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Q10. I recently came across the “OPEN 2015” solicitation, and was hoping to discuss topics that we wish to propose in the areas of gas leak detection through the use of UAVs and proven energy conversion concepts to make sure we are moving towards the appropriate interests of ARPA-E for this call.7

Q11. I am unsure about the fit of a project with the FOA. In particular, could you clarify if mathematical/optimization/simulation modeling and decision-support systems are considered technological developments for the purpose of this FOA? I am interested in proposing the development of **** [description of project]. In short, the proposal would address applications within the FOA: transportation, buildings and industrial efficiency, but I am not sure if the specific type-of-research I'd like to propose falls within ARPA-E's areas of interest.7

Q12. If a supporting organization wants to write a letter of support for our concept paper, will that count towards the four (4) page limit (codified on page 28, bullet 1, section IV.D)?7

Q13. In 2012, we filed a Concept Paper for DE-FOA-0000670: OPEN FUNDING OPPORTUNITY (see attached). We were politely "Discouraged" from pursuing that funding opportunity. DE-FOA-0001261 is similarly broad, but our technology is precisely described by category 3E: "ultra lightweight vehicles, advanced components, new vehicle designs and architectures." We have made modest progress through self funded efforts. **** [description of technology and project].8

If such a resubmission is allowed, we would readily write a new concept paper that meets the new guidelines.8

Q14. I have two technologies I am considering applying for under the OPEN FOA: **** [description of both projects]. My interpretation of this FOA is that you are looking for the high risk-high potential technologies. Do I go for the practical technology or the one that could help create the long sought after ****[technology type]? I realize you can't tell me what I should do but basically is this FOA for the BIG discovery?8

Q15. Prior to the submission of my proposals I wanted to discuss and speak to someone at ARPA-E about my ideas.8

Q16. If I have read the correctly, all work must be performed in the US. Could you please confirm that this is the case, thus leaving no possibility to perform work in another country, or is there a possibility to perform management/small tasks overseas?8

Further, what is the required relationship between ourselves and the subsidiary/affiliate that will be performing the work in the US? Could this be a collaboration between ourselves and a US university, or must the subsidiary/affiliate be owned or be part of the same organization as ourselves?8

Q17. Could you please provide the clarification on what is considered a currently issued ARPA-E FOA? Is a yearly issued FOA a currently issued ARPA-E FOA?8

Q18. Our Concept Paper is completed. Where is the format for its Cover Sheet?9

Q19. I am a Canadian citizen hoping to apply for the recently released OPEN FOA 2015. I, along with my associates, wish to start up an organization in the state of Texas if we are able to secure initial funding through this funding opportunity.9

If we are able to secure funding we would become a domestic entity in the United States. However, as the deadline for the Notice of Intent is sooner than it would be possible to incorporate in the United States, would we then still be required to apply as a Foreign Entity through a subsidiary.9

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Q21. I wonder what is the cost share required for an ARPA-E project if the team is composed of two entities: one small business (doing 60% of the project) and one University (doing 40% of the project)? This is not a consortium. The DE-FOA-0001261 only discusses cost-share if the small business is doing more than 80% of the project and university the rest, but not other combinations.	9
Q22. We are a small “think tank” company, performing research and development by using computer only. When it comes to fabrication, we have to have our team member fabricate prototype. Therefore, almost 80% of cost will be spent by our team member. In this case, are we qualified for the “Cost Share Grace Period” program?	10
Q23. What is the cost share requirement when the proposing organizational structure is composed of one public university and two Small and Medium-sized Enterprises (SMEs), as defined by EU law? See the example below:	10
Academic1 5% of $x = 1.05x$	10
SME1 20% of $x = 1.20x$	10
SME2 20% of $x = 1.20x$	10
Total cost = $3.45x$	10
Aggregate Cost Share = $0.45x$	10
Global cost share = $0.45/3.45 = 13% > 10%$ for SMEs.	10
Q24. If a project team receives an award, and the sub recipients won't begin work until later in the project period, will the sub recipients have to contribute cost share for the portion of the project during which they're not active? Additionally, will the cost share percentage change due to the differing types of organizations and the non-concurrent work schedules?	10
Q25. I am National Laboratory staff, and have a collaborator at a foreign university (Europe). Can the foreign collaborator contribute to the cost share? (the university does not have a US subsidiary campus).	10
Q26. We understand that the cost share requirement for a proposal from a standalone public university is 5%, while for a small business it is 10% for the entire project starting in the second year. We are a small business proposing with a public university, with no others. If awarded, we would receive approximately equal shares of funding to complete the project. May we fulfill the cost share requirement by providing cost share of 5% for the full university funding, and 10% for	11
the full small business share for the duration of the effort?	11
Q27. I am an inventor, and do not have funds for cost share. I have a partner who can fabricate a prototype to test my invention. Most of the fund from DOE will be used by my partner. Can I apply for 0.0 % cost share program?	11
Q28. Is ARPA-E aware of any non-federal sources of cost share that may be available for OPEN 2015 applicants?	11

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Q30. Our proposal aims to develop a [***** description of project]. Will applications dealing with a material whose industry is not as large as the materials listed (glass, paper, iron, steel, plastics, aluminum) but still has a remarkable market, such as rechargeable battery materials of multi-billion dollars, be responsive under sub-categories G and H of category 7 in the FOA?	12
Q31. After the submission of Letter of Intent, can the research team be changed during the submission of Concept Paper? Similarly, after the submission of Concept Paper, can the research team be changed during the submission of full proposal in case of being invited?	12
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Q37. My small company submitted an application to one of the "past" ARPA-E FOAs, we were awarded a seedling project for 12 months that was very useful in identifying things that have a chance of working and things that could not work at all. The project is now over. If we submit an application (a Concept Paper) to investigate the concepts that may work, will it be considered "responsive" to this ARPA-E OPEN FOA?	13
Q38. What is the ceiling or cap for individual grants under DE-FOA-0001261?	13
Q39. After the Concept Paper deadline, what is the next deadline for the full proposal? After submitting the full-proposal, when will the first grant(s) be issued?	14
Q40. I am an Assistant Professor in Computer Science at [****] University, and I am interested in submitting a collaborative proposal for OPEN 2015 with other faculty members here at [***University]. However, I am on an H1B Visa, and am wondering whether I am eligible to apply as part of a team or not. Section III.A.1 suggests that I am not eligible, but I wanted to confirm this.....	14
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• 4 page narrative	14

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Q46. Can Excel files/attachments be submitted for our cost, as well as word files?	15
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Q56. Can you offer an approximate hurdle rate of quads of energy saved per year in the USA per \$1 million of total project costs for an applicant to judge if his project is reasonable?	18

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Q57. We are a [non-DOE GOGO laboratory] and are looking to team with one University and one industry partner and perhaps have the industry partner serve as the lead. Are there any restrictions or requirements that we need to be aware of? For example, is it okay for the [***non-DOE GOGO laboratory] to serve as a sub to an industry partner? Lastly, please address the matter of funds and how it would need to be administered assuming we were selected.	18
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Q58. For ARPA-E funding opportunity no. DE-FOA-0001261, would a project on “nanostructure-catalyst” for fuel cell development be possible in the near future?	18
The proposed project would be a scale-up of a novel nano-structure catalyst. This would be a catalyst technology for reducing the cost of fuel cells specifically for transportation applications.....	18
Please confirm if this concept could potentially be within the scope of the solicitation.	18
Q59. I would like to submit a proposal on one of the ARPA-E topics. I am not clear about the cost sharing requirement. We are a small business and are not planning to use cost sharing. Is the cost sharing mandatory for the application?	19
Q60. How much is the cost share rate for a small business applying as the prime recipient and partnering with two Universities?.....	19
Q61. We at the [*****Lab] submitted a full proposal in September 2014 to the ARPA-E DELTA funding opportunity: DE-FOA-0001127. We have been given notification that we have not been successful in this call.....	19
As such, is it OK for us to proceed with submitting a Notice of Intent (and thereafter a Concept Paper) to the following grant call which is now open - DE-FOA-0001261?	19
Q62. Since my project is about a new way of producing renewable energy, which FUND (Open 2015 or innovative development in energy-related applied science (IDEAS) is more appropriate for my project?	19
Q63. I am interested in submitting a proposal to CATEGORY 3: TRANSPORTATION Subcategory F: Transportation Management. I have a few questions. Is it possible to call you in the next couple of days?..	19
Q64. Are applicants required to obtain A DUNS NUMBER OR register with the System for Award Management (SAM) before submitting a notice of intent? Is either required with a concept paper?	20
Q65. The FOA says that if FFRDCs do more than 80% of the work the total cost share will be 10%, and if small businesses do more than 80% of the work, then the total cost share will also be 10%. Will the cost share be 10% if an FFRDC does 50% of the work and a small business does 50% of the work?	20
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Q66. In Section B (Application Forms) the FOA states that the forms for the SF-424, Budget Justification Workbook and the template for the Technical Volume of the Full Application and Summary Slide are available at https://arpa-e-foa.energy.gov . I have not been able to locate any templates either by clicking on the Manual icon at the website or doing a general search. Please advise where to find them.	20
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Q67. I was trying to sign up and when asked to select the Country I am in, my Country was not in the list. Can I still apply?	21

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Q68. If a small business proposes a multi-year effort, but, for technical reasons identified within the first year, decides to terminate the effort in the first 12 months, will the 10% cost-share requirement for the multi-year effort be imposed or the 0% requirement for projects restricted to 12 months?21

Q69. How are payments made to the Prime Recipient? Does the Prime submit monthly requests for cost reimbursement? Does the prime separate the incurred costs and cost share amounts on a monthly basis? Are any financial reports required during the effort? If so, what type of reporting is required and how frequently?21

Q70. The FOA states that the proposer should "Clearly identify quantitative technical performance and cost targets for the proposed technology." Does "cost targets" refer to the business case for the proposed technology, or does it refer to the cost of the proposed effort?22

Similarly, could you provide clarification as to what is meant by "techno-economic challenges?"22

Q71. Will there be an informational webinar about DE-FOA-0001261 for applicants?22

Q72. I have a question about the Concept Paper for this FOA. In the fillable Concept paper template the heading on the first page indicates that the Estimated Total Project Costs should be added. However, in the detailed instructions for preparing the Concept Paper in the FOA document, no request for estimated project costs is made. Which instruction document should I follow? Are the estimated costs for the project needed at this stage?22

Q73. Section II. (Award Information) of the FAO indicates that "Individual awards may vary between \$1 million and \$10 million." Is it acceptable to submit a concept paper with a total project value of \$1 million which includes the required cost share, in our case 5%? In other words, the DOE share would be \$950,000 and applicant cost share would be \$50,000 for a total project cost of \$1,000,000?22

Q74. We are considering a project that would be completed within the one year time frame, which leads to the question of whether, as a small business, we would be responsible for any cost sharing on this project, and, if not, would such a project be less likely to be approved simply because no cost sharing would be required?23

Q75. I have a question regarding the concept paper template. One of the prompts states, "Discuss alternative approaches considered, if any, and why the proposed approach is most appropriate for the project objectives." Should I interpret this as referring to "alternative research approaches to explore/develop the concept presented in this paper, and why the proposed plan is the best one for developing this concept"? Or should I interpret it to mean "alternative concepts considered, and why the proposed concept is the best one for achieving the FOA objectives"?23

Q76. Will we be submitting a budget with the concept paper, or only with the full application?23

Q77. Can we submit the same concept paper to more than one funding call? In this case we are planning to submit to EERE Wide, EERE Incubator and ARPA-E OPEN?23

Q78. Principal Investigator (PI): Is it possible to have co-PI in a proposing organization?24

Q79. An applicant plans to procure materials and system components from a foreign entity. To do so the applicant must specify to the supplier the materials to be used, and instruct the foreign entity in how to make the components. The applicant must communicate with the supplier on technical terms. The supplier will

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ask for non-standard special order fee from the applicant. In this case do we have to treat the supplier as "foreign research participants"?	24
Q80. Can a small business partner with a Canadian government owned energy company to get help with the manufacturing? All the federal dollars will be spent in the United States.	24
Q81. Do we qualify as a For Profit Small Business?	24
Q82. I submitted a Notice of Intent for FOA 0001261. I made a mistake in typing the title and I need to correct that. How do I do that?	24
Q83. Did you delete Subcategory D (Hydro Energy) of DE-FOA-0001261?	25
Q84. Can you confirm whether the Technical Point of Contact/Principal Investigator for the "Open 2015" solicitation needs to have a PhD?	25
Q85. I am attempting to lead a project submission to the above FOA as a PI, and I have a question about eligibility. I am currently in a pending status for an LPR to be issued based on a successful Outstanding Researcher EB-1B visa.	25
Could you please advise if I can put in for the FOA or not as a PI?	25
Q86. I am inquiring as to whether or not applicants need to provide Institutional Approval (i.e. letter from University signing official) when submitting the Notice of Intent or the Concept Paper.	25
Q87. We would like to have a cover sheet to put in a "Notice of Restriction on Disclosure and Use of Data" (stated on page 38 of DOE-FOA-0001261). Is there any standard format for the cover sheet? Where can we get it?	25
Q88. Do the PI academic credentials (i.e. having a Ph.D. vs. decades of industry experience) bear on the application evaluation provided there is sufficient/significant expertise and credentials on the entire team?	26
Q89. We have submitted a Notice of Intent and are in the Concept Paper submission phase. We are a small business that will be subcontracting a large public university and a private research institute for certain phases of our project. Are there explicit and/or preferred minimum requirements for % effort on the part of the lead organization vs its subcontracted team organizations?	26
Q90. Can an Individual applicant be treated the same as a Small Business applicant, as regards the 12 month Cost Share Grace Period?	26
Q91. In preparing my Concept Paper, I see there is a character limit for the Abstract. As I prepare my Concept Paper in Microsoft Word, it gives two figures for Character Count – Characters (no spaces) and Characters (with spaces). Which one should I use?	26
Q92. Is it OK to embed URL links to citations or references into the text of PDF files for Concept Papers and Full Applications? Or should these links be footnoted?	27
Q93. The published requirements for the organization of the Concept Paper are as follows: The Concept Paper must not exceed 4 pages in length including graphics, figures, and/or tables. Can the Technical Description be 4 pages long?	27
Q94. Can we request less than \$1 Million in funding? We would only seek \$200,000 if a 50% cost share is required.	27

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Q95. Does technology for light collecting structures fit into CATEGORY 1: RENEWABLE POWER (NON-BIO); subcategory E: Solar-PV/CPV, or should the technology submissions under this Subcategory include solar PV/CPV?	27
Q96. I am a civil servant that is currently working for [Government Agency]. My question is can I submit a response to this FOA as my own company, not affiliated with [Government Agency] or must I submit the response as a federal employee?	28
Q97. Is it acceptable to submit two concept papers differing in only who is the lead organization? There will be only one proposal, but the team organization is not tied down yet.	28
Q98. I am preparing a Concept Paper in response to the above referenced FOA number (DE-FOA-0001261). There are two important questions about the formatting of the document for which I need some clarification.	28
[1] Does the header information (Control Number, Lead Organization Name, PI Last Name) need to be included in the header of the title page?	28
[2] Does the title page count against the 4-page limit?	28
[3] Does the reference list count against the 4-page limit?	28
Q99. Is it permissible for the Principal Investigator to be employed by a team member other than the Lead Organization?	28
Q100. Can you advise me as to which Category and Sub-Category is appropriate for my technology concept?	29
IX. Questions for week ending: May 15, 2015.....	29
Q101. Will an environmental questionnaire be required for the full proposal? Normally an EQ is required but I don't see this as a requirement in the FOA.	29
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Q102. The instructions say there is a mandatory webinar which we must participate in. When is this webinar, and how do we access it?	29
Q103. Can the budget for the full application exceed the one indicated on the concept paper?	29
Q104. Will you be making a public list available of the ARPA-e Open applicants which received discourage and encourage responses?	29
XI. Questions for week ending: May 29, 2015.....	30
Q105. I have a question in regards to the requirement that at least 5% of all federal funds must be spent on TT&O activities. Does this include the indirect costs associated with the TT&O activity? For example, if our budget will be \$1.9M in federal funds, of which only ~2/3rds will be direct costs due to our federally negotiated IDC rate, are we required to spend \$95K in direct costs, or in total (including the IDC)? If the latter, this would come out to ~\$63K in direct costs. And, how should this accounted for in the budget document?	30

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Q106. Per the FOA instructions, page 39: “Applicants are required to provide a single PowerPoint slide summarizing the proposed project. The slide must be submitted in Microsoft PowerPoint format”. Can the slide be submitted in better protected PDF format instead?	30
Q107. Are Applicants allowed to include a letter of support in the full proposal? We are aware that the technical volume has page limits, and no documents will be reviewed that are past the page limit. However, is it allowable to include letters of support as long as we do not exceed the page limit?	30
Q108. Our team proposes to conduct extensive single cylinder research on an automotive technology. We propose to conduct all research on a single cylinder engine to save on time and costs. Does ARPA-E require final demonstration on full-scale automotive engine?	31
Q109. **Organization** has been encouraged to submit a Full Application. As a Federally Funded Research and Development Center (FFRDC) and in accordance with the FOA, when a FFRDC is the lead organization for a Project Team, ARPA-E executes a funding agreement directly with the FFRDC and a single, separate Cooperative Agreement with the rest of the Project Team. Notwithstanding the use of multiple agreements, the FFRDC is the lead organization for the entire project, including all work performed by the FFRDC and the rest of the Project Team. Should **Organization’s** application be selected for award, is it possible to receive a waiver for this requirement and allow full funding to come to **the Lead Organization** , where *the Organization in turn issues the agreements with our team members?	31
Q110. We plan to have a Canadian company with 120 employees in our project team. Are small businesses required to be domestically incorporated entities? Could a Canadian company with 120 employees be regarded as a small business?	31
Q111. The budget justification workbook for the full submission states that the current fringe rate agreement and current indirect cost rate agreement be included in the full application. Could you please tell me where these documents should be uploaded? They are signed PDF documents and cannot be appended to the budget justification workbook since it is in Excel.....	32
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Q112. The FOA for OPEN-2015 says that a minimum of 5% of the federal funding must be spent on TT&O activities. It also says that project teams may not spend more than 5% without approval. What is the margin for error on reaching <u>exactly</u> 5% as is apparently required?	32
Q113. The Proposal Budget for DE-FOA-0001261 - OPEN FOA 2015 must be prepared at the Task level. When awarded, will the Non-Federal entity / Awardee be required to invoice at the Task level? If yes, will the requirement apply to both the federal share and cost share portions?	32
Q114. The PI would like to know how extensive/detailed the list of supplies should be. Her lab may use several chemicals at various amounts for one test. After reviewing ARPA-E’s Budget Workbook guidance, she mentioned it would be impossible to determine how many bottles would be used for future tests at this point in time. Is there a way we can round up or state that various chemicals will be used for this task, and based on her professional experience, would cost “X” amount?	33
Q115. Who owns the equipment purchased during an ARPA-E funded project after completion of the project?	33
Q116. Can travel be included in a recipient’s General and Administrative calculation?	33

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Q117. In the Technical Volume, the template on the first page shows a box for the confidentiality; "Notice of Restriction on Disclosure and Use of Data ..." in the Executive Summary section. Does this box have to stay in the Executive Summary section therefore part of the one-page page limit, or could it be pushed to the following page?34

Q118. There is a high profile industrial partner that is interested in participating on our proposal, to validate the commercial potential of the technology we are proposing. Because this industry partner is high profile, even the suggestion of their participation in such a project to the public would compromise the company's business strategy. If this partner participates, is there a way in which the company's name is part of the proprietary information and not disclosed to the public?34

Q119. For general proprietary information listed in the proposal, what is the general protection that should be expected? For example, are there non-disclosure agreement-like protection in place for program managers, reviewers (in particular) and others who have access to the proposal?34

XIII. Questions for week ending: June 12, 201535

Q120. We are preparing the technical volume of our full application, and have a question about the section 1.3 innovativeness. In the instruction, the third bullet point specifically asks "not (to) compare to other concepts not yet in practice". In our field - deepwater offshore wind - there have been only prototypes, and nothing has been installed yet for a commercial project. Would it be acceptable for us to compare to the other "state-of-the-art" prototypes, since there is nothing in commercial stage to compare? We hope to have a chance to explain the benefits of our approach over the other technologies aiming for the similar use/application.35

Q121. On page 33, line 5, the FOA states that the proposed technology should be compared to existing state of the art, and not to "other concepts not yet in practice." Our application is for a battery technology. Battery costs are known to be falling rapidly. Should the comparison of the projected cost of the proposed technology be made to today's costs for the state-of-the-art incumbent, or should this comparison be made to the projected future cost floor of the incumbent, as based on published cost analyses? The latter comparison is more relevant to answering the question "will it matter?" For a new technology, but it is in conflict with the FOA instructions.35

Q122. We are budgeting a piece of equipment necessary and dedicated to the project. If the manufacturer is willing to offer a substantial discount on the retail purchase price, can the discounted amount be used as third-party cost share? 2 CFR § 910.130 does not seem to exclude this.35

Q123. If a university is performing all the intellectual work, but must buy.....36

A. Electrical and mechanical parts, and36

B. Machining and casting services, and a36

C. Large piece of process equipment to create objects for exploratory analysis,36

and the cost of "a" + "b" + "c" is greater than 25% of the total project cost, then is the university still considered to be performing more than 80% of the total project cost?36

Q124. I am a professor at [domestic education institution], and [domestic education institution] would be the prime recipient on an award under the open FOA. In our concept paper, we have included a startup company that we are planning as a potential team member. However, for some practical reasons, the startup

QUESTIONS AND ANSWERS

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company is still being planned and not established yet, and we may not be able to get this incorporated in time before the deadline (6/29/15).	36
We are wondering whether it is possible to have [domestic education institution] as the only recipient for the full application, and then subtract part of the task to the startup company at later stage, e.g., during the award negotiation period.....	36
Q125. Our cost share partner would like to front load their cost share obligation in year 1 and reducing it in year 2. In other words they will provide more cost share in year 1 and not incremental over the life of the project award. Is this allowed?	37
Q126. We are a small business preparing a full application on a novel technology for energy application, which also can have dual military propulsion benefits. It appears that the US government has declared some related propulsion applications as export-controlled. This is the opinion of experts at our large-business partner, but our university partner attorney has a different opinion. In any case, to be on the safe side, will the review process be involving only us persons who are held to the level of confidentiality applicable to export-controlled data? On the full application, we may mark certain information as potentially export-controlled in addition to being proprietary information. How will this affect our review?	37
XIV. Questions for week ending: June 19, 2015	37
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Q128. Can / should a contractor also be a "key personnel" on the Project Team?	38
Q129. Can the majority of the 5% budgeted towards technology to market be used for paying a contractor with related expertise in such tech to market?	38
Q130. Can [a] service provided and paid for by a foreign institution, in this case the [foreign company] be counted as cost share?	38
Q131. On form SF-424, item 13, what is the competition identification number to fill in, if any?	38
Q132. We are preparing the (ARPA-E_111) budget justification worksheet, and have a few questions.	38
1. On the SF424a tab, what is the award number? Is it same as the control number?	38
2. For "c. Travel", is the only required travel the one to meet with ARPA-E program directors? Is it just once during the entire (30 months) project duration, or once for each year? If the former, which year would be the most appropriate to be included?	38
3. On "h. Other" about the TT&O expenses; how could we show the TT&O budget of a sub recipient who has less than 10% share?	38
4. On "h. Other" about the tt&o expenses; would "personnel costs to develop commercialization plan" be qualified as TT&O? The example #2 on the worksheet shows no, but it sounds it could be qualified as "work devoted to a commercialization plan" in ARPA-E_110 budget justification guidance (page 8 step 9).	38
Q133. Our Project Team consists of a small business (≥80%) and a domestic education institution (≤20%). In this circumstance, is the Project Team entitled to the one-year Cost Share Grace Period? I am aware that this grace period applies to a team with multiple small businesses, but the FOA PDF does not explicitly state anything about teams like ours, as described above.	39

QUESTIONS AND ANSWERS

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Q134. As the prime recipient, we are incorporating each of our sub-recipient's costs into our sf-424a form. Per the guidelines of the SF-424a form, each sub-recipient is required to complete a budget justification workbook if their portion is greater than or equal to 10% of the total project cost. We have three sub-recipients that will meet this criterion. When we upload the SF-424a form for final submittal, we're only able to upload one SF-424a file, which will be our (the prime recipient's) SF-424a form. How do we upload/submit our three sub-recipient's sf-424a forms as well?39

Q135. What is ARPA-E's definition of a sub-recipient versus a subcontractor?40

Q136. If a sub-recipient makes up less than 10% of the budget, do they submit a separate form SF-424a so that the prime can put their hours and costs in the other tab of its workbook?40

Q137. Question 105 and the referenced section IV.E.3 seem to provide conflicting information. Where should we denote the indirect costs associated with the TT&O? If we split them then the TT&O calculator on the other tab will only show the direct charges, which will not equal the total allocated amount (direct + indirect). Is there a place we should denote the total TT&O charges to denote our COMPLIANCE?40

Q138. With regard to US patent costs related to technology which is the subject of the ARPA-E proposal, we have the following questions:41

1) Does the ability to recover such patent expenses (either as a budgeted item in the proposal, or as a cost share item) relate only to patents which would be considered "subject inventions", i.e. created at least in part using the contract funding? OR.....41

2) Can past US patent expenses (filing and prosecution expenses) for such technology be recovered, either as a budgeted item in the proposal, or as a cost share item? OR41

3) If past expenses cannot be recovered as per question 2 above, can ongoing expenses, i.e. expenses that are incurred during the contract period, for patent prosecutions on such patents that have been filed prior to the contract period be recovered, either as a budgeted item in the proposal or as a cost share item?41

Q139. If a portion of a subcontract is to go toward TT&O activities, should this portion be omitted from the "contractual" budget tab and only shown in the "other" tab as TT&O contractual activities to avoid this amount being added twice to the summary budget?41

Q140. We have received a sub-receipient workbook. The sheets are locked. I can't select or copy an entire worksheet or workbook. So we tried our own workbook and we can't select entire sheets or the workbook either. It is not just something the subcontractor did. What do you recommend so we can copy three workbooks into the same file?41

Q141. I was reviewing the requirements for the SF-424 and there's the "FINANCIAL ASSISTANCE CERTIFICATIONS AND ASSURANCES FOR USE WITH SF 424" that is to be submitted with each application for financial assistance. Does this form apply to [Entity], which is a FFRDC? Any future award provided would be done via interagency agreement between DOE/ARPA-E and the FFRDC. FFRDC cannot accept Grants and the forms make references to "grants" and "grantees". I just want to verify the applicability of the form as I don't believe it applies to the FFRDC's submittal.....42

I. FREQUENTLY ASKED QUESTIONS:

A. ARPA-E recently published a Teaming Partner List for an upcoming FOA: Network Optimized Distributed Energy Systems (NODES). May I submit my idea to both the OPEN 2015 FOA and the future NODES FOA, or should I submit my idea to only one FOA?

ANSWER: An identical concept should not be submitted to both FOAs. ARPA-E anticipates issuing the NODES FOA before the Notice of Intent deadline for the OPEN 2015 FOA (February 20, 2015). This should allow potential applicants sufficient time to review the technical requirements of the NODES FOA and independently determine whether their proposed concept warrants a submission. Potential applicants with interest in developing the technologies described in the NODES Teaming Partner List (available on ARPA-E eXCHANGE at <https://arpa-e-foa.energy.gov/>), are very strongly encouraged to submit their concept to the NODES FOA.

Per Section I.E (Applications Specifically Not if Interest) of the OPEN 2015 FOA, identical applications submitted in response to currently issued ARPA-E FOAs, including NODES, will only be reviewed and considered for funding once under the first FOA to which the applicant applied.

B. I missed the Notice of Intent deadline. May I still submit a Concept Paper?

ANSWER: No. Only applicants who have successfully created a Notice of Intent in eXCHANGE by the published deadline are eligible to submit a Concept Paper to the FOA. See Section III.C.1 (Compliant Criteria) of the FOA.

C. Is there an approval process for the Notice of Intent? Should we expect any feedback from ARPA-E on the Notice of Intent prior to the submission deadline for the Concept Paper?

ANSWER: No. ARPA-E does not approve or provide feedback for Notices of Intent. However, ARPA-E performs a preliminary review of Notices of Intent to determine whether they are compliant. ARPA-E will not review or consider noncompliant Notices of Intent. See Section III.C.1 (Compliant Criteria) of the FOA for Notice of Intent compliance criteria.

D. May I submit my idea to both the OPEN 2015 FOA and the Innovative Development in Energy-Related Applied Science (IDEAS) FOA (DE-FOA-0001002), or should I submit my idea to only one FOA?

ANSWER: Prior to applying to either FOA, ARPA-E strongly encourages potential applicants to carefully review Section II.A (Award Overview) of the OPEN 2015 FOA which distinguishes the technical parameters of both FOAs. As provided in Section II.A, potential applicants who seek funding for the purpose of proving an innovative technology concept at its earliest stages of development without defining a clear path to a functional prototype at the laboratory scale are advised to apply to the IDEAS FOA. Potential applicants that seek funding for concepts that require proof-of-concept R&D or for a project in which some initial proof-of-concept demonstration already exists are advised to apply to the OPEN 2015 FOA.

An identical concept should not be submitted to both FOAs. Per Section I.E (Applications Specifically Not if Interest) of the OPEN 2015 FOA, identical applications submitted in response to currently issued ARPA-E FOAs, including the IDEAS FOA, will only be reviewed and considered for funding once under the first FOA to which the applicant applied.

E. If I have questions about this funding announcement, who do I contact?

ANSWER: Please see the FOA guidance on submitting FOA content questions and response publication. Applicants may submit questions regarding this ARPA-E's Funding Opportunity Announcement (FOA) to ARPA-E-CO@hq.doe.gov. All emails must include the FOA name and number in the subject line. The cover page and Executive Summary of the Funding Opportunity Announcement state the deadlines for submitting questions to ARPA-E-CO@hq.doe.gov.

F. How will I receive a response to questions submitted to arpa-e-co@hq.doe.gov about this FOA?

ANSWER: Responses are posted in the "Current Funding Opportunities FAQs" section of ARPA-E's website available at <http://arpa-e.energy.gov/?q=faq/current-funding-opportunities>. In addition, general questions about ARPA-E can be found at <http://arpa-e.energy.gov/?q=faq/general-questions>.

ARPA-E will post responses on a weekly basis to questions that are received. ARPA-E will cease to accept questions approximately 5 business days in advance of each submission deadline. Responses to questions received before the cutoff will be posted approximately one business day in advance of the submission deadline. ARPA-E may re-phrase questions or consolidate similar questions for administrative purposes.

G. Will ARPA-E post a response to every question submitted to arpa-e-co@hq.doe.gov?

ANSWER: No. ARPA-E will only post responses to questions that have not already been addressed by a published FAQ. Also, ARPA-E may consolidate similar questions for administrative purposes.

H. If I have questions about ARPA-E exchange, who do I contact?

ANSWER: Applicants may submit questions regarding ARPA-E's online application portal, ARPA-E eXCHANGE, to ExchangeHelp@hq.doe.gov. All emails must include the name and number of the Funding Opportunity Announcement in the subject line.

I. Can I speak or meet with the ARPA-E program director or other ARPA-E personnel about this funding opportunity announcement?

ANSWER: No. Upon the issuance of this Funding Opportunity Announcement (FOA), ARPA-E Program Directors and other ARPA-E personnel are prohibited from communicating (in writing or otherwise) with Applicants, or potential Applicants, regarding the FOA. This "quiet period" remains in effect until ARPA-E's public announcement of its project selections. During the "quiet period," Applicants may submit questions regarding the FOA to ARPA-E-CO@hq.doe.gov with the FOA name and number in the subject line. Applicants may also submit questions regarding ARPA-E's online application portal, ARPA-E eXCHANGE, to ExchangeHelp@hq.doe.gov with the FOA name and number in the subject line. ARPA-E will not accept or respond to communications received by other means (e.g., fax, telephone, mail, hand delivery). Emails sent to other email addresses will be disregarded.

J. Can a person be PI on one proposal and a Co-PI on a second separate proposal?

ANSWER: Yes, an individual may be on more than one submission – either as a lead or member of a Project Team.

K. May applicants submit more than one concept paper to this funding opportunity?

ANSWER: Yes, but each Concept Paper must be “scientifically distinct”. This term is used in Section III.C.3 (Limitation on Number of Applications) of the FOA. In this context, the term “scientifically distinct” is used to emphasize that, in the event an Applicant intends to submit multiple concept papers/application, the applicant should propose distinct technical approaches in each application. This prohibition on duplicative applications involves a fact-based determination by ARPA-E to ensure a focused review of each technical concept, and appropriate use of ARPA-E's limited time/resources.

L. I have developed a technology that may be a good fit for this funding opportunity. Will ARPA-E please review my idea and let me know if it is responsive to this FOA?

ANSWER: ARPA-E will review compliant and responsive concept paper submissions and provide feedback either encouraging or discouraging submission of a Full Application. See Section IV.A (Application Process Overview) of the FOA for Concept Paper review process. Concept Paper submissions are compliant if they meet the requirements of Section III.C.1 (Compliant Criteria) of the FOA, and are responsive if they meet the Program Objectives and other requirements set forth in Section I.C (Program Objectives and Structure) of the FOA and do not fall under Section I.E. (Applications Specifically Not of Interest) of the FOA.

M. Are foreign entities eligible to apply to this FOA?

ANSWER: Foreign entities are eligible to apply for funding. See Section III.A.3 (Eligibility Information- Foreign Entities) of the FOA. However, if the project is selected for award negotiations and an award is made, all work must be performed in the United States by subsidiaries or affiliates incorporated in the United States or U.S. territories, unless ARPA-E grants a foreign work waiver to allow performance of part of the work outside of the United States. ARPA-E's grant of a foreign work waiver is a fact dependent, case-by-case determination that is made only in exceptional circumstances and only for discrete parts of an award that necessitate foreign work. Applicants that anticipate the need for a foreign work waiver to perform some work outside of the U.S. should review Section 5 of the Business Assurances & Disclosures Form.

N. Are individuals eligible to apply to this FOA?

ANSWER: Yes. Individuals are eligible to apply for funding. See Section III.A. (Eligibility Information) of the FOA. However, any ARPA-E award funding would need to be made to a business entity formed by the Applicant, if selected for award negotiations.

O. Will ARPA-E post a “Teaming List” for this FOA?

ANSWER: No. Due to the large number of expected applicants ARPA-E will not issue a Teaming Partner List for this FOA.

P. I missed the Concept Paper deadline. Can I still submit a Full Application?

ANSWER: No. Only applicants who have successfully submitted a Concept Paper in eXCHANGE by the published deadline are eligible to submit a Full Application to the FOA.

Q. Our project team includes several team members. Does each team member need to contribute cost share equally?

ANSWER: Although the cost share requirement applies to the Project Team as a whole, the funding agreement makes the Prime Recipient legally responsible for paying the entire cost share. See Section III.B.4 for more information on cost sharing. Each Project Team is free to determine how much each team member will contribute towards the cost share requirement. The amount contributed by individual Project Team members may vary, so long as the cost share requirement for the project as a whole is met.

R. Can you tell me whether my project team qualifies for reduced cost share based on the following scenario: []?

ANSWER: ARPA-E may not provide pre-submission assessments on a project team's specific cost sharing requirement.

S. Will in-kind contributions count towards meeting our cost share requirements?

ANSWER: Yes, if the in-kind contribution is determined to be allowable, allocable and reasonable by the ARPA-E Contracting Officer. Since this is necessarily fact determinative inquiry, these types of questions are answered based on a review of all relevant information by the Contracting Officer during award negotiations. For general guidance on acceptable cost share contributions and corresponding cost principles used by the ARPA-E Contracting Officer to make these determinations, please refer to 2 C.F.R. Parts 200 and 910 for cost sharing guidance, specifically 2 C.F.R. § 200.206 and 910.130.

T. We have a question concerning the impact of a large business seeking patent rights under a class waiver if our team qualifies for reduced cost share of 10%. Does this mean the entire team project is subject to 20% cost share or only the large business' portion of the project will be subject to 20% cost share?

ANSWER: Per Section II.B.3 (Reduced Cost Share Requirement) of the FOA, under this scenario, only the large business' portion of the work under this scenario is subject to the 20% minimum cost share requirement. Please see Section III.B.3 (Reduced Cost Share Requirement), Section III.B.4 (Legal Responsibility), and Section III.B.5 (Cost Share Allocation) of the FOA for more details on the cost sharing requirements. NOTE: If the large business' portion of Total Project Costs is greater than 20%, then the project team's total cost share minimum is 20% since the team as a whole would no longer qualify for the 80/20 labor distribution for reduced cost share, per Section III.B.3 of the FOA.

U. How should we include references in our Full Application? Do they count towards the overall page limitation for the Technical Volume?

ANSWER: Applicants may provide a list of references in a separate bibliography. Only bibliographic information may be contained in the references, and no additional text or commentary should be included. There is no page limit for the bibliographic references section of the Full Application.

V. Our team originally submitted a Notice of Intent or Concept paper that listed [organization name 1] as the Prime Recipient. For our Concept paper or Full Application, can we change the lead organization to ** [organization name 2] instead?**

ANSWER: Yes, the ARPA-E eXCHANGE system will allow applicants to expand or otherwise modify the Project Team for their Concept Paper and Full Applications.

W. Can I include new Co-PIs and/or subrecipients in my Full Application?

ANSWER: Yes. Applicants may expand or otherwise modify the Project Team for their Full Applications.

X. My Concept Paper was encouraged. What are my chances of being selected for award negotiations by ARPA-E?

ANSWER: ARPA-E does not provide pre-submission assessments of Applicants' likelihood to receive funding.

Y. My Concept Paper was discouraged. May I still submit a Full Application?

ANSWER: Yes

Z. Do sub-recipients also need to fill out the Business Assurances & Disclosures Form or is this filled out only by the Prime Recipient?

ANSWER: The Business Assurances & Disclosures Form requests information regarding the legal entity submitting the application as the Prime Recipient, the legal entities and/or individuals that are proposed to be Sub-recipients, and the PI/Co-PIs in their individual capacity. The Prime Recipient may submit one Business Assurances & Disclosures Form covering all of the Project Team members if it has authorization and information to answer on their behalf. Alternatively, the Prime Recipient may request Sub-recipients to complete and sign individual Business Assurances & Disclosures Forms that the Prime Recipient will append to its form.

II. Questions for week ending: JANUARY 9, 2015

Q1. Will there be a team up list for this FOA?

ANSWER: Please see the response to the Frequently Asked Question O above.

Q2. We are pursuing the research and development of a rather complicated system that will expand greatly the amount of renewable energy that the US will have available for the generation of electricity. We have been preparing to respond to FOA-0001002 ("IDEAS") but, in the past few days, a new open solicitation, FOA-0001261 ("OPEN 2015") was released. The overall system will require several separate R&D projects that could be covered by either of the two announcements. What are the rules by which to determine the appropriate FOA for a particular project, assuming that more than one project can be submitted to either FOA?

ANSWER: Please see the response to the Frequently Asked Question D above.

Q3. Me and my collaborators at a FFRDC are interested in exploring some of the topic categories in the ARPA-E FOA, in particular 5C, 5F, and 7D. Can you put me in touch with the PM's for some of these?

ANSWER: Please see the response to the Frequently Asked Question I and E above.

Q4. I am conceptualizing a potential project that may be relevant to the production and distribution of solar energy development in the southwestern U.S. as it relates to landscape impacts and wildlife interactions. Specifically, I would like to address questions pertaining to ** [description of project and areas of interest]. I feel as though this FOA touches on some of these issues may be relevant in association to some of the sub-categories outlined in the Notice of Intent/Concept Paper guidelines. Please let me know if I am in alignment with the intent of this FOA.**

ANSWER: Please see the response to the Frequently Asked Question L above.

Q5. I submitted a concept paper under ARPA-E IDEAS FOA last year and did not receive funding. Am I precluded from submitting the same concept paper to this FOA?

ANSWER: Applicants that submit Concept Papers to Open 2015 which are identical to a Concept Paper previously submitted under a currently issued ARPA-E FOA, including IDEAS, will be deemed nonresponsive pursuant to Section III.C.2 (Responsiveness Criteria) of the FOA and will not be considered or reviewed. Specifically, Section I.E (Applications Specifically Not of Interest) of the FOA precludes submission of applications that “have been submitted in response to other currently issued ARPA-E FOAs” and applications that “are not scientifically distinct from applications submitted in response to other currently issued ARPA-E FOAs.” Please see Sections III.C.2 and I.E of the FOA for the complete details on what constitutes a responsive submission under this FOA.

Q6. Category 4 is entitled ‘Conventional Generation (Non-Renewable)’. Is this category limited to electrical power generation? Would a project involving processing of natural gas fit in this category?

ANSWER: Processing technologies are included in Category 4. For example Subcategory 4.I. includes chemical or biological conversion of natural gas. Please see Section I.D (Technical Categories and Subcategories of Interest) of the FOA for a description of each technical category and subcategory.

Q7. Does ARPA-E have any interest in reviewing the attached concept paper submitted on June4-09 again?

ANSWER: Please see the response to the Frequently Asked Question L above.

Q8. **[Name of company] has developed a new outside-the box methodology that protects the electric power grid against both cyber and physical attacks. Is this a technology that ARPA-E would be interested in?**

ANSWER: Please see the response to the Frequently Asked Question L above.

III. Questions for week ending: JANUARY 16, 2015

Q9. Can a **[foreign entity] be a Lead Organization if the Principal Investigators are located at two U.S. universities and research will be carried out at their facilities?**

ANSWER: Please see the response to the Frequently Asked Question M above.

Q10. I recently came across the “OPEN 2015” solicitation, and was hoping to discuss topics that we wish to propose in the areas of gas leak detection through the use of UAVs and proven energy conversion concepts to make sure we are moving towards the appropriate interests of ARPA-E for this call.

ANSWER: Please see the response to the Frequently Asked Question I and L above.

Q11. I am unsure about the fit of a project with the FOA. In particular, could you clarify if mathematical/optimization/simulation modeling and decision-support systems are considered technological developments for the purpose of this FOA? I am interested in proposing the development of ** [description of project]. In short, the proposal would address applications within the FOA: transportation, buildings and industrial efficiency, but I am not sure if the specific type-of-research I'd like to propose falls within ARPA-E's areas of interest.**

ANSWER: Please see the response to the Frequently Asked Question L above.

Q12. If a supporting organization wants to write a letter of support for our concept paper, will that count towards the four (4) page limit (codified on page 28, bullet 1, section IV.D)?

ANSWER: Yes. Per Section IV.D (Content and Form of Concept Papers) of the FOA, if applicants exceed the maximum page limitation of 4 pages, ARPA-E will only review the authorized number of pages, starting with the first page and then each of the following 3 pages, and disregard any additional pages.

Q13. In 2012, we filed a Concept Paper for DE-FOA-0000670: OPEN FUNDING OPPORTUNITY (see attached). We were politely "Discouraged" from pursuing that funding opportunity. DE-FOA-0001261 is similarly broad, but our technology is precisely described by category 3E: "ultra lightweight vehicles, advanced components, new vehicle designs and architectures." We have made modest progress through self funded efforts. **** [description of technology and project].

If such a resubmission is allowed, we would readily write a new concept paper that meets the new guidelines.

ANSWER: Please see the response to the Frequently Asked Question L above.

Q14. I have two technologies I am considering applying for under the OPEN FOA: **** [description of both projects]. My interpretation of this FOA is that you are looking for the high risk-high potential technologies. Do I go for the practical technology or the one that could help create the long sought after ****[technology type]? I realize you can't tell me what I should do but basically is this FOA for the BIG discovery?

ANSWER: Please see the response to the Frequently Asked Question L above.

Q15. Prior to the submission of my proposals I wanted to discuss and speak to someone at ARPA-E about my ideas.

ANSWER: Please see the response to the Frequently Asked Question I above.

Q16. If I have read the correctly, all work must be performed in the US. Could you please confirm that this is the case, thus leaving no possibility to perform work in another country, or is there a possibility to perform management/small tasks overseas?

Further, what is the required relationship between ourselves and the subsidiary/affiliate that will be performing the work in the US? Could this be a collaboration between ourselves and a US university, or must the subsidiary/affiliate be owned or be part of the same organization as ourselves?

ANSWER: As a general rule, all work under ARPA-E awards must be conducted in the United States or in U.S. territories. ARPA-E will consider requests to perform work outside the United States on a case-by-case basis. Only in compelling circumstances, and only for discrete parts of a project that necessitate foreign work, would ARPA-E grant such a request. Such requests are rarely made or granted. For information on eligibility of foreign entities and how to file a request to perform work outside of the United States, please see the response to Frequently Asked Question M above. A proposed sub-awardee – including universities - may be unaffiliated with the Prime Applicant.

Q17. Could you please provide the clarification on what is considered a currently issued ARPA-E FOA? Is a yearly issued FOA a currently issued ARPA-E FOA?

ANSWER: A "currently issued ARPA-E FOA" means any FOA that is currently in the application phase (either accepting Concept Papers or Full Applications) or any FOA where selections for

award negotiations have not yet been determined by ARPA-E. A list of currently issued ARPA-E FOAs may be found at: <https://arpa-e-foa.energy.gov/#Foalda8bdd9ec-2cb7-4349-8184-4dde00c77663>.

Please also see the response to Frequently Asked Question D above for more information.

Q18. Our Concept Paper is completed. Where is the format for its Cover Sheet?

ANSWER: A cover sheet is not required for the Concept Paper; therefore, ARPA-E has not included a separate template for a cover sheet.

Q19. I am a Canadian citizen hoping to apply for the recently released OPEN FOA 2015. I, along with my associates, wish to start up an organization in the state of Texas if we are able to secure initial funding through this funding opportunity.

If we are able to secure funding we would become a domestic entity in the United States. However, as the deadline for the Notice of Intent is sooner than it would be possible to incorporate in the United States, would we then still be required to apply as a Foreign Entity through a subsidiary.

ANSWER: ARPA-E may not provide pre-submission eligibility determinations or advice on how to structure the project team. However, please note that applicants may expand or otherwise modify the Project Team for their Concept Paper and Full Applications. Section III.A.3 (Eligibility Information- Foreign Entities) of the FOA states that “all work by foreign entities must be performed by subsidiaries or affiliates incorporated in the United States (including U.S. territories)”. Thus, if selected for award negotiations, foreign entities would need to incorporate a subsidiary in the U.S. to receive the award, and all work would need to be conducted in the U.S. unless ARPA-E grants a partial waiver. For more information on eligibility of foreign entities to apply under this FOA, please see the response provided for Frequently Asked Question M above.

Q20. Would a U.S.-developed technology for large-scale low-cost renewable power generation outside the U.S. be disadvantaged in the ARPA-E Open review process? ** [description of project].**

ANSWER: Please see the response to Frequently Asked Question L above.

IV. Questions for week ending: JANUARY 23, 2015

Q21. I wonder what is the cost share required for an ARPA-E project if the team is composed of two entities: one small business (doing 60% of the project) and one University (doing 40% of the project)? This is not a consortium. The DE-FOA-0001261 only discusses cost-share if the small business is doing more than 80% of the project and university the rest, but not other combinations.

ANSWER: Please review Modification 1 of the FOA at Section III.B (Reduced Cost Share Requirement) for clarification of cost share requirements.

Q22. We are a small “think tank” company, performing research and development by using computer only. When it comes to fabrication, we have to have our team member fabricate prototype. Therefore, almost 80% of cost will be spent by our team member. In this case, are we qualified for the “Cost Share Grace Period” program?

ANSWER: Please see the response to Frequently Asked Question R above.

Q23. What is the cost share requirement when the proposing organizational structure is composed of one public university and two Small and Medium-sized Enterprises (SMEs), as defined by EU law? See the example below:

Academic1 5% of $x = 1.05x$

SME1 20% of $x = 1.20x$

SME2 20% of $x = 1.20x$

Total cost = $3.45x$

Aggregate Cost Share = $0.45x$

Global cost share = $0.45/3.45 = 13\% > 10\%$ for SMEs

ANSWER: Please see the response to the Frequently Asked Question R above. In addition, for eligibility of foreign entities, please see the response to Frequently Asked Question M.

Q24. If a project team receives an award, and the sub recipients won't begin work until later in the project period, will the sub recipients have to contribute cost share for the portion of the project during which they're not active? Additionally, will the cost share percentage change due to the differing types of organizations and the non-concurrent work schedules?

ANSWER: ARPA-E generally uses Cooperative Agreements to provide financial support to the Prime Recipient, and does not enter into agreements with sub-recipients. The situation described in the question above would be governed by the agreement between the Prime and sub-recipient. Although the cost share requirement applies to the Project Team as a whole, the ARPA-E funding agreement requires the Prime Recipient to be responsible for the entire cost share, and for enforcing cost share obligations assumed by Project Team members in sub-awards or related agreements. For further information on how cost share requirements apply to the Project Team, please see the response to the Frequently Asked Question Q above.

Q25. I am National Laboratory staff, and have a collaborator at a foreign university (Europe). Can the foreign collaborator contribute to the cost share? (the university does not have a US subsidiary campus).

ANSWER: Any work performed outside of the United States requires a foreign work waiver, which is rarely granted. Any proposed cost share that will be contributed by a non-U.S. collaborator

performing project work would also be subject to this waiver and a determination by the Contracting Officer that the proposed cost share contribution is allowable. Please see Section III.B.6 (Cost Share Types and Allowability) of the FOA. For more information on eligibility of foreign entities, please see the answer to Frequently Asked Question M. Any proposed cost share contribution is ultimately the legal responsibility of the Prime Recipient. See Section III.B.7 (Legal Responsibility) of the FOA.

Q26. We understand that the cost share requirement for a proposal from a standalone public university is 5%, while for a small business it is 10% for the entire project starting in the second year. We are a small business proposing with a public university, with no others. If awarded, we would receive approximately equal shares of funding to complete the project. May we fulfill the cost share requirement by providing cost share of 5% for the full university funding, and 10% for the full small business share for the duration of the effort?

ANSWER: Please see the response to Frequently Asked Question Q above.

Q27. I am an inventor, and do not have funds for cost share. I have a partner who can fabricate a prototype to test my invention. Most of the fund from DOE will be used by my partner. Can I apply for 0.0 % cost share program?

ANSWER: Please see the response to Frequently Asked Question R above.

Q28. Is ARPA-E aware of any non-federal sources of cost share that may be available for OPEN 2015 applicants?

ANSWER: Yes, the Massachusetts Clean Energy Center (MassCEC) recently established a program to cover part of the cost share requirements for relevant ARPA-E awardees (i.e. associated with Massachusetts). More information on eligibility under the MA Clean Energy Center can be found at: <http://www.masscec.com/programs/amplifymass>. Note: there is an application process for the MassCEC program that is completely separate from ARPA-E's application process for the Open 2015 FOA. In addition, successfully securing cost-share awards from a state in no way influences ARPA-E's application review process.

Q29. Under the “Title to Subject Inventions” section of the FOA who would own the title to subject inventions in absence of a waiver for large businesses and foreign entities? Further, could you please explain when ARPA-E “typically issues ‘class patent waivers’ under which large businesses and foreign entities that meet certain stated requirements may elect to retain title to their subject invention.”

ANSWER: This FOA is subject to “class patent waiver” under which large businesses that meet certain stated requirements may elect to retain title to their subject inventions (there is discretion as

to whether to apply the class waiver to foreign entities). Per Section VIII.F (Title to Subject Inventions) of the FOA, if no “class patent waiver” were issued by ARPA-E for large businesses, under 42 U.S.C. § 5908, title to subject inventions would vest in the U.S. Government and large businesses would not have an automatic right to retain title to subject inventions. Even if the class waiver is not applicable, a large business or foreign entity (that has received a foreign work waiver) has the right to ask for an individual waiver under 10 C.F.R. § 784.

Q30. Our proposal aims to develop a [*** description of project]. Will applications dealing with a material whose industry is not as large as the materials listed (glass, paper, iron, steel, plastics, aluminum) but still has a remarkable market, such as rechargeable battery materials of multi-billion dollars, be responsive under sub-categories G and H of category 7 in the FOA?**

ANSWER: Please see the response to Frequently Asked Question L above.

Q31. After the submission of Letter of Intent, can the research team be changed during the submission of Concept Paper? Similarly, after the submission of Concept Paper, can the research team be changed during the submission of full proposal in case of being invited?

ANSWER: Please see the response to Frequently Asked Questions V and W above.

Q32. Are references allowed in the Concept Paper? If yes, are they counted in the page limit?

ANSWER: Per Section IV.D.1.C (Concept and Form of Concept Papers - Proposed Work), applicants may “[p]rovide specific examples of supporting data and/or appropriate citations to the scientific and technical literature.” However, citations will count towards the maximum page length of 4 pages. If an applicant exceeds the maximum page length, ARPA-E will only review the authorized number of pages, starting with the first page of the submission.

Q33. In the Concept Paper, do we need to itemize the amount/percent each team member will contribute to the cost share allocations?

ANSWER: No. Applicants should refer to the Section IV.D (Content and Form of Concept Papers) of the FOA for guidance on what information should be included in a Concept Paper submission.

Q34. Can a team submit a modified application from a previous, unsuccessful submission from the 2012 ARPA-E FOA?

ANSWER: Please see the response to the Frequently Asked Question L above.

Q35. What is the definition of hybrid approaches mentioned under category 2: bioenergy; subcategory c: biofuel production-non-biological methods? This category is described as “technologies that do not utilize any biological agent in the conversion of organic feedstock to fuels” but then mentions “hybrid approaches” as an example. Traditionally, hybrid approaches is defined as the combination of biological and non-biological processing.

ANSWER: Technologies should be classified under the "Biofuel Production - Nonbiological Methods" subcategory if they do not use any biological agent in the conversion of organic feedstocks to fuels or when the use of a biological agent is for a secondary step in the process. Technologies which utilize a biological agent in one or more principal step(s) of feedstock conversion to fuels should be classified under the subcategory "Biofuel Production - Biological Methods."

Q36. I am unable to get the Concept Paper template from the link shown below. Can you help? From page 28 of the funding opportunity announcement document “a fillable concept paper template is available on ARPA-E Exchange at <https://arpa-e-foa.energy.gov>.”

ANSWER: The Concept Paper Template can be downloaded by clicking on the following link: <https://arpa-e-foa.energy.gov/FileContent.aspx?FileID=3ca805b8-4ac8-433c-96e3-e9e60a8da261>

Q37. My small company submitted an application to one of the "past" ARPA-E FOAs, we were awarded a seedling project for 12 months that was very useful in identifying things that have a chance of working and things that could not work at all. The project is now over. If we submit an application (a Concept Paper) to investigate the concepts that may work, will it be considered "responsive" to this ARPA-E OPEN FOA?

ANSWER: Since your project is “now over”, and if your proposed concept is not the same as your seedling project and is deemed compliant and responsive, it would be considered under the merit review criteria stated in Section V (Criteria) of the FOA. ARPA-E will review compliant and responsive concept paper submissions and provide feedback either encouraging or discouraging submission of a Full Application. Please see the response to Frequently Asked Questions L above.

Q38. What is the ceiling or cap for individual grants under DE-FOA-0001261?

ANSWER: Per Section II.A (Award Overview) of the FOA, individual awards may vary between \$1 million and \$10 million. ARPA-E will provide support at the highest funding level only for applications with significant technology risk, aggressive timetables, and careful management and mitigation of the associated risks.

Q39. After the Concept Paper deadline, what is the next deadline for the full proposal? After submitting the full-proposal, when will the first grant(s) be issued?

ANSWER: The FOA will be updated with information about Full Application submission requirements and timelines after the Concept Paper review process is complete. Anticipated award dates will be released in a future modification to the FOA.

Q40. I am an Assistant Professor in Computer Science at [**] University, and I am interested in submitting a collaborative proposal for OPEN 2015 with other faculty members here at [***University]. However, I am on an H1B Visa, and am wondering whether I am eligible to apply as part of a team or not. Section III.A.1 suggests that I am not eligible, but I wanted to confirm this.**

ANSWER: Per Section III.A.1 (Individuals) of the FOA, only U.S. citizens or permanent residents may apply to the FOA in their individual capacities. However, domestic educational institutions are eligible to apply for funding as a Standalone Applicant, as the lead organization for a Project Team, or as a member of a Project Team.

Q41. Does a complete Concept Paper submission consist of:

- 1 cover page
- 4 page narrative
- 1 page budget
- 1 page schedule

Do you have a template for the cover page? Where is it?

ANSWER: Please see Section IV.D (Content and Form of Concept Papers) FOA, for the content requirements for Concept Papers which includes the following sections: Concept Summary, Innovation and Impact, Proposed Work, and Team Organization and Capabilities. Concept Papers must not exceed 4 pages in length. If a Concept Paper exceeds 4 pages, ARPA-E will review only the authorized number of pages, beginning with the first page of the submission, and disregard any additional pages. The Concept Paper Template can be downloaded by clicking on the following link: <https://arpa-e-foa.energy.gov/FileContent.aspx?FileID=3ca805b8-4ac8-433c-96e3-e9e60a8da261>

A cover sheet is not required for the Concept Paper; therefore, ARPA-E has not included a separate template for a cover sheet.

V. Questions for week ending: JANUARY 30, 2015

Q42. Can you clarify the meaning of "Principal Investigator" for Concept Papers for OPEN 2015?

ANSWER: The Department of Energy Guide to Financial Assistance, most recently updated 05/23/2013, defines Principal Investigator as the "researcher, scientist or other individual designated by the recipient to direct the research and development aspects of the project."

Q43. Do I correctly understand that DOE will release the components for the full application in May 2015? When will DOE determine the deadline for the Full Application?

ANSWER: Per Section IV.E (Content and Form of Full Applications) of the FOA, the Full Application materials will be released in May 2015. During May 2015, the FOA will be updated with information about Full Application submission requirements and timelines after the Concept Paper review process is complete.

Q44. I have a question regarding the application process for the ARPA-E OPEN 2015 FOA. I represent a client, a small business in Virginia, which is looking to submit an application. I would like to know if there is any prohibition against an attorney filing an application on behalf of the client/applicant. I would serve only to prepare and file application documents on behalf of my client.

ANSWER: Concept Papers may be submitted by authorized agents of the submitting entity.

Q45. Is this FOA open to tribes?

ANSWER: Per Section III.A.2 (Domestic Entities) of the FOA, tribal government entities are eligible to apply for funding as a member of a project team, but not as a Standalone Applicant or as the lead organization for a Project Team.

Q46. Can Excel files/attachments be submitted for our cost, as well as word files?

ANSWER: No. Per Section IV.D (Content and Form of Concept Papers) of the FOA, Concept Papers may only be submitted in Adobe PDF format, and must also comply with the other content and formatting requirements outlined in that Section.

Q47. Is the Letter of Intent/interest to be submitted in the government template or can it be submitted as an attachment.

ANSWER: The Notice of Intent (NOI) must be submitted as instructed in the FOA. Instructions for submitting NOIs can be found in Sections IV.A.2 (Notices of Intent) and IV.C (Content and Form of

Notice of Intent) of the FOA. For instructions on the use of ARPA-E eXCHANGE, please see Section VI.I.1 (Use of ARPA-E eXCHANGE) of the FOA.

Q48. We have in mind a project to investigate [*** description of project], we wonder whether this project fits in Category 6: Building Efficiency, or some other guidance on the category we should choose would be appreciated.**

ANSWER: ARPA-E will not provide pre-submission guidance on which technical category to apply under. Applicants must select the appropriate category for their submissions in eXCHANGE. Please see the response to Frequently Asked Question L above for further information.

Q49. Is there any SBIR set-aside for this FOA or anything special that should be done for small businesses applying here?

ANSWER: No.

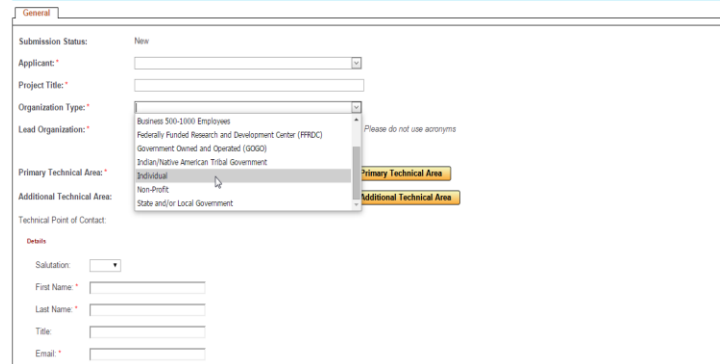
Q50. Would it be appropriate to propose a ** [description of project]. Is it advisable or even acceptable to include such non-technical objectives in the proposal?**

ANSWER: ARPA-E may not provide pre-submission guidance on what information applications should include in a Concept Paper submission. Please see Section IV.D (Content and Form of Concept Papers) of the FOA for information on the required content of a Concept Paper submission and the response to Frequently Asked Question L above.

Q51. I began to submit my notice of intent, but there is no option to apply as a "Stand Alone Applicant," as is described in the FOA ("U.S. citizens or permanent residents may apply for funding in their individual capacity as a standalone applicant, as the lead for a project team, or as a member of a project team."). How shall I apply? As a business <500?

ANSWER: In eXCHANGE, under "Organization Type" select "Individual" from the drop down menu.

NOTICE OF INTENT DETAILS FOR FOA #DE-FOA-0001261 OPEN 2015



The screenshot shows a web form titled "NOTICE OF INTENT DETAILS FOR FOA #DE-FOA-0001261 OPEN 2015". The form is divided into sections: "General" and "Details". Under "General", there are fields for "Submission Status" (set to "New"), "Applicant", "Project Title", "Organization Type", "Lead Organization", "Primary Technical Area", "Additional Technical Area", and "Technical Point of Contact". A dropdown menu is open for "Primary Technical Area", showing options: "Business 500-1000 Employees", "Federally Funded Research and Development Center (FFRC)", "Government Owned and Operated (GOO)", "Indian/Native American Tribal Government", "Individual", "Non-Profit", and "State and/or Local Government". There are also buttons for "Primary Technical Area" and "Additional Technical Area". Under "Details", there are fields for "Salutation", "First Name", "Last Name", "Title", and "Email".

Q52. Can I submit several proposals (different area or same area) by being PIs or co-PIs.

ANSWER: Please see the responses to Frequently Asked Questions J and K above.

Q53. Does Category 3 -I : Batteries –Transportation include battery management and control processes?

ANSWER: Battery management and control technologies should be included as part of Category 3.G: Power Electronics – Transportation.

Q54. Can a PI submit the same/modified and larger version of their proposal to the office of science funding opportunity DE-FOA-0001192 submitted last December (2014), which is pending review, to this announcement as well?

ANSWER: ARPA-E funds applied research and development. Per FOA Section I.E (Applications Specifically Not of Interest) of the FOA, applications for basic research aimed solely at discovery and/or fundamental knowledge generation are specifically not of interest and would be deemed non-responsive. An application submitted to the DOE Office of Science for basic research should not be submitted in response to this announcement unless it is significantly modified toward applied research and development.

Q55. The answer to some of your FAQ's is to consult "section III.C", "Compliant Criteria", "Applications Process Overview" and other specific terms or documents or headings. I cannot find any of these key words, even when I use the search field. What are the URL's to these references?

ANSWER: The cited portions of the FAQs refer to parts of the FOA. The most recent version of the FOA can be found on eXCHANGE at <https://arpa-e-foa.energy.gov> under the section for DE-

FOA-0001261 OPEN 2015, or at the following link (as of 02/06/2015): <https://arpa-e-foa.energy.gov/FileContent.aspx?FileID=2e35283c-8e79-4d80-b906-94c377e7f3c3>

Q56. Can you offer an approximate hurdle rate of quads of energy saved per year in the USA per \$1 million of total project costs for an applicant to judge if his project is reasonable?

ANSWER: No.

Q57. We are a [non-DOE GOGO laboratory] and are looking to team with one University and one industry partner and perhaps have the industry partner serve as the lead. Are there any restrictions or requirements that we need to be aware of? For example, is it okay for the [*non-DOE GOGO laboratory] to serve as a sub to an industry partner? Lastly, please address the matter of funds and how it would need to be administered assuming we were selected.**

ANSWER: ARPA-E will not provide a pre-submission assessments or guidance concerning potential teaming arrangements for project teams. Please review Section III.B.2 (Eligibility Information) of the FOA for information on entities which are eligible to apply to this FOA.

With regard to how ARPA-E would provide funds to a non-DOE GOGO, per Section II.B.2 (Funding Agreements with FFRDCs, GOGOs, and Federal Instrumentalities) of the FOA, Non-DOE GOGO/Agency support would be obtained via an Interagency Agreement between ARPA-E and that Agency, and provided as part of ARPA-E's standard substantial involvement in its funded projects. Please refer to Section II.B.2 of the FOA for further information.

VI. Questions for week ending: FEBRUARY 6, 2015

Q58. For ARPA-E funding opportunity no. DE-FOA-0001261, would a project on “nanostructure-catalyst” for fuel cell development be possible in the near future?

The proposed project would be a scale-up of a novel nano-structure catalyst. This would be a catalyst technology for reducing the cost of fuel cells specifically for transportation applications.

Please confirm if this concept could potentially be within the scope of the solicitation.

ANSWER: Please see the response to the Frequently Asked Question L above.

Q59. I would like to submit a proposal on one of the ARPA-E topics. I am not clear about the cost sharing requirement. We are a small business and are not planning to use cost sharing. Is the cost sharing mandatory for the application?

ANSWER: Please see the response to Frequently Asked Question R above. For more information on cost sharing, please see Sections III.B (Cost Sharing) and III.B.3 (Reduced Cost Share Requirement) of the FOA.

Q60. How much is the cost share rate for a small business applying as the prime recipient and partnering with two Universities?

ANSWER: Please see the response to Frequently Asked Question R above. For more information on cost sharing, please see Sections III.B (Cost Sharing) and III.B.3 (Reduced Cost Share Requirement) of the FOA.

Q61. We at the [***Lab] submitted a full proposal in September 2014 to the ARPA-E DELTA funding opportunity: DE-FOA-0001127. We have been given notification that we have not been successful in this call.**

As such, is it OK for us to proceed with submitting a Notice of Intent (and thereafter a Concept Paper) to the following grant call which is now open - DE-FOA-0001261?

ANSWER: Please see the response to Frequently Asked Question L above.

Q62. Since my project is about a new way of producing renewable energy, which FUND (Open 2015 or innovative development in energy-related applied science (IDEAS) is more appropriate for my project?

ANSWER: ARPA-E does not provide pre-submission assessments of Applicants' proposals to determine which funding opportunity is appropriate. Applicants must read each funding opportunity and determine the best fit for their proposal. Please see Section II.A (Award Overview) for more information on the distinction between the IDEAS and OPEN FOAs.

Q63. I am interested in submitting a proposal to CATEGORY 3: TRANSPORTATION Subcategory F: Transportation Management. I have a few questions. Is it possible to call you in the next couple of days?

ANSWER: Please see the responses to Frequently Asked Questions I and L above.

Q64. Are applicants required to obtain A DUNS NUMBER OR register with the System for Award Management (SAM) before submitting a notice of intent? Is either required with a concept paper?

ANSWER: No. The ARPA-E Funding Opportunity Exchange system does not require a DUNS number or SAM registration to submit a Notice of Intent, Concept Paper or Full Application. However, obtaining a DUNS Number and completing the SAM registration is required to receive an award under this FOA.

Q65. The FOA says that if FFRDCs do more than 80% of the work the total cost share will be 10%, and if small businesses do more than 80% of the work, then the total cost share will also be 10%. Will the cost share be 10% if an FFRDC does 50% of the work and a small business does 50% of the work?

ANSWER: To qualify for reduced cost share of 10%, domestic educational institutions, domestic nonprofits, small businesses and/or FFRDCs must perform greater than or equal to 80% of the total work under the funding agreement (as measured by the Total Project Cost). Therefore, if a team is comprised of an FFRDC and a small business, and those entities perform all the work on the project, that team would qualify for reduced cost share of 10%. Please see Section III.B.3 (Reduced Cost Share Requirement) for more information.

VII. Questions for week ending: FEBRUARY 13, 2015

Q66. In Section B (Application Forms) the FOA states that the forms for the SF-424, Budget Justification Workbook and the template for the Technical Volume of the Full Application and Summary Slide are available at <https://arpa-e-foa.energy.gov>. I have not been able to locate any templates either by clicking on the Manual icon at the website or doing a general search. Please advise where to find them.

ANSWER: Applicants can find the downloadable Template documents in the Required Application Documents section of the DE-FOA-0001261 Funding Opportunity Announcement on the ARPA-E Funding Opportunity Exchange website (<http://ARPA-E-FOA.energy.gov>). Click on the View Template Application Documents link to display the Template document links. After jumping to the OPEN 2015 section of the site, click on the link labelled View Template Application Documents to display the Template document links. Please note that additional templates will be added as the FOA process proceeds. Templates required for Full Applications will be uploaded after the submission deadline for Concept Papers. If you would like to view samples of the Full Application documents, please visit <http://arpa-e.energy.gov/?q=arpa-e-site-page/pre-award-guidance> and look under the Required Forms section.

VIII. Questions for week ending: FEBRUARY 20, 2015

Q67. I was trying to sign up and when asked to select the Country I am in, my Country was not in the list. Can I still apply?

ANSWER: Per Section III.A.1 (Individuals) of the FOA, only U.S. citizens or permanent residents may apply to the FOA in their individual capacities. However, Principal Investigators and other team members representing eligible, qualified institutions need not be U.S. citizens or permanent residents. Please see Section III.A (Eligible Applicants) of the FOA for more information on what entities are eligible to apply, and the response to Frequently Asked Question M above for information on foreign entities.

Q68. If a small business proposes a multi-year effort, but, for technical reasons identified within the first year, decides to terminate the effort in the first 12 months, will the 10% cost-share requirement for the multi-year effort be imposed or the 0% requirement for projects restricted to 12 months?

ANSWER: Per Section III.B.3 (Reduced Cost Share Requirement), if a recipient qualifies for the cost share grace period, the 10% cost share requirement becomes effective only if the project is not terminated during the first year. If the project continues beyond that time, the recipient will owe 10% of the total project cost, including the costs incurred during the grace period. If the project does not continue beyond one year, the recipient will not be required to contribute cost share. Please review the above-referenced Reduced Cost Share section of the FOA closely for more information.

Please see the response to Frequently Asked Question R above.

Q69. How are payments made to the Prime Recipient? Does the Prime submit monthly requests for cost reimbursement? Does the prime separate the incurred costs and cost share amounts on a monthly basis? Are any financial reports required during the effort? If so, what type of reporting is required and how frequently?

ANSWER: The payment process is described in Clause 25 (Payment Procedures) of Award Attachment 1 (Special Terms and Conditions), which can be found at on the ARPA-E website here: <http://arpa-e.energy.gov/?q=arpa-e-site-page/award-guidance>. It discusses the timing of payments and the requirements for invoicing cost share and Federal share. Attachment 4 (Federal Financial Assistance Reporting Checklist and Instructions), which can be found on the same page, details other reporting requirements with which Recipients must comply.

Q70. The FOA states that the proposer should "Clearly identify quantitative technical performance and cost targets for the proposed technology." Does "cost targets" refer to the business case for the proposed technology, or does it refer to the cost of the proposed effort?

Similarly, could you provide clarification as to what is meant by "techno-economic challenges?"

ANSWER: "Cost targets" in that sentence refer to the business case for the proposed technology, not the cost of doing the applied research and development. The phrase "techno-economic challenges to be overcome for the proposed technology to be commercially relevant" means a summary of the challenges that the technology will face if it is to become transformational and disruptive in the market that it is trying to enter. These challenges are likely to be technological with decisions driven by economics.

Q71. Will there be an informational webinar about DE-FOA-0001261 for applicants?

ANSWER: Per Section IV.A.8. (Mandatory Webinar) of the FOA, there will be a webinar for applicants selected for award negotiations within approximately one week of selection notification.

Q72. I have a question about the Concept Paper for this FOA. In the fillable Concept paper template the heading on the first page indicates that the Estimated Total Project Costs should be added. However, in the detailed instructions for preparing the Concept Paper in the FOA document, no request for estimated project costs is made. Which instruction document should I follow? Are the estimated costs for the project needed at this stage?

ANSWER: Use of the Concept Paper template is highly recommended, and applicants should include cost estimates in Concept Papers.

Q73. Section II. (Award Information) of the FAO indicates that "Individual awards may vary between \$1 million and \$10 million." Is it acceptable to submit a concept paper with a total project value of \$1 million which includes the required cost share, in our case 5%? In other words, the DOE share would be \$950,000 and applicant cost share would be \$50,000 for a total project cost of \$1,000,000?

ANSWER: Yes.

Q74. We are considering a project that would be completed within the one year time frame, which leads to the question of whether, as a small business, we would be responsible for any cost sharing on this project, and, if not, would such a project be less likely to be approved simply because no cost sharing would be required?

ANSWER: Per Section II.A (Award Information) of the FOA, the period of performance for awards under this FOA may not be less than 18 months, and may not exceed 36 months. For cost-share requirements for small businesses, please see Section III.B.3 (Reduced Cost Share Requirement) of the FOA.

Q75. I have a question regarding the concept paper template. One of the prompts states, “Discuss alternative approaches considered, if any, and why the proposed approach is most appropriate for the project objectives.” Should I interpret this as referring to “alternative research approaches to explore/develop the concept presented in this paper, and why the proposed plan is the best one for developing this concept”? Or should I interpret it to mean “alternative concepts considered, and why the proposed concept is the best one for achieving the FOA objectives”?

ANSWER: ARPA-E wants to understand why a given technical approach was chosen as well as other approaches which were considered and why they were ruled out. Given the broad objectives for Open 2015, applicants should focus on discussing why their proposed approach has the highest likelihood of meeting the final milestones that are proposed in the concept paper.

Q76. Will we be submitting a budget with the concept paper, or only with the full application?

ANSWER: Applicants are required to submit summary budget information for Concept Papers. Full budgets are required at the Full Application phase.

Q77. Can we submit the same concept paper to more than one funding call? In this case we are planning to submit to EERE Wide, EERE Incubator and ARPA-E OPEN?

ANSWER: ARPA-E will review compliant and responsive concept paper submissions. However, during the Full Application stage applicants will be required to fill out the Business Assurances & Disclosure Form. That form requires disclosure of any applications for the proposed project or related work pending with any Federal or non-Federal entity, and disclosure of any funding received for the proposed project or work in the same technology area as the proposed project. Please see Section 3 (Pending Sources of Funding) in the Business Assurances & Disclosure Form, which can be found here: <https://arpa-e-foa.energy.gov/FileContent.aspx?FileID=f5159903-9a7a-4f4b-87f7-3591d8cfcaee>. In the event a project is selected by more than one organization, you will only be eligible to receive funding from one source.

Q78. Principal Investigator (PI): Is it possible to have co-PI in a proposing organization?

ANSWER: Yes

Q79. An applicant plans to procure materials and system components from a foreign entity. To do so the applicant must specify to the supplier the materials to be used, and instruct the foreign entity in how to make the components. The applicant must communicate with the supplier on technical terms. The supplier will ask for non-standard special order fee from the applicant. In this case do we have to treat the supplier as "foreign research participants"?

ANSWER: ARPA-E will not provide pre-submission assessments or guidance concerning potential teaming arrangements for project teams. To the maximum extent practicable, any supplies or new equipment acquired under an ARPA-E award must be made or manufactured in the United States. Please see the response to Frequently Asked Question M above for information on foreign work.

Q80. Can a small business partner with a Canadian government owned energy company to get help with the manufacturing? All the federal dollars will be spent in the United States.

ANSWER: Please see the response to Frequently Asked Question M above and section III.A.3 (Foreign Entities) of the FOA. ARPA-E will not pre-assess an applicant's teaming arrangement for eligibility compliance.

Q81. Do we qualify as a For Profit Small Business?

ANSWER: Please see Section III.B.3 (Reduced Cost Share Requirement) of the FOA at Footnote 10 for a general definition of small businesses.

Q82. I submitted a Notice of Intent for FOA 0001261. I made a mistake in typing the title and I need to correct that. How do I do that?

ANSWER: The ARPA-E Funding Opportunity Exchange system allows applicants to change their project title in the Concept Paper phase and the Full Application phase of the submission process.

Q83. Did you delete Subcategory D (Hydro Energy) of DE-FOA-0001261?

ANSWER: No, Category 1, Subcategory D (Hydro Energy) is still listed in the FOA.

Q84. Can you confirm whether the Technical Point of Contact/Principal Investigator for the “Open 2015” solicitation needs to have a PhD?

ANSWER: A PhD is not required in order to be a Principal Investigator or member of a Project Team.

Q85. I am attempting to lead a project submission to the above FOA as a PI, and I have a question about eligibility. I am currently in a pending status for an LPR to be issued based on a successful Outstanding Researcher EB-1B visa.

Could you please advise if I can put in for the FOA or not as a PI?

ANSWER: ARPA-E may not provide pre-submission eligibility determinations. Per Section III.A.1 (Individuals) of the FOA, only U.S. citizens or permanent residents may apply to the FOA in their individual capacities. However, Principal Investigators and other team members representing eligible, qualified institutions need not be U.S. citizens or permanent residents. Please see Section III.A (Eligible Applicants) of the FOA for more information on what entities are eligible to apply, and the response to Frequently Asked Question M above for information on foreign entities.

Q86. I am inquiring as to whether or not applicants need to provide Institutional Approval (i.e. letter from University signing official) when submitting the Notice of Intent or the Concept Paper.

ANSWER: The ARPA-E Funding Opportunity Exchange system requires applicants submitting a Concept Paper or Full Application to certify that they are authorized to submit on behalf of the lead organization, but a letter is not required.

Q87. We would like to have a cover sheet to put in a “Notice of Restriction on Disclosure and Use of Data” (stated on page 38 of DOE-FOA-0001261). Is there any standard format for the cover sheet? Where can we get it?

ANSWER: There is no standard cover sheet. Please follow the instructions outlined in Section VIII.E. (Marking of Confidential Information) of the FOA when marking any confidential, proprietary, or privileged information. The cover sheet will not count against the page limit for Concept Papers unless it includes more information than what is specified in Section VIII.E. Only the first four pages of your Concept Paper submission will be reviewed.

Q88. Do the PI academic credentials (i.e. having a Ph.D. vs. decades of industry experience) bear on the application evaluation provided there is sufficient/significant expertise and credentials on the entire team?

ANSWER: ARPA-E will not provide a pre-submission assessments or guidance concerning potential teaming arrangements for project teams. Please see Section V.A.1 (Criteria for Concept Papers) for information on what criteria will be considered when reviewing Concept Papers.

Q89. We have submitted a Notice of Intent and are in the Concept Paper submission phase. We are a small business that will be subcontracting a large public university and a private research institute for certain phases of our project. Are there explicit and/or preferred minimum requirements for % effort on the part of the lead organization vs its subcontracted team organizations?

ANSWER: ARPA-E will not provide pre-submission assessments, guidance, or eligibility determinations concerning potential teaming arrangements and structures for project teams.

Q90. Can an Individual applicant be treated the same as a Small Business applicant, as regards the 12 month Cost Share Grace Period?

ANSWER: Individuals are eligible to apply for funding. See Section III.A. (Eligibility Information) of the FOA. However, any ARPA-E award funding would need to be made to a business entity formed by the Applicant, if selected for award negotiations. The Grace Periods are only available to small businesses.

Q91. In preparing my Concept Paper, I see there is a character limit for the Abstract. As I prepare my Concept Paper in Microsoft Word, it gives two figures for Character Count – Characters (no spaces) and Characters (with spaces). Which one should I use?



ANSWER: The Abstract field in the Concept Paper form in eXCHANGE has a limit of 4,000 characters including spaces.

Q92. Is it OK to embed URL links to citations or references into the text of PDF files for Concept Papers and Full Applications? Or should these links be footnoted?

ANSWER: ARPA-E does not have a preference for placement of URL links to citations or references. Note, however, that URL links may only be provided for citations or references, and may not be provided for additional substantive content. Concept Papers must conform to the content requirements described in Section IV.D (Content and Form of Concept Papers) of the FOA. Please also see the response to Frequently Asked Question 32 above for information on the length requirement for Concept Papers.

Q93. The published requirements for the organization of the Concept Paper are as follows: The Concept Paper must not exceed 4 pages in length including graphics, figures, and/or tables. Can the Technical Description be 4 pages long?

ANSWER: Concept Papers must conform to the content requirements and be submitted in the format described in Section IV.D (Content and Form of Concept Papers) of the FOA. If Applicants exceed the maximum page length, ARPA-E will review only the authorized number of pages and disregard any additional pages.

Q94. Can we request less than \$1 Million in funding? We would only seek \$200,000 if a 50% cost share is required.

ANSWER: The Total Project Cost, which includes Federal funding and cost share of an individual award, may vary between \$1 million and \$10 million. Please see Section II.A (Award Overview) of the FOA for more information.

Q95. Does technology for light collecting structures fit into CATEGORY 1: RENEWABLE POWER (NON-BIO); subcategory E: Solar-PV/CPV, or should the technology submissions under this Subcategory include solar PV/CPV?

ANSWER: The sub-category Solar-PV/CPV would include light collecting structures.

Q96. I am a civil servant that is currently working for [Government Agency]. My question is can I submit a response to this FOA as my own company, not affiliated with [Government Agency] or must I submit the response as a federal employee?

ANSWER: ARPA-E may not provide pre-submission eligibility determinations, and it may be appropriate for the applicant to discuss this issue with your Agency's legal counsel. Eligibility requirements for individual applicants are described in Section III.A.1 (Individual Applicants) of the FOA, and eligibility requirements for Domestic Entities are described in Section III.A.2 (Domestic Entities) of the FOA..

Q97. Is it acceptable to submit two concept papers differing in only who is the lead organization? There will be only one proposal, but the team organization is not tied down yet.

ANSWER: Per Section III.C.3 (Limitation on Number of Applications) of the FOA, ARPA-E is not limiting the number of applications that may be submitted by Applicants, provided that each application is scientifically distinct. Please see the responses to Frequently Asked Questions V, and W above for more information on modifying the Project Team at the Concept Paper and Full Application stages.

Q98. I am preparing a Concept Paper in response to the above referenced FOA number (DE-FOA-0001261). There are two important questions about the formatting of the document for which I need some clarification.

[1] Does the header information (Control Number, Lead Organization Name, PI Last Name) need to be included in the header of the title page?

[2] Does the title page count against the 4-page limit?

[3] Does the reference list count against the 4-page limit?

ANSWER: Please use the Concept Paper template provided in eXCHANGE, which does not include a title page. For a description of information to be included in the header, please see Section IV.D (Content and Form of Concept Papers) of the FOA. Note that only the first four pages of any Concept Paper submission will be reviewed. Please also see the response to Frequently Asked Question 32 above.

Q99. Is it permissible for the Principal Investigator to be employed by a team member other than the Lead Organization?

ANSWER: Yes.

Q100. Can you advise me as to which Category and Sub-Category is appropriate for my technology concept?

ANSWER: No. Applicants should choose the appropriate Category and Sub-Category for your submission based on the descriptions provided in Section I.D (Technical Categories and Subcategories of Interest) of the FOA.

IX. Questions for week ending: MAY 15, 2015

Q101. Will an environmental questionnaire be required for the full proposal? Normally an EQ is required but I don't see this as a requirement in the FOA.

ANSWER: Applicants are not required to complete an Environmental Impact Questionnaire (EIQ) at the Full Application stage. If selected for negotiations, Applicants will be required to complete an EIQ during that process. Please see Section VI.B.5 (Environmental Impact Questionnaire) of the FOA for more information.

X. Questions for week ending: MAY 22, 2015

Q102. The instructions say there is a mandatory webinar which we must participate in. When is this webinar, and how do we access it?

ANSWER: Per Section IV.A.8. (Mandatory Webinar) of the FOA, the webinar occurs after the Full Application submission, Review, and Selection processes have been completed. The webinar is only required for applicants whose projects have been selected for award, and will occur within approximately one week of the selection notification.

Q103. Can the budget for the full application exceed the one indicated on the concept paper?

ANSWER: Yes.

Q104. Will you be making a public list available of the ARPA-e Open applicants which received discourage and encourage responses?

ANSWER: No.

XI. Questions for week ending: MAY 29, 2015

Q105. I have a question in regards to the requirement that at least 5% of all federal funds must be spent on TT&O activities. Does this include the indirect costs associated with the TT&O activity? For example, if our budget will be \$1.9M in federal funds, of which only ~2/3rds will be direct costs due to our federally negotiated IDC rate, are we required to spend \$95K in direct costs, or in total (including the IDC)? If the latter, this would come out to ~\$63K in direct costs. And, how should this accounted for in the budget document?

ANSWER: Indirect costs may be allocated to direct expenses for TT&O activities, in accordance with an organization's indirect rate agreement or rates negotiated for an award with ARPA-E, and counted towards the TT&O spending requirement. Estimated direct TT&O expenses should be included in the Budget Justification Workbook/SF-424A on the Other Direct Costs Worksheet. Allocated indirect costs should be included on the Indirect Costs Worksheet. See Section IV.E.3 (Content and Form of Applications – Third Component: Budget Justification Workbook/SF-424A) for more information on completing the Budget Justification Workbook/SF-424A.

Q106. Per the FOA instructions, page 39: "Applicants are required to provide a single PowerPoint slide summarizing the proposed project. The slide must be submitted in Microsoft PowerPoint format". Can the slide be submitted in better protected PDF format instead?

ANSWER: No.

Q107. Are Applicants allowed to include a letter of support in the full proposal? We are aware that the technical volume has page limits, and no documents will be reviewed that are past the page limit. However, is it allowable to include letters of support as long as we do not exceed the page limit?

ANSWER: Yes. Letters of Support may be included in the Technical Volume or cited in the Technical Volume, but in both cases will count towards the stated page limitation for the Technical Volume. Note: Per Section IV.E (Content and Form of Full Applications) of the FOA, if Applicants exceed the maximum page limitation of 30 pages for the Technical Volume, ARPA-E will only review the authorized number of pages, starting with the first page and then each of the following 29 pages, and will disregard any additional pages.

Q108. Our team proposes to conduct extensive single cylinder research on an automotive technology. We propose to conduct all research on a single cylinder engine to save on time and costs. Does ARPA-E require final demonstration on full-scale automotive engine?

ANSWER: No, this is not required.

Q109. **Organization has been encouraged to submit a Full Application. As a Federally Funded Research and Development Center (FFRDC) and in accordance with the FOA, when a FFRDC is the lead organization for a Project Team, ARPA-E executes a funding agreement directly with the FFRDC and a single, separate Cooperative Agreement with the rest of the Project Team. Notwithstanding the use of multiple agreements, the FFRDC is the lead organization for the entire project, including all work performed by the FFRDC and the rest of the Project Team. Should **Organization's** application be selected for award, is it possible to receive a waiver for this requirement and allow full funding to come to **the Lead Organization**, where *the Organization in turn issues the agreements with our team members?**

ANSWER: No. Please see Section II.B.2 (Funding Agreements with FFRDCs, GOGOs, and Federal Instrumentalities) of the FOA for more information.

Q110. We plan to have a Canadian company with 120 employees in our project team. Are small businesses required to be domestically incorporated entities? Could a Canadian company with 120 employees be regarded as a small business?

ANSWER: ARPA-E will not provide a pre-award size determination for a small business. Please see 13 CFR 121.105 and the Small Business Administration (SBA) website for more information on how the SBA defines "business concern or concern." For information on foreign companies applying for ARPA-E awards, please see the responses to Frequently Asked Questions M and 19 above. Note that any foreign work is subject to ARPA-E approval.

Q111. The budget justification workbook for the full submission states that the current fringe rate agreement and current indirect cost rate agreement be included in the full application. Could you please tell me where these documents should be uploaded? They are signed PDF documents and cannot be appended to the budget justification workbook since it is in Excel.

ANSWER: Rate agreements can be embedded in a worksheet in the Budget Justification as pictures. However, if you are unable to include your rate agreements in the Budget Justification file for the Full Application, it can be submitted during negotiations if you are selected for award.

XII. Questions for week ending: JUNE 5, 2015

Q112. The FOA for OPEN-2015 says that a minimum of 5% of the federal funding must be spent on TT&O activities. It also says that project teams may not spend more than 5% without approval.

What is the margin for error on reaching _exactly_ 5% as is apparently required?

ANSWER: Per Section IV.H.8 (Technology Transfer and Outreach) of the FOA, recipients are required to spend at least 5% of Federal funds provided by ARPA-E on TT&O activities. Project Teams may not expend more than 5% of the Total Project Cost on TT&O activities without the prior approval of the Contracting Officer.

Q113. The Proposal Budget for DE-FOA-0001261 - OPEN FOA 2015 must be prepared at the Task level. When awarded, will the Non-Federal entity / Awardee be required to invoice at the Task level? If yes, will the requirement apply to both the federal share and cost share portions?

ANSWER: No. Per the Applicants' Guide to Award Negotiations with ARPA-E (http://arpa-e.energy.gov/sites/default/files/Award_Negotiations_Guide%20%20March%202015.pdf), Awardees must submit reimbursement requests by budget category (i.e. Personnel, Travel, etc.). Note that TT&O must be broken out into its own category for reimbursement requests. In addition, each invoice must include at least the cost share percentage of total expenditures incurred during the relevant billing period.

Q114. The PI would like to know how extensive/detailed the list of supplies should be. Her lab may use several chemicals at various amounts for one test. After reviewing ARPA-E's Budget Workbook guidance, she mentioned it would be impossible to determine how many bottles would be used for future tests at this point in time. Is there a way we can round up or state that various chemicals will be used for this task, and based on her professional experience, would cost "X" amount?

ANSWER: Applicants may employ any estimating technique or combination of techniques that produces fair and equitable results (e.g., bottom up, cost estimating relationship, parametric, and engineering estimates) . The basis for the estimate must be clearly stated and understood, with the data the applicant relied upon and judgments and interpretations made by the applicant documented in the estimate's working papers; available for review by ARPA-E at its request. If relying upon individuals' judgement to make an engineering estimate, the supporting data needs to include the individuals' qualifications so that ARPA-E can judge their abilities to make the estimate.

Q115. Who owns the equipment purchased during an ARPA-E funded project after completion of the project?

ANSWER: Per 2 C.F.R. § 910.360 (for-profit entities) and/or 2 C.F.R. § 200.313 (all other entities), the title of equipment purchased under any Federal award vests conditionally in the non-Federal entity. The non-Federal entity is required to use and dispose of the equipment pursuant to the requirements of those sections. Please review 2 C.F.R. § 910.360 (for-profit entities) and/or 2 C.F.R. § 200.313 (all other entities) closely for more information on the purchase, use, and disposal of equipment under Federal awards. Note that if any item of equipment has a fair market value of \$5,000 or more at the end of its use on Federal awards, the Recipient may be required to compensate the Federal Government for that percentage of the current fair market value of the real property or equipment that is attributable to the Federal participation in the project. See Clause 16 of Attachment 1 (Special Terms & Conditions) to ARPA-E's template Cooperative Agreement: <http://arpa-e.energy.gov/arpa-e-site-page/award-guidance#CooperativeAgreements>

Q116. Can travel be included in a recipient's General and Administrative calculation?

ANSWER: Each Recipient is responsible for determining its own cost policy, which is reflected in the Recipient's rate structure and corresponding rate agreement. If no such agreement exists, the Recipient will be required to draft and submit a rate proposal. For more information on rate proposals please see the ARPA-E Budget Justification/SF-424A Workbook Guidance (<https://arpa-e-foa.energy.gov/FileContent.aspx?FileID=7304a367-b708-4f47-be5e-650a7c12a72f>) and the Indirect Rate Proposal template, a link to which can be found here: <http://arpa-e.energy.gov/arpa-e-site-page/pre-award-guidance>.

Q117. In the Technical Volume, the template on the first page shows a box for the confidentiality; "Notice of Restriction on Disclosure and Use of Data ..." in the Executive Summary section. Does this box have to stay in the Executive Summary section therefore part of the one-page page limit, or could it be pushed to the following page?

ANSWER: Per the instructions outlined in Section VIII.E. (Marking of Confidential Information) of the FOA applicants must include the "Notice of Restriction on Disclosure and Use of Data" on the cover sheet of the Full Application (i.e., the "Executive Summary" of the Technical Volume template or on a separate cover sheet) when marking any confidential, proprietary, or privileged information. The cover sheet will not count against the page limit for Full Applications unless it includes more information than what is specified in Section VIII.E.

Q118. There is a high profile industrial partner that is interested in participating on our proposal, to validate the commercial potential of the technology we are proposing. Because this industry partner is high profile, even the suggestion of their participation in such a project to the public would compromise the company's business strategy. If this partner participates, is there a way in which the company's name is part of the proprietary information and not disclosed to the public?

ANSWER: Per Section VII.E (Marking of Confidential Information) of the FOA, ARPA-E uses data and information contained in Full Applications strictly for evaluation purposes. However, a company's name generally does not constitute a trade secret or business sensitive information. As such, it is unlikely that ARPA-E could withhold this information from public release if the Full Application is selected for award negotiations.

Q119. For general proprietary information listed in the proposal, what is the general protection that should be expected? For example, are there non-disclosure agreement-like protection in place for program managers, reviewers (in particular) and others who have access to the proposal?

ANSWER: Per Section V.B.1 (ARPA-E Reviewers) of the FOA, ARPA-E requires all reviewers to complete a Conflict-of-Interest Certification/Nondisclosure Agreement through which they disclose their knowledge of any actual or apparent conflicts and agree to safeguard confidential information contained in Concept Papers, Full Applications, and Replies to Reviewer Comments.

In addition, all ARPA-E employees and support contractors complete Conflict-of-Interest Certification/Nondisclosure Agreements. Finally, 18 U.S.C. § 1905 (The Federal Trade Secrets Act) criminalizes unauthorized disclosure of confidential information by government employees.

XIII. Questions for week ending: JUNE 12, 2015

Q120. We are preparing the technical volume of our full application, and have a question about the section 1.3 innovativeness. In the instruction, the third bullet point specifically asks "not (to) compare to other concepts not yet in practice". In our field - deepwater offshore wind - there have been only prototypes, and nothing has been installed yet for a commercial project. Would it be acceptable for us to compare to the other "state-of-the-art" prototypes, since there is nothing in commercial stage to compare? We hope to have a chance to explain the benefits of our approach over the other technologies aiming for the similar use/application.

ANSWER: Applicants should use their best judgment in determining an appropriate comparison based on the technical area of the application..

Q121. On page 33, line 5, the FOA states that the proposed technology should be compared to existing state of the art, and not to "other concepts not yet in practice." Our application is for a battery technology. Battery costs are known to be falling rapidly. Should the comparison of the projected cost of the proposed technology be made to today's costs for the state-of-the-art incumbent, or should this comparison be made to the projected future cost floor of the incumbent, as based on published cost analyses? The latter comparison is more relevant to answering the question "will it matter?" For a new technology, but it is in conflict with the FOA instructions.

ANSWER: Applicants should use their best judgment in determining an appropriate comparison based on the technical area of the application.

Q122. We are budgeting a piece of equipment necessary and dedicated to the project. If the manufacturer is willing to offer a substantial discount on the retail purchase price, can the discounted amount be used as third-party cost share? 2 CFR § 910.130 does not seem to exclude this.

ANSWER: Cost share contributions must be allowable, allocable and reasonable, as determined by the ARPA-E Contracting Officer. Since this is necessarily fact determinative inquiry, these types of questions are answered based on a review of all relevant information by the Contracting Officer during award negotiations. In general, to the extent that the discount is the difference between the price offered to the general public (which is not necessarily the manufacturer's suggested price) and

the price offered to the applicant, the difference can be used as cost share. The value must not exceed the fair market value of the property at the time of the donation.

Q123. If a university is performing all the intellectual work, but must buy

A. Electrical and mechanical parts, and

B. Machining and casting services, and a

C. Large piece of process equipment to create objects for exploratory analysis,

and the cost of "a" + "b" + "c" is greater than 25% of the total project cost, then is the university still considered to be performing more than 80% of the total project cost?

ANSWER: Total Project Cost is defined in the FOA as “the sum of the Prime Recipient share and the Federal Government share of total allowable costs. The Federal Government share generally includes costs incurred by GOGOs, FFRDCs, and GOCOs.” Per Section III.B.3 (Reduced Cost Share) of the FOA, for the purposes of determining cost share requirements work performed on an award is measured by portion of Total Project Cost. Therefore, if the costs of the above items are included in the University’s project costs, and that total amount is greater than or equal to 80% of the Total Project Cost, the University is still contributing 80%. If those items are part of another team member’s project cost, and that causes the University’s cost to fall below the 80% threshold, the University would not be considered to be performing at least 80% of the Total Project Cost.

Q124. I am a professor at [domestic education institution], and [domestic education institution] would be the prime recipient on an award under the open FOA. In our concept paper, we have included a startup company that we are planning as a potential team member. However, for some practical reasons, the startup company is still being planned and not established yet, and we may not be able to get this incorporated in time before the deadline (6/29/15).

We are wondering whether it is possible to have [domestic education institution] as the only recipient for the full application, and then subtract part of the task to the startup company at later stage, e.g., during the award negotiation period.

ANSWER: Yes. However, ARPA-E’s consent is required to add sub-recipients per 2 C.F.R. § 200.308(c)(6), and any sub-recipient must be found to be responsible by the Prime Recipient. Responsibility includes, among other things, a viable financial management system.

Q125. Our cost share partner would like to front load their cost share obligation in year 1 and reducing it in year 2. In other words they will provide more cost share in year 1 and not incremental over the life of the project award. Is this allowed?

ANSWER: The Prime Recipient is responsible for all award cost share obligations. See Clause 24 of Attachment 1 (Special Terms & Conditions) of the ARPA-E Cooperative Agreement, available at [http://arpa-e.energy.gov/arpa-e-site-page/award-guidance#Cooperative Agreements](http://arpa-e.energy.gov/arpa-e-site-page/award-guidance#Cooperative%20Agreements). In general the Prime Recipient is required to pay the cost share amount as a percentage of the total project cost in each invoice period for the duration of the period of performance. However, upon award the Prime Recipient may request advance written authorization from the ARPA-E Associate Director for Finance to pay the cost share amount on an alternate basis as mutually agreed upon by the Prime Recipient and ARPA-E.

Q126. We are a small business preparing a full application on a novel technology for energy application, which also can have dual military propulsion benefits. It appears that the US government has declared some related propulsion applications as export-controlled. This is the opinion of experts at our large-business partner, but our university partner attorney has a different opinion. In any case, to be on the safe side, will the review process be involving only us persons who are held to the level of confidentiality applicable to export-controlled data? On the full application, we may mark certain information as potentially export-controlled in addition to being proprietary information. How will this affect our review?

ANSWER No export controlled data or information should be included in the application and no additional documents of support that include export controlled data or information should be submitted to ARPA-E.

XIV. Questions for week ending: JUNE 19, 2015

Q127. The SF424 budget justification workbook is password protected. I have more than 8 tasks and need to add more lines. Can you make an unprotected version available?

ANSWER: Rather than providing an unprotected version of the SF 424 budget justification workbook, ARPA-E requests that you format your submission such that two or more of your tasks are identified as distinct subtasks under a single task heading – e.g., under Task 1 there might be Task 1.A and Task 1.B versus Task 1 and Task 2.

Q128. Can / should a contractor also be a “key personnel” on the Project Team?

ANSWER: Yes, it is possible for a Contractor to be a key person on the Project Team.

Q129. Can the majority of the 5% budgeted towards technology to market be used for paying a contractor with related expertise in such tech to market?

ANSWER: A contractor with a specialty in that area may receive TT&O funds. TT&O activities must be fully outlined and described in the budget, and are subject to ARPA-E approval during award negotiations. Please see Section IV.H.8 (Technology Transfer and Outreach) for more information on TT&O requirements under an award.

Q130. Can [a] service provided and paid for by a foreign institution, in this case the [foreign company] be counted as cost share?

ANSWER: Please see the response to Frequently Asked Question M above regarding foreign work. Requests to use foreign services as cost share may be subject to a waiver process outlined in Section III.A.3 (Foreign Entities) of the FOA.

Q131. On form SF-424, item 13, what is the competition identification number to fill in, if any?

ANSWER: You may leave the competition identification number blank.

Q132. We are preparing the (ARPA-E_111) budget justification worksheet, and have a few questions.

1. On the SF424a tab, what is the award number? Is it same as the control number?
2. For "c. Travel", is the only required travel the one to meet with ARPA-E program directors? Is it just once during the entire (30 months) project duration, or once for each year? If the former, which year would be the most appropriate to be included?
3. On "h. Other" about the TT&O expenses; how could we show the TT&O budget of a sub recipient who has less than 10% share?
4. On "h. Other" about the tt&o expenses; would "personnel costs to develop commercialization plan" be qualified as TT&O? The example #2 on the worksheet shows no, but it sounds it could be qualified as "work devoted to a commercialization plan" in ARPA-E_110 budget justification guidance (page 8 step 9).

ANSWER: You will only receive an award number if you are selected for award negotiations. The only required travel for awards is the meeting with the Program Directors, which must be done once

each year for the term of the award. In addition, travel to the annual ARPA-E Energy Innovation Summit must be proposed under the tab “h. Other” for each Budget Year as a TT&O activity. Please see the Budget Justification Workbook Guidance, available at <http://arpa-e.energy.gov/arpa-e-site-page/pre-award-guidance>, for additional information. If a sub-recipient whose portion of the project is less than 10% is providing TT&O funds, the Prime should list those items on its own Other Direct Costs tab. Per Section IV.H.8 (Technology Transfer and Outreach) of the FOA, documented work by salaried or contract personnel to develop technology-to-market models or plans is an allowable TT&O expenditure. All expenditures are subject to Federal cost principles and must be allowable, allocable, and reasonable. Per the Budget Justification Guidance Step 9, the TT&O dropdown in the budget workbook allows recipients to designate which costs are TT&O expenses. ARPA-E does not use this column to indicate its own determinations regarding TT&O expenditures.

Q133. Our Project Team consists of a small business (≥80%) and a domestic education institution (≤20%). In this circumstance, is the Project Team entitled to the one-year Cost Share Grace Period? I am aware that this grace period applies to a team with multiple small businesses, but the FOA PDF does not explicitly state anything about teams like ours, as described above.

ANSWER: No, only project teams comprised exclusively of small businesses are eligible for the grace period.

Q134. As the prime recipient, we are incorporating each of our sub-recipient’s costs into our sf-424a form. Per the guidelines of the SF-424a form, each sub-recipient is required to complete a budget justification workbook if their portion is greater than or equal to 10% of the total project cost. We have three sub-recipients that will meet this criterion. When we upload the SF-424a form for final submittal, we’re only able to upload one SF-424a file, which will be our (the prime recipient’s) SF-424a form. How do we upload/submit our three sub-recipient’s sf-424a forms as well?

ANSWER: Per Section IV.E (Content and Form of Full Applications) of the FOA:

Subrecipient information must be submitted as follows:

- Each Subrecipient incurring greater than or equal to 10% of the Total Project Cost must complete a separate Budget Justification workbook to justify its proposed budget. These worksheets must be inserted as additional sheets within the Prime Recipient’s Budget Justification.
- Subrecipients incurring less than 10% of the Total Project Cost are not required to complete a separate Budget Justification workbook. However, such Subrecipients are required to provide supporting documentation to justify their proposed budgets. At a minimum, the supporting

documentation must show which tasks/subtasks are being performed, the purpose/need for the effort, and a sufficient basis for the estimated costs.

Q135. What is ARPA-E's definition of a sub-recipient versus a subcontractor?

ANSWER: Please see 2 C.F.R. § 200.330 for factors applicable to determining whether an entity is a Subrecipients or Subcontractor.

Q136. If a sub-recipient makes up less than 10% of the budget, do they submit a separate form SF-424a so that the prime can put their hours and costs in the other tab of its workbook?

ANSWER: No. If a sub-recipient is contribution less than 10% of the Total Project Cost, they must be listed on the Contractual worksheet with a description of the Tasks they will be performing and a sufficient basis of estimated costs. Their hours do not need to be broken out separately. Please see Section IV.E.3 (Third Component: Budget Justification Workbook/SF-424A) for more information.

Q137. Question 105 and the referenced section IV.E.3 seem to provide conflicting information. Where should we denote the indirect costs associated with the TT&O? If we split them then the TT&O calculator on the other tab will only show the direct charges, which will not equal the total allocated amount (direct + indirect). Is there a place we should denote the total TT&O charges to denote our COMPLIANCE?

ANSWER: Please list all TT&O costs on the Other Direct Cost (ODC) tab. Each item should be clearly labelled, and indirect costs can be included on the ODC tab. If you list all TT&O on the ODC tab, please ensure that TT&O costs are not double-counted in other budget categories. If you are unable to pull the Indirect TT&O charges out of your calculated Indirect Cost total, please indicate the total amount of Indirect charges being contributed to TT&O in the notes sections of both the Indirect and ODC tabs

Q138. With regard to US patent costs related to technology which is the subject of the ARPA-E proposal, we have the following questions:

1) Does the ability to recover such patent expenses (either as a budgeted item in the proposal, or as a cost share item) relate only to patents which would be considered "subject inventions", i.e. created at least in part using the contract funding? OR

2) Can past US patent expenses (filing and prosecution expenses) for such technology be recovered, either as a budgeted item in the proposal, or as a cost share item? OR

3) If past expenses cannot be recovered as per question 2 above, can ongoing expenses, i.e. expenses that are incurred during the contract period, for patent prosecutions on such patents that have been filed prior to the contract period be recovered, either as a budgeted item in the proposal or as a cost share item?

ANSWER: Reimbursement for covered patent costs is only available for subject inventions disclosed to DOE under an award. Subject inventions are inventions conceived or first actually reduced to practice under an ARPA-E funding agreement. Please see Section IV.H.3 (Patent Costs) of the FOA for more information.

Q139. If a portion of a subcontract is to go toward TT&O activities, should this portion be omitted from the "contractual" budget tab and only shown in the "other" tab as TT&O contractual activities to avoid this amount being added twice to the summary budget?

ANSWER: Yes

Q140. We have received a sub-receipient workbook. The sheets are locked. I can't select or copy an entire worksheet or workbook. So we tried our own workbook and we can't select entire sheets or the workbook either. It is not just something the subcontractor did. What do you recommend so we can copy three workbooks into the same file?

ANSWER: To copy worksheets from one workbook to another workbook you must open both Workbooks in the same instance of Excel. To copy a worksheet right click the worksheet tab of the sub workbook, then select "Move or Copy ..." and select the Lead Org workbook in the "To book:" block. You can copy one worksheet at a time or multiple worksheets by holding the Shift key when you select the first and last worksheet to copy. You will have to rename each subcontractor worksheet to uniquely identify them in the Lead organization workbook.

Q141. I was reviewing the requirements for the SF-424 and there's the "FINANCIAL ASSISTANCE CERTIFICATIONS AND ASSURANCES FOR USE WITH SF 424" that is to be submitted with each application for financial assistance. Does this form apply to [Entity], which is a FFRDC? Any future award provided would be done via interagency agreement between DOE/ARPA-E and the FFRDC. FFRDC cannot accept Grants and the forms make references to "grants" and "grantees". I just want to verify the applicability of the form as I don't believe it applies to the FFRDC's submittal.

ANSWER: Per Section III.B.2 (Domestic Entities), FFRDCs are not eligible to apply for funding as a Standalone Applicant. When a Project Team includes an FFRDC, ARPA-E will enter into a single, separate Cooperative Agreement with the rest of the Project Team. Those entities entering the Cooperative Agreement should submit all applicable forms, including the SF-424 and the accompanying certifications. Please see Section II.B.2 (Funding Agreements with FFRDCs, GOGOs, and Federal Instrumentalities) of the FOA for more information.