



UNITED STATES ADVANCED BATTERY CONSORTIUM LLC
<https://uscar.org/usabc/>

REQUEST FOR PROPOSAL INFORMATION (RFPI)

EVALUATION OF PROTOTYPE CELL FABRICATORS FOR DEVELOPMENT OF ADVANCED HIGH-PERFORMANCE BATTERIES FOR ELECTRIC VEHICLE (EV) APPLICATIONS

All information related to this RFPI - including process guidance, forms, and reference materials – is available on the USABC website.

If you require assistance with the RFPI process, please contact us using the [USABC Help](#) form under the [Tools & Resources](#) section of the website.

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.

- 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-page 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 subrecipient agreements on the sole basis of responses to this RFPI. All responses will be considered by representatives of the USABC Member Companies and other participants and will be ranked in order of merit based upon these evaluations. Applicant(s) with the most promising Phase 1 proposals will be contacted by USABC to submit additional documentation (Phase 2). Materials will be reviewed and submitted to DOE for a risk review which may lead to final selection and contractual agreements with USABC. USABC intends to award one or more development subrecipient agreements; however, nothing herein should be interpreted as a commitment to award a contract.

Notwithstanding applicant markings to the contrary, all information submitted in response to this USABC RFPI will be treated as non-confidential.

Funding for this RFPI is made available through Cooperative Agreement DE-EE0011268 with the U.S. Department of Energy (DOE). All terms and conditions of the cooperative agreement with the DOE that apply to USABC also apply to all subrecipient agreements awarded under this RFPI. This includes, but is not limited to, any subrecipient monitoring activity necessary for USABC to fulfill its prime recipient responsibilities. 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 registrationⁱ process for a UEI has been started. The UEI is a 12-character alphanumeric ID assigned by the System for Award Management (SAM) to uniquely identify an entity.

- a. Due to the high demand for 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

ⁱ Information about registration procedures may be found in SAM.gov (currently at [Entity Registration | SAM.gov](#)). As a potential subrecipient, applicants are not required to complete a full registration in SAM.gov to obtain a UEI.

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EVALUATION OF PROTOTYPE CELL FABRICATOR FOR DEVELOPMENT OF ADVANCED HIGH-PERFORMANCE BATTERIES FOR EV APPLICATIONS REQUEST FOR PROPOSAL INFORMATION (RFPI)

1. 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). 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 Prototype Cell Fabricators (hereafter fabricator) with the capability to reliably manufacture high-quality battery cells, to support the development efforts of other RFPI stakeholders (hereafter developer) in the future. Selected fabricators will not be responsible for providing any portion of the non-federal cost share contribution. The expected end of program output is testable hardware deliverables, most commonly battery cells, that will be independently tested at a national laboratory.

This USABC RFPI represents a unique opportunity for fabricators to leverage their resources with the automotive industry and the federal government. For the auto makers, this type of pre-competitive collaboration minimizes duplication of effort, increases the probability of downstream commercialization and adoption, and maximizes the return on private and government (public) funds.

As a pre-competitive research organization, USABC focuses its development efforts on activities within the battery value chain – from materials to cells – corresponding to technical readiness levels (TRL) ranging from TRL 4 – TRL 7. Therefore, at the time of proposal submission all fabricators will be required to demonstrate the capability to manufacture cells by leveraging relevant hardware (e.g., mixing, coating, cell assembly, etc.) and adapting to various levels of battery manufacturing process. In addition, fabricators are required to manufacture the desired number of cells using commercially available materials. USABC will evaluate these cells, following established battery test procedures, to assess the fabricators' capability to manufacture high-quality cells. The evaluation process and procedures are described in Section 2 and 3. USABC test manuals can be found under the [Manuals & Models](#) section of the USABC website.

2. RFPI Technical Objectives

The purpose of this RFPI is to identify qualified fabricators that USABC can recommend to a single developer or collaborative supplier team of developers to produce quality cells, and to establish a list of capable fabricators that may subsequently be engaged to produce cells for USABC evaluation. This RFPI is limited to the identification of appropriate fabricators. Any collaboration with developers at a later stage falls outside the scope of this RFPI.

Below are the steps associated with this RFPI and evaluation process:

1. Fabricators provide a minimum of 32 sample cells using commercially available materials. Examples of cell performance metrics are provided in Appendix A, and further details regarding the sample cells are described in Section 3.2.
2. USABC will test the samples provided to assess the Fabricators' quality and capability based on the Prototype Cell Test Plan (Appendix B).

Through its Cooperative Agreement with the US Department of Energy, USABC will distribute federal funds to selected fabricators. The estimated program funding for this RFPI is between \$3 million and \$5 million with a project duration of approximately 6 months to 1 year. The number of funded proposals is expected to range between 3 to 5, depending on the volume and merit of the proposals received, and the availability of funding.

- a. Program funding for this RFPI will be provided jointly by USABC and the U.S. Department of Energy. The selected fabricator will not be required to contribute non-federal cost share. As this is a collaborative development evaluation effort, profit is not allowed.
- b. USABC will only reimburse actual costs incurred. Allowable and allocable project costs are 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.

USABC will build upon the knowledge and expertise acquired through prior HEV, PHEV, and EV research and development programs. Fabricators are expected to apply their previous experience and incorporate lessons learned to further the development of advanced energy storage technologies for this application.

3. Requested Technical Information

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

3.1. 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:

- a. Company UEI number or acknowledgement you have started the application for UEI number. (UEI number can be obtained from www.sam.gov)ⁱⁱ
- b. Company structure, ownership, product lines, and customer base, including domestic and foreign facilities for research, development and production.

ⁱⁱ 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 and SAM registration process as soon as possible. If entities have technical difficulties with the UEI validation or SAM registration process, they should use the [HELP](#) feature on SAM.gov. SAM.gov will address service tickets in the order in which they are received and asks that entities not create multiple service tickets for the same request or technical issue. Additional entity validation resources can be found here: [GSAFSD Tier 0 Knowledge Base - Validating your Entity](#).

- c. Prior experience successfully executing R&D programs, especially with USABC or DOE.
- d. Please describe the company's experience (if any) in high-volume manufacturing or fabrication of prototype cells greater than 10 Ah.
- e. Describe the resources (headcount, expenses, and facilities) devoted to prototype cell fabrication that are available for this project, including but not limited to; mixing, coating, assembly, formation, and material characterization capabilities.
- f. 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.
- g. Your company's Business Plan for areas related to prototype cell fabrication.

3.2. Fabricator Capability Introduction

Fabricators shall be capable of producing cells using state-of-the-art technologies from developers that provide significant improvements over current technologies. In this context, the cells may vary in capacity – ranging from smaller 1-2 Ah cells to larger cells at least 10 Ah – as well as in format, depending on the intended purpose. To assess the fabricator's capability, each fabricator is required to provide information on the cells they are able to produce with high quality. Based on this information, USABC will request the fabrication of sample cells using commercially available materials. The submitted sample cells will then be evaluated by considering the chemistry employed and the electrode conditions used.

A thorough technical review of each proposed technology is required prior to any subrecipient agreement with Fabricators. Responses to the RFPI must provide a description addressing each of the following items:

- a. Technical description of the cell format, size, capacity, and cell chemistry technologies fabricators are capable of fabricating.
 - i. Provide information on previous experience in manufacturing cells, including cell format(s), size, capacity, and chemistry(ies).
 - a. If available, provide the corresponding performance data for those cells.
 - ii. Provide the cell format, chemistry, size, and capacity of the sample cells that can be submitted when using commercially available materials.
 - a. If a fabricator has experience with multiple chemistries and sizes, they may be requested to submit more than one type of sample cell with different chemistries and/or sizes.
- b. Explain any constraints or limitations as the Prototype Cell Fabricator that will not meet all USABC development objectives in this project (if any).
Example: Inability to produce Li-metal or solid-state batteries.

3.3. Program Description

Describe in detail the prototype cell manufacturing, quality control and evaluation process that would be used to meet the USABC technical criteria including:

- a. Clearly state program goals and objectives.
- b. Describe in detail the technology to be used based on the following:
 - i. Technology to be used.
 - ii. Incoming material inspection process.

- iii. Manufacturing quality assessment process.
- iv. Final fabrication throughput efficiency
- v. Final quality control methods for performance characterization
- vi. Compare current performance to the goals provided in Appendix A
- c. Program development plan:
 - i. High level work breakdown structure including main tasks and any identified subtasks, including deliverables
- d. Provide a cost estimate and timing for fabrication of the cells required for the initial evaluation phase.

3.4. Fabrication / Evaluation Timing Plan

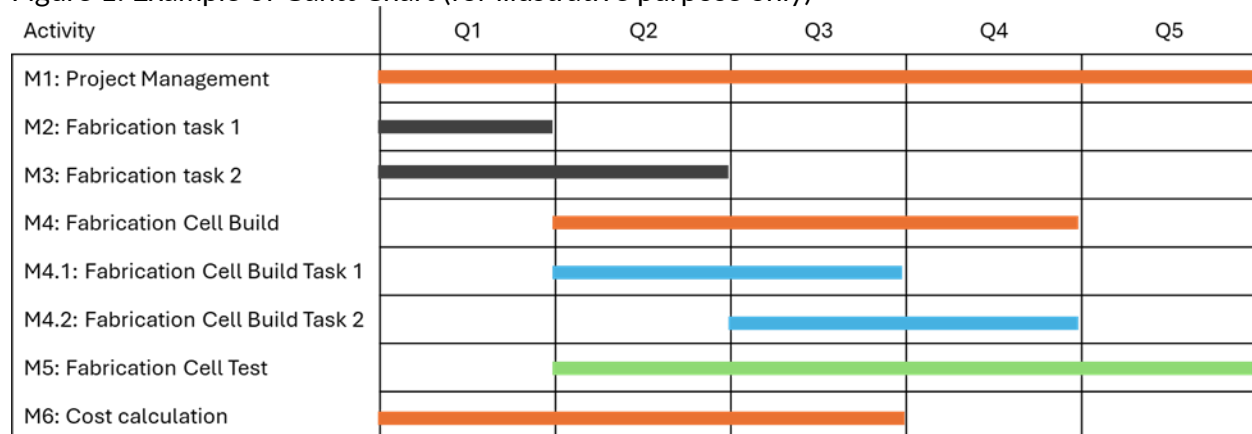
The proposed evaluation/evaluation phase should include a timing chart and table of milestones and deliverables. All sample cells will undergo testing and evaluation based on the testing plan outlined in the proposal. The same testing is done in parallel at the national labs and the fabricator. Accordingly, approximately 30-40 cells per test plan will need to be built to complete the test plan.

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

- a. Length of time for fabrication of prototype cells
- b. Average delivery time of delivery from date of request
- c. Annual throughput
- d. Time for delivery of requested samples for USABC & DOE for evaluation

An example timing chart is shown in Figure 1 including tasks and subtasks, testing timeline, as well as a cell build timeline. Quarterly and annual reports will be required, using a DOE specific format. Regular work group meetings will be planned for status updates.

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



3.5. Program Cost, Budget and Cost Sharing

- a. Provide a project cost table broken down by category and task, which should be related to milestones and deliverables described in Section 3.4, as shown in Table 1 and 2. If subcontractors or lower tier subrecipients are included in the proposal the costs to be incurred by the subcontractors and/or lower-tier subrecipients must be provided.ⁱⁱⁱ
 - i. Please budget for internal testing of fabricated cells, (see Appendix B 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.
- b. Describe the project cost share. Based on the budget, cell making costs incurred for the initial evaluation period will be fully reimbursed. The selected fabricator will not be required to contribute non-federal cost share. Non-federal cost share required for this activity will be absorbed by USABC as the cooperative agreement prime recipient. As this is a collaborative development evaluation effort, profit is not allowed.
- c. This RFPI does not provide funding for capital expenses.
- d. 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 1: Representative budget by category

Category	Milestone					
	1	2	3	4	5	6
Direct Labor and Overhead	17,322	17,322	19,119	19,119	17,133	11,422
Materials	17,322	51,967	57,356	47,674	28,555	0
Other direct costs	191,410	168,891	186,409	192,702	189,321	126,214
Travel	0	0	0	0	0	0
Outside Services	0	34,645	38,238	28,555	0	0
G&A	103,067	90,941	100,374	103,763	101,942	67,962
Total	\$329,121	\$363,766	\$401,496	\$391,813	\$336,951	\$205,598

ⁱⁱⁱ Note: Each proposal will be required to complete and submit the EERE T 540.132 01 Budget Justification form. Refer to Section 4.10.

Table 2: Representative budget by task

Tasks		Milestone					
		1	2	3	4	5	6
Task 1	Program management	17,322	17,322	19,118	19,117	17,132	11,422
Task 2	Cathode fabrication cost	34,644	34,644	38,238	38,238	34,266	22,844
Task 3	Anode fabrication cost	86,611	86,611	95,594	95,594	85,666	57,111
Task 4	Cell manufacturing cost	69,289	69,289	76,476	76,476	68,533	45,689
Task 5	Internal characterization	34,644	34,644	38,238	38,238	34,266	22,844
Task 6	Formation	69,289	69,289	76,476	76,476	68,533	45,688
	Cell material cost	17,322	51,967	57,356	47,674	28,555	0
	Total	\$329,121	\$363,766	\$401,496	\$391,813	\$336,951	\$205,598

3.6. Program Management

Provide a 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.

4. 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-page limit for the technical content of the RFPI. All forms are available for download under the [Forms](#) section of the USABC website.

- a. **Financial Documents (Section 4.1)**
Combine all required financial documents into a single PDF file.
- b. **Supporting Documents (Sections 4.2-4.9)**
Combine all additional required documents from Sections 4.2 through 4.9 into a separate single PDF file.
- c. **Budget Justification (Section 4.10)**
Complete the [Budget Justification](#) form and submit it as an Excel (.xlsx) file.

4.1. Financial Documents

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

4.2. 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.

- a. 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.

4.3. 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.

- a. The recipient or subrecipient must submit an Other Collaborating Organizations Form.
- b. 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.

4.4. 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.

a. 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^{iv} must be identified in the current and pending support submission.

b. Definitions

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

^{iv} As defined in P.L. 117-167, Section 106384(4)

Current and Pending Support

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

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

- 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 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.

c. 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/pubs/2015/pub15106). Regardless of the format used, the individual must include a signature, date (Certified electronic signature or “wet” signature), 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 .
Certification Statement	<p>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 via certified electronic signature or “wet” signature:</p> <p><i>I, [Full Name and Title], understand that I have been designated as a covered individual by the Federal funding agency.</i></p>

	<p><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><i>I also certify that, at the time of submission, I am not a party in a malign foreign talent recruitment program.</i></p> <p><i>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.</i></p>
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4.5. 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.

a. 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.

4.6. Location(s) Work

Each recipient and subrecipient identified in the RFPI proposal must submit an EERE Location(s) of Work form. The form must disclose all physical locations where proposed project activities will take place.

- a. 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, a Waiver for Work Outside the U.S. form must be submitted with the full application.

4.7. Environmental Questionnaire

Each recipient and subrecipient identified in the RFPI proposal must complete the DOE F 540.30 Environmental Questionnaire form. The form helps identify any potential environmental impacts of the proposed project.

- a. Complete the form for the entire project, including all work to be performed by the Recipient, its subrecipients and contractors (if known), including any work outside of the United States.
- b. Answer all questions as thoroughly as possible by entering either a relevant response or “None” if a question is not applicable.

4.8. Cost Share Commitment Letter

Each recipient and subrecipient identified in the RFPI proposal who intend to provide cost share must submit a Cost Share Commitment Letter confirming their commitment to contribute the resources necessary to fulfill the proposed cost share as detailed in the Budget Justification.

4.9. Disclosure of Lobbying Activities

Federal funds may not be used to influence or attempt to influence, directly or indirectly, congressional action on any legislative or appropriation matters. The recipient and each subrecipient are required to complete a Disclosure of Lobbying Activities form. This form ensures that non-federal funds have not been paid and will not be paid to any person for influencing or attempting to influence any of the following in connection with their application:

- An officer or employee of any federal agency;
- A Member of Congress;
- An officer or employee of Congress; or
- An employee of a Member of Congress

4.10. Budget Justification

Each recipient and subrecipient identified in the RFPI proposal must submit an EERE T 540.132 01 Budget Justification form with their full application. The form itemizes the yearly budget by task, as outlined in Section 3.5, across nine budget categories and identifies the sources of the non-federal cost share.

- a. Follow the instructions provided on each worksheet in the workbook file.
- b. Cost Category Tabs (a. through i.) - isolate and justify cost by specific categories. There is one tab for each category of cost.
- c. Cost Share Tab (j.) - identifies sources and amounts of the project contributions designated as Cost Share.
- d. SF-424A Cost Categories Tab - automatically populated based on input entered in the other workbook tabs. Once all entries are completed, the totals should align with the yearly budget by task.

5. 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 Terms and Conditions are available under the [Tools & Resources](#) section of the USABC website.

5.1. 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.

5.2. 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.

- a. 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.

5.4. Annual Independent Audits (Single Audit or Compliance Audit)

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

- a. If a for-profit entity is a prime recipient and has expended \$750,000 or more of DOE awards during the entity's fiscal year, an annual compliance audit performed by an independent auditor is required.
- b. 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.

5.5. 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).

- a. Detailed information for each project participant includes:
 - i. Name
 - ii. Organization
 - iii. Job Title
 - iv. Role in the project
 - v. Start and end date (month and year) working on the project
 - vi. State, U.S. territory, and/or country of resident
 - vii. Whether this person collaborated with an individual or entity located in a foreign country in connection with the scope of this award
 - viii. 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.
- b. 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.
- c. Any national from a Foreign Country of Risk^v 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).

5.6. 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:

^v DOE has designated the following countries as Foreign Countries of Risk: China, Russia, Iran, North Korea, and Belarus. This list is subject to change.

- 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.

a. 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.

- i. 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.

b. 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.

- i. Selected applicants are required to host USABC team members at their facility twice a year. Site visits are alternated with the quarterly Review Meetings.

c. Subrecipient 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.

5.7. Reporting

Selected applicants are required to comply with the reporting requirements of the award. Under specific circumstances, subrecipients must submit reports to USABC in the format required by the DOE. USABC will compile and consolidate these reports for final submission to the DOE.

a. Technical Reports

- i. Quarterly Technical Reports - Selected applicants are required to submit 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.
- ii. DOE Annual Report - DOE may request the selected applicant to submit a technical summary report in support of their fiscal year progress report.

b. 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.

- a. 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.

c. Intellectual Property Reporting

The selected applicant and subrecipient(s) must complete the necessary intellectual property reports in iEdison^{vi} 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.

d. 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.

^{vi} Refer to the iEdison Organization User Guide for complete reporting compliance requirements [iEdison Organization User Guide | NIST](#)

6. RFPI Agreement

Notwithstanding any markings to the contrary, all information submitted in response to this RFPI shall be treated as non-confidential. By signing this RFPI, any proposing party agrees to be bound by the terms and conditions of DOE Cooperative Agreement DE-EE0011268. Any proposing party(ies) further agree that proposing entities and USABC shall, in addition to the terms of the Cooperative Agreement, be bound only according to the terms of any Subrecipient Agreement mutually agreed upon by the parties following selection.

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.

Appendix A. Performance Chart as an Example

Eg. Pouch cell 10Ah	Units	Cell Level
Peak Discharge Power Density 30 s Pulse	W/L	>1200
Peak Specific Discharge Power, 30 s Pulse	W/kg	>600
Peak Specific Regen Power, 10 s Pulse	W/kg	>250
Useable Energy (U.E.) Density ¹	Wh/L	>500
Useable Specific Energy	Wh/kg	>220

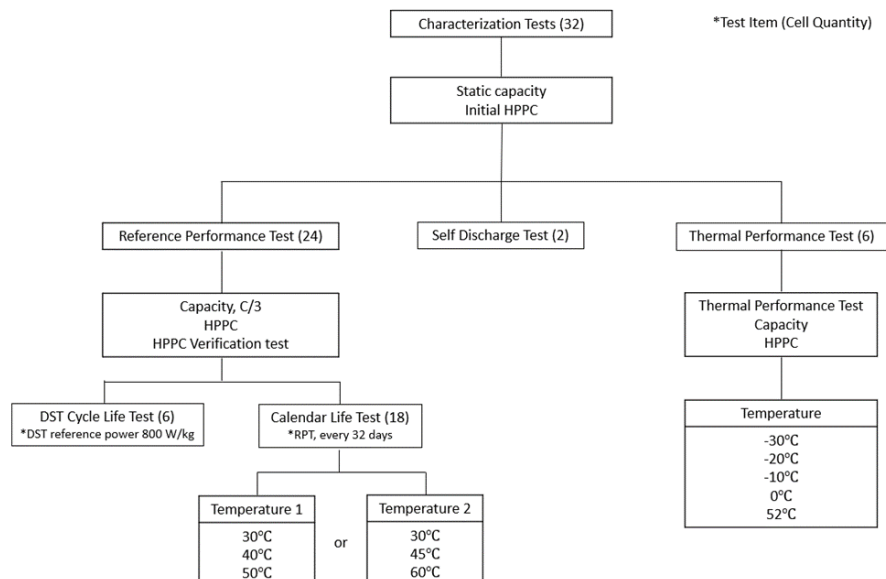
1. The definition of useable energy (U.E.) can be found in the “USABC Battery Test Manual for Electric Vehicles” on the USABC website.
2. The definition of useable energy (U.E.) target can be found in the “USABC Battery Test Manual for Electric vehicles” on the USABC website.

Appendix B. Prototype Cell Fabricator 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:

Characterization Test			Cell Quantity
Static capacity			32
Initial HPPC			
Reference performance Test	Capacity, C/3		24
	HPPC verification test		
	HPPC useable energy verification test		
DST Cycle Life			6
Calendar Life (RPT every 32 days)	30°C		6
	45°C		6
	60°C		6
Self-discharge			2
Thermal performance test	Capacity	-30 °C	2
		-20 °C	
		-10 °C	
		-0 °C	
		52 °C	
	HPPC	-30 °C	
		-20 °C	
		-10 °C	
		-0 °C	
		52 °C	



Appendix C. RFPI Checklist

Applicants should note that the RFPI process involves multiple steps, including two phases of document submission. All applicants are required to submit Phase 1 documents as part of their complete proposal. Applicants with the most promising proposals may be encouraged to submit the additional Phase 2 documents.

a. Phase 1: Initial RFPI Proposal Documents

The documents listed under this phase must be submitted with the applicant's initial RFPI Proposal.

b. Phase 2: Final Application Documents

The documents listed under this phase may be requested by USABC from selected applicants as part of the process for establishing a potential subrecipient agreement.

All forms are available for download under the [Forms](#) section of the USABC website.

Phase 1: Initial RFPI Proposal Documents	
3.1-3.6 RFPI Proposal Submission	Required
4.1 Financial Documents / Statements (three years)	Required
4.2 Potentially Duplicative Funding Notice Form	Conditional
4.3 Other Collaborating Organizations Form	Conditional
4.3.b. Waiver for Work Outside the U.S. ^{Note a}	Conditional
4.4 Covered Individual: Current and Pending Support Form(s) with Biographical Sketch/Resume	Required
4.5 Transparency of Foreign Connections Form ^{Note a}	Required
4.6 EERE Location(s) of Work Template ^{Note a}	Required
4.7 Environmental Questionnaire ^{Note a}	Required
4.8 Cost Share Commitment Letter ^{Note a}	Required
4.9 Disclosure of Lobbying Activities	Required
4.10 EERE T 540.132 01 Budget Justification ^{Note a}	Required
6. Signed RFPI Agreement	Required

Phase 2: Final Application Documents ^{Note b}	
U.S. DOE Financial Assistance Certifications and Assurances	Required
Assurances – Non-Construction Programs	Required
Pre-award Information Sheet	Required
Indirect Rate Submission / Indirect Rate Proposal	Required
List of Project Participants	Required

^{Note a} Submit document for any planned 2nd Tier subrecipient when applicable.

^{Note b} This does not include requests by USABC or DOE for additional documentation, information, or update to previously submitted materials that may be requested to support the DOE Risk Review, Due Diligence, or other contractual compliance processes.