ASSISTANCE AGREEMENT

1. Award No.	2. Modification No.	3. Effective Date	4. CFDA No.
DE-EE0002867		01/29/2010	81.087

5. Awarded To	6. Sponsoring Office	7. Period of Performance
ALGENOL BIOFUELS INC. Attn: GREGORY SCHLICHT 28100 BONITA GRANDE DR STE 200 BONITA SPRINGS FL 341356220	Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401	01/29/2010 through 12/31/2014

8. Type of Agreement	9. Authority	10. Purchase Request or Funding Document No.
☐ Grant ☒ Cooperative Agreement ☐ Other	109-58 Energy Policy Act (2005) 111-5 Recovery Act (2009)	10EE001928

11. Remittance Address	12. Total Amount	13. Funds Obligated
ALGENOL BIOFUELS INC. Attn: GREGORY SCHLICHT 28100 BONITA GRANDE DR STE 200 BONITA SPRINGS FL 341356220	Govt. Share: $24,331,431.00 Cost Share : REDACTED EXEMPTION 4 Total : $	This action: $24,331,431.00 Total : $24,331,431.00

14. Principal Investigator	15. Program Manager	16. Administrator
Craig Smith Phone: 239-498-2000	Carol Christine Sterner Phone: 303-275-4720	Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401-3393

17. Submit Payment Requests To	18. Paying Office	19. Submit Reports To
OR for Golden U.S. Department of Energy Oak Ridge Financial Service Center P.O. Box 4517 Oak Ridge TN 37831		

20. Accounting and Appropriation Data
IBR

21. Research Title and/or Description of Project
RECOVERY ACT: INTEGRATED PILOT - SCALE BIOREFINERY FOR PRODUCING ETHANOL FROM HYBRID ALGAE

For the Recipient		For the United States of America	
22. Signature of Person Authorized to Sign		25. Signature of Grants/Agreements Officer	
23. Name and Title	24. Date Signed	26. Name of Officer Michael A. Schledorn	27. Date Signed 01/19/2010

Working Copy

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-EE0002867

NAME OF OFFEROR OR CONTRACTOR
ALGENOL BIOFUELS INC.

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	DUNS Number: 800399904 "Electronic signature or signatures as used in this document means a method of signing an electronic message that-- (A) Identifies and authenticates a particular person as the source of the electronic message; (B) Indicates such person's approval of the information contained in the electronic message; and, (C) Submission via FedConnect constitutes electronically signed documents." 1. This is a conditional award, comprised of this Assistance Agreement and the Special Terms and Conditions. Upon successful completion of negotiations, this award will be modified to lift its conditional status, to revise the Special Terms and Conditions, and to add additional attachments, such as Attachment 1, Intellectual Property Provisions; Attachment 2, Statement of Project Objectives; Attachment 3, Federal Assistance Reporting Requirements; and Attachment 4, Budget Information - Non Construction Programs. 2. The award was prepared using the proposed budget information in the Recipient's application. The Special Terms and Conditions, Provision 1 of the award states DOE will not release the funding obligated by this award until the Awardee submits a full application and subsequently requested supplemental information, the Contracting Officer reviews and approves the Awardee's application and supplemental information, and completion of negotiations. Performance against this award is, therefore, at the Recipient's own risk, and payments for costs incurred for the Recipient's project will not be made until completion of negotiations. 3. The administrative office for this award is 03601. The administrative office (administrative contracting activity) code is needed by the recipient for reporting to FederalReporting.gov concerning awards made with funding from the American Recovery and Reinvestment Act of 2009 (ARRA or Recovery Act). Recipients must report to FederalReporting.gov by the 10th day of each quarter. 4. A representative of the DOE office will Continued ... contact the Recipient to request additional				

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-EE0002867

NAME OF OFFEROR OR CONTRACTOR
ALGENOL BIOFUELS INC.

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	and/or revised information needed to supplement and clarify the Recipient's application, to complete the negotiations of an amended award. DOE Award Administrator: Molly Hames E-mail: molly.hames@go.doe.gov Phone: 303-275-4864 DOE Project Officer: Christy Sterner E-mail: christy.sterner@go.doe.gov Phone: 303-275-4720 Recipient Business Officer: Craig Smith E-mail: craig.smith@algenolbiofuels.com Phone: 239-498-2000 Recipient Principal Investigator: Craig Smith E-mail: craig.smith@algenolbiofuels.com Phone: 239-498-2000 ASAP: NO Extent Competed: COMPETED Davis-Bacon Act: YES Delivery Location Code: 03601 Golden Field Office U.S. Department of Energy Golden Field Office 1617 Cole Blvd. Golden CO 80401-3393 Payment: OR for Golden U.S. Department of Energy Oak Ridge Financial Service Center P.O. Box 4517 Oak Ridge TN 37831 Fund: 05794 Appr Year: 2009 Allottee: 31 Report Entity: 200835 Object Class: 41000 Program: 1004173 Project: 2004000 WFO: 0000000 Local Use: 0000000 TAS Agency: 89 TAS Account: 0331				

SPECIAL TERMS AND CONDITIONS

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SPECIAL TERMS AND CONDITIONS

1. CONDITIONAL AVAILABILITY OF FUNDS

a. Notwithstanding the obligation of funds shown on the Assistance Agreement Cover Page, the parties hereby agree that the availability of funds to the Awardee for payment of costs incurred by the Awardee is conditioned upon the Awardee's submission of a full application and any subsequently requested supplemental information, the Contracting Officer's review and approval of the Awardee's application and supplemental information, and completion of negotiations. No funds, therefore, shall be made available to the Awardee for payment, and DOE does not guarantee or assume any obligation to reimburse costs incurred by the Awardee during the negotiation process.

b. When the parties have completed negotiations of all terms and conditions for this award, the Contracting Officer will issue an amendment to this award making available the obligated amount for payment in accordance with the payment provisions contained in the Special Terms and Conditions. The Awardee may then receive payment for allowable costs incurred or recognize costs incurred toward cost share requirements, as applicable, in accordance with the negotiated payment provisions.

c. Failure by the Recipient to provide an application and any subsequently requested supplemental documentation which is acceptable to the Contracting Officer, or failure to complete negotiations will be deemed noncompliance pursuant to 10 CFR 600.24. Based on such noncompliance, the Contracting Officer may unilaterally terminate or suspend this award. In such case, the Awardee shall not be reimbursed for costs incurred at the Awardee's risk, as described in Paragraph a. above.

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 for guidance.

3. AWARD AGREEMENT TERMS AND CONDITIONS

a. This award consists of the Assistance Agreement, plus the following:
   1) Special Terms and Conditions.
   2) Applicable program regulations.
   3) DOE Assistance Regulations, 10 CFR Part 600 at http://ecfr.gpoaccess.gov.
   4) If the award is for research and the award is for a university or non-profit, the Research Terms & Conditions and the DOE Agency Specific Requirements at http://www.nsf.gov/bfa/dias/policy/rtc/index.jsp apply.
   5) Application/proposal as approved by DOE.

6) National Policy Assurances to Be Incorporated as Award Terms in effect on date of award at http://management.energy.gov/business_doe/1374.htm.

b. When the parties have completed negotiations of all final special terms and conditions for this award, the Contracting Officer will issue an amendment and the following documents will be added to the award:
   1) Special Terms and Conditions.
   2) Attachments:

Attachment Number	Title
1.	Intellectual Property Provisions
2.	Statement of Project Objectives
3.	Federal Assistance Reporting Checklist and Instructions
4.	Budget Pages (SF 424A)

4. ELECTRONIC AUTHORIZATION OF AWARD DOCUMENTS

Acknowledgement of award documents by the Recipient's authorized representative through electronic systems used by the Department of Energy, specifically FedConnect, constitutes the Recipient's acceptance of the terms and conditions of the award. Acknowledgement via FedConnect by the Recipient's authorized representative constitutes the Recipient's electronic signature.

5. AWARD PROJECT PERIOD

The Project Period for this award is shown in the Assistance Agreement, Block 7, Period of Performance. The Project Period may be amended upon completion of negotiations.

6. INTELLECTUAL PROPERTY PROVISIONS

The intellectual property provisions applicable to this award will be incorporated by reference or included as Attachment 1 to the amended award, upon completion of negotiations.

7. COST SHARE

a. The Federal funds currently obligated on this award are shown in the Assistance Agreement, Blocks 12 and 13. The Federal funds and Recipient cost share may be amended upon completion of negotiations.

b. Total Estimated Project Cost is the sum of the Federal Government share and Recipient share of the estimated project costs. 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 total allowable project

costs, on a budget period basis, even if the project is terminated early or is not funded to its completion.

c. If you discover that you may be unable to provide cost sharing that is required upon completion of negotiations, the Recipient should immediately provide written notification to the DOE Award Administrator, indicating whether the Recipient will continue or phase out the project. If the Recipient plans to continue the project, the notification must describe how replacement cost sharing will be secured.

d. The Recipient 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. Such records are subject to audit.

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

8. REPORTING REQUIREMENTS

a. Requirements. The reporting requirements for this award will be identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, and become Attachment 3 to an amended award upon completion of negotiations. (A sample checklist may be found at the following link: http://www.management.energy.gov/documents/DOEF46002PolicyVersion.pdf.)

   Failure to comply with the reporting requirements will be 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 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. Citations for journal articles produced under the award will appear on the DOE Energy Citations Database (www.osti.gov/energycitations).

c. Restrictions. Reports submitted to the DOE Information Bridge must not contain any Protected Personal Identifiable Information (PII), limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release.

9. PAYMENT PROCEDURES

a. Method of Payment. Payment will be made by reimbursement through the Automated Clearinghouse (ACH) method of payment.

b. Requesting Reimbursement. Requests for reimbursements must be made electronically through Department of Energy's Oak Ridge Financial Service Center (ORFSC) ACH Vendor Inquiry Payment Electronic Reporting System (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.

e. Payments. The DOE approving official will approve the invoice as soon as practical, 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 payments at the VIPER web site. All payments are made by electronic funds transfer to the bank account identified on the ACH Vendor/Miscellaneous Payment Enrollment Form (SF 3881) that you filed.

10. REBUDGETING AND RECOVERY OF INDIRECT COSTS

a. If actual allowable indirect costs are less than those budgeted and funded under the award, the Awardee 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, the Awardee must refund the difference.

b. Awardees are expected to manage their indirect costs. DOE will not amend an award solely to provide additional funds for changes in indirect cost rates. DOE recognizes that the inability to obtain full reimbursement for indirect costs means the Awardee must absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost sharing.

11. INSOLVENCY, BANKRUPTCY OR RECEIVERSHIP

a. The Awardee shall immediately notify the DOE Administrator identified on the Assistance Agreement Cover Page of the occurrence of any of the following events: (i) the Awardee, or the Awardee's parent's filing of a voluntary case seeking liquidation or reorganization under the Bankruptcy Act; (ii) the Awardee's consent to the institution of an involuntary case under the Bankruptcy Act against the Awardee or its parent; (iii) the filing of any similar proceeding for or against the Awardee or its parent, or its consent to, the dissolution, winding-up or readjustment of its debts, appointment of a receiver, conservator, trustee, or other officer with similar powers over the Awardee, under any other applicable state or federal law; or (iv) the Awardee's insolvency due to its inability to pay its 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 the award to determine the Awardee's 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 a DOE review determines that there are significant deficiencies or concerns with the Awardee's performance under the award, DOE reserves the right to impose additional requirements, as needed, including (i) change the Awardee payment method; or (ii) institute payment controls.

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

12. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS

The Awardee and any of its subawardees 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 providing either a NEPA clearance or a final NEPA decision regarding this project. If the Awardee moves forward with activities that are not authorized by the Contracting Officer for federal funding by the DOE under this award, in advance of negotiations, to include DOE initiating the NEPA process, the Awardee is doing so at risk of deobligation of federal funding and such costs may not be recognized as allowable cost share.

If this award includes construction activities, the Awardee must submit an environmental evaluation report/evaluation notification form addressing NEPA issues prior to DOE initiating the NEPA process.

13. STATEMENT OF FEDERAL STEWARDSHIP

DOE 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 ensure that the award objectives have been accomplished.

14. SITE VISITS

DOE'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. The Awardee must provide, and must require its subawardees to provide, reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the DOE and any other government representatives in the performance of their duties. All site visits and evaluations will be performed in a manner that does not unduly interfere with or delay the work.

15. PUBLICATIONS

a. The Awardee is 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."

16. FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS

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

17. LOBBYING RESTRICTIONS

By accepting funds under this award, the Awardee agrees 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.

18. 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.

19. SPECIAL PROVISIONS RELATING TO WORK FUNDED UNDER AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (May 2009)

Preamble

The American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, (Recovery Act) was enacted to preserve and create jobs and promote economic recovery, assist those most impacted by the recession, provide investments needed to increase economic efficiency by spurring technological advances in science and health, invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits, stabilize State and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive State and local tax increases. Recipients shall use grant funds in a manner that maximizes job creation and economic benefit.

The Recipient shall comply with all terms and conditions in the Recovery Act relating generally to governance, accountability, transparency, data collection and resources as specified in Act itself and as discussed below.

Recipients should begin planning activities for their first tier subrecipients, including obtaining a DUNS number (or updating the existing DUNS record), and registering with the Central Contractor Registration (CCR).

Be advised that Recovery Act funds can be used in conjunction with other funding as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the Recovery Act and related guidance. For projects funded by sources other than the Recovery Act, Contractors must keep separate records for Recovery Act funds and to ensure those records comply with the requirements of the Act.

The Government has not fully developed the implementing instructions of the Recovery Act, particularly concerning specific procedural requirements for the new reporting requirements. The Recipient will be provided these details as they become available. The Recipient must comply with all requirements of the Act. If the recipient believes there is any inconsistency between ARRA requirements and current award terms and conditions, the issues will be referred to the Contracting Officer for reconciliation.

Definitions

For purposes of this clause, Covered Funds means funds expended or obligated from appropriations under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5. Covered Funds will have special accounting codes and will be identified as Recovery Act funds in the grant, cooperative agreement or TIA and/or modification using Recovery Act funds. Covered Funds must be reimbursed by September 30, 2015.

Non-Federal employer means any employer with respect to covered funds -- the contractor, subcontractor, grantee, or recipient, as the case may be, if the contractor, subcontractor, grantee, or recipient is an employer; and any professional membership organization, certification of other professional body, any agent or licensee of the Federal government, or any person acting directly

or indirectly in the interest of an employer receiving covered funds; or with respect to covered funds received by a State or local government, the State or local government receiving the funds and any contractor or subcontractor receiving the funds and any contractor or subcontractor of the State or local government; and does not mean any department, agency, or other entity of the federal government.

Recipient means any entity that receives Recovery Act funds directly from the Federal government (including Recovery Act funds received through grant, loan, or contract) other than an individual and includes a State that receives Recovery Act Funds.

Special Provisions

A. Flow Down Requirement

Recipients must include these special terms and conditions in any subaward.

B. Segregation of Costs

Recipients must segregate the obligations and expenditures related to funding under the Recovery Act. Financial and accounting systems should be revised as necessary to segregate, track and maintain these funds apart and separate from other revenue streams. No part of the funds from the Recovery Act shall be commingled with any other funds or used for a purpose other than that of making payments for costs allowable for Recovery Act projects.

C. Prohibition on Use of Funds

None of the funds provided under this agreement derived from the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

D. Access to Records

With respect to each financial assistance agreement awarded utilizing at least some of the funds appropriated or otherwise made available by the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, any representative of an appropriate inspector general appointed under section 3 or 8G of the Inspector General Act of 1988 (5 U.S.C. App.) or of the Comptroller General is authorized --

(1) to examine any records of the contractor or grantee, any of its subcontractors or subgrantees, or any State or local agency administering such contract that pertain to, and involve transactions that relate to, the subcontract, subcontract, grant, or subgrant; and

(2) to interview any officer or employee of the contractor, grantee, subgrantee, or agency regarding such transactions.

E. Publication

An application may contain technical data and other data, including trade secrets and/or privileged or confidential information, which the applicant does not want disclosed to the public or used by the Government for any purpose other than the application. To protect such data, the applicant should specifically identify each page including each line or paragraph thereof containing the data to be protected and mark the cover sheet of the application with the following Notice as well as referring to the Notice on each page to which the Notice applies:

Notice of Restriction on Disclosure and Use of Data
The data contained in pages ---- of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data here to the extent provided in the award. This restriction does not limit the Government's right to use or disclose data obtained without restriction from any source, including the applicant.

Information about this agreement will be published on the Internet and linked to the website www.recovery.gov, maintained by the Accountability and Transparency Board. The Board may exclude posting contractual or other information on the website on a case-by-case basis when necessary to protect national security or to protect information that is not subject to disclosure under sections 552 and 552a of title 5, United States Code.

F. Protecting State and Local Government and Contractor Whistleblowers.

The requirements of Section 1553 of the Act are summarized below. They include, but are not limited to:

Prohibition on Reprisals: An employee of any non-Federal employer receiving covered funds under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing, including a disclosure made in the ordinary course of an employee's duties, to the Accountability and Transparency Board, an inspector general, the Comptroller General, a member of Congress, a State or Federal regulatory or law enforcement agency, a person with supervisory authority over the employee (or other person working for the employer who has the authority to investigate, discover or terminate misconduct), a court or grant jury, the head of a Federal agency, or their representatives information that the employee believes is evidence of:

- gross management of an agency contract or grant relating to covered funds;
- a gross waste of covered funds;
- a substantial and specific danger to public health or safety related to the implementation or use of covered funds;
- an abuse of authority related to the implementation or use of covered funds; or
- as violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.

Agency Action: Not later than 30 days after receiving an inspector general report of an alleged reprisal, the head of the agency shall determine whether there is sufficient basis to conclude that the non-Federal employer has subjected the employee to a prohibited reprisal. The agency shall either issue an order denying relief in whole or in part or shall take one or more of the following actions:

- Order the employer to take affirmative action to abate the reprisal.
- Order the employer to reinstate the person to the position that the person held before the reprisal, together with compensation including back pay, compensatory damages, employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.
- Order the employer to pay the employee an amount equal to the aggregate amount of all costs and expenses (including attorneys' fees and expert witnesses' fees) that were reasonably incurred by the employee for or in connection with, bringing the complaint regarding the reprisal, as determined by the head of a court of competent jurisdiction.

Nonenforceablity of Certain Provisions Waiving Rights and remedies or Requiring Arbitration: Except as provided in a collective bargaining agreement, the rights and remedies provided to aggrieved employees by this section may not be waived by any agreement, policy, form, or condition of employment, including any predispute arbitration agreement. No predispute arbitration agreement shall be valid or enforceable if it requires arbitration of a dispute arising out of this section.

Requirement to Post Notice of Rights and Remedies: Any employer receiving covered funds under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, shall post notice of the rights and remedies as required therein. (Refer to section 1553 of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, www.Recovery.gov, for specific requirements of this section and prescribed language for the notices.).

G. Reserved.

H. False Claims Act

Recipient and sub-recipients shall promptly refer to the DOE or other appropriate Inspector General any credible evidence that a principal, employee, agent, contractor, sub-grantee, subcontractor or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity or similar misconduct involving those funds.

I. Information in Support of Recovery Act Reporting

Recipient may be required to submit backup documentation for expenditures of funds under the Recovery Act including such items as timecards and invoices. Recipient shall provide copies of backup documentation at the request of the Contracting Officer or designee.

J. Availability of Funds

Funds appropriated under the Recovery Act and obligated to this award are available for reimbursement of costs until September 30, 2015.

K. Additional Funding Distribution and Assurance of Appropriate Use of Funds

If the Recipient is a State Government, the following paragraphs apply:

Certification by Governor -- Not later than April 3, 2009, for funds provided to any State or agency thereof by the American Reinvestment and Recovery Act of 2009, Pub. L. 111-5, the Governor of the State shall certify that: 1) the state will request and use funds provided by the Act; and 2) the funds will be used to create jobs and promote economic growth.

Acceptance by State Legislature -- If funds provided to any State in any division of the Act are not accepted for use by the Governor, then acceptance by the State legislature, by means of the adoption of a concurrent resolution, shall be sufficient to provide funding to such State.

Distribution -- After adoption of a State legislature's concurrent resolution, funding to the State will be for distribution to local governments, councils of government, public entities, and public-private entities within the State either by formula or at the State's discretion.

L. Certifications

With respect to funds made available to State or local governments for infrastructure investments under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5, the Governor, mayor, or other chief executive, as appropriate, certified by acceptance of this award that the infrastructure investment has received the full review and vetting required by law and that the chief executive accepts responsibility that the infrastructure investment is an appropriate use of taxpayer dollars. Recipient shall provide an additional certification that includes a description of the investment, the estimated total cost, and the amount of covered funds to be used for posting on the Internet. A State or local agency may not receive infrastructure investment funding from funds made available by the Act unless this certification is made and posted.

20. REPORTING AND REGISTRATION REQUIREMENTS UNDER SECTION 1512 OF THE RECOVERY ACT

(a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 (Recovery Act) and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The reports are due no later than ten calendar days after each calendar quarter in which the Recipient receives the assistance award funded in whole or in part by the Recovery Act.

(c) Recipients and their first-tier subrecipients must maintain current registrations in the Central Contractor Registration (*http://www.ccr.gov*) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number (*http://www.dnb.com*) is one of the requirements for registration in the Central Contractor Registration.

(d) The recipient shall report the information described in section 1512(c) of the Recovery Act using the reporting instructions and data elements that will be provided online at *http://www.FederalReporting.gov* and ensure that any information that is pre-filled is corrected or updated as needed.

21. REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS – SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

After completion of negotiations, this provision may be revised.

(a) *Definitions.* As used in this award term and condition—

(1) *Manufactured good* means a good brought to the construction site for incorporation into the building or work that has been—

(i) Processed into a specific form and shape; or

(ii) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

(2) *Public building and public work* means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

(3) *Steel* means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) *Domestic preference.* (1) This award term and condition implements Section 1605 of the American Recovery and Reinvestment Act of 2009 (Recovery Act) (Pub. L. 111–5), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States except as provided in paragraph (b)(3) of this section and condition.

(2) This requirement does not apply to the material listed by the Federal Government as follows:

None.

(3) The award official may add other iron, steel, and/or manufactured goods to the list in paragraph (b)(2) of this section and condition if the Federal Government determines that—

(i) The cost of the domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the cost of the overall project by more than 25 percent;

(ii) The iron, steel, and/or manufactured good is not produced, or manufactured in the United States in sufficient and reasonably available quantities and of a satisfactory quality; or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) *Request for determination of inapplicability of Section 1605 of the Recovery Act* . (1)(i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph (b)(3) of this section shall include adequate information for Federal Government evaluation of the request, including—

(A) A description of the foreign and domestic iron, steel, and/or manufactured goods;

(B) Unit of measure;

(C) Quantity;

(D) Cost;

(E) Time of delivery or availability;

(F) Location of the project;

(G) Name and address of the proposed supplier; and

(H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(3) of this section.

(ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this section.

(iii) The cost of iron, steel, and/or manufactured goods material shall include all delivery costs to the construction site and any applicable duty.

(iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.

(2) If the Federal Government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds by at least the differential established in 2 CFR 176.110(a).

(3) Unless the Federal Government determines that an exception to section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods is noncompliant with section 1605 of the American Recovery and Reinvestment Act.

(d) *Data.* To permit evaluation of requests under paragraph (b) of this section based on unreasonable cost, the Recipient shall include the following information and any applicable supporting data based on the survey of suppliers:

Foreign and Domestic Items Cost Comparison

Description	Unit of measure	Quantity	Cost (dollars)*
Item 1:			
Foreign steel, iron, or manufactured good	_____	_____	_____
Domestic steel, iron, or manufactured good	_____	_____	_____
Item 2:			
Foreign steel, iron, or manufactured good	_____	_____	_____
Domestic steel, iron, or manufactured good	_____	_____	_____

List name, address, telephone number, email address, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.

Include other applicable supporting information.

*Include all delivery costs to the construction site.

22. RECOVERY ACT TRANSACTIONS LISTED IN SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS AND RECIPIENT RESPONSIBILITIES FOR INFORMING SUBRECIPIENTS

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Pub. L. 111–5) (Recovery Act) as required by Congress and in accordance with 2 CFR 215.21 "Uniform Administrative Requirements for Grants and Agreements" and OMB Circular A–102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds. OMB Circular A–102 is available at *http://www.whitehouse.gov/omb/circulars/a102/a102.html.*

(b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A–133, "Audits of States, Local Governments, and Non-Profit Organizations," recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF–SAC) required by OMB Circular A–133. OMB Circular A–133 is available at *http://www.whitehouse.gov/omb/circulars/a133/a133.html.* This shall be accomplished by identifying expenditures for Federal awards made under the Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF–SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF–SAC.

(c) Recipients agree to separately identify to each subrecipient, and document at the time of subaward and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to subrecipients shall distinguish the subawards of incremental Recovery Act funds from regular subawards under the existing program.

(d) Recipients agree to require their subrecipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA described above. This information is needed to allow the recipient to properly monitor subrecipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office.

23. WAGE RATE REQUIREMENTS UNDER SECTION 1606 OF THE RECOVERY ACT

After completion of negotiations, this provision may be revised.

(a) Section 1606 of the Recovery Act requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part

by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code.

Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR parts 1, 3, and 5 to implement the Davis-Bacon and related Acts. Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants, cooperative agreements, and loans under the Recovery Act shall ensure that the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of $2,000 for construction, alteration or repair (including painting and decorating).

(b) For additional guidance on the wage rate requirements of section 1606, contact your awarding agency. Recipients of grants, cooperative agreements and loans should direct their initial inquiries concerning the application of Davis-Bacon requirements to a particular federally assisted project to the Federal agency funding the project. The Secretary of Labor retains final coverage authority under Reorganization Plan Number 14.

24. DAVIS BACON ACT AND CONTRACT WORK HOURS AND SAFETY STANDARDS ACT

After completion of negotiations, this provision may be revised.

Definitions: For purposes of this provision, "Davis Bacon Act and Contract Work Hours and Safety Standards Act," the following definitions are applicable:

(1) "Award" means any grant, cooperative agreement or technology investment agreement made with Recovery Act funds by the Department of Energy (DOE) to a Recipient. Such Award must require compliance with the labor standards clauses and wage rate requirements of the Davis-Bacon Act (DBA) for work performed by all laborers and mechanics employed by Recipients (other than a unit of State or local government whose own employees perform the construction) Subrecipients, Contractors, and subcontractors.

(2) "Contractor" means an entity that enters into a Contract. For purposes of these clauses, Contractor shall include (as applicable) prime contractors, Recipients, Subrecipients, and Recipients' or Subrecipients' contractors, subcontractors, and lower-tier subcontractors. "Contractor" does not mean a unit of State or local government where construction is performed by its own employees."

(3) "Contract" means a contract executed by a Recipient, Subrecipient, prime contractor, or any tier subcontractor for construction, alteration, or repair. It may also mean (as applicable) (i) financial assistance instruments such as grants, cooperative

agreements, technology investment agreements, and loans; and, (ii) Sub awards, contracts and subcontracts issued under financial assistance agreements. "Contract" does not mean a financial assistance instrument with a unit of State or local government where construction is performed by its own employees.

(4) "Contracting Officer" means the DOE official authorized to execute an Award on behalf of DOE and who is responsible for the business management and non-program aspects of the financial assistance process.

(5) "Recipient" means any entity other than an individual that receives an Award of Federal funds in the form of a grant, cooperative agreement, or technology investment agreement directly from the Federal Government and is financially accountable for the use of any DOE funds or property, and is legally responsible for carrying out the terms and conditions of the program and Award.

(6) "Subaward" means an award of financial assistance in the form of money, or property in lieu of money, made under an award by a Recipient to an eligible Subrecipient or by a Subrecipient to a lower-tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include the Recipient's procurement of goods and services to carry out the program nor does it include any form of assistance which is excluded from the definition of "Award" above.

(7) "Subrecipient" means a non-Federal entity that expends Federal funds received from a Recipient to carry out a Federal program, but does not include an individual that is a beneficiary of such a program.

(a) Davis Bacon Act

(1) Minimum wages.

(i) All laborers and mechanics employed or working upon the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), will be paid unconditionally and not less often than once a week, and, without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the Contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions

of paragraph (a)(1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in § 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein, *provided* that the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under paragraph (a)(1)(ii) of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the Contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

(ii)(A) The Contracting Officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the Contract shall be classified in conformance with the wage determination. The Contracting Officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

(1) The work to be performed by the classification requested is not performed by a classification in the wage determination;

(2) The classification is utilized in the area by the construction industry; and

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(B) If the Contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the Contracting Officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the Contracting Officer to the Administrator of the Wage and Hour Division, U.S. Department of Labor, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the Contracting Officer or will notify the Contracting Officer within the 30-day period that additional time is necessary.

(C) In the event the Contractor, the laborers or mechanics to be employed in the classification or their representatives, and the Contracting Officer do not

agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the Contracting Officer shall refer the questions, including the views of all interested parties and the recommendation of the Contracting Officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the Contracting Officer or will notify the Contracting Officer within the 30-day period that additional time is necessary.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(ii)(B) or (C) of this section, shall be paid to all workers performing work in the classification under this Contract from the first day on which work is performed in the classification.

(iii) Whenever the minimum wage rate prescribed in the Contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the Contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(iv) If the Contractor does not make payments to a trustee or other third person, the Contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, *provided* that the Secretary of Labor has found, upon the written request of the Contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the Contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

(2) Withholding. The Department of Energy or the Recipient or Subrecipient shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld from the Contractor under this Contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the Contractor or any subcontractor the full amount of wages required by the Contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), all or part of the wages required by the Contract, the Department of Energy, Recipient, or Subrecipient, may, after written notice to the Contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

(3) Payrolls and basic records.

(i) Payrolls and basic records relating thereto shall be maintained by the Contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work (or under the United States Housing Act of 1937, or under the Housing Act of 1949, in the construction or development of the project). Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made, and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the Contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(ii) (A) The Contractor shall submit weekly for each week in which any Contract work is performed a copy of all payrolls to the Department of Energy if the agency is a party to the Contract, but if the agency is not such a party, the Contractor will submit the payrolls to the Recipient or Subrecipient (as applicable), applicant, sponsor, or owner, as the case may be, for transmission to the Department of Energy. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i), except that full social security numbers and home addresses shall not be included on weekly transmittals. Instead, the payrolls shall only need to include an individually identifying number for each employee (e.g., the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division Web site at http://www.dol.gov/esa/whd/forms/wh347instr.htm or its successor site. The prime Contractor is responsible for the submission of copies of payrolls by all subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to the Department of Energy if the agency is a party to the Contract, but if the agency is not such a party, the Contractor will submit them to the Recipient or Subrecipient (as applicable), applicant, sponsor, or owner, as the case may be, for transmission to the Department of

Energy, the Contractor, or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. It is not a violation of this section for a prime contractor to require a subcontractor to provide addresses and social security numbers to the prime contractor for its own records, without weekly submission to the sponsoring government agency (or the Recipient or Subrecipient (as applicable), applicant, sponsor, or owner).

(B) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the Contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the Contract and shall certify the following:

(1) That the payroll for the payroll period contains the information required to be provided under § 5.5 (a)(3)(ii) of Regulations, 29 CFR part 5, the appropriate information is being maintained under § 5.5 (a)(3)(i) of Regulations, 29 CFR part 5, and that such information is correct and complete;

(2) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the Contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 CFR part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the Contract.

(C) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph (a)(3)(ii)(B) of this section.

(D) The falsification of any of the above certifications may subject the Contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 3729 of title 31 of the United States Code.

(iii) The Contractor or subcontractor shall make the records required under paragraph (a)(3)(i) of this section available for inspection, copying, or transcription by authorized representatives of the Department of Energy or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the Contractor or subcontractor fails to submit the required records or to make them available, the Federal agency

may, after written notice to the Contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

(4) Apprentices and trainees—

(i) Apprentices. Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Office of Apprenticeship Training, Employer and Labor Services or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the Contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a Contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the Contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency recognized by the Office, withdraws approval of an apprenticeship program, the Contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(ii) Trainees. Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the Contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(iii) Equal employment opportunity. The utilization of apprentices, trainees, and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended and 29 CFR part 30.

(5) Compliance with Copeland Act requirements. The Contractor shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this Contract.

(6) Contracts and Subcontracts. The Recipient, Subrecipient, the Recipient's, and Subrecipient's contractors and subcontractor shall insert in any Contracts the clauses contained herein in(a)(1) through (10) and such other clauses as the Department of Energy may by appropriate instructions require, and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The Recipient shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all of the paragraphs in this clause.

(7) Contract termination: debarment. A breach of the Contract clauses in 29 CFR 5.5 may be grounds for termination of the Contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

(8) Compliance with Davis-Bacon and Related Act requirements. All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this Contract.

(9) Disputes concerning labor standards. Disputes arising out of the labor standards provisions of this Contract shall not be subject to the general disputes clause of this Contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the Recipient, Subrecipient, the Contractor (or any of its subcontractors), and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.

(10) Certification of eligibility.

(i) By entering into this Contract, the Contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the Contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(ii) No part of this Contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

(b) Contract Work Hours and Safety Standards Act. As used in this paragraph, the terms laborers and mechanics include watchmen and guards.

(1) Overtime requirements. No Contractor or subcontractor contracting for any part of the Contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.

(2) Violation; liability for unpaid wages; liquidated damages. In the event of any violation of the clause set forth in paragraph (b)(1) of this section, the Contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such Contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with

respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (b)(1) of this section, in the sum of $10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (b)(1) of this section.

(3) Withholding for unpaid wages and liquidated damages. The Department of Energy or the Recipient or Subrecipient shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the Contractor or subcontractor under any such contract or any other Federal contract with the same prime Contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such Contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (b)(2) of this section.

(4) Contracts and Subcontracts. The Recipient, Subrecipient, and Recipient's and Subrecipient's contractor or subcontractor shall insert in any Contracts, the clauses set forth in paragraph (b)(1) through (4) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The Recipient shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (b)(1) through (4) of this section.

(5) The Contractor or subcontractor shall maintain payrolls and basic payroll records during the course of the work and shall preserve them for a period of three years from the completion of the Contract for all laborers and mechanics, including guards and watchmen, working on the Contract. Such records shall contain the name and address of each such employee, social security number, correct classifications, hourly rates of wages paid, daily and weekly number of hours worked, deductions made, and actual wages paid. The records to be maintained under this paragraph shall be made available by the Contractor or subcontractor for inspection, copying, or transcription by authorized representatives of the Department of Energy and the Department of Labor, and the Contractor or subcontractor will permit such representatives to interview employees during working hours on the job.

(d) Rates of Wages

After completion of negotiations, this provision may be revised.

The minimum wages to be paid laborers and mechanics under this award involved in performance of work at the project site, as determined by the Secretary of Labor to be prevailing for the corresponding classes of laborers and mechanics employed on projects of a character similar to the contract work in the pertinent locality, are found at http://www.wdol.gov/, by clicking on "Selecting DBA WDs". The Wage Determination Number(s) and General Decision

Number(s) specific to this award are found below. These wage rates are minimum rates and are not intended to represent the actual wage rates that the Contractor may have to pay.

CONSTRUCTION TYPE	WAGE DETERMINATION NUMBER	GENERAL DECISION NUMBER
Building	TBD	TBD
Highway	TBD	TBD
Residential	TBD	TBD

U.S. Department of Energy
Project Management Center

FINANCIAL ASSISTANCE AWARD
INDEX and CHECKLIST
(BUYER USE ONLY)

Award #:	**DE-EE0002867/000**		
Recipient Name:	**Algenol Biofuels, Inc.**		
FOA #:	**DE-FOA-0000096**		
Specialist:	**Molly Hames**	**Phone:**	303-275-4864
Contracting Officer:	**Michael Schledorn**	**Phone:**	303-275-4993
Project Officer:	**Christy Sterner**	**Phone:**	303-275-4720

Action Item	*Indicate Completion of Action Item by inserting a date in the applicable box below*	
1	Verify Recipient's registration with the Central Contractor Registration (CCR) (http://www.ccr.gov)	CCR Registration Valid through: 05/28/2010
2	Verify Recipient's registration with FedConnect	Registration Confirmed on: 12/22/2009
3	Add Recipient to ASAP Enrollment Matrix; if applicable	Recipient added to Enrolloment Matrix on: 12/22/2009
4	Route Award for "Review" to GO Finance Point of Contact (Debbie Reynolds) 5 business days prior to issuing award; for the purpose of confirming Supplier/Site set-up in STARS	STARS Supplier/Site set-up confirmed on: Completed in Bulk

STRIPES Index #	Supporting Document		Form #	applicable	not applicable	Supporting Document Naming Convention	pdf. required
AWD-001	Award Index and Checklist		PMC 128.1	X		**AWD-001 AWDChecklist**	
AWD-002	Selection Statement		n/a	X		**AWD-002 SelStat**	.pdf
AWD-003	Determination of Non-Competitive Financial Assistance (DNFA) Documentation (include Request for Review PMC.112.2)		PMC 109.x		X	**AWD-003 DNFADocs**	batch .pdf
AWD-004	HCA Approval (Total Project Value greater than $25M and less than $50M) (include Request for Review PMC.112.2)		n/a	X		**AWD-004 HCAApvl**	.pdf
AWD-005	HQ Business Clearance Documentation (Total Project Value greater than or equal to $50M)						
	AWD-005a	HQ Business Clearance Worksheet	PMC 107.1		X	**AWD-005 HQBusClrDocs**	batch .pdf
	AWD-005b	HQ Business Clearance Transmittal Letter(s)	PMC 107.4		X		
	AWD-005c	HQ Business Clearance; Correspondence received from HQ	n/a	X			
AWD-006	Congressional Affairs Notification		DOE F 4220.10	X		**AWD-006CongNotification**	.pdf
AWD-007	Successful Application Documentation (Prime) - Algenol Biofuels, Inc.						
	AWD-007a	Application for Federal Assistance (Final SF-424 & Project Narrative)	SF-424	X		**AWD-007a AppDocs (PRIME)**	batch .pdf
		SOPO	n/a	X			
		Resumes	n/a		X		
		SF-424A Budget Information	SF-424A	X			
		Budget Justification	PMC 123.1	X			
		Disclosure of Lobbying Activities	SF-LLL		X		
		Cost Share Commitment Ltrs from Third Parties	n/a	X			
		Environmental Questionnaire	n/a	X			
		Project Management Plan (PMP)	n/a	X			
		Historical, Current, and Planned Technical and Financial Data	n/a	X			
		Business and Commercialization Plan	n/a	X			
		Pro forma	n/a	X			
		Intellectual Property (IP) Statement and Supporting Documentation	n/a	X			
		Process Flow Diagram and Supporting Data	n/a	X			
		Life-Cycle GHG Emission Reduction Data	n/a	X			
		Petroleum Displacement Analysis	n/a	X			
		Project Execution Plan (PEP)	n/a	X			
	Successful Application Documentation (Sub #1) Georgia Institute of Technology						
	AWD-007b	SF-424A Budget Information	SF-424A	X		**AWD-007b AppDocsSub [GA Tech]**	batch .pdf
		Budget Justification	PMC 123.1		X		

STRIPES Index #	Supporting Document			Form #	applicable	not applicable	Supporting Document Naming Convention	pdf. required
	Successful Application Documentation (Sub #2) Membrane Technology and Research, Inc.							
	AWD-007c	SF-424A Budget Information		SF-424A	X		AWD-007c AppDocsSub [MTR]	batch .pdf
		Budget Justification		PMC 123.1		X		
	Successful Application Documentation (Sub #3) The Dow Chemical Company							
	AWD-007d	SF-424A Budget Information		SF-424A	X		AWD-007d AppDocsSub [Dow]	batch .pdf
		Budget Justification		PMC 123.1		X		
	Successful Application Documentation (Sub #4) National Renewable Energy Laboratory (NREL)							
	AWD-007e	SF-424A Budget Information		SF-424A	X		AWD-007e AppDocsSub [NREL]	batch .pdf
		Budget Justification		PMC 123.1		X		
		Authorization for non-DOE or DOE FFRDCs		n/a	X			
AWD-008	National Environmental Policy Act (NEPA) Documentation							
	AWD-008a	NEPA Checklist		EF-1		X	AWD-008 NEPADocs	batch .pdf
	AWD-008b	NEPA Review		EF-2		X		
	AWD-008c	NEPA Determination		EF-2a		X		
AWD-009	Pre-Award Information Sheet			PMC 121.1	X		AWD-009 PreAwardInfo	.pdf
AWD-010	Dun&Bradstreet Risk Assessment			PMC 460.2	X		AWD-010 D&BAssessment	.pdf
AWD-011	Combined Technical Evaluation / Negotiation Memorandum			PMC 120.2		X	AWD-011 TechEvalNegMem	.pdf
AWD-012	Intellectual Property Law Division (IPLD) Documentation							
	AWD-012a	IPLD Petition for Advance Waiver of Patent Rights		PMC 133.2		X	AWD-012 IPLDDocs	batch .pdf
	AWD-012b	IPLD Pre-Award Review Request		PMC 133.3		X		
	AWD-012c	IPLD Recommendation		e-mail		X		
	AWD-012d	IPLD Limited Rights Data and Restricted Computer Software		n/a	X			
AWD-013	Cost Share Determination Documentation							
	AWD-013a	Cost Share Determination		PMC 112.2		X	AWD-013a CostShareDet	.pdf
	AWD-013b	Cost Share Waiver		PMC 142.2		X	AWD-013b CostShareWaiver	.pdf
AWD-014	Cost / Price Documentation							
	AWD-014a	Financial Information		PMC 410.1	X		AWD-014 CostPriceDocs	batch .pdf
	AWD-014b	Indirect Rate Agreement or Rate Proposal		n/a	X			
	AWD-014c	Response from C/P Analyst regarding Indirect Rates		PMC 420.3		X		
AWD-015	Excluded Parties List System (EPLS) Query (https://www.epls.gov)			n/a	X		AWD-015 EPLS	
AWD-016	Pre-Award Cost Request and Authorization			n/a		X	AWD-016 PreAwdCostAuth	.pdf
AWD-017	Justification for Use of Conditional Availability of Funds Provision			PMC 132.2	X		AWD-017 JustificationCondAvail	.pdf
AWD-018	Correspondence to Recipients (use this section for correspondence not issued at FOA level)							
	AWD-018a	Selection Letter			X		AWD-018a SelLtr	batch .pdf
	AWD-018b	Correspondence				X	AWD-018b Correspondence	batch .pdf
AWD-019	Internal Review(s)							
	AWD-019a	Request for Review (Review of Award Package)		PMC 112.2	X		AWD-019a RvwAwdPkg	.pdf
	AWD-019b	Division Director Review		n/a	X		AWD-019b DDRvw	.pdf
AWD-020	Guidance Letter			n/a	X		AWD-020 GuideLtr	.pdf
Cover Page	Assistance Agreement Form			n/a	X			
Body	Special Terms and Conditions			n/a	X			
Attachment 1	Intellectual Property Provisions			n/a		X		
Attachment 2	Statement of Project Objectives			n/a		X		
Attachment 3	Federal Assistance Reporting Checklist and Instructions			DOE F 4600.2		X		
Attachment 4	Budget Information			n/a		X		

Topic Area 1

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE (SELECTION RANGE)											
Yes	ICM, Inc.	Exemption 4 Exemption 5 (deliberative process)	$25,000,000	Exemption 4 Exemption 5 (deliberative process)							
Yes	Archer Daniels Midland		$24,834,592								
Yes	Algenol Biofuels Inc.		$25,000,000								
Yes	LOGOS TECHNOLOGIES, INC.		$20,455,849								
Yes, Engr only	Gas Technology Institute		$2,500,000								
Yes	HALDOR TOPSOE, INC.		$25,000,000								
Yes	UOP LLC		$25,000,000								
Yes	Clearfuels Technology Inc		$23,000,000								

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE (SELECTION RANGE)											
Yes	Renewable Energy Institute International	Exemption 4 Exemption 5 (deliberative process)	$19,980,930	Exemption 4 Exemption 5 (deliberative process)							
Yes	American Process Inc.		$17,944,902								
Yes	ZeaChem Inc.		$25,000,000								

Exemption 4
Exemption 5 (deliberative process)

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 1 (Pilot Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											
Exemption 4 Exemption 5 (deliberative process)											

As the Selection Official, I select the Applications noted above for negotiation of award,
☐ without conditions. **[OR]** ☒ with conditions, as specified in the Negotiation Strategy.

☐ As the Selection Official, I have selected Applications, noted above, not deemed technically acceptable by the Merit Review Committee. Rationale supporting this selection is attached and Assistant Secretary for Renewable Energy and Energy Efficiency (ASEE) approval has been obtained as evidenced by ASEE signature below.

Jacques Beaudry-Losique
Selection Official

12/03/09
Date

Cathy Zoi
Assistant Secretary for Energy Efficiency
and Renewable Energy

Date

Topic Area 2

Selection Statement - Topic Area 2 (Pilot Scale, Bioproducts, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE (SELECTION RANGE)											
Yes Engr only	Elevance Renewable Sciences	Exemption 4	$2,500,000	Exemption 4 Exemption 5 (deliberative process)							
Exemption 4 Exemption 5 (deliberative process)		Exemption 5 (deliberative process)									

Selection Statement - Topic Area 2 (Pilot Scale, Bioproducts, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 2 (Pilot Scale, Bioproducts, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											
Exemption 4 Exemption 5 (deliberative process)											

As the Selection Official, I select the Applications noted above for negotiation of award,
☐ without conditions. **[OR]** ☒ with conditions, as specified in the Negotiation Strategy.

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Jacques Beaudry-Losique
Selection Official

12/03/09
Date

Cathy Zoi
Assistant Secretary for Energy Efficiency
and Renewable Energy

Date

Topic Area 3

Selection Statement - Topic Area 3 (Demonstration Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (50% minimum)		1	2	3	4	5
APPLICATIONS DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE (SELECTION RANGE)											
Yes	Sapphire Energy, Inc	Exemption 4 Exemption 5 (deliberative process)	$50,000,000	Exemption 4 Exemption 5 (deliberative process)							
Yes	INEOS New Planet BioEnergy,LLC		$50,000,000								
Yes	Enerkem Corporation		$50,000,000								
Alternate	DuPont Danisco Cellulosic Ethanol, LLC (DDCE)		$50,000,000								

Selection Statement - Topic Area 3 (Demonstration Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (50% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 3 (Demonstration Scale, Biofuels, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (50% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

As the Selection Official, I select the Applications noted above for negotiation of award,
☐ without conditions. **[OR]** ☒ with conditions, as specified in the Negotiation Strategy.

☐ As the Selection Official, I have selected Applications, noted above, not deemed technically acceptable by the Merit Review Committee. Rationale supporting this selection is attached and Assistant Secretary for Renewable Energy and Energy Efficiency (ASEE) approval has been obtained as evidenced by ASEE signature below.

Jacques Beaudry-Losique Selection Official	12/3/09 Date	**Cathy Zoi** Assistant Secretary for Energy Efficiency and Renewable Energy	Date

Topic Area 4

Selection Statement - Topic Area 4 (Demonstration Scale, Bioproducts, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (50% minimum)		1	2	3	4	5
APPLICATIONS DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE (SELECTION RANGE)											
Yes	BioEnergy International, LLC	Exemption 4 Exemption 5 (deliberative process)	$50,000,000	Exemption 4 Exemption 5 (deliberative process)							

Selection Statement - Topic Area 4 (Demonstration Scale, Bioproducts, Algae or Lignocellulosic Feedstock)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (50% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

As the Selection Official, I select the Applications noted above for negotiation of award,
☐ without conditions. **[OR]** ☒ with conditions, as specified in the Negotiation Strategy.

☐ As the Selection Official, I have selected Applications, noted above, not deemed technically acceptable by the Merit Review Committee. Rationale supporting this selection is attached and Assistant Secretary for Renewable Energy and Energy Efficiency (ASEE) approval has been obtained as evidenced by ASEE signature below.

Jacques Beaudry-Losique Selection Official	12/3/09 Date	**Cathy Zoi** Assistant Secretary for Energy Efficiency and Renewable Energy	Date

Topic Area 5

Selection Statement - Topic Area 5 (Pilot Scale, Biofuels, Any renewable biomass except corn starch)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE (SELECTION RANGE)											
Alternate	MeadWestvaco Corporation	Exemption 4 Exemption 5 (deliberative process)	$25,000,000			Exemption 4 Exemption 5 (deliberative process)					
Exemption 4 Exemption 5 (deliberative process)			$25,000,000								
Yes	Amyris Biotechnologies, Inc.		$25,000,000								
Alternate	Citrus Energy, LLC		$7,593,753								
Exemption 4 Exemption 5 (deliberative process)			$18,000,000								
Yes	Solazyme, Inc.		$21,765,738								
Exemption 4 Exemption 5 (deliberative process)			$16,582,171								
Alternate	Sundrop Fuels, Inc		$25,000,000								
Exemption 4 Exemption 5 (deliberative process)			$24,997,969								

Selection Statement - Topic Area 5 (Pilot Scale, Biofuels, Any renewable biomass except corn starch)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE (SELECTION RANGE)											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 5 (Pilot Scale, Biofuels, Any renewable biomass except corn starch)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 5 (Pilot Scale, Biofuels, Any renewable biomass except corn starch)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 5 (Pilot Scale, Biofuels, Any renewable biomass except corn starch)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (20% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

As the Selection Official, I select the Applications noted above for negotiation of award,
☐ without conditions. **[OR]** ☒ with conditions, as specified in the Negotiation Strategy.

☐ As the Selection Official, I have selected Applications, noted above, not deemed technically acceptable by the Merit Review Committee. Rationale supporting this selection is attached and Assistant Secretary for Renewable Energy and Energy Efficiency (ASEE) approval has been obtained as evidenced by ASEE signature below.

Jacques Beaudry-Losique Selection Official	12/3/09 Date	**Cathy Zoi** Assistant Secretary for Energy Efficiency and Renewable Energy	Date

Topic Area 6

Selection Statement - Topic Area 6 (Demonstration Scale, Biofuels, Any renewable biomass except corn starch)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (50% minimum)		1	2	3	4	5
APPLICATIONS DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE (SELECTION RANGE)											
Alternate	Biofine Technology, LLC	Ex. 4 Ex. 5 (deliberative process)	$50,000,000	Exemption 4 Exemption 5 (deliberative process)							

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 6 (Demonstration Scale, Biofuels, Any renewable biomass except corn starch)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (50% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

Selection Statement - Topic Area 6 (Demonstration Scale, Biofuels, Any renewable biomass except corn starch)											
Selected	Applicant	Consensus Score (* - Score After Oral Presentation)	DOE Cost Share	Non-Federal Cost Share		Total Cost	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)	Program Policy Factor ("X" if used)
Yes/No/ Alternate				$	% (50% minimum)		1	2	3	4	5
APPLICATIONS NOT DEEMED TECHNICALLY ACCEPTABLE BY THE MERIT REVIEW COMMITTEE											

Exemption 4

Exemption 5 (deliberative process)

As the Selection Official, I select the Applications noted above for negotiation of award,
☐ without conditions. **[OR]** ☒ with conditions, as specified in the Negotiation Strategy.

☐ As the Selection Official, I have selected Applications, noted above, not deemed technically acceptable by the Merit Review Committee. Rationale supporting this selection is attached and Assistant Secretary for Renewable Energy and Energy Efficiency (ASEE) approval has been obtained as evidenced by ASEE signature below.

Jacques Beaudry-Losique Selection Official	12/03/09 Date	**Cathy Zoi** Assistant Secretary for Energy Efficiency and Renewable Energy	Date

NEGOTIATION STRATEGY

Specify any additional negotiation strategies or conditions of selection:

Exemption 5 (deliberative process)

Department of Energy
Golden Field Office
1617 Cole Boulevard
Golden, Colorado 80401-3393

December 23, 2009

MEMORANDUM FOR MATTHEW A. BARRON
DIRECTOR
FINANCIAL ASSISTANCE (RE)

JAMES P. DAMM
DIRECTOR
FINANCIAL ASSISTANCE (EE)

FROM: RITA L. WELLS
HEAD OF CONTRACTING ACTIVITY (HCA)
GOLDEN FIELD OFFICE

SUBJECT: Review and Approval of Financial Assistance Awards Exceeding $25 Million, Funded through the American Recovery and Reinvestment Act of 2009 (ARRA)

In accordance with the delegated authorities set forth in paragraph 2(A)(ii) of the memorandum dated September 19, 2008, from Edward R. Simpson, Director, Office of Procurement Assistance Management, Subject: Delegation of Authority/Designation as Head of Contracting Activity (HCA) for the Golden Field Office, this Memorandum constitutes HCA review of each conditional award identified in Attachment A that has a total project value exceeding $25 million, and HCA approval of each conditional award with a total project value exceeding $25 million but less than $50 million.

More specifically, this Memorandum constitutes HCA preliminary review and approval of all conditional ARRA financial assistance awards with total project budgets greater than $25 million, scheduled for award by the Golden Field Office on or before January 31, 2010. The conditional nature of these awards is necessitated as a result of unprecedented exigencies dictated by the ARRA. By making these awards on a fully conditional basis, recipient access to ARRA funding will be restricted until such time as the award is fully negotiated. Non-tailored, standard terms and conditions will be incorporated at this time into each of the awards identified on Attachment A. As HCA, I reserve the right to further exercise my delegated authority to approve each of the conditional awards identified on Attachment A, with total project budgets greater than $25 million but less than $50 million, at such time as individual award terms and conditions are fully and successfully negotiated between the Golden Field Office and the recipients, and award definitization is complete.

Federal Recycling Program Printed on Recycled Paper

Attachment A-Recovery Act Awards Scheduled through January 31, 2010 with Total Project Costs > 25 million

Program	Description	Recipient	Federal Share	Cost Share	Award Status
Biomass	Modify Integrated Biorefinery Solicitation	Bluefire	$81,200,000		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	Enerkem Corporation	$50,000,000		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	INEOS New Planet BioEnergy,LLC	$50,000,000		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	Sapphire Energy, Inc	$50,000,000		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	Amyris Biotechnologies, Inc.	$25,000,000	REDACTED EXEMPTION 4	Conditional
Biomass	Modify Integrated Biorefinery Solicitation	HALDOR TOPSOE, INC.	$25,000,000		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	UOP LLC	$25,000,000		Conditional
Water	Hydroelectric Modernization	Alcoa	$13,000,000		Conditional
Wind	Large Dynamometer Testing Facility	Clemson University	$44,000,000		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	Algenol Biofuels Inc.	$25,000,000		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	LOGOS TECHNOLOGIES, INC.	$20,455,849		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	Archer Daniels Midland	$24,834,592		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	American Process Inc.	$17,944,902		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	BioEnergy International, LLC	$50,000,000		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	Clearfuels Technology Inc	$23,000,000		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	ICM, Inc.	$25,000,000		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	Renewable Energy Institute International	$19,980,930		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	Solazyme, Inc.	$21,765,738		Conditional
Biomass	Modify Integrated Biorefinery Solicitation	ZeaChem Inc.	$25,000,000		Conditional
Geothermal	Enhanced Geothermal Systems	Naknek Electric	$12,376,568		Conditional

DEPARTMENT OF ENERGY
Washington, DC 20585
December 28, 2009

MEMORANDUM FOR: MATTHEW A. BARROW
DIRECTOR
FINANCIAL ASSISTANCE DIVISION
GOLDEN FIELD OFFICE

FROM: DAVID J. LEOTTA
DIRECTOR
ACQUISITION PLANNING AND LIAISON DIVISION
OFFICE OF CONTRACT MANAGEMENT
OFFICE OF PROCUREMENT AND ASSISTANCE MANAGEMENT

SUBJECT: Approval of Special Terms and Conditions for use in awards under Funding Opportunity Announcement (FOA) number DE-FOA-0000096, entitled: "Recovery Act: Demonstration of Integrated Biorefinery Operations."

Pursuant to Department of Energy Acquisition Guide Chapter 71, the Special Terms and Conditions for the awards pending under the subject FOA, as submitted on December 22, 2009, and with revisions on December 23, 2009 have been reviewed and conditionally approved. The approval is conditioned on your coordinating the Intellectual Property (IP) provisions that are to be negotiated into the definitized awards with the Office of the Assistant General Counsel for Technology Transfer & Intellectual Property (GC-62). The point of contact in GC-62 is Mr. Paul Gottlieb, he may be reached on (202)586-3439 or via e-mail at: Paul.Gottlieb@hq.doe.gov.

No further review by this office is required prior to issuance of the awards. If any changes are made to the Special Terms and Conditions which are substantially different from the approved document then you are required to contact this office for further review prior to issuance of the document.

If you have any questions related to this matter, please contact Steven C. Jones at (202)287-1474.

DEPARTMENT OF ENERGY
Washington, DC 20585
December 28, 2009

MEMORANDUM FOR: MATTHEW A. BARRON
DIRECTOR
FINANCIAL ASSISTANCE DIVISION
GOLDEN FIELD OFFICE

FROM: DAVID J. LEOTTA
DIRECTOR
ACQUISITION PLANNING AND LIAISON DIVISION
OFFICE OF CONTRACT MANAGEMENT
OFFICE OF PROCUREMENT AND ASSISTANCE MANAGEMENT

SUBJECT: Approval of Special Terms and Conditions for use in awards under Funding Opportunity Announcement (FOA) number DE-FOA-0000096, entitled: "Recovery Act: Demonstration of Integrated Biorefinery Operations."

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If you have any questions related to this matter, please contact Steven C. Jones at (202)287-1474.

DOE F 4220.10
(01-99) All Other Editions Are Obsolete

U.S. Department of Energy

Office of Congressional and Intergovernmental Affairs (CI)

CONGRESSIONAL GRANT/CONTRACT NOTIFICATION

TO: Office of Congressional & Intergovernmental Affairs
ATTN: Contract Notification Coordinator (CI-40)
U.S. Department of Energy
1000 Independence Avenue, SW Room 8G-070
Washington, DC 20585

Telephone: 202-586-2764
Fax: 202-586-5497

1. Informing Office: Golden Field Office (GFO)
Name: Melissa Wise
(Contracting Office Representative)
Phone: 303-275-4907

2. Program Office/Project Office:
Name: Fred Gerdeman
Phone: 303-275-4928

3. Contractor, Grantee or Offeror:
Name: Algenol Biofuels, Inc.
Street: 28100 Bonita Grande Drive, Suite 200
City: Bonita Springs State: FL Zip: 34135-6220

4. Place of Performance: (Required if different from #3)
Street:
City: Freeport State: TX Zip: 77541

5. Proposed date of award: No later than 09/30/2010
Date of Public Announcement: 12/04/2009 (if any)

6. Contract, Grant, or Other Agreement No.:
DE-EE0002867
(Specify Type of Instrument)
☒ New ☐ Renewal
☐ Modification – Total to date: $

7. Obligated Cost or Price of this Action: $25,000,000
Estimated Cost or Price of Total Contract: $REDACTED
Recipient Cost Sharing (if applicable): $EXEMPTION 4
(For incrementally funded contracts only. Report the Initial obligation and total estimated contract value.)

Does this award result from an Invitation for Bid?
☐ Yes ☒ No

8. Duration of Contract, Grant, or Other Agreement:
From: 01/01/2010 To: 12/31/2014

9. Brief Description. (Please use non-technical/plain English language/no acronyms.)
This project will make ethanol directly from carbon dioxide and seawater using hybrid algae in 1200-gallon specialized bioreactors. The facility will have the capacity to produce 100,000 of fuel-grade ethanol per year.

TO BE COMPLETED BY OFFICIAL RESPONSIBLE FOR SUBMISSION

10. Method of Submission:
☒ PDF, Upload

Date: DEC 03 2009 Time: 3:54 pm etc

Name: Molly Hames
Title: Grants and Agreements Specialist
Signature: Molly R Hames
Office: Golden Field Office

OMB Number: 4040-0004
Expiration Date: 01/31/2009

Application for Federal Assistance SF-424 Version 02

* 1. Type of Submission:	* 2. Type of Application:	* If Revision, select appropriate letter(s):
☐ Preapplication	☒ New	
☒ Application	☐ Continuation	* Other (Specify)
☐ Changed/Corrected Application	☐ Revision	

* 3. Date Received: Completed by Grants.gov upon submission.

4. Applicant Identifier:

5a. Federal Entity Identifier:

* 5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: Algenol Biofuels Inc.

* b. Employer/Taxpayer Identification Number (EIN/TIN): REDACTED

* c. Organizational DUNS: 800399904

d. Address: EXEMPTION 6

* Street1: 28100 Bonita Grande Drive, Suite 200
Street2:
* City: Bonita Springs
County:
* State: FL: Florida
Province:
* Country: USA: UNITED STATES
* Zip / Postal Code: 34135-6220

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: Dr. * First Name: Craig
Middle Name:
* Last Name: Smith
Suffix:

Title: Chief Operating Officer

Organizational Affiliation:

* Telephone Number: 239-498-2000 Fax Number:

* Email: craig.smith@algenolbiofuels.com

OMB Number: 4040-0004
Expiration Date: 01/31/2009

Application for Federal Assistance SF-424 Version 02

9. Type of Applicant 1: Select Applicant Type:

Q: For-Profit Organization (Other than Small Business)

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

Golden Field Office

11. Catalog of Federal Domestic Assistance Number:

81.087

CFDA Title:

Renewable Energy Research and Development

*** 12. Funding Opportunity Number:**

DE-FOA-0000096

* Title:

Recovery Act - Demonstration of Integrated Biorefinery Operations

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

*** 15. Descriptive Title of Applicant's Project:**

Integrated Pilot-Scale Biorefinery for Producing Ethanol from Hybrid Algae

Attach supporting documents as specified in agency instructions.

Add Attachments | Delete Attachments | View Attachments

OMB Number: 4040-0004
Expiration Date: 01/31/2009

Application for Federal Assistance SF-424 Version 02

16. Congressional Districts Of:

* a. Applicant FL-014 * b. Program/Project TX-014

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment | Delete Attachment | View Attachment

17. Proposed Project:

* a. Start Date: 01/01/2010 * b. End Date: 12/31/2014

18. Estimated Funding ($):

* a. Federal 25,000,000.00
* b. Applicant
* c. State
* d. Local
* e. Other
* f. Program Income
* g. TOTAL

REDACTED
EXEMPTION 4

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

☐ a. This application was made available to the State under the Executive Order 12372 Process for review on .

☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.

☒ c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

☐ Yes ☒ No Explanation

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: Dr. * First Name: Craig

Middle Name:

* Last Name: Smith

Suffix:

* Title: Chief Operating Officer

* Telephone Number: 239-498-2000 Fax Number:

* Email: craig.smith@algenolbiofuels.com

* Signature of Authorized Representative: Completed by Grants.gov upon submission. * Date Signed: Completed by Grants.gov upon submission.

OMB Number: 4040-0004
Expiration Date: 01/31/2009

Application for Federal Assistance SF-424 Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

Other Attachment File(s)

*** Mandatory Other Attachment Filename:** Project.pdf

Add Mandatory Other Attachment | Delete Mandatory Other Attachment | View Mandatory Other Attachment

To add more "Other Attachment" attachments, please use the attachment buttons below.

Add Optional Other Attachment | Delete Optional Other Attachment | View Optional Other Attachment