

CATEGORICAL EXCLUSION (CX) DETERMINATION FORM

Funding Authority (Base, IIJA, IRA, CDS): BaseSolicitation (NOFO) Number: DE-FOA-0003077

Prime Recipient Name and Location:

University of Illinois (Urbana, IL)

DOE Funding Office (FE, EERE, OE, etc.): FE/HGEOAward Number: FE0032588

Sub-Recipient Name and Location:

The Process Group (Columbia, IL), U of Iowa/IA Geological Survey (Iowa City, IA and Coralville, IA), Western MI U/MI Geological Survey (Kalamazoo, MI) and Gwin, MI), IN U/IN Geological and Water Survey

NETL Org.: TDC/Minerals Production & ProcessingNETL Project Manager: Brett HakeyTitle of Proposed Action: The Upper Midwest and Illinois Basin Carbon Ore, Rare Earth, and Critical Minerals Initiative

Brief Description of Proposed Action:

This project will assess carbon ore, rare earth, and critical minerals (CORE-CM) in secondary and unconventional sources across the Upper Midwest and Illinois Basin. This involves characterization, infrastructure, and workforce development to evaluate feedstocks and locations for separation facilities. Key tasks include resource assessment, sampling, and infrastructure overview. States w/ sampling include: IL, IN, IA, KY, MI, and OH.

ADMINISTRATIVE AND ROUTINE ACTIONS EXCEPTED FROM NEPA REVIEW, 10 CFR 1021 APPENDIX A☐ The NETL NEPA Division has reviewed all proposed project activities and has determined that NEPA does not apply.**THE PROPOSED ACTION FALLS WITHIN THE FOLLOWING CATEGORICAL EXCLUSION(S) FROM 10 CFR 1021, Appendix B****Facility Operation**

- ☐ B1.3 - Routine maintenance
- ☐ B1.7 - Electronic equipment
- ☐ B1.13 - Pathways, short access roads, and rail lines
- ☐ B1.15 - Support buildings
- ☐ B1.31 - Installation or relocation of machinery and equipment

Safety and Health

- ☐ B2.1 - Workplace enhancements
- ☐ B2.2 - Building and equipment instrumentation
- ☐ B2.3 - Personnel safety and health equipment

Site Characterization, Monitoring, and General Research

- ☒ B3.1 - Site characterizations and environmental monitoring
- ☐ B3.2 - Aviation activities (aerial survey and mapping)
- ☒ B3.6 - Small-scale research and development, laboratory operations, and pilot projects
- ☐ B3.7 - New terrestrial infill exploratory and experimental wells
- ☐ B3.9 - Projects to reduce emissions and waste generation
- ☐ B3.11 - Outdoor tests and experiments on materials and equipment components

Electrical Power and Transmission

- ☐ B4.4 - Power marketing services and activities
- ☐ B4.6 - Additions and modifications to transmission facilities
- ☐ B4.11 - Electric power substations and interconnection facilities
- ☐ B4.12 - Construction of powerlines (up to 10 miles, or up to 20 miles if within previously disturbed or developed powerline or pipeline rights-of-way)
- ☐ B4.13 - Upgrading and rebuilding existing power lines
- ☐ B4.14 - Construction and operation of electrochemical-battery or flywheel energy storage systems

Conservation, Fossil, and Renewable Energy Activities

- ☐ B5.1 - Actions to conserve energy or water
- ☐ B5.3 - Modification or abandonment of wells
- ☐ B5.4 - Repair or replacement of pipelines
- ☐ B5.5 - Short pipeline segments (up to 20 miles)
- ☐ B5.12 - Workover of Existing Wells
- ☐ B5.13 - Experimental wells for injection of small quantities of carbon dioxide (up to 500,000 tons per geologic formation)
- ☐ B5.14 - Combined heat and power or cogeneration systems
- ☐ B5.15 - Small-scale renewable energy research and development and pilot projects
- ☐ B5.16 - Solar photovoltaic systems
- ☐ B5.18 - Wind turbines
- ☐ B5.21 - Methane gas recovery and utilization systems
- ☐ B5.22 - Alternative fuel vehicle fueling stations
- ☐ B5.23 - Electric vehicle charging stations

Other☐ Specify category/categories in space below

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THE PROPOSED ACTION FALLS WITHIN THE FOLLOWING CATEGORICAL EXCLUSION(S) ADOPTED FROM OTHER FEDERAL AGENCIES PURSUANT TO SECTION 109 OF NEPA (42 U.S.C. 4336c) (APPENDIX C OF DOE'S NEPA IMPLEMENTING PROCEDURES).

This action (1) would not present any extraordinary circumstances such that the action might have a significant impact upon the human environment; (2) is not connected to other actions with potentially significant impacts; and (3) has not been segmented in order to meet the definition of a Categorical Exclusion.

SELECT ONE OF THE FOLLOWING

- ☐ This Determination includes all tasks, phases, recipients, and locations for the proposed action.
- ☒ This Determination does not include all tasks, phases, recipients, and locations for the proposed action. Only the following tasks, phases, recipients, or locations specified below are included:

Specific sampling site lists are provided separately. Any additional sampling sites require DOE review/prior approval.

NCO Comment Only: The following comment is provided for the consideration of the Contract Specialist or Contracting Officer:

The Recipient must obtain all required authorizations/permits from the appropriate Federal, State, Local, tribal or private authorities prior to conducting any fieldwork or sampling activities. If fieldwork or sampling expands beyond surficial, opportunistic sampling, or requires operation beyond what a developer may already be completing as part of a separate, independent project, additional EQs and supplemental DOE NEPA review will be required. - The Process Group, W MI U/ MI Geol Surv, UND EERC, Big Rock Exploration, and APL Eng are performing office/ computer-based work only. This CX supersedes the document issued on 09/01/2026 (to include KY fieldwork).

The NETL Project Manager acknowledges the responsibility to obtain a NEPA determination prior to initiating or modifying any activities outside the scope of this Categorical Exclusion determination.

DOE Project Manager Signature: **BRETT HAKEY** Digitally signed by BRETT HAKEY
Date: 2026.09.23 15:40:02 -04'00'

Date: 09/23/2026

NEPA Compliance Officer Signature: **JOHNNA SHOLTIS** Digitally signed by JOHNNA
SHOLTIS
Date: 2026.09.25 10:38:44 -04'00'

Date: 09/25/2026



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U.S. DEPARTMENT OF ENERGY – NATIONAL ENERGY TECHNOLOGY LABORATORY

CATEGORICAL EXCLUSION (CX) DETERMINATION FORM

The purpose of this form is to request and obtain approval for a Categorical Exclusion (CX) determination under the National Environmental Policy Act (NEPA) for National Energy Technology Laboratory activities and extramural awards.

Instructions

Provide the following information:

- Funding Authority
- DOE Funding Office
- Solicitation Number
- Award Number
- Prime Recipient Name and Location
- Sub-Recipient Name and Location
- NETL Organization
- NETL Manager
- Title of proposed action
- Brief description of activities

Check all the boxes that apply; Use the "Other" category and the space provide to list any information not already listed.

Acquire the signature of the initiator as well as the NEPA Compliance Officer

A space is provided above the signature blocks to list any considerations that may be valuable to the contracting officer.

