A logo of a company

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**UNITED STATES ADVANCED BATTERY CONSORTIUM LLC**

[*https://uscar.org/usabc/*](https://uscar.org/usabc/)

**REQUEST FOR PROPOSAL INFORMATION (RFPI)**

**DEVELOPMENT OF ADVANCED HIGH ENERGY**

**BATTERIES FOR ELECTRIC VEHICLE (EV) APPLICATIONS**

# REQUEST FOR PROPOSAL INFORMATION (RFPI)

Interested parties should submit their proposal package using the link provided under the ***Active RFPIs*** section of the United States Advanced Battery Consortium LLC (USABC) website: <https://uscar.org/usabc>/.

* Every proposal package submitted must include: the RFPI Proposal, Financial Documents, Additional Required Proposal Documents, and the signed RFPI Agreement, which must be executed without any modifications.
* No proposal shall be evaluated by the consortium without the proper execution of the RFPI Agreement.

The proposal should address the technical program information outlined in section 3 below as thoroughly as possible, within a maximum count of 25 pages. Additional required documentation as outlined in section 4 does not count towards the 25 pages limit for the technical content of the RFPI and may be submitted as separate documents. All technical and financial material submitted to the USABC must be in the English language.

USABC does not expect to award contracts on the sole basis of responses to this RFPI. All responses will be considered by representatives of the members and other participants and will be ranked in order of merit. The applicant(s) with the most promising proposals (Phase 1) will be contacted by USABC to submit additional documentation (Phase 2). Phase 2 documentation will be reviewed and submitted to DOE for risk review which may lead to final selection and contractual agreements with USABC. USABC intends to award one or more development contracts; however, nothing herein should be interpreted as a commitment to award a contract.

Notwithstanding applicant’s markings to the contrary, all information submitted in response to this USABC RFPI shall be treated on a non-confidential basis.

Funding for this RFPI is made available through a cooperative agreement with the U.S. Department of Energy (DOE), award number DE-EE0011268. All the terms and conditions of the cooperative agreement with the DOE that apply to USABC also apply to any contract awarded under this RFPI. This includes any subrecipient monitoring activity necessary for USABC to fulfill its prime recipient responsibilities. A redacted copy of the award terms and conditions may be obtained under the***Tools & Resources***section of the USABC website.

Unless exempt from this requirement under 2 CFR 25.110, each proposal must contain the applicant’s Unique Entity Identifier (UEI) or, acknowledgement the registration[[1]](#footnote-2) process for a UEI was started. The UEI is a 12-character alphanumeric ID assigned by the System for Award Management (SAM) to uniquely identify an entity.

1. Due to the high demand of UEI requests and SAM registrations, entity legal business name and address validations are taking longer than expected to process. Entities should start the UEI registration process through SAM.gov as soon as possible

**TABLE OF CONTENTS**

[REQUEST FOR PROPOSAL INFORMATION (RFPI) 2](#_Toc204686269)

[1. USABC Business Objectives 4](#_Toc204686270)

[2. RFPI Technical Objectives 5](#_Toc204686271)

[3. Requested Technical Information 6](#_Toc204686272)

[3.1. Company Background 6](#_Toc204686273)

[3.2. Technology Program Introduction 6](#_Toc204686274)

[3.3. Program Description 7](#_Toc204686275)

[3.4. Development Timing Plan 7](#_Toc204686276)

[3.5. Program Cost, Budget and Cost Sharing 8](#_Toc204686277)

[3.6. Program Management 9](#_Toc204686278)

[4. Additional RFPI Proposal Documents 9](#_Toc204686279)

[4.1. Financial Documents 10](#_Toc204686280)

[4.2. Current Government Funding Disclosure - Potentially Duplicative Funding Notice Form 10](#_Toc204686281)

[4.3. Cooperative Relationships – Other Collaborating Organizations Form 10](#_Toc204686282)

[4.4. DOE Current and Pending Support Form 10](#_Toc204686283)

[4.5. Transparency of Foreign Connections Form 13](#_Toc204686284)

[5. Post Selection Information 14](#_Toc204686285)

[5.1. Export Control Compliance 14](#_Toc204686286)

[5.2. Prohibition on Certain Telecommunications and Video Surveillance Equipment or Services 14](#_Toc204686287)

[5.3. Government Rights in Subject Inventions 14](#_Toc204686288)

[5.3. Annual Independent Audits (Single Audit or Compliance Audit) 15](#_Toc204686289)

[5.4. List of Project Participants 15](#_Toc204686290)

[5.5. Performance Monitoring (Technical and Compliance) 15](#_Toc204686291)

[5.6. Reporting 16](#_Toc204686292)

[6. RFPI Agreement 18](#_Toc204686293)

[Appendix A. USABC EV Performance Targets 19](#_Toc204686294)

[Appendix B. Attributes of Cell Technology 20](#_Toc204686295)

[Appendix C. Testing Plan 21](#_Toc204686296)

[Appendix D. RFPI Checklist 22](#_Toc204686297)

**USABC DEVELOPMENT OF ADVANCED BATTERIES**

**FOR EV APPLICATIONS**

**REQUEST FOR PROPOSAL INFORMATION (RFPI)**

# USABC Business Objectives

The United States Advanced Battery Consortium (USABC) was formed in 1991 to sponsor development of advanced high-performance batteries for electrified vehicle applications. USABC has carried out numerous battery development programs, focusing on low-cost and long-life batteries for all types of electrified vehicles (EVs). The USABC intends to engage development activity in the areas of advanced battery technologies for both light duty and potential use in medium/heavy duty vehicles, supply chain development of various components in battery cells, and battery recycling.

The goal of this RFPI is to identify developers with compelling battery technologies for EVs, and partner with them through a focused, cost-shared development program. These programs are typically multiple years in duration, with a total budget of several million dollars. The cost share percentage will depend on the technology focus area as described in Section 2. The expected end of program output is testable hardware deliverables, most commonly battery cells, that will be independently tested at a national lab against USABC’s future EV performance targets.

This USABC RFPI represents a unique opportunity for developers to leverage their resources in combination with those of the automotive industry and the federal government. For the auto makers, this type of pre-competitive cooperation minimizes duplication of effort and risk of failure and maximizes the benefits to the public of government funds.

Beyond the efficient and timely usage of resources, the auto makers recognize that successful commercialization of these technologies will only be completed when the supply base has been established for the selected components and subsystems. It is a major business objective of USABC to enhance a domestic supply base as the development progresses. All developers submitting proposals will be required to demonstrate that they have the potential to develop a commercially viable business, which can produce sufficient volumes to meet automotive requirements, and provide engineering and testing support to meet automotive implementation requirements in the US. Research organizations with current direct affiliations with businesses that derive a majority of their income from related product sales will also be considered.

As a pre-competitive research organization, USABC focuses its development efforts on technical readiness levels (TRL) ranging from TRL 4-TRL 7. Therefore, at the time of submittal all developers will be required to have relevant demonstration hardware (e.g. battery cells, materials, equipment) and test results available for USABC inspection to verify technology feasibility. Testing performed in accordance with the USABC battery test procedures is preferred, but not mandatory. USABC test manuals can be found under the ***Manuals & Models*** section of the USABC website. Inspection and test of current technology baseline by the USABC may be included in the selection process. Developers who do not have relevant hardware and test results available for inspection by USABC at the time of submittal need not respond.

# RFPI Technical Objectives

The research and development activities funded under this RFPI are intended to support technological advancements that meet or exceed USABC’s commercialization targets for battery cells used in electric vehicles (EV) with a focus on high energy density, as detailed in Appendix A. This RFPI aims to fund developers with expertise in electrochemical energy storage technology who possess innovative technologies for further development. If a cell developer believes their proposal would be enhanced and more likely to meet the requirements in Appendix A through strategic collaboration with key material, process, or system developers, they are encouraged to submit a team-oriented proposal.

Although project goals may approach but not fully meet all of USABC’s objectives, a credible plan towards achieving all USABC goals must be included. These goals pertain to development efforts that will result in the commercialization of the cells or systems by 2032, as this RFPI in particular is intended to engage with developers studying next generation technologies that could enable a step-wise increase in energy density. The targets for battery cells are not restricted to specific chemistries or formats. Battery cells utilizing liquid, solid-state, or polymer electrolytes that have the potential to meet USABC’s goals will be considered viable candidates. Additionally, battery equipment manufacturers with novel technologies that enable advanced battery performance are encouraged to collaborate with battery cell suppliers to submit proposals.

Through a cooperative agreement with the US Department of Energy, USABC will distribute federal funds to selected developers. The amount of funding passed through will be determined based on the total project cost minus any developer contributed cost share. Detailed guidance on the required developer cost share can be found below in Table 1.

1. Selected developers will be liable for contributing their required cost share as a percentage of total allowable and allocable project costs throughout the life of the project and providing it on an invoice basis. USABC will only reimburse for actual costs incurred minus any required developer cost share.
2. Allowable and allocable project costs (including cost share) as determined in accordance with the applicable cost principles prescribed in FAR Part 31 for For-Profit entities and 2 CFR Part 200 Subpart E – Cost Principles for all other non-federal entities.

Table 1: Developer cost share requirement for each technology

|  |  |
| --- | --- |
| **Technology** | **Developer Cost Share** |
| Graphite/Nickel, Manganese, Cobalt (NMC) | 50% |
| Graphite/Lithium, Iron, Phosphate (LFP) | 50% |
| Enhance Currently Commercialized Technology | 50% |
| Develop Recycling Technology | 50% |
| Supply Chain R&D for Commercialized EV Battery Materials | 50% |
| Cells with Silicon Majority Anodes | 20% |
| Sodium Ion Cells | 20% |
| Cells with Lithium Metal Anodes | 20% |
| Solid State Cell Technology | 20% |

USABC intends to capitalize on the knowledge it has gained through the HEV, PHEV, and EV research and development activities it has previously engaged in. We expect developers to bring past experiences and lessons learned from their prior work to bear on developing energy storage technologies for this application.

# Requested Technical Information

The proposal should address as thoroughly as possible the technical program information required below, within a maximum of 25 pages.

## Company Background

To become fully familiar with your company(s), USABC needs information about your business. If your proposal is for a team, furnish the requested information for each company that makes up your team. Please provide the following information:

1. Company UEI number or acknowledgement you have started the application for UEI number.
2. Company structure, ownership, product lines, and customer base, including domestic and foreign facilities for research, development and production.
3. Prior experience successfully executing R&D programs, especially with USABC or DOE.
4. Please describe the company’s experience (if any) in high volume manufacturing.
5. Describe the resources (headcount, expenses, and facilities) devoted to electrochemical energy storage technology development that are available for this project.
6. Confirm if you currently hold any licenses and/or patents or pending patent applications for advanced electrochemical energy storage technology and manufacturing processes. Please describe if there are any restrictions on licensing this technology to the Consortium.
7. Your company's Business Plan for areas related to electrochemical energy storage technology.

## Technology Program Introduction

The proposed technology should provide a significant improvement over current technologies. These improvements can be in the area of performance or cost but must be demonstrated while maintaining or exceeding current state-of-the art parameters in the other areas.

A thorough technical review of each proposed technology is required prior to the award of any contract for development. In preparing a reply to the RFPI please provide a description for each of the following points.

1. Technical description of the proposed technology.
2. Summary of the present status of the proposed technology, with experimental data and test method used to acquire the data:
   1. Describe the advantage or advancement of your technology or approach, i.e., what distinguishes it from others.
   2. Describe what risks and challenges remain for the proposed technology, and the strategies planned to address current gaps.
3. Explain constraints or limitations that will not meet USABC goals in this project (if any).

The proposals must be accompanied by a development time chart characterizing the following:

1. Length of time the technology has been under development by the developer;
2. Length of time remaining to full scale, vehicle-size prototype hardware availability; and
3. Timeline for commercialization, including any preproduction phases that may be planned.

## Program Description

Explain how the technology would be developed to meet the USABC technical criteria during a development program with USABC including:

1. Clearly state program goals and objectives
2. Complete gap analysis comparing the technology with USABC targets found in the Appendix A and fill out the attributes of cell technology in Appendix B
   1. Compare current performance to the goals provided
   2. Provide performance targets for each deliverable in relation to the goals
3. Program development plan:
   1. High level work breakdown structure including main tasks and any identified subtasks, including deliverables.
   2. Describe barriers to be overcome and work proposed for all key tasks in the plan
   3. Describe contingency plans for critical aspects of the project
4. Provide a cost estimate or model for the technology. Privately developed or publicly available models can be used. If a developer does not have another resource for this evaluation, you may use the USABC provided cost model found under the ***Manuals & Models*** section of the USABC website.

## Development Timing Plan

The proposed technology program should include a timing chart and table of milestones and deliverables. Please be aware that a set of baseline cells, possibly one or more sets of midterm cells, and a final set of cells are normally required for testing in USABC projects, depending on project length. All cells will undergo testing and evaluation based on the performance gap chart outlined in the proposal. The same testing is done in parallel at the national labs and the developer. Accordingly, approximately 25-40 cells will need to be built at each of these points. If developers intend to submit pouch or prismatic cells, the cell capacity must be a minimum of 10Ah. For cylindrical cells, the capacity should be at least 2Ah.

An example timing chart is shown in Figure 1 including tasks and subtasks, testing timeline, as well as a cell build timeline with go/no go decision points. The program deliverables should be delineated in a table as shown in Table 2 to include specific deliverable descriptions, approximate cell capacity, quantity delivered, recipient, and delivery date. Quarterly and annual reports will be required, using a DOE specific format. Awardees will be required to meet with USABC quarterly, including hosting USABC team members at their facility twice a year. The other two quarterly reviews may be held in-person at the USCAR office in Southfield, MI or virtually.

Figure 1: Example of Gantt Chart (for illustrative purpose only)

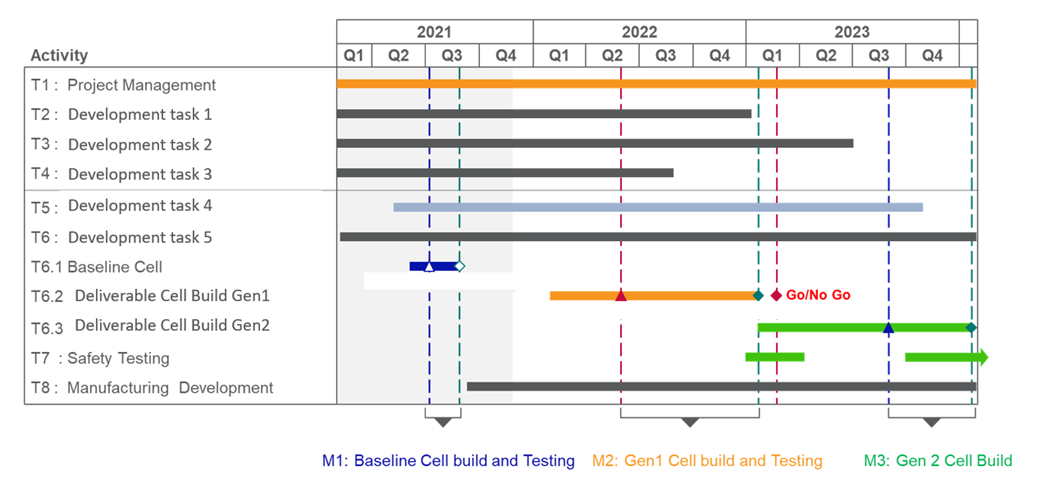


Table 2: Example Program Deliverables

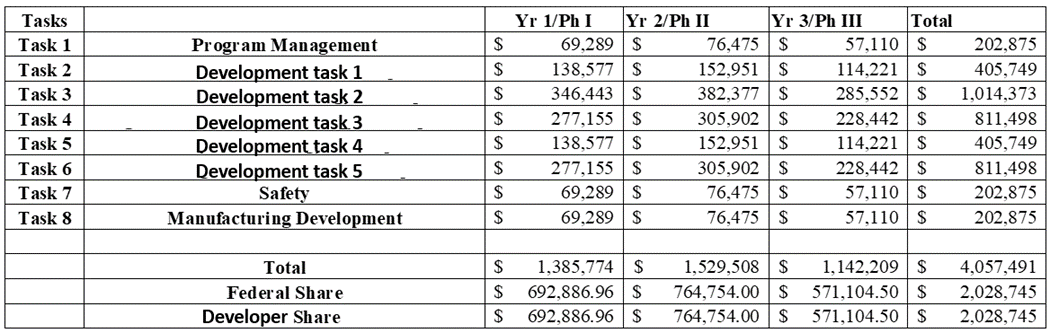
|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Deliverables** | **Description** | **Capacity (approx.)** | **Quantity Delivered** | **Recipient** | **Delivery Date**  **(months after project start)** |
| Baseline Cells | Baseline description | XX Ah | 25 | tbd | Month 7 |
| Gen 1 Cells | Cells with Gen 1 | YY Ah | 25 | tbd | Month 18 |
| Gen 2 Final Cells | Cells with Gen 2 | ZZ Ah | 25 | tbd | Month 35 |
| Cost Model | Cost Model for Final Deliverable Cells |  |  | USABC | Month 35 |
| Final Report | Project Final Report |  |  | USABC | Month 35 |

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## Program Cost, Budget and Cost Sharing

1. Provide a project cost table broken down by task, which should be related to milestones and deliverables as described in Section 3.4, as shown in Table 3; if subcontractors are included in the proposal the costs incurred by the subcontractor needs to be broken down as well[[2]](#footnote-3).
   1. For budgeting purposes be aware that a set of baseline cells, possibly one or more sets of midterm cells, and a final set of cells are normally required for testing in USABC projects, depending on project length. Typically, USABC encourages cell deliverables roughly annually during the course of a program. The same testing is done in parallel at the national labs and the developer. Accordingly, approximately 25-40 cell will need to be built at each of these points.
   2. Please budget for internal testing for these cells, see Appendix C for representative test plan. Any testing done by USABC of demonstration hardware will be done in accordance with the USABC battery test procedures. These procedures can be found in the relevant test manuals under the ***Manuals & Models*** section of the USABC website. Validation testing of deliverables by USABC will be completed at a national lab at no additional cost to you.
2. Describe proposed cost share; use Table 1 as a guideline for estimated cost share requirements. Please note, Table 1 is just a reference for cost share, each project will be judged on a case-by-case basis. If you are uncertain about the required cost share for your RFPI budget justification, use a conservative cost share of 50%. Furthermore, cost share amount for all foreign entities is 50% regardless of technology. USABC will not provide funding for capital expenses.
3. It is the sense of the Congress that, to the greatest extent practicable, all products purchased with funds made available under this award should be American-made.

Table 3: Representative yearly budget by task, showing cost share by entity



## Program Management

Provide list of key personnel, in particular program manager, percentage of time allocated to the project, and a short bio (less than 100 words) for each key contributor.

# Additional RFPI Proposal Documents

Additional documentation that must be submitted with the RFPI package is listed below. The additional documents do not count towards the 25 pages limit for the technical content of the RFPI.

1. Prepare one PDF file that contains the Financial Documents outlined in section 4.1 below.
2. Prepare one PDF file that contains the additional documents outlined in section 4.2 through 4.5 below.
3. All forms are available for download under the ***Forms*** section of the USABC website.

## Financial Documents

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1. For publicly owned entities, submit the last 3 years of Annual, 10k, and 10Q Reports.
2. For privately held entities, submit the last 3 years of Balance Sheets, Income Statements, and a Sources & Uses of Funds Statement.

## Current Government Funding Disclosure - Potentially Duplicative Funding Notice Form

Each recipient and subrecipient covered under this RFPI that has other active awards of federal funds is required to disclose whether project funds (i.e., recipient cost share and federal funds) from any of those other federal awards have been, are being, or are to be used (in whole or in part) for one or more of the identical cost items under this RFPI.

1. When the recipient or subrecipient has federal funds from active awards that have been, are being, or are to be used for one or more of the identical cost items under this RFPI, the recipient or subrecipient must submit a Potentially Duplicative Funding Notice Form.

## Cooperative Relationships – Other Collaborating Organizations Form

Each recipient and subrecipient covered under this RFPI must identify any additional resources that may be required beyond those of the contractor to achieve the proposed program goals. This includes the development of cooperative relationships between component developers, component manufacturers, and subsystem integrators. Other cooperative relationships could involve Universities for materials research, test facility development, test and analytical procedures, or other techniques available only at specialized locations.

1. The recipient or subrecipient must submit an Other Collaborating Organizations Form.
2. All work performed under this award must be performed in the United States. In limited circumstances, the Grants Officer may approve the recipient to perform a portion of the work outside the United States. To request a waiver of this requirement, an entity must submit a Waiver for Work Outside the U.S. form.

## DOE Current and Pending Support Form

Current and Pending Support allows for the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support.

As part of the proposal process, a Current and Pending Support Disclosures form must be submitted for all covered individuals at the applicant and subrecipient level and include the document(s) with their Full Application.

* The individual Current and Pending Support Disclosures submitted must include the exact certification statement provided and must be signed and dated to be considered.
* DOE reserves the right to request additional information or documentation as part of its Risk Reviews.

1. **Current and Pending Support Submission Requirements**

As part of the proposal, the Principal Investigator or Lead Project Manager and all ‘covered individuals’, as defined below,at the applicant and subrecipient level must provide a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual’s research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses.

* All connections with Malign Foreign Talent Recruitment Programs[[3]](#footnote-4) must be identified in the current and pending support submission.

1. **Definitions**

For purposes of this requirement, the following definitions are applicable:

**Current and Pending Support**

1. All resources made available, or expected to be made available, to an individual in support of the individual’s RD&D efforts, regardless of
2. whether the source is foreign or domestic;
3. whether the resource is made available through the entity applying for an award or directly to the individual; or
4. whether the resource has monetary value; and
5. includes in-kind contributions requiring a commitment of time and directly supporting the individual’s RD&D efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students.

This term has the same meaning as the term ”Other Support” as applied to researchers in NSPM-33: For researchers, Other Support includes all resources made available to a researcher in support of and/or related to all of their professional RD&D efforts, including resources provided directly to the individual or through the organization, and regardless of whether or not they have monetary value (e.g., even if the support received is only in-kind, such as office/laboratory space, equipment, supplies, or employees). This includes 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.

**Covered Individuals**

Covered Individual means an individual who:

1. 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
2. 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 in the proposal. Further, the applicant is responsible for identifying any such individual for designation as a covered individual.

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.

DOE may further designate covered individuals during award negotiations or the award period of performance.

1. **Disclosure Requirements**

The information may be provided using the Covered Individual: Current and Pending Support Form available on the USABC website or the approved common disclosure format available at [Common Form for Current and Pending (Other) Support (nsf.gov)](https://www.nsf.gov/bfa/dias/policy/researchprotection/commonform_cps.pdf). Regardless of the format used, the individual must include a signature, date, and a certification statement using the language included in the table below.

|  |  |
| --- | --- |
| **Information Required for Each Activity** | |
| **Sponsor of the Activity** | The sponsor of the activity or the source of funding. |
| **Award Number** | The federal award number or any other identifying number. |
| **Award Title** | 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 |
| **Total Cost or Value** | 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 |
| **Award Period** | The "Start Date" through "End Date". |
| **Person-months** | The person-months of effort per year dedicated to the award or activity |
| **Description** | To identify overlap, duplication of effort, or synergistic efforts, append a description of the other award or activity to the current and pending support. |
| **Foreign Government Sponsorship** | 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. |
| **Digital Persistent Identifier (e.g., ORCID iD)** | For R&D RFPs only, provide an [ORCID iD](https://orcid.org/register) . |
| **Certification Statement** | Covered individuals must provide a separate certification statement listing the required information above regarding current and pending support. Each individual must sign and date their respective certification statement:  *I, [Full Name and Title], understand that I have been designated as a covered individual by the Federal funding agency.*  *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 also certify that, at the time of submission, I am not a party in a* [*malign foreign talent recruitment program*](https://nsf-gov-resources.nsf.gov/files/nspm33definitions-r.pdf#page=2)***.***  *I further certify that within the past 12 months I have completed one of the following: (1) research security training meeting the guidelines in SEC. 10634(b) of 42 USC 19234, or (2) all of the NSF training modules located https://new.nsf.gov/research-security/training.* |

## Transparency of Foreign Connections Form

Each recipient and subrecipient covered by the RFPI must disclose their foreign relationships as required under the award terms and conditions. These relationships may include connections with foreign countries of risk.

The recipient and each subrecipient covered by the RFPI proposal must complete a Transparency of Foreign Disclosures Form. The form must be completed in its entirety, even if the applicant does not have any foreign relationships, and submit the document with their Full Application.

1. **Foreign Entity Participation Requirements**

If a proposal team cannot find a suitable domestic partner, foreign entities, including U.S. operations with a foreign parent company, may participate in USABC projects; however, their participation is subject to approval by the DOE. Therefore, any foreign entity interested who is a member of a project team applying to this RFP should contact USABC as soon as possible. Applicants should prioritize partnerships that will bolster US supply chain security for the industrial materials that the Institute focuses on.

# Post Selection Information

Additional award requirements to consider when preparing your proposal are outlined below. Note that these are not exhaustive. All the terms and conditions of the cooperative agreement with the DOE that apply to USABC, also apply to any technical project agreement selected for a subaward. The redacted Terms and Conditions are available under the ***Tools & Resources*** section of the USABC website.

## Export Control Compliance

The Government regulates the transfer of information, commodities, technology, and software considered to be strategically important to the United States to protect national security, foreign policy, and economic interests without imposing undue regulatory burdens on legitimate international trade. There is a network of federal agencies and regulations that govern exports that are collectively referred to as “Export Controls”.

The applicant will be required to acknowledge and are responsible for ensuring compliance with all applicable United States Export Control laws and regulations relating to any work performed under a resulting award. The applicant will also be required to acknowledge that they must immediately report to DOE any export control violations related to the project funded under the DOE award, at the recipient or subrecipient level, and provide the corrective action(s) to prevent future violations.

## Prohibition on Certain Telecommunications and Video Surveillance Equipment or Services

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

## 5.3. Government Rights in Subject Inventions

Where prime recipients and subrecipients retain title to subject inventions, the Government retains certain rights.

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

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

* For additional requirements pertaining to intellectual property acquired under this award, consult the “Attachment 4 - IP Provisions Final” document that is available under the ***Tools & Resources*** section of the USABC website.

## Annual Independent Audits (Single Audit or Compliance Audit)

The applicant and subrecipient(s) must comply with the annual independent audit requirements.

1. If a for-profit entity is a prime recipient and has expended $1,000,000 or more of DOE awards during the entity's fiscal year, an annual compliance audit performed by an independent auditor is required.
2. If an educational institution, non-profit organization, or state/local government is a prime recipient or subrecipient and has expended $1,000,000 or more of federal awards during the non-federal entity's fiscal year, then a Single or Program-Specific Audit is required.

## List of Project Participants

The recipient and subrecipient must submit and maintain a listing each person who is expected to work at least one person month per year on the project regardless of the source of compensation (a person month equals approximately 160 hours of effort).

* 1. Detailed information for each project participant includes:

1. Name
2. Organization
3. Job Title
4. Role in the project
5. Start and end date (month and year) working on the project
6. State, U.S. territory, and/or country of resident
7. Whether this person collaborated with an individual or entity located in a foreign country in connection with the scope of this award
8. If yes to vii. above, whether the person traveled to a foreign country as part of that collaboration, and, if so, where and what the duration of stay was.
9. All project participants are subject to a DOE risk review. USABC and DOE reserve the right to ask for disclosures on project participants not defined as Covered Individuals. The recipient need not submit any additional information on non-Covered Individuals, unless requested. The volume and type of information collected may depend on various factors associated with the award.
10. Any national from a Foreign Country of Risk[[4]](#footnote-5) is prohibited from accessing any information developed under the DOE-funded project that is not publicly available (including technical data, subject inventions, or any other information that is not publicly available or required to be made public under applicable law or regulation).

## Performance Monitoring (Technical and Compliance)

USABC will exercise normal oversight of the project activities performed under this award. Oversight activities may include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing technical assistance and/or temporary intervention in unusual circumstances to address deficiencies that develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the project objectives have been accomplished.

DOE has substantial involvement in the direction and redirection of the technical aspects of the project as a whole. substantial involvement includes 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;
* DOE participates in major project decision-making processes.

1. **Review Meetings**

Selected applicants are required to participate in periodic review meetings, which include the DOE. The meetings enable USABC to assess the work performed and determine whether the recipient has timely achieved the technical objectives and deliverables.

1. Selected applicants are required to participate in two quarterly review meetings that may be held at the USCAR office in Southfield, MI or virtually. The quarterly review meetings are alternated with the Site Visits.
2. **Site Visits**

USABC’s and DOE’s authorized representatives have the right to make site visits and conduct recipient Administrative Organizational Reviews to review the project and management control systems and to provide technical assistance, as appropriate. The applicant must provide and must require its subrecipients and contractors to provide reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the authorized representatives in the performance of their duties. Reasonable efforts will be made to ensure these site visits do not interfere with or unduly delay project work.

1. Selected applicants are required to host USABC team members at their facility twice a year. Site visits are alternated with the quarterly Review Meetings.
2. **Sub-recipient Monitoring**

From time to time, USABC may request additional information as part of its award oversight and compliance monitoring. This may include updated information about personnel, work locations, collaborating organizations, financial or other information. The selected applicant agrees to support all inquiries by providing in a timely manner the requested information.

## Reporting

Selected applicants are required to comply with the reporting requirements of the award.

1. **Technical Reports**
2. Quarterly Technical Reports - Selected applicants are required to provide to USABC quarterly technical reports that document the entirety of work performed including the accomplishments, impact, changes / problems, and budgetary information among other required elements.
3. DOE Annual Report – DOE may request the selected applicant to submit a technical summary report in support of their fiscal year progress report.
4. **Dissemination of Scientific and Technical Information**

Selected applicants are expected to report any Scientific and Technical Information (STI) generated under this award and submitted to DOE via the Office of Scientific and Technical Information’s Energy Link (E-Link) system.

1. The type of STI expected to be generated under this award includes Accepted Manuscripts of Journal Articles and Conference Products; however, other STI generated must also be reported.
2. **Intellectual Property Reporting**

The selected applicant and subrecipient(s) must complete the necessary intellectual property reports in iEdison[[5]](#footnote-6) when applicable. This includes disclosing a subject invention, its anticipated uses and sales, and, if applicable, electing (or declining) to retain title to the invention. When ownership is retained, an annual Invention Utilization Reports must be filed for each invention.

1. **Closeout Reporting**

The selected applicant agrees to complete the necessary administrative actions required at the conclusion of its statement of work. This includes submitting to USABC a Final Technical Report, Invention Certification, Tangible Personal Property Report, and STI Certification.

* All financial, performance, and other reports required must be submitted no later than 90 calendar days after the conclusion of the period of performance.

# RFPI Agreement

Notwithstanding applicant's markings to the contrary, all information submitted in response to a United States Advanced Battery Consortium, LLC (USABC) Request for Proposal Information (RFPI) shall be treated on a non-confidential basis. By signing this RFPI, the recipient hereby agrees to the terms and conditions from the Department of Energy and from USABC.

**PROPOSAL TITLE:**

**AGREED BY:**

|  |
| --- |
| ***Signature of Authorized Certifying Official:*** |
| ***Typed or Printed Name and Title of Authorized Certifying Official:*** |
| ***Organization Name:*** |
| ***Date Submitted:*** |

*To execute the RFPI Agreement, please sign and date the completed agreement without any modifications, and submit a PDF copy along with your full application using the submission link provided under the* ***Active RFPIs*** *section of the USABC website.*

*Reminder: No proposal shall be evaluated by the consortium without the proper execution of the RFPI Agreement.*

1. USABC High Energy EV Performance Targets

**USABC Goals for Advanced Batteries for Light Duty High Energy Electric Vehicles (EVs)**

1. The definition of useable energy (U.E.) can be found in the “USABC Battery Test Manual for Electric vehicles” on USABC website.
2. The cost calculation should be based on US production, meeting IRA requirements.
3. The definition of useable energy (U.E.) target can be found in the “USABC Battery Test Manual for Electric vehicles” on USABC website.

|  |  |  |
| --- | --- | --- |
| **End of Life Characteristics at 30°C** | **Units** | **EV Cell Level** |
| Peak Discharge Power Density 30 s Pulse | W/L | 1600 |
| Peak Specific Discharge Power, 30 s Pulse | W/kg | 800 |
| Peak Specific Regen Power, 10 s Pulse | W/kg | 300 |
| Useable Energy (U.E.) Density1 | Wh/L | 850 |
| Useable Specific Energy | Wh/kg | 450 |
| Calendar Life | Years | 15 |
| DST Cycle Life | Cycles | 750 (25% Fast Charge) |
| Cost @ 250k Units | $/kWh | 602 |
| Fast Charge at 30°C (80% U.E. Target3) | Minutes | 10 min |
| Unassisted Operating at -20°C | % | >70% Specific Useable Energy |
| Operating Environment | °C | -30° to +65° |
| Survival Temperature Range, 24 Hr. | °C | -40° to +75° |
| Maximum Self-discharge | %/month | <1 |
| Maximum Allowable Stack Pressure | MPa | 2 |

1. Attributes of Cell Technology

|  |  |  |  |
| --- | --- | --- | --- |
| **Cell Level Attributes (supplied by developer)** | **Units** | **Current State (baseline) (BOL)** | **End of Program Target (BOL)** |
| **Cell Capacity (C/3 Rate discharge)** | **Ah** |  |  |
| **Cell Volume (without terminals/tabs)** | **Liter** |  |  |
| **Cell Mass** | **kg** |  |  |
| **Vmin continuous, Vmax continuous (0 and 100% SOC)** | **V, V** |  |  |
| **Vmin pulse, Vmax pulse (10 sec pulses)** | **V, V** |  |  |
| **Vnominal (Wh/Ah)** | **V** |  |  |
| **Cell format (cylindrical/prismatic)** | **can/pouch/etc.** |  |  |
| **Cell dimensions: (height x width x thickness)** | **mm x mm x mm** |  |  |

1. Testing Plan

This testing is subject to change and based on the nature of the program, an example of a testing plan can be found in the table below.

Example of a testing plan:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Gen 1 Cells** | **Performance Testing** | **Timing** | **Test Location** | **Cell Count** |
| Capacity and Energy | Month 17-18 | National Labs & Developer | 3 |
| HPPC | Month 17-18 | National Labs & Developer |
| Peak Power Test | Month 17-18 | National Labs & Developer |
| Discharge Rate Capability | Month 17-18 | National Labs & Developer |
| Cold Crank | Month 17-18 | National Labs & Developer |
| Cycling | Month 17-23 | National Labs & Developer | 9 |
| Calendar Life | Month 17-23 | National Labs & Developer | 9 |
| Abuse Test | Month 17-23 | National Labs | 15 |
| **Quantity of Cells Delivered to USABC** |  |  | **36** |

1. RFPI Checklist

Listed are the documents required for Phase 1: Initial RFPI Proposal submission, and Phase 2: Final Application documents for any proposal encouraged to submit further documentation for a potential subaward.

1. The applicant’s initial RFPI Proposal requires the submission of the documents listed under “Phase 1: Initial RFPI Proposal Documents”.
2. Applicants encouraged by USABC for further review are required to submit the additional documents listed under “Phase 2: Final Application Documents”.

*All forms are available for download under the* ***Forms*** *section of the USABC website at* [*https://uscar.org/usabc/*](https://uscar.org/usabc/)*.*

|  |  |
| --- | --- |
| **Phase 1: Initial RFPI Proposal Documents** | |
| RFPI Proposal Submission | Required |
| Financial Documents / Statements (three years) | Required |
| Potentially Duplicative Funding Notice Form | Conditional |
| Other Collaborating Organizations Form | Conditional |
| Covered Individual: Current and Pending Support Form(s) | Required |
| Transparency of Foreign Connections Form | Required |
| Waiver for Work Outside the U.S. Note a | Conditional |
| Signed RFPI Agreement | Required |
|  | |
| **Phase 2: Final Application Documents** | |
| RFPI Proposal with Statement of Work\*  *\*if amended Program Development Plan requested* | Required\* |
| Environmental Questionnaire Note a | Required |
| Disclosure of Lobbying Activities | Required |
| U.S. DOE Financial Assistance Certifications and Assurances | Required |
| Assurances – Non-Construction Programs | Required |
| EERE Pre-award Information Sheet | Required |
| EERE T 540.132 01 Budget Justification Note a | Required |
| Cost Share Commitment Letter Note a | Required |
| Indirect Rate Submission / Sample Indirect Rate Proposal | Required |
| EERE Location(s) of Work Template Note a | Required |
| Covered Individual: Request for Unclassified Foreign National Access  *(direct to DOE)* | Conditional |
| Covered Individual: Current and Pending Support Form(s)  *\*if not previously submitted with Phase I documents* | Required\* |
| Covered Individual: Biographical Sketch/Resume | Required |
| List of Project Participants | Required |

Note a *Submit document for planned 2nd Tier sub-recipient when applicable.*

*Additional information may be requested to comply with the DOE Risk Review process.*

1. Information about registration procedures may be found in SAM.gov (currently at [Entity Registration | SAM.gov](https://sam.gov/entity-registration)). As a potential subrecipient, applicants are not required to complete a full registration in SAM.gov to obtain a UEI. [↑](#footnote-ref-2)
2. Note: Promising proposals will be required to complete and submit the EERE T 540.132 01 Budget Justification form. [↑](#footnote-ref-3)
3. As defined in P.L. 117-167, Section 106384(4) [↑](#footnote-ref-4)
4. DOE has designated the following countries as Foreign Countries of Risk: China, Russia, Iran, North Korea, and Belarus. This list is subject to change. [↑](#footnote-ref-5)
5. Refer to the iEdison Organization User Guide for complete reporting compliance requirements [iEdison Organization User Guide | NIST](https://www.nist.gov/iedison/iedison-organization-user-guide) [↑](#footnote-ref-6)