

## Request for Proposals (RFP)

## Supplemental Funding for Technology Demonstration, Verification, and Validation (DV&V) Projects to Sustain U.S. Manufacturing

### **REMADE-25-02**

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Key Dates for Request for Proposals (RFP) for REMADE-25-02		
Proposal Activity	Key Dates*	
Request for Proposals Released	October 21, 2025	
RFP Information Session	October 24, 2025	
Concept Paper, SOPO, Budget, and Resumes Due	December 10, 2025	
Supplemental Applications Due	January 6, 2026	
Oral Presentations	Early January 2026	
Proposal Teams Notified of Decision	February 2026	
Anticipated Project Start Date	March 2026	

<sup>\*</sup>Due by 5:00 p.m. ET on the date listed.

#### **RECORD OF CHANGE**

Revision	Date	Sections	Description
1.0	October 21, 2025		Original Release
2.0	October 28, 2025	4.1	Clarified the need for a new SOPO
3.0	November 21, 2025	1.2.2	Updated the topics for which REMADE won't accept applications



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## 1 Funding Opportunity Announcement

#### 1.1 Background and Purpose

The REMADE Institute is a Manufacturing USA Institute focused on increasing the reuse, recycling, and remanufacturing of metals, fibers, polymers, and electronic scrap, dramatically reducing the embodied energy and lifecycle impacts associated with industrial-scale materials production and processing. The Institute leverages up to \$70 million in federal funding from the U.S. Department of Energy's Advanced Materials and Manufacturing Technologies Office (AMMTO) and \$70 million in cost share from industry, consortium members, and other partners.

The **Mission** of the REMADE Institute is to enable applied research and development (R&D) of key industrial platform technologies that could dramatically reduce the embodied energy and lifecycle impacts associated with industrial-scale materials production and processing. In partnership with industry, academia, national laboratories, and trade associations, the REMADE Institute focuses on increasing the reuse, remanufacturing, recovery, and recycling (collectively referred to as Re-X) of metals, fibers, polymers, and electronic scrap.<sup>1</sup>

#### The **primary goals** of the REMADE Institute are to:

- Develop technologies capable of reducing embodied energy and lifecycle impacts through a reduction in primary material consumption and an increase in secondary feedstock use in energy-intensive industries;
- Develop technologies capable of achieving "better than cost and energy parity" for key secondary materials;
- Promote the widespread application of new enabling technologies across multiple industries and
- Educate, train, and develop the incumbent and future workforce to support the deployment of REMADE technologies.

#### 1.1.1 REMADE Institute Technology Portfolio

To date, the REMADE Institute has funded ninety-six (96) projects to further its goals, including twenty (20) Exploratory, sixty-three (63) Full or Traditional, three (3) Transformational, seven (7) Technology Research, Development, and Demonstration (RD&D), and three (3) Education & Workforce Development (EWD) projects. Appendix B describes each of these project types.

#### 1.1.2 Purpose of this Request for Proposals (RFP)

This RFP solicits proposals for supplemental funding for Technology Demonstration, Verification, and Validation<sup>2</sup> (DV&V) Projects. These projects will be expected to demonstrate that the technology solution meets the performance levels the supply chain requires and the economic

<sup>&</sup>lt;sup>1</sup> Commonly referred to as e-scrap, e-waste, or used electronics and electrical products.

<sup>&</sup>lt;sup>2</sup> According to <u>A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Seventh Edition</u>, "Verification" evaluates whether a product, service, or system complies with a regulation, requirement, specification, or imposed condition. It is often an internal process. "Validation" is the assurance that a product, service, or system meets the needs of the customer and other defined stakeholders. It often involves acceptance and suitability with external customers.



targets the marketplace will accept. The proposed technologies must be consistent with the REMADE Institute's goals on the last page. To ensure proposals deliver solutions that will motivate subsequent industry investments, they must be consistent with the requirements of this RFP, align with the research agenda in the <u>REMADE Institute Technology Roadmap</u>, and complement the <u>current R&D portfolio</u>.

#### 1.2 Proposals Sought

#### 1.2.1 Technology Demonstration, Verification, and Validation (DV&V) Projects

This RFP solicits proposals for supplemental funding for project teams to demonstrate, verify, and validate that their previously developed technology will be accepted by the marketplace and the supply chains in which it resides. To accomplish this, teams must work with companies across the supply chain(s) relevant to their technology to identify the technical specifications and performance requirements their technology must meet (*verification*) and *validate* that the technology solution is fully capable of meeting the technical requirements and achieving the performance levels the supply chain demands through a *demonstration* in an operational environment (TRL7). In the process, these projects will be expected to demonstrate that the outputs from the project meet the following criteria: (1) they align to market-based needs that are not presently (or effectively) addressed today, (2) insertion of the technology into the supply chain will result in increased reuse, remanufacturing, recovery, or recycling, and (3) the economics of the technologies will incentivize stakeholders across the supply chain to adopt these technologies.

The proposal process will be open to current REMADE Institute members seeking to demonstrate, verify, and validate prior REMADE-funded or nearly completed REMADE-funded projects (that have already reached TRL 6) at a level of fidelity/realism that the relevant supply chain requires and the economic targets the marketplace will accept. Existing REMADE members who have achieved TRL 6 for projects funded independently of REMADE are also eligible to apply. In both cases, the proposed technologies must achieve TRL 7 by the end of the project.

The defining requirements of Technology DV&V projects are as follows:

- Technology DV&V projects must support the REMADE Institute's mission, enable the Institute to achieve its stated goals, and impact the REMADE Technical Performance Metrics (TPMs) listed in Appendix A.
- Technology DV&V projects must have achieved TRL 6 before applying for funding and reach TRL 7 by the end of the project. Applications not proposing to reach TRL 7 will be considered non-responsive to this RFP.
- Technology DV&V projects must demonstrate that the technology solution meets the technical requirements and performance levels the relevant supply chain requires and the economic targets the marketplace will accept.
- Technology DV&V projects must include at least one industry partner actively guiding them. Although the REMADE Institute prefers industry-led projects, qualified organizations, including academia can lead them. Trade associations and national laboratories are not eligible to lead Technology DV&V projects.



At a minimum, Technology DV&V projects must *demonstrate* the tools and technologies in an operational environment (TRL 7) by the end of the project. In addition, they must *verify* the performance levels the supply chain demands and confirm that the technology integrates well with the current supply chain, *validate* that the technology solution meets the performance levels the supply chain demands, perform a thorough cost-benefit analysis, and document their project results to support future implementation and commercialization.

## 1.2.2 Topics for which the REMADE Institute Is Not Accepting Proposals (Non-responsive Topics)

The REMADE Institute isn't soliciting proposals for projects that address the topics listed below. It will consider proposals submitted for these topics non-responsive and won't review them.

- Projects that address material classes other than metals, polymers, fibers, or e-scrap;
- Projects that address legal, regulatory, or institutional<sup>3</sup> barriers;
- Projects that address consumer education or behavior to increase or change materials collection and recycling;
- Projects focused solely on demonstrating the application of commercial or nearcommercial technology (i.e., requiring no additional technology development);
- Projects seeking funds to acquire, install, start, or operate commercial or nearcommercial technology to the benefit of a specific company;
- Processes or technology solutions for recovering and recycling EV batteries and battery materials (NOTE: Proposals addressing battery remanufacturing, repurposing, repair, or technology for condition assessment and refurbishment of batteries are in scope);
- Processes to produce solid fuels (e.g., pellets) from polymers or fibers;
- Projects involving incineration of solid waste, with or without energy recovery;
- Projects that propose the use of polymers, glass, or metal powders as asphalt modifiers;
- Projects focused on the recovery and recycling of building materials and construction and demolition wastes (CDW);
- Projects targeting the recovery and recycling of additive manufacturing feedstocks and
- Projects related to composites recycling.

#### 2 Award Information

The total investment available for funding teams responding to this RFP will be approximately \$3.0 million in REMADE Institute funding and require a 1:1 cost share from project teams. The REMADE Institute will provide a maximum of \$250K per project.

The final allocation of REMADE Institute funding for Technology DV&V projects will depend on the number and quality of proposals received. The REMADE Institute reserves the right to fund any proposal in whole or part, request additional information to assist in the review process, and reject any or all proposals. Awards are subject to funding availability. The REMADE Institute is

<sup>&</sup>lt;sup>3</sup> Institutional barriers would include factors such as access to curbside recycling or single versus dual-stream recycling.

not obligated to make any awards under this RFP, and the REMADE Institute will administer all funds awarded under this RFP.<sup>4</sup>

Technology DV&V projects can have a performance period of up to 12 months. Proposals selected for an award must submit an updated Statement of Project Objectives (SOPO) and detailed budget for the REMADE Institute and DOE-AMMTO review and approval.

## 3 Eligibility

#### 3.1 Eligible Applicants

This solicitation for Technology DV&V projects will be open to current REMADE Institute members seeking to demonstrate, verify, and validate prior REMADE-funded or nearly completed REMADE-funded projects (that have reached TRL 6) at a level of fidelity/realism that the relevant supply chain requires and the economic targets the marketplace will accept. Existing REMADE members who have achieved TRL 6 for projects funded independently of REMADE are also eligible to apply.

The proposal team does not need to include the same partners as the original project team. The REMADE Institute encourages teams to include new team members who can address gaps in the original team's capabilities, the supply chain the project addresses, or other industry partners who will contribute to the technology's demonstration, verification, and validation. **Applicants must still include at least one industry partner responsible for the demonstration and validation tasks.** 

#### 3.1.1 REMADE Membership Requirements

When submitting its proposal, the lead organization for Technology DV&V projects must be a REMADE member. If a proposer adds a new partner to their team who is not currently a REMADE member, the new partner must agree to join the REMADE Institute if the project is funded. *All project team members must sign the REMADE membership agreement by the date that the Sustainable Manufacturing Innovation Alliance Corp. (SMIA) issues a subaward with the project lead organization.* This requirement applies to all organizations providing matching cost share towards the project or receiving federal funding through the REMADE Institute; however, it does not apply to vendors or service providers providing goods and services as a part of their normal business operations. To be eligible for REMADE Institute funding, organizations must be Industry Tier 1, Tier 2, or academic members (in the case of colleges and universities) of the REMADE Institute. Organizations not currently members of the REMADE Institute can learn more by completing the form using the following link: Learn How to Become Member.

#### 3.1.2 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 REMADE projects; however, their

<sup>&</sup>lt;sup>4</sup> If a DOE Lab is selected for award, the funding would be administered directly from DOE-AMMTO through an Annual Operating Plan (AOP).



participation is subject to approval by the DOE. Therefore, any foreign entity that is not a current member of REMADE, but is a member of a project team applying to this RFP, should contact the REMADE Institute as soon as possible.

For additional information regarding membership and participation by foreign entities, please contact John Kreckel, Director of Membership and Workforce Development, at <a href="mailto:ikreckel@remadeinstitute.org">ikreckel@remadeinstitute.org</a>.

#### 3.1.3 Entity of Concern Prohibition

#### **Prohibition**

No Entity of Concern as defined in <u>Section 10114 of Public Law 117-167 (42 USC 18912)</u>, may receive any grant, contract, cooperative agreement, or loan of \$10 million or more in Department of Energy funds, including funds made available by the Consolidated Appropriations Act, 2024 (<u>Public Law 118-42</u>).

In addition, for all awards involving Departmental activities authorized under <u>Public Law 117-167</u>, no Entity of Concern (including an individual that owns or controls, is owned or controlled by, or is under common ownership or control with an Entity of Concern) may receive DOE funds or perform work under any award, subject to certain penalties. See <u>Section 10114 of Public Law 117-167 (42 USC 18912)</u> and <u>Division D, Title III, Section 310 of Division D of the Consolidated Appropriations Act of 2024 (Pub. L. No. 118-42)</u> for additional information.

By submitting an application to this NOFO, the applicant is certifying that neither the applicant nor any of the project participants qualify as Entities of Concern.

#### **Definitions**

Entity of Concern is defined as in <u>Section 10114 of Public Law 117-167 (42 USC 18912)</u>, also known as the CHIPS and Science Act, as any entity, including a national, that is—

- A) identified under section 1237(b) of the Strom Thurmond National Defense Authorization Act for Fiscal Year 1999 (50 U.S.C. 1701 note; Public Law 105–261);
- B) identified under <u>section 1260H</u> of the William M. (Mac) Thornberry National Defense Authorization Act for Fiscal Year 2021 (10 U.S.C. 113 note; Public Law 116–283);
- c) on the <u>Entity List maintained by the Bureau of Industry and Security</u> of the Department of Commerce and set forth in Supplement No. 4 to part 744 of title 15, Code of Federal Regulations;
- D) included in the list required by section 9(b)(3) of the Uyghur Human Rights Policy Act of 2020 (Public Law 116–145; 134 Stat. 656); or
- E) identified by the Secretary, in coordination with the Director of the Office of Intelligence and Counterintelligence and the applicable office that would provide, or is providing, covered support, as posing an unmanageable threat
  - i. to the national security of the United States; or
  - ii. of theft or loss of United States intellectual property.

#### 3.2 Cost-Sharing

All projects require a minimum 1:1 cost share (i.e., applicants must match every dollar of REMADE



Institute funding with at least one dollar of cost share). Project teams may provide cash or inkind cost share but must incur the cost share within the applicable budget period in the Period of Performance. All cost share must be allowable per the REMADE Institute Cooperative Agreement and the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR 200 et seq.) as amended by 2 CFR 910. Specific sections regarding cost share include, but are not limited to, 2 CFR 200.306, 2 CFR 910.130, 2 CFR 910.352, and 2 CFR 200 Subpart E – Cost Principles.

The Lead Organization or any team member may commit to providing cost share. However, the Lead Organization is ultimately responsible for ensuring that its project team meets or exceeds the 1:1 cost share requirement and all proposed cost share and reporting requirements for each invoice it submits to the REMADE Institute.

Proposal teams must include cost-share commitment letters that collectively provide the required cost share for their project with their supplemental applications. The cost share commitment letters may not contain contingencies.

Proposers are responsible for the costs incurred in developing their response to this RFP. These costs are not eligible for reimbursement (or allowable as cost-share) under an award.

#### 3.3 Compliance Criteria

The REMADE Institute reviews each proposal team's submissions at each phase of the proposal process to determine whether they meet the eligibility requirements outlined in Section 3.1.

The REMADE Institute considers proposals that do not meet the compliance criteria listed below non-compliant and will not review them.

The REMADE Institute will deem concept papers, SOPOs, budgets, resumes and supplemental applications submitted through means other than the <u>Project Call Website</u> submitted after the applicable deadline, or incomplete documents as non-compliant.

#### 3.3.1 Concept Papers, SOPOs, and Budgets

The REMADE Institute will consider concept papers, SOPOs, and budgets as compliant if:

- The concept paper, the SOPO, and the budget comply with the content and form requirements in the concept paper, SOPO, and budget templates posted on the REMADE Institute <u>Project Call Website</u>,
- The proposal team meets the eligibility requirements outlined in Section 3.1,
- The Technology DV&V project team includes at least one industry partner, and

The applicant has submitted all the required documents electronically to <u>Project Call Website</u> by **5:00 p.m. ET, December 10, 2025**.

#### 3.3.2 Supplemental Applications

The REMADE Institute will consider supplemental applications as compliant if:

• The proposal team has submitted a compliant concept paper, SOPO, budget, and resumes, by the deadline.



- The proposal team meets the eligibility requirements outlined in Section 3.1,
- The supplemental application meets the cost-sharing requirements listed in Section 3.2,
- The supplemental application includes cost-share commitment letters that collectively commit to providing the required cost-share for the proposed project,
- The supplemental application complies with the content and form requirements in the RFP template posted on the <a href="Project Call Website">Project Call Website</a>, and

The applicant has submitted all the required documents electronically to the <u>Project Call Website</u> by **5:00 p.m. ET, January 6, 2026**.

### 4 Proposal Submission Information

#### 4.1 Proposal Submission Process

The REMADE Institute intends to use a two-step process for this RFP: (1) submitting a concept paper, a SOPO, a budget, and resumes, followed by (2) submission of a supplemental application.

The first step involves submitting a 6-page concept paper, a SOPO, a budget, and resumes<sup>5</sup>. Templates for these documents are available on the REMADE Institute <u>Project Call Website</u>. The concept paper summarizes the proposal team's prior technology development efforts, indicates whether they were funded by the REMADE Institute or independently, and describes the scope of the Technology DV&V project, including (a) the technology demonstration the team will conduct, (b) the process it has used to verify the supply chain requirements and cost targets the technology must meet, (c) the process the team will use to validate the technology, (d) the implementation and commercialization path of the technology at the end of the project, and (e) a ROM project budget. Appendix C outlines the information proposal teams are being asked to address in their concept papers. **Only applicants who have submitted a concept paper, a SOPO, a budget, and resumes will be eligible to participate in the second step.** 

The second step in the application process involves submitting a 16-slide PowerPoint presentation summarizing the proposed Technology DV&V project, cost-share letters of commitment, and an IP Management Plan. Templates for these documents are available on the REMADE Institute <a href="Project Call Websitehttps://remadeinstitute.org/dashboard/rfp-25-01/">Project Call Websitehttps://remadeinstitute.org/dashboard/rfp-25-01/</a>. All applicants who submit a concept paper, a SOPO, a budget, and resumes are eligible to submit a supplemental application unless they receive a notification that their initial application was non-responsive (Section 1.2.2), non-compliant (Section 3.3), or not recommended (Section 5.2.1).

The REMADE Institute will not review or consider concept papers, SOPOs, budgets, or supplemental applications submitted through means other than <a href="REMADE@remadeinstitute.org">REMADE@remadeinstitute.org</a>, submitted after the applicable deadline, or incomplete proposal documents.

<sup>&</sup>lt;sup>5</sup> Teams with currently active REMADE Institute-funded projects may submit an updated version of their current SOPO that includes their current workscope **and** the additional workscope to be accomplished through their Technology DV&V project.



#### 4.1.1 Concept Paper, SOPO, Budget, and Resumes Submission Process (Step 1)

Proposers must submit a concept paper, a SOPO, a budget, and resumes that meet the compliance requirements in Section 3.3.1 of this RFP to the <u>Project Call Website</u>. Organizations submitting a concept paper and SOPO should use the designation "ConcPap-REMADE-25-02-<Lead Organization>-Title" in the email's subject line.

Proposal teams must submit their concept paper, SOPO, budget, and resumes following the requirements outlined in the concept paper and SOPO templates posted on the REMADE Institute Project Call Website.

While submitting a concept paper, a SOPO, a budget, and resumes does not obligate a prospective Lead Organization to submit a supplemental application, the REMADE Institute will only review supplemental applications if the applicants first submit a concept paper, a SOPO, a budget, and resumes by the December 10, 2025, deadline.

#### 4.1.2 Supplemental Application Submission Process

Proposers must submit a supplemental application package that meets the compliance requirements in Section 3.3.2 to the <u>Project Call Website</u>. Please include the following designations in the subject line of the email: "SuppApp-REMADE-25-02-<Lead Organization>-Title."

Proposal teams must submit their 16-slide PowerPoint presentation, cost-share letters of commitment,IP Management Plan, and other documents as defined in section 4.4, using the REMADE Institute <a href="Project Call Website">Project Call Website</a> templates. The REMADE Institute requires proposal teams to use these templates.

# **4.2** Formatting the Concept Paper, SOPO, Budget, Resumes, and Supplemental Applications

#### 4.2.1 Concept Paper, SOPO, Budget and Resume Formatting

Proposal teams must submit their concept paper, SOPO, and budget using the templates available on the REMADE Institute <u>Project Call Website</u>. These documents should retain the formatting in their respective templates (single-spaced, U.S. Letter (8.5 by 11 inches) with 1" margins on all sides). All text must be Arial, Calibri, or Times New Roman type and no smaller than 11-point font; however, captions, figures, and tables may use 10-point font. Additionally, **covered individuals** on each proposal team must submit their resumes consistent with the guidance provided in section 4.3.

#### 4.2.2 Supplemental Application Formating

Proposal teams must submit their 16-slide PowerPoint Presentation, cost-share commitment letters, and IP Management Plan using the templates available on the REMADE Institute <a href="Project call Website">Project Call Website</a>.



There is a 16-slide limit (excluding the "References" slides, which should be placed in the backup section) for the PowerPoint presentations that proposal teams must submit.<sup>6</sup> Proposers should not include any other backup slides in the deck they submit.

Additionally, **covered individuals** must document their current and pending support (Section 4.4.1) using a digital persistent modifier(section 4.4.2), certify they have attended research security training (section 4.4.3), and provide a transparency of foreign connections disclosure and certification (section 4.4.5).

#### 4.3 Concept Paper, SOPO, Budget, and Resume Content Requirements

In addition to the Concept Paper, SOPO, and Budget, as noted above (4.2.1), proposal teams are also required to submit resumes for **covered individuals** using the guidance provided below.

#### Resumes for Research and Development (R&D) NOFOs

A resume provides information reviewers can use to evaluate an individual's skills, experience, and potential for leadership within the scientific community. Applicants must submit a resume or biographical sketch (see description below the table) for each Principal Investigator or Lead Project Manager, Senior/Key Personnel, and all **covered individuals** as defined below.

Proposal teams must screen resumes to ensure that they do not contain personally identifiable information (PII), such as personal addresses, personal landline/cell phone numbers, and personal emails.

#### **Covered Individual Definition, Designation, and Responsibility**:

For the purposes of this RFP, a Covered Individual means an individual who (a) contributes in a substantive, meaningful way to the development or execution of the scope of work of a project proposed for funding by DOE, and (b) is designated as a covered individual by DOE. Often, these individuals have doctoral or other professional degrees, although individuals at the master's or PhD level may be considered covered individuals if their involvement meets this definition. Consultants, graduate students, and those with a postdoctoral role also may be considered covered individuals if they meet this definition.

DOE designates as covered individuals any principal investigator (PI); project director (PD); coprincipal 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.

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

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

<sup>&</sup>lt;sup>6</sup> For oral presentations, proposal teams may include backup slides in their PowerPoint slide deck. They can utilize them, if necessary, during the Q&A portion of the oral presentation



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

#### Resumes must include the following information, at a minimum:

R	Resume Requirements (Research & Development Activities)		
Contact Information	Phone, email, and address		
Education & Training	Provide name of institution, major/area, degree, and year for undergraduate, graduate, and postdoctoral training		
Research & Professional Experience	Beginning with the current position, list professional/academic positions in chronological order with a brief description. List all current academic, professional, or institutional appointments, foreign or domestic, at the applicant institution or elsewhere, whether remuneration is received, and, whether full-time, part-time, or voluntary		
Awards & Honors	List any notable awards and honors received		
Publications	List of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically. Patents, copyrights, and software systems developed may be provided in addition to or substituted for publications. An abbreviated style such as the Physical Review Letters (PRL) convention for citations (list only the first author) may be used for publications with more than 10 authors		
Synergistic Activities	List up to five professional and scholarly activities related to the proposed effort;		
Additional Criteria	There should be no lapses in time over the past 10 years or since age 18, whichever period is shorter.		

As an alternative to a resume, it is acceptable to use the biographical sketch format approved by the National Science Foundation (NSF). The biographical sketch format may be generated by the Science Experts Network Curriculum Vita (SciENcv), a cooperative venture maintained at <a href="SciENcv:Science Experts Network Curriculum Vitae (nih.gov)">Science Experts Network Curriculum Vitae (nih.gov)</a> also available at <a href="Common Form for Biographical Sketch (nsf.gov)">Common Form for Biographical Sketch (nsf.gov)</a>. The use of a format required by another agency is intended to reduce the administrative burden to researchers by promoting the use of common formats.



#### 4.4 Supplemental Application Content Requirements

In addition to 16-slide PowerPoint Presentation, cost-share commitment letters, and IP Management Plan noted above (4.2.2), proposal teams are also required to submit the following documents.

#### 4.4.1 Current and Pending Support Submission Requirement

Current and pending support is intended to allow the identification of potential duplication, overcommitment, potential conflicts of interest or commitment, and all other sources of support. As part of the application, the Principal Investigator or Lead Project Manager and all covered individuals as defined below at the applicant and subrecipient level must submit a Current and Pending Support disclosure. Consistent with the chart below, the current and pending support disclosures and biosketch/resumes must together include a list of all sponsored activities, awards, and appointments, whether paid or unpaid; provided as a gift with terms or conditions or provided as a gift without terms or conditions; full-time, part-time, or voluntary; faculty, visiting, adjunct, or honorary; cash or in-kind; foreign or domestic; governmental or private-sector; directly supporting the individual's research or indirectly supporting the individual by supporting students, research staff, space, equipment, or other research expenses. All connections with malign foreign talent recruitment programs must be identified in current and pending support.

	Information Required for Each Activity			
Sponsor of the Activity	The sponsor of the activity or the source of funding. Identify the entity for each proposal and/or active project that is providing the support. Include all Federal, State, Tribal, territorial, local, foreign, public or private foundations, non-profit organizations, industrial or other commercial organizations, or internal funds allocated toward specific projects.			
Award Number	The federal award number or any other identifying number.			
Award Title	The title of the award or activity. If the title of the award or activity is not descriptive, add a brief description of the research being performed that would identify any overlaps or synergies with the proposed research			
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. For in-kind contributions, enter the US dollar value of the in-kind contribution with an estimated value of \$5000 or more. If the dollar value is not readily ascertainable, a reasonable estimate should be provided. If the support is in a foreign country's currency, convert to US dollars at time of submission rounded			



	to the nearest dollar.		
Primary Place of Performance	Identify the primary location where the proposal and/or active project is being executed. Enter the City, State/Province, and Country where the organization is located. If the State/Province is not applicable, state N/A.		
Award Period	The "Start Date" through "End Date".		
Person-months	The person-months of effort per year dedicated to the award or activity. Enter how much time the individual anticipates is necessary to complete the scope of work on the proposal and/or active project. Enter the number of person-months (even if unsalaried) for the current budget period and enter the proposed person-months for each subsequent budget period. If the time commitment is not readily ascertainable, a reasonable estimate should be provided.		
Overall Objectives	Provide a brief statement of the overall objectives of the proposal/active project.		
Statement of Potential Overlap  Enter a description of the potential overlap with any pending prop or active foreign or domestic project and this proposal in terms of scope, budget, or person-months planned or devoted to the project the individual. If there is no potential overlap, state "none".			
Digital Persistent Identifier (e.g., ORCID iD)	For R&D RFPs only, providing an ORCID iD is required.		
Certification Statement	All covered individuals must provide a separate disclosure statement listing the required information above regarding current and pending support. Each individual must sign and date their respective certification statement:  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 <u>malign foreign talent recruitment program</u>. I further understand should I take action to involve myself with a Malign Foreign Talent Recruitment Program during the period of performance of the award, I must notify the recipient's Authorized Agent immediately, but no later than five business days of taking such action and immediately recuse myself from all DOE awards.

The following certification is required for R&D projects:

I further certify that within the past 12 months I have completed research security training meeting the requirements in SEC. 10634(b) of 42 USC 19234.

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.

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

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

#### **Definitions:**

#### Current and pending support -

A) All resources made available, or expected to be made available, to an individual in support of the individual's RD&D efforts, regardless of



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

This term has the same meaning as the term "Other Support" as applied to researchers in 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 resource and/or financial support from all foreign and domestic entities, including but not limited to gifts provided with terms or conditions, financial support for laboratory personnel, and participation of student and visiting researchers supported by other sources of funding.

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

- A) any program, position, or activity that includes compensation in the form of cash, inkind compensation, including research funding, promised future compensation, complimentary foreign travel, things of non de minimis value, honorific titles, career advancement opportunities, or other types of remuneration or consideration directly provided by a foreign country at any level (national, provincial, or local) or their designee, or an entity based in, funded by, or affiliated with a foreign country, whether or not directly sponsored by the foreign country, to the targeted individual, whether directly or indirectly stated in the arrangement, contract, or other documentation at issue, in exchange for the individual
  - i. engaging in the unauthorized transfer of intellectual property, materials, data products, or other nonpublic information owned by a United States entity or developed with a federal research and development award to the government of a foreign country or an entity based in, funded by, or affiliated with a foreign country regardless of whether that government or entity provided support for the development of the intellectual property, materials, or data products;
  - ii. being required to recruit trainees or researchers to enroll in such program, position, or activity;
  - iii. establishing a laboratory or company, accepting a faculty position, or undertaking any other employment or appointment in a foreign country or with an entity based in, funded by, or affiliated with a foreign country if such activities are in violation of the standard terms and conditions of a federal research and development award;
  - iv. being unable to terminate the foreign talent recruitment program contract or agreement except in extraordinary circumstances;



- v. through funding or effort related to the foreign talent recruitment program, being limited in the capacity to carry out a research and development award or required to engage in work that would result in substantial overlap or duplication with a federal research and development award;
- vi. being required to apply for and successfully receive funding from the sponsoring foreign government's funding agencies with the sponsoring foreign organization as the recipient;
- vii. being required to omit acknowledgment of the recipient institution with which the individual is affiliated, or the federal research agency sponsoring the research and development award, contrary to the institutional policies or standard terms and conditions of the federal research and development award;
- viii. being required to not disclose to the federal research agency or employing institution the participation of such individual in such program, position, or activity; or
- ix. having a conflict of interest or conflict of commitment contrary to the standard terms and conditions of the federal research and development award; and
- B) a program that is sponsored by
  - i. a foreign country of concern or an entity based in a foreign country of concern, whether or not directly sponsored by the foreign country of concern;
  - ii. an academic institution on the list developed under section 1286(c)(8) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note; 1 Public Law 115–232); or
  - iii. a foreign talent recruitment program on the list developed under section 1286(c)(9) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note; 1 Public Law 115–232).

More information can be found at OSTP-Foreign-Talent-Recruitment-Program-Guidelines.pdf.

#### 4.4.2 Digital Persistent Identifier (PID)

For all Research and Development (R&D) applications, individuals that are required to submit Biographical Sketch and/or Current and Pending (Other) Support disclosures must provide a digital persistent identifier (PID) in such disclosures as part of the application. Included PIDs must meet the common/core standards specified in an ORCID iD). Include this information for each covered individual with the Current and Pending Support submission.

#### 4.4.3 Research Security Training Requirement

The research security training requirement described here is required for R&D applications. Covered individuals listed on applications are required to certify that they have taken research security training consistent with Section 10634 of the CHIPS and Science Act of 2022. In addition, an applicant who receives an award must maintain sufficient records (records must be retained for the time period noted in 2 CFR 200.334 and made available to DOE upon request) of its compliance with this requirement for covered individuals at the applicant/recipient organization and it must extend this requirement to any and all subrecipients.

Include this information for each covered individual with the <u>Current and Pending Support</u> submission.

#### 4.4.4 Transparency of Foreign Connections Submission Requirement

Applicants must provide a transparency of foreign connections disclosure and certification as it relates to the proposed recipient and subrecipient(s). Include a separate disclosure for the applicant and each proposed subrecipient.

**Disclosure Format:** For the convenience of the entity providing the disclosure and certification a template is available at <u>Transparency of Foreign Connections | Department of Energy</u>, however, the entity is not required to use this specific format. If another format is used, the signatory must include the same substantive information, a signature, date, and the certification statement provided at <u>Transparency of Foreign Connections | Department of Energy</u>.

Disclosure exceptions by entity type:

- U.S. National Laboratories and domestic government entities are not required to respond to the Transparency of Foreign Connections disclosure.
- Institutions of higher education are only required to respond to items with an asterisk symbol (\*).
- The applicability of disclosure requirements is determined by the entity type. Regardless of whether the applicant is exempt, the subrecipient(s) must provide these disclosures unless the subrecipient is also exempt.

Applicants, regardless of entity type, must provide complete responses for project team members that are not U.S. National Laboratories, domestic government entities, or institutions of higher education.

Questions: Contact rtesinfo@hq.doe.gov

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

Disclosure Information			
*Entity Name	Complete legal name of the lead organization.		
*Website Address	Link to the entity's website address.		
*Mailing Address	Complete mailing address for the entity to include zip code.		
*Project Participants Party to ANY Malign Foreign Talent Recruitment Program	The identity of all owners, principal investigators, project managers, and covered individuals who are a party to any Malign Foreign Talent Recruitment Program. As part of this requirement, the entity must also certify that each covered individual has been made aware of the Malign Foreign Talent Recruitment Program prohibition and complied with the certification requirement via the		



Disclosure Information		
	Current and Pending Support disclosure;	
Country of Risk Joint Venture or Subsidiary	The existence of any joint venture or subsidiary that is based in, funded by, or has a foreign affiliation with any foreign country of risk (i.e., the People's Republic of China, Iran, North Korea, and Russia);	
Current or Pending Foreign Contractual or Financial Obligation	agreement specific to a business arrangement, or joint venture-like	
Percentage Foreign Ownership or Control	Percentage, if any, that the proposed recipient or subrecipient has foreign ownership or control;	
Percentage Country of Risk Ownership  Percentage, if any, that the proposed recipient or subrecipies wholly or partially owned, directly or indirectly, by an entity incorporated or otherwise formed in a foreign country of ris foreign state-owned entity;		
Percentage Country of Risk Investment  Percentage, if any, of venture capital or institutional investme an entity that has a general partner or individual holding a leadership role in such entity who has a foreign affiliation with foreign country of risk;		
*Country of Risk Technology Licensing of Intellectual Property Sales	Any technology licensing, transfer, or intellectual property sales to a foreign country of risk, in effect during the 5-year period preceding submission of the proposal within the same technology area as the application (e.g., batteries, biotechnology, grid, energy generation and storage, advanced computing);	



Disclosure Information		
*Foreign Equipment	<ul> <li>Any of the following foreign equipment proposed for use on the project: <ol> <li>Unmanned aircraft, control, and communications components originally made or manufactured in a foreign country of risk (including relabeled or rebranded equipment).</li> <li>Coded equipment where the source code is written in a foreign country of risk.</li> <li>Equipment from a foreign country of risk that will be connected to the internet or other remote communication system.</li> <li>Any entity from a foreign country of risk that will have physical or remote access to any part of the equipment used on the project after delivery.</li> </ol> </li> </ul>	
Foreign Entity Relationships	Any foreign business entity, offshore entity, or entity outside the United States related to the proposed recipient or subrecipient;	
List of Company Directors (and Board Observers)	Complete list of all directors (and board observers), including their full name, citizenship and shareholder affiliation, date of appointment, duration of term, as well as a description of observer rights as applicable;	
Complete Capitalization Table	Complete capitalization table for your entity, including all equity interests (including LLC and partnership interests, as well as derivative securities). Include both the number of shares issued to each equity holder, as well as the percentage of that series and all equity on a fully diluted basis. Identify the principal place of incorporation (or organization) for each equity holder. If the equity holder is a natural person, identify the citizenship(s). If the recipient or subrecipient is a publicly traded company, provide the above information for shareholders with an interest greater than 5%;	
Principal Place of Incorporation	Identify the principal place of incorporation (or organization) for each equity holder. If the equity holder is a natural person, identify the citizenship(s). If the recipient or subrecipient is a publicly traded company, provide the above information for shareholders with an interest greater than 5%;	
Rounds of Financing Table	A summary table identifying all rounds of financing, the purchase dates, the investors for each round, and all the associated governance and information rights obtained by investors during	



Disclosure Information		
each round of financing; and		
Organization Chart	An organization chart to illustrate the relationship between your entity and the immediate parent, ultimate parent, and any intermediate parent, as well as any subsidiary or affiliates. Identify where each entity is incorporated.	

REMADE reserves the right to request additional clarifying information based on the information submitted.

#### 4.4.5 Performance of Work in the United States (Foreign Work Waiver)

REMADE strongly encourages all proposed work to be conducted within the United States. If work is proposed outside the United States, the following process must be followed.

#### Requirement:

All work for the projects selected must be performed in the United States, absent a written waiver approved by DOE and prior approval by the Grants Officer. To request a waiver of this requirement, the applicant must submit an explicit waiver request in the application. A separate waiver request must be submitted for each entity proposing performance of work outside of the United States.

Overall, a waiver request must demonstrate to the satisfaction of DOE that it would further the purposes of this RFP, and is otherwise in the best interest of the DOE programmatic objectives, is in the economic and energy security interests of the United States, does not pose an undue RTES risk (see Due Diligence Review for Research Technology and Economic Security below) and is otherwise in the best interest of DOE program goals and agency priorities. A request for a foreign work waiver must include the following:

- 1. The rationale for performing the work outside the United States ("foreign work");
- 2. A description of the work proposed to be performed outside the United States;
- 3. An explanation as to how the foreign work is essential to the project;
- 4. A description of the anticipated benefits to be realized by the proposed foreign work and the anticipated contributions to the U.S. economy;
- 5. The associated benefits to be realized and the contribution to the project from the foreign work;
- 6. How the foreign work will benefit the United States, including manufacturing, contributions to employment in the United States and growth in new markets and jobs in the United States;
- 7. How the foreign work will promote manufacturing of products and/or services in the United States;
- 8. A description of the likelihood of IP being created from the foreign work and the treatment of any such IP;



- The total estimated cost (DOE and recipient cost share) of the proposed foreign work;
- 10. The countries in which the foreign work is proposed to be performed; and
- 11. The name of the entity that would perform the foreign work.

DOE may require additional information before considering the waiver request. DOE's decision concerning a waiver request is not appealable.

#### **Failure to Comply**

If the recipient fails to comply with the Performance of Work in the United States requirement, DOE may deny reimbursement for the work conducted outside the United States and such costs may not be recognized as allowable recipient cost share. The recipient is responsible should any work under this award be performed outside the United States, absent a waiver, regardless of whether the work is performed by the recipient, subrecipients, contractors or other project partners.

#### **Foreign Work Waiver**

To seek a foreign work waiver, the applicant must submit a written waiver request to DOE. Refer to <u>Performance of Work in the United States (Foreign Work Waiver)</u> which lists the information that must be included in a request for a foreign work waiver.

#### 4.4.6 Foreign Travel

If international travel is proposed for your project, foreign travel costs are allowable only with the written approval of the Grants Officer (GO) assigned to the award prior to any incurred costs. If your proposal is selected for negotiations, please inform the DOE project team of any planned international travel that may occur during the course of the project.

In addition to the GO approval above, a foreign work waiver is also required in the following circumstances:

- For travel to any country, submit a foreign work waiver for foreign travel conducted in connection with the scope of the project where the purpose of the travel is a not a conference, scholarly workshop, or symposium.
- If the purpose of the travel is a conference, scholarly workshop, or symposium, the applicant is only required to submit a foreign work waiver if the travel is to a foreign country of concern (China, Russia, North Korea, Iran).
- See Performance of Work in the United States (Foreign Work Waiver) above for details.

All planned international travel must be essential to the successful completion of a task outlined in your proposal.

All international travel must comply with the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. § 40118), commonly referred to as the "Fly America Act," and implementing regulations at 41 CFR 301-10.131 through 301-10.143. The law and regulations require air transport of people or property to, from, between, or within a country other than the United States, the cost of which is supported under this award, to be performed by or under a cost-sharing arrangement with a United States flag carrier, if service is available.



#### 4.4.7 Due Diligence Review for Research, Technology and Economic Security

All applications submitted to REMADE are subject to a due diligence review by DOE.

As DOE invests in critical infrastructure and funds critical and emerging technology areas, DOE considers possible threats to United States research, technology, and economic security from undue foreign government influence when evaluating risk. As part of the research, technology, and economic security risk review, DOE may contact the applicant and/or proposed project team members for additional information to inform the review. This risk review is conducted separately from the technical merit review.

All project participants, which for purposes of this term includes individuals participating in the project, are subject to RTES due diligence reviews. The due diligence review of covered individuals includes but is not limited to the review of resumes/biosketches, disclosures, and certifications, as required in the RFP. DOE reserves the right to require resumes/biosketches, disclosures, and certifications for project participants not defined as covered individuals. The Applicant need not submit any additional information on non-covered individuals, unless requested by DOE. The volume and type of information collected may depend on various factors associated with the award.

Note this review is separate and distinct from DOE Order 142.3B "Unclassified Foreign National Access Program".

In the event an RTES risk is identified, DOE may require risk mitigation measures, including but not limited to, requiring that an individual or entity not participate in the award. If significant risks are identified and cannot be sufficiently mitigated, DOE may elect to not fund the applicant.

Consistent with section 4(e) of the Presidential Memorandum on United States Government-Supported Research and Development National Security Policy-33 (NSPM-33), DOE may share information regarding the risks identified as part of the RTES due diligence review process or monitoring with other Federal agencies.

DOE's decision regarding a due diligence review is not appealable.

#### 4.4.8 Interim Conflict of Interest Policy for Financial Assistance

The DOE interim Conflict of Interest Policy for Financial Assistance (COI Policy)<sup>8</sup> is applicable to all recipients or subrecipients applying for, or that receive, DOE funding by means of a financial assistance award (e.g., a grant or cooperative agreement) and, through the implementation of this policy by the entity, to each Investigator who is planning to participate in, or is participating in, the project funded wholly or in part under the DOE financial assistance award. The term "Investigator" means the PI and any other person, regardless of title or position, who is responsible for the purpose, design, conduct, or reporting of a project funded by DOE or proposed for funding by DOE. Recipients must flow down the requirements of the interim COI Policy to any subrecipient. Further, for DOE funded projects, the recipient must include all

<sup>&</sup>lt;sup>7</sup> See <u>Critical and Emerging Technologies List Update (whitehouse.gov)</u>.

<sup>&</sup>lt;sup>8</sup> DOE's interim COI Policy can be found at <a href="https://www.energy.gov/management/department-energy-interim-conflict-interest-policy-requirements-financial-assistance">https://www.energy.gov/management/department-energy-interim-conflict-interest-policy-requirements-financial-assistance</a>.



financial conflicts of interest (FCOI) (i.e., managed and unmanaged/unmanageable) in its initial and ongoing FCOI reports.

It is understood that recipients or subrecipients receiving DOE financial assistance awards will need sufficient time to come into full compliance with DOE's interim COI Policy. To provide some flexibility, DOE allows for a staggered implementation.

Specifically, prior to award, applicants selected for award negotiations must: ensure all Investigators complete their significant financial disclosures; review the disclosures; determine whether a FCOI exists; develop and implement a management plan for FCOIs; and provide DOE with an initial FCOI report that includes all FCOIs (i.e., managed and unmanaged/unmanageable).

Recipients will have 180 days from the date of the award to come into full compliance with the other requirements set forth in DOE's interim COI Policy. Prior to award, the applicant must certify that it is, or will be within 180 days of the award, compliant with all requirements in the COI Policy.

#### 4.4.9 Participants and Collaborating Organizations

If selected for award negotiations, the selected applicant must submit a list of personnel who are proposed to work on the project, both at the recipient and subrecipient level and a list of proposed collaborating organizations prior to award. Recipients will have an ongoing responsibility to notify DOE of changes to the personnel and collaborating organizations and submit updated information during the life of the award.

#### 4.4.10 Current and Pending Support

Throughout the life of the award, the recipient has an ongoing responsibility to submit: 1) current and pending support disclosure statements and resumes/biosketches for any new covered individuals, and 2) updated disclosures if there are changes to the current and pending support or resume/biosketch previously submitted to DOE. Also see the <u>Current and Pending Support</u> information in the Application Contents Requirements section above.

#### 4.4.11 Prohibition Related to Malign Foreign Talent Recruitment Programs

#### **Prohibition**

Individuals participating in a <u>Malign Foreign Talent Recruitment Program.</u><sup>9</sup> are prohibited from participating in this award.

Should an award result from this RFP, the recipient must exercise ongoing due diligence to reasonably ensure that no such individuals participating on the REMADE-funded project are participating in a *Malign Foreign Talent Recruitment Program*. Consequences for violations of this prohibition will be determined according to applicable law, regulations, and policy.

Further, the recipient must notify REMADE within five (5) business days upon learning that an individual on the project team is or is believed to be participating in a malign foreign talent

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<sup>&</sup>lt;sup>9</sup> See section 4.3.2 for a definition.



recruitment program. DOE may modify and add requirements related to this prohibition to the extent required by law.

#### **Required Certifications**

Each covered individual must certify that they are not party to a Malign Foreign Talent Recruitment Program.

The applicant and the subrecipients must certify that the covered individuals in their respective employment have been made aware of the Malign Foreign Talent Recruitment Program prohibition and have complied with their certification responsibilities identified in (A).

#### **Non-Discrimination**

DOE will ensure that the Malign Foreign Talent Recruitment Program Prohibition is carried out in a manner that does not target, stigmatize, or discriminate against individuals on the basis of race, ethnicity, or national origin, consistent with title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.).

Consistent with applicable law (42 U.S.C. 19232), this provision does not prohibit, unless such activities are funded, organized, or managed by an academic institution or a foreign talent recruitment program on the lists developed under paragraphs (8) and (9) of section 1286(c) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 4001 note; Public Law 115–232)—

- A) making scholarly presentations and publishing written materials regarding scientific information not otherwise controlled under current law;
- B) participation in international conferences or other international exchanges, research projects or programs that involve open and reciprocal exchange of scientific information, and which are aimed at advancing international scientific understanding and not otherwise controlled under current law;
- C) advising a foreign student enrolled at an institution of higher education or writing a recommendation for such a student, at such student's request; and
- D) other international activities determined appropriate by the federal research agency head or designee.

#### 4.4.12 Foreign Collaboration Considerations

For **new** collaborations with foreign entities, organizations, and governments, the recipient will be required to provide DOE with advanced written notification of any potential collaboration with foreign entities, organizations, or governments in connection with its DOE-funded award scope. The recipient will then be required to await further guidance from DOE prior to contacting the proposed foreign entity, organization, or government regarding the potential collaboration or negotiating the terms of any potential agreement.

For **existing** collaborations with foreign entities, organizations, and governments, the recipient will be required to provide DOE with a written list of all existing foreign collaborations in which it has entered in connection with its DOE-funded award scope.

Description of collaborations that should be reported:



In general, a collaboration will involve some provision of a thing of value to, or from, the recipient.

A thing of value includes but may not be limited to all resources made available to, or from, the recipient in support of and/or related to the DOE award, regardless of whether they have monetary value.

Things of value also may include in-kind contributions (such as office/laboratory space, data, equipment, supplies, employees, students).

In-kind contributions not intended for direct use on the DOE award but resulting in provision of a thing of value from or to the DOE award must also be reported.

Collaborations do not include routine workshops, conferences, use of the recipient's services and facilities by foreign investigators resulting from its standard published process for evaluating requests for access, or the routine use of foreign facilities by awardee staff in accordance with the recipient's standard policies and procedures.

#### 4.5 Submission Deadlines

#### 4.5.1 Concept Paper, SOPO, Budget, and Resumes

Each proposal team must submit its concept paper, SOPO, Budget, and Resumes by **5:00 p.m. ET, December 10, 2025** to the Project Call Website.

The REMADE Institute will email applicants to confirm receipt of their concept paper and SOPO but will not review late submissions.

Component	File Format	File Name
Concept Paper	PDF	CP [org name][project name]
SOPO	PDF	SOPO [org name][project name]
Budget	Excel	Budget [org name][project name]
	PDF	Resume [org name][project name]
Resumes for Covered Individuals		Submit one resume for each covered individual

#### 4.5.2 Supplemental Application

Each proposal team must submit its PowerPoint presentation, cost-share commitment letters, IP Management Plan, and other documents as outlined in the RFP by **5:00 p.m. ET, January 6, 2026** to the Project Call Website.

Additionally, **covered individuals** must document their current and pending support (Section 4.4.1) using a digital persistent modifier(section 4.4.2), certify they have attended research security training (section 4.4.3), and provide a transparency of foreign connections disclosure and certification (section 4.4.5).

The REMADE Institute will email applicants to confirm receipt of their supplemental applications but will not review late submissions.



Component	File Format	File Name
PowerPoint Presentation	PPT	25-02-[ID] PPT [org name][project name]
Cost Share Commitment Letters	PDF	25-02-[ID] LOC [org name][project name]
IP Management Plan		25-02-[ID] IP [org name][project name]
Current and Pending Support with:  Certification Statement for Covered Individuals.  ORCID iD / PID  Certification of research security training meeting the requirements in SEC. 10634(b) of 42 USC 19234.		25-02-[ID] CP [org name][Last name] Submit one file for each covered individual
Transparency of Foreign Connections form		25-02-[ID] TFC [org name][project name]

### 4.6 Questions and Answers (Q&A)

The REMADE Institute will hold an information session for this RFP on October 24, 2025. Please refer to the <u>Project Call Website</u> for additional information. Following this session, the REMADE Institute will post a video of this event for those unable to attend.

The REMADE Institute will compile the questions it receives and the corresponding answers into a Frequently Asked Questions (FAQ) section, which it will post on the REMADE Institute <a href="Project Call Website">Project Call Website</a>. This Project FAQ will also include responses to questions the REMADE Institute did not have time to answer thoroughly during the information session.

Proposers with questions regarding this RFP that arise during the preparation of their concept paper, SOPO, Budget, Resumes or supplemental application should submit their questions to <a href="REMADE RFP@remadeinstitute.org">REMADE RFP@remadeinstitute.org</a> with the subject line: "REMADE-25-02 Q&A". The REMADE Institute will answer these questions directly and append them to the Project FAQ on the REMADE Institute Project Call website.

## 5 Application Review Information

#### 5.1 Technical Evaluation Criteria

The four (4) criteria for evaluating the concept papers, SOPO, and supplemental applications for Technology DV&V projects are as follows:



Prior Technology Development & Planned Technology Demonstration — The extent to which the proposal team has clearly explained the technology approach utilized in the previously-funded efforts, the scope and outcomes of its previous technology demonstrations, the rationale for why the project has already achieved TRL 6, the scope of planned technology demonstration and the results the team will achieve, the extent to which the project extends the team's prior efforts, the rationale the team used to determine the technology will reach TRL 7 by the end of the project, and the TPM impacts (quantified) of the project relative to decreasing primary feedstock consumption, increasing secondary feedstock consumption, and reducing embodied energy and lifecycle impacts.

Technology Verification and Validation – The extent to which the proposal team has described where the technology fits (and would be inserted) into the current supply chain, received industry confirmation that the technology being demonstrated is relevant and valuable to their supply chain, quantified the technical performance levels and financial targets the technology must achieve before it can be implemented, specified which technologies it will validate and described how it will evaluate their performance, and explained how it will quantify the economic, environmental, and feedstock impacts of the technology relative to its prior work.

Implementation & Commercialization and Adoption Risks & Barriers — The extent to which the proposal team has identified additional technology development or testing required and stakeholders that need to be engaged before implementation or commercialization, the most likely transition path for inserting the technology into the supply chain and the additional investment that would be required, the key risks or barriers that might prevent implementation or commercialization at the end of the project and ways to abate the risks, and potential industry partners on the team or organizations from the supply chain that have expressed interest in implementing or commercializing the technology or committed to investing in maturing the technology further.

Team and Management Capabilities – the likelihood that the technical team will be able to execute the project within the proposed budget and performance period they have outlined, given their experience, expertise, past accomplishments, available resources, institutional commitment, and access to the relevant technologies that are critical to the success of the proposed technology demonstration.

Table 1 provides the weighting factors for the four criteria.

For this RFP, greater weight has been placed on *Technology Verification and Validation* and *Impact & Commercialization and Adoption Risks & Barriers* to ensure projects fully understand what the end market requirements are, validate the ability of the technology to meet those requirements, identify the level of effort that would be required to subsequently implement the technology and potential adoption risks, and quantify the TPM and financial impacts of their work.

Table 1. Weighting Factors for Criteria for Technology DV&V Projects

Evaluation Criteria	Weighting Factors for Technology Demonstration, Verification, and Validation Projects
Prior Technology Development and Planned Technology Demonstration	20%
Technology Verification and Validation	30%
Implementation & Commercialization and Adoption Risks &Barriers	30%
Team & Management Capabilities	20%

Table 2 contains the rubric merit reviewers will use to evaluate Technology DV&V proposals. The REMADE Institute has identified the applicable list of factors for each criterion.

Appendix A contains a list of the REMADE Institute TPMs.

#### 5.2 Merit Review Process for Technology DV&V Applications

The REMADE Institute will conduct two rounds of reviews. The first will correspond to the concept paper, SOPO,Budget, and Resume submissions, and the second will follow the submission of the supplemental applications.

#### 5.2.1 Merit Review Process for the Concept Paper, SOPO, Budget, and Resumes

Once applicants have submitted their concept papers, SOPOs, Budgets, and resumes, the REMADE Institute Chief Technology Officer (CTO), will assemble a single merit review committee including subject matter experts from industry, academia, and the national laboratories (subject to non-disclosure agreements and consistent with the REMADE Institute conflict of interest policy) that will review the proposal documents using the criteria outlined in Table 2<sup>10</sup>. The review committee will discuss each application and develop funding recommendation based on factors such as (but not limited to) (a) available REMADE Institute funds, (b) the funding allocation specified for this RFP, (c) the potential impact of each application and its ability to help the REMADE Institute achieve its goals, and (d) whether the PI is leading multiple applications recommended for funding. The AMMTO team will also be invited to observe these review sessions.

Based on the results of their evaluations, the review committee will assign each submission a RECOMMEND or DO NOT RECOMMEND rating. The applications that receive a RECOMMEND rating will be asked to submit a supplemental application and give a follow-up oral presentation to the review committee. The committee may also provide each proposal team with additional questions they want them to clarify during oral presentations.

<sup>&</sup>lt;sup>10</sup> In contrast to prior RFPs, proposals will be reviewed by a single review panel rather than individual panels aligned to the REMADE Institute Nodes. Similar to prior merit review panels, a lead reviewer, a secondary reviewer, and ascribe will be assigned for each proposal.

Table 2. Evaluation Criteria for Technology DV&V Applications

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	Evaluation Criteria		
Prior Technology Development & Planned Tech Demo	<ul> <li>The technology approach and the key technical elements of the previously funded project(s) have been described, and the previous technology demonstrations and results have been articulated.</li> <li>The rationale for why the project has already achieved TRL 6 is clear and accurate.</li> <li>The planned technology demonstration's scope, which describes where it will take place and the equipment, facilities, and feedstocks the team will use, has been clearly described. The team explained what it would accomplish during the tech demo.</li> <li>The proposed workscope clearly extends the team's prior efforts and will reach TRL 7 by the end of the project.</li> <li>The team has quantified the TPM impacts of its project.</li> </ul>		
Technology Verification and Validation	<ul> <li>The team has described where the technology fits (and would be inserted) into the current supply chain. Industry has confirmed that the technology being demonstrated is relevant and valuable to its supply chain.</li> <li>The technical performance levels and financial targets the technology must achieve before implementation have been defined, and the team has clearly described who in the supply chain helped them quantify those targets.</li> <li>The team has identified which technologies it will validate, described how it intends to evaluate the technical performance of the materials/technologies being demonstrated, and indicated whether industry partners are involved in the evaluation.</li> <li>The team has described how it plans to quantify the technology's economic, environmental, and feedstock impacts relative to the team's prior work.</li> </ul>		
Implementation & Commercialization and Adoption Risks & Barriers	<ul> <li>The team has described additional technology development or testing that may need to be performed before the technology can be implemented or commercialized. It has also identified additional supply chain organizations or stakeholders to engage.</li> <li>The team has identified the most likely transition path for inserting the technology into the supply chain and estimated the additional investment and time required.</li> <li>The team has identified the key risks/barriers that might prevent implementation or commercialization at the project's end and laid out a plan for abating them.</li> <li>The team has indicated whether any industry partners or organizations from the broader supply chain have expressed interest in implementing or commercializing the technology or have committed to investing in further tech maturation.</li> </ul>		
Team & Management Capabilities	<ul> <li>Lead Org and PI have required technical expertise to lead the project successfully.</li> <li>The extent to which the Project Team has industry &amp; non-industry participants, and at least one industry partner is actively guiding (ideally leading) the project.</li> <li>Team Members have direct experience and sufficient expertise with the technology to perform the project. Relevant supply chain entities are actively involved in the project.</li> <li>The team has access to appropriate tech demo facilities, and the equipment used has been clearly described.</li> <li>Industry and non-industry partners provide cost share, and industry partners provide more than half.</li> </ul>		



#### 5.2.2 Merit Review Process for the Supplemental Application

Applicants whose applications were recommended by the reviewers will prepare a supplemental application consisting of a PowerPoint presentation, cost-share letters of commitment, an IP Management Plan, and other documents as defined in section 4.4. Templates for these documents are available on the REMADE Institute <u>Project Call Website</u>.

Once the applicants have submitted these documents, the REMADE Institute CTO and subject matter experts will review the supplemental application individually. They will also schedule a 30-minute application review meeting with each PI and project team that will include a 20-minute presentation and 10 minutes of Q&A. During their presentations, applicants will answer the questions that the review committee identified. The AMMTO team will be invited to observe the oral presentations. Following the oral presentations, the review committee will discuss each application and develop a funding recommendation based on factors such as (but not limited to) (a) available REMADE Institute funds, (b) the funding allocation specified for this RFP, (c) the potential impact of each application and its ability to help the REMADE Institute achieve its goals and (d) whether the PI is leading multiple applications recommended for funding. Funding recommendations will be reviewed and finalized by REMADE and DOE, with selections anticipated in February, 2026. Before launching a project, the team must work with REMADE Institute Project Managers and the Finance Team to prepare its SOPO, Budget, and other required documentation for DOE approval and formal incorporation into the REMADE award.

#### 6 Post-Selection Information

# 6.1 Incorporation of the Projects into the REMADE Institute's Cooperative Agreement

After selection, the REMADE Institute must incorporate all projects into the Cooperative Agreement between the DOE and the Sustainable Manufacturing Innovation Alliance Corp. (SMIA). The REMADE Institute will execute subawards with the Lead Organization. All terms and conditions of the Cooperative Agreement with the DOE that apply to the REMADE Institute will also apply to the subaward for the Lead Organization and subaward participants, except as otherwise expressly provided.

## 6.2 Technical Performance Monitoring and Reporting

REMADE Project Managers will monitor each project's technical and cost performance. Project teams will submit the reports below to the REMADE Project Manager to fulfill their reporting requirements. REMADE and DOE will review and access these reports as part of their official duties.

**Monthly status reports** (in a format provided by the REMADE Institute) include the schedule and any technical deliverables completed in the month covered by the report. Monthly reports are due by the 15<sup>th</sup> of the month following the month covered by the report.

Quarterly status reports at the end of each quarter of the project (in a format provided by the REMADE Institute). Quarterly status reports include schedule and budget progress and



any technical deliverables completed in the quarter covered by the schedule. Quarterly reports are due by the 15<sup>th</sup> of the month following the quarter covered by the report.

Quarterly technical reviews (in a PowerPoint template provided by the REMADE Institute).

**Final technical report** (in a format to be provided by the REMADE Institute) provides a comprehensive, cumulative, and substantive summary of the progress and significant accomplishments achieved during the total period of the REMADE project effort. Final reports are due within 45 days after the project end date. (Note: Final reports do not replace the last quarterly report for your project. Project teams must still prepare their last quarterly report.)

## 7 Proposal Submission and Award Timeline

The timeline for submitting the concept papers, SOPOs, supplemental applications, and selections is below. Following REMADE selection and DOE approval, the REMADE Institute anticipates launching these projects in the late spring of 2025.

Key Dates for Request for Proposals (RFP) for REMADE-25-02		
Activity	Key Dates*	
Request for Proposals Released	October 21, 2025	
RFP Information Session	October 24, 2025	
Concept Paper, Statement of Project Objectives (SOPO), Budget, and Resumes Due	December 10, 2025	
Supplemental Applications Due	January 6, 2026	
Oral Presentations	Early January 2026	
Proposal Teams Notified of Decision	February 2026	
Anticipated Project Start Date	March 2026	

#### 8 Additional Information

Additional information about the REMADE Institute and the RFP process is available at the following links:

- REMADE Overview and Membership Information
- <u>Initial and Supplemental Application Templates</u>
- Project Impact Calculator
- REMADE Technology Roadmap

Contact <u>REMADE RFP@remadeinstitute.org</u> or visit our <u>Project Call Website</u> for general questions about this RFP.



### Appendix A REMADE Institute Technical Performance Metrics

To measure the performance of its technology development portfolio, the REMADE Institute has established the following **technical performance metrics (TPMs)**:

#### 25% Improvement in Embodied Energy Efficiency

Demonstrate through innovative material reuse, recycling, remanufacturing, and reprocessing technologies a 25 percent (25%) improvement in embodied-energy efficiency (% change in BTU/kg product) through first-of-their-kind demonstrations at manufacturing plants or major processes within five years of Institute operation, supporting a goal of at least fifty percent (50%) improvement in embodied-energy efficiency within ten years following initial Federal support for the REMADE Institute.

## Demonstrate Potential for Cost Parity for Secondary Feedstocks and Energy Parity for Secondary Feedstocks

Develop tools and technologies to quantitatively increase energy productivity by reducing the cost of key secondary feedstocks in existing processes to at or below cost parity of primary feedstocks (modeled costs based on technologies being demonstrated) relative to the existing state-of-the-art within five years and be on a pathway to achieve, at minimum, installed and operating cost parity for the secondary feedstocks at full scale.

#### Demonstrate a 30% Increase in the Recycling/Reuse Rate

Research, develop, and demonstrate improved recycling and reuse in materials manufacturing to enable a 30% absolute increase in recycling rates of specific energy-intensive materials as a prioritized portfolio of technologies.

## Demonstrate a 20% Reduction in associated Lifecycle Impacts and a 10X Reduction in Primary Feedstock Use

Improved Material Efficiency and Decreased Lifecycle Impacts: Research, develop, and demonstrate, at a representative pilot scale, at least one cost-effective energy-intensive/dependent process that achieves a 10x reduction in primary material feedstock (kg/kg product) with improved energy efficiency (% relative to baseline), and 20% lower lifecycle impacts (ton CO2 eq./kg) relative to commercial state-of-the art at the relevant production rate (kg per day).

#### Demonstrate a 30% Secondary Feedstock Increase and a 30% Primary Feedstock Reduction

Demonstrate approaches to cost-effective cross-industry use of secondary feedstocks. Develop and demonstrate at minimum pilot scale at least one process with relevant and quantified operating times that enables the reuse of recycled and recovered materials to serve as cost-effective material feedstocks for one or more industries.

#### Demonstrate a 30% Reduction in Energy to Process Secondary Feedstocks

Develop tools and technologies to reduce the total energy required to process secondary materials by thirty percent (30%) relative to the existing state-of-the-art within five years and be on a pathway to achieve a 50% reduction for the secondary materials processing at full scale within 10 years.



## Appendix B REMADE Institute Technology Portfolio

To date, the REMADE Institute has released six (6) requests for proposals (RFPs) and has either funded or selected for negotiation a total of ninety-six (96) projects. <sup>11</sup> Twenty (20) projects, deemed Exploratory, provided seed funding to demonstrate proof-of-concept or reduce the uncertainty associated with high-risk/high-reward technical approaches.

The REMADE Institute has funded sixty-three (63) Full or Traditional <sup>12</sup> research, development, and demonstration (RD&D) projects. These projects focus on developing tools and technologies consistent with the REMADE Roadmap priorities, complementary to the R&D portfolio, and capable of enabling the REMADE Institute to achieve its goals. Although the expectation was that these projects would culminate in the **validation** <sup>13</sup> of the technology (see Figure 1) by the project's end, a recent review of the Remade Institute technology portfolio revealed that most of the Full and Traditional RD&D projects would **demonstrate** the technology by the project's end.



Figure 1. Description of Activities Associated with Technology Readiness Levels (TRLs) 3-7

The REMADE Institute has also funded three (3) Transformational RD&D Projects targeting the recycling or remanufacturing industries. Unlike traditional RD&D projects, which focus on a single technical or economic barrier, Transformational RD&D Projects aspects of several nodes and do not align with a single node. They also consider multiple segments of the material supply chain and clearly explain how the technology solution will be integrated into the manufacturing or remanufacturing supply chain. The primary distinction between Traditional and Transformational RD&D projects is that Transformational RD&D projects must demonstrate that the technology solution will produce secondary feedstocks that manufacturers or remanufacturers can use, making the scope of Transformational RD&D projects much broader.

Finally, the REMADE Institute has funded seven (7) Technology Research, Development, and Demonstration (RD&D) Projects. Technology RD&D projects focus on *developing and demonstrating (TRL 6-7) tools and technologies* consistent with the REMADE Institute's goals. By the end of these projects, respondents must have conducted technology demonstrations in

<sup>&</sup>lt;sup>11</sup> Three of these projects are Education and Workforce Development (EWD) projects.

<sup>&</sup>lt;sup>12</sup> The term "Full RD&D project" was used for RFPs 1-3 but was replaced by the term "Traditional R&D project" for RFP 4 and Traditional Research, Development, and Demonstration (RD&D for RFPs 5-6 to differentiate them from Transformational RD&D projects.

<sup>&</sup>lt;sup>13</sup> Figure 1 shows two mechanisms for **validating** the technology (bench scale lab trials (TRL 4) or process or equipment validation trials (TRL 5)), and two mechanisms for **demonstrating** the technology (prototype equipment or process testing (TRL 6) or system prototype demonstration (TRL 7)).



"relevant" (TRL 6) or "operational" (TRL 7) environments, which the REMADE Institute anticipates will motivate the industry investment required to complete technology development and deploy these technologies across the U.S. manufacturing ecosystem.

Exploratory, Traditional, Technology, and Transformational RD&D projects represent a progression in the expected technology maturity, also referred to as the Technology Readiness Levels or TRLs, achieved by the end of each type of project. For example, exploratory projects focus on **proof-of-concept** (TRL 3) or risk-reduction activities. By contrast, the REMADE Institute expects that Full and Traditional RD&D projects will **validate** (TRL 4-5) the technology by the project's end; however, most of the Full and Traditional R&D projects will **demonstrate** (denoting TRL 6-7) the technology by the project's end. Technology RD&D projects focus on developing and demonstrating (TRL 6-7) tools and technologies in "relevant" (TRL 6) or "operational" (TRL 7) environments. As noted above, Transformational RD&D projects must demonstrate that the technology solution will produce secondary feedstocks that manufacturers can use.

<sup>14</sup> A relevant environment is a testing environment that simulates both the most important and most stressing aspects of the operational environment.

<sup>&</sup>lt;sup>15</sup> An operational environment addresses all the operational requirements and specifications required of the final system, including platform/packaging.



# Appendix C Topics Proposal Teams Must Address in Their Concept Papers

For this RFP, the assumption is that the technical merit and the technical approach for previously or currently funded REMADE Institute projects have already been explained and accepted. Therefore, applicants need to devote less time to explaining the proposed technology. Instead, they are expected to articulate what they did previously and how they will demonstrate, verify, and validate their previously developed technology at a level of fidelity/realism that the relevant supply chain requires and the economic targets the marketplace will accept. Teams must also document their plans to support future implementation and commercialization. There is a 6-page limit for the concept paper, excluding the title page and a 1-page appendix for the budget.

#### Summary of Prior Work (2 pages maximum) – What did you accomplish previously?

Please provide a **two-page summary** of your prior or current REMADE-funded or independently-funded technology development efforts, describing (a) the problem you addressed, (b) the technical approach you followed (and the key technical elements of the approach), (c) the technology demonstrations you have conducted, (d) the results you achieved relative to the REMADE Institute TPMs, and (e) why you believe your technology has already attained TRL 6.

#### Summary of Proposed Work (4 pages maximum)

#### Technology Demonstration – What technology will you be demonstrating?

Please provide a summary describing (a) how your proposed Technology DV&V project extends your prior efforts, (b) what you will demonstrate with the supplemental funding, (c) the equipment, facilities, and feedstocks you will utilize for the demonstration and why they are more representative of an industrial environment than your prior work, (d) whether, and how, your team members have changed relative to your prior R&D work, and (e) whether your team includes at least one industry partner who is guiding the project and supply chain stakeholders who would utilize the secondary feedstocks.

#### Technology Verification – What performance or financial targets must you meet?

Please provide a summary explaining how you established the performance and financial targets your technology must meet for the supply chain to adopt your technology. Topics to discuss are: (a) who from the relevant supply chains your technology will impact has confirmed that the technology you will be demonstrating is relevant and valuable to their supply chain, (b) how you identified the performance and financial targets you must achieve, and (c) who has helped you quantify the economic, environmental (embodied-energy and lifecycle impacts), and increased secondary feedstock benefits you are claiming. If members of the supply chain or relevant stakeholders did not help you identify the performance and financial targets or quantify the benefits you are claiming, please explain how you determined them. If you have yet to establish the performance and financial targets, please explain how you intend to do so.



#### Technology Validation - How will you quantify the performance/impacts of your work?

Please provide a summary describing how you will validate the performance of the feedstocks or technology you will demonstrate. Topics to discuss are: (a) which technologies you will be validating relative to their performance and cost, (b) how you plan to evaluate the technical performance of the materials or technologies you will be demonstrating (and whether industry partners are involved in the evaluation) and (b) how you plan to quantify the economic and environmental (embodied energy and lifecycle impacts) performance and the increased use of secondary feedstock of the technology relative to your prior work.

## Path for Technology Implementation and Commercialization & Adoption Risks/Barriers – What else remains to be done, and what issues could inhibit technology adoption?

Please provide a summary describing what steps must be taken at the end of the Technology DV&V project to implement the technology in your industry. Topics to discuss are (a) what additional technology development or testing might need to be performed, (b) which supply chain organizations or stakeholders still would need to be engaged, (c) the most likely technology transition path into the supply chain, (d) how much additional investment would be required to implement or commercialize the technology, and (e) key risks and barriers that still might prevent technology adoption at the end of the project and how you would overcome them. Additionally, please discuss whether any industry partners on the team or entities from the broader supply chain have expressed interest in implementing or commercializing the technology or have committed to investing in further technology maturation.

#### Appendix -Budget

Provide a summary of the proposal team's budget (REMADE funding and cost share) for your Technology DV&V project, including a breakdown of the REMADE Institute funding and cost share each organization will receive.