Project Management Overview, and Lessons Learned

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ARPA-E PROJECT MANAGEMENT & REPORTING REQUIREMENTS

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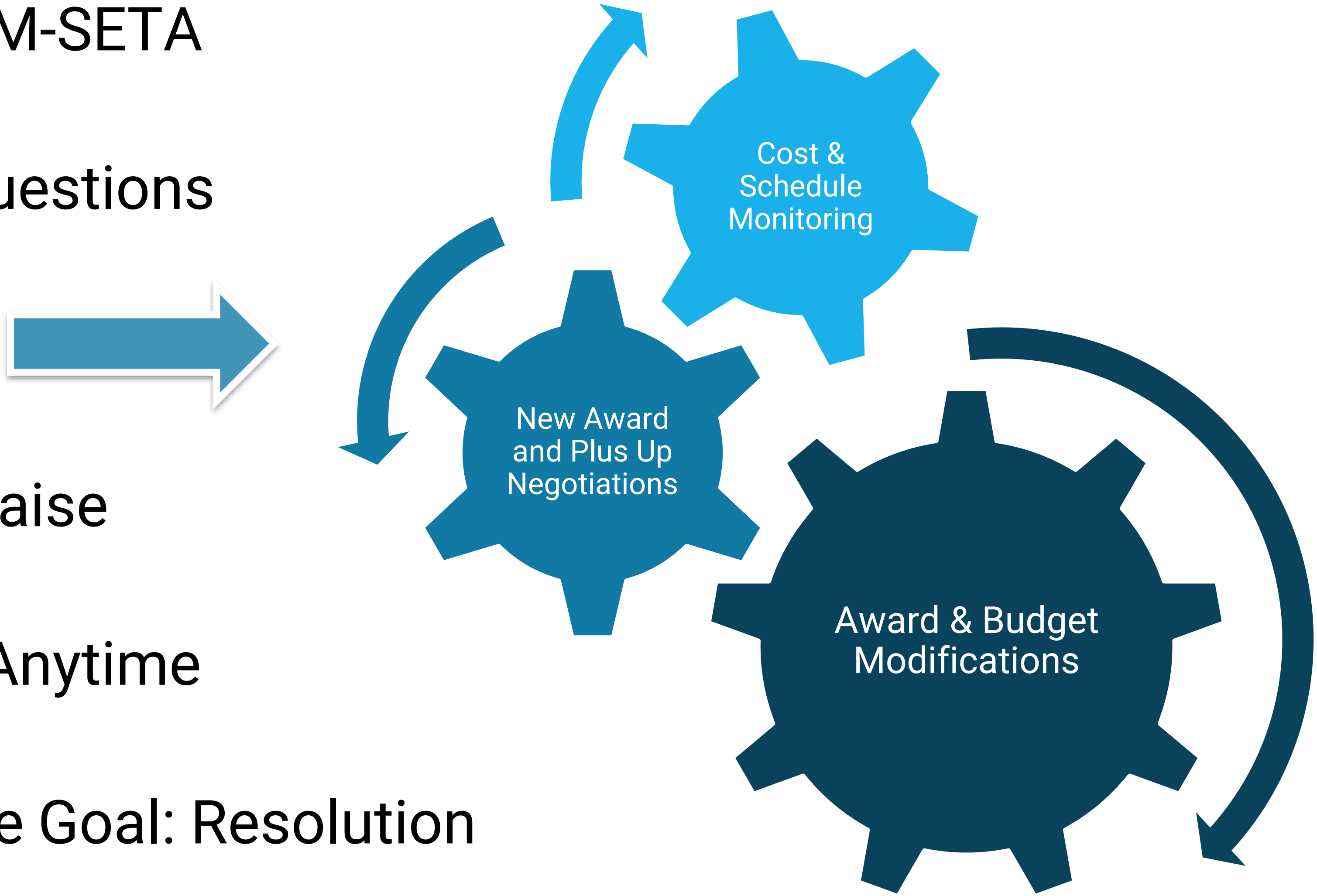
CHANGING WHAT'S POSSIBLE

Table of Contents

ARPA-E Active Project Management: Programmatic

- Who: PM-SETA
- Why: Questions
- What:
- How: Liaise
- When: Anytime
- Ultimate Goal: Resolution



Frequently Asked Questions

Award Modifications

Attachment Revisions

- SOPO Revision
- No Cost Extension
- Personnel Changes

Cost Changes

Budget & Invoicing

- Reallocation
- Unbudgeted Costs
- Additional Funds

Submission Requirements

Reporting

- Annual Reports
- Quarterly Reports
- Navigating ePIC

Contract Overview

Work Authorization (WAS)

- Agreement between ARPA-E and a Federally Funded Research and Development Center
- Received a lump sum of funds, respective managing entities monitor spend

Cooperative Agreement

- Agreement between ARPA-E and a Non-Profit, Academic, Large or Small Business
- Is cost reimbursable, meaning project costs are incurred by the entity and reimbursed by ARPA-E

Project Lead

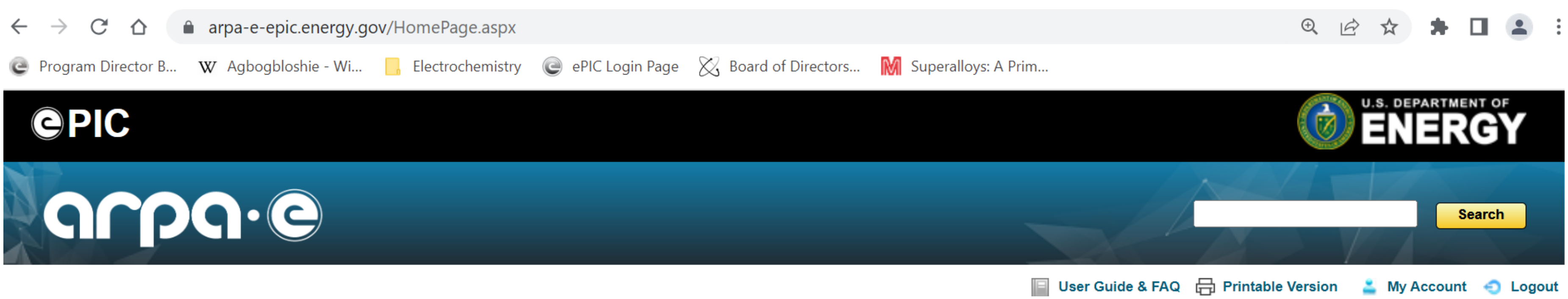
- Technical Progress Report: submitted by the Project Lead on behalf of the entire project team
- Financial Progress Report: submits cost information for self

Subrecipient

- Technical Progress Report: submits technical progress information to the Project Lead as required to support QR and Final Reports
- Financial Progress Report: submits cost information for self

ePIC Project Management System

Refer to ePIC User Guide & FAQ on ePIC interface.



- **Energy Program Information Center (ePIC) Registration**:
  - ePIC user accounts are based on a username/email address. If you have an email address from a previous employer or with a personal email address, you will need to create a new ePIC account with your current work email address and username.

- **ePIC houses:**
  - Project information , Contractually required reports, Quarterly Report (QR) submissions

Accessing Your Award Record in ePIC

- **Step 1 – Creating an ePIC User Account**
  - Follow steps on previous slide to register

- **Step 2 – Notify ARPA-E of Your Account Creation**
  - Once you have registered or confirmed your account is created in ePIC, please email epichelp@hq.doe.gov, cc'ing the PM SETA assigned to your award, requesting access to your project award number (DE-AR0000XXX). ***If you are not the Principal Investigator (PI), you will need to provide written confirmation from the PI authorizing your access to the ePIC record.***

- **Step 3 – Accessing your ePIC Project Record**
  - Once ARPA-E confirms your account is active and assigned to an award record, you can log into ePIC and access your assigned project(s) on the "MY PROJECTS" page. That hyperlink is your gateway to accessing all reporting information and project documentation. If you see any inaccuracies or required updates, please work with your assigned PM SETA to make those corrections.

Reporting Requirements

Refer to Project Guidance on ARPA-E Website & Attachment 4 for additional information.

Submission Cadence	Report or Event	Submit to ARPA-E Via
Quarterly	Technical Report: Quarterly Report	ePIC
	Financial Report: SF-425 Form	ePIC
Annually	Property Inventory	ePIC, part of the QR
	Indirect Cost Proposal	ePIC
	Annual Audit for For-Profit Recipients	ePIC, part of the QR
Once (within 6 weeks of award)	IP & Data Management Plan(s)	ePIC
Once (within 120 days of POP)	Close Out Report(s)	ePIC, OSTI, iEdison
As needed (within 5 days of event)	Scientific/Technical Conference Papers & Public	OSTI
	Intellectual Property Reporting	iEdison
	Subaward/Subcontract Reports	ePIC, part of the QR
	Lobbying Activities Reporting	ePIC, part of the QR
	Special Status Reports (e.g. patent/copyright infringement, flow-down refusal, bankruptcy, US export control..	ePIC, part of the QR

Performer Invoice Expectations

Refer to Invoicing Guidance on the ARPA-E Website & Attachment 1 for additional information.

- **Invoice at min quarterly**, and max no more than every 2 weeks
- **Submit supporting documentation to the PM-SETA**, via email, in ADDITION to submitting a reimbursement request to VIPERS:
    - SF-270
    - Reimbursement Request Spreadsheet (RRS)
    - Supporting documentation (cost support & justifications)
- **Communicate Budget Discrepancies,** maintain an open line of communication with your PM-SETA
    - Unbudgeted Costs & Budget Reallocations should be communicated to the ARPA-E Team PRIOR to the change

ARPA-E Invoice Expectations

Refer to Invoicing Guidance on the ARPA-E Website & Attachment 1 for additional information.

Day 1: Invoice Submission

- Submit SF-270 and supporting documentation to **both VIPERS and ARPA-E representative**
- Requests at least quarterly, but **no more frequently than every two weeks**
- Expenses submitted should be relevant to the technical performance of the project for the period being reported

Day 2-10: Data Input & Financial Review

- ARPA-E reviews to assess both your Project's adherence to Government cost principles and in meeting established tasks
- ARPA-E will issue questions to performer within 10 days

Day 11- 15: Performer resolution

- If we don't have any questions, the invoice is sent for final approval from the PD
- If we have any questions the Performer returns follow-up information by day 15

Day 16-30: PD & VIAS Approval

- Final review of all documentation and cost against project
- Invoice processed through ARPA-E systems
- Invoice processed through Oakridge for payment

ARPA-E works hard to maintain a 30 day, or shorter, invoice review period. We ask performer teams to work with together with ARPA-E to achieve those aggressive timelines which might require quick turnaround of documentations.

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Final Reminders & Suggestions

- Please, send in **quarterly reports in on time**
- Please, stay **up-to-date on your payment requests**
- Please, **send quarterly review slides a minimum 1 day in advance**
  - Be transparent – talk to us!
  - We understand that R&D is challenging. We want to help you to succeed, while using our time and financial resources efficiently
- Please remember to **report subject inventions, patents submitted/granted, and publications** (in ePIC and iEdison*)

Questions?

Please contact Whitney White (Whitney.hite@hq.doe.gov) and Moses Manning (moses.manning@hq.doe.gov) with further questions, any time!

ADDITIONAL SLIDES (FOR REFERENCE)

IP and Data Management Plans

- IP Management portion required when there is more than one team member. Data. Management portion required for every award even if there is only one party.
- The IP and Data Management Plan is due 6 weeks after award is issued
- Starting point is that each team member performing R&D must have an appropriate IP attachment 2 included in their award (or the equivalent for an FFRDC) which each address IP issues between each team member and DOE/ARPA-E
- ARPA-E has posted a model template on the ARPA-E website
- Must include statement that award takes precedence over the IP and Data Management Plan addresses IP issues between team members:
  - Data management/Sharing of technical data
  - Dealing with joint inventions
  - Licensing of technology
  - Disputes Resolution

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INVOICING AT ARPA-E FOR SBIR/STTR AWARDS

Invoicing – Phase I

- **Invoice supporting documentation is not required for SBIR/STTR projects in Phase I**
  - ARPA-E recommends awardees submit receipts and expense reports during Phase I to acclimate to the invoice process
- **Submit invoices close to when the Quarterly Reviews take place**.
  - The invoice cannot be approved for payment until the Quarterly Report has been submitted and reviewed by the PD
- **Phase I is invoiced using a "tranches" approach**
  - The percentages in the table are only upper limits (the amount in the table means up to 20%); performers can request less than the stated tranche amount and then invoice for a larger chunk at the end of Phase I

	Tranche 1	Tranche 2	Tranche 3	Tranche 4	Tranche 5
12 Month	20% Initial Request **(post-award)**	20% End of Q1	20% End of Q2	20% End of Q3	20% End of Q4
9 Month	20% Initial Request	30% End of Q1	30% End of Q2	20% End of Q3	
6 Month	20% Initial Request	60% End of Q1	20% End of Q2		
3 Month	20% Initial Request	26.5% End of Month 1	26.5% End of Month 2	27% end of Month 3	

Invoicing – Phase II

- **Performers should submit an Invoice 'Leveling Document' – Last Invoice of Phase I**
  - With their last invoice in Phase I, Performers should submit a Leveling Document to allow PM SETAs to retroactively allocate 'Other Direct Costs' across the correct categories

- **Invoicing in Phase II and IIS follows the typical ARPA-E invoicing procedures**
  - Performers are required to submit and SF-270, Reimbursement Request Spreadsheet, and any require cost supporting documentation.
  - Please include TT&O costs, if incurred in Phase I, in this leveling effort

- **In order to invoice past Phase I, the performer must successfully complete a Phase Transition, see next set of slides**

SBIR/STTR PHASE TRANSITIONS

SBIR/STTR Phase Transitions

- When an SBIR/STTR project approaches the end of its Phase I, the team must complete and submit two documents **no less than 30 days prior to your Phase II start date** to complete the Phase Transition process
  - The PM SETA will reach out to remind the project team
  - BEFORE reaching out, the PM SETA will check with the technical team if sufficient progress has been made to allow Phase Transition
  - *If sufficient progress has NOT been demonstrated, the team will collectively determine a new Phase II start date, and the deadline for Phase Transition documentation will shift accordingly*

- The required documents for Phase Transition are:
  - **Certification of Completion of Milestones**
  - **SBIR/STTR Funding Agreement Lifecycle Certification Form**

Phase Transition Documentation

- **Certification of Completion of Milestones:**
  - A one-page report on progress towards meeting the statement of project objectives and technical milestones and deliverables
  - The Program Director (PD) will always review and approve this document before an SBIR/STTR project can move onto its next Phase
- **SBIR/STTR Funding Agreement Lifecycle Certification Form:**
  - Certifies that the project is meeting the requirements of an SBIR/STTR award
  - This document will be required periodically based on how much total costs have been invoiced in each Phase
  - The Performer will not be able to invoice for costs until this is received
  - Contact the PM SETA for the template (fillable Word Document)
- **Once both documents are submitted and PD-approved, they will be sent to the Contracting Officer (CO) for review and processing**
- **The CO will then directly email the team with authorization to transition to Phase II**