Audit Report No. 04281-2009A17740010

DEFENSE CONTRACT AUDIT AGENCY

AUDIT REPORT NO. 04281–2009A17740010

RESULTS OF AUDIT

REDACTED
EXEMPTION 4

FOR OFFICIAL USE ONLY

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

EPLS

Excluded Parties List System

Search - Current Exclusions

- Advanced Search
- Multiple Names
- Exact Name and SSN/TIN
- MyEPLS
- Recent Updates

View Cause and Treatment Code Descriptions

- Reciprocal Codes
- Procurement Codes
- Nonprocurement Codes

Agency & Acronym Information

- Agency Contacts
- Agency Descriptions
- State/Country Code Descriptions

OFFICIAL GOVERNMENT USE ONLY

- Debar Maintenance
- Administration
- Upload Login

EPLS Search Results

Search Results for Parties Excluded by

Exact Name : Solazyme, Inc. or Cherokee Pharmaceuticals LLC or Abengoa Energy or Bluefire Ethanol, Inc. or UOP LLC

As of 21-Dec-2009 6:32 PM EST

Save to MyEPLS

Your search returned no results.

It is further recommended that you perform a **Partial Name** search on any word of the name to further confirm the eligibility status of the party. An additional **Partial Name** search might be necessary because an **Exact Name** match will not be found if the spelling or format of the name you are searching for is different than the name of the exclusion in EPLS.

Back New Search Printer-Friendly

Resources

- Search Help
- Public User's Manual
- FAQ
- Acronyms
- Privacy Act Provisions
- News

Reports

- Advanced Reports
- Recent Updates
- Dashboard

Archive Search - Past Exclusions

- Advanced Archive Search
- Multiple Names
- Recent Updates

Contact Information

- For Help: Federal Service Desk

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- State/Country Code Descriptions

OFFICIAL GOVERNMENT USE ONLY

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- Administration
- Upload Login

EPLS Search Results

Search Results for Parties Excluded by

Exact Name : Natural Resource Group LLC or Renewable Energy Group, Inc. or Bauer, Dennis or Wooley, Robert or Cuzen, John

As of 21-Dec-2009 6:35 PM EST

Save to MyEPLS

Your search returned no results.

It is further recommended that you perform a **Partial Name** search on any word of the name to further confirm the eligibility status of the party. An additional **Partial Name** search might be necessary because an **Exact Name** match will not be found if the spelling or format of the name you are searching for is different than the name of the exclusion in EPLS.

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Archive Search - Past Exclusions

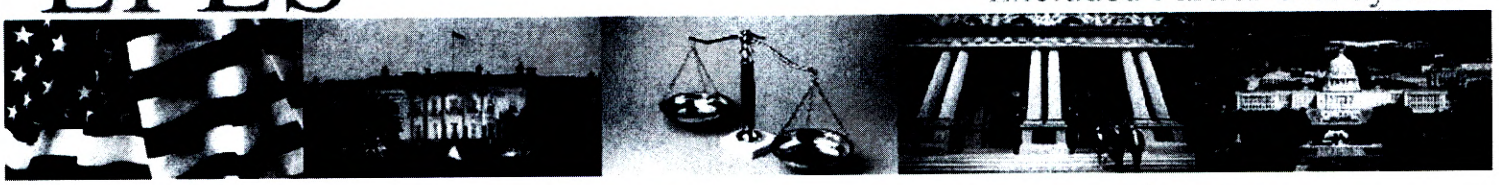
- Advanced Archive Search
- Multiple Names
- Recent Updates

Contact Information

- For Help: Federal Service Desk

EPLS

Excluded Parties List System



Search - Current Exclusions

- Advanced Search
- Multiple Names
- Exact Name and SSN/TIN
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- Recent Updates

View Cause and Treatment Code Descriptions

- Reciprocal Codes
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- Nonprocurement Codes

Agency & Acronym Information

- Agency Contacts
- Agency Descriptions
- State/Country Code Descriptions

OFFICIAL GOVERNMENT USE ONLY

- Debar Maintenance
- Administration
- Upload Login

EPLS Search Results

Search Results for Parties Excluded by

Exact Name : Bozzano, Andrea or Potas, Todd or Meier, Glen or Day, Anthony or Wolfson, Jonathan

As of 21-Dec-2009 6:38 PM EST

Save to MyEPLS

Your search returned no results.

It is further recommended that you perform a **Partial Name** search on any word of the name to further confirm the eligibility status of the party. An additional **Partial Name** search might be necessary because an **Exact Name** match will not be found if the spelling or format of the name you are searching for is different than the name of the exclusion in EPLS.

Back New Search Printer-Friendly

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- Recent Updates
- Dashboard

Archive Search - Past Exclusions

- Advanced Archive Search
- Multiple Names
- Recent Updates

Contact Information

- For Help: Federal Service Desk

Memorandum for File

From: Matthew A. Barron, Director, Financial Assistance (RE)
James P. Damm, Director, Financial Assistance (EE)

Concurrence: Derek Passarelli, Legal Counsel
James Spaeth, Director, OCPM

Carolyn Elam for Jim Spaeth

Subject: Approval for Processing Conditional Awards with American Recovery and Reinvestment Act of 2009 (ARRA) Funds

Date: December 18, 2009

Because of the unprecedented exigencies dictated by the American Recovery and Reinvestment Act of 2009 (ARRA), this memorandum approves the use of conditional awards to expedite competitively selected new awards.

Given the ARRA priorities, it is understood that some ARRA awards may have full conditions with no release of funds, and some ARRA awards may have partial restrictions on the awards. Given the urgency of completing these ARRA awards, Contracting Officers, with their OCPM Project Officers, may determine the extent to which restrictions or special provisions will apply to these awards.

For any of these ARRA awards that are awarded conditionally, OAFA and OCPM will continue to work with the recipients to lift the conditions on the ARRA awards as soon as practicable.

December 4, 2009

Mr. Anthony Day
Solazyme, Inc.
561 Eccles Avenue
South San Francisco, CA 94080

Dear Mr. Anthony Day:

SUBJECT: Biomass Funding Opportunity Announcement DE-FOA-0000096, Recovery Act - Demonstration of Integrated Biorefinery Operations

Evaluation of your application received in response to the subject Funding Opportunity Announcement has been completed. After a careful review, I am pleased to inform you that your application has been selected for negotiations leading to an award.

In order to expedite the negotiation process, further information is needed to clarify and supplement your application. Please submit the following information to Molly Hames, Specialist, by January 4, 2010, if the information was not previously provided, or if any information has changed.

1. Complete each of the following required forms, which are available on the Project Management Center website at https://www.eere-pmc.energy.gov/Forms.aspx

    a. Application for Federal Assistance, SF 424;
    b. Budget Information – Non Construction Programs, SF 424A or SF 424 (R&R);
    c. Financial Assistance Pre-Award Information Sheet, PMC 121.1
    NOTE: Complete the PMC 121.1 form first and promptly email it under separate cover to me at the email address listed below;
    d. Financial Information, PMC 410.1;
    e. Representation of Limited Rights Data and Restricted Computer Software;
    f. Environmental Checklist, EF1. (This form should be completed on line at https://www.eere-pmc.energy.gov/nepa.asp)
    g. Statement of Project Objectives;
    h. Commitment Letters from Third Parties Contributing to Cost Sharing;
    i. Copy of your approved Indirect Rate Agreement or a Rate Proposal, following the guidelines in the PMC 400.2 form.

During fiscal year 2008, this office will implement a new electronic, paperless procurement system called STRIPES. Upon implementation of STRIPES, ALL organizations currently doing or wanting to do business with this office MUST BE registered with the Central Contractor Registration (CCR) and with FedConnect. As a result, it is imperative that you read and react to information provided in the document entitled "CCR and FedConnect Registrations" on the above referenced PMC website.

The Financial Assistance Regulations, found at https://www.eere-pmc.energy.gov/forms.aspx , and the OMB Circulars, found at http://www.whitehouse.gov/OMB/circulars/index.html will assist you in understanding your requirements as an award Recipient

You may incur pre-award costs 90 calendar days prior to award without prior approval or more than 90 calendar days with the prior approval of DOE. All pre-award costs are incurred at your risk (i.e., DOE is under no obligation to reimburse such costs if for any reason you do not receive an award or if the award is less than anticipated and inadequate to cover such costs). All costs must be allowable in accordance with the applicable cost principles.

In order to expedite the negotiation process, further information is needed to clarify and supplement your application. Please submit the following information to Molly Hames, Specialist, by January 4, 2010, if the information was not previously provided, or if any information has changed.

All projects receiving financial assistance from DOE must be reviewed under NEPA, for potential environmental impacts of the project. Funding for an award is contingent upon successfully completing the negotiations and obtaining the NEPA determination. You are restricted from taking any action using federal funds or your cost share 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 the project.

If you move forward with activities that are not authorized for federal funding by the DOE Contracting Officer in advance of the final NEPA decision, you are doing so at risk of not receiving federal funding and such costs may not be recognized as allowable cost share.

This letter constitutes your debriefing for this Funding Opportunity Announcement.

On behalf of the Department of Energy, I would like to express a sincere appreciation of your interest and participation in developing the US bioindustry and look forward to initiating this worthwhile project.

Sincerely,

Fred Gerdeman

Fred Gerdeman
Merit Review Committee Chairperson

Applicant Name: Abengoa Bioenergy New Technologies (sub-recipient) Award Number: DE-FOA-0000096

Budget Information - Non Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.				$528,082		
2.						
3.						
4.						
5. Totals		$0		$528,082		

REDACTED
EXEMPTION 4

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) Period 1	(2) Period 2	(3)	(4)	
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. **Totals** (sum of 6i-6j)					
7. Program Income					

REDACTED
EXEMPTION 4

Previous Edition Usable

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

Authorized for Local Reproduction

Section C - Non-Federal Resources

(a) Grant Program		(c) State	(d) Other Sources	(e) **Totals**
8. DE-FOA-0000096				
9.				
10.		4		
11.				
12. **Total** (sum of lines 8 - 11)				

indirect costs
including rate

Section D - Forecasted Cash Needs

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
13. Federal	$49,002				$49,002
14. Non-Federal					
15. **Total** (sum of lines 13 and 14)					

REDACTED
EXEMPTION 4

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

(a) Grant Program	**Future Funding Periods (Years)**			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.				
17.				
18.				
19.				
20. **Total** (sum of lines 16-19)				

REDACTED
EXEMPTION 4

Section F - Other Budget Information

21. Direct Charges

"Other" direct charges includes value of in-kind contribution - use of equipment for project

22. Indirect Charges

Indirect charges are based on a provisional rate of 6.85% of personnel, fringes, travel, and supplies; current internal overhead rate is 27.4% of total direct charges to projects.

23. Remarks

Instructions for the SF-424A

Public Reporting Burden for this collection of information is estimated to average 3.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the later case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a **single** Federal grant program (Federal Domestic Assistance Catalog number) and **not requiring** a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a **single** program **requiring** budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in **Column** (a) and the respective catalog number on each line in Column (b).

For applications pertaining to **multiple** programs where one or more programs **require** a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

Section B. Budget Categories

In the column headings (a) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19—Enter in Column (a) the same grant program titles shown in Column
(a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.
If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

Instructions and Summary

Award Number: DE-FOA-0000096
Award Recipient: Bluefire (sub-recipient)

Date of Submission: 8/9/2011
Form submitted by: Solazyme
(May be award recipient or sub-recipient)

Please read the instructions on each page before starting.
If you have any questions, please ask your DOE contact. It will save you time!

On this form, provide detailed support for the estimated project costs identified on the SF-424A form (Budget).

- **The dollar amounts on this page must match the amounts on the associated SF-424A.**
- The award recipient and each sub-recipient with est

SUMMARY OF BUDGET CATEGORY COSTS PROPOSED

(Note: The values in this summary table are from entries made in each budget category sheet.)

CATEGORY	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Total Costs	Project Costs %	Comments (Add comments as needed)
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
Sub-recipient						
FFRDC						
Vendor						
Total Contractual						
g. Construction						
h. Other Direct Costs						
i. Indirect Charges						
Total Project Costs						

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Additional Explanations/Comments (as necessary)

REDACTED
EXEMPTION 4

Budget Justification Sub-Awardees DE-FOA-0000096

Object Class Category
Personnel

Task # and Title	Position Title	Budget Period 1			Budget Period 2			Budget Period 3			Project Total Hr	Project Total Dollars	Rate Basis
		Time (Hours)	Pay Rate ($/Hr)	Total Budget Period 1	Time (Hours)	Pay Rate ($/Hr)	Total Budget Period 2	Time (Hours)	Pay Rate ($/Hr)	Total Budget Period 3			

REDACTED
EXEMPTION 4

Object Class Category
Fringe

	Budget Period 1	Budget Period 2	Budget Period 3	Total
Rate Applied:				
Total fringe requested:	$			

REDACTED
EXEMPTION 4

X	**A fringe benefit rate has been negotiated with, or approved by, a federal government agency. A copy of the latest rate (When this option is selected, a presentation of the budget that demonstrates the appliction of the approved rate, to**
	There is not a current, federally approved rate agreement negotiated and available. *(When this option is checked, the entity preparing this form shall submit a rate proposal in the format provided at the following*

Object Class Category
Travel

Purpose of Travel	No. of Travelers	Depart From	Destination	No. of Days	Hotel & Per Diem Pe	Air Cost Per Trav	Cost Per Trip
Budget Period 1							
Domestic Travel							

REDACTED
EXEMPTION 4

Total Travel

Object Class Category
Equipment

Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of Need
Budget Period 1					
Budget Period 1 Total					
Budget Period 2 Total					
Total					

REDACTED
EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

Applicant Name: BlueFire Ethanol Fuels, Inc. Award Number: DE-EE0002877

Budget Information - Non Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. 81.087				$889,600		
2.					REDACTED EXEMPTION 4	
3.						
4.						
5. Totals		$0		$889,600		

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) Period 1	(2) Period 2	(3)	(4)	
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. **Totals** (sum of 6i-6j)					
7. Program Income					

REDACTED EXEMPTION 4

Section C - Non-Federal Resources

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) **Totals**
8. DE-FOA-0000096				
9.				
10.		REDACTED EXEMPTION 4		
11.				
12. **Total** (sum of lines 8 - 11)				

Section D - Forecasted Cash Needs

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
13. Federal	$62,540		$890		$61,650
14. Non-Federal			REDACTED EXEMPTION 4		
15. **Total** (sum of lines 13 and 14)					

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

	Future Funding Periods (Years)			
(a) Grant Program	(b) First	(c) Second	(d) Third	(e) Fourth
16. DE-FOA-0000096				
17.		REDACTED EXEMPTION 4		
18.				
19.				
20. **Total** (sum of lines 16-19)				

Section F - Other Budget Information

21. Direct Charges	22. Indirect Charges

23. Remarks

REDACTED
EXEMPTION 4

PMC 123.1
(04/06)

U.S. DEPARTMENT OF ENERGY
PROJECT MANAGEMENT CENTER

COST REASONABLENESS DETERMINATION FOR FINANCIAL ASSISTANCE

Applicant:	BlueFire Ethanol, Inc.	Award/Application Number:	**DE-FOA-0000096**
Project Title:	Solazyme Integrated Biorefinery (SzIBR): Diesel fuels from heterotrophic algae		
Date of Submission:	3/2/2010		

INFORMATION REQUESTED ON THIS FORM MAY BE PROVIDED IN THE RECIPIENT'S FORMAT OR INCLUDED ON THIS FORM.

THE TOTAL BUDGET MUST INCLUDE TOTAL PROJECT COSTS [DOE REQUESTED FUNDS PLUS APPLICANT AND THIRD PARTY PARTICIPANT (TEAM MEMBER(S)) COST SHARE AMOUNT]. The purpose of this form is to explain cost reasonableness for, and justify project costs identified on Form SF424A, including Federal (DOE), Non-Federal (Applicant), and all cost share amounts, such as third party cost share. Applicants should complete a PMC 123.1 Form or equivalent and include details of all SF424A budget items that will be expended and recorded through their budget office or be directly attributed to their organization through in-kind services. In addition, each sub-participant with costs over the dollar threshold identified in the Contractual section (1.f.) of this form, shall fill out a PMC 123.1 Form or equivalent that includes details of all SF424A budget items that will be expended and recorded through their budget offices or be directly attributed to their organization through in-kind services.

SUMMARY OF BUDGET CATEGORY COSTS PROPOSED

CATEGORY	CATEGORY COSTS (ALL YEARS)	% of Total Project Costs	PMC 123.1 SECTION	THRESHHOLD FOR REQUIRED COST DETAIL	COST DETAIL PROVIDED? (CHECK BOX OR MARK "N/A")
Personnel				*ALL VALUES*	
Fringe Benefits				*ALL VALUES*	
Travel				Travel costs ≥15% of the total project costs, *or* $25K, whichever is greater	
Equipment				*ALL VALUES* For acquisition costs > $50K, also provide vendor quote/catalog price list	
Supplies	REDACTED EXEMPTION 4			Supplies ≥20% of the total project costs, *or* $25K, whichever is greater	
Contractual				Individual subawards with total project costs, incl. cost share, of $100,000, *or* ≥50% of the total project costs, incl. cost share, whichever is less.	REDACTED EXEMPTION 4
				Federal Research and Development Centers (FFRDCs) - *ALL VALUES*	
Construction				N/A (see Section 1.g.)	
Other Direct Costs				Other Direct Costs ≥20% of the total project costs, *or* $25K, whichever is greater	
Indirect Charges				*ALL VALUES*	
Total Project Costs					

Applicants are not required to submit cost detail for items below the thresholds established; however, each category below should, at a minimum, capture total costs requested.

1. BUDGET INFORMATION

LIST ONLY THE APPLICANT'S PORTION OF COSTS IN ALL SECTIONS EXCEPT FOR SECTION 1.f. (Contractual), WHICH SHOULD INCLUDE ALL COSTS FROM OTHER PARTICIPANTS.

a. PERSONNEL - List costs solely for employees of the Applicant. All other Participant (third party) personnel costs must be included under Contractual (Section 1.f. below, and on Form SF424A, Section B, line 6.f. Contractual).

Identify positions to be supported, under the proposed award. Key personnel should be identified by title. All other personnel should be identified either by title or a group category. State the amounts of time (e.g., hours or % of time) to be expended, the composite base pay rate, total direct personnel compensation and identify the rate basis (e.g., actual salary, labor distribution report, technical estimate, state civil service rates, etc.).

Title/Group	Time	x Pay Rate	=Total Comp	Rate Basis	Description
[redacted]					
TOTAL PERSONNEL COSTS:					

REDACTED
EXEMPTION 4

To add more rows, highlight one or more rows, click on "Copy", place the cursor under the last row, then click on "Paste".

b. FRINGE BENEFITS – RATE APPLIED: 15.11% TOTAL FRINGE REQUESTED: $82,832.00
A Federal Fringe Benefit Rate Agreement or proposal is required if reimbursement for Fringe Benefits is requested. Please check one of the boxes below and provide the requested information. Calculate the Fringe Rate and enter the total amount in Section B, Line 6b ("Fringe Benefits") of Form SF-424A.

☐ If a fringe benefit rate has been negotiated with, or approved by, a Federal Government agency, provide a copy of the latest rate agreement.

■ If you do not have a current approved rate agreement, submit a proposal with your application based on a budget (new entities), or based on the total fiscal year fringe benefit account expenses (e.g. payroll taxes, insurances, holiday & vacation pay, bonuses) and their associated costs. Identify the total labor cost base used for allocating these fringe benefit expenses. A Sample Rate Proposal is available at https://www.eere-pmc.energy.gov/forms.asp.

c. TRAVEL – If the total Travel Cost is **equal to or greater than 15% of the total project costs, or $25,000, whichever is greater,** please provide detail as follows, identifying total Foreign and Domestic Travel as separate

items.

1. Are travel costs governed by organizational travel policies? ☐ Yes ■ No

2. For all travel, provide information in the tables below. Purpose of travel are items such as professional conferences, DOE sponsored meetings, project mgmt, etc. The Basis for Estimating Cost are items such as past trips, current quotations, Federal Travel Regulations, etc.

(i.) Domestic Travel Costs:

Purpose of travel	No. of Travelers	Basis for estimating costs	Cost per Trip
		REDACTED EXEMPTION 4	

TOTAL DOMESTIC TRAVEL COSTS:

(ii.) Foreign Travel Costs:

Purpose of travel	No. of Travelers	Destination	Basis for estimating costs	No. of Days	Cost per Trip
TOTAL FOREIGN TRAVEL COSTS:					

d. EQUIPMENT - Generally defined as an item with an acquisition cost greater than $5,000 and a useful life expectancy of more than one year. Further definitions can be found at 10 CFR 600 found on the PMC Recipient Resources Forms page at https://www.eere-pmc.energy.gov/Forms.aspx#regs

List all of the proposed equipment below, providing a basis of cost such as vendor quotes, catalog prices, prior invoices, etc., and briefly justifying its need as it applies to the Statement of Objectives. **For equipment costs greater than $50,000, also include a copy of the associated vendor quote or catalog price list.**

Equipment Item	Qty	Unit Cost	Total Cost	Basis of Cost	Justification of need

REDACTED
EXEMPTION 4

TOTAL EQUIPMENT COSTS: $234,280

e. **SUPPLIES** - Generally defined is an item with an acquisition cost of $5,000 or less and a useful life expectancy of less than one year. Further definitions can be found at 10 CFR 600 found on the PMC Recipient Resources Forms page at https://www.eere-pmc.energy.gov/Forms.aspx#regs

If the total supply costs are **greater than 20% of the total project costs, or $25,000, whichever is greater,** please provide the detail below, identifying the basis of cost, such as vendor quotes, catalog prices, prior invoices, etc.

REDACTED
EXEMPTION 4

TOTAL SUPPLY COSTS:

f. **CONTRACTUAL** – 10 CFR 600, Sections 144 and 331, sets forth standards for use by recipients in establishing procedures for the procurement of supplies and other expendable property, equipment, and other services with Federal funds.

1. Unless otherwise notified by DOE, **Participants (individual subawards), other than DOE Federally Funded Research and Development Centers (FFRDCs), with total project costs, including cost share, greater than or equal to $100,000, or greater than or equal to 50% of the total project costs, including cost share (whichever is less),** must provide (i) a Statement of Work (if not previously set forth in the Applicant's application), (ii) a Form SF424A - Budget Information-Non-Construction Program, and (iii) PMC 123.1 or equivalent. Proposed Participants (individual subawards) with total estimated costs beneath the threshold cited above do not submit aforementioned cost detail.

   For DOE FFRDC Participants being proposed in an Application, provide written authorization from the cognizant contracting officer regarding the use of a DOE FFRDC contractor on the proposed project. The following wording is acceptable for this authorization.

   "Authorization is granted for the _____ Laboratory to participate in the proposed project. The work proposed for the laboratory is consistent with or complimentary to the missions of the laboratory, will not adversely impact execution of the DOE assigned programs at the laboratory, and will not place the laboratory in direct competition with the domestic private sector."

   If the project is selected for award, provide a Field Work Proposal, along with the FFRDC labor mix and hours, by category and FFRDC major purchases greater than $25,000, including Quantity, Unit Cost, Basis of Cost, and Justification.

2. Applicant is to maintain a Cost/Price analysis on **all** Participants that justifies the allowability and

reasonableness of total costs as determined by the applicable Federal Cost Principles.

3. For support for which a Participant has not been identified, provide a scope of work and a basis of the cost estimate.

List all Participant costs, including their cost share, in the applicable box below. Go to the following website for further information: http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr600_00.html.

Subrecipients: List all participants, including FFRDCs, providing research and development services used in furthering the project, and indicate the purpose of each organization's participation and the total estimated costs for each. [NOTE: Subrecipients are not entitled to fee.]

Name/Organization	Purpose	Total Estimated Costs
TOTAL PARTICIPANT COSTS:		

Vendors: List all vendors supplying commercial supplies or services used to support the project.

Name/Organization	Supply or Service Provided	Total Estimated Costs
B&P Process	Leased Paste Extruder & Parts	$
Eimco	Repair Filter Press x 2	$
TOTAL VENDOR COSTS: $ Costs under Construction Details		

g. CONSTRUCTION - Construction, for the purpose of budgeting, is defined as all types of work done on a particular building, including erecting, altering, or remodeling. ***If real property construction is contemplated under this project, special instructions will be provided.***

Ta	General Description				Cost	Basis of Cost	Justification of Need
	Budget Period 1						
		Purchase/Lease	Delivery	Instalation			
	Budget Period 1 Total				$0		
	Budget Period 2						

REDACTED
EXEMPTION 4

h. OTHER DIRECT COSTS - Other direct costs are items of cost required for the specific project (such as meeting costs, postage, couriers or express mail, telephone/fax costs, printing costs, etc.), that cannot be properly included in the above categories.

Provide the information below for other direct costs that **are greater than or equal to 20% of the total project costs or $25,000, whichever is greater.** Basis of cost are items such as vendor quotes, prior purchases of similar or like items, published price list, etc.

General description	Cost	Basis of cost	Justification of need
TOTAL OTHER DIRECT COSTS:	REDACTED EXEMPTION 4		

i. INDIRECT COSTS – RATE APPLIED: TOTAL INDIRECT COSTS REQUESTED:

A Federal Indirect Rate Agreement or proposal is required if reimbursement for indirect costs is requested. Please check one of the boxes below and provide the requested information. Calculate the Indirect Rate(s) and enter the total amount in Section B, line 6j ("Indirect Charges") of Form SF-424A.

☐ If indirect rates have been negotiated with, or approved by, a Federal Government agency, please provide a copy of the latest rate agreement.

■ If you do not have a current approved rate agreement, submit an indirect cost rate proposal with your application that identifies each base used to develop the indirect rate and indirect pool expense accounts by line item and dollar amount. These should be based on total fiscal year costs or budget (new entities). Explain each base used and the amount applied to develop each indirect rate per pool and identify the rate developed. "Overhead Pool" or "General & Administrative Pool" are common indirect pools. A sample rate proposal is available at https://www.eere-pmc.energy.gov/forms.asp. Indirect rate and Fringes are under current use by Bluefire Ethanol under DOE 932, have been audited, but no formal document has been issued.

2. ADDITIONAL INFORMATION

COST SHARE

A detailed estimate of the cash or in-kind cash value (basis of and nature, i.e., equipment, labor, facilities, cash, etc.) of all contributions/cost share of the project by each participant must be provided. Identify the source & amount of cost sharing proposed by the Applicant and each Participant and the total amount of cost share as a percent of the total cost of the project. Note that "cost-sharing" is not limited to cash investment. In-kind contributions (e.g., contribution of services or property; donated equipment, buildings or land; donated supplies; or unrecovered indirect costs) incurred as part of the project may be considered as all or part of the cost share. The "cost-sharing" definition is contained in 10 CFR 600.30, 600.101, 600.123, 600.224, 600.302, 600.313 and OMB Circular A-110. Funds from other Federal sources cannot be counted as Recipient cost share. Non-Federal sources include private, state or local Government, or any sources that were not originally derived from Federal funds.

Organization/Source	Item	Amount	Type (cash, in-kind, etc.)
[redacted]			
		REDACTED EXEMPTION 4	
TOTAL COST SHARE:			

Total Project Cost: _____ Cost Share Amount: _____ Cost Share Percent of Total Award: _____

1. For each cost share contribution identified as an ***in-kind*** contribution, identify the items and describe how the value of the in-kind contribution was derived.

2. NOTE: You are reminded that firm funding commitments are expected and documentation of those commitments must be included in the application. Additionally, the impact of DOE's cost share to the viability of the project must be addressed, to include justification of the need for Federal Funds. See Funding Opportunity Announcement for details.

GENERAL NOTE: Fee or profit will not be paid to the recipients of financial assistance awards or Subrecipients. Additionally, foregone fee or profit by the applicant shall not be considered cost sharing under any resulting award. Reimbursement of actual costs will only include those costs that are allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127, 10 CFR 600.312 or 10 CFR 600.318.

Applicant Name: Cherokee Pharmaceuticals LLC (sub-recipient) Award Number: DE-EE0002877

Budget Information - Non Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Demonstration of Integrated Biorefinery Operations	81.087			$5,098,998		
2.						
3.						
4.						
5. Totals		$0		$5,098,998		

REDACTED
EXEMPTION 4

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) Period 1	(2) Period 2	(3)	(4)	
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. **Totals** (sum of 6i-6j)					
7. Program Income					

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Section C - Non-Federal Resources

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) **Totals**

8. Demonstration of Integrated Biorefinery Operations					
9.					
10.			REDACTED EXEMPTION 4		
11.					
12. **Total** (sum of lines 8 - 11)					
Section D - Forecasted Cash Needs					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
13. Federal	$343,335		$3,645	$0	$339,690
14. Non-Federal			REDACTED EXEMPTION 4		
15. **Total** (sum of lines 13 and 14)					
ction E - Budget Estimates of Federal Funds Needed for Balance of the Project					
		Future Funding Periods (Years)			
(a) Grant Program		(b) First	(c) Second	(d) Third	(e) Fourth
16. Demonstration of Integrated Biorefinery Operations					
17.					
18.			REDACTED EXEMPTION 4		
19.					
20. **Total** (sum of lines 16-19)					
Section F - Other Budget Information					
21. Direct Charges		22. Indirect Charges			

23. Remarks

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