

# WELCOME

**This webinar is being recorded and will be published on the DOE Funding Opportunity Exchange website.**

You will not be able to connect to DOE personnel or other participants via voice or video conferencing in today's webinar.

All prospective Applicants that have general NOFO questions, or questions during this webinar, are directed to send them to the Question-and-Answer email address found here (and later in the webinar): [DE-FOA-0003585@netl.doe.gov](mailto:DE-FOA-0003585@netl.doe.gov)

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.

This presentation is being recorded and may be posted on DOE's website or used internally.



U.S. DEPARTMENT  
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Office of Critical Minerals  
and Energy Innovation

# Infrastructure Investment and Jobs Act (IIJA) Section 40207 Battery Materials Processing & Battery Manufacturing and Recycling Grant Programs

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Manufacturing Deployment Office (MDO)

DE-FOA-0003585 Notice of Funding Opportunity Webinar

March 26, 2026

# Notice

- NO NEW INFORMATION OTHER THAN THAT PROVIDED IN THE NOFO DOCUMENTS WILL BE DISCUSSED IN THE WEBINAR.
- There are no particular advantages or disadvantages to the application evaluation process with respect to participating on the webinar today.
- Your participation is completely voluntary.
- All applicants are strongly encouraged to carefully read the Notice of Funding Opportunity DE-FOA-0003585 (“NOFO”) and adhere to the stated submission requirements.
- This presentation summarizes the contents of the NOFO. If there are any inconsistencies between the NOFO and this presentation or statements from DOE personnel, the NOFO is the controlling document, and applicants should rely on the NOFO language.



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# Presenter

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**Mallory Clites, PhD**

Technology Manager | Manufacturing Deployment Office (MDO)  
Office of Critical Minerals and Energy Innovation (CMEI)



# Agenda

- Opening Remarks
- Funding Opportunity Details
  - Background
  - Milestones
  - Overview
- Submission Details
  - DOE Funding Opportunity Exchange
- Letters of Intent
- Full Applications
- Technical Merit Review
- Questions and Answers

# Funding Opportunity Details

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# Funding Opportunity Background

## Provide domestic facility investments toward battery materials processing, manufacturing and recycling:

- The activities to be funded under this NOFO are funded through IIJA 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.

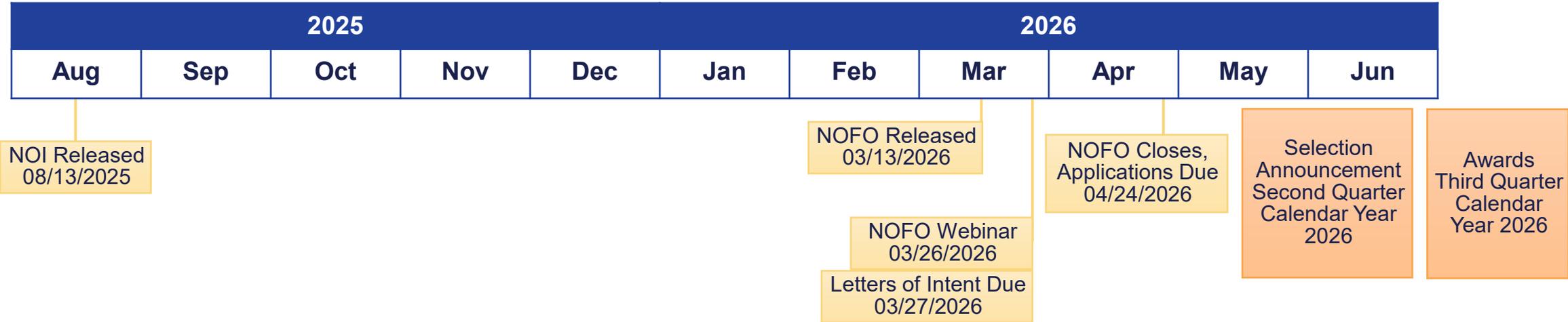
## Funding:

- Approximately \$500,000,000 in Cooperative Agreements

## Intended Recipients of Funding:

- **Domestic Entities:** 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.
- 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.
- Requires 50% Cost Share

# Funding Opportunity Milestones



NOFO Issue Date:	03/13/2026
Submission Deadline for Letters of Intent:	03/27/2026 at 5:00 PM ET
Submission Deadline for Full Applications:	04/24/2026 at 5:00 PM ET
Expected Date for DOE Selection Notifications:	Second Quarter Calendar Year 2026
Expected Timeframe for Award Negotiations:	Third Quarter Calendar Year 2026

# Funding Opportunity Overview

- 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-scale and demonstration facilities for battery-grade critical materials, battery components, and recycling.
- 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.

# Funding Opportunity Overview

## Area of Interest 1

**Domestic Critical Materials Processing  
from Raw Feedstocks**

**Anticipated Award Size (Federal Share):**  
\$50,000,000 - \$100,000,000

**Anticipated Number of Awards: 2 - 4**

## Area of Interest 2

**Domestic Critical Materials Recycling**

**Anticipated Award Size (Federal Share):**  
\$50,000,000 - \$100,000,000

**Anticipated Number of Awards: 1 - 2**

## Area of Interest 3

**Domestic Battery Materials and  
Component Manufacturing**

**Anticipated Award Size (Federal Share):**  
\$50,000,000 - \$100,000,000

**Anticipated Number of Awards: 1 - 4**

**Funding Opportunity Available at: [DOE Funding Opportunity Exchange](#)  
Letters of Intent Due: March 27, 2026, at 5:00 PM ET  
Full Applications Due: April 24, 2026, at 5:00 PM ET**

### **The program will also aim to:**

- 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.

# Partnering

## NOFO Part 1 Section I.C.

- DOE is compiling a “Teaming Partner List” to facilitate the formation of project teams for this NOFO.
- The list allows organizations that may wish to participate on an application to express their interest to other applicants and to explore potential partnerships.
- The Teaming Partner List will be available on DOE Funding Opportunity Exchange and will be regularly updated to reflect new teaming partners who provide their organization’s information.
- Information to be submitted: Investigator Name, Organization Name, Organization Type, AOI, Background and Capabilities, Website, Contact Address, Contact Email, and Contact Phone.

# Statement of Substantial Involvement

## NOFO Part 1 Section III.H.

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:

- DOE shares responsibility with the recipient for the management, control, direction, and performance of the project.
- 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.
- 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).
- DOE participates in major project decision-making processes.

# Cost Sharing Requirements

## NOFO Part 1 Section II.C.1. & NOFO Part 2 Section II.A.

- Applicants are expected to follow through on estimated cost share commitments proposed in their applications if selected for award negotiations.
- The cost share must be at least 50% of the total project costs for demonstration projects or commercial projects.
- Cost share must come from non-federal sources (unless otherwise allowed by law), such as project participants, state or local governments, or other third-party financing.
- Federal financing, such as DOE Loans, cannot be leveraged by applicants to provide the required cost share or to otherwise support the same scope that is proposed in response to this NOFO.
- Applicants are encouraged to refer to 2 CFR 200.306 and 2 CFR 910.130 for additional cost sharing requirements.

# Expected Performance Goals

## NOFO Part 1 Section III.D.

	Application	Phase 1: Initial Planning	Phase 2: Permitting and Preparation	Phase 3: Construction and Installation	Phase 4: Commissioning, Qualification, and Validation
☆ Initial Application ◇ Go/No-Go Decisions		☆			
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 finalize 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.

# Expected Performance Goals (cont.)

## NOFO Part 1 Section III.D.

Awards selected under this NOFO will adhere to a four-phased structure for managing scope, schedule, deliverables, and budget.

- **Phase 1 – Initial Planning and Phase 2 – Permitting and Preparation (Budget Period 1)**
  - Phase 1 – Initial Planning
  - Phase 2 – Permitting and Preparation
- **Phase 3 – Construction and Installation (Budget Period 2)**
- **Phase 4 – Commissioning, Qualification and Demonstration (Budget Period 3)**
- **Transition Between Phases**

# Submission Details

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# Means of Submission

- Letters of Intent and Full Applications **must** be submitted through DOE Funding Opportunity Exchange at <https://infrastructure-exchange.energy.gov/>.
  - MDO **will not** review or consider applications submitted through other means.
- The User Guide for Applying to the DOE MDO Funding Opportunities can be found at [Infrastructure eXCHANGE: Manuals \(energy.gov\)](#)

# Registration Requirements

To apply to this NOFO, Applicants must submit application materials through DOE Funding Opportunity Exchange:

- Applicants must have a Login.gov account to access DOE Funding Opportunity Exchange. Please ensure that the email address associated with Login.gov matches the email address associated with your Exchange account.
- Obtain a “control number” at least 24 hours before the first submission deadline.

Although not required to submit an application, the following registrations must be complete to receive an award under this NOFO:

Registration Requirement	Website
SAM	<a href="https://www.sam.gov">https://www.sam.gov</a>
FedConnect	<a href="https://www.fedconnect.net">https://www.fedconnect.net</a>
Grants.gov	<a href="http://www.grants.gov/register">http://www.grants.gov/register</a>

# DOE Funding Opportunity Exchange - Under Secretary for Energy

**Funding Opportunities**

Teaming Partner List

Funding Archive

Questions and Answers

Submissions

Conflicts of Interest

Merit Review

Reports

My Account

## Notice of Temporary Restraining Order

As required by court order, the Department of Energy is providing this Notice and Order to all employees, contractors and grant

## FUNDING OPPORTUNITIES

Create New Announcement

Jump to an Announcement:

Announcement Number	Announcement Title	Announcement Type
<input type="text"/>	<input type="text"/>	<input type="text"/>
<a href="#">TPL-0000012</a>	<a href="#">Teaming Partner List for DE-FOA-0003585 IJJA Section 40207 Battery Materials Processing &amp; Battery Manufacturing and Recycling Grant Programs</a>	Teaming Partner List
<a href="#">DE-FOA-0003585</a>	<a href="#">Infrastructure Investment and Jobs Act (IJJA) Section 40207 Battery Materials Processing &amp; Battery Manufacturing and Recycling Grant Programs</a>	Notice Of Funding Opportunity (NOFO)

(<http://infrastructure-exchange.energy.gov/>)

# DOE Funding Opportunity Exchange

## DE-FOA-0003585: INFRASTRUCTURE INVESTMENT AND JOBS ACT (IIJA) SECTION 40207 BATTERY MATERIALS PROCESSING & BATTERY MANUFACTURING AND RECYCLING GRANT PROGRAMS

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: Infrastructure Investment and Jobs Act (IIJA) Section 40207 Battery Materials Processing & Battery Manufacturing and Recycling Grant Programs.

[Apply](#)

[Click for Control Number](#)

The activities to be funded under this NOFO are funded through IIJA 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.

For further information, please see [NOFO Part 1](#) and [Part 2](#) documents in the [Announcement Documents](#) section below.

**Attention:** The Exchange system is currently designed to enforce hard deadlines for Letter of Intent and Full Application submissions. The APPLY and SUBMIT buttons automatically disable at the defined submission deadlines. The intention of this design is to consistently enforce a standard deadline for all applicants.

**Applicants that experience issues with submissions PRIOR to the NOFO Deadline:** In the event that an Applicant experiences technical difficulties with a submission, the Applicant should contact the Exchange helpdesk for assistance ([InfrastructureExchangeSupport@hq.doe.gov](mailto:InfrastructureExchangeSupport@hq.doe.gov)).

### DOCUMENTS

- [DE-FOA-0003585 NOFO Part 1](#) (Last Updated: 3/13/2026 10:27 AM ET)
- [DE-FOA-0003585 NOFO Part 2](#) (Last Updated: 3/13/2026 10:42 AM ET)

# Key Submission Points

- Check entries in DOE Funding Opportunity Exchange.
  - Submissions could be deemed ineligible due to an incorrect entry.
- MDO strongly encourages Applicants to submit 1-2 days prior to the deadline to allow for full upload of application documents and to avoid any potential technical glitches with DOE Funding Opportunity Exchange.
- Make sure you hit the submit button.
  - Any changes made after you hit submit will un-submit your application and you will need to hit the submit button again.
- For your records, print the DOE Funding Opportunity Exchange page at each step, which contains the application's Control Number.

# Applicant Points-of-Contact

- Applicants must designate primary and backup points-of-contact in DOE Funding Opportunity Exchange with whom MDO will communicate to conduct award negotiations.
- It is imperative that the Applicant/Selectee be responsive during award negotiations and meet negotiation deadlines.
  - Failure to do so may result in cancellation of further award negotiations and rescission of the Selection.

# Letters of Intent

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# Letters of Intent

## NOFO Part 1 Section IV.C.

- 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.

# Letters of Intent – Content

## NOFO Part 1 Section IV.C.

- The Letter of Intent is a web form in DOE Funding Opportunity Exchange; it is not a letter that needs to be attached and uploaded.
- To begin the Letter of Intent, click on either the Announcement Number or Title of the applicable funding opportunity in Exchange. Then, click the ‘Apply’ button to create the Letter 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.
<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.

# Full Applications

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# Full Application Eligibility Requirements

- Applicants must submit a Full Application by Friday, 04/24/2026 5:00 pm ET.
- Full Applications are eligible for review if:
  - The Applicant is an eligible entity pursuant to NOFO Part 1 Section II.A;
  - The Full Application is compliant pursuant to NOFO Part 1 Section VI.C.1;
  - The Full Application is responsive to the NOFO Part 1 Section VI.B; and
  - The Full Application meets any other eligibility requirements listed in NOFO Part 1 Section II.

# Full Application Process

## NOFO Part 2 Section IV.A.

The application process includes multiple submission phases: a letter of intent and a full application.

The letter of intent is **non-binding** and **not mandatory**.

If a letter is not submitted then, pending confirmed eligibility, an application will still be accepted for review.

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

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

# Full Application Process - Exchange

## NOFO Part 2 Section IV.A.

- Exchange is designed to enforce the deadlines specified in this NOFO. The “Apply” and “Submit” buttons will automatically disable at the defined submission deadlines.
- Applicants who experience technical difficulties with submission PRIOR to the NOFO deadline should contact the Exchange helpdesk for assistance ([InfrastructureExchangeSupport@hq.doe.gov](mailto:InfrastructureExchangeSupport@hq.doe.gov)). The Exchange helpdesk and/or the Exchange system administrators will assist applicants in resolving issues.
- Please reference the Exchange Applicant User Guide for further instructions:
  - [Infrastructure eXCHANGE: Manuals \(energy.gov\)](https://energy.gov)

**Under normal conditions (i.e., at least 48 hours BEFORE the submission deadline):  
Applicants should ALLOW AT LEAST ONE HOUR to complete the DOE Funding  
Opportunity Exchange submission process for a Full Application.**

# Full Application Process - Exchange

## NOFO Part 2 Section IV.A.

To access application forms and instructions available on Exchange, go to <https://infrastructure-exchange.energy.gov> and select the appropriate funding opportunity number on the Funding Opportunity page.

**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 50MB.**

# Full Application Process - Exchange

- You will **not** be able to start the Full Application submission until the Letter of Intent deadline has passed, even when the Letter of Intent is optional.
- Applicants can do the following to initiate the Full Application phase of the submission process in Exchange:
  - **If an optional Letter of Intent was submitted:**
    - ✓ Login to DOE Funding Opportunity Exchange
    - ✓ Open the “My Submissions” page
    - ✓ Locate the Letter of Intent record
    - ✓ Click “Start Full Application”
  - **If an optional Letter of Intent was not submitted:**
    - ✓ Login to DOE Funding Opportunity Exchange
    - ✓ Locate DE-FOA-0003585 on the “Funding Opportunity” page
    - ✓ Click “Apply”

# Full Application Content Requirement

## NOFO Part 1 Section IV.D.2.

- Each Application **MUST** be limited to a single concept.
- Applications **MUST** conform to the following requirements and **MUST** not exceed the stated page limits.
- The maximum file size that can be uploaded to the DOE Funding Opportunity Exchange website is **50MB**. See NOFO Part 2 Section IV.A.

#	Component	File Format	Page Limit	File Name
1	Application for Federal Assistance (SF-424)	PDF	n/a	ControlNumber_LeadOrganization_424
2	Technical Volume	PDF	30 pages	ControlNumber_LeadOrganization_TechnicalVolume
3	Letters of Commitment	PDF	1 page each	ControlNumber_LeadOrganization_LOCs
4	Impacted Indian Tribes Documentation	PDF	n/a	ControlNumber_LeadOrganization_ImpactedTribes
5	Statement of Project Objectives	MS Word	8 pages	ControlNumber_LeadOrganization_SOPO
6	Budget Justification Workbook	MS Excel	n/a	ControlNumber_LeadOrganization_Budget_Justification
7	Subrecipient Budget Justification	MS Excel	n/a	ControlNumber_LeadOrganization_Subrecipient_Budget_Justification
8	Work Proposal for FFRDC, (see DOE O 412.1A)	PDF	n/a	ControlNumber_LeadOrganization_WP
9	Authorization for Non-DOE or DOE FFRDCs	PDF	n/a	ControlNumber_LeadOrganization_FFRDCAuth
10	Waiver for Foreign Entity Participation	PDF	n/a	ControlNumber_LeadOrganization_FEW
11	Performance of Work in the United States (Foreign Work Waiver)	PDF	n/a	ControlNumber_LeadOrganization_FWW
12	Resumes	PDF	3 pages each	ControlNumber_LeadOrganization_Resumes

# Full Application Content Requirement (cont.)

## NOFO Part 1 Section IV.D.2.

- Each Application **MUST** be limited to a single concept.
- Applications **MUST** conform to the following requirements and **MUST** not exceed the stated page limits.
- The maximum file size that can be uploaded to the DOE Funding Opportunity Exchange website is **50MB**. See NOFO Part 2 Section IV.A.

#	Component	File Format	Page Limit	File Name
13	Current and Pending Support (for each covered individual)	PDF	n/a	ControlNumber_LeadOrganization_CPS
14	Transparency of Foreign Connections	PDF	n/a	BusinessSensitive_ControlNumber_LeadOrganization_TFC
15	Potentially Duplicative Funding Notice	PDF	n/a	ControlNumber_LeadOrganization_PDFN
16	Environmental Questionnaire	PDF	n/a	ControlNumber_LeadOrganization_EQ
17	Disclosure of Lobbying Activities, if applicable (SF-LLL)	PDF	n/a	ControlNumber_LeadOrganization_SF-LLL
18	Certification Regarding Lobbying (OMB 4040-0013)	PDF	n/a	ControlNumber_LeadOrganization_Cert Lobbying
19	Summary for Public Release	PDF	1 page	ControlNumber_LeadOrganization_Summary
20	Summary Slide	MS Power Point	n/a	ControlNumber_LeadOrganization_Slide
21	40207 Application Data Sheet and Workbook	MS Excel	n/a	ControlNumber_LeadOrganization_Workbook
22	Gantt Chart	PDF	n/a	ControlNumber_LeadOrganization_Gantt
23	Financial Model	MS Excel	n/a	ControlNumber_LeadOrganization_Financial Model
24	Financing Documentation	PDF	n/a	ControlNumber_LeadOrganization_Financing Documentation

# Technical Volume

NOFO Part 1 Section IV.D.4.

**Technical Volume:** The key technical component of the Full Application

## Content of Technical Volume – 30 pages

Cover Page

Project Overview  
(Approximately **10%** of the Technical Volume)

Technical Description, Innovation, and Merit  
(Approximately **25%** of the Technical Volume)

Supply Chain Impact and Viability  
(Approximately **15%** of the Technical Volume)

Commercial Plan and Financial Plan  
(Approximately **20%** of the Technical Volume)

Workplan, Management Plan, and Partners  
(Approximately **15%** of the Technical Volume)

Technical Qualifications and Resources  
(Approximately **10%** of the Technical Volume)

Risk Analysis and Mitigation  
(Approximately **5%** of the Technical Volume)

# Transparency of Foreign Connections

## NOFO Part 2 Section IV.B.12.

- Applicants must provide a Transparency of Foreign Connections disclosure and certification as it relates to the proposed recipient and subrecipient(s). Include a separate disclosure for the Applicant and each proposed subrecipient.
- **Disclosure Format:** For the convenience of the entity providing the disclosure and certification a template is available at [Transparency of Foreign Connections | Department of Energy](#), however, the entity is not required to use this specific format.
  - If another format is used, the signatory must include the same substantive information, a signature, date, and the certification statement provided at [Transparency of Foreign Connections | Department of Energy](#).

# Transparency of Foreign Connections (cont.)

## NOFO Part 2 Section IV.B.12.

- Disclosure exceptions by entity type:
  - U.S. National Laboratories and domestic government entities are not required to respond to the Transparency of Foreign Connections disclosure.
  - Institutions of higher education are only required to respond to items with an asterisk symbol (\*).
  - The applicability of disclosure requirements is determined by the entity type. Regardless of whether the Applicant is exempt, the subrecipient(s) must provide these disclosures unless the subrecipient is also exempt.
- Applicants, regardless of entity type, must provide complete responses for project team members that are not U.S. National Laboratories, domestic government entities, or institutions of higher education.

Questions: Contact [rtesinfo@hq.doe.gov](mailto:rtesinfo@hq.doe.gov)

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

# Merit Review

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# Standards for Application Evaluation

## NOFO Part 1 Section VI.A.

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>

See NOFO Part 1 Section VI.D. for Other Selection Factors and NOFO Part 2 Section VI.A. for Standard Evaluation and Selection Processes.

# Standard Evaluation and Selection Process (Applications)

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

# Merit Review Criteria

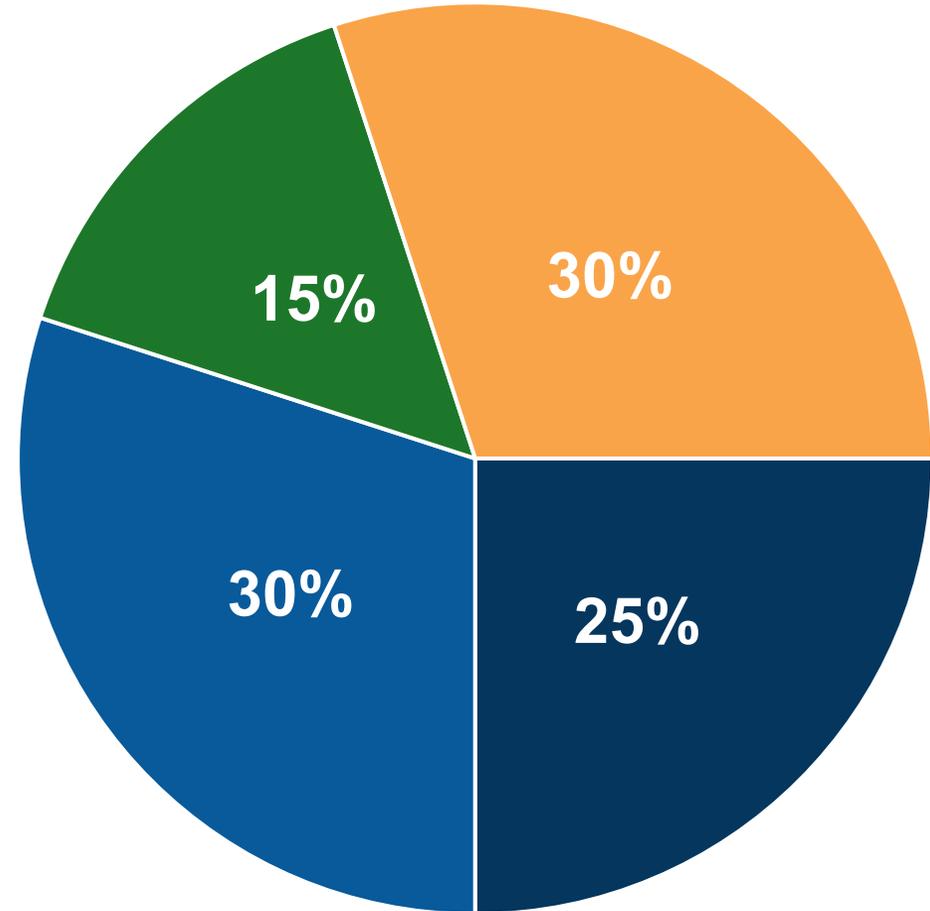
NOFO Part 1 Section VI.C.2.

**Criterion 1: Technical Merit and Innovation (30%)**

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

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

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



# Program Policy Factors

## NOFO Part 1 Section VI.D.

**The Selection Official may consider the following program policy factors in determining which Full Applications to select for award negotiations:**

- The degree to which the proposed project exhibits technological diversity when compared to the existing DOE project portfolio and other projects selected from the subject 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.

# Program Policy Factors (cont.)

## NOFO Part 1 Section VI.D.

- 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.

# Program Policy Factors (cont.)

## NOFO Part 1 Section VI.D.

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.”

# Program Policy Factors (cont.)

## NOFO Part 1 Section VI.D.

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(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.”

# Applications Specifically Not of Interest

## NOFO Part 1 Section III.G.

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

- Applications that fall outside the technical parameters specified in Background and Context and the Topic Areas sections in NOFO Part 1.
- 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 Specifically Not of Interest (cont.)

## NOFO Part 1 Section III.G.

- 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, to provide the required cost share or otherwise support the same scope that is proposed in response to this NOFO.

# Questions

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

Office of Critical Minerals  
and Energy Innovation

# Questions

Questions about this NOFO? Email [DE-FOA-0003585@netl.doe.gov](mailto:DE-FOA-0003585@netl.doe.gov)

- All Q&As related to this NOFO will be posted on DOE Funding Opportunity Exchange.
- You must select this specific NOFO Number in order to view the Q&As.
- MDO will attempt to respond to a question within 3 business days, unless a similar Q&A has already been posted on the website.

Problems logging into DOE Funding Opportunity Exchange or uploading and submitting application documents with DOE Funding Opportunity Exchange?

- Email [InfrastructureExchangeSupport@hq.doe.gov](mailto:InfrastructureExchangeSupport@hq.doe.gov) (include NOFO name and number in subject line)

# Questions and Answers

## Is a letter of intent submission required in order to submit an application?

- Applicants are encouraged, but not required, 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.

## Will DOE be providing a list of critical minerals eligible under this program? For example, which rare earths are eligible? Or are other critical minerals such as tungsten eligible?

- This NOFO supports the IIJA 40207 (b) Battery Materials Processing and (c) Battery Manufacturing & Recycling grant programs, 42 USC 18741.

As such, applications must support processing, manufacturing, or recycling that directly impact advanced battery manufacturing and supply chains. DOE will not be providing an exhaustive list of eligible critical minerals for this NOFO and encourages applicants to review the scope and focus of their potential project against Section II. Eligibility of this NOFO, and to review the definitions and program purpose found within 42 USC 18741.

Submit NOFO Questions to: [DE-FOA-0003585@netl.doe.gov](mailto:DE-FOA-0003585@netl.doe.gov)  
Full Q&A Available at: <https://infrastructure-exchange.energy.gov>

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