

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. Concept Paper Phase Questions:

Q1. It states deadline for concept paper 28 Oct , is that just a white paper with a project overview outline via the apply or submit a white paper separate?

ANSWER: Please refer to the DE-FOA-0002171 funding opportunity announcement on the ARPA-E Funding Opportunity Exchange website <http://ARPA-E-FOA.energy.gov> for guidance on how to prepare and submit a Concept Paper.

Q2. I am an analyst working for a private company which manages energy resources in the Midwest for our customers. Our potential collaborators are researchers at We are interested in exploring this opportunity and would like to understand the details regarding confidentiality and compliance.

Q2.1 Confidentiality: My employer ... has various confidentiality obligations to its counterparties, investors, etc. Therefore, we need to be very careful to avoid sharing non-public information, data, know-how, strategies etc. that is subject to an obligation of confidentiality and/or limited use with the collaborators Before [we] can apply for this funding, we would like to understand what restrictions or limitations may apply to the information before we share it internally/externally or apply it to our business.

ANSWER: Instructions for the marking of confidential data are set forth at FOA Section VIII.I

Q2.2 Compliance: Regarding the compliance audit requirement (described on page 69 of the FOA) and the Business Assurances & Disclosures Form (page 68 of the FOA). We note that there is a warning "failure to provide complete and accurate information on the Business Assurances & Disclosures Form could lead to a variety of sanctions including without limitation civil and criminal penalties and possible debarment from participating in federal contracts". Would you please confirm that the attached forms/documents [discussed below] are up to date?

ANSWER: The current version of ARPA-E's Business Assurances and Disclosures Form is published on ARPA-E eXCHANGE. It is based on requirements contained in the Code of Federal Regulations. Prospective Applicants should check with their advisors regarding the currency of federal regulations setting forth applicable cost principles and audit requirements under any award resulting from this FOA.

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Q3.1 If you submit a concept paper for a combined Thrust 1 + 2 idea, can you then submit full applications for the Thrust 1 and Thrust 2 portions of the idea separately (i.e. two applications)?

ANSWER: No.

Q3.2 Alternatively, if you are deciding between a) separate applications for Thrust 1 and 2 or b) a combined Thrust 1 + 2 application, do you need to submit separate concept papers for each scenario (i.e. one concept paper on Thrust 1, one on Thrust 2 and one on Thrust 1 + 2)?

ANSWER: Applications must be scientifically distinct per FOA Section III.C.

Q4. I have been approached by multiple teams asking me to join them in responding to this initiative. Is there any rule against participating in more than one proposal if they are not overlapping.

ANSWER: No.

Q5. I have two questions regarding the PERFORM FOA;

Q5.1 Is there any restriction or specific concern about the case study? Can you please specify what kind of case study (in terms of type and dimensionality) PERFORM is specifically looking for?

ANSWER: Please see Section I.D of the FOA for a description of Technical Categories of Interest.

Q.5.2 Can we engage national labs, universities, and industrial companies in the U.S. in our team? Are there any restrictions?

ANSWER: Eligibility information for this FOA is given at its Section III.

Q6. We're considering a concept paper for this opportunity. ... I'm wondering what would the priority preference of focus areas on the following topics for this PERFORM program: ...

ANSWER: Refer to General FAQ 6.19.

Q7. The FOA specifies that "The Concept Paper must not exceed 4 pages in length including graphics, figures, and/or tables." Does the 4 page limit include citations as well?

ANSWER: Refer to General FAQ 6.21.

Q8. Can I be a reviewer if I submit to this FOA?

ANSWER: No.

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Q9: Can I be a reviewer for this FOA while engaging with ARPA-E regarding the PERFORM Data Plan and the PERFORM Pilot Plan?

ANSWER: Yes, you can be a reviewer for this FOA as long as you are not applying to this particular FOA.

Q10: If we are interested in working with ARPA-E on the PERFORM Data Plan or the PERFORM Pilot Plan, can we also participate in this FOA?

ANSWER: Yes.

Q11: Will there be a follow-on FOA for the PERFORM Data Plan of the PERFORM Pilot Plan?

ANSWER: There is no guarantee of any follow-on funding or FOA for the PERFORM Data Plan or the PERFORM Pilot Plan.

Q12: Is there a set timeline for the PERFORM Data Plan or the PERFORM Pilot Plan?

ANSWER: There is no set timeline for either the PERFORM Data Plan or PERFORM Pilot Plan at this stage.

Q13: Who do we contact if we are interested in the PERFORM Data Plan or the PERFORM Pilot Plan?

ANSWER: You can email Kory.Hedman@HQ.DOE.GOV.

Q14: The FOA stresses industry outreach and engagement. Am I required to have an industry partner on my team?

ANSWER: No.

Q15: When will ARPA-E disclose the type of data (from the PERFORM Data Plan) that will be made available to the public and to applicant teams applying to this FOA?

ANSWER: See Section I.F for a high-level description of the anticipated PERFORM Data Plan. ARPA-E is actively working towards the goals of the PERFORM Data Plan. As soon as additional information regarding the PERFORM Data Plan is available, ARPA-E will make announcements.

Q16. The FOA clearly covers assessment of emerging generation asset risks and managing them in grid operation and planning. Would a project targeting the transmission sector be within the scope of PERFORM, if it quantifies transmission risks, as a function of weather forecast, and then manages such risks in grid operation and planning?

ANSWER: PERFORM focuses on generation, demand, and storage resources in either transmission or distribution systems. Approaches addressing these issues as well as other risks (e.g., loss of transmission assets, area interchange, etc.) for power grids are acceptable..

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Q17. It seems that we just need to submit a 4 page concept paper with a budget specified. But there is no formal budget to be uploaded correct? I assume some minor modifications of the budget are possible for the final (by 5-10%).

ANSWER: The content and form of Concept Papers is addressed at FOA Section IV.C. General FAQ 7.13 addresses budget modifications.

Q18. We expect to have interactions with some of the grid operators and industrial partners. There appears to be no room for support letters, correct?

ANSWER: Refer to General FAQs 6.5 and 6.21.

Q19. We are working towards submitting the concept paper for Funding Opportunity No. DE-FOA-0002171 at PERFORM. We wanted to know if ARPA-E will provide us with the data to execute the models or we have to find a partner company to access such data.

ANSWER: Refer to FAQ 15 above.

Q20. The ARPA-E Funding Opportunity Exchange website registration link in the PERFORM FOA document does not work. Can ARPA-E provide a working link to the registration page.

ANSWER: ARPA-E has updated the PERFORM Funding Opportunity Announcement with a corrected link to the registration page. Applicants can open the ARPAE Funding Opportunity Exchange website by doing the following: Visit the ARPA-E Funding Opportunity Exchange website <http://ARPA-E-FOA.energy.gov> and click the Registration option on the left side of the webpage to open the Registration page.

Q21. We are preparing a four-pager for the PERFORM program. Are citations included in the page count?

ANSWER: Refer to General FAQ 6.21.

Q22. Can you please explain the below two cost share requirements I found in the FOA:

- **Project Teams composed exclusively of domestic educational institutions, domestic nonprofits, and/or FFRDCs/DOE Labs/Federal agencies and instrumentalities (other than DOE) are not required to provide cost share.**
- **Project Teams where domestic educational institutions, domestic nonprofits, small businesses, and/or FFRDCs perform greater than or equal to 80% of the total work under the funding agreement (as measured by the Total Project Cost) are required to provide at least 10% of the Total Project Cost as cost share. ...**

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ANSWER: These requirements, as set forth at FOA Section III.B.3, are correct as written. Be advised that the second of the aforementioned cost share requirements continues: *However, any entity (such as a large business) receiving patent rights under a class waiver, or other patent waiver, that is part of a Project Team receiving this reduction must continue to meet the statutory minimum cost share requirement (20%) for its portion of the Total Project Cost.*

II. Full Application Phase Questions:

Q23. I missed the Concept Paper Deadline. Can I still submit a Full Application.

ANSWER: Please reference General Question 7.2.

Q24. I was not a part of a team at the concept paper phase so I am not able to submit to the full application. Can I join a team that did submit a concept paper and be a part of their team for the full application?

ANSWER: Please refer to General Question 7.14.

Q25. Is the technical volume page limit 20 or 30 pages? The template provided on the ARPA-E website states 20 pages, however in the FOA, the page limit states 30 pages. Please advise on the correct page limit.

ANSWER: The PERFORM Technical Volume page limit is 20 pages. Please see the recently modified PERFORM FOA modification on the ARPA-E Funding Opportunity Exchange website titled "PERFORM FOA Mod 03".

Q26.a We are trying to determine the most appropriate way to handle working with DOE labs on an ARPA-E proposal. Is there an either/or option to use the Work Authorization or a CRADA? ...

ANSWER: No. As set forth at FOA Section II.C.2: *Funding agreements with DOE/NNSA FFRDCs take the form of Work Authorizations issued to DOE/NNSA FFRDCs through the DOE/NNSA Field Work Proposal system for work performed under Department of Energy Management & Operation Contracts.*

Q26.b What is the appropriate way to incorporate the Federal lab into the proposal and budget? ...

ANSWER: Refer to the document titled *Budget Justification Workbook / SF 424A Guidance*, p.7, found on ARPA-E eXCHANGE under the Required Application Documents heading/hyperlink.

Q27. Our team are not very satisfied with the proposal title made in the concept paper. In the full proposal/application, could we modify the title of the proposal?

ANSWER: Yes, Applicants can make changes to the application in the Full Application phase of the submission process.

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Q28.a We are working on a proposal in response to solicitation DE-FOA-0002171. I have a question regarding the FFRDC budget. If a DOE FFRDC lab budget is over 10% of the total project cost, do they need to provide the budget justification workbook/SF-424A or the Field Work Proposal is sufficient?

ANSWER: Refer to FAQ 26.b above.

Q28.b My second question is about the Business Assurances & Disclosures Form. Does the FFRDC lab need to fill out this form?

ANSWER: Yes.

Q29. ARPA-E's comments in response to our CP do not seem to target our specific proposal. Can you provide insight about how the feedback addresses our proposal?

ANSWER: ARPA-E provided comments to all Applicants (both encouraged and discouraged).

Applicants should assess and consider these comments if they choose to submit a Full Application.

Q30. Can I be listed as a PI or co-PI on more than one full application?

ANSWER: Yes. An individual may be proposed on multiple submissions. Refer to General FAQ 6.13.

Q31. Please kindly advise who the ARPA-e Program Manager is? The FFRDC Letter and FWP will be appropriately addressed to the correct person in response to solicitation ARPA-e PERFORM DE-FOA-0002171

ANSWER: Instructions for submission of Full Applications to ARPA-E can be found at FOA Section IV.

Q32. In the ARPA-E call DE-FOA-0002171 PERFORM, it has the following provision: "Project Teams composed exclusively of domestic educational institutions, domestic nonprofits, and/or FFRDCs/DOE Labs/Federal agencies and instrumentalities (other than DOE) are not required to provide cost share." According to [identity omitted], "[we are] legally a non-profit organization under IRS regulation 501(c)(4)." Just want to confirm that it satisfies the "domestic nonprofits" requirement.

ANSWER: Prospective applicants should consult with their advisors regarding their eligibility to participate in this FOA and corresponding cost share requirements.

Q33. When completing the FWP for National Laboratories, who do we list as the DOE program manager?

ANSWER: Refer to FAQ 31.

Q34. Does the cover page count towards the 20 page limit?

ANSWER: No. As set forth in the Technical Volume template: *[t]he cumulative length of Sections 1-5 shall not exceed 20 pages.* The cover page is not included in Sections 1-5.

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Q35. We will be submitting a proposal to this FOA as a university consortium. We are aware that if we include small businesses as subcontractors that we will be required to contribute 10% cost share. If we engage the small businesses as consultants rather than as subcontractors, would we still be required to contribute the 10% cost share?

ANSWER: Project Teams, as defined in FOA Section IX, include ... *Prime Recipient, Subrecipients, and others performing any of the research and development work under an ARPA-E funding agreement* As defined at 2 C.F.R. § 200.93, *Subrecipient means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program* ... , and 2 C.F.R. § 200.92 states in pertinent part, [a] *subaward may be provided through any form of legal agreement* (emphasis added)

Accordingly, regardless of the form any legal agreement takes, ARPA-E will examine that agreement to assess whether a Federal assistance relationship is established using the characteristics of a subrecipient relationship described at 2 C.F.R. § 200.330(a). Cost sharing obligations will subsequently be determined per FOA Section III.B.

Q36. We have the following question regarding the technical performance targets. We covered the items listed in Table 1 of the FOA (page 27) as part of the technical volume in the narrative.

Q36.1 Is it necessary to have an explicit version of Table 1 with specific information about the proposal, summarizing the information included in the narrative?

ANSWER: The Technical Volume Template states in Paragraph 1.3:

“Include and discuss, as appropriate, a table in which the targeted performance of the proposed technology is compared with the “Technical Performance Targets” in Section I.E of the FOA and with other competing or emerging technologies that might achieve the FOA Technical Performance Targets.”

You are not required to include exactly Table 1. You are required to provide a clear response to each category.

Q36.2 If it is necessary to have such version of table 1, would this table count toward the 20 page limit?

ANSWER: Your response will count towards the 20 page limit.

Q37. Our team consists of an academic institution and a non-profit accounting for greater than 98% of the total budget and a consultant for 2% of the budget. The consultant is affiliated with a different academic institution but will receive funding directly from us as opposed to receiving it from the consultant's affiliated institution. In this case, do we need to show any cost share?

ANSWER: Refer to FOA Section III.B.3 for a description of available reduced cost share opportunities.



DE-FOA-0002171 - PERFORM

Questions can be sent to ARPA-E-CO@hq.doe.gov

FIRST DEADLINE FOR QUESTIONS TO ARPA-E-CO@HQ.DOE.GOV:
5 PM ET, OCTOBER 18, 2019

SECOND DEADLINE FOR QUESTIONS TO ARPA-E-CO@HQ.DOE.GOV:
5 PM ET, JANUARY 28, 2020

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Q38. Do we need to include letters of support in the full application from the sub-recipients who are not providing cost share?

ANSWER: Letters of support are not required.

Q39. Can supplies be used to satisfy the requirement for TT&O costs?

ANSWER: Assuming the supplies satisfy a project need, they may be proposed as technology transfer and outreach costs.