QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

I. Frequently Asked Questions: 1

Q1. If I have questions about this funding announcement, who do I contact? 1

Q2. How will I receive a response to questions submitted to ARPA-E-CO@hq.doe.gov about this FOA? 1

Q3. Will ARPA-E post a response to every question submitted to ARPA-E-CO@hq.doe.gov? 1

Q4. If I have questions about ARPA-E Exchange, who do I contact? 1

Q5. Can a person be PI on one proposal and a co-PI on a second separate proposal? 1

Q6. May Applicants submit more than one Concept paper to this Funding Opportunity? 1

Q7. Are Applicants required to contact a program director before applying to this funding opportunity? 1

Q8. What qualifies as a large business? 1

II. Questions for week ending: October 11, 2013 2

Q9. Since there is no submission deadline, will the concept papers be reviewed on a rolling basis until the FOA closes? 2

III. Questions for week ending: October 18, 2013 2

Q10. Could someone please contact me to discuss our concept paper? 2

IV. Questions for week ending: November 1, 2013 2

Q11. For the open ideas solicitation, I would like to register for as an individual at the ARPA-E exchange in applicant registration. What should I write in the organization field? It is a "required field". 2

Q12. What are the rules for a project submitted by an individual for "cost share"? 2

Q13. Once we are selected for the funding, can we establish a small California corporation and bring/transfer the ARPA-E funding into new corporation? 3

Q14. We have filed for a patent on the new concept and would like to know if we can make provision for a patent attorney expenses in the budget. 3

Q15. I will be the team leader for the proposed project and my son who is a chemical engineering freshman at a reputed university is a co-inventor on the patent application. Can he work part time on the project and earn towards his tuition? Is any letter of permission needed from the university/department? 3

V. Questions for week ending: November 22, 2013 3

Q16. If selected for a grant under open ideas, will the federal government own any rights in a recipient's pre-existing intellectual property or international patents? 3

Q17. Should the format of the OPEN ideas concept paper be identical to the template (i.e. fill in the questions with answers) or written in a standard proposal as long as all the information required is present? 4

Q18. I submitted a concept paper. How long will it take for ARPA-E to review my concept paper and make a decision? 4

VI. Questions for week ending: November 29, 2013 4

Q19.A We are a small start up business with no assets for a loan, capital to make equipment purchases, or to perform work prior to reimbursement. Does your office have a solution for this issue? 4

VII. Questions for week ending: December 20, 2013 5

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

Q20. Can the proposed Grant start date be earlier than the Concept Paper Submission deadline of 9/26/14? 5

VIII. Questions for week ending: January 3, 2014 5

Q21.A Does ARPA-E maintain a website where anyone can obtain the number of grants awarded to date under the subject FOA, as well as a synopsis of any winning grant applications? 5

Q21.B Will grants be announced individually or in groups? 5

Q21.C Does ARPA-E have a projection on when the final grants might be awarded before the expiration date of September 26, 2014? 5

Q22. We have a US Patent which will improve commercial electric power plant efficiency and would like to discuss using this technology for ARPA funding. 5

IX. Questions for week ending: January 24, 2014 6

Q23. In reviewing the opportunity, it is unclear as to which Attachment 2 will be used for large businesses. Could the arpa-e provide guidance as to which attachment 2 would be used if ****** were to submit a proposal? 6

Q24. Can you tell me as to when the dark period [i.e., quiet period] starts after which we cannot contact the program director and How we contact the program director before we spend lot of efforts on the concept paper? 6

Q25. In the announcement, section III.A.3, it is written about Foreign entities. Can a foreign university apply for a project and also perform the work outside the United States if a waiver is granted by ARPA-E? 6

Q26. Dear colleagues, could you please clarify whether foreign organizations can participate in this FOA? ..6

Q27. Does the Concept Paper 4 page limit also include references? 7

X. Questions for week ending: March 7, 2014 7

Q28. Is this funding opportunity directed towards research or development? If a proposed project focuses on research already begun or developed by the applicant, can a proposal still be submitted? 7

Q29. Can any college institution apply? 7

Q30. What are the proposal requirements (instructions)? 7

Q31. If a large business is a part of a team, please confirm who on the project team is required to provide the required cost share? Is the large business required to cover the entire 5%, or can the project team provide this cost share as a whole? 7

Q32. I intend to submit a concept paper about a new kind of ****. I could not figure out which Program Director would be best to contact in order to discuss the concept before submitting it. can you please refer me to the appropriate program director? 8

Q33.A I am a PhD student at **** in the Mechanical Engineering department. In conjunction with my advising professor and other **** researchers, we believe we have an exciting new technology that is well suited for seed funding from the Open Ideas FOA. It is an offshoot of our current **** research but we are interested in basing a start-up on it, rather than submitting a university affiliated proposal since myself and the other relevant researchers are graduating. Is it advisable to wait until after our graduation and then apply after the formal incorporation of our business venture? 8

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

Q33.B Would it be possible to apply immediately with the formal incorporation taking place in the future, but prior to any potential grant award? 8

Q34. For planning purposes, what is the approximate time table from application to potential funding for this particular FOA? 8

Q35. I have partnered with **** from ****. We have conceptualized a device, called ****, summarized in the attached file. A major electrical company in ****, has already stated they will use the device upon its construction and operational testing. I'm confident that I can get a support letter from ****. What's your initial thoughts of our chances to receive grant funding based on our summary paper? 9

Q36. We are interested in submitting a concept paper to this FOA for addressing the ARPA-E's mission area 1-b "reductions of energy-related emissions, including greenhouse gases". The idea is about ****. However, it seems that our idea does not fall into any category or subcategory shown in Figure 3. Would ARPA-E consider such a concept under this FOA? 9

Q37. Is the required 5% cost share for large businesses part of the $500k award or in addition to the federal funding provided by ARPA-E? 10

XI. Questions for week ending: April 25, 2014 10

Q38. My small company is a sole proprietorship. Will ARPA-E provide funds under open ideas only to a corporation or will ARPA-E also provide funds to other business entities such as an LLC, S corporation, or sole proprietorship? 10

Q39. Will grants to large businesses resulting from this FOA look like a cooperative agreement? 10

Q40. It is mentioned under eligibility that "DOE/NNSA GOGOs are not eligible to apply for funding." We were hoping to have an **** researcher as a member of our team. Is this possible if they are not funded [by ARPA-E]? 10

Q41.A Must a FFRDC be part of a team submission? 10

Q41.B Would collaborating with a professor & students from **** university meet the teaming requirement for FFRDCs? 11

Q42. It does not appear from your searchable list of projects as though any have been awarded yet on OPEN IDEAS. Am I correct that none have been awarded? 11

Q43. I am considering applying to the Open Ideas Funding Opportunity No.: DE-FOA-0001002. Are there still funds available? 11

XII. Questions for week ending: May 9, 2014 11

Q44.A Can we make two different proposals of $500,000 each? 11

Q44.B Can we utilize open ideas funds to perform research outside of the united states and later demonstrate a technology in the united states? 11

Q44.C Can we utilize open ideas funds to commercialize, manufacture, and establish an export business in the united states 12

Q45. May a FFRDC submit a concept paper as a standalone applicant, or must it submit as part of a project team? 12

Q46. I'm a small business owner and intend to apply for the subject ARPA-E announcement. I plan to use my company as the primary recipient. However, since I am having difficulty enlisting a Principal Investigator

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

from university labs, I want to know if I can use a Ph.D. level engineer from a commercial enterprise ? The company I have in mind has all the engineering capabilities required as well as the research labs that would be required for my application. They have extensive experience with the Department of Defense as well..12

Questions for week ending: May 16, 2014.....12

Q47. How many OPEN bids have been awarded, and how much funding still remains.....12

in this program? 12

Q48. As a follow-up question to the answer to question 42 in the Open Ideas FOA 1002 FAQs, does that mean that only one award has been granted to date?.....12

XIII. Questions for week ending: July 11, 2014.....13

Q49. Are foreign individuals outside the United States eligible to apply to the OPEN IDEAS FOA?.....13

Q50 We are preparing two proposals to the IDEAS program. We would appreciate answers to several questions that will help us: 13

1. the online application e-form (which is accessed using the Apply button on the FOA website) specifies upload of an abstract, limit 4000 characters, describing the proposed project. Is that distinct from the 4-page concept paper itself?.....13

2. Once we complete the e-form and upload the abstract to it, there is a button 'create concept paper'. Once we do that, does it open a further shell into which we upload the actual concept paper?.....13

3. We have formed a substantial team for each project, and the team members will likely be willing to commit cost-sharing to the proposed project. Does the submission of the concept paper require formal sign-off approval from all team members, and formal commitments of cost-sharing, at the time of concept paper submission, or does that come if/when we are invited to submit a full proposal?.....13

4. Are there guidelines for content and format of the abstract and concept paper beyond what are contained in the announcement?.....14

XIV. Questions for week ending: July 18, 2014.....14

Q51. The FOA close date is Sep 26th, 2014. Does that close date define the latest we need to submit the concept paper? Full proposal? Or for the DoE to complete the evaluation?.....14

Q52. What is the policy of ARPA-E for ownership/licensing of intellectual property developed under this funding? 14

Q53. I'm a foreign individual (Spain citizen living in Spain). Am I eligible to participate as a Stand Alone or Team Member in this FOA? I'm eligible (foreign individual, Spain citizen living in Spain) if I team up with a USA individual or company? Can I be the lead of the Project Team? 14

Q54. My company is planning on submitting a concept paper for this FOA. In doing so, we will be putting together a team to manage the project responsibilities. Do we need to have a team finalized before submitting the concept paper, or can we submit the concept paper and then finalize the team?.....14

Q55. I am planning to write a concept paper on innovative development of mechanical energy harvesting with my post-doc. I am currently a green card holder and MY POST-DOC is CURRENTLY working UNDER A J1 VISA. Can I hire MY POST-DOC under the project if I receive the award based on my proposal? 15

XV. Questions for week ending: August 8, 2014 15

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

Q56. Our organization supports collaboration between domestic and foreign research institutions. We are currently looking into the possibility of supporting efforts by a foreign university (funded through a domestic source) to conduct research at the national institute of standards and technology (NIST) laboratory in Gaithersburg, MD. However after going through the Open IDEAS FOA, we have some general questions: .15

1. Is NIST a Government Owned Government Operated institute? If so, we assume that the foreign university would have to become the lead organization. Could ARPA-E Open Idea funds be used to carry out research at the NIST laboratory? 15

2. Foreign researchers will perform a substantial part of the research (funded by a domestic source) and therefore it would be necessary for them to travel between the United States and their Home institutions. Can ARPA-E Open Idea funds be used for traveling expenses between the United states and foreign countries, or is a waiver necessary in this case? 15

3. Has a waiver concerning traveling costs between two research institutions, one of which is located outside of the U.S., been approved in the past? If so, what are the requirements leading to the decision to fund these expenses? Could you also elaborate on the case of Dutch researchers traveling towards NIST? 16

4. Could advancing the energy density and charge/discharge rates of battery systems and related investigations be considered breakthrough and unconventional? Is exploring the possibility of applying to the Open Ideas foa worthwhile? 16

Q57. As we are approaching the final month of submission for Funding Opportunity No. DE-FOA-0001002 (OPEN IDEAS), our team was wondering how many grants have been awarded and how much of the $10M remains to be awarded. 16

When is the next OPEN IDEAS funding opportunity following the one that is currently closing 9/26/14? 16

Q58. I am a Mechanical Engineer from India and interested in applying to subject FOA but I wasn't too sure if I was eligible. I am an Indian citizen interested to apply for the same as an "Individual." Could you please let me know the possibility of an international applicant being chosen under the open ideas FOA? ..16

XVI. Questions for week ending: August 15, 2014 16

Q59. Is there a preferred system of engineering units such as Metric or English for a Concept Paper? 16

Q61. Our company has an idea for a proposal and is considering writing a concept paper. I am writing to ask if there is still funding available since the submission deadline is next month? 17

Q62. On behalf of my firm, I am interested in submitting a white paper to this FOA on a revolutionary concept for co-generation in the home which would reduce carbon foot-print significantly. However, I have seen this FOA open for a significant amount of time. We are wondering if the FOA is past its prime and all the important white papers for this year have already been submitted and accepted, Or are you still actively soliciting new white papers? Please give us a sense of this. We are very interested in submitting. 17

XVII. Questions for week ending: August 22, 2014 17

Q63. Can non-traditional and innovative experimental techniques also be characterized as transformational in accordance to ARPA-E open IDEAS or does the opportunity focus on new battery systems (based on new materials)? 17

Q64. Could advancing the energy density and charge/discharge rates of liquid lithium-ion battery systems and investigations to advance the electrolyte of lithium-ion batteries be considered breakthrough and unconventional idea that would be funded? 17

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

Q65. We are Exploring Battery behavior in a way that may involve technologies partially covered by other, previous ARPA-E programs. Could you give an example as to a battery-related research that could fall into the scope of the Open IDEAS program? 18

Q66. I was preparing a concept paper to submit prior to the original close date of the FOA (September 26, 2014). Do i still need to submit my concept paper before the original close date? 18

XVIII. Questions for week ending: August 29, 2014 18

Q67. Is there a limit to the percentage of work that a prime recipient may delegate to a sub-recipient or contractor? 18

XIX. Questions for week ending: September 5, 2014 18

Q68. What criteria will be used to evaluate a waiver for Dutch researchers traveling expenses to the U.S. to assist critical parts of the research? Also, Is it possible to use ARPA-E's funds for Dutch researchers working within the U.S. territories? 18

XX. Questions for week ending: September 12, 2014 18

Q69. The Concept Paper Template for this FOA contains the following instructions: "Write brief abstract (1-3 sentences, 4000 characters or less)…". Should the abstract within the Concept Paper be limited to 1-3 sentences or to 4000 characters? The two limits do not seem to be consistent with each other. 18

Q70. I would like to clarify submission dates for concept papers. I believe there was an amendment sent out with close date 9-28-14, is that correct? 18

XXI. Questions for week ending: September 19, 2014 19

Q71. I have an interest in responding to DE-FOA-0001002, and submitting a concept paper to describe my new idea: ****. In the concept paper template, however, it said that I need to mention the name of any ARPA-E contact spoken to about the proposed concept prior to applying. Should I call someone in this office and orally discuss my idea prior to my submission? 19

XXII. Questions for week ending: September 26, 2014 19

Q72. On your website it is written: 19

REQUIRED APPLICATION DOCUMENTS 19

Pursuant to the FOA, Applicants are required to submit the "Required Application Documents" with their Application. Incomplete applications will not be reviewed or considered. 19

FOA Documents 19

- IDEAS FOA - Concept Papers - MOD 002 - 08.28.2014 19
- 20131204_IDEAS_FOA_-_Concept_Papers_Mod_001 19

These documents are but the FOAmod 1 and FOAmod 2. Do you expect me to simply upload these as part of the application? 19

Q73. Does the 4 page maximum for the abstract INCLUDE team member bios? 19

Q74. According to a recent announcement. ARPAe suddenly cut off funding for part or all of their INNOVATIVE DEVELOPMENT IN ENERGY-RELATED APPLIED SCIENCE funding program. My colleagues and I worked very hard on this project for months and now it seems all of our work will have been wasted despite the national security and energy security value of our low energy nuclear reactor that can replace dangerous nuclear fission reactors in nuclear submarines and civilian power plants with

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

nonradioactive aneutronic fusion. The Department of Energy had a website describing the funding program that was widely publicized as funding possible disruptive energy technologies. That was removed from the web recently. I think that somebody is deliberately suppressing low energy nuclear reactor research at a time when both Science and Nature the two most important scientific journals have expressed support for low energy nuclear reaction (LENR) research. Please contact me and tell me why LENR was defunded from the IDEAS program? 20

Q75.A The concept paper contents and formatting instructions explicitly states charts, graphs and figures are allowed to be included in the four page concept papers, but do not explicitly or implicitly addresses if 8.5" x 11" size drawings were or were not allowed to be included in and submitted as part of and with the concept paper? It is my assumption that such 8.5" x 11" size drawings sheets are allowed to be included in and submitted with and as part of the concept paper submittal. Please provide clarification and confirmation on this question. 20

Q75.B For any submitted drawings sheets, are the drawings sheets letters fonts size and type required to be black 12 point Times New Roman font? 20

Q75.C The provided FOA DE-FOA-0001002 template header and footer letters font size and type is 11 point Times New Roman font. Should the template header and footer letters font size be increased to 12 point Times New Roman font? Is it required to change the header and footer font size to 12 point? 20

Q75.D If a drawing sheet is included in and is part of the concept paper submittal is this drawing sheet required to have the same specified minimum one inch around the paper page it is being submitted on, or is it allowed to cover and fill the entire paper page without any margins restrictions or specifications? 21

XXIII. Questions for week ending: October 10, 2014 21

Q76. I am in the process of applying for the IDEAS FOA as an individual, but I will be working with ****. One of the program directors at **** wanted me to confirm with you that I can submit an application as an individual with the **** staff as team members. He was under the impression that the **** [organization, not individual] had to be the primary project leader as an institution. Can you confirm that I can submit this as an individual? 21

Q77. Our technology is disruptive, scalable and satisfies the general topic, but it also crosses more than one subcategory boundary (i.e. 1.1 and 1.2 of mechanical). Does this represent a potential disqualification if we identify multiple benefits that derive from one technology? 21

Q78. While the deadline for concept submission is clear and that an official application must await invitation is also understood, there is no discussion of the timeline from application to funding if awarded. 21

Q79. We have been working on our innovation for 8 years and will continue our progress. Is there some benchmark of development above which, if reached after application and before funding, we would be disqualified? Is there a level of development of our scientific knowledge or prototype work that will over qualify us or disqualify us? 21

Q80. What does FFRDC mean? 21

Q81. Does the award of a grant from ARPA-E prohibit us from applying for a follow up grant from any other agency as a Stage II or Stage III SBIR/STTR application with DOE, DOD, DOT, DOA, EPA? 22

Q82. Is there any requirement for academic institution involvement (such as for an STTR award)? 22

Q83. May I discuss the merit of the innovation with an ARPA-E examiner prior to concept letter or prior to application invitation? 22

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

XXIV. Questions for week ending: October 17, 2014 22

Q84. Is there any possibility of ARPA-E finding the appropriate team to facilitate further development of my suggested replacement technology for Fossil Fuel Power Plants? 22

Q85. I'm interested in a funding opportunity through ARPA-E and read that prior to submitting a concept paper I may be able to converse with the Program Director or Fellow to discuss our research concept and its potential responsiveness to the FOA. I'm wondering how I would go about contacting the appropriate person for that conversation? 22

XXV. Questions for week ending: October 24, 2014 22

Q86. We are thinking ahead in terms of applying for future ARPA-E funding in the open ideas category. I have found the template for the Concept Paper online, but it looks like any template for the full 30-page application is made available only to those who are asked to apply. Is that correct? 22

Is it possible for us to access a copy of the template for the full application, just to get a sense of what types of information are requested? 22

XXVI. Questions for week ending: October 31, 2014 23

Q87. A business partner currently has patent for a ***** [description of a technology]. We are seeking funding to research and develop the core technology for ***** [this technology]. 23

Could ARPA-E assist with this project? Could I talk to someone about it? 23

Q88. We have an investigator at our institution interested in an ARPA-E opportunity, and we have a question about the eligibility section of the FOA. The eligibility states that individual applicants must be U.S. citizens or permanent residents. However, our investigator would like to clarify if this means that the PI of a domestic entity must be a permanent resident or if that PI can be a non-U.S. citizen without permanent status. 23

Q89. Until recently, the IDEAS FOA (DE-FOA-0001002) was an open call with rolling review and selection of proposals. Now, the Concept Paper submission deadline has been extended by 1 year, and the full application submission deadline is TBD. Does this mean that Concept Paper and Full Proposal selection is no longer a rolling process? 23

XXVII. Questions for week ending: November 7, 2014 23

Q90. Do you still have funds available for Innovative Development in Energy-Related Applied Science (IDEAS)? 23

XXVIII. Questions for week ending: March 27, 2015 24

Q91. Question number 16 in the IDEAS FAQ states that "the Government would obtain rights in any inventions that are first conceived or first actually reduced to practice under an ARPA-E award." Could you please clarify what the term "actually reduced to practice" means in this context? Is this the same as in U.S. patent law? 24

Q92. Why does the Concept Paper template state the following: "Enter the name of any ARPA-E contact spoken to about the proposed concept prior to applying (if any)" ? 24

Q93. Is there any possibility that a topic in wind energy/turbines could be considered in this FOA? 24

Q94. Can IDEAS funding awards be used to purchase equipment to support research and development efforts? 24

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

Q95. Is an Applicant eligible for an IDEAS award if the Applicant has applied for other grants or funding with the Department of Energy? 24

Q96. If an Applicant is not encouraged to submit a full application through IDEAS or not selected for award negotiations after submitting a Full Application, can an Applicant submit concept papers in response to other ARPA-E FOAs? 25

Q97. What qualifies as a "Small Business"? 25

Q98. Is it possible to start charging costs to the project budget from the date of the award notification from ARPA-E, rather than the date the funding contract is signed, so that work on the project is not delayed? 25

Q99. Is it mandatory to outline each and every person besides the primary investigator who will be working on this project? The hiring of scientists and engineers to assist in the development of this new technology was being contemplated as an after the award acceptance step. 25

Q100. Will the cost of large scale manufacture beyond the prototype be necessary information to include in the concept papers? 26

XXIX. Questions for week ending: August 14, 2015 26

Q101. I am interested in submitting a Concept Paper to the IDEAS FOA. The current submission deadline - "close date" - is September 28, 2015. Does ARPA-E intend to extend the submission deadline for the IDEAS FOA for an additional year, as ARPA-E did last year? 26

I. FREQUENTLY ASKED QUESTIONS:

Q1. 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.

Q2. 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 "Frequently Asked Questions" section of ARPA-E's website. There are general FAQs and a FAQ page for each FOA.

ARPA-E will post responses on a weekly basis to any questions that are received.

ARPA-E will cease to accept questions approximately 5 business days in advance of the final submission deadline for this FOA. 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.

Q3. 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.

Q4. 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.

Q5. Can a person be PI on one proposal and a co-PI on a second separate proposal?

ANSWER: Yes, but the applications must be scientifically distinct from one another.

Q6. May Applicants submit more than one Concept paper to this Funding Opportunity?

ANSWER: Yes, but each Concept Paper submission must be scientifically distinct.

Q7. Are Applicants required to contact a program director before applying to this funding opportunity?

ANSWER: No.

Q8. What qualifies as a large business?

ANSWER: Large businesses are generally defined as domestically incorporated entities that do not meet the criteria established by the U.S. Small Business Administration's "Table of Small Business Size Standards Matched to North American Industry Classification System Codes" (http://www.sba.gov/content/small--business--size--standards).

II. Questions for week ending: OCTOBER 11, 2013

Q9. Since there is no submission deadline, will the concept papers be reviewed on a rolling basis until the FOA closes?

ANSWER: Yes. ARPA-E will review Concept Papers throughout the year on a rolling basis.

III. Questions for week ending: OCTOBER 18, 2013

Q10. Could someone please contact me to discuss our concept paper?

ANSWER: Prior to submission of a Concept Paper, potential Applicants for this FOA may contact the Program Director, via e-mail, that they believe is best qualified to discuss their specific research concept. Once a Concept Paper is submitted to the FOA, any communications regarding that submission must be through the Contracting Officer as specified in Section VII.A (Communications with ARPA-E) of the FOA. Potential Applicants may access Program Director biographies and e-mail contact information at http://arpa-e.energy.gov/?q=about/arpa-e-team/program-directors.

IV. Questions for week ending: NOVEMBER 1, 2013

Q11. For the open ideas solicitation, I would like to register for as an individual at the ARPA-E exchange in applicant registration. What should I write in the organization field? It is a "required field".

ANSWER: To complete the account registration form in the ARPA-E Exchange system you must select an organization type from the drop down menu in the “organization type” field. Applicants must scroll down in the drop down menu to view all available organization types to see and select the “individual” option.

Q12. What are the rules for a project submitted by an individual for "cost share"?

ANSWER: Although individuals may apply to the OPEN IDEAS FOA, ARPA-E will not award grants to individuals. In general, ARPA-E will provide funding to a business entity formed during award negotiations by the Applicant who applied in their individual capacity. In this example, the newly formed business entity would likely qualify as a small business, and therefore would not be required to provide cost share under the OPEN IDEAS FOA. Please see Section III.B (Cost Sharing) of the FOA for more information on cost share requirements for different types of entities.

Q13. Once we are selected for the funding, can we establish a small California corporation and bring/transfer the ARPA-E funding into new corporation?

ANSWER: This may be possible, depending on the specific circumstances, and would be subject to both the express authorization of the original applicant and the approval of ARPA-E.

Q14. We have filed for a patent on the new concept and would like to know if we can make provision for a patent attorney expenses in the budget.

ANSWER: ARPA-E will not reimburse entities for patent expenses incurred prior to selection for award negotiations. Please review ARPA-E's Budget Justification Workbook Guidance regarding the allowability of patent costs available at http://arpa-e.energy.gov/?q=arpa-e-site-page/pre-award-guidance.

Q15. I will be the team leader for the proposed project and my son who is a chemical engineering freshman at a reputed university is a co-inventor on the patent application. Can he work part time on the project and earn towards his tuition? Is any letter of permission needed from the university/department?

ANSWER: ARPA-E will not provide pre-submission assessments or feedback regarding an Applicant's proposed staffing plans or teaming structures.

V. Questions for week ending: NOVEMBER 22, 2013

Q16. If selected for a grant under open ideas, will the federal government own any rights in a recipient's pre-existing intellectual property or international patents?

ANSWER: In general, the Government does not obtain rights in a grantee's pre-existing intellectual property. However, the Government would obtain rights in any inventions that are first conceived or first actually reduced to practice under an ARPA-E award. More information on intellectual property requirements for ARPA-E awards can be found on ARPA-E's website: http://arpa-e.energy.gov/arpa-e-site-page/award-guidance.

Q17. Should the format of the OPEN ideas concept paper be identical to the template (i.e. fill in the questions with answers) or written in a standard proposal as long as all the information required is present?

ANSWER: ARPA-E strongly prefers that Applicants use the Concept Paper template provided on ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov/). Applicants that use other Concept Paper formats must include all information requested in ARPA-E's template Concept Paper and comply with Section IV.B (Content and Form of Concept Papers) of the FOA.

Q18. I submitted a concept paper. How long will it take for ARPA-E to review my concept paper and make a decision?

ANSWER: As stated in the FOA, ARPA-E will review Concept Papers throughout the year on a rolling basis. Under most circumstances, Applicants can expect to receive a notification regarding ARPA-E's determination to invite or not invite a Full Application submission within approximately 60 days after submission of a Concept Paper.

VI. Questions for week ending: NOVEMBER 29, 2013

Q19.A We are a small start up business with no assets for a loan, capital to make equipment purchases, or to perform work prior to reimbursement. Does your office have a solution for this issue?

ANSWER: In exceptional circumstances, ARPA-E may, at its discretion, reimburse the Prime Recipient on a prospective basis through Budget Plan Payments. All requests for Budget Plan Payments must be submitted in writing to the ARPA-E Associate Director for Finance and the support personnel designated by the ARPA-E Program Director. All Budget Plan Payment requests must be submitted by the Prime Recipient. Each request must be limited to a single quarter, unless otherwise authorized by the ARPA-E Associate Director for Finance.

Q19.B If I need to find a short term investor to front monies prior to reimbursement, are there requirements on how this must be done and limits to how much interest the investor can charge for the monies loaned?

ANSWER: ARPA-E is unable to provide potential OPEN IDEAS applicants financial or legal advice, though reimbursement by ARPA-E for interest on borrowings is limited by 48 CFR §205.20.

VII. Questions for week ending: DECEMBER 20, 2013

Q20. Can the proposed Grant start date be earlier than the Concept Paper Submission deadline of 9/26/14?

ANSWER: Yes. The OPEN IDEAS FOA has been issued by ARPA-E as a one-year pilot with a closing date Sept. 26, 2014. ARPA-E accepts Concept Papers and will award grants on a rolling basis under the OPEN IDEAS FOA for its entire duration. Concept Paper Applicants may be invited by ARPA-E to submit a Full Application, and that Full Application may be selected for an award. If selected, the applicant must then successfully complete award negotiations with ARPA-E. Please see the Preface and Section IV.A (Submission Process Overview) of the FOA for information on the submission process for the OPEN IDEAS FOA.

VIII. Questions for week ending: JANUARY 3, 2014

Q21.A Does ARPA-E maintain a website where anyone can obtain the number of grants awarded to date under the subject FOA, as well as a synopsis of any winning grant applications?

ANSWER: Yes. ARPA-E maintains a searchable database on its website where members of the public can view summaries of projects related to each FOA. ARPA-E will update its website to include information on grants resulting from the OPEN IDEAS FOA on a rolling basis. To search for ARPA-E projects or obtain additional information on specific projects, please visit the following URL: http://arpa-e.energy.gov/?q=projects/search-projects.

Q21.B Will grants be announced individually or in groups?

ANSWER: Depending on the timing of ARPA-E's selection decisions, awards may be announced by ARPA-E either individually or in groups.

Q21.C Does ARPA-E have a projection on when the final grants might be awarded before the expiration date of September 26, 2014?

ANSWER: September 26, 2014 marks the deadline to submit a Concept Paper, which is the first stage of the application process. Concept Paper Applicants may be invited by ARPA-E to submit a Full Application, which is the second stage of the application process, and that Full Application may be selected for award negotiations. If selected for award negotiations, the applicant must then successfully complete negotiations with ARPA-E before actual award is made. Thus, it is possible that ARPA-E will award grants after the Concept Paper submission deadline of September 26, 2014. Please see the Preface and Section IV.A (Submission Process Overview) of the FOA for information on the submission process for the OPEN IDEAS FOA.

Q22. We have a US Patent which will improve commercial electric power plant efficiency and would like to discuss using this technology for ARPA funding.

ANSWER: Please see the answer for Question 10.

IX. Questions for week ending: JANUARY 24, 2014

Q23. In reviewing the opportunity, it is unclear as to which Attachment 2 will be used for large businesses. Could the arpa-e provide guidance as to which attachment 2 would be used if **** were to submit a proposal?**

ANSWER: ARPA-E is in the process of finalizing template Grant provisions for awards under this FOA. Once the template Grant provisions are finalized, including Attachment 2 for Large Businesses, they will be posted to the ARPA-E website.

Q24. Can you tell me as to when the dark period [i.e., quiet period] starts after which we cannot contact the program director and How we contact the program director before we spend lot of efforts on the concept paper?

ANSWER: Please see Section VII (Agency Contacts) and the answer to Question 10.

Q25. In the announcement, section III.A.3, it is written about Foreign entities. Can a foreign university apply for a project and also perform the work outside the United States if a waiver is granted by ARPA-E?

ANSWER: Foreign entities are eligible to apply for funding. 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 needing to request a foreign work waiver to perform some work outside of the U.S. should review Section 4 of the Business Assurances Form.

Q26. Dear colleagues, could you please clarify whether foreign organizations can participate in this FOA?

ANSWER: Please see Section III.A.3 (Foreign Entities) of the FOA and the answer to Question 25 above.

Q27. Does the Concept Paper 4 page limit also include references?

ANSWER: Please see Section IV.B (Content and Form of Concept Papers) of the FOA.

X. Questions for week ending: MARCH 7, 2014

Q28. Is this funding opportunity directed towards research or development? If a proposed project focuses on research already begun or developed by the applicant, can a proposal still be submitted?

ANSWER: The OPEN IDEAS FOA is intended to support energy research that may lead to new ARPA-E programs to develop transformational and disruptive energy technologies. As stated in Section I.C of the FOA, ARPA-E welcomes the submission of all ideas that are innovative and have the potential to be impactful. This might include ideas for which preliminary research has already been performed, but for which further investigation is of interest to ARPA-E.

Q29. Can any college institution apply?

ANSWER: ARPA-E is authorized by statute to make awards to institutions of higher education as defined in Section 101(a) of the Higher Education Act of 1965 (20 U.S.C. 1001(a)). Please see Section III.A.2 of the FOA for eligibility of educational institutions.

Q30. What are the proposal requirements (instructions)?

ANSWER: For Concept Papers submissions, please review Section IV (Content and Form of Concept Papers) of the FOA available on ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov/). Those Concept Paper submissions that are invited to submit Full Applications will be provided specific proposal requirements which are very similar to all ARPA-E FOAs.

Q31. If a large business is a part of a team, please confirm who on the project team is required to provide the required cost share? Is the large business required to cover the entire 5%, or can the project team provide this cost share as a whole?

ANSWER: Each Project Team is free to determine how much each Project Team member will contribute towards the cost share requirement for large businesses. The amount contributed by individual Project Team members may vary, as long as the cost share requirement for the project

as a whole is met. Although the cost share requirement applies to the Project Team as a whole, the funding agreement requires the Prime Recipient to be responsible for the entire cost share and enforcing cost share obligations assumed by Project Team members in subawards or related agreements.

Q32. I intend to submit a concept paper about a new kind of **. I could not figure out which Program Director would be best to contact in order to discuss the concept before submitting it. can you please refer me to the appropriate program director?**

ANSWER: Applicants are expected to select the Program Director who is most appropriate to discuss their concept. If, after discussing your concept, a Program Director feels you may benefit from speaking with other Program Directors he or she may refer you to another Program Director. For more information on contacting Program Directors, please see the answer for Question 10.

Q33.A I am a PhD student at ** in the Mechanical Engineering department. In conjunction with my advising professor and other **** researchers, we believe we have an exciting new technology that is well suited for seed funding from the Open Ideas FOA. It is an offshoot of our current **** research but we are interested in basing a start-up on it, rather than submitting a university affiliated proposal since myself and the other relevant researchers are graduating. Is it advisable to wait until after our graduation and then apply after the formal incorporation of our business venture?**

ANSWER: ARPA-E does not provide pre-submission assessments or feedback regarding an Applicant's proposed teaming structure. Applicants must determine individually how to structure their project team and the timing of their Concept Paper submission.

Q33.B Would it be possible to apply immediately with the formal incorporation taking place in the future, but prior to any potential grant award?

ANSWER: Yes. However, please see the answers for Question 12 and 13.

Q34. For planning purposes, what is the approximate time table from application to potential funding for this particular FOA?

ANSWER: The following is an approximate timeline of the OPEN IDEAS application and award negotiations process:

- **Prior to Submission.** Prior to submitting a Concept paper to this FOA, Applicants may contact an ARPA-E Program Director to discuss their research concept.

- **Concept Paper Submission.** Applicants may submit Concept Papers at any time during the open period of the FOA.
- **Concept Paper Review.** Concept Papers will be subject to technical review by ARPA-E technical experts under established merit review procedures. Only the most technically meritorious concepts may result in an invitation from ARPA-E to submit a Full Application. ARPA-E expects to notify Applicants of its decision to invite or not invite a Full Application submission within 60 days of submission of a Concept Paper.
- **Full Application Invitation.** Selected Concept Paper Applicants will be invited to submit a Full Application.
- **Full Application Submission.** Invited Applicants must submit their Full Application within 45 calendar days from the date of ARPA-E's invitation.
- **Full Application Review and Selection for Award Negotiations**. ARPA-E carefully considers all information obtained through the application process and makes an assessment of each compliant and responsive Full Application consistent with established merit review procedures. ARPA-E will promptly notify Applicants of its determination to select or not select a Full Application for award negotiations within 90 days after submission of a Full Application.
- **Award Negotiations**. ARPA-E expects to execute funding agreements approximately 60 days after each notification of selection for award negotiations.

For more information on the OPEN IDEAS submission process, please see the answer to Question 20, the Preface, and Section IV.A (Submission Process Overview) of the FOA.

Q35. I have partnered with ** from ****. We have conceptualized a device, called ****, summarized in the attached file. A major electrical company in ****, has already stated they will use the device upon its construction and operational testing. I'm confident that I can get a support letter from ****. What's your initial thoughts of our chances to receive grant funding based on our summary paper?**

ANSWER: ARPA-E will not provide a pre-submission assessment of an Applicant's likelihood to receive funding under the OPEN IDEAS FOA. However, you may contact an ARPA-E Program Director to discuss technical aspects of your specific research concept. In addition, please see the answers to Questions 7, 10, and 28.

Q36. We are interested in submitting a concept paper to this FOA for addressing the ARPA-E's mission area 1-b "reductions of energy-related emissions, including greenhouse gases". The idea is about **. However, it seems that our idea does not fall into any category or subcategory shown in Figure 3. Would ARPA-E consider such a concept under this FOA?**

ANSWER: Please see the answer to Question 35.

Q37. Is the required 5% cost share for large businesses part of the $500k award or in addition to the federal funding provided by ARPA-E?

ANSWER: Cost share is calculated as a percentage of the Total Project Cost, which is the sum of the Prime Recipient share and the Federal Government share of total allowable costs. Thus, cost share contributions are provided by the Applicant, and are in addition to, the amount of Federal funding provided under the award.

XI. Questions for week ending: APRIL 25, 2014

Q38. My small company is a sole proprietorship. Will ARPA-E provide funds under open ideas only to a corporation or will ARPA-E also provide funds to other business entities such as an LLC, S corporation, or sole proprietorship?

ANSWER: Sole proprietorships (individuals) may apply to the OPEN IDEAS FOA, however, ARPA-E will not award grants to individuals. However, ARPA-E will provide funding to a business entity formed during award negotiations by the Applicant who applied in their individual capacity. In addition, ARPA-E will provide funds only to for-profit entities that are *incorporated*. Also, please see the answer to Question 12.

Q39. Will grants to large businesses resulting from this FOA look like a cooperative agreement?

ANSWER: Applicants may review ARPA-E's Model Grant template on ARPA-E's website at the following URL: http://arpa-e.energy.gov/arpa-e-site-page/award-guidance.

Q40. It is mentioned under eligibility that "DOE/NNSA GOGOs are not eligible to apply for funding." We were hoping to have an ** researcher as a member of our team. Is this possible if they are not funded [by ARPA-E]?**

ANSWER: ARPA-E will not provide pre-submission assessments regarding an Applicant's eligibility or proposed teaming structure. Applicants must determine individually how to structure their proposed project team and work with their proposed project team members to negotiate the terms of each member's participation. For more information on eligibility criteria, please see Section III.A.2 (Eligibility Information – Domestic Entities) of the FOA.

Q41.A Must a FFRDC be part of a team submission?

ANSWER: Please see Section III.A.2 (Eligibility Information – Domestic Entities) of the FOA.

Q41.B Would collaborating with a professor & students from ** university meet the teaming requirement for FFRDCs?**

ANSWER: ARPA-E will not provide pre-submission assessments regarding an Applicant's eligibility to receive funding or proposed teaming structure. Applicants must determine individually how to structure their project team. Please see Section II.B.2 (Award Information - Funding Agreements with FFRDCs, GOGOs, and Federal Instrumentalities) of the FOA for the definition of a Project Team and Section III.A.2 (Eligibility Information- Domestic Entities) of the FOA for eligibility information for FFRDCs.

Q42. It does not appear from your searchable list of projects as though any have been awarded yet on OPEN IDEAS. Am I correct that none have been awarded?

ANSWER: ARPA-E recently awarded one grant through the OPEN IDEAS FOA.

Q43. I am considering applying to the Open Ideas Funding Opportunity No.: DE-FOA-0001002. Are there still funds available?

ANSWER: Yes.

XII. Questions for week ending: MAY 9, 2014

Q44.A Can we make two different proposals of $500,000 each?

ANSWER: Applicants may submit more than one Concept Paper that requests up to $500,000 each. Each Concept Paper should address one concept. If submitting more than one Concept Paper, each Concept Paper submission must be scientifically distinct.

Q44.B Can we utilize open ideas funds to perform research outside of the united states and later demonstrate a technology in the united states?

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. Please see the answer to question 25.

Q44.C Can we utilize open ideas funds to commercialize, manufacture, and establish an export business in the united states

ANSWER: No. Funds provided under OPEN IDEAS grants must be expended solely on research and development efforts.

Q45. May a FFRDC submit a concept paper as a standalone applicant, or must it submit as part of a project team?

ANSWER: Please see the answer to Question 41.A.

Q46. I'm a small business owner and intend to apply for the subject ARPA-E announcement. I plan to use my company as the primary recipient. However, since I am having difficulty enlisting a Principal Investigator from university labs, I want to know if I can use a Ph.D. level engineer from a commercial enterprise ? The company I have in mind has all the engineering capabilities required as well as the research labs that would be required for my application. They have extensive experience with the Department of Defense as well.

ANSWER: The Principal Investigator may be employed by any type of entity or organization eligible to apply to the OPEN IDEAS FOA as a Standalone Applicant or as the lead organization on a Project Team. Please see Section III.A (Eligible Applicants) of the FOA for information on eligible applicants to the OPEN IDEAS FOA.

Questions for week ending: MAY 16, 2014

Q47. How many OPEN bids have been awarded, and how much funding still remains in this program?

ANSWER: Please see the response to Question 42 above. In addition, as stated in Section II.A of the FOA, ARPA-E expects to make approximately $10 million available for awards under the OPEN IDEAS FOA. Individual awards may not exceed $500,000.

Q48. As a follow-up question to the answer to question 42 in the Open Ideas FOA 1002 FAQs, does that mean that only one award has been granted to date?

ANSWER: Yes.

XIII. Questions for week ending: JULY 11, 2014

Q49. Are foreign individuals outside the United States eligible to apply to the OPEN IDEAS FOA?

ANSWER: No. Per Section III.A.1 of the FOA, only U.S. citizens or permanent residents may apply for funding in their individual capacity under the OPEN IDEAS FOA. For questions concerning foreign entities, however, please see the responses to Questions 25 and 26.

Q50 We are preparing two proposals to the IDEAS program. We would appreciate answers to several questions that will help us:

1. **the online application e-form (which is accessed using the Apply button on the FOA website) specifies upload of an abstract, limit 4000 characters, describing the proposed project. Is that distinct from the 4-page concept paper itself?**
   ANSWER: Yes. The online application e-form in eXCHANGE is distinct from the Concept Paper.

2. **Once we complete the e-form and upload the abstract to it, there is a button 'create concept paper'. Once we do that, does it open a further shell into which we upload the actual concept paper?**
   ANSWER: Yes. You will be able to upload a Concept Paper once clicking through the "Create Concept Paper" button.

3. **We have formed a substantial team for each project, and the team members will likely be willing to commit cost-sharing to the proposed project. Does the submission of the concept paper require formal sign-off approval from all team members, and formal commitments of cost-sharing, at the time of concept paper submission, or does that come if/when we are invited to submit a full proposal?**
   ANSWER: Applicants need only verify cost share commitments and the proposed Project Team when submitting a Full Application. While ARPA-E does not require Applicants to verify cost share commitments or Project Team members at the Concept Paper stage, ARPA-E nevertheless encourages Project Teams to negotiate potential cost sharing and teaming arrangements before submitting a Concept Paper to ARPA-E.

   In addition, please note the Prime Recipient under an OPEN IDEAS grant will be responsible for ensuring contribution of any negotiated cost share. As stated in Section III.B of the FOA:

   > *If cost sharing is required, the funding agreement makes the Prime Recipient responsible for paying the entire cost share and enforcing cost share obligations assumed by Project Team members in subawards or related agreements*.

4. **Are there guidelines for content and format of the abstract and concept paper beyond what are contained in the announcement?**
   ANSWER: Please refer to the FOA and these FAQs for all content and form questions. In addition, you may refer to the Concept Paper template available in ARPA-E eXCHANGE (https://arpa-e-foa.energy.gov/).

XIV. Questions for week ending: JULY 18, 2014

Q51. The FOA close date is Sep 26th, 2014. Does that close date define the latest we need to submit the concept paper? Full proposal? Or for the DoE to complete the evaluation?

ANSWER: Please see the response to Questions 20 and 21.C

Q52. What is the policy of ARPA-E for ownership/licensing of intellectual property developed under this funding?

ANSWER: Please see the response to Question 16 above.

Q53. I'm a foreign individual (Spain citizen living in Spain). Am I eligible to participate as a Stand Alone or Team Member in this FOA? I'm eligible (foreign individual, Spain citizen living in Spain) if I team up with a USA individual or company? Can I be the lead of the Project Team?

ANSWER: Please see the responses to Questions 25, 26, and 49.

Q54. My company is planning on submitting a concept paper for this FOA. In doing so, we will be putting together a team to manage the project responsibilities. Do we need to have a team finalized before submitting the concept paper, or can we submit the concept paper and then finalize the team?

ANSWER: Please see the third response under Question 50 above.

Q55. I am planning to write a concept paper on innovative development of mechanical energy harvesting with my post-doc. I am currently a green card holder and MY POST-DOC is CURRENTLY working UNDER A J1 VISA. Can I hire MY POST-DOC under the project if I receive the award based on my proposal?

ANSWER: Yes. Per Section III.A.1 of the FOA, individuals applying to the FOA in their personal capacity must be U.S. citizens or permanent residents. This requirement applies only to individual Applicants, not to other members of their research team.

XV. Questions for week ending: AUGUST 8, 2014

Q56. Our organization supports collaboration between domestic and foreign research institutions. We are currently looking into the possibility of supporting efforts by a foreign university (funded through a domestic source) to conduct research at the national institute of standards and technology (NIST) laboratory in Gaithersburg, MD. However after going through the Open IDEAS FOA, we have some general questions:

1. Is NIST a Government Owned Government Operated institute? If so, we assume that the foreign university would have to become the lead organization. Could ARPA-E Open Idea funds be used to carry out research at the NIST laboratory?

ANSWER: NIST is an agency of the United States Department of Commerce and is thus considered a "federal agency" for purposes of eligibility under the OPEN IDEAS FOA. Per Section III.A.2 of the FOA, "[f]ederal agencies and instrumentalities (other than DOE) are eligibile 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." Accordingly, in the scenario presented, a non-federal entity would be required to apply to the FOA as the lead organization of the Project Team which could include NIST. For information on the eligibility of foreign entities to apply to the FOA, please see Section III.A.3 of the FOA as well as the responses to Questions 25 and 44 above.

2. Foreign researchers will perform a substantial part of the research (funded by a domestic source) and therefore it would be necessary for them to travel between the United States and their Home institutions. Can ARPA-E Open Idea funds be used for traveling expenses between the United states and foreign countries, or is a waiver necessary in this case?

ANSWER: Foreign travel may be approved in limited circumstances, but the much broader use of OPEN IDEAS funds to reimburse travel expenses for foreign researchers to and from the United States would not likely be approved. Regarding work conducted outside the United States, in unique circumstances and with prior approval by ARPA-E (rarely granted), ARPA-E funds may be used for performance of project tasks outside of the United States. For additional information, please see the responses to Questions 25 and 44 above.

3. Has a waiver concerning traveling costs between two research institutions, one of which is located outside of the U.S., been approved in the past? If so, what are the requirements leading to the decision to fund these expenses? Could you also elaborate on the case of Dutch researchers traveling towards NIST?

ANSWER: Please see the response to subpart 2 of this question above.

4. Could advancing the energy density and charge/discharge rates of battery systems and related investigations be considered breakthrough and unconventional? Is exploring the possibility of applying to the Open Ideas foa worthwhile?

ANSWER: Potential Applicants are encouraged to discuss their ideas with an ARPA-E Program Director prior to submitting a Concept Paper to the FOA. For additional information, please see the response Question 10 above.

Q57. As we are approaching the final month of submission for Funding Opportunity No. DE-FOA-0001002 (OPEN IDEAS), our team was wondering how many grants have been awarded and how much of the $10M remains to be awarded.
When is the next OPEN IDEAS funding opportunity following the one that is currently closing 9/26/14?

ANSWER: Please see the ARPA-E web site Projects page (http://arpa-e.energy.gov/?q=projects%2Fsearch-projects&field_program_tid=896&field_project_state_value=All&term_node_tid_depth=All).

Q58. I am a Mechanical Engineer from India and interested in applying to subject FOA but I wasn't too sure if I was eligible. I am an Indian citizen interested to apply for the same as an "Individual." Could you please let me know the possibility of an international applicant being chosen under the open ideas FOA?

ANSWER: Please see the responses to Questions 25, 26, 44, 49 and 53 above.

XVI. Questions for week ending: AUGUST 15, 2014

Q59. Is there a preferred system of engineering units such as Metric or English for a Concept Paper?

ANSWER: ARPA-E prefers metric units, but this is not required.

Q61. Our company has an idea for a proposal and is considering writing a concept paper. I am writing to ask if there is still funding available since the submission deadline is next month?

ANSWER: Yes. In addition, please note ARPA-E recently issued a modification to the FOA extending the close date until September 28, 2015.

Q62. On behalf of my firm, I am interested in submitting a white paper to this FOA on a revolutionary concept for co-generation in the home which would reduce carbon foot-print significantly. However, I have seen this FOA open for a significant amount of time. We are wondering if the FOA is past its prime and all the important white papers for this year have already been submitted and accepted, Or are you still actively soliciting new white papers? Please give us a sense of this. We are very interested in submitting.

ANSWER: ARPA-E recently issued a modification to the FOA extending the close date until September 28, 2015. ARPA-E will continue to accept and review Concept Paper submissions on a rolling basis until September 28, 2015.

XVII. Questions for week ending: AUGUST 22, 2014

Q63. Can non-traditional and innovative experimental techniques also be characterized as transformational in accordance to ARPA-E open IDEAS or does the opportunity focus on new battery systems (based on new materials)?

ANSWER: The IDEAS FOA is intended to support energy research, and as stated in Section I.C of the FOA, ARPA-E welcomes the submission of all ideas that are innovative and have the potential to be impactful, not just ideas for new battery systems. For additional information, please see the response to Question 56, Subpart 4 above.

Q64. Could advancing the energy density and charge/discharge rates of liquid lithium-ion battery systems and investigations to advance the electrolyte of lithium-ion batteries be considered breakthrough and unconventional idea that would be funded?

ANSWER: Please see the response to Question 56, Subpart 4 above.

Q65. We are Exploring Battery behavior in a way that may involve technologies partially covered by other, previous ARPA-E programs. Could you give an example as to a battery-related research that could fall into the scope of the Open IDEAS program?

ANSWER: Please see the response to Question 56, Subpart 4 above.

Q66. I was preparing a concept paper to submit prior to the original close date of the FOA (September 26, 2014). Do i still need to submit my concept paper before the original close date?

ANSWER: No. ARPA-E recently issued a modification to the IDEAS FOA extending the close date until September 28, 2015. Concept Papers will be accepted through the new close date.

XVIII. Questions for week ending: AUGUST 29, 2014

Q67. Is there a limit to the percentage of work that a prime recipient may delegate to a sub-recipient or contractor?

ANSWER: No. Project Teams are free to determine the allocation of project work among team members.

XIX. Questions for week ending: SEPTEMBER 5, 2014

Q68. What criteria will be used to evaluate a waiver for Dutch researchers traveling expenses to the U.S. to assist critical parts of the research? Also, Is it possible to use ARPA-E's funds for Dutch researchers working within the U.S. territories?

ANSWER: Please see the response to Questions 25 and 56, subpart 2 above.

XX. Questions for week ending: SEPTEMBER 12, 2014

Q69. The Concept Paper Template for this FOA contains the following instructions: "Write brief abstract (1-3 sentences, 4000 characters or less)…". Should the abstract within the Concept Paper be limited to 1-3 sentences or to 4000 characters? The two limits do not seem to be consistent with each other.

ANSWER: The abstract of the Concept Paper should not exceed 1-3 sentences.

Q70. I would like to clarify submission dates for concept papers. I believe there was an amendment sent out with close date 9-28-14, is that correct?

ANSWER: Please see the response to Question 65 above.

XXI. Questions for week ending: SEPTEMBER 19, 2014

Q71. I have an interest in responding to DE-FOA-0001002, and submitting a concept paper to describe my new idea: **. In the concept paper template, however, it said that I need to mention the name of any ARPA-E contact spoken to about the proposed concept prior to applying. Should I call someone in this office and orally discuss my idea prior to my submission?**

ANSWER: Please see the response to Questions 7 and 56, Subpart 4 above.

XXII. Questions for week ending: SEPTEMBER 26, 2014

Q72. On your website it is written:

REQUIRED APPLICATION DOCUMENTS

Pursuant to the FOA, Applicants are required to submit the "Required Application Documents" with their Application. Incomplete applications will not be reviewed or considered.

FOA Documents

- **IDEAS FOA - Concept Papers - MOD 002 - 08.28.2014**
- **20131204_IDEAS_FOA_-_Concept_Papers_Mod_001**

These documents are but the FOAmod 1 and FOAmod 2. Do you expect me to simply upload these as part of the application?

ANSWER: No. Applicants only need to upload a completed Concept Paper to eXCHANGE.

Q73. Does the 4 page maximum for the abstract INCLUDE team member bios?

ANSWER: Yes.

Q74. According to a recent announcement. ARPAe suddenly cut off funding for part or all of their INNOVATIVE DEVELOPMENT IN ENERGY-RELATED APPLIED SCIENCE funding program. My colleagues and I worked very hard on this project for months and now it seems all of our work will have been wasted despite the national security and energy security value of our low energy nuclear reactor that can replace dangerous nuclear fission reactors in nuclear submarines and civilian power plants with nonradioactive aneutronic fusion. The Department of Energy had a website describing the funding program that was widely publicized as funding possible disruptive energy technologies. That was removed from the web recently. I think that somebody is deliberately suppressing low energy nuclear reactor research at a time when both Science and Nature the two most important scientific journals have expressed support for low energy nuclear reaction (LENR) research. Please contact me and tell me why LENR was defunded from the IDEAS program?

ANSWER: The entries in Figure 3 of the FOA are representative examples of technologies for converting among the various types of energies. The removal of low-energy nuclear reactions (LENR) from the examples listed under Nuclear-Chemical conversions in no way precludes concepts for innovative nuclear-chemical energy conversion being proposed to ARPA-E under IDEAS.

Q75.A The concept paper contents and formatting instructions explicitly states charts, graphs and figures are allowed to be included in the four page concept papers, but do not explicitly or implicitly addresses if 8.5" x 11" size drawings were or were not allowed to be included in and submitted as part of and with the concept paper? It is my assumption that such 8.5" x 11" size drawings sheets are allowed to be included in and submitted with and as part of the concept paper submittal. Please provide clarification and confirmation on this question.

ANSWER: Drawings that fit on 8.5 inch by 11 inch paper with margins no less than 1 inch may be included in the Concept Paper.

Q75.B For any submitted drawings sheets, are the drawings sheets letters fonts size and type required to be black 12 point Times New Roman font?

ANSWER: No. Figures and Tables are not required to use black 12 point Times New Roman font. Please see Section IV.B (Content and Form of Concept Papers) of the FOA.

Q75.C The provided FOA DE-FOA-0001002 template header and footer letters font size and type is 11 point Times New Roman font. Should the template header and footer letters font size be increased to 12 point Times New Roman font? Is it required to change the header and footer font size to 12 point?

ANSWER: Applicants do not need to adjust the font size of template documents provided by ARPA-E on eXCHANGE, such as the Concept Paper template.

Q75.D If a drawing sheet is included in and is part of the concept paper submittal is this drawing sheet required to have the same specified minimum one inch around the paper page it is being submitted on, or is it allowed to cover and fill the entire paper page without any margins restrictions or specifications?

ANSWER: Please see the response to Question 75.A above.

XXIII. Questions for week ending: OCTOBER 10, 2014

Q76. I am in the process of applying for the IDEAS FOA as an individual, but I will be working with **. One of the program directors at **** wanted me to confirm with you that I can submit an application as an individual with the **** staff as team members. He was under the impression that the **** [organization, not individual] had to be the primary project leader as an institution. Can you confirm that I can submit this as an individual?**

ANSWER: Please see FOA Section III. Eligibility Information.

Q77. Our technology is disruptive, scalable and satisfies the general topic, but it also crosses more than one subcategory boundary (i.e. 1.1 and 1.2 of mechanical). Does this represent a potential disqualification if we identify multiple benefits that derive from one technology?

ANSWER: No.

Q78. While the deadline for concept submission is clear and that an official application must await invitation is also understood, there is no discussion of the timeline from application to funding if awarded.

ANSWER: Please see the response for Question 34 above.

Q79. We have been working on our innovation for 8 years and will continue our progress. Is there some benchmark of development above which, if reached after application and before funding, we would be disqualified? Is there a level of development of our scientific knowledge or prototype work that will over qualify us or disqualify us?

ANSWER: There is no "benchmark" for this issue – the answer depends on the specific factual circumstances. In general, ARPA-E's mission is to accelerate transformational technological advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty, and to prepare those technologies for commercialization in the marketplace. Therefore, ARPA-E may not fund projects that overlap with prior or current efforts funded by public or private sources.

Q80. What does FFRDC mean?

ANSWER: Federally Funded Research and Development Centers (FFRDCs)

Q81. Does the award of a grant from ARPA-E prohibit us from applying for a follow up grant from any other agency as a Stage II or Stage III SBIR/STTR application with DOE, DOD, DOT, DOA, EPA?

ANSWER: Each Federal agency independently determines whether an applicant is eligible to receive funding.

Q82. Is there any requirement for academic institution involvement (such as for an STTR award)?

ANSWER: No.

Q83. May I discuss the merit of the innovation with an ARPA-E examiner prior to concept letter or prior to application invitation?

ANSWER: Please see the response to Questions 7 and 56, Subpart 4 above.

XXIV. Questions for week ending: OCTOBER 17, 2014

Q84. Is there any possibility of ARPA-E finding the appropriate team to facilitate further development of my suggested replacement technology for Fossil Fuel Power Plants?

ANSWER: No. It is the responsibility of the potential applicant to arrange for teaming partners (Sub Contractors) to be included in the project team.

Q85. I'm interested in a funding opportunity through ARPA-E and read that prior to submitting a concept paper I may be able to converse with the Program Director or Fellow to discuss our research concept and its potential responsiveness to the FOA. I'm wondering how I would go about contacting the appropriate person for that conversation?

ANSWER: Please see the response to question 83 above.

XXV. Questions for week ending: OCTOBER 24, 2014

Q86. We are thinking ahead in terms of applying for future ARPA-E funding in the open ideas category. I have found the template for the Concept Paper online, but it looks like any template for the full 30-page application is made available only to those who are asked to apply. Is that correct? Is it possible for us to access a copy of the template for the full application, just to get a sense of what types of information are requested?

ANSWER: The Full Application template is only provided to invited applicants. In general, the IDEAS Full Application template requests that same types of information that applicants normally provide under ARPA-E's other FOAs. For an example, please visit eXCHANGE and download a copy of the Full Application template for targeted FOAs available at https://arpa-e-foa.energy.gov/.

XXVI. Questions for week ending: OCTOBER 31, 2014

Q87. A business partner currently has patent for a *** [description of a technology]. We are seeking funding to research and develop the core technology for ***** [this technology]. Could ARPA-E assist with this project? Could I talk to someone about it?**

ANSWER: Please see the response to Questions 7 and 56, Subpart 4 above.

Q88. We have an investigator at our institution interested in an ARPA-E opportunity, and we have a question about the eligibility section of the FOA. The eligibility states that individual applicants must be U.S. citizens or permanent residents. However, our investigator would like to clarify if this means that the PI of a domestic entity must be a permanent resident or if that PI can be a non-U.S. citizen without permanent status.

ANSWER: In the situation specified above, the institution that employs the PI is considered by ARPA-E to be the Applicant. Therefore, applicants should review Section III.A (Eligibility) of the FOA for eligibility information specific to organization type (e.g., domestic entity, foreign entity, etc).

Q89. Until recently, the IDEAS FOA (DE-FOA-0001002) was an open call with rolling review and selection of proposals. Now, the Concept Paper submission deadline has been extended by 1 year, and the full application submission deadline is TBD. Does this mean that Concept Paper and Full Proposal selection is no longer a rolling process?

ANSWER: ARPA-E will continue to receive and review Concept Papers and invited Full Applications on a rolling basis.

XXVII. Questions for week ending: NOVEMBER 7, 2014

Q90. Do you still have funds available for Innovative Development in Energy-Related Applied Science (IDEAS)?

NSWER: Yes.

XXVIII. Questions for week ending: MARCH 27, 2015

Q91. Question number 16 in the IDEAS FAQ states that "the Government would obtain rights in any inventions that are first conceived or first actually reduced to practice under an ARPA-E award." Could you please clarify what the term "actually reduced to practice" means in this context? Is this the same as in U.S. patent law?

ANSWER: The term is "first actually reduced to practice." It is included in the definition of subject inventions, as required by 35 USC § 201 (e) in awards to small businesses, non-profits and universities and by 42 USC § 5908 (m)(3) in awards to large businesses and foreign entities. When an invention has been first actually reduced to practice is determined by U.S. Patent Law.

Q92. Why does the Concept Paper template state the following: "Enter the name of any ARPA-E contact spoken to about the proposed concept prior to applying (if any)" ?

ANSWER: ARPA-E encourages - but does not require - potential applicants to discuss their concept with an ARPA-E technical expert before submission. Knowing the person at ARPA-E who was contacted will help facilitate review of the paper by ARPA–E technical experts.

Q93. Is there any possibility that a topic in wind energy/turbines could be considered in this FOA?

ANSWER: Potential Applicants are encouraged to discuss their ideas with an ARPA-E Program Director prior to submitting a Concept Paper to the FOA. For additional information, please see the response Question 10 above.

Q94. Can IDEAS funding awards be used to purchase equipment to support research and development efforts?

ANSWER: Yes, if the equipment purchased 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. *Cost principles applicable to for-profit entities are set forth at 48 CFR Part 31.2, and for all other entities at 2 CFR Part 200, Subpart E.*

Q95. Is an Applicant eligible for an IDEAS award if the Applicant has applied for other grants or funding with the Department of Energy?

ANSWER: ARPA-E will review compliant and responsive concept paper submissions. However, applicants that are invited to submit a Full Application 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.

Q96. If an Applicant is not encouraged to submit a full application through IDEAS or not selected for award negotiations after submitting a Full Application, can an Applicant submit concept papers in response to other ARPA-E FOAs?

ANSWER: Applicants should not make submissions to other ARPA-E FOAs that are identical to a concept that was not invited to submit a Full Application or not selected for award negotiations under IDEAS. Applicants should also review the "Applications Not of Interest" section of a specific FOA for information on the types of submissions that will be deemed by ARPA-E as nonresponsive for a particular FOA.

Q97. What qualifies as a "Small Business"?

ANSWER: Small businesses are generally defined as domestically incorporated entities that meet the criteria established by the U.S. Small Business Administration's (SBA) "Table of Small Business Size Standards Matched to North American Industry Classification System Codes" (NAICS) (http://www.sba.gov/content/small-business-size-standards). Normally, companies with under 500 employees qualify as small businesses.

Q98. Is it possible to start charging costs to the project budget from the date of the award notification from ARPA-E, rather than the date the funding contract is signed, so that work on the project is not delayed?

ANSWER: Upon selection for award negotiations, Applicants may incur pre-award costs at their own risk, consistent with the requirements in 2 C.F.R. Parts 200 and 910 and other applicable Federal laws and regulations. ARPA-E generally does not accept budgets as submitted with the Full Application because proposed technical milestones are edited/negotiated by ARPA-E which results in changes to the overall budget. ARPA-E is under no obligation to reimburse pre-award costs if, for any reason, the Applicant does not receive an award or the award is made for a lesser amount than the Applicant expected, or if the costs incurred are not allowable, allocable, or reasonable.

Given the uncertainty of award negotiations, it is strongly recommended that Prime Recipients and sub-recipients consult with the Contracting Officer before incurring any pre-award costs.

Q99. Is it mandatory to outline each and every person besides the primary investigator who will be working on this project? The hiring of scientists and engineers to assist in the development of this new technology was being contemplated as an after the award acceptance step.

ANSWER: Applicants should include the name of the Principal Investigator and information regarding any key team members in a Concept Paper submission. Please see the Concept Paper template available on ARPA-E's eXCHANGE website (https://arpa-e-foa.energy.gov) for more information.

Q100. Will the cost of large scale manufacture beyond the prototype be necessary information to include in the concept papers?

ANSWER: No. Please see the Concept Paper template available on ARPA-E's eXCHANGE website (https://arpa-e-foa.energy.gov) which includes ARPA-E's recommended content for Concept Paper submissions for the IDEAS FOA. Responding to each question in the template ensures that each Applicant's concept is presented in a manner that can be efficiently evaluated by ARPA-E. Applicants that use alternative Concept Paper formats should ensure that their submission includes responses for all requested information in the Concept Paper template and complies with the requirements listed above.

XXIX. Questions for week ending: AUGUST 14, 2015

Q101. I am interested in submitting a Concept Paper to the IDEAS FOA. The current submission deadline - "close date" - is September 28, 2015. Does ARPA-E intend to extend the submission deadline for the IDEAS FOA for an additional year, as ARPA-E did last year?

ANSWER: Yes. Next month ARPA-E plans to issue a modification to the IDEAS FOA extending the close date until September 30, 2016, subject to appropriations.