

QUESTIONS AND ANSWERS

PLEASE REFER TO THE GENERAL FAQs SECTION OF ARPA-E'S WEBSITE ([HTTP://ARPA-E.ENERGY.GOV/?Q=FAQ/GENERAL-QUESTIONS](http://arpa-e.energy.gov/?q=faq/general-questions)) FOR ANSWERS TO MANY GENERAL QUESTIONS ABOUT ARPA-E AND ARPA-E'S FUNDING OPPORTUNITY ANNOUNCEMENTS. ADDITIONAL QUESTIONS SPECIFIC TO THIS FOA ONLY ARE INCLUDED BELOW. PLEASE REVIEW ALL EXISTING GENERAL FAQs AND FOA-SPECIFIC QUESTIONS BEFORE SUBMITTING NEW QUESTIONS TO ARPA-E.

I. General Questions from the ARPA-E Website.

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

ANSWER: If a question is not answered in General Q&A section of ARPA-E's website (<http://arpa-e.energy.gov/?q=faq/general-questions>), applicants may submit questions regarding an ARPA-E FOA to ARPA-E-CO@hq.doe.gov (link sends e-mail). Due to the volume of questions received, ARPA-E will only answer questions that have not yet been answered and posted at the above link. All emails must include the FOA name and number in the subject line. The cover page of each FOA states the deadline to submit questions to ARPA-E-CO@hq.doe.gov. 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.

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

ANSWER: No. ARPA-E will review compliant and responsive concept paper submissions and provide feedback either encouraging or discouraging submission of a Full Application. See the "Application Process Overview" section of the FOA for the Concept Paper review process. Compliance criteria may be found in the "Compliant Criteria" section of the FOA. Similarly, responsiveness criteria may be found in the "Responsiveness Criteria" and "Submissions Specifically Not of Interest" sections of 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. 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.

II. Concept Paper Phase Questions:

Q1. Can you please clarify if the \$25M total program funding mentioned in the FOA is for Phase I (first two years of the program) only, or total for both Phase I and Phase II?

ANSWER: Subject to the availability of funds, the total value of all Phase I awards is anticipated to be approximately \$25 million.

Q2. Does the maximum award limit of \$10M relate to Phase I budget request only, or Phase I and Phase II in total?

ANSWER: Phase I only. (Prospective applicants should disregard this response, it is incorrect and retained here only as a matter of record. See the responses to Q5 and Q9 for the correct information.)

QUESTIONS AND ANSWERS

Q3. For a partial solution proposal: 1) what is the budget ceiling (if any)? and 2) does partial solution proposals need to provide full technoeconomic analysis (cost analysis)?

ANSWER: The budget ceiling for awards resulting from this FOA is \$10,000,000. Please see Section II.A. "Award Overview" which states, "Individual awards may vary between \$250,000 and \$10 million."

Partial solutions that include network architecture/system modeling must include a techno-economic analysis. All other partial solutions should include a techno-economic analysis.

Q4. The call mentions "data centers" -- is the main target high performance computing systems, or other kinds of data centers, or more broadly data centers of any kind? Is there a specific target workload / application space ARPA-E is considering?

ANSWER: The targeted application domain is broad -- including all data center types. There is no specific workload or application space under consideration. See Section I.B.2 (Background and Motivation) and Section I.C (Program Objectives) of the FOA for additional information.

III. Full Application Phase Questions:

Q5. On page 19 under the Award Overview it states: "Individual awards for both Phase 1 and Phase 2 (if a Phase 1 project is chosen to progress to Phase 2) combined may vary between \$250,000 and \$10 million". Can you please confirm that the total for Phase 1 and Phase 2 cannot total more than \$10 million?

ANSWER: Confirmed. The combined value of a Phase I and Phase II award will be between \$250,000 and \$10,000,000.

Q6. On page 44 of the FOA halfway down the page it states the following: "Each Project Team should submit only one SF-424 (i.e., a Subrecipient should not submit a separate SF-424)."

[Proposed Lead Organization] plans to submit as prime part of a collaborative proposal with [two Proposed Sub-recipients]. Can you please clarify what is meant by Project Team in this case? For instance, would [Proposed Lead Organization and both Proposed Sub-recipients] all submit their own SF-424? Or would [Proposed Lead Organization] submit the SF-424 for all three entities?

ANSWER: A Project Team proposed in an applicant's Full Application to ARPA-E consists of the Lead Organization and all its sub-recipients. Therefore, the Full Application should include one SF-424 that includes all organizations on the Project Team.

QUESTIONS AND ANSWERS

Q7. Since we are submitting as part of a collaborative proposal, how would an educational institution such as ourselves send cost share funding received tied to this project to the other collaborative members?

ANSWER: Per Section III.B.4, Legal Responsibility: "The Prime Recipient is solely responsible for managing cost share contributions by the Project Team ..." The form of any transactions are left to the discretion of the Prime Recipient subject to the criteria set forth at 2 CFR § 200.306 regarding acceptable contributions and their valuation.

Q8. in the ARPA-E FOA "ENLITENED" it states under restrictions for sources of cost share that IR&D funds (independent research and development) funds may not be used to meet cost share. What are these funds? Are these federal or even DOE funds?

ANSWER: Applicable to commercial entities, the term Independent Research and Development (IR&D) is defined at FAR 31.205-18 as an entity's "... cost that consists of projects falling within the four following areas: (1) basic research, (2) applied research, (3) development, and (4) systems and other concept formulation studies. The term does not include the costs of effort sponsored by a grant or required in the performance of a contract. IR&D effort shall not include technical effort expended in developing and preparing technical data specifically to support submitting a bid or proposal."

QUESTIONS AND ANSWERS

Q9. In the DE-FOA-0001566 ENLITENED FAQ (<https://arpa-e.energy.gov/sites/default/files/DE-FOA-0001566%20ENLITENED-2.pdf>), the following questions can be identified in II. Concept Paper Phase Questions:

Q1. Can you please clarify if the \$25M total program funding mentioned in the FOA is for Phase I (first two years of the program) only, or total for both Phase I and Phase II? ANSWER: Subject to the availability of funds, the total value of all Phase I awards is anticipated to be approximately \$25 million.

Q2. Does the maximum award limit of \$10M relate to Phase I budget request only, or Phase I and Phase II in total? ANSWER: Phase I only.

However, in Modification 01 of DE-FOA-0001566, Section II.A, it states, “Individual awards for both Phase 1 and Phase 2 (if a Phase 1 project is chosen to progress to Phase 2) combined may vary between \$250,000 and \$10 million.” This appears to be in conflict with Q2 above. Q2 above states that the “award limit of \$10M” is for “Phase I only”, whereas, the Modification 01 language states that “... Phase 1 and Phase 2 ... combined may vary between \$250,000 and \$10 million.”

Can you please reconcile the FAQ and the Modification 01 interpretation of the expected maximum funding amounts?

ANSWER: The text of DE-FOA-0001566.M01 is correct as written, as is the answer to Q5 above. The combined value of a Phase I and Phase II award will be between \$250,000 and \$10,000,000. The response to Q2 above is incorrect and may be disregarded.

Q10. In the DE-FOA-0001566 ENLITENED document the maximum award amount for the Phase I and Phase II combined is listed as \$10M. Is this amount the federal award amount or the total project cost including the cost-sharing portion?

ANSWER: The Maximum award amount is the Federal Share. Total Project Cost is the Federal Share plus the Cost Share.

QUESTIONS AND ANSWERS

Q11. I have the following two questions:

1. We have two industrial partners not requesting any federal funding but providing only in-kind cost share. Are they considered subrecipients? Do they need to fill out SF-LLL and workbook or any other documents?

ANSWER: This is a fact-dependent determination based on the specific role of a proposed project team member. ARPA-E may not provide pre-submission determinations on a team member's role as a subrecipient or otherwise. SF-LLL must only be submitted if it is necessary for a subrecipient to disclose lobbying activities in conjunction with award of a cooperative agreement (including subawards by the Prime Recipient) under this FOA. Cost share must be verifiable from a non-Federal entity's accounting records, and documented in sufficient detail so that it can be valued in accordance with 2 CFR § 200.306 and the pertinent cost principles.

2. Do we need to attach quotes for items above a certain cost? Could not find any information on the FOA.

ANSWER: See ARPA-E's *SF-424A and Budget Justification Spreadsheet* and *Budget Justification Guidelines*, found at <https://arpa-e.energy.gov/?q=arpa-e-site-page/pre-award-guidance#RequiredForms>.