DOE F 4600.1
(11/04)

U.S DEPARTMENT OF ENERGY
# NOTICE OF FINANCIAL ASSISTANCE AWARD

Under the authority of Public Law 109-58, Energy Policy Act (2005)

**1. PROJECT TITLE**
LIBERTY - Launch of an Integrated Bio-refinery with Eco-sustainable and Renewable Technologies in Y2009

**2. INSTRUMENT TYPE**
☐ GRANT ☑ COOPERATIVE AGREEMENT

**3. RECIPIENT** (Name, address, zip code)
POET Project Liberty, LLC
4615 N. Lewis Avenue
Sioux Falls, SD 57104

**4. INSTRUMENT NO.**
DE-FC36-07GO17026

**5. AMENDMENT NO.**
A000

**6. BUDGET PERIOD**
FROM: 10/01/2007 THRU: 09/30/2009

**7. PROJECT PERIOD**
FROM: 10/01/2007 THRU: 09/30/2009

**8. RECIPIENT PROJECT DIRECTOR** (Name, phone and E-mail)
Mr. James Sturdevant Phone: 605-965-2368
E-Mail: james.sturdevant@poetenergy.com

**9. RECIPIENT BUSINESS OFFICER** (Name, phone and E-mail)
Mr. Dan Loveland Phone: 605-965-2288
E-Mail: dan.loveland@poetenergy.com

**10. TYPE OF AWARD**
☑ NEW ☐ CONTINUATION ☐ RENEWAL
☐ REVISION ☐ INCREMENTAL FUNDING

**11. DOE PROJECT OFFICER** (Name, address, phone and E-mail)
Kevin R. Craig Phone: 303-275-4955
Golden Field Office
1617 Cole Blvd.
Golden, CO 80401-3305
E-Mail: kevin.craig@go.doe.gov

**12. DOE AWARD ADMINISTRATOR** (Name, address phone and E-mail)
Bob Kingsley Phone: 303-275-4796
Golden Field Office
1617 Cole Blvd.
Golden, CO 80401-3305
E-Mail: bob.kingsley@go.doe.gov

**13. RECIPIENT TYPE**
☐ STATE GOV'T ☐ INDIAN TRIBAL GOV'T ☐ HOSPITAL ☑ FOR PROFIT ORGANIZATION ☐ INDIVIDUAL
☐ LOCAL GOV'T ☐ INSTITUTION OF HIGHER EDUCATION ☐ OTHER NONPROFIT ORGANIZATION ☑ C ☐ P ☐ SP ☐ OTHER (Specify):

**14. ACCOUNTING AND APPROPRIATIONS DATA:**

| Fund | Year | Allottee | Reporting Entity | SGL | Object Class | Project | Program | WFO | Local Use | Dollar Amount |
|---|---|---|---|---|---|---|---|---|---|---|
| 00550. | 2007. | 31. | 200835. | 61000000. | 41000. | 0000000. | 1004173. | 0000000. | 0000000 | $3,763,287.00 |

EMPLOYER I.D.
a. TIN: 20-8981267
b. DUNS: 800093358

**16. BUDGET AND FUNDING INFORMATION**

| a. CURRENT BUDGET PERIOD INFORMATION | | b. CUMULATIVE DOE OBLIGATIONS | |
|---|---|---|---|
| (1) DOE Funds Obligated This Action | $ 3,763,287.00 | (1) This Budget Period *[Total of lines a.(1) and a.(3)]* | $ 3,763,287.00 |
| (2) DOE Funds Authorized for Carry Over | $ 0.00 | | |
| (3) DOE Funds Previously Obligated in this Budget Period | $ 0.00 | | |
| (4) DOE Share of Total Approved Budget | $ 3,763,287.00 | (2) Prior Budget Periods | $ 0.00 |
| (5) Recipient Share of Total Approved Budget | $ 5,861,464.00 | | |
| (6) Total Approved Budget | $ 9,624,751.00 | (3) Project Period to Date *[Total of lines b.(1) and b.(2)]* | $ 3,763,287.00 |

**17. TOTAL ESTIMATED COST OF PROJECT, INCLUDING DOE FUNDS TO FFRDC:** $ 9,769,106.00
*(This is the current estimated cost of the project. It is not a promise to award nor an authorization to expend funds in this amount.)*

**18. AWARD/AGREEMENT TERMS AND CONDITIONS**
This award/agreement consists of this form plus the following:
a. Special terms and conditions.
b. Applicable program regulations *(Specify)* NA *(Date)*
c. DOE Assistance Regulations, 10 CFR Part 600 at http://ecfr.gpoaccess.gov or, if the award is a grant to a Federal Demonstration Partnership (FDP) institution, the FDP Terms and Conditions and the DOE FDP Agency Specific Requirements at http://www.nsf.gov.
d. Application/proposal as approved by DOE.
e. National Policy Assurances to be incorporated as Award Terms in effect on date of award at http://grants.pr.doe.gov.

**19. REMARKS**
The attached Special Terms and Conditions (Attachment # 1); Intellectual Property Provisions, (Attachment # 2); SF-424A, Budget Information-Non Construction Programs (Attachment # 3); Federal Assistance Reporting Checklist and Instructions (Attachment # 4); and Statement of Project Objectives (Attachment # 5) are added and made part of this award.

**20. EVIDENCE OF RECIPIENT ACCEPTANCE**
+ [signature] 10/17/07
*(Signature of Authorized Recipient Official)* *(Date)*
*(Name)*
*(Title)*

**21. AWARDED BY**
Stephanie N. Carabajal 9/28/07
*(Signature)* *(Date)*
Stephanie N. Carabajal
*(Name)*
Contracting Officer
*(Title)*

# Special Terms and Conditions for Use in Most Grants and Cooperative Agreements

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# Special Terms and Conditions for Use in Most Grants and Cooperative Agreements

## 1. PURPOSE OF PROJECT

The purpose of this Cooperative Agreement is to prepare data and designs and obtain the necessary permits and other information needed to support a decision regarding whether to proceed, in a subsequent agreement, to jointly finance construction, commissioning and start-up of a commercial integrated bio-refinery to be located near Emmetsburg, Iowa. The proposed bio-refinery would convert 700 metric dry tonnes per day biomass to ethanol.

## 2. RESOLUTION OF CONFLICTING CONDITIONS

Any apparent inconsistency between Federal statutes and regulations and the terms and conditions contained in this award must be referred to the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award for guidance.

## 3. PAYMENT PROCEDURES – REIMBURSEMENT THROUGH THE AUTOMATED CLEARING HOUSE (ACH) VENDOR INQUIRY PAYMENT ELECTRONIC REPORTING SYSTEM (VIPERS)

a. Method of Payment. Payment will be made by reimbursement through ACH.

b. Requesting Reimbursement. Requests for reimbursements must be made electronically through Department of Energy's Oak Ridge Financial Service Center (ORFSC) VIPERS. To access and use VIPERS, you must enroll at https://finweb.oro.doe.gov/vipers.htm. Detailed instructions on how to enroll are provided on the web site.

For non-construction awards, you must submit a Standard Form (SF) 270, "Request for Advance or Reimbursement" at https://finweb.oro.doe.gov/vipers.htm and attach a file containing appropriate supporting documentation. The file attachment must show the total federal share claimed on the SF 270, the non-federal share claimed for the billing period if cost sharing is required, and cumulative expenditures to date (both Federal and non-Federal) for each of the following categories: salaries/wages and fringe benefits; equipment; travel; participant/training support costs, if any; other direct costs, including subawards/contracts; and indirect costs. For construction awards, you must submit a SF 271, "Outlay Report and Request for Reimbursement for Construction Programs," through VIPERS.

c. Timing of submittals. Submittal of the SF 270 or SF 271 should coincide with your normal billing pattern, but not more frequently than every two weeks. Requests for reimbursement must be limited to the amount of disbursements made during the billing period for the federal share of direct project costs and the proportionate share of any allowable indirect costs incurred during that billing period.

d. Adjusting payment requests for available cash. You must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from DOE/NNSA.

e. Payments. The DOE approving official will approve the invoice as soon as practicable but not later than 30 days after your request is received, unless the billing is improper. Upon receipt of an invoice payment authorization from the DOE approving official, the ORFSC will disburse payment to you. You may check the status of your payments at the VIPER web site. All payments are made by electronic funds transfer to the bank account identified in the Central Contractor Registration database (www.ccr.gov).

## 4. COST SHARING, WHEN DOE/NNSA FEDERALLY FUNDED RESEARCH AND DEVELOPMENT CENTER (FFRDC) CONTRACTOR PARTICIPATES IN PROJECT AND DOE/NNSA PAYS FFRDC CONTRACTOR'S COSTS DIRECTLY

a. Total Estimated Project Cost is the sum of the Government share, including FFRDC contractor costs, and Recipient share of the estimated project costs. The DOE/NNSA FFRDC contractor cost is not included in the total approved budget for this award, because DOE/NNSA will pay the DOE/NNSA FFRDC contractor portion of the effort under an existing DOE/NNSA contract. The Recipient's cost share must come from non-Federal sources unless otherwise allowed by law. By accepting federal funds under this award, you agree that you are liable for your percentage share of allowable project costs, on a budget period basis, even if the project is terminated early or is not funded to its completion. This cost is shared as follows:

| Budget Period No. | Budget Period Start Date | Government share , including FFRDC Cost | | Recipient Share $ / % | Total Estimated Cost |
|---|---|---|---|---|---|
| | | DOE $ / % | FFRDC $ / % | | |
| 1 | 10/01/2007 | $3,763,287/38.5% | $144,355/1.5% | $5,861,464/60% | $9,769,106 |
| | | | | | |
| Total Project | | $3,763,287/38.5% | $144,355/1.5% | $5,861,464/60% | $9,769,106 |

b. If you discover that you may be unable to provide cost sharing of at least the amount identified in paragraph a of this article for any reason, you should immediately provide written notification to the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award indicating whether you will continue or phase out the project. If you plan to continue the project, the notification must describe how replacement cost sharing will be secured.

c. You must maintain records of all project costs that you claim as cost sharing, including in-kind costs, as well as records of costs to be paid by DOE/NNSA. Such records are subject to audit.

d. Failure to provide the cost sharing required by this Article may result in the subsequent recovery by DOE/NNSA of some or all the funds provided under the award.

## 5. INCREMENTAL FUNDING AND MAXIMUM OBLIGATION

This award is funded on an incremental basis. The maximum obligation of the DOE/NNSA is limited to the amount shown in Block 16.b.(3)" CUMULATIVE DOE OBLIGATIONS Project Period to Date" on the Notice of Financial Assistance Award. You are not obligated to continue performance of the project beyond the total amount shown in Block 16.b.(3) and your pro rata share of the project costs, if cost sharing is required. Additional funding is contingent upon the availability of appropriated funds and substantial progress towards meeting the objectives of the award.

## 6. REBUDGETING AND RECOVERY OF INDIRECT COSTS

a. If actual allowable indirect costs are less than those budgeted and funded under the award, you may use the difference to pay additional allowable direct costs during the project period. If at the completion of the award the Government's share of total allowable costs (i.e., direct and indirect), is less than the total costs reimbursed, you must refund the difference.

b. Recipients are expected to manage their indirect costs. DOE will not amend an award solely to provide additional funds for changes in indirect cost rates (See "Incremental Funding and Maximum Obligation article). DOE recognizes that the inability to obtain full reimbursement for indirect costs means the recipient must absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost sharing.

## 7. PRE-AWARD COSTS

You are entitled to reimbursement for costs incurred on or after February 13, 2007, as authorized by the pre-award costs letter dated September 18, 2007, if such costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR part 600.

## 8. STATEMENT OF FEDERAL STEWARDSHIP

DOE/NNSA will exercise normal Federal stewardship in overseeing the project activities performed under this award. Stewardship activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing technical assistance and/or temporary intervention in unusual circumstances to correct deficiencies which develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to insure that the award objectives have been accomplished.

## 9. STATEMENT OF SUBSTANTIAL INVOLVEMENT

1. Government Insight

In order to adequately monitor project progress and provide technical direction to the Recipient, DOE must be provided an adequate level of insight into various Recipient activities. Government Insight activities by DOE include attendance at Recipient meetings, reviews and tests, as well as access for DOE's consultants to perform independent evaluations of Recipient's plans and processes. Recipient shall notify the DOE Project Officer of meetings, reviews, and tests in sufficient time to permit DOE participation, and provide all appropriate documentation for DOE review.

2. Specific activities to be conducted by DOE

a. Risk Evaluation –DOE will review the Recipient's initial Risk Mitigation Plan (RMP) for quality and completeness. DOE will also monitor updates to the RMP and actions taken by the Recipient during the performance of its award to mitigate risks and improve the probability of successful construction of a commercial cellulosic biorefinery. At DOE's discretion, additional independent risk analyses of the project by DOE consultants may be requested.

b. Independent Engineering Assessments –DOE will engage a private, independent engineering (IE) firm to assist in assessing the progress of the project and provide timely and accurate reports to DOE. The Recipient will ensure that the IE has access to any and all relevant documentation sufficient to allow the IE to provide independent evaluations to DOE on the progress of the project. Such documentation includes but is not limited to the following:

- Drawings and specifications
- Construction and Execution plans
- Resource loaded schedules
- Design functions and requirements for the site final design review
- Risk management plans
- Value management and engineering studies and/or plans
- Acquisition strategies
- Project execution plans
- Project controls including earned value management systems
- Qualifications of the integrated project team.
- Financial strategy for funding the construction project
- Updated marketing and business plan

DOE will evaluate the quality and completeness of information and documentation provided by the Recipient to DOE and its consultants in order to allow DOE to provide technical direction to the Recipient about how best to achieve the purposes of the award. Consultants to DOE may not provide technical direction to the Recipient.

3. Amendment Approval – The DOE Contracting Officer is the only individual who may amend this Agreement or commit DOE to the expenditure of additional public funds. Any commitment by anyone other than the Contracting Officer, either expressed or implied, is invalid.

## 10. SITE VISITS

DOE/NNSA's authorized representatives have the right to make site visits at reasonable times to review project accomplishments and management control systems and to provide technical assistance, if required. You must provide, and must require your subawardees to provide, reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the government representatives in the performance of their duties within this project. All site visits and evaluations must be performed in a manner that does not unduly interfere with or delay the work.

## 11. REPORTING REQUIREMENTS

a. Requirements. The reporting requirements for this award are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to this award. Failure to comply with these reporting requirements is considered a material noncompliance with the terms of the award. Noncompliance may result in withholding of future payments, suspension or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.

b. Dissemination of scientific/technical reports. Scientific/technical reports (as defined in the Federal Assistance Reporting Instructions, May, 2006) submitted under this award will be disseminated on the Internet via the DOE Information Bridge (www.osti.gov/bridge), unless the report contains patentable material, protected data or SBIR/STTR data. In addition, these reports must not contain any limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release. Citations for journal articles produced under the award will appear on the DOE Energy Citations Database (www.osti.gov/energycitations ).

## 12. PUBLICATIONS

a. You are encouraged to publish or otherwise make publicly available the results of the work conducted under the award.

b. An acknowledgment of Federal support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:

> *Acknowledgment*: "This material is based upon work supported by the Department of Energy [National Nuclear Security Administration] [add name(s) of other agencies, if applicable] under Award Number(s) [enter the award number(s)]."

*Disclaimer*: "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

## 13. FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS

You must obtain any required permits and comply with applicable federal, state, and municipal laws, codes, and regulations for work performed under this award.

## 14. INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION

The intellectual property provisions applicable to this award are provided as an attachment to this award or are referenced in Block 19 of the Notice of Financial Assistance Award (NFAA). Questions regarding intellectual property matters should be referred to Patent Counsel through the Award Administrator identified in Block 12 of the NFAA.

## 15. LOBBYING RESTRICTIONS

By accepting funds under this award, you agree that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

## 16. NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

## 17. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS

DOE will coordinate preparation of the documentation necessary to support DOE's NEPA analysis and subsequent decision-making. DOE may require measures, developed in coordination with the Recipient, to minimize or mitigate potential environmental impacts as a condition of any future funding. Nothing in this provision shall be construed as a commitment by DOE to provide funding beyond this award.

You are restricted from taking any action using Federal funds, which would have an adverse affect on the environment or limit the choice of reasonable alternatives prior to DOE/NNSA providing either a NEPA clearance or a final NEPA decision regarding this project. Prohibited actions include, but are not limited to, demolition of existing buildings, site clearing, ground breaking, construction, and/or detailed design. All pre-NEPA determination tasks described in the Statement of Project Objectives are categorically excluded and do not require further review. This NEPA determination does not allow for the purchase of capital equipment, site modification/preparation, construction, or any other irreversible or irretrievable actions.

## 18. INSOLVENCY, BANKRUPTCY OR RECEIVERSHIP

(a) You shall immediately notify the DOE Administrator identified in Block 12 of the Notice of Financial Assistance Award of the occurrence of any of the following events: (i) you or your parent's filing of a voluntary case seeking liquidation or reorganization under the Bankruptcy Act; (ii) your consent to the institution of an involuntary case under the Bankruptcy Act against you or your parent; (iii) the filing of any similar proceeding for or against you or your parent, or its consent to, the dissolution, winding-up or readjustment of your debts, appointment of a receiver, conservator, trustee, or other officer with similar powers over you, under any other applicable state or federal law; or (iv) your insolvency due to your inability to pay your debts generally as they become due.

(b) Such notification shall be in writing and shall: (i) specifically set out the details of the occurrence of an event referenced in paragraph (a); (ii) provide the facts surrounding that event; and (iii) provide the impact such event will have on the project being funded by this award.

(c) Upon the occurrence of any of the four events described in the first paragraph, DOE reserves the right to conduct a review of your award to determine your compliance with the required elements of the award (including such items as cost share, progress towards technical project objectives, and submission of required reports). If the DOE review determines that there are significant deficiencies or concerns with your performance under the award, DOE reserves the right to impose additional requirements, as needed, including (i) change your payment method; or (ii) institute payment controls.

(d) Failure of the Recipient to comply with this provision may be considered by the Contracting Officer as a material noncompliance of this financial assistance award.

## 19. AT RISK FOR FINANCIAL CAPABILITY

Based on the recent formation of Poet Project Liberty, LLC, you have been determined to be at risk for financial capability. This determination is based primarily on the fact that there is insufficient organizational data to obtain a Dun and Bradstreet Risk score.

Based on this determination the following requirements, as listed below, have been incorporated into this award.

- ACH Reimbursement Payment method
- Monthly Progress Status Reports: see the Federal Assistance Reporting Checklist, DOE F 4600.2, under Special Instructions for more detail

## 20. AVAILABILITY OF FUNDS THROUGH CONDITION SUBSEQUENT

a. At Risk Notice: Notwithstanding the obligation of funds shown in Block 16 (A)(1) of the Notice of Financial Assistance Award, no funds shall be made available to the Recipient for payment, and DOE does not guarantee or assume any obligation to reimburse costs incurred by the Recipient, until the Condition Subsequent in paragraph (b) below is fully complied with by the Recipient.

b. Condition Subsequent: As a condition to either receiving funds under this award or recognizing incurred costs toward cost share requirements, on or before October 15, 2007, the Recipient must submit the following:

   - Risk Mitigation Plan to DOE in response to the findings included in the final IPA Prospective Evaluation Report. DOE will not authorize payment of any funds under this award until DOE is satisfied with the Recipient's Risk Mitigation Plan.

c. Availability of Funds: Upon completion of the above Condition Subsequent to the satisfaction of the Contracting Officer, the Contracting Officer shall notify the Recipient and make available the obligated amount for payment through an amendment which will remove the Condition Subsequent provision from this award. The Recipient may then receive payment for allowable costs incurred or recognize costs incurred toward cost share requirements, if any, in accordance with the payment provisions contained in the Special Terms and Conditions of this Agreement.

d. Termination or Suspension: If the above Condition Subsequent is not fully complied with to the satisfaction of the Contracting Officer, the Contracting Officer may unilaterally terminate or suspend this agreement and deobligate the amounts obligated. In such case, the Recipient shall not be reimbursed for costs incurred which were incurred at the Recipient's risk as described in Paragraph a. above.

## 21. ADVANCED UNDERSTANDING CONCERNING LIMITATION OF INDIRECT COSTS

The prime recipient (POET Project Liberty, LLC) has not included indirect costs or fringe benefits in its budget for this award. Therefore, these expenses for POET Project Liberty, LLC, shall not be charged to nor reimbursement requested for this project, nor shall the fringe and indirect costs from this project be allocated to any other federally sponsored project. In addition, indirect costs or fringe benefits shall not be counted as cost share unless approved by the Contracting Officer.

The above paragraph does not apply to subcontractors of POET Project Liberty, LLC, (POET Design & Construction, POET Research, Inc., POET, LLC, or their subcontractors) who included indirect costs or fringe benefits in their budget for this award.

**CDLB-1003**
**Intellectual Property Provisions (CDLB-1003)**
**Cooperative Agreement - Special Data Statute**
**Research, Development, or Demonstration**
**Large Businesses, State and Local Governments, and Foreign Entities**

| | |
|---|---|
| 01. FAR 52.227-1 | Authorization and Consent (JUL 1995)-Alternate I (APR 1984) |
| 02. FAR 52.227-2 | Notice and Assistance Regarding Patent and Copyright Infringement (AUG 1996) |
| 03. 10 CFR 600.325 Appendix A | Rights in Data - Programs Covered Under Special Data Statutes (OCT 2003) |
| 04. FAR 52.227-23 | Rights to Proposal Data (Technical) (JUN 1987) |
| 05. 10 CFR 600.325 Appendix A | Patent Rights – (Large Business Firms - No Waiver) (OCT 2003)* |

NOTE: In reading these provisions, any reference to "contractor" shall mean "recipient," and any reference to "contract" or "subcontract" shall mean "award" or "subaward."

* If a waiver of patent rights is granted, then provisions approved by the DOE patent counsel, in accordance with 10 CFR 784, will be substituted for this Patent Rights provision.

**01. FAR 52.227-1 Authorization and Consent (JUL 1995)-Alternate I (APR 1984)**

(a) The Government authorizes and consents to all use and manufacture of any invention described in and covered by a United States patent in the performance of this contract or any subcontract at any tier.

(b) The Contractor agrees to include, and require inclusion of, this clause, suitably modified to identify the parties, in all subcontracts at any tier for research and development expected to exceed the simplified acquisition threshold; however, omission of this clause from any subcontract, including those at or below the simplified acquisition threshold, does not affect this authorization and consent.

(End of clause)

**02. FAR 52.227-2 Notice and Assistance Regarding Patent and Copyright Infringement (AUG 1996)**

(a) The Contractor shall report to the Contracting Officer, promptly and in reasonable written detail, each notice or claim of patent or copyright infringement based on the performance of this contract of which the Contractor has knowledge.

(b) In the event of any claim or suit against the Government on account of any alleged patent or copyright infringement arising out of the performance of this contract or out of the use of any supplies furnished or work or services performed under this contract, the Contractor shall furnish to the Government, when requested by the Contracting Officer, all evidence and information in possession of the Contractor pertaining to such suit or claim. Such evidence and information shall be furnished at the expense of the Government except where the Contractor has agreed to indemnify the Government.

(c) The Contractor agrees to include, and require inclusion of, this clause in all subcontracts at any tier for sup- plies or services (including construction and architect-engineer subcontracts and those for material, supplies, models, samples, or design or testing services) expected to exceed the simplified acquisition threshold at FAR 2.101.

(End of clause)

**03. 10 CFR 600.325 Appendix A, Rights in Data - Programs Covered Under Special Data Statutes (OCT 2003)**

(a) Definitions

Computer Data Bases, as used in this clause, means a collection of data in a form capable of, and for the purpose of, being stored in, processed, and operated on by a computer. The term does not include computer software.

Computer software, as used in this clause, means (i) computer programs which are data comprising a series of instructions, rules, routines, or statements, regardless of the media in which recorded, that allow or cause a computer to perform a specific operation or series of operations and (ii) data comprising source code listings, design details, algorithms, processes, flow charts, formulae and related material that would enable the computer program to be produced, created or compiled. The term does not include computer data bases.

Data, as used in this clause, means recorded information, regardless of form or the media on which it may be recorded. The term includes technical data and computer software. The term does not include information incidental to administration, such as financial, administrative, cost or pricing or management information.

Form, fit, and function data, as used in this clause, means data relating to items, components, or processes that are sufficient to enable physical and functional interchangeability as well as data identifying source, size, configuration, mating and attachment characteristics, functional characteristics, and performance requirements except that for computer software it means data identifying source, functional characteristics, and performance requirements but specifically excludes the source code, algorithm, process, formulae, and flow charts of the software.

Limited rights data, as used in this clause, means data (other than computer software) developed at private expense that embody trade secrets or are commercial or financial and confidential or privileged.

Restricted computer software, as used in this clause, means computer software developed at private expense and

that is a trade secret; is commercial or financial and confidential or privileged; or is published copyrighted computer software; including modifications of such computer software.

Protected data, as used in this clause, means technical data or commercial or financial data first produced in the performance of the award which, if it had been obtained from and first produced by a non-federal party, would be a trade secret or commercial or financial information that is privileged or confidential under the meaning of 5 U.S.C. 552(b)(4) and which data is marked as being protected data by a party to the award.

Protected rights, as used in this clause, mean the rights in protected data set forth in the Protected Rights Notice of paragraph (g) of this clause.

Technical data, as used in this clause, means that data which are of a scientific or technical nature. Technical data does not include computer software, but does include manuals and instructional materials and technical data formatted as a computer data base.

Unlimited rights, as used in this clause, means the right of the Government to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose whatsoever, and to have or permit others to do so.

(b) Allocation of Rights

(1) Except as provided in paragraph (c) of this clause regarding copyright, the Government shall have unlimited rights in–

(i) Data specifically identified in this agreement as data to be delivered without restriction;

(ii) Form, fit, and function data delivered under this agreement;

(iii) Data delivered under this agreement (except for restricted computer software) that constitute manuals or instructional and training material for installation, operation, or routine maintenance and repair of items, components, or processes delivered or furnished for use under this agreement; and

(iv) All other data delivered under this agreement unless provided otherwise for protected data in accordance with paragraph (g) of this clause or for limited rights data or restricted computer software in accordance with paragraph (h) of this clause.

(2) The Recipient shall have the right to–

(i) Protect rights in protected data delivered under this agreement in the manner and to the extent provided in paragraph (g) of this clause;

(ii) Withhold from delivery those data which are limited rights data or restricted computer software to the extent provided in paragraph (h) of this clause;

(iii) Substantiate use of, add, or correct protected rights or copyrights notices and to take other appropriate action, in accordance with paragraph (e) of this clause; and

(iv) Establish claim to copyright subsisting in data first produced in the performance of this agreement to the extent provided in subparagraph (c)(1) of this clause.

(c) Copyright

(1) Data first produced in the performance of this agreement. Except as otherwise specifically provided in this agreement, the Recipient may establish, without the prior approval of the Contracting Officer, claim to copyright subsisting in any data first produced in the performance of this agreement. If claim to copyright is made, the Recipient shall affix the applicable copyright notice of 17 U.S.C. 401 or 402 and acknowledgment of Government sponsorship (including agreement number) to the data when such data are delivered to the Government, as well as when the data are published or deposited for registration as a published work in the U.S. Copyright Office. For such copyrighted data, including computer software, the Recipient grants to the Government, and others acting on its behalf, a paid-up nonexclusive, irrevocable, worldwide license to reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, by or on behalf of the Government, for all such data.

(2) Data not first produced in the performance of this agreement. The Recipient shall not, without prior written permission of the Contracting Officer, incorporate in data delivered under this agreement any data that are not first produced in the performance of this agreement and that contain the copyright notice of 17 U.S.C. 401 or 402, unless the Recipient identifies such data and grants to the Government, or acquires on its behalf, a license of the same scope as set forth in subparagraph (c)(1) of this clause; provided, however, that if such data are computer software, the Government shall acquire a copyright license as set forth in subparagraph (h)(3) of this clause if included in this agreement or as otherwise may be provided in a collateral agreement incorporated or made a part of this agreement.

(3) Removal of copyright notices. The Government agrees not to remove any copyright notices placed on data

pursuant to this paragraph (c), and to include such notices on all reproductions of the data.

(d) Release, Publication and Use of Data

(1) The Receipt shall have the right to use, release to others, reproduce, distribute, or publish any data first produced or specifically used by the Recipient in the performance of this contract, except to the extent such data may be subject to the Federal export control or national security laws or regulations; or unless otherwise provided in this paragraph of this clause or expressly set forth in this contract.

(2) The Recipient agrees that to the extent it receives or is given access to data necessary for the performance of this agreement which contain restrictive markings, the Recipient shall treat the data in accordance with such markings unless otherwise specifically authorized in writing by the Contracting Officer.

(e) Unauthorized Marking of Data

(1) Notwithstanding any other provisions of this agreement concerning inspection or acceptance, if any data delivered under this agreement are marked with the notices specified in subparagraph (g)(2) or (g)(3) of this clause and use of such is not authorized by this clause, or if such data bears any other restrictive or limiting markings not authorized by this agreement, the Contracting Officer may at any time either return the data to the Recipient or cancel or ignore the markings. However, the following procedures shall apply prior to canceling or ignoring the markings.

(i) The Contracting Officer shall make written inquiry to the Recipient affording the Recipient 30 days from receipt of the inquiry to provide written justification to substantiate the propriety of the markings;

(ii) If the Recipient fails to respond or fails to provide written justification to substantiate the propriety of the markings within the 30-day period (or a longer time not exceeding 90 days approved in writing by the Contracting Officer for good cause shown), the Government shall have the right to cancel or ignore the markings at any time after said period and the data will no longer be made subject to any disclosure prohibitions.

(iii) If the Recipient provides written justification to substantiate the propriety of the markings within the period set in subdivision (e)(1)(i) of this clause, the Contracting Officer shall consider such written justification and determine whether or not the markings are to be cancelled or ignored. If the Contracting Officer determines that the markings are authorized, the Recipient shall be so notified in writing. If the Contracting Officer determines, with concurrence of the head of the contracting activity, that the markings are not authorized, the Contracting Officer shall furnish the Recipient a written determination, which determination shall become the final agency decision regarding the appropriateness of the markings unless the Recipient files suit in a court of competent jurisdiction within 90 days of receipt of the Contracting Officer's decision. The Government shall continue to abide by the markings under this subdivision (e)(1)(iii) until final resolution of the matter either by the Contracting Officer's determination become final (in which instance the Government shall thereafter have the right to cancel or ignore the markings at any time and the data will no longer be made subject to any disclosure prohibitions), or by final disposition of the matter by court decision if suit is filed.

(2) The time limits in the procedures set forth in subparagraph (e)(1) of this clause may be modified in accordance with agency regulations implementing the Freedom of Information Act (5 U.S.C. 552) if necessary to respond to a request there under.

(f) Omitted or Incorrect Markings

(1) Data delivered to the Government without either the limited rights or restricted rights notice as authorized by paragraph (g) of this clause, or the copyright notice required by paragraph (c) of this clause, shall be deemed to have been furnished with unlimited rights, and the Government assumes no liability for the disclosure, use, or reproduction of such data. However, to the extent the data has not been disclosed without restriction outside the Government, the Recipient may request, within 6 months (or a longer time approved by the Contracting Officer for good cause shown) after delivery of such data, permission to have notices placed on qualifying data at the Recipient's expense, and the Contracting Officer may agree to do so if the Recipient–

(i) Identifies the data to which the omitted notice is to be applied;

(ii) Demonstrates that the omission of the notice was inadvertent;

(iii) Establishes that the use of the proposed notice is authorized; and

(iv) Acknowledges that the Government has no liability with respect to the disclosure, use, or reproduction of any such data made prior to the addition of the notice or resulting from the omission of the notice.

(2) The Contracting Officer may also:

(i) Permit correction at the Recipient's expense of incorrect notices if the Recipient identifies the data on which correction of the notice is to be made, and demonstrates that the correct notice is authorized; or

(ii) Correct any incorrect notices.

(g) Rights to Protected Data

(1) The Recipient may, with the concurrence of DOE, claim and mark as protected data, any data first produced in the performance of this award that would have been treated as a trade secret if developed at private expense. Any such claimed ``protected data" will be clearly marked with the following Protected Rights Notice, and will be treated in accordance with such Notice, subject to the provisions of paragraphs (e) and (f) of this clause.

PROTECTED RIGHTS NOTICE

These protected data were produced under agreement no. DE-FC36-07GO17026 with the U.S. Department of Energy and may not be published, disseminated, or disclosed to others outside the Government until five (5) years from the date they were generated, unless express written authorization is obtained from the recipient. Upon expiration of the period of protection set forth in this Notice, the Government shall have unlimited rights in this data. This Notice shall be marked on any reproduction of this data, in whole or in part.

(End of notice).

(2) Any such marked Protected Data may be disclosed under obligations of confidentiality for the following purposes:

(a) For evaluation purposes under the restriction that the ``Protected Data" be retained in confidence and not be further disclosed; or

(b) To subcontractors or other team members performing work under the Government's program.

(3) The obligations of confidentiality and restrictions on publication and dissemination shall end for any Protected Data:

(a) At the end of the protected period;

(b) If the data becomes publicly known or available from other sources without a breach of the obligation of confidentiality with respect to the Protected Data;

(c) If the same data is independently developed by someone who did not have access to the Protected Data and such data is made available without obligations of confidentiality; or

(d) If the Recipient disseminates or authorizes another to disseminate such data without obligations of confidentiality.

(4) However, the Recipient agrees that the following types of data are not considered to be protected and shall be provided to the Government when required by this award without any claim that the data are Protected Data: General test results and data that demonstrate progress toward meeting DOE's technical goals to design, construct, build, and operate an integrated biorefinery employing lignocellulosic feedstocks. These data will include financial and project information sufficient to validate that the facility constructed will operate profitably according to the standards set forth in Section 932 of EPAct 2005, such as ethanol selling price and overall ethanol yields. These results and data will be made available to the public and included in the project final report, and in other reports and presentations, as appropriate. The parties agree that notwithstanding the data enumerated above, nothing precludes the Government from seeking delivery of additional data in accordance with this award, or from making publicly available additional nonprotected data, nor does the preceding enumerated data constitute any admission by the Government that technical data not so enumerated is Protected Data.

(5) The Government's sole obligation with respect to any protected data shall be as set forth in this paragraph (g).

(h) Protection of Limited Rights Data

When data other than that listed in subparagraphs (b)(1)(i), (ii), and (iii) of this clause are specified to be delivered under this agreement and such data qualify as either limited rights data or restricted computer software, the Recipient, if the Recipient desires to continue protection of such data, shall withhold such data and not furnish them to the Government under this agreement. As a condition to this withholding the Recipient shall identify the data being withheld and furnish form, fit, and function data in lieu thereof.

(i) Subaward/Contract

The Recipient has the responsibility to obtain from its subrecipients/contractors all data and rights therein necessary to fulfill the Recipient's obligations to the Government under this agreement. If a subrecipient/contractor refuses to accept terms affording the Government such rights, the Recipient shall promptly bring such refusal to the attention of the Contracting Officer and not proceed with subaward/contract award without further authorization.

(j) Additional Data Requirements

In addition to the data specified elsewhere in this agreement to be delivered, the Contracting Officer may, at anytime during agreement performance or within a period of 3 years after acceptance of all items to be delivered under this agreement, order any data first produced or specifically used in the performance of this agreement. This clause is applicable to all data ordered under this subparagraph. Nothing contained in this subparagraph shall require the Recipient to deliver any data the withholding of which is authorized by this clause or data which are specifically identified in this agreement as not subject to this clause. When data are to be delivered under this subparagraph, the Recipient will be compensated for converting the data into the prescribed form, for reproduction, and for delivery.

(k) The Recipient agrees, except as may be otherwise specified in this agreement for specific data items listed as not subject to this paragraph, that the Contracting Officer or an authorized representative may, up to three years after acceptance of all items to be delivered under this contract, inspect at the Recipient's facility any data withheld pursuant to paragraph (h) of this clause, for purposes of verifying the Recipient's assertion pertaining to the limited rights or restricted rights status of the data or for evaluating work performance. Where the Recipient whose data are to be inspected demonstrates to the Contracting Officer that there would be a possible conflict of interest if the inspection were made by a particular representative, the Contracting Officer shall designate an alternate inspector.

(End of clause)

**04. FAR 52.227-23 Rights to Proposal Data (Technical) (JUN 1987)**

Except for data contained on pages 2-3, 5-19, 20-28, 30-36, 40, 41-63, 64-67, 69, 70-83, 90-94 & Appendices B, D, F-N, it is agreed that as a condition of award of this contract, and notwithstanding the conditions of any notice appearing thereon, the Government shall have unlimited rights (as defined in the "Rights in Data–General" clause contained in this contract) in and to the technical data contained in the proposal dated August 10, 2006 and revisions since, upon which this contract is based.

**05 10 CFR 600.325 Appendix A, Patent Rights - (Large Business Firms - No Waiver) (OCT 2003)**

(a) Definitions

DOE patent waiver regulations, as used in this clause, means the Department of Energy patent waiver regulations in effect on the date of award. See 10 CFR part 784.
Invention, as used in this clause, means any invention or discovery which is or may be patentable of otherwise protectable under title 35 of the United States Code or any novel variety of plant that is or may be protectable under the Plant Variety Protection Act (7 U.S.C. 2321, et seq.).
Subject invention, as used in this clause, means any invention of the Recipient conceived or first actually reduced to practice in the course of or under this agreement.

(b) Allocations of Principal Rights

(1) Assignment to the Government. The Recipient agrees to assign to the Government the entire right, title, and interest throughout the world in and to each subject invention, except to the extent that rights are retained by the Recipient under subparagraph (b)(2) and paragraph (d) of this clause.
(2) Greater rights determinations. The Recipient, or an employee-inventor after consultation with the Recipient, may request greater rights than the nonexclusive license and the foreign patent rights provided in paragraph (d) of this clause on identified inventions in accordance with the DOE patent waiver regulation. Each determination of greater rights under this agreement shall be subject to paragraph (c) of this clause, unless otherwise provided in the

greater rights determination, and to the reservations and conditions deemed to be appropriate by the Secretary of Energy or designee.

(c) Minimum Rights Acquired by the Government

With respect to each subject invention to which the Department of Energy grants the Recipient principal or exclusive rights, the Recipient agrees to grant to the Government: A nonexclusive, nontransferable, irrevocable, paidup license to practice or have practiced each subject invention throughout the world by or on behalf of the Government of the United States (including any Government agency); ``march-in rights" as set forth in 37 CFR 401.14(a)(J)); preference for U.S. industry as set forth in 37 CFR 401.14(a)(I); periodic reports upon request, no more frequently than annually, on the utilization or intent of utilization of a subject invention in a manner consistent with 35 U.S.C. 202(c)(50; and such Government rights in any instrument transferring rights in a subject invention.

(d) Minimum Rights to the Recipient

(1) The Recipient is hereby granted a revocable, nonexclusive, royalty-free license in each patent application filed in any country on a subject invention and any resulting patent in which the Government obtains title, unless the Recipient fails to disclose the subject invention within the times specified in subparagraph (e)(2) of this clause. The Recipient's license extends to its domestic subsidiaries and affiliates, if any, within the corporate structure of which the Recipient is a part and includes the right to grant sublicenses of the same scope to the extent the Recipient was legally obligated to do so at the time the agreement was awarded: The license is transferable only with the approval of DOE except when transferred to the successor of that part of the Recipient's business to which the invention pertains.

(2) The Recipient may request the right to acquire patent rights to a subject invention in any foreign country where the Government has elected not to secure such rights, subject to the minimum rights acquired by the Government similar to paragraph (c) of this clause. Such request must be made in writhing to the Patent Counsel as part of the disclosure required by subparagraph (e)(2) of this clause, with a copy to the DOE Contracting Officer. DOE approval, if given, will be based on a determination that this would best serve the national interest.

(e) Invention Identification, Disclosures, and Reports

(1) The Recipient shall establish and maintain active and effective procedures to assure that subject inventions are promptly identified and disclosed to Recipient personnel responsible for patent matters within 6 months of conception and/or first actual reduction to practice, whichever occurs first in the performance of work under this agreement. These procedures shall include the maintenance of laboratory notebooks or equivalent records and other records as are reasonably necessary to document the conception and/or the first actual reduction to practice of subject inventions, and records that show that the procedures for identifying and disclosing the inventions are followed. Upon request, the Recipient shall furnish the Contracting Officer a description of such procedures for evaluation and for determination as to their effectiveness.

(2) The Recipient shall disclose each subject invention to the DOE Patent Counsel with a copy to the Contracting Officer within 2 months after the inventor discloses it in writing to Recipient personnel responsible for patent matters or, if earlier, within 6 months after the Recipient becomes aware that a subject invention has been made, but in any event before any on sale, public use, or publication of such invention known to the Recipient. The disclosure to DOE shall be in the form of a written report and shall identify the agreement under which the invention was made and the inventor(s). It shall be sufficiently complete in technical detail to convey a clear understanding, to the extent known at the time of the disclosure, of the nature, purpose, operation, and physical, chemical, biological, or electrical characteristics of the invention. The disclosure shall also identify any publication, on sale, or public use of the invention and whether a manuscript describing the invention has been submitted for publication and, if so, whether it has been accepted for publication at the time of disclosure. In addition, after disclosure to DOE, the Recipient shall promptly notify Patent Counsel of the acceptance of any manuscript describing the invention for publication or of any on sale or public use planned by the Recipient. The report should also include any request for a greater rights determination in accordance with subparagraph (b)(2) of this clause. When an invention is disclosed to DOE under this paragraph, it shall be deemed to have been made in the manner specified in Sections (a)(1) and (a)(2) of 42 U.S.C. 5908, unless the Recipient contends in writing at the time the invention is disclosed that it was not so made.

(3) The Recipient shall furnish the Contracting Officer a final report, within 3 months after completion of the work

listing all subject inventions or containing a statement that there were no such inventions, and listing all subawards/contracts at any tier containing a patent rights clause or containing a statement that there were no such subawards/contracts.

(4) The Recipient agrees to require, by written agreement, its employees, other than clerical and nontechnical employees, to disclose promptly in writing to personnel identified as responsible for the administration of patent matters and in a format suggested by the Recipient each subject invention made under subaward/contract in order that the Recipient can comply with the disclosure provisions of paragraph (c) of this clause, and to execute all papers necessary to file patent applications on subject inventions and to establish the Government's rights in the subject inventions. This disclosure format should require, as a minimum, the information required by subparagraph (e)(2) of this clause.

(5) The Recipient agrees, subject to FAR 27.302(j), that the Government may duplicate and disclose subject invention disclosures and all other reports and papers furnished or required to be furnished pursuant to this clause.

(f) Examination of Records Relating to Inventions

(1) The Contracting Officer or any authorized representative shall, until 3 years after final payment under this agreement, have the right to examine any books (including laboratory notebooks), records, and documents of the Recipient relating to the conception or first actual reduction to practice of inventions in the same field of technology as the work under this agreement to determine whether--

(i) Any such inventions are subject inventions;

(ii) The Recipient has established and maintains the procedures required by subparagraphs (e)(1) and (4) of this clause;

(iii) The Recipient and its inventors have complied with the procedures.

(2) If the Contracting Officer learns of an unreported Recipient invention which the Contracting Officer believes may be a subject invention, the Recipient may be required to disclose the invention to DOE for a determination of ownership rights.

(3) Any examination of records under this paragraph will be subject to appropriate conditions to protect the confidentiality of the information involved.

(g) Subaward/Contract

(1) The recipient shall include the clause PATENT RIGHTS (SMALL BUSINESS FIRMS AND NONPROFIT ORGANIZATIONS) (suitably modified to identify the parties) in all subawards/contracts, regardless of tier, for experimental, developmental, demonstration, or research work to be performed by a small business firm or domestic nonprofit organization, except where the work of the subaward/contract is subject to an Exceptional Circumstances Determination by DOE. In all other subawards/contracts, regardless of tier, for experimental, developmental, demonstration, or research work, the Recipient shall include this clause (suitably modified to identify the parties), or an alternate clause as directed by the contracting officer. The Recipient shall not, as part of the consideration for awarding the subaward/contract, obtain rights in the subrecipient's/contractor's subject inventions.

(2) In the event of a refusal by a prospective subrecipient/contractor to accept such a clause the Recipient:

(i) Shall promptly submit a written notice to the Contracting Officer setting forth the subrecipient/contractor's reasons for such refusal and other pertinent information that may expedite disposition of the matter; and

(ii) Shall not proceed with such subaward/contract without the written authorization of the Contracting Officer.

(3) In the case of subawards/contracts at any tier, DOE, the subrecipient/contractor, and Recipient agree that the mutual obligations of the parties created by this clause constitute a contract between the subrecipient/contractor and DOE with respect to those matters covered by this clause.

(4) The Recipient shall promptly notify the Contracting Officer in writing upon the award of any subaward/contract at any tier containing a patent rights clause by identifying the subrecipient/contractor, the applicable patent rights clause, the work to be performed under the subaward/contract, and the dates of award and estimated completion. Upon request of the Contracting Officer, the Recipient shall furnish a copy of such subaward/contract, and, no more frequently than annually, a listing of the subawards/contracts that have been awarded.

(5) The Recipient shall identify all subject inventions of a subrecipient/contractor of which it acquires knowledge in the performance of this agreement and shall notify the Patent Counsel, with a copy to the contracting officer, promptly upon identification of the inventions.

(h) Atomic Energy

(1) No claim for pecuniary award of compensation under the provisions of the Atomic Energy Act of 1954, as amended, shall be asserted with respect to any invention or discovery made or conceived in the course of or under this agreement.

(2) Except as otherwise authorized in writing by the Contracting Officer, the Recipient will obtain patent agreements to effectuate the provisions of subparagraph (h)(1) of this clause from all persons who perform any part of the work under this agreement, except nontechnical personnel, such as clerical employees and manual laborers.

(i) Publication

It is recognized that during the course of the work under this agreement, the Recipient or its employees may from time to time desire to release or publish information regarding scientific or technical developments conceived or first actually reduced to practice in the course of or under this agreement. In order that public disclosure of such information will not adversely affect the patent interests of DOE or the Recipient, patent approval for release of publication shall be secured from Patent Counsel prior to any such release or publication.

(j) Forfeiture of Rights in Unreported Subject Inventions

(1) The Recipient shall forfeit and assign to the Government, at the request of the Secretary of Energy or designee, all rights in any subject invention which the Recipient fails to report to Patent Counsel within six months after the time the Recipient:

(i) Files or causes to be filed a United States or foreign patent application thereon; or

(ii) Submits the final report required by subparagraph (e)(3) of this clause, whichever is later.

(2) However, the Recipient shall not forfeit rights in a subject invention if, within the time specified in subparagraph (e)(2) of this clause, the Recipient:

(i) Prepares a written decision based upon a review of the record that the invention was neither conceived nor first actually reduced to practice in the course of or under the agreement and delivers the decision to Patent Counsel, with a copy to the Contracting Officer, or

(ii) Contending that the invention is not a subject invention, the Recipient nevertheless discloses the invention and all facts pertinent to this contention to the Patent Counsel, with a copy of the Contracting Officer; or

(iii) Establishes that the failure to disclose did not result from the Recipient's fault or negligence.

(3) Pending written assignment of the patent application and patents on a subject invention determined by the Secretary of Energy or designee to be forfeited (such determination to be a final decision under the Disputes clause of this agreement), the Recipient shall be deemed to hold the invention and the patent applications and patents pertaining thereto in trust for the Government. The forfeiture provision of this paragraph (j) shall be in addition to and shall not supersede other rights and remedies which the Government may have with respect to subject inventions.

(End of clause)

Applicants Name: POET Project Liberty, LLC Award Number: DE-FC36-07GO17026 A000 Attachment # 3

# Budget Information - Non Construction Programs

OMB Approval No.0348-0044

**Section A - Budget Summary**

| Grant Program Function or Activity (a) | Catalog of Federal Domestic Assistance Number (b) | Estimated Unobligated Funds | | New or Revised Budget | | |
|---|---|---|---|---|---|---|
| | | Federal (c) | Non-Federal (d) | Federal (e) | Non-Federal (f) | Total (g) |
| 1. Year 1 | 81.087 | | | $1,930,774.00 | $3,033,795.00 | $4,964,569.00 |
| 2. Year 2 | 81.087 | | | $1,832,513.00 | $2,827,669.00 | $4,660,182.00 |
| 3. | | | | | | |
| 4. | | | | | | |
| Totals | | $0.00 | $0.00 | $3,763,287.00 | $5,861,464.00 | $9,624,751.00 |

**Section B - Budget Categories**

| 6. Object Class Categories | Grant Program, Function or Activity (1) Year 1 | (2) Year 2 | (3) | (4) | Total (5) |
|---|---|---|---|---|---|
| a. Personnel | | | | | |
| b. Fringe Benefits | | | | | |
| c. Travel | REDACTED EXEMPTION 4 | | | | |
| d. Equipment | | | | | REDACTED EXEMPTION 4 |
| e. Supplies | | | | | |
| f. Contractual | | | | | |
| g. Construction | | REDACTED EXEMPTION 4 | | | |
| h. Other | | | | | |
| i. Total Direct Charges (sum of 6a-6h) | | | | | |
| j. Indirect Charges | | | | | |
| k. Totals (sum of 6i and 6j) | $4,964,569.00 | $4,660,182.00 | | | $9,624,751.00 |
| 7. Program Income | | | | | |

SF-424A (Rev.4-92)
Prescribed by OMB Circular A-102

Previous Edition Usable

Authorized for Local Reproduction

DOE F 4600.2
(05/06)
All Other Editions Are Obsolete

Attachment # 4

# U.S. Department of Energy
# FEDERAL ASSISTANCE REPORTING CHECKLIST AND INSTRUCTIONS

| 1. Identification Number: DE - FC36 - 07GO17026.A000 | 2. Program/Project Title: LIBERTY - Launch of an Integrated Bio-refinery with Eco-sustainable and Renewable Technologies in Y2009 |
|---|---|
| 3. Recipient: POET Project Liberty, LLC | |

| 4. Reporting Requirements: | Frequency | No. of Copies | Address |
|---|---|---|---|
| **A. MANAGEMENT REPORTING** | | | |
| ☑ Progress Report | Q | Upload one copy of each report to the addresses identified in the next column | https://www.eere-pmc.energy.gov/SubmitReports.aspx |
| ☑ Special Status Report (see special instructions) | A | | |
| **B. SCIENTIFIC/TECHNICAL REPORTING** (Reports/Products must be submitted with appropriate DOE F 241. The forms are available at www.osti.gov/elink) | | | |
| Report/Product — Form | | | |
| ☑ Final Scientific Report — DOE F 241.3 | F | | http://www.osti.gov/elink-2413 |
| ☑ Conference papers/proceedings* — DOE F 241.3 | A | | https://www.eere-pmc.energy.gov/SubmitReports.aspx |
| ☐ Software/Manual — DOE F 241.4 | | | http://www.osti.gov/estsc/241-4pre.jsp |
| ☐ Other (see special instructions) — DOE F 241.3 | | | |
| * *Scientific and technical conferences only* | | | |
| **C. FINANCIAL REPORTING** | | | |
| ☐ SF-269, Financial Status Report | | | https://www.eere-pmc.energy.gov/SubmitReports.aspx |
| ☑ SF-269A, Financial Status Report (short form) | F Q | | |
| ☐ SF-272, Federal Cash Transaction Report | | | |
| **D. CLOSEOUT REPORTING** | | | |
| ☑ Patent Certification | F | | https://www.eere-pmc.energy.gov/SubmitReports.aspx |
| ☑ Property Certification | F | | |
| ☐ Other (see Special Instructions) | | | |
| **E. OTHER REPORTING** | | | |
| ☑ Annual Indirect Cost Proposal | Y | | |
| ☑ Annual Inventory of Federally Owned Property, If Any | Y | | |
| ☑ Other (see special instructions) | A | | |

FREQUENCY CODES AND DUE DATES:

A - Within 5 calendar days after events or as specified.

F - Final; 90 calendar days after expiration or termination of the award.

Y - Yearly; 90 days after the end of the reporting period.

S - Semiannually; within 30 days after end of the reporting period.

Q - Quarterly; within 30 days after end of the reporting period.

5. Special Instructions: The forms identified in the checklist are available at http://grants.pr.doe.gov.

Management and Other Reporting:

1.) A Project Management Plan must be developed and submitted to the DOE Project Officer thirty (30) days after award and must be updated and resubmitted annually. An electronic template will be forwarded to the Recipient after award.

2.) The Biomass Program's Quarterly Template must be used for Quarterly Report submissions. The electronic template will be forwarded to the Recipient after award.

3.) A Monthly Project Status Report must be submitted to the DOE Project Officer within 10 days after the end of each month. The electronic template for the monthly report will be forwarded to the Recipient after award.

4.) The Risk Mitigation Plan must be updated at least quarterly and sent to the DOE Project Officer within thirty (30) days of the end of the quarter.