipment, and/or stations, should be commissioned, tested, and validated to ensure a transition into full production activities. Phase 4 (Budget Period 3) shall be up to 6 months.

During this Phase, the Recipient should ensure that the facility is able to operate as designed and is able to appropriately meet production targets as defined from application and through project planning and execution for a defined representative operational period, with a target of approximately 30 days.

All installed production lines, equipment, and/or stations as applicable, should be commissioned, tested, and validated to ensure a transition into operational activities including production and ramp-up.

### TRANSITION BETWEEN PHASES

Specific Go/No-Go criteria will be negotiated with each selected project for transitions between each Budget Period and at key intermediate points of budget phases.

This may include a requirement to submit a standardized set of data to provide quantitative and qualitative insight on metrics spanning the technological, environmental, economic, market, workforce, and other components relating to project activities and impact. DOE may also require the negotiation of additional Go/No-Go decision points within phases (i.e., phases may include one or more Budget Periods with Go/No-Go decision points at the end of each Budget Period). Applicants must propose quantitative Go/No-Go criteria for each Budget Period as defined in the Technical Volume section.

If DOE determines that an award is making insufficient progress, additional scrutiny and oversight by DOE or its representatives may be employed, and corrective measures negotiated. Awards may be discontinued at any of the Go/No-Go decision points if the Go/No-Go criteria, project, and/or program requirements are not met. If awards are proceeding on an accelerated schedule, it may be possible to move a Go/No-Go review earlier than originally planned and advance to the next phase if the review is successfully completed.

Specific project structure details for each Recipient will be negotiated on a project-by-project basis to produce the best possible balance between project outcomes and DOE risk exposure. Examples of factors that may be considered as part of such negotiations include project and risk management processes, team capabilities, cost share amounts, financial contingencies, and engagement of independent monitors such as Independent Engineers. DOE will require access to project performance and financial data necessary to track progress against a project baseline (or similar).



If funded through all phases, DOE expects that the projects selected under this NOFO will significantly advance technical and commercial viability. The phased approach is designed to guide Recipients through the project development process incrementally. Each subsequent phase is structured to ensure that each award meets a standard level of maturity, employs a robust execution approach, and that technical and non-technical project risks are adequately and appropriately managed throughout the award.

## E. Topic Areas

### **Topic Area 1: Domestic Critical Materials Processing from Raw Feedstocks**

The objective of this area of interest is to create U.S. processing capacity for critical minerals and materials for use in advanced batteries. Applications should specify whether it is for Topic Area 1a or 1b, and all requirements in this general section on Topic Area 1 apply to both Topic Area 1a and Topic Area 1b.

Applicants should propose projects that focus on critical minerals and/or materials needed for advanced batteries. Raw feedstocks may include domestic or international feedstocks, including but not limited to, primary and secondary ores, clays, tailings, and brines (geothermal and oilfield).

Final produced materials can include mineral concentrates, hydroxides, sulphate, and other relevant forms for use in advanced batteries. Facilities may produce other non-battery materials, but project scope should be limited to the production of battery materials.

With this funding, MDO is targeting a reduction in import reliance of between 6–10% depending on the minerals.

#### **Targeted Impacts**

<b>Funding Amount</b>	<b>No. of Projects</b>	<b>Priority Minerals</b>	<b>Goal Production per Project (tons/year)</b>
Approximately \$200M	2–4 Projects	Lithium	10,000–25,000
		Nickel	5,000–15,000
		Cobalt	2,000–3,000

Of high priority within this topic area are applications that focus on:

- Projects that produce minerals that MDO has identified with particular vulnerabilities for U.S. advanced battery supply chains, which include lithium, nickel, and cobalt;
- Projects that can demonstrate market traction by securing feedstock supply and offtake agreements with credible counterparties;
- Projects that produce multiple critical minerals and/or materials; and
- Projects focused on process innovations that lower production costs or improve yield rates.



Please note that applications proposing processing of any form of critical minerals from recycled sources would be considered applicable to Topic Area 2. Applications should be focused on projects that can be economically viable within the market.

**Topic Area 1a: Domestic Critical Materials Processing from Raw Feedstocks (Demonstration-Scale Projects)**

The objective of this area of interest is to solicit applications that (1) meet all the requirements detailed above within Topic Area 1, and that (2) carry out demonstration projects that create U.S. processing capacity for critical minerals and materials for use in advanced batteries. These demonstration projects should be of large-scale, beyond pilot scale, and should demonstrate innovation or impact within the materials processing sector. Applicants should propose projects that focus on demonstration projects for critical minerals and/or materials needed for advanced batteries. The amount awarded for demonstration projects shall be not less than \$50M, per 42 U.S.C. 18741(b)(3)(B).

For the purposes of this NOFO, Applicants under this topic area must propose:

- Projects that include the processing of raw products to produce battery materials utilized in advanced batteries;
- Projects focused on domestic capacity development; and
- Projects focused on the development of large-scale demonstration project for the innovative processing of battery critical minerals and/or materials.

**Topic Area 1b: Domestic Critical Materials Processing from Raw Feedstocks (Commercial-Scale Projects)**

The objective of this area of interest is to solicit applications that (1) meet all of the requirements detailed above within Topic Area 1, and that (2) construct new commercial-scale facilities or expand, retool, or retrofit existing commercial-scale facilities that create U.S. processing capacity for critical minerals and materials for use in advanced batteries. The amount awarded for commercial-scale projects shall be not less than \$100M, and the amount awarded to retool, retrofit, or expand an existing facility shall be not less than \$50M, per 42 U.S.C. 18741(b)(3)(B).

For the purposes of this NOFO, applicants under this topic area must propose:

- Projects that include the processing of raw products to produce battery materials utilized in advanced batteries;
- Projects focused on domestic capacity development; and
- Projects focused on the development of a new commercial facility, or to retrofit, retool, or expand an existing facility for the production of battery critical minerals and/or materials.

**Topic Area 2: Domestic Critical Materials Recycling**

The objective of this topic area is to construct facilities to create United States recycling capacity for battery materials from manufacturing scrap and/or off-specification or end-of-life batteries.



With this funding, MDO is targeting a reduction in import reliance of up to 15% depending on the minerals.

**Targeted Impacts**

Funding Amount	No. of Projects	Priority Minerals	Goal Production per Project (tons/year)
Approximately \$100M	1–2 Projects	Black Mass	45,000–90,000
		Graphite	5,000–10,000
		Nickel, Cobalt, Mixed pCAM	10,000–40,000
		Copper	5,000–10,000
		Rare Earths	2,000–5,000

Applicants should propose projects that focus on demonstration or commercial deployment of innovative and/or advanced manufacturing processes for critical minerals needed within the battery sector. Facilities are not required to be solely focused on the recycling of batteries or battery materials of focus within this Topic Area, though funds will not be allocated to out of scope materials production.

Recycled feedstocks can be sourced domestically or internationally, and can include end-of-life batteries, off-specification/recalled/rejected batteries, and/or battery manufacturing scrap. Minerals and materials that could be supported within recycling projects can include graphite, nickel, cobalt, mixed precursor cathode anode materials (pCAM), copper, and rare earths. Final produced materials can include black mass, mixed hydroxide precipitates, battery-grade sulphates, and other relevant forms for use in advanced battery sectors. The amount awarded for demonstration projects shall be not less than \$50M, the amount awarded for new-commercial-scale facilities shall be not less than \$100M, and the amount awarded for retool, retrofit, or expansion of an existing facility shall not be less than \$50M, per 42 U.S.C. 18741(c)(3)(B).

For the purposes of this NOFO, applicants under this topic area must propose:

- Projects developing facilities which will be focused on the recycling of batteries for the production of materials of use in advanced batteries;
- Projects focused on domestic capacity development; and
- Projects focused on the development of demonstration, or the development of a new commercial facility, or to retrofit, retool, or expand an existing facility for the production of battery materials.

Of high priority within this topic area are applications that focus on:

- Projects that maximize full value-chain material production by co-producing multiple critical minerals and/or materials;
- Projects focused on the recycling of minerals or materials that MDO has identified with particular vulnerabilities for U.S. battery supply chains, which include graphite, nickel, cobalt, and rare earth elements (if included in the chemistry of the battery);
- Projects that can demonstrate market traction by securing feedstock supply and offtake agreements with credible counterparties;
- Projects that can demonstrate competitiveness under current market conditions; and



- Projects focused on process innovations that lower production costs or improve yield rates.

Please note that this topic area is focused on the recycling of batteries and battery materials for use in battery sectors. As such, applications under this program should be focused on the recycling of batteries, including end of life or off-specification batteries, and battery materials, such as manufacturing scrap for the production of these battery materials. Applications proposing a project containing the processing of other technologies or energy components within scope will be considered non-responsive.

**Topic Area 3: Domestic Battery Materials and Component Manufacturing**

The objective of this topic area is to construct new commercial-scale facilities or retrofit, retool, or expand existing commercial-scale facilities to create domestic manufacturing capacity for strategic battery components and technologies including cells intended for both energy and specialized applications such as defense. The amount awarded for new-commercial-scale facilities shall be not less than \$100M and the amount awarded for retool, retrofit, or expansion of an existing facility shall not be less than \$50M, per 42 U.S.C. 18741(c)(3)(B). Relevant manufactured forms can include active material powders, coated electrodes, thin film metal current collectors, battery cells, and other manufactured forms relevant to advanced batteries.

**Targeted Impacts**

Funding Amount	No. of Projects	Priority Materials & Components	Goal Production per Project
Approximately \$200M	1–4 Projects	Aluminum Components	10,000–20,000
		Copper Components	5,000–10,000
		Synthetic Graphite Anode	10,000–20,000
		Nickel-Based Cathode	5,000–10,000
		Iron Phosphate-Based Cathode	8,000–15,000
		Battery Cells	2 GWh

For the purposes of this NOFO, applicants under this topic area must propose:

- Projects developing facilities focused on the manufacturing of advanced batteries and/or advanced battery components;
- Projects focused on domestic capacity development; and
- Projects focused on the development of demonstration, or the development of a new commercial facility, or to retrofit, retool, or expand an existing facility for the production of battery materials.

Of high priority within this topic area are applications that focus on:

- Projects focused on particular vulnerabilities for U.S. battery supply chains, which include synthetic graphite, cathodes active materials, and specialty metals manufacturing (copper, aluminum, lithium) needed for batteries;
- Projects that can demonstrate market traction by securing feedstock supply and offtake agreements with credible counterparties;
- Projects that can demonstrate competitiveness under current market conditions; and



- Projects focused on process innovations that lower production costs or improve yield rates.

## F. Equity Considerations for Negotiation

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DOE may be interested in obtaining equity interests or warrants in recipient entities now or in the future. Entities may indicate in their application whether they would consider offering equity interests or other derivatives. Such equity considerations may be offered and addressed during negotiations. Applicants' decision to indicate the availability of equity interests will not be a factor in the merit review or selection process.

## G. Applications Specifically Not of Interest

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The following types of applications will be deemed non-responsive and will not be reviewed or considered. Please also refer to the [Responsiveness Review](#) section below:

- Applications that fall outside the technical parameters specified in [Background and Context](#) above and the [Topic Areas](#) section above.
- Applications for proposed technologies that are not based on sound scientific principles (e.g., violates the laws of thermodynamics).
- Applications that are based on research, development, or pilot-scale (alone) activities.
- Applications for Demonstration Projects that have less than \$50,000,000 for Federal Share.
- Applications for new Commercial-Scale Projects that have less than \$100,000,000 for Federal Share.
- Applications for retooling, retrofitting, or expanding Commercial-Scale Projects that have less than \$50,000,000 for Federal Share.
- Applications that include mining operations (mining or extraction) or mining equipment, excavation, labor siting, etc. within the project scope.
- Applications that propose cost share contributions in the form of donation of land, existing buildings, or existing equipment.
- Applications that propose the purchase of land in the scope of the awards (as part of the budget).
- Applications that propose to subordinate Federal government interest in property or equipment to obtain project financing.
- Applications that propose the use of Federal Financing such as DOE Loans or Loan Guarantees, to provide the required cost share or otherwise support the same scope that is proposed in response to this NOFO.

## H. Statement of Substantial Involvement

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### Cooperative Agreements

DOE anticipates awarding cooperative agreements under this NOFO, which include a statement of DOE's "substantial involvement" in the work performed under the resulting awards. For cooperative agreements, DOE does not limit its involvement to the administrative requirements of the award. Instead, DOE has substantial involvement in the direction and



redirection of the technical aspects of the project. DOE's substantial involvement in resulting awards may include the following:

- A. DOE shares responsibility with the Recipient for the management, control, direction, and performance of the project.
- B. DOE 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.
- C. DOE may redirect or discontinue funding the project based on the outcome of DOE's evaluation of the project at the Go/No-Go decision point(s).
- D. DOE participates in major project decision-making processes.

### **Other Transactions Authority**

DOE may use DOE's other transactions authority codified at 42 USC §7256(a) and (g) to enter into another transaction agreement with Recipients on a case-by-case basis. DOE may negotiate an other transaction agreement when DOE determines that the use of a standard cooperative agreement, grant, or contract is not feasible or appropriate for a project. For information on other transaction agreements, see <https://www.energy.gov/management/other-transaction-authority>.

## **I. Statutory Authority**

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The authorizing statutes are the Infrastructure Investment and Jobs Act of 2021 § 40207, 42 U.S.C. § 18741, and the DOE Organization Act § 646, 42 U.S.C. § 7256.

Awards made under this announcement are subject to the OMB Guidance for Federal Financial Assistance (e.g., 2 CFR Part 200) and DOE's Financial Assistance Regulations, 2 CFR Part 910.

DOE may choose to implement this NOFO using milestone-based Other Transaction Agreements (OTAs) under 42 U.S.C. § 7256(a) and/or 42 U.S.C. § 7256(g).



## IV. Application Content and Form

This section includes application information specific to this NOFO Part 1. Refer to the *NOFO Part 2, Application Content and Form* for standard information that applies to all DOE NOFOs such as formatting and content requirements, and funding restrictions.

### A. Use and Disclosure of Application Information

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

If an application includes Proprietary Information, it is furnished to the Federal government in confidence with the understanding that the information shall be used or disclosed only for evaluation purposes. For example, DOE may disclose such information to determine whether to select the project for funding under this NOFO or other government programs, or as otherwise authorized by law. This restriction does not limit the Federal government’s right to use the information if it is obtained from another source.

Applications and other submissions containing Proprietary 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 Federal government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose.

#### Notice of Restriction on Use and Disclosure of Information

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

In addition, (1) the header and footer of every page that contains trade secrets or business-sensitive, proprietary, or otherwise confidential information must be marked as follows: “CONTAINS TRADE SECRETS, BUSINESS-SENSITIVE, PROPRIETARY, OR OTHERWISE CONFIDENTIAL INFORMATION EXEMPT FROM PUBLIC DISCLOSURE,” and (2) every line or paragraph containing such information must be clearly marked with double brackets or highlighting.

All application information is subject to public release under FOIA except information that qualifies under a FOIA exemption. One of the exemptions is trade secrets or commercial or financial information that is confidential or privileged. The above markings are essential to assist DOE in identifying such information that is exempt from public disclosure. However, the



existence of the above or other protective markings is not dispositive on whether information is exempt under FOIA, only DOE’s designated FOIA Officer may determine if the information qualifies for a FOIA exemption. See 10 C.F.R. Part 1004 for more information on how DOE processes FOIA requests.

Notwithstanding the above, for compliance with IMPLEMENTATION OF PRESIDENTIAL MEMORANDUM SIMPLIFYING THE FUNDING OF ENERGY INFRASTRUCTURE AND CRITICAL MINERAL AND MATERIAL PROJECTS, the Department of Energy may share and use within the Government any application information provided by or on behalf of the applicant. Accordingly, in accordance with applicable law and notwithstanding any other provisions herein, by submitting an application or agreeing to a financial assistance arrangement with the Department of Energy under this NOFO, the Applicant is providing consent for any properly marked trade secret, confidential, proprietary, privileged or otherwise sensitive application information provided by or on behalf of the applicant to be disclosed to the Executive Office of the President and relevant Agencies offering loans, grants, equity, guarantees or other federal funding, for the purposes of the Presidential Memorandum on Simplifying the Funding of Energy Infrastructure and Critical Mineral and Material Project.

## B. Summary

The application process includes 2 submission phases: letter of intent and application.

Application Submission Phase	Eligibility for Submission
Letter of Intent	Requested to be submitted by the specified due date.
Application	Must be submitted by the specified due date and time to be eligible for comprehensive merit review.

## C. Letter of Intent

Applicants are encouraged to submit a Letter of Intent by the specified due date and time. The submission should not contain any proprietary or sensitive business information. Letters of Intent will not be used for down-selection purposes, and do not commit an applicant to apply. Applicants are not bound to the statements made in the Letter of Intent; it is reasonable for project partners, locations, or other factors to change during the application development process. DOE will not provide feedback on the Letters of Intent.

Each Applicant should provide the following information as part of the Letter of Intent:

Letter of Intent Content Requirements in eXCHANGE	
<b>Project Title/Topic Area</b>	The project title should be consistently used across other application documents. Specify applicable Topic Area.
<b>Lead Organization</b>	Complete legal name of the lead organization.



Letter of Intent Content Requirements in eXCHANGE	
<b>Percentage Effort Performed by the Lead Organization</b>	Provide the percentage effort to be performed by the lead organization in terms of overall budget percentage.
<b>Organization Type</b>	Academic; Federal Government; Federally Funded Research and Development (FFRDC); Government Owned and Operated (GOGO); Indian/Native American Tribal Government; Individual; Large Business; Non-Profit; Small Business; State and/or Local Government.
<b>Recipient Technical Point of Contact (POC)</b>	Complete legal name and title for the Principal Investigator (PI) or Lead Project Manager (LPM).
<b>Senior/Key Personnel</b>	Provide complete legal name/title of all Recipient Senior/Key Personnel.
<b>Subrecipients/Major Partners</b>	Provide complete legal names of all subrecipients and major partners (if known).
<b>Subrecipient &amp; Major Partner Senior/Key Personnel</b>	Provide complete legal name/title of all Subrecipient & Major Partner Senior/Key Personnel.
<b>Project Location</b>	Anticipated location of the project: City, State, and Zip Code.
<b>Project Description</b>	Description should not exceed 200 words and should provide a truncated explanation of the proposed project.

## D. Application Content Requirements

Each application must be limited to a single concept. Applications must conform to the following requirements and must not exceed the stated page limits. Please refer to the [NOFO Part 2, Application Content and Form](#) for a complete list of application requirements. Detailed guidance on the content and form of NOFO-specific requirements is provided following the [Summary of Application Requirements](#) table below.

### 1. Covered Individual Definition, Designation, and Responsibility

Several of the Application Content Requirements listed below and in the NOFO Part 2 are required of covered individuals.

For the purposes of this NOFO, a covered individual means an individual who (a) contributes in a substantive, meaningful way to the development or execution of the scope of work of a project proposed for funding by DOE, and (b) is designated as a covered individual by DOE.

DOE designates as covered individuals any principal investigator (PI); project director (PD); co-principal investigator (Co-PI); co-project director (Co-PD); project manager; and any individual regardless of title that is functionally performing as a PI, PD, Co-PI, Co-PD, or project manager. Status as a consultant, graduate (master’s or PhD) student, or postdoctoral associate



does not automatically disqualify a person from being designated as a “covered individual” if they meet the definition in (a) above.

The Applicant is responsible for assessing the applicability of (a) above, against each person listed on the application. Further, the Applicant is responsible for identifying any such individual to DOE for designation as a covered individual, if not already designated by DOE as described above.

The Applicant’s submission of a current and pending support disclosure and/or biosketch/resume for a particular person serves as an acknowledgement that DOE designates that person as a covered individual.

If selected, throughout the life of the award, the Recipient has an ongoing responsibility to submit: (1) current and pending support disclosure statements and resumes/biosketches for any new covered individuals, and (2) updated disclosures if there are changes to the current and pending support or resume/biosketch previously submitted to DOE.

## 2. Summary of Application Requirements

Component	File Format	Page Limit	File Name
Application for Federal Assistance (SF-424)	PDF	n/a	ControlNumber_LeadOrganization_424
Technical Volume	PDF	30 pages	ControlNumber_LeadOrganization_TechnicalVolume
Letters of Commitment	PDF	1 page each	ControlNumber_LeadOrganization_LOCs
Impacted Indian Tribes Documentation	PDF	n/a	ControlNumber_LeadOrganization_ImpactedTribes
Statement of Project Objectives	MS Word	8 pages	ControlNumber_LeadOrganization_SOPO
Budget Justification Workbook	MS Excel	n/a	ControlNumber_LeadOrganization_Budget_Justification
Subrecipient Budget Justification	MS Excel	n/a	ControlNumber_LeadOrganization_Subrecipient_Budget_Justification
Work Proposal for FFRDC, (see <a href="#">DOE O 412.1A</a> )	PDF	n/a	ControlNumber_LeadOrganization_WP
Authorization for Non-DOE or DOE FFRDCs	PDF	n/a	ControlNumber_LeadOrganization_FFRDCAuth
Waiver for Foreign Entity Participation	PDF	n/a	ControlNumber_LeadOrganization_FEW
Performance of Work in the United States (Foreign Work Waiver)	PDF	n/a	ControlNumber_LeadOrganization_FWW



Component	File Format	Page Limit	File Name
Resumes	PDF	3 pages each	ControlNumber_LeadOrganization_Resumes
Current and Pending Support (for each covered individual)	PDF	n/a	ControlNumber_LeadOrganization_CPS
Transparency of Foreign Connections	PDF	n/a	BusinessSensitive_ControlNumber_LeadOrganization_TFC
Potentially Duplicative Funding Notice	PDF	n/a	ControlNumber_LeadOrganization_PDFN
Environmental Questionnaire	PDF	n/a	ControlNumber_LeadOrganization_EQ
Disclosure of Lobbying Activities, if applicable (SF-LLL)	PDF	n/a	ControlNumber_LeadOrganization_SF-LLL
Certification Regarding Lobbying (OMB 4040-0013)	PDF	n/a	ControlNumber_LeadOrganization_Cert Lobbying
Summary for Public Release	PDF	1 page	ControlNumber_LeadOrganization_Summary
Summary Slide	MS Power Point	n/a	ControlNumber_LeadOrganization_Slide
40207 Application Data Sheet and Workbook	MS Excel	n/a	ControlNumber_LeadOrganization_Workbook
Gantt Chart	PDF	n/a	ControlNumber_LeadOrganization_Gantt
Financial Model	MS Excel	n/a	ControlNumber_LeadOrganization_Financial Model
Financing Documentation	PDF	n/a	ControlNumber_LeadOrganization_Financing Documentation

### 3. Impacted Indian Tribes Documentation

For any application that potentially impacts Indian Tribes<sup>8</sup>, including when the potentially impacted Indian Tribe is the applicant, applicants are required to submit additional documentation:

- For projects sited on Tribal land(s)<sup>9</sup> or intersecting with Tribal subsurface rights: Applicants are required to submit documentation of support from the relevant Indian Tribes at the time of application submission. See below for Requirements for Documentation of Tribal Support.
- For applications potentially impacting Indian Tribes' resources and reserved rights in other ways: Applicants are encouraged to submit documentation of Tribal support from

<sup>8</sup> Indian Tribe is as defined in 25 U.S.C. §5304, and includes Alaska Native Villages and Alaska Native Corporations.

<sup>9</sup> Tribal land is as defined in 25 U.S.C. §§ 3501(2), (3), (4)(A) and (13).



relevant Indian Tribes, but are required to, at a minimum, provide documentation confirming that an authorized representative from each potentially impacted Indian Tribe is aware of the application's nature and its potential impacts to the Indian Tribe. See below for helpful resources for evaluating potential impacts and requirements for documenting Tribal awareness.

Applicants are encouraged to reach out to Indian Tribes as early as possible to give Indian Tribes ample time to evaluate and respond. Documentation will not be scored, however, an applicant's failure to submit documentation of an Indian Tribe's awareness, or a letter of support, when required as described above, may constitute grounds for determining an application ineligible, non-responsive to the NOFO, not subject to further review, and/or not otherwise subject to selection or award.

Documentation of Tribal Support	
Item	Criteria
Letter of Support from Tribal Leadership	The letter must be signed by an authorized representative <sup>10</sup> of the Indian Tribe. The signer(s) must be holding their position while the NOFO is open for applications or when subsequently submitted.  Must express support for the project.
Tribal Council Resolution, Board resolution (including the Board of Directors of an Alaska Native Corporation (ANC)), or similar act passed by the legislative body of the Tribal government or Board of Directors of an ANC	Must express support for the project.

Documentation of Tribal Awareness	
Item	Criteria
Any Documentation of Tribal Support (see above)	See above
An email reply, or documentation of certified mail delivery	Must demonstrate that an authorized representative <sup>10</sup> of the Indian Tribe is the one being notified, and is being made aware of the nature of the project and its potential impacts to the Indian Tribe.

<sup>10</sup> An authorized representative must be an elected official or designated leader according to the traditions, constitution, or charter of the Indian Tribe, or someone with relevant delegated authority within the Tribal government. Examples include: Chief, Chairman, Chairwoman, Governor, Nation Representative, President, Chief Executive Officer, Chief Financial Officer, Speaker of the Council, Speaker of the Congress, Tribal administrator.



The following resources and guidance may be useful to help determine if a project may impact Indian Tribe(s) resources or reserved rights, and the appropriate contacts at Indian Tribes. These resources are not exhaustive, and many Indian Tribes have resources or reserved rights which extend beyond their Tribal lands, or are covered within treaties, statutes, or case-law. Applicants are encouraged to do additional research, while respecting Tribal privacy over sacred sites. Any outreach, assessment of impacts, and mitigation plans must be documented and made available to DOE upon request after award selection and/or during award negotiation. If the applicant is an Indian Tribe, these resources and guidance are recommended to be used to ascertain impacts to Indian Tribes other than the applicant.

Helpful Resources for Evaluating a Project’s Potential Impact on an Indian Tribe	
Item	Location
Map of Indian Lands	<a href="https://bia-geospatial-internal.geoplatform.gov/indianlands/">https://bia-geospatial-internal.geoplatform.gov/indianlands/</a>
Tribal Directory Assessment Tool (TDAT)	<a href="https://egis.hud.gov/TDAT/">https://egis.hud.gov/TDAT/</a>
Tribal Treaties Database	<a href="https://treaties.okstate.edu/">https://treaties.okstate.edu/</a>
Directory of federally recognized Tribes and Tribal leaders	<a href="https://www.bia.gov/service/tribal-leaders-directory">https://www.bia.gov/service/tribal-leaders-directory</a>
Best Practices for Identifying and Protecting Tribal Treaty Rights, Reserved Rights, and other similar rights in federal regulatory actions	<a href="https://www.bia.gov/sites/default/files/dup/inline-files/best_practices_guide.pdf">https://www.bia.gov/sites/default/files/dup/inline-files/best_practices_guide.pdf</a>

Guidance on Assessing Potential Impacts to Indian Tribe Resource or Reserved Rights		
Type of Action	Assessment	Mitigation
Research and Development (R&D)	Identify any resources which will be quantified/modeled on or near Tribal land, traditional homelands, Tribal historic sites, sacred sites, or in areas where an Indian Tribe maintains rights to these resources. Identify which Indian Tribe(s) may be impacted. Explain any instances of uncertainty or need for confidentiality.	Explain any actions taken by the applicant to mitigate or address any potential impacts identified, including engaging with the potentially impacted Indian Tribe(s), in the application.
Surface Impacts	Identify any Indian Land (as defined in 25 U.S.C. § 3501), traditional homelands, or Tribal historic and sacred sites which will be crossed, or adjacent to the proposed infrastructure. Identify which Indian Tribe(s) might be impacted and explain any instances of uncertainty or confidentiality.	



Guidance on Assessing Potential Impacts to Indian Tribe Resource or Reserved Rights		
Type of Action	Assessment	Mitigation
<b>Subsurface Resource Activities (e.g., carbon sequestration, oil &amp; gas, geothermal, critical minerals, groundwater)</b>	Identify any Tribal mineral rights, subsurface, or water rights at or near the proposed project location. Explain any relevant studies already performed, such as groundwater studies. Identify which Indian Tribe(s) might be impacted. Explain any instances of uncertainty and any potential for subsurface resource migration which has been considered.	
<b>Hydropower, Offshore Wind, or other Water Related Projects</b>	Identify any Tribal resources or reserved rights (e.g., water, fishing, or other treaty rights) which could be impacted by the proposed project. Identify any Tribal historic sites, sacred sites, or relevant vistas, which could be impacted by the project. Identify the potentially impacted Indian Tribe(s) and explain any sources of uncertainty or confidentiality.	
<b>Other Actions Not Categorized Above</b>	Identify any other proposed actions which may impact an Indian Tribe(s) resources or reserved rights. Tribal resources and reserved rights include, and are not limited to, an Indian reservation or land (as defined in 25 U.S.C. § 3501) or intersecting Tribal sub-surface rights, historic homelands from which they were removed, cultural sites, sacred sites, water rights, mineral and other subsurface rights, fishing rights, and hunting rights. Identify the Tribe(s) potentially impacted and any sources of uncertainty or confidentiality.	

Any application that may potentially impact Indian Tribe(s) may be shared by DOE with the potentially impacted Indian Tribe(s) subject to any proper existing markings on the information. Accordingly, Applicants should include a Notice of Restriction on Use and Disclosure of Information identifying any business sensitive, trade secrets, proprietary, or otherwise confidential information (See Use and Disclosure of Applicant Information Section in NOFO Part 1) After selection, applicants may be asked to include a Notice of Restriction on Disclosure and Use of Data marking identifying any business sensitive, trade secrets, proprietary, or otherwise confidential information. Such properly marked application information shall be used or disclosed only for evaluation purposes, where such evaluation includes a determination of whether the proposed project impacts an Indian Tribe(s) and will only be shared with a potentially impacted Tribe(s) under confidentiality terms.

Data delivered once under award that may potentially impact Indian Tribe(s) may be shared with the potentially impacted Indian Tribe(s), subject to any restrictions included on properly marked data per the award terms.



If the applicant or DOE determines an Indian Tribe(s) will be impacted, the applicant must provide information on the project location, potential impacts and how the applicant will engage with Indian Tribe(s) during the period of performance of the agreement, and, if necessary, after the end of the agreement. DOE will determine if formal government-to-government consultation could be appropriate, and DOE will conduct that consultation accordingly, in addition to any engagement by applicant.

#### 4. Technical Volume

The Technical Volume must conform to the following content and form requirements. This volume must address the technical review criteria as discussed in [Technical Review Criteria](#).

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

The Technical Volume to the application may not be more than 30 pages, including the cover page, table of contents, and all citations, charts, graphs, maps, photos, or other graphics, and must include all information below. The Applicant should consider the weighting of each of the technical review criteria (see [Technical Review Criteria](#)) when preparing the Technical Volume.

Technical Volume Content Requirements Overview	
Section	Approximate Percent Content of the Technical Volume
Cover Page	N/A
1. Project Overview	10%
2. Technical Description, Innovation, and Merit	25%
3. Supply Chain Impact and Viability	15%
4. Commercial Plan and Financial Plan	20%
5. Workplan, Management Plan, and Partners	15%
6. Technical Qualifications and Resources	10%
7. Risk Analysis and Mitigation	5%

#### Cover Page:

The cover page must include all the following:

- The project title
- Specific NOFO topic areas
- Technical and business POCs
- The project team, including Recipient name, entity type and names of all team member organizations
- The project location(s)



- The proposed federal funding level, cost share and period of performance
- Senior/key personnel and other covered individuals
- Statements regarding confidentiality

### Section 1 - Project Overview:

The Project Overview should include the information set forth below, as well as clear, unambiguous, and quantified data and measures to support any included analysis and projected impacts. Information provided in the Project Overview should be consistent with and supported by other sections of the application.

- **Scope and Objectives:** The overall scope and objectives of the proposed project.
- **Project Location:** The project location, including the address of the project location. In the event a project site is not yet identified, the schedule for securing a project site must be provided.
- **Production Capacity:** The product(s) to be produced, the targeted annual manufacturing capacity and information or data to support the targeted annual manufacturing capacity.
- **Market Overview:** The market segment(s) the project will fulfill, the stability of that market segment(s), the growth potential of that market segment(s) and the competitiveness of the project in the market segment(s).
- **Project Impacts:** The impact that the proposed project will have in bolstering the relevant domestic supply chain, including an assessment of analysis of how the project will impact or improve the current baseline by increasing domestic capacity to meet current or projected demand and/or by onshoring capacity to enhance national security, resilience, and economic competitiveness.
- **Experience:** The Applicant should discuss previous manufacturing experience, the background of their organization, including the history, successes, and current technical track record relevant to the technical topic being addressed in the application.
- **Impact of DOE Funds:** 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.

### Section 2 - Technology Description, Innovation, and Merit:

The Technical Description, Innovation, and Merit section should contain the following information:

- **Relevance and Outcomes:** The Applicant should provide a detailed description of the technology to be produced and the unique characteristics that drive the value proposition of the product. This section should describe key innovations that drive production efficiency and innovation such as relevant patents, processes, flow diagrams, etc. and the relevance of the proposed project to the goals and objectives of the NOFO, including the potential to meet specific DOE technical targets, IJA policy priorities, or other relevant performance targets. The Applicant should clearly specify the expected outcomes of the project.
- **Feasibility:** Within the feasibility discussion, the Applicant should demonstrate the following:
  - The technical feasibility of the proposed facility, technology, and their capability of achieving the anticipated performance targets.



- A description of any related previous work done and prior results.
- This section should address the access of the project to necessary infrastructure (e.g., transportation, water, electricity, transmission), including any use of existing infrastructure.
- This section should address the access of the project to skilled workers, ideally in the surrounding community, for both construction and ongoing operations of the facility.
- Include any developed maps, diagrams, and projections that support the understanding of feasibility of the proposed facility.
- **Innovation and Impacts:** The Applicant should describe any specific measures being taken by the project to improve or enhance the performance, quality, cost, and energy efficiency of production processes and facility energy use. The Applicant should describe the level of innovation of the process compared to the state-of-the-art and how this can result in better market positioning for facility success.
- **Technology Impact:** The Applicant should describe how the end item technology, once deployed, will positively impact the domestic supply chain for batteries. The Recipient should specify the end use applications and the number of tonnes and/or number of batteries or battery packs that could be enabled by the target production volume.

### Section 3 - Supply Chain Impact and Viability:

- **Supply Chain Impacts of the Project:** The Applicant should supply any existing offtake agreements and describe how the project will address domestic supply chain issues. The Applicant should include an assessment of potential to address current or projected gaps or insufficiencies in the domestic supply chain, including ratio of units to be produced relative to federal funding requested.
- **Market Analysis:** Applicants are required to succinctly describe their projected target market for manufactured product(s). The plan should include an analysis of the current and projected target market for manufactured product(s), including the sufficiency of the existing target market(s); the stability of the target market—that the product(s) will be competitive based on a data-based market assessment, including with respect to average selling prices, strength of current and potential competitors, and forward-looking market trend; the market entry strategy (e.g., product differentiation, barriers to entry, intellectual property rights, first mover advantage, etc.); and the plan for marketing the product(s).

Relevant data-backed deliverables include:

- Assessment of the total and segment addressable market(s), including relevant projections and underlying market trends.
- Competitive landscape assessment, covering current and potential competitors.

### Section 4 - Commercial Plan and Financial Plan:

The Commercial Plan and Financial Plan should address the items listed below, as well as any other pertinent and related information. Information provided in the should be consistent with and supported by other sections of the application.



## Project Level Financial Plan

The financial plan should include the proposed budget and spend plan, covering both DOE funding and non-federal cost share. It may reference the Budget Justification Workbook.

- The financial plan should include: (i) the amount of cost share proposed in proportion to the federal award requested; (ii) the proposed cost share and initial capital stack for the project at hand, including the availability, credibility, and risk/terms of non-federal cost share sources; (iii) the plan and schedule to achieve long-term financial viability, beyond federal funding; and (iv) the ability to provide contingency funding to meet unexpected project cost overruns, including the source of such funding. If known, plans for any follow-on investments for further growth or expansion after the award performance period, with supporting evidence (Letters of Commitment, etc.).
- **Feedstock and Supply Arrangements:** The Applicant should provide analysis of the relevant markets for and plans to ensure an adequate supply of feedstock and essential supplies at what price needed for successful operation of the project. This analysis should include the strategy to leverage existing U.S. supply chains and support growth of domestic capabilities in keeping with U.S. job creation goals. If available, the application should provide letters of commitment or term sheets for prospective or current feedstocks and other suppliers. The business plan must include the operational cost estimates for key raw materials and describe the sensitivity of the price for input materials to market fluctuations and any other potential market risks to supply.
- **Offtake Arrangements:** Offtake contracts, term sheets or letters of commitment, or term sheets from binding or prospective customers and/or offtakers should be provided, if available. If firm commitments are not available, please describe the maturity of these business agreements, timeline and key decisions necessary to secure them. If the offtake is to a next step in a supply chain, describe the status and maturity of that part of the market.

These should be submitted as a separate attachment in eXCHANGE. The business plan should indicate the percentage of annual manufacturing/recycling capacity that is covered by binding offtake arrangements.

All proposed project applicants must establish the potential to be cost competitive with commercially available state-of-the-art technology, or a justification must be provided to show there would be broad market uptake at a premium cost.

- **Total Project Cost:** Applications should include a current Total Project Cost (TPC) estimate that covers the entirety of the project, including construction, capital, labor, and other cost categories as appropriate for individual project plans. Cost estimates should meet industry standards for the size and complexity of the proposed project and should explain what assumptions were used and why they were deemed appropriate. An overview of the project's current TPC estimate should be included in the financial plan. Supporting itemized data can be provided as part of the "Budget Justification Workbook." During award negotiations, DOE may conduct a third-party review of the project TPC. The rationale for all estimates and the approach for arriving at the estimates must be discussed. Additionally, the level of confidence in the estimate should be provided.
- **Non-Federal Support:** The plan should identify other non-federal governmental (including state or local) incentives or other assistance on which the proposed project



relies to support the financing, construction, and operation of the project. It should indicate the terms of such support which could result in termination or reduction of anticipated/actual non-federal support, and whether any such incentives or assistance are subject to clawback and the circumstances under which a clawback could occur.

### Commercial Plan

- **Market Penetration Plan:** The Applicant should describe the intended market approach for their facility to meet demand and compete under current market conditions, including with respect to average selling prices, strength of current and potential competitors, and forward-looking market trend and the market entry strategy (e.g., product differentiation, barriers to entry, intellectual property rights, first mover advantage, etc.); and the plan for marketing the product(s). Relevant data backed deliverables include:
  - Assessment of price-competitiveness, including relativity to average selling prices.
  - Competitive landscape assessment, covering current and potential competitors.
  - Customer segmentation analysis and the associated strategy for marketing the product(s) to the relevant segments.
- **Growth Plan:** The plan should describe the strength of the project's economic viability, sustainability, and potential growth beyond DOE funding, including the ability to achieve follow-on investments beyond the award performance period. Applicants are encouraged to submit a description (potentially including letter(s) of commitment) of a supply agreements and off-take agreement(s) with state, local, and/or private companies/organizations (contractors, utilities, retail, and/or otherwise).

### Section 5 - Workplan, Management Plan, and Partners:

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 Statement of Project Objectives (SOPO) is separately requested. The Workplan should contain the following information:

- **Site Selection:** If the Applicant is building a new facility, the plan should include:
  - The rationale for selection of the project site;
  - Evidence of control over the site or the plan to establish control over the site such as a letter of intent, lease agreement, or contract;
  - Specific information about how the project will leverage existing facilities and regional assets, including regional economic development plans, infrastructure, workforce, and workforce training assets, to foster commercial viability, sustainability, and future growth of the project; and
  - Overview of equipment needs and required specifications for the site; sourcing plan for equipment and land, with supporting documentation (e.g., equipment supply agreement/LOI, land purchase/lease records).
- **Engineering, Procurement, Construction, and Operations:** Applications should include initial versions of Engineering, Procurement, Construction and Operations (EPC&O) project documents if available. The EPC&O project documents should provide detailed technical data and/or information to show how the targeted annual manufacturing capacity of the proposed project could be ramped and delivered.



Describe the current status of the engineering and design work (FEL reference) at the time of application.

- **Key Contracts, Permits, and Agreements:** The Workplan should provide a top-level description, schedule, and status, of critical path contracts and agreements relevant to the project, encompassing permits, design, engineering, technology licensing, financing, construction, startup, commissioning, shakedown, operation, maintenance, and external plans or dependencies that could negatively impact the success of the proposed project. The Workplan should also describe how the Applicant will provide DOE necessary information to complete NEPA. **If any known part of the project or critical supply source is pending permitting, please flag and describe the engagement to date.**
- **Key Equipment Cost and Supply Arrangements:** The Plan must highlight key equipment with long lead times and provide cost estimates for these with a description of any market sensitivities. Please describe any intellectual property arrangements for the technologies to be sourced (e.g., any licensing agreements and fees required).
- **Use of Natural Resources:** The Applicant should identify all potential short- or long-term constraints or sensitivities the project will have related to the access of the community to natural resources (e.g., water) and Tribal cultural resources. As applicable, describe the environmental risk mitigation plan and resource strategy that ensures communities and neighborhoods remain healthy and safe.
- **Work Breakdown Structure:** The Applicant should provide a schedule for the entire project, including a work breakdown structure (WBS) with task and subtask durations, descriptions, milestones, and Go/No-Go decision points in alignment with the SOPO. 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). Task descriptions should be well defined and provide detail around roles and responsibilities for any members of the project team, including project partners (if applicable). The WBS should include detailed plans for the phased approach of each milestone as outlined in [Expected Performance Goals](#). The WBS should also detail the length of each phase and show intermediate milestones leading to the Go/No-Go decision point.
- **Integrated Project Schedule (IPS) (Gantt Chart):** The Applicant should provide a detailed, **legible** integrated project schedule for facility construction/modification (as applicable) and include operations and production to be conducted prior to project completion **as an attachment (See [Gantt Chart](#))**. The initial IPS should include all major project activities and milestones (consistent with the overall Workplan), including engineering, design, procurement and construction. This IPS will be revised, expanded, and updated in future project activities. By the end of award negotiation, it is expected that the IPS will be execution ready and reflect comprehensive schedule risk and uncertainty analyses.
  - During each Budget Period, projects will report actual progress against their execution schedule or schedules as part of regular project management reporting requirements.
- **Workforce:** The Applicant should provide a description of a workforce plan, stating how the workforce will be obtained for project execution and eventual operations.



- **Project Management:** The Applicant should discuss the team’s proposed management plan, including the following:
  - The technical and management plan, including systems and practices, such as financial and project management practices. It is expected that the project will be managed using professional software, use of earned value management techniques, and perform a risk analysis on the cost and schedule using approaches like Monte Carlo simulation;
  - A description of how project changes will be handled; and
  - The approach to Quality Assurance/Control.

### Section 6 - Technical Qualifications and Resources:

The Technical Qualifications and Resources should contain the following information:

- Prior experience in performing tasks of similar risk and complexity;
  - A description of the project team’s unique qualifications and expertise, including those of key subrecipients;
  - A description of the project team’s existing equipment and facilities, or equipment or facilities already in place on the proposed project site, that will facilitate the successful completion of the proposed project; include a justification of any new equipment or facilities requested as part of the project; and
  - A description of the technical services to be provided by DOE/National Nuclear Security Administration FFRDCs, if applicable.
- **Partner Arrangements:** For multi-organizational projects, describe succinctly:
    - The roles and the work to be performed by the project manager and Senior/Key Personnel at the prime and subrecipient levels;
    - Business agreements between the Applicant and sub;
    - How the various efforts will be integrated and managed; and
    - Process for making decisions on technical direction, publication arrangements, intellectual property issues, and communication plans.

### Section 7 - Risk Analysis and Mitigation:

DOE expects award recipients to understand and actively manage risks. The Applicant should provide a comprehensive Risk Management Plan (RMP) that is accompanied by a corresponding risk register that can be used for ongoing risk management.

The RMP should describe commercial, technical, construction, schedule, regulatory, permitting, safety, scale-up, infrastructure, financial, management, organizational, and market-related risks and mitigation plans. Of particular interest is the risks related to the facility operation including workforce training, safety measures to prevent exposures to harmful materials, fire safety, and adherence to safe workplace best practices.

Each identified risk in the RMP should be clearly described, including its probability of realization, potential impacts, and proposed mitigations. As appropriate, identified risks should be incorporated into other project documentation, such as execution schedules, cost estimate maturity, and contingency.



The RMP and risk register will be revised and updated as needed throughout the project life cycle. At a minimum, they will be reviewed and assessed for accuracy and adequacy as part of each Budget Period. Where and when appropriate, quantitative risk analyses may be required and subsequently incorporated into relevant risk management plans and contingency evaluations and will be used to inform negotiations with DOE.

### 5. Resumes for Non-Research & Development (R&D) NOFOs

A resume provides information reviewers can use to evaluate an individual’s relevant skills and the experience of the key project personnel. Applicants must submit a resume for each project manager, Senior/Key Personnel, and all covered individuals as defined in the *NOFO Part 1, Application Content and Form—Application Content Requirements, Covered Individual Definition, Designation and Responsibility*. DOE reserves the right to not proceed with merit reviews for incomplete applications. Applicants must screen resumes to ensure that they do not contain personally identifiable information (PII) such as personal addresses, personal landline/cell phone numbers, and personal emails.

Resumes must include the following at a minimum:

Resume Requirements	
<b>Contact Information</b>	Phone, email, and address.
<b>Education</b>	All academic institutions attended, major/area, degree.
<b>Training</b>	Examples include certification or credential from a Registered Apprenticeship or Labor Management Partnership.
<b>Professional Experience</b>	Beginning with the current position, list professional/academic positions in chronological order with a brief description.
<b>Current Appointments</b>	All current academic, professional, or institutional appointments, foreign or domestic, at the applicant institution or elsewhere, whether or not remuneration is received, and whether full-time, part-time, or voluntary.
<b>Products and Activities</b>	A list of products and activities that demonstrate the individual’s qualifications to carry out the project as proposed. It is up to the individual to determine how to best organize this listing to demonstrate their ability to carry out the project.
<b>Additional Criteria</b>	There should be no lapses in time over the past 10 years or since age 18, whichever period is shorter.

### 6. Current and Pending (Other) 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 or Lead Project Manager and all covered individuals as defined in the *NOFO Part 1, Application Content Requirements--Covered Individual Definition, Designation, and Responsibility* at the Applicant and subrecipient level must comply with current and pending support requirements. Consistent with the chart below,



the current and pending support disclosures and biosketch/resumes must together include a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual’s research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All connections with malign foreign talent recruitment programs must be identified in current and pending support.

Information Required for Each Activity	
<b>Sponsor of the Activity</b>	The sponsor of the activity or the source of funding. Identify the entity for each proposal and/or active project that is providing the support. Include all federal, state, tribal, territorial, local, foreign, public or private foundations, non-profit organizations, industrial or other commercial organizations, or internal funds allocated toward specific projects.
<b>Award Number</b>	The federal award number or any other identifying number.
<b>Title</b>	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.
<b>Total Cost or Value</b>	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. For in-kind contributions, enter the U.S. dollar value of the in-kind contribution with an estimated value of \$5,000 or more. If the dollar value is not readily ascertainable, a reasonable estimate should be provided. If the support is in a foreign country’s currency, convert to U.S. dollars at time of submission rounded to the nearest dollar.
<b>Primary Place of Performance</b>	Identify the primary location where the proposal and/or active project is being executed. Enter the city, state/province, and country where the organization is located. If the state/province is not applicable, state N/A.
<b>Project Period</b>	The “Start Date” through “End Date.”
<b>Person-months</b>	The person-months of effort per year dedicated to the award or activity. Enter how much time the individual anticipates is necessary to complete the scope of work on the proposal and/or active project. Enter the number of person-months (even if unsalaried) for the current Budget Period and enter the proposed person-months for each subsequent Budget Period. If the time commitment is not readily ascertainable, a reasonable estimate should be provided.
<b>Overall Objectives</b>	Provide a brief statement of the overall objectives of the proposal/active project.



Information Required for Each Activity	
Statement of Potential Overlap	Enter a description of the potential overlap with any pending proposal or active foreign or domestic project and this proposal in terms of scope, budget, or person-months planned or devoted to the project by the individual. If there is no potential overlap, state “none.”
Digital Persistent Identifier (e.g., ORCID iD)	For R&D NOFOs only, providing an <a href="#">ORCID iD</a> is required.
Certification Statement	<p>All covered individuals must provide a separate disclosure statement listing the required information above regarding current and pending support. Each individual must sign and date their respective certification statement:</p> <p style="text-align: center;"><i>I, [Full Name and Title], understand that I have been designated as a covered individual by the Federal funding agency.</i></p> <p style="text-align: center;"><i>I 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.</i></p> <p style="text-align: center;"><i>I also certify that, at the time of submission, I am not a party in a malign foreign talent recruitment program. I further understand should I take action to involve myself with a Malign Foreign Talent Recruitment Program during the period of performance of the award, I must notify the recipient’s Authorized Agent immediately, but no later than five business days of taking such action and immediately recuse myself from all DOE awards.</i></p> <p><b>The following certification is required for R&amp;D projects:</b></p>



Information Required for Each Activity	
	<i>I further certify that within the past 12 months I have completed research security training meeting the requirements in <a href="#">SEC. 10634(b) of 42 USC 19234</a>.</i>
<b>Foreign Government Sponsorship</b>	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.

The information may be provided in the [Common Form for Current and Pending \(Other\) Support](#). Regardless of the format used, the individual must include a signature, date, and a certification statement using the language included in the table above.

Current and Pending Support Disclosures must be submitted for all covered individuals, include the exact certification statement provided above, and must be signed and dated to be considered.

**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 the Presidential Memorandum on United States Government-Supported Research and Development National Security Policy-33 (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 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 resources 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.



**Malign Foreign Talent Recruitment Program as defined in P.L. 117-167, Section 10638(4) –**

- A) Any program, position, or activity that includes compensation in the form of cash, in-kind compensation, including research funding, promised future compensation, complimentary foreign travel, things of non de minimis value, honorific titles, career advancement opportunities, or other types of remuneration or consideration directly provided by a foreign country at any level (national, provincial, or local) or their designee, or an entity based in, funded by, or affiliated with a foreign country, whether or not directly sponsored by the foreign country, to the targeted individual, whether directly or indirectly stated in the arrangement, contract, or other documentation at issue, in exchange for the individual—
- i. Engaging in the unauthorized transfer of intellectual property, materials, data products, or other nonpublic information owned by a United States entity or developed with a federal research and development award to the government of a foreign country or an entity based in, funded by, or affiliated with a foreign country regardless of whether that government or entity provided support for the development of the intellectual property, materials, or data products;
  - ii. Being required to recruit trainees or researchers to enroll in such program, position, or activity;
  - iii. Establishing a laboratory or company, accepting a faculty position, or undertaking any other employment or appointment in a foreign country or with an entity based in, funded by, or affiliated with a foreign country if such activities are in violation of the standard terms and conditions of a federal research and development award;
  - iv. Being unable to terminate the foreign talent recruitment program contract or agreement except in extraordinary circumstances;
  - v. Through funding or effort related to the foreign talent recruitment program, being limited in the capacity to carry out a research and development award or required to engage in work that would result in substantial overlap or duplication with a federal research and development award;
  - vi. Being required to apply for and successfully receive funding from the sponsoring foreign government's funding agencies with the sponsoring foreign organization as the recipient;
  - vii. Being required to omit acknowledgment of the recipient institution with which the individual is affiliated, or the federal research agency sponsoring the research and development award, contrary to the institutional policies or standard terms and conditions of the federal research and development award;
  - viii. Being required to not disclose to the federal research agency or employing institution the participation of such individual in such program, position, or activity; or
  - ix. Having a conflict of interest or conflict of commitment contrary to the standard terms and conditions of the federal research and development award; and
- (B) A program that is sponsored by—
- i. A foreign country of concern or an entity based in a foreign country of concern, whether or not directly sponsored by the foreign country of concern;
  - ii. An academic institution on the list developed under section 1286(c)(8) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note; 1 Public Law 115–232); or



- iii.A foreign talent recruitment program on the list developed under section 1286(c)(9) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note; 1 Public Law 115–232).

## 7. 40207 Application Data Sheet and Workbook

The 40207 Application Data Sheet and Workbook acts as a summarizing document for review to understand the projects focused products, the planned supply chain and offtakes for the products, and the financial plan for the execution of the project and operation of the facility post DOE award. All applications are required to complete the appropriate sections of the 40207 Application Data Sheet and Workbook.

Applicants must complete the 40207 Application Data Sheet and Workbook, which is available on eXCHANGE at <https://infrastructure-exchange.energy.gov/> and can be found under the respective NOFO number and Section titled “APPLICATION FORMS AND TEMPLATES.”

Save the 40207 Application Data Sheet and Workbook in a single Microsoft Excel file using the following naming convention for the title: “ControlNumber\_LeadOrganization\_Workbook”

## 8. Gantt Chart

All applications are required to complete an appropriate, legible Gantt Chart to serve as a display of the integrated project schedule of the proposal. There is no template nor page limit for the submission.

Save the Gantt Chart in a single PDF file using the following naming convention for the title: “ControlNumber\_LeadOrganization\_Gantt”

## 9. Financial Model

Applicants must submit a standard, working 3-Statement Financial Model (Income Statement, Balance Sheet, and Cash Flow Statement) supporting the ability of the entity to support the project. Hard coding should only be for assumptions and, in such cases, provide detailed back up to the assumption. Functionality must include the ability for DOE to test the assumptions, etc. The description of the financial health should include: revenue assumptions, working capital assumptions, historical financials, income statement 10+ years into the future after construction is complete, scenario and sensitivity analysis based on key business and project risks, supporting schedules for debt, working capital, CapEx, etc.

Save the Financial Model in a single Microsoft Excel file using the following naming convention for the title: “ControlNumber\_LeadOrganization\_Financial Model”

## 10. Financing Documentation

Applicants must submit the following:

- 1) The prime applicant, if publicly traded, must submit the latest public Securities and Exchange Commission (SEC) filing documentation.



- 2) The prime applicant, if a private entity, must submit the 2024, or most recent if 2024 is unavailable, financial annual report and auditor letter.
- 3) All Applicants must submit, if applicable, any PitchBooks or similar documents used in the last 12 months for capital raising efforts.

Save the Financing Documentation in a single PDF file using the following naming convention for the title: “ControlNumber\_LeadOrganization\_Financing Documentation”

## E. Funding Restrictions

Program-specific funding restrictions applicable to awards funded under this NOFO are identified below. Standard funding restrictions are described in the [NOFO Part 2, Application Content and Form—Funding Restrictions](#) section.

Applicable Funding Restrictions		
Title	Location	Additional Information
<b>Buy America Preference for Infrastructure Projects</b>	NOFO Part 1	Applicable to awards made under this NOFO
<b>Allowable Costs</b>	NOFO Part 2	Applicable to awards made under this NOFO
<b>Pre-Award Costs</b>	NOFO Part 2	Applicable to awards made under this NOFO
<b>Performance of Work in the United States (Foreign Work Waiver Requirement)</b>	NOFO Part 2	Applicable to awards made under this NOFO
<b>Foreign Travel</b>	NOFO Part 2	Foreign Travel is allowed for awards made under this NOFO with authorization from the Contracting Officer
<b>Lobbying</b>	NOFO Part 2	Applicable to awards made under this NOFO
<b>Equipment and Supplies</b>	NOFO Part 2	Purchasing American-made equipment and supplies is applicable to awards made under this NOFO
<b>Davis-Bacon Act Requirements</b>	NOFO Part 2	Applicable to awards made under this NOFO

### 1. Entities Submitting to Both MDO and EDF Programs

Applicants to this NOFO may choose to simultaneously pursue debt financing from the Office of Energy Dominance Financing (EDF) under its Advanced Technology Vehicles Manufacturing Program (ATVM).



Applicants pursuing both funding options for the same facility or as part of the same overall project should indicate they plan to do so in their application to MDO. Applicants should also provide a detailed explanation of sources and uses of funds, identify the project scope for which they are pursuing EDF financing, explain their commercial strategy for project implementation, and describe any existing commercial agreements or other project elements demonstrating ATVM eligibility. Interested Applicants may reach out to EDF with any questions about ATVM program eligibility and financing parameters. Inquiries should be directed to [atvmloan@hq.doe.gov](mailto:atvmloan@hq.doe.gov). Where feasible and at DOE's discretion, EDF project evaluation and due diligence may occur in parallel with the MDO grant evaluation and subsequent award negotiations. Receipt of a MDO award does not guarantee advancement in the EDF application process, and projects evaluated by EDF will need to meet all requirements of the ATVM underwriting process and ATVM programmatic requirements.

EDF financing is subject to the availability of ATVM lending authority. ATVM regulations require, *inter alia*, that (i) the borrower demonstrates financial viability without receipt of other Federal funding associated with the proposed project, and (ii) the ATVM loan is limited to no more than 80 percent of the total eligible project costs. Eligible project costs will be determined by EDF in accordance with programmatic requirements. Applicants must clearly delineate proposed project scope between both DOE funding mechanisms (e.g., by project phase, workstream, or location).

Please refer to section [II.C.2](#) for limitations on the use of EDF funding as cost share.

## 2. Buy America Preference for Infrastructure Projects

Awards funded through this NOFO that are for, or contain, construction, alteration, maintenance, or repair of public infrastructure in the United States undertaken by applicable recipient types, require that:

- All iron, steel, and manufactured products used in the infrastructure project are produced in the U.S.; and
- All construction materials used in the infrastructure project are manufactured in the U.S.

Please refer to the DOE's Standard Terms and Conditions and 2 CFR Part 184 to determine whether the Buy America Requirement applies and if the Applicant should consider the application of the Buy America Requirement in the proposed project's budget and/or schedule. (Note that the Buy America Requirement does not apply to prime recipients that are for-profit entities.)



## V. Submission Requirements and Deadlines

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

### A. Required Registrations

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

You must have an active account with SAM.gov. This includes having a Unique Entity Identifier (UEI). SAM.gov registration can take several weeks. To register, go to SAM.gov Entity Registration and click Get Started. From the same page, you can also click on the Entity Registration Checklist for the information you will need to register.

Each Applicant must:

1. Be registered in SAM.gov before submitting an application;
2. Provide a valid Unique Entity Identifier in the application; and
3. Continue to maintain an active registration in SAM.gov with current information at all times during which you have an active federal award or an application or plan under consideration by a federal 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.

#### 2. eXCHANGE

Register and create an account in the eXCHANGE site identified in the [Key Facts](#) section of the NOFO Part 1. This account can be used to apply to open NOFOs in eXCHANGE. To view and submit applications to open opportunities under a specific DOE office(s), you must access the applicable instance of the system. You may need to be registered in more than one instance to submit applications for opportunities managed by different DOE offices.

Each organization or business unit, whether acting as a team or a single entity, should use only one account as the contact point for each submission. Applicants must also designate backup points of contact. **This step is required to apply to this NOFO.**

#### 3. Grants.gov Registration

You must have an active [Grants.gov](#) registration to receive automatic updates when modifications to this NOFO are posted. Doing so requires a Login.gov registration as well. Step-by-step instructions for applicants at [How to Apply for Grants](#) website <https://www.grants.gov/applicants/grant-applications/how-to-apply-for-grants>.



## B. Application Package

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### 1. eXCHANGE

The application package requirements are outlined in the [Application Content and Form](#) section above. Several templates for application requirements are included in eXCHANGE. To access these materials, select the appropriate NOFO on the Funding Opportunity page of eXCHANGE.

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

- TechnicalVolume\_Part\_1
- TechnicalVolume\_Part\_2

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

### Electronic Authorization of Applications and Award Documents

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

## C. Submission Date and Times

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All required submissions must be submitted to the eXCHANGE site identified in the [Key Facts](#) section of NOFO Part 1 no later than 5 p.m. ET on the dates provided in the [Key Facts](#) section. There may be more than one deadline, depending on whether a letter of intent and a concept paper is required.

**Applicants are strongly encouraged to submit all required application documents at least 48 hours in advance of the submission deadline.** Under normal conditions (i.e., at least 48 hours before the submission deadline), Applicants should allow at least one hour to submit application documents. Once the application documents are submitted to the eXCHANGE site identified in the NOFO Part 1, 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 them before the applicable deadline. DOE will not extend the submission deadline for Applicants that fail to submit required information by the applicable deadline due to server/connection congestion.

## D. Intergovernmental Review

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This NOFO is not subject to Executive Order 12372, Intergovernmental Review of Federal Programs.



## VI. Application Review Information

### A. Standards for Application Evaluation

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Applications that are determined to be eligible will be evaluated in accordance with this NOFO and the guidance provided in the “DOE Merit Review Guide for Financial Assistance,” effective October 1, 2020, which is available at:

<https://energy.gov/management/downloads/merit-review-guide-financial-assistance-and-unsolicited-proposals-current>.

### B. Responsiveness Review

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

- Project concepts or approaches not based on established scientific principles.
- Project concepts or approaches identified specifically as NOT of interest (see the [Applications Specifically Not of Interest](#) section above).
- Applicant/Applications that do NOT meet the Eligibility Criteria in NOFO Parts 1 and 2.

### C. Review Criteria

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#### 1. Compliance Criteria

All applicant submissions for applications must:

- Comply with the applicable content and form requirements listed in Application Content Requirements and Submission Requirements and Deadlines of the NOFO Part 1 and 2;
- Include all required documents;
- Be uploaded successfully in eXCHANGE site indicated in the [Key Facts](#) section above including clicking the “Submit” button; and
- Comply with the submission deadline stated in [Key Facts](#).

DOE will not review or consider submissions submitted through means other than the eXCHANGE site indicated in [Key Facts](#), submissions submitted after the applicable deadline, or incomplete submissions.

**Applicants are strongly encouraged to submit all required application documents at least 48 hours in advance of the submission deadline.** Under normal conditions (i.e., at least 48 hours before the submission deadline), Applicants should allow at least one hour to submit application documents. Once the application documents are submitted to the eXCHANGE site identified in the [Key Facts](#) section, 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 them before the applicable deadline. DOE will not extend the submission deadline for Applicants that fail to submit required information by the applicable deadline due to server/connection congestion.



## 2. Merit Review Criteria

### Applications

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

Merit Review Criterion Overview	
Criterion	Weight
Technology Merit and Innovation	30%
Supply Chain Impact	15%
Project Financial Plan and Commercial Plan	30%
Project Workplan, Management Team, and Partners	25%

### Criterion 1: Technology Merit and Innovation (30%)

This criterion involves consideration of the following factors:

- **Technical Approach:** The extent to which the project will utilize a robust, impactful technology.
- **Technical Impact:** The extent to which the project will create efficient, advanced, and innovative production processes to spur innovation and drive down costs and improve yields or efficiency.
- **Technical Validity:** Accuracy of cost estimates and calculations, reasonableness of assumptions, including integration of process, equipment availability, and labor for deriving production capacity, and quantity of production capacity to be developed during the project period.
- **Feasibility:** The extent to which the project can achieve commercial production within the proposed timeframe and extent to which the project can overcome barriers to commerciality and scale up.
- **End Product:** Comprehensiveness of the manufactured product description, including specifications and applications. Strength of technical validation of the end product to date.
- **Intellectual Property:** The extent to which the U.S.-owned intellectual property and content are deployed as a result of the project.
- **Efficiency of Operations:** Comprehensiveness and reasonableness of the proposed technology approach in terms of plans for recovery and reuse of production materials within the manufacturing process in addition to the extent of waste material or residue that will be discarded annually at full production capacity. Comprehensiveness and reasonableness of the plan to address potential environmental impacts including energy use, water use, habitat destruction or impairment, etc. from the manufacturing facility or facilities.

### Criterion 2: Supply Chain Impact (15%)

This criterion involves consideration of the following factors:



- **Supply Chain Impact:** The extent to which the project resolves current or projected gaps in secure, resilient domestic supply chains. Reasonableness of the supply chain analysis used to assess vulnerability and impact.
- **Project Supply Chain Reasonableness:** The reasonableness of the supply chain analysis, comprehensiveness of supplier company list to include locations, degree of supply capacity to be purchased from each supplier, extent of supply provided by domestic suppliers in terms of capacity and sales amount, justifications for the use of non-domestic suppliers, validity of certifications for foreign entities of concern, as well as strength and quantity of supplier offtake agreements and/or Letters of Commitment (Letters of Support are not applicable to this criterion). Validity of the upstream supply chain risk analysis and proposed risk mitigations.
- **Market Viability:** The extent to which the Applicant demonstrates the potential market for manufactured product including that the end product(s) resulting from this project will be competitive based on a data-based market assessment.

### Criterion 3: Project Financial Plan and Commercial Plan (30%)

This criterion involves consideration of the following factors:

- **Project Financial Viability:** The extent of cash in hand for the project and the realism of the plan for obtaining the balance of required project financing as well as the ability to leverage state and local incentives in addition to DOE funding, including the availability, credibility, capability, strength, and risk/terms of non-federal cost share sources to meet ongoing need.
  - The extent of the amount of cost share in proportion to the federal funds requested.
  - The extent of leverage measured in terms of annual production capacity per government dollar invested for the entire project.
  - The extent to which the financial solvency of all entities is detailed to complete a project of this scale.
- **Business Viability:** The degree to which the application justifies applicant viability as an ongoing business entity, including current customers, and potential growth beyond DOE funding, as well as selling prices, competition, and forward-looking market trends.
- **Budget Reasonableness:** The level of reasonableness of the proposed project budget and spend plan for the proposed project and objectives, including the level of contingency proposed to address risk.

### Criterion 4: Project Workplan, Management Team, and Partners (25%)

This criterion involves consideration of the following factors:

- **Workplan:** The degree to which the project workplan including the Work Breakdown Structure, the site suitability, equipment availability and the approach to project management are clear, detailed, timely, and reasonable, resulting in a high likelihood that the proposed project will be successful.
- **Project Schedule and Milestones:** The adequacy, reasonableness, and soundness of the project metrics, project schedule, milestones and Go/No-Go decisions to achieve the stated production within the proposed timeframe and address environmental, siting, and other regulatory requirements for the project in a timely manner.



- **Workforce Acquisition Plan:** The reasonableness and likelihood of success of the workforce acquisition strategy for the proposed project, including any training program development and recruiting/outreach necessary.
- **Risk and Mitigation Strategy:** The quality of the identification of project execution risks and the effectiveness of the proposed risk mitigation plans to reduce the risk of the project.
- **Safety and Health:** The degree to which the workplan details strategy to maintain the health and safety of the workforce and workplace environment.
- **Teaming Arrangement:** The degree to which the application defines clear and appropriate roles for team members, teaming or partnership agreements are defined, and decision-making processes are in place that gives confidence in a high likelihood of success.
- **Project Team Capabilities:** The capability of the project team to address all aspects of the proposed work with a high probability of success, including the qualifications, relevant experience and expertise, and time commitment of the individuals on the team. The extent of evidence of the project teams' and key personnel's experience and success in industry and/or in similar projects.

## D. Other Selection Factors

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In addition to the above criteria, the Selection Official may consider the following program policy factors in determining which 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 NOFO.
- The degree to which the proposed project, including proposed cost share, optimizes the use of available DOE funding to achieve programmatic objectives.
- The degree to which the proposed project optimizes supply chain impact to use of DOE funding.
- The degree to which the proposed project will employ procurement of U.S. iron, steel, manufactured products, and construction materials.
- The degree to which the proposed project has broad public support from the communities most directly impacted by the project.
- The degree to which the proposed project avoids duplication/overlap with other publicly or privately funded work.
- The degree to which the proposed project enables new and expanding market segments.
- The degree to which the project's solution or strategy will maximize deployment or replication.
- The degree to which the proposed project utilizes feedstock produced in the U.S.
- The degree to which the proposed project includes prime and subrecipients that are not foreign entities of concern.
- The degree to which the proposed project involves offtake agreements with entities that are not foreign entities of concern.
- The degree to which the proposed project is not controlled or influenced by foreign entities of concern.



- The degree to which the proposed project will reduce or minimize control of certain markets by foreign entities of concern.
- The degree to which the proposed project meets one or more of the criteria described within 42 USC 18741(b)(3)(c) for Topic Area 1, or 42 USC 18741(c)(3)(c) for Topic Areas 2 and 3:
  - 42 USC 18741(b)(3)(c) Priority; consideration:

“In awarding grants to eligible entities under the program, the Secretary shall-

    - (i) give priority to an eligible entity that-
      - (I) is located and operates in the United States;
      - (II) is owned by a United States entity;
      - (III) deploys North American-owned intellectual property and content;
      - (IV) represents consortia or industry partnerships; and
      - (V) will not use battery material supplied by or originating from a foreign entity of concern; and
    - (ii) take into consideration whether a project-
      - (I) provides workforce opportunities in low- and moderate-income communities;
      - (II) encourages partnership with universities and laboratories to spur innovation and drive down costs;
      - (III) partners with Indian Tribes; and
      - (IV) takes into account-
        - (aa) greenhouse gas emissions reductions and energy efficient battery material processing opportunities throughout the manufacturing process; and
        - (bb) supply chain logistics.”
  - 42 USC 18741(c)(3)(c) Priority; consideration:

“In awarding grants to eligible entities under the program, the Secretary shall-

    - (i) give priority to an eligible entity that-
      - (I) is located and operates in the United States;
      - (II) is owned by a United States entity;
      - (III) deploys North American-owned intellectual property and content;
      - (IV) represents consortia or industry partnerships; and
      - (V)(aa) if the eligible entity will use the grant for advanced battery component manufacturing, will not use battery material supplied by or originating from a foreign entity of concern; or
      - (bb) if the eligible entity will use the grant for battery recycling, will not export recovered critical materials to a foreign entity of concern; and
    - (ii) take into consideration whether a project-
      - (I) provides workforce opportunities in low- and moderate-income or rural communities;
      - (II) provides workforce opportunities in communities that have lost jobs due to the displacements of fossil energy jobs;



- (III) encourages partnership with universities and laboratories to spur innovation and drive down costs;
- (IV) partners with Indian Tribes;
- (V) takes into account-
  - (aa) greenhouse gas emissions reductions and energy efficient battery material processing opportunities throughout the manufacturing process; and
  - (bb) supply chain logistics; and
- (VI) utilizes feedstock produced in the United States.”



## VII. Selection and Award Notices

Please see the [NOFO Part 2, \*Selection and Award Notices\*](#) for information on notifications for Applications, Award Negotiations, and Post-Selection Information Requests.



## VIII. Award Administration Information

### A. Post-Award Requirements and Administration

DOE requires all award recipients to follow and accept requirements governed by laws and policies – both Federal government-wide and DOE or program specific. These post-award requirements include all National and Administrative Policy Requirements; financial assistance general Certifications and Representations; Build America, Buy America requirements; Davis-Bacon Act requirements; Infrastructure Investment and Jobs Act-Specific Requirements; Fraud, Waste and Abuse requirements; Safety, Security, and Regulatory requirements; and Environmental Review in Accordance with National Environmental Policy Act requirements.

Post-Award requirements and administration applicable to awards funded under this NOFO are identified below. Detailed descriptions of standard funding restrictions are provided in the [NOFO Part 2, Award Administration Information—Post-Award Requirements and Administration](#) section. Detailed descriptions of program specific funding restrictions are provided below the table.

Applicable Post-Award Requirements and Administration	
Title	Location
Real Property and Equipment	NOFO Part 1
Go/No-Go Review	NOFO Part 1
Cybersecurity Plan	NOFO Part 1
Government Rights in Data	NOFO Part 1
Invoice Review and Approval	NOFO Part 1
Cost-Share Payment	NOFO Part 1
Intellectual Property and Data Security for Critical and Emerging Technology Areas	NOFO Part 1
Technology Protection Plan	NOFO Part 1
Material Supply Plan	NOFO Part 1
Threat Briefing	NOFO Part 1
Security Officer	NOFO Part 1
Access Restrictions	NOFO Part 1
Offtake Partner Plan	NOFO Part 1
U.S. Manufacturing Commitments	NOFO Part 2
Data Management and Sharing Plan (DMSP)	NOFO Part 2



## 1. Real Property and Equipment

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

For resulting awards under this NOFO, the recipients may (1) take disposition action on the real property and equipment, or (2) continue to use the real property and equipment after the conclusion of the award period of performance with Grants Officer approval. The Recipient's written request for Continued Use must identify the property and include: a summary of how the property will be used (must align with the authorized project purposes); a proposed use period, (e.g., perpetuity, until fully depreciated, or a calendar date when the recipient expects to submit disposition instructions); acknowledgement that the Recipient shall not sell or encumber the property or permit any encumbrance without prior written DOE approval; current fair market value of the property; and an estimated useful life or depreciation schedule for equipment.

When the property is no longer needed for authorized project purposes, the Recipient must request disposition instructions from DOE. For-profit entity disposition requirements are set forth in 2 CFR 910.360. Property disposition requirements for other non-federal entities are set forth in 2 CFR 200.310 – 200.316. In addition, pursuant to the FY23 Consolidated Appropriations Act (Pub. L. No. 117-328), Division D, Title III, Section 309, at the end of the award period the Secretary or a designee of the Secretary, at their discretion, may vest unconditional title or other property interests acquired under this project regardless of the fair market value of the property.

## 2. Go/No-Go Review

If selected, each project will be subject to a periodic project evaluation referred to as a Go/No-Go Review.

A Go/No-Go Review is a risk management tool and a project management best practice to ensure that, for the current phase or period of performance, technical success is definitively achieved and potential for success in future phases or periods of performance is evaluated, prior to beginning the execution of future phases. At the Go/No-Go decision points, DOE will evaluate project performance, project schedule adherence, the extent milestone objectives are met, compliance with reporting requirements, and overall contribution to the program goals and objectives. Federal funding beyond the Go/No-Go decision point (continuation funding) is contingent upon (1) availability of federal funds appropriated by Congress for the purpose of this program; (2) the availability of future-year budget authority; (3) Recipient's technical progress compared to the Milestone Summary Table stated in Attachment 1 of the award; (4) the Recipient's submittal of required reports; (5) the Recipient's compliance with the terms and conditions of the award; (6) DOE's assessment of potential research, technology, and economic security (RTES) risks; (7) DOE's Go/No-Go decision; (8) the Recipient's submission of a



continuation application<sup>11</sup>; and (9) written approval of the continuation application by the Grants 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, DOE may take appropriate action, including but not limited to, redirecting, suspending, or terminating the award.

### 3. Cybersecurity Plan

In accordance with IIJA section 40126, Applicants selected for award negotiations must submit a cybersecurity plan to DOE prior to receiving funding.<sup>12</sup> These plans are intended to foster a cybersecurity-by-design approach for IIJA efforts. The Department will use these plans to ensure effective integration and coordination across its research, development, and demonstration programs. A cybersecurity plan is **not** required as part of the application submission for this NOFO, but all projects selected under this NOFO will be required to submit a cybersecurity plan during the award negotiation phase.

DOE recommends using open guidance and standards, such as the National Institute of Standards and Technology's (NIST) Cybersecurity Framework (CSF) and the DOE Cybersecurity Capability Maturity Model (C2M2).<sup>13</sup> The cybersecurity plan created pursuant to

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<sup>11</sup> A continuation application is a non-competitive application for an additional Budget Period within a previously approved project period. At least ninety (90) days before the end of each Budget Period, the Recipient must submit its continuation application per the instructions in the award terms and conditions.

<sup>12</sup> 42 U.S.C. § 18725

<sup>13</sup> North American Electric Reliability (NERC) critical infrastructure protection (CIP) standards for entities responsible for the availability and reliability of the bulk electric system. NIST IR 7628: 2 Smart grid cyber security strategy and requirements. NIST SP800-53, Recommended Security Controls for Federal Information Systems and Organizations: Catalog of security controls in 18 categories, along with profiles for low-, moderate-, and high-impact systems. NIST SP800-82, Guide to Industrial Control Systems (ICS) Security. NIST SP800-39, Integrated Enterprise-Wide Risk Management: Organization, mission, and information system view. AMI System Security Requirements: Security requirements for advanced metering infrastructure. ISO (International Organization for Standardization) 27001, Information Security Management Systems: Guidance on establishing governance and control over security activities (this document must be purchased). IEEE (Institute of Electrical and Electronics Engineers) 1686-2007, Standard for Substation Intelligent Electronic Devices (IEDs) Cyber Security Capabilities (this document must be purchased). DOE Cybersecurity Capability Maturity Model (C2M2).



IIJA section 40126 should document any deviation from open standards, as well as the utilization of proprietary standards where the awardee determines that such deviation is necessary.

Please note:

- Cybersecurity plans should be commensurate to the threats and vulnerabilities associated with the proposed efforts and demonstrate the cybersecurity maturity of the project.
- Cybersecurity plans may cover a range of topics relevant to the proposed project—e.g., software development lifecycle, third-party risks, and incident reporting.
- At a minimum, cybersecurity plans should address questions noted in IIJA section 40126 (b), Contents of Cybersecurity Plan.<sup>14</sup>

Supplementary guidance on the cybersecurity plan requirement is available at <https://www.energy.gov/ceser/bipartisan-infrastructure-law-implementation>.

#### 4. Government Rights in Data

For U.S. government rights in application information, please refer to the Use and Disclosure of Application Information section in this Part 1 of the NOFO. The U.S. government rights to data produced under the award or used in the performance of the award varies according to following classifications.

**Limited Rights Data:** Limited Rights Data is data (other than computer software) developed at private expense that embody trade secrets or are commercial or financial and confidential or privileged. For limited rights data used in the performance of the award, the U.S. government may inspect such data for the purposes of verifying the limited rights data and restricted rights assertion or for evaluating work performance, but will not normally require delivery of such data. For awards requiring delivery of Limited Rights Data and to ensure the protection of such data, the Limited Rights Data must be properly marked as set forth in the award's intellectual property terms and conditions.

**Unlimited Rights:** Unlimited Rights Data is data first produced under the award or unmarked data delivered to the U.S. government as part of the award. Unlimited rights mean the right of the U.S. government to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose whatsoever, and to have or permit others to do so.

**Patentable Information:** In addition to any other protection allowed under the award, invention disclosures and other patentable information may be protectable from public disclosure for a reasonable time to allow for filing a patent application.

#### 5. 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;

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<sup>14</sup> 42 U.S.C. § 18725



- Timesheets or personnel hours report;
- If applicable, proof of compliance with the Davis-Bacon Act and electronic submittals of certified payroll reports;
- 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.

## 6. Cost Share Payment (Billing Period)

DOE requires Recipients to contribute the cost share amount incrementally over the life of the award. Specifically, the 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).

DOE reserves the right to use **milestone-based payments** as the method of reimbursement. The award Statement of Project Objectives would be negotiated to include milestone due dates and an estimated total cost (federal share and cost share at the negotiated ratio) per milestone. Payment to the Recipient would be dependent on the successful completion of the milestone and DOE's verification and acceptance thereof.

## 7. Intellectual Property and Data Security for Critical and Emerging Technology Areas

DOE has determined that awards under this NOFO are in critical and emerging technology areas with implications for United States national and economic security. DOE's risk assessment for projects under this NOFO will include criteria such as the risk of misappropriation of subject inventions and copyright (collectively, "Intellectual Property") and non-public data ("Data") generated under the award. Accordingly, consistent with section 4(g) of National Security Presidential Memorandum 33 and 2 CFR § 200.206(b), DOE reserves the right to require recipients to implement restrictions on providing access to Data and licensing, assigning or otherwise transferring Intellectual Property generated under an award to entities with foreign ownership, control, or influence by a government or entity located in a Country of Risk (as defined in section 18912 of title 42 and currently Iran, North Korea, Russia, China, and Belarus), without preapproval in writing from the DOE. Any access or transfer of rights in violation of this requirement will be immediately null and void, represents non-compliance under the award, and will require that steps be taken to secure and prevent further dissemination of award Intellectual Property and Data.

## 8. Technology Protection Plan

If selected for award, the Recipient must submit a Technology Protection Plan within 60 days of award setting out the Recipient's policies and procedures for identifying, accessing, handling, controlling, and releasing the following under this Award: (1) Recipient's proprietary information, including non-public technical information, trade secrets and other confidential



business information, including but not limited to information, know-how, methods or processes that give the Recipient a competitive advantage in the marketplace; (2) information that is subject to U.S. export control laws or regulations; (3) information that has been designated as classified or controlled unclassified information (CUI) by DOE; (4) any other information designated by DOE as sensitive throughout the period of performance. During the life of the award, the Recipient must meet the stated objectives set forth in its Technology Protection Plan. The Recipient must notify the Department of any revisions to the Technology Protection Plan or the proposed security approach. A report on the Recipient's progress toward meeting the objectives and milestones set forth in the Technology Protection Plan must be included in any continuation application. The Technology Protection Plan and any revisions to the plan and all related deliverables must be emailed securely to the point of contact designated by DOE.

Any DOE and/or National Laboratory review comments or feedback provided to the Recipient does not constitute an endorsement or approval of any specific elements within the Technology Protection Plan or the proposed security approach. Therefore, such feedback should not be referenced or used in marketing or promotional materials.

## **9. Material Supply Plan**

If selected for award negotiations, the Recipient must submit a Material Supply Plan to DOE prior to award. The Material Supply Plan must set out the Recipient's strategy and approach for materials and equipment supply, including a new supply chain for suppliers in North America, Europe, and countries with which the United States has a free trade agreement, in form and substance satisfactory to DOE. During the life of the award, the Recipient must meet the stated objectives set forth in its Material Supply Plan. The Recipient must notify the Department of any revisions to the Material Supply Plan. A report on the Recipient's progress towards meeting the objectives and milestones set forth in the Material Supply Plan must be included in any continuation application. The Material Supply Plan and any revisions to the plan and all related deliverables must be emailed securely to the point of contact designated by DOE.

## **10. Threat Briefing**

If selected for award, the Recipient will be required to participate in a threat briefing to discuss, at an unclassified level, the current threat environment related to economic espionage, intellectual property theft, insider threats, and other relevant topics.

## **11. Security Officer**

If selected for award, within 30 calendar days following the award date, the Recipient shall nominate in writing to DOE an employee of the Recipient as a Security Officer who will be responsible for ensuring the Recipient's compliance the terms and conditions related to research, technology and economic security (RTES). The appointment of the Security Officer shall be subject to prior written approval by DOE. If DOE does not object within 20 calendar days following receipt of a proposed nomination and of the information pursuant to paragraph D, to ensure that the nominee can effectively perform the functions of the position, the lack of action shall constitute a non-objection. If DOE objects to a nominated Security Officer, the Recipient shall nominate an alternate nominee within 10 calendar days of its receipt of any such objection, subject to the same approval and objection procedures as the initial nomination. The Recipient



shall appoint the nominated Security Officer within three days following approval or non-objection by DOE.

The Security Officer shall be a U.S. Citizen with the appropriate senior-level authority and necessary skills and resources across the Recipient's corporate structure to fulfill the responsibilities of his or her position and to ensure compliance with the RTES requirements of this Award. The Recipient shall provide DOE with a written nomination for each Security Officer. The Recipient shall provide a curriculum vitae or similar professional synopsis of each nominee.

## 12. Access Restrictions

If selected for award, the following applies:

### A. Definitions

- a. Recipient means any party performing work under this award or receiving access to any Data or Intellectual Property developed under this award regardless of funding or the establishment of a formal agreement.
- b. Data, as used in this clause, means the definition of Data from the Rights in Data section of the prime award.
- c. Non-Public Data means Data that has not been publicly distributed to others without restriction on further dissemination. Specifically excluded from this definition is data shared at a conference, public talk or other public forum if the data shared is shared without restriction on further dissemination.
- d. Intellectual Property means any and all subject inventions, copyrights, and trademarks developed by a Recipient.

B. Access and Transfer Prohibition. Recipient agrees not to provide access to any Non-Public Data or to license, assign or otherwise transfer any rights in Intellectual Property generated under this award, at any tier, to entities with foreign ownership or control by a government or entity subject to the jurisdiction of a Country of Risk (as defined in section 18912 of title 42, currently Iran, North Korea, Russia, China, and Belarus and subject to change by DOE), without the DOE Contracting Officer's prior written approval. Any failure to comply with this provision will be a breach of this award and subject to available remedies for noncompliance.

- a. Immediate Access Termination. Any access or transfer of rights in violation of this term shall be immediately null and void. In the event of any rights holder's bankruptcy, insolvency, or other material financial distress that, in the sole judgment of DOE, creates an unmanageable risk of unauthorized transfer or disclosure of Intellectual Property and/or Non-Public Data to a country of risk, all rights granted or access provided shall terminate immediately, and the Recipient



shall take all necessary steps to secure and prevent further dissemination of such Intellectual Property and/or Non-Public Data.

- b. The Recipient shall ensure that this term applies equally to all subrecipients, contractors, and any other entities performing work under this Agreement, and any successors, assigns, and affiliates, at any tier.
- c. The Recipient shall provide on an annual basis, or upon request of the DOE Contracting Officer (CO), with a certificate of compliance with this term to the CO or designee.

### 13. Offtake Partner Plan

If selected for award, the Recipient must submit an Offtake Partner Plan to DOE within 180 days of award. The Offtake Partner Plan will be incorporated into the Award.

The Offtake Partner Plan must include the following:

- A. The proposed offtake partners, the intended use of the offtake, and a proposed level of commitment from the Recipient and the offtake partner(s) for domestic offtake use;
- B. Recipient's strategy and approach for material offtake;
- C. Recipient's strategy to give preference to non-FEOC (foreign entity of concern) offtake partners;
- D. How the Recipient will incorporate U.S. economic and national security considerations in its strategy and approach for material offtake;
- E. Milestones to measure progress and success of the Offtake Partner Plan.

The Recipient must meet the stated objectives and milestones set forth in its Offtake Partner Plan. DOE will evaluate the Recipient's progress during the award period of performance, including as part of the Go/No-Go review process. A report on the Recipient's progress towards meeting the objectives and milestones set forth in the Offtake Partner Plan must be included in any continuation application.

The Recipient must provide DOE advance written notice of proposed changes to its offtake partners.

The Offtake Partner Plan and any revisions to the plan and all related deliverables must be emailed securely to the point of contact designated by DOE.

## B. Helpful Websites

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[Office of Critical Minerals and Energy Innovation | Department of Energy](#)

## C. Questions and Support

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### 1. Questions

Upon the issuance of a NOFO, DOE personnel are prohibited from communicating (in writing or otherwise) with Applicants regarding the NOFO except through the established



question and answer process described below. Questions regarding this NOFO must be submitted to [DE-FOA-0003585@netl.doe.gov](mailto:DE-FOA-0003585@netl.doe.gov) no later than three (3) business days prior to the application due date and time. Please note, feedback on individual concepts will not be provided through Q&A.

All questions and answers related to this NOFO will be posted on the eXCHANGE site listed in the [Key Facts](#) section above. **You must first select the NOFO Number to view the questions and answers specific to this NOFO.** DOE will attempt to respond to a question within three (3) business days unless a similar question and answer has already been posted on the website.

Questions related to the registration process and use of the eXCHANGE site listed in the [Key Facts](#) should be submitted to [InfrastructureExchangeSupport@hq.doe.gov](mailto:InfrastructureExchangeSupport@hq.doe.gov).

## 2. Support

### *Grants.gov*

Grants.gov provides 24/7 support. You can call 1-800-518-4726 or email [support@grants.gov](mailto:support@grants.gov). Hold on to your ticket number.

### *SAM.gov*

If you need help, you can call 866-606-8220 or live chat with the [Federal Service Desk](#).



## IX. Other Information

Please see the [NOFO Part 2, Other Information](#) for additional information and requirements that apply to all DOE NOFOs.