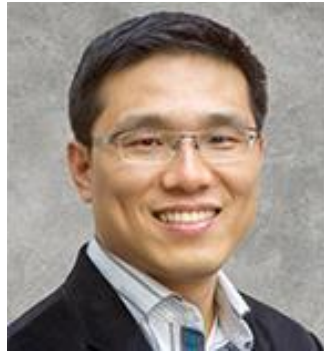


GOPHURRS TECHNICAL PROJECT MANAGEMENT ASPECTS

ARPA-E's GOPHURRS Team Composition

Program Director: *Manages portfolios of projects from merit reviews through project completion*



Philseok Kim
phil.kim@hq.doe.gov

Tech-to-Market Advisor: *Advise on market, strategy, business planning, IP, product development, and supply chain*



Chris Vandervort
chris.vandervort@hq.doe.gov

ARPA-E's GOPHURRS Team Composition

Tech SETAs: *Track technical status, advise, prepare quarterly feedback*



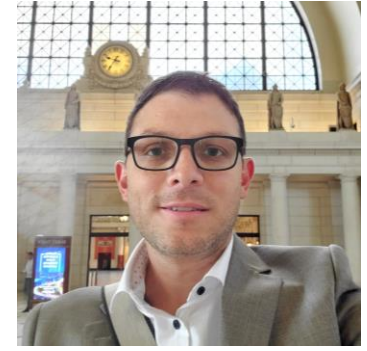
Kathleen Lentijo
kathleen.lentijo@hq.doe.gov



Brian Page
brian.page@hq.doe.gov



Lipi Acharya
lipi.acharya@hq.doe.gov



Samuel Falzone
samuel.falzone@hq.doe.gov

ARPA-E's GOPHURRS Team Composition

PM SETAs: *Contracting support, invoicing*



Madeline De Freitas
madeline.defreitas@hq.doe.gov



Elizabeth Lang
elizabeth.lang@hq.doe.gov



Emily Welch
emily.welch@hq.doe.gov

Reporting Requirements

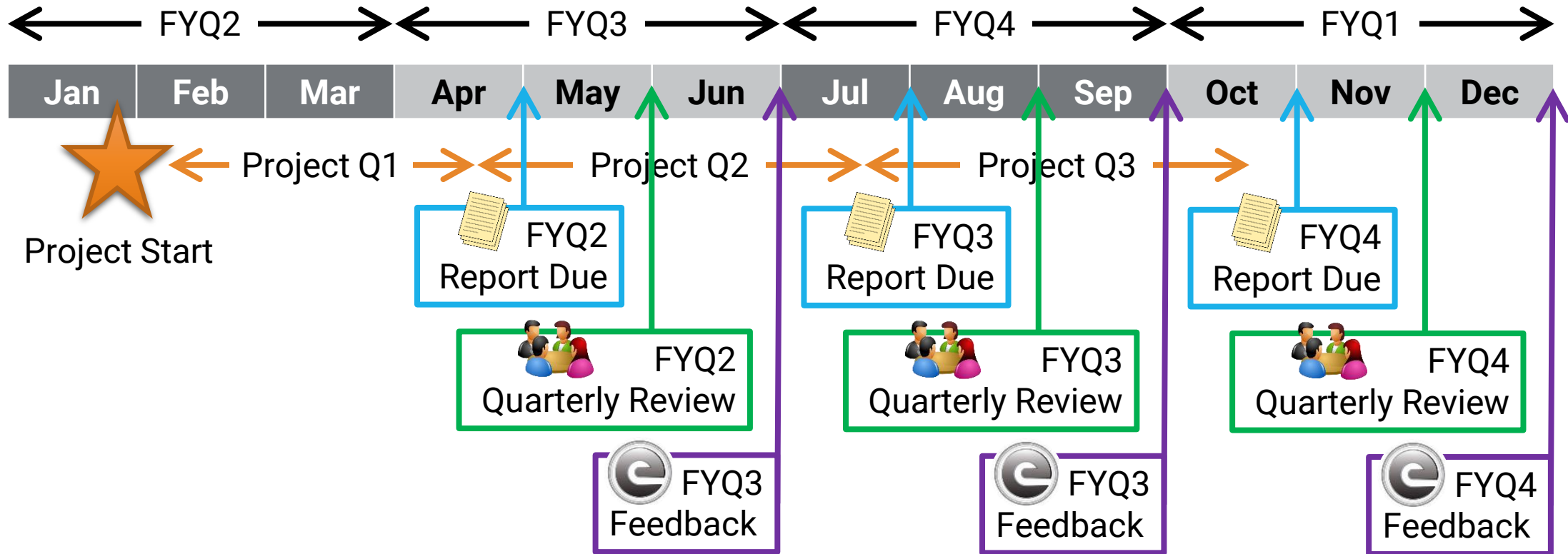
Refer to Project Guidance on ARPA-E Website & Attachment 4 for additional information.

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 <i>(within 6 weeks of award)</i>	IP & Data Management Plan(s)	ePIC
Once <i>(within 120 days from end POP)</i>	Close Out Report(s)	ePIC, OSTI, iEdison
As needed <i>(within 5 days of event)</i>	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

IP and Data Management Plans

- ▶ The IP and Data Management Plan is **due 6 weeks after the award** is made
- ▶ Starting point is that each team member performing R&D must have an appropriate IP attachment 2 included in their agreement 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: [Template Link](#)
- ▶ Must include statement that Agreement 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
 - Dispute resolution

Project/FY Schedule and Reporting Offset



- ▶ Quarterly reporting, review meetings, and feedback memos all follow **fiscal year quarters**.
- ▶ Project milestone assessment follows **project quarters**. Quarterly review meetings should include discussions for all milestones due on dates **up to and including the day of the meeting**.

Expectations for all technical/T2M reports

- ▶ Orient **reporting against milestones** in your Attachment 3 (SOP0 and milestones); milestones are how your project is assessed
- ▶ Emphasize charts and data on **current or upcoming milestone completion** over secondary efforts underway in your labs
- ▶ Please **be succinct**, use charts/figures, provide key data (and **show** us that you met your milestones; don't just say that you did)
- ▶ Remember to mark protected data as such with your reports. If data is confidential, **please do not include it in the quarterly reports. Save this for virtual or in-person meetings.**

PROTECTED RIGHTS NOTICE

The information provided contains protected data were produced under agreement no. [AwardNumber] with the U.S. Department of Energy and may not be published, disseminated, or disclosed to others outside the Government until 5 years after development of information under this agreement, unless express written authorization is obtained from the recipient. Upon expiration of the period of protection set forth in this Notice, the Government shall have unlimited rights in this data. This Notice shall be marked on any reproduction of this data, in whole or in part. (END OF NOTICE)

SBIR/STTR RIGHTS NOTICE

These SBIR/STTR data are furnished with SBIR/STTR rights under Award No. [AwardNumber]. For a period of four (4) years after acceptance of all items to be delivered under this [agreement or subaward], the Government agrees to use these data for Government purposes only, and they shall not be disclosed outside the Government (including disclosure for procurement purposes) during such period without permission of the Prime Recipient/Subrecipient, except that, subject to the foregoing use and disclosure prohibitions, such data may be disclosed for use by support contractors. After the aforesaid four-year period, the Government has a royalty-free license to use, and to authorize others to use on its behalf, these data for Government purposes, but is relieved of all disclosure prohibitions and assumes no liability for unauthorized use of these data by third parties. This Notice shall be affixed to any reproductions of these data in whole or in part. (END OF NOTICE)

Notional Structure for Quarterly Written Reports

- ▶ Technical report submission in ePIC consists of:
 1. Technical narrative
 2. Summary milestone status (*including % complete*)
- ▶ Technical Narrative Structure
 - It can be submitted as a Power Point presentation, Word document or both
 - It basically includes:
 - Executive Summary (<1 page)
 - Summary table of milestones due/past-due (*re-use for #2 in ePIC*) (<2 pages)
 - Major risks to future milestones (~ 1 page)
 - Supporting data & additional information (~10-15 pages)
 - Budget summary (<1 page)
- ▶ Highly-sensitive confidential information **should be saved for meetings**

The purpose of the quarterly report is to provide ARPA-E with a written self-assessment of milestone status. The level of detail should be **enough to justify this assessment**. Previous quarterly reports **can be referenced**.

Expectations for Quarterly Review Meetings

- ▶ Generally scheduled following each Project Quarter
- ▶ May be in-person (at your facilities or at ARPA-E) or virtual
- ▶ Typical schedule
 1. Introductions, brief high-level overview of project progress
 2. Detailed discussion of status each milestone currently due/past due (bulk of meeting)
 3. Look-ahead to future milestones and preliminary progress
 4. T2M/industry outreach efforts, IP
 5. Big picture discussion of ongoing/upcoming challenges, risks, potential pivots, overall project management, budget, etc.
- ▶ Please allow **plenty** of time for questions and discussion when preparing the slides, particularly around tasks/milestones experiencing difficulty
- ▶ **Please provide briefing slides at least 24 h in advance to the PD and tech SETAs (w/o sensitive info)**
- ▶ Please check your team's virtual systems in advance
- ▶ Lab/facility tours during on-site visits – not required, only when novel samples/equipment available

Please include these slides in quarterly presentations:

- ▶ **Updated team slide** – an org chart with roles, relationships, headshots; highlight any changes in team
- ▶ **Project progress chart** – a version of the project Gantt chart (boxes and arrows) showing the progress of the project tasks with color codes
- ▶ **Risk analysis** – enumerate risks, severity, and mitigation plan (see slide appendix for template)
- ▶ **Project spending** – planned spending vs invoiced, highlight foreseen issues (see slide appendix for sample)
- ▶ **Intellectual Property** – summarize relevant IP pre-ARPA-E & generated during the project, reporting to iEdison
- ▶ **Other project outputs** – publications, conference presentations, contact with industry, etc. (can be in T2M section)

ARPA-E Feedback is Provided Quarterly

- ▶ Provides you with our view of the status of the milestones
 - Output from quarterly report & quarterly review meeting. **Not always a carbon copy of your self-assessment.**
- ▶ Provides follow-up items and constructive feedback for short and long term goals
- ▶ Accessible in ePIC as “Feedback to Performer” on Technical tab (also sent via email)
- ▶ Overall cost status reflects timeliness of invoicing, comparison to spend plan, or other budgetary issues

		CONTEXT	
		Overall Project	Individual Milestone
	Rating		
	Green	Project on-track	Milestone complete, all requirements satisfied
	Yellow	Behind schedule, problems may have been encountered, but project appears to be recoverable	Milestone is incomplete, but still likely to be met at some time: performance may not quite meet the required target, it may be slightly behind-schedule, or there are outstanding questions about whether the milestone has been achieved.
	Red	Overall project is unlikely to meet final targets or is significantly behind schedule, recovery is difficult or unlikely	Milestone not achieved, actual performance significantly worse than required performance, incomplete and significantly behind schedule

Final Reminders/Suggestions

- ▶ **Please** send quarterly review slides at least 1 day in advance!
- ▶ **Please** stay up-to-date on your invoicing
- ▶ **Please** be transparent – talk to us!
 - we know R&D is challenging
 - we want to help you to succeed while making the best use of everyone's time/money
- ▶ **Please** remember to report subject inventions, patents submitted/granted, and publications (in ePIC and iEdison)

Welcome to the ARPA-E project community!

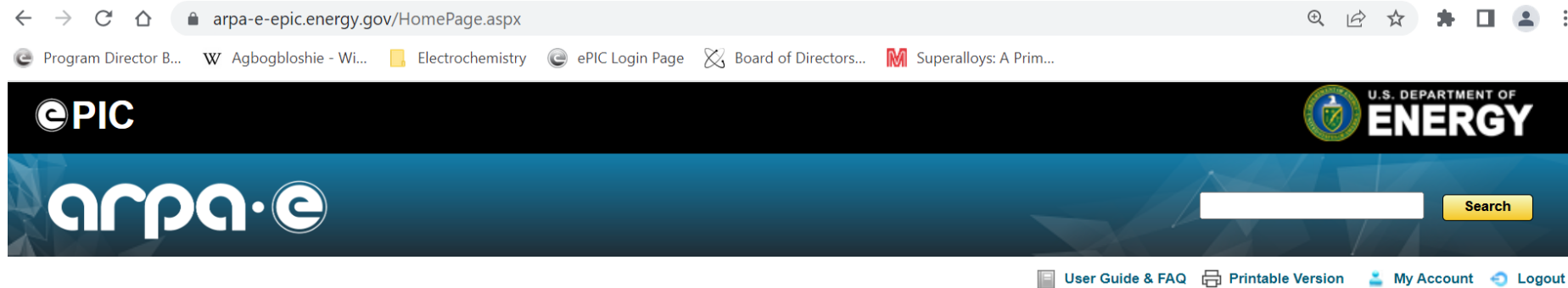
Questions?

THANK YOU



ePIC Project Management System

Refer to ePIC User Guide & FAQ
on ePIC interface.



- ▶ **Energy Program Information Center (ePIC) Registration:**
 - Navigate to <https://arpa-e-epic.energy.gov/Account/Registration.aspx> and complete the information on the registration screen. If you already have an ARPA-E eXCHANGE profile or an ePIC profile, this step is not required as you already have an account in the system.
 - 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.