

## QUESTIONS AND ANSWERS

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## 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](mailto: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](mailto:ARPA-E-CO@hq.doe.gov).

**F. How will I receive a response to questions submitted to [arpa-e-co@hq.doe.gov](mailto: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](mailto: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](mailto: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](mailto: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](mailto: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 AND ANSWERS:**