

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

I. FREQUENTLY ASKED QUESTIONS:	1
Q1. IF I HAVE QUESTIONS ABOUT THIS FUNDING ANNOUNCEMENT, WHO DO I CONTACT?	1
Q2. HOW WILL I RECEIVE A RESPONSE TO QUESTIONS SUBMITTED TO ARPA-E-CO@HQ.DOE.GOV ABOUT THIS FOA?	1
Q3. WILL ARPA-E POST A RESPONSE TO EVERY QUESTION SUBMITTED TO ARPA-E-CO@HQ.DOE.GOV?	1
Q4. IF I HAVE QUESTIONS ABOUT ARPA-E EXCHANGE, WHO DO I CONTACT?.....	1
Q5. CAN I SPEAK OR MEET WITH THE ARPA-E PROGRAM DIRECTOR OR OTHER ARPA-E PERSONNEL ABOUT THIS FUNDING OPPORTUNITY ANNOUNCEMENT?	1
Q6. CAN A PERSON BE PI ON ONE PROPOSAL AND A CO-PI ON A SECOND SEPARATE PROPOSAL?	2
Q7. MAY APPLICANTS SUBMIT MORE THAN ONE CONCEPT PAPER TO THIS FUNDING OPPORTUNITY?	2
Q8. I HAVE DEVELOPED A TECHNOLOGY THAT MAY BE A GOOD FIT FOR THIS FUNDING OPPORTUNITY. WILL ARPA-E PLEASE REVIEW THE ATTACHED PROJECT INFORMATION AND LET ME KNOW IF I SHOULD MAKE A SUBMISSION TO THIS FUNDING OPPORTUNITY.....	2
II. QUESTIONS FOR WEEK ENDING: NOVEMBER 29, 2013	2
Q9. WILL ARPA-E CONSIDER MOLTEN CARBONATE FUEL CELLS AND FLOW BATTERIES UNDER THIS FOA?	2
Q10.A I WOULD LIKE TO INQUIRE ABOUT THE POTENTIAL FOR OUR UNIQUE TECHNOLOGY TO QUALIFY FOR CONSIDERATION UNDER DE-FOA-0001026 REBELS ***** WOULD SUCH A PROJECT FALL WITHIN THE SCOPE OF THE REBELS FOA GENERALLY AND WOULD IT QUALIFY UNDER EITHER CATEGORY 1, 2 OR 3?	2
Q10.B IS IT POSSIBLE TO PRESENT MULTIPLE PROJECT SCENARIOS TO ARPA-E TO PROVIDE SOME SELECTION AGILITY ON THE SCOPE, SCALE, AND TIMING OF A PROJECT ?	2
Q10.C WOULD IT BE POSSIBLE TO SCHEDULE A CONFERENCE CALL WITH THE PROGRAM DIRECTOR RESPONSIBLE FOR THIS FOA.....	2
Q11. I'M REFERRING TO YOU FROM THE RESEARCH AUTHORITY OF THE *****. WE WOULD LIKE TO INQUIRE REGARDING THIS FOA, ARE OUR RESEARCHERS ELIGIBLE TO BE PART OF THE CONSORTIUM IN THIS FOA?.....	3
Q12. I AM LOOKING FOR A FILLABLE CONCEPT PAPER TEMPLATE THAT HAS BEEN DESCRIBED ON PAGE 37 OF DE-FOA-0001026 REBELS PROGRAM.	3
Q13. ***** IS A CURRENT RECIPIENT OF DOE FUNDING THROUGH THE DOE SECA PROGRAM. DOES THIS EXCLUDE ***** FROM SUBMITTING A CONCEPT PAPER TO THE REBELS FOA?	3
III. QUESTIONS FOR WEEK ENDING: DECEMBER 13, 2013	3
Q14. WOULD THE FOLLOWING BE CONSIDERED RESPONSIVE TO THE FOA?	3
Q15.A. ARE FFRDCS ELIGIBLE TO SUBMIT A CONCEPT PAPER TO THE REBELS FOA?.....	3
Q15.B. SHOULD A FFRDC THAT INTENDS TO ESTABLISH A PROJECT TEAM IN ORDER TO MEET THE COST SHARING REQUIREMENTS FOR THE REBELS FOA, BUT HAS NOT FINALIZED ITS	

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

TEAMING ARRANGEMENTS YET, DISCLOSE THIS INFORMATION TO ARPA-E IN THE CONCEPT PAPER? IF SO, SHOULD TEAMING INFORMATION IN THE CONCEPT PAPER TEMPLATE BE LEFT BLANK AT THE TIME OF SUBMISSION, OR SHOULD IT BE POPULATED WITH AN INDICATOR THAT THE PROJECT TEAM STRUCTURE IS NOT FINAL SUCH AS 'TO BE DETERMINED' OR 'IN NEGOTIATION', ETC.?	4
IV. QUESTIONS FOR WEEK ENDING: DECEMBER 20, 2013	4
Q16. ***** PLANS TO PROPOSE A SYSTEM WHICH WILL ***** . WOULD THIS BE AN ACCEPTABLE SUBMISSION TO THE REBELS FOA?	4
Q17.A ARE THE PERFORMANCE TARGETS FOR CATEGORY 1 "ITFCS FOR DG APPLICATIONS" (ON PAGE 16) FOR A STACK OR A SYSTEM?	4
Q17.B CAN THE TECHNICAL PERFORMANCE TARGETS INCLUDED IN OUR CONCEPT PAPER BE PROJECTIONS?	5
Q18. IN THE SECTION OF "SUPPLEMENTAL EXPLANATION OF CATEGORY 3 PERFORMANCE TARGETS" (ON PAGE 22), THE FOA STATES THAT THE "MINIMUM CELL AREA FOR DEMONSTRATION OF LIQUID HYDROCARBON PRODUCTION MUST BE AT LEAST 100 CM ² (ROUGHLY 4"X4)". DOES THIS MEAN THAT THE CELL IS RESTRICTED TO BE A PLANAR DESIGN? ARE OTHER CELL DESIGNS ALSO ACCEPTABLE, SUCH AS A TUBULAR CELL WITH AN EQUIVALENT ACTIVE AREA OF 100 CM ² ?	5
V. QUESTIONS FOR WEEK ENDING: JANUARY 3, 2014	5
Q19. CAN DOE TELL ME WHETHER MY IDEAS FOR CATEGORY 2 OF THE FOA ARE THE PROPER FOCUS OF A WHITE PAPER [CONCEPT PAPER]?	5
Q20. DO WE NEED TO INCLUDE COMMITMENT LETTERS FROM OUR PARTNERS WITH OUR CONCEPT PAPER?	5
VI. QUESTIONS FOR WEEK ENDING: MARCH 21, 2014	6
Q21. IF SELECTED FOR AWARD, CAN ARPA-E MAKE AN AWARD ON A COMMERCIAL BASIS, SINCE WE DO NOT HAVE THE ABILITY TO ENSURE COMPLIANCE WITH COST ACCOUNTING STANDARDS (CAS) OR MODIFIED-CAS?	6
Q22. ARE OTHER NON-U.S. NORTH AMERICAN COUNTRIES CONSIDERED AS FOREIGN?	6
Q23. CAN A U.S. SUBRECIPIENT PERFORM A PORTION OF ITS EFFORTS IN A FOREIGN LOCATION WITHOUT REQUESTING A WAIVER?	6
Q24. IN MY FULL APPLICATION, CAN I MAKE CHANGES TO THE PROJECT TEAM THAT I PROPOSED IN MY CONCEPT PAPER (E.G., ADD A NEW SUBCONTRACTOR OR CHANGE SUBCONTRACTERS)?	6
VII. QUESTIONS FOR WEEK ENDING: APRIL 11, 2014	7
Q25. WE SUBMITTED A CONCEPT PAPER AS PART OF A PROJECT TEAM WITH ANOTHER ORGANIZATION. WHEN WE SUBMIT OUR FULL APPLICATION, CAN WE CHANGE THE ROLES OF BOTH ORGANIZATIONS IN THE PROJECT TEAM FROM WHAT WE ORIGINALLY PROPOSED IN THE CONCEPT PAPER (E.G., CHANGE WHICH ENTITY IS THE PRIME RECIPIENT AND WHICH ENTITY IS A SUBRECIPIENT)?	7
Q26. I HAVE A QUICK QUESTION FOR SUBMISSION OF FULL PROPOSAL. I SUBMITTED A CONCEPT PAPER ON **** AS THE PI, ARPA-E CONTROL NUMBER ****, WHICH	7

QUESTIONS AND ANSWERS

TABLE OF QUESTIONS

WAS INVITED FOR SUBMISSION OF A FULL PROPOSAL. AT THE SAME TIME, I AM ALSO INVOLVED IN ANOTHER CONCEPT PAPER ON **** AS THE CO-PI; ON A PROJECT LED BY ****; 7

ARPA-E CONTROL NUMBER ****, WHICH WAS ALSO INVITED FOR SUBMISSION OF A FULL PROPOSAL. SINCE THE TWO CONCEPT PAPERS ARE COMPLEMENTARY, THE COMBINATION OF THE TWO WOULD MAKE A MUCH STRONGER FULL APPLICATION. ACCORDINGLY, CAN WE 7

COMBINE THE TWO CONCEPT PAPERS INTO ONE FULL APPLICATION? IF SO, CAN WE INCREASE THE PROPOSED BUDGET ACCORDINGLY? 7

Q27. PLEASE CLARIFY WHICH FORMS SUBRECIPIENTS ARE SUPPOSED TO SUBMIT WITH THE FULL APPLICATION: ARPA-E GUIDANCE STATES THAT SUBRECIPIENTS INCURRING GREATER THAN OR EQUAL TO 10% OF THE TOTAL PROJECT COST MUST COMPLETE A SF-424A. DOES THIS 10% RULE APPLY TO OTHER FORMS AS WELL (BUSINESS ASSURANCES FORM AND OTHER SOURCES OF FUNDING FORM)? 7

Q28. IS IT POSSIBLE TO INCLUDE AN UNNAMED SUBCONTRACTOR IN THE BUDGET WITH A SPECIFIC DOLLAR AMOUNT? WE WOULDN'T BE ABLE TO PROVIDE ANY DOCUMENTS EXCEPT FOR THE DOLLAR AMOUNT OF THE SUBCONTRACTOR WHICH IS 1% OF THE ENTIRE BUDGET..... 8

Q29. I AM PREPARING A FULL APPLICATION FOR CATEGORY 2, AND MY INTERPRETATION OF SECTION I.C (PROGRAM OBJECTIVES) OF THE FOA IS THAT A COST TARGET DOES NOT APPLY TO CATEGORY 2 PROPOSALS. IS THAT CORRECT? 8

Q30. HOW IS COST SHARE CALCULATED IN THE FOLLOWING EXAMPLE: IF THE BUDGET SUBMITTED BY THE PRIME IS \$1,000,000 AND THE REQUIRED COST SHARE IS 20%, IS IT CALCULATED AS AN ADDITIONAL 20% WHICH WILL MAKE THE TOTAL BUDGET \$1,200,000? 8

Q31. IF A SUBAWARD IS MADE TO A SMALL BUSINESS, DOES ARPA-E REQUIRE SUBMISSION OF A SMALL/SMALL DISADVANTAGED BUSINESS SUBCONTRACTING PLAN? 8

Q32. OUR UNDERSTANDING, PER THE INSTRUCTIONS ON PAGE 48 OF THE FOA, IS THAT THE PI AND ANY CO-PI(S) MUST DISCLOSE ALL FEDERAL FINANCIAL ASSISTANCE THEY RECEIVED IN THE LAST FIVE YEARS THROUGH THE PRESENT. PLEASE CONFIRM THIS IS THE CORRECT WAY TO COMPLETE THE DISCLOSURE REQUIRED IN SECTION 3 OF THE "OTHER SOURCES OF FUNDING DISCLOSURE FORM. 8

I. FREQUENTLY ASKED QUESTIONS:

Q1. 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. 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.

Q2. HOW WILL I RECEIVE A RESPONSE TO QUESTIONS SUBMITTED TO ARPA-E-CO@HQ.DOE.GOV ABOUT THIS FOA?

ANSWER: Responses are posted in the "Frequently Asked Questions" section of ARPA-E's website. There are general FAQs and a FAQ page for each FOA.

ARPA-E will post responses on a weekly basis to any 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.

Q3. WILL ARPA-E POST A RESPONSE TO EVERY QUESTION SUBMITTED TO 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.

Q4. 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. All emails must include the name and number of the Funding Opportunity Announcement in the subject line.

Q5. 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 Programs 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 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 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.

Q6. CAN A PERSON BE PI ON ONE PROPOSAL AND A CO-PI ON A SECOND SEPARATE PROPOSAL?

ANSWER: Yes, but the applications must be scientifically distinct from one another.

Q7. MAY APPLICANTS SUBMIT MORE THAN ONE CONCEPT PAPER TO THIS FUNDING OPPORTUNITY?

ANSWER: Yes, but each Concept Paper submission must be scientifically distinct.

Q8. I HAVE DEVELOPED A TECHNOLOGY THAT MAY BE A GOOD FIT FOR THIS FUNDING OPPORTUNITY. WILL ARPA-E PLEASE REVIEW THE ATTACHED PROJECT INFORMATION AND LET ME KNOW IF I SHOULD MAKE A SUBMISSION TO THIS FUNDING OPPORTUNITY.

ANSWER: No. Applicants must review the Technical Requirements of this funding opportunity announcement to determine if their technology warrants a submission to ARPA-E. See e.g. Section I.D (“Technical Categories of Interest”) and Section I.F (Applications Specifically Not of Interest) of the FOA.

II. Questions for week ending: NOVEMBER 29, 2013

Q9. WILL ARPA-E CONSIDER MOLTEN CARBONATE FUEL CELLS AND FLOW BATTERIES UNDER THIS FOA?

ANSWER: Please see the answer for Question 8.

Q10.A I WOULD LIKE TO INQUIRE ABOUT THE POTENTIAL FOR OUR UNIQUE TECHNOLOGY TO QUALIFY FOR CONSIDERATION UNDER DE-FOA-0001026 REBELS *** WOULD SUCH A PROJECT FALL WITHIN THE SCOPE OF THE REBELS FOA GENERALLY AND WOULD IT QUALIFY UNDER EITHER CATEGORY 1, 2 OR 3?**

ANSWER: Please see the answer for Question 8.

Q10.B IS IT POSSIBLE TO PRESENT MULTIPLE PROJECT SCENARIOS TO ARPA-E TO PROVIDE SOME SELECTION AGILITY ON THE SCOPE, SCALE, AND TIMING OF A PROJECT ?

ANSWER: No.

Q10.C WOULD IT BE POSSIBLE TO SCHEDULE A CONFERENCE CALL WITH THE PROGRAM DIRECTOR RESPONSIBLE FOR THIS FOA

ANSWER: No. Please see the answer to Question 5 above.

Q11. I'M REFERRING TO YOU FROM THE RESEARCH AUTHORITY OF THE ***. WE WOULD LIKE TO INQUIRE REGARDING THIS FOA, ARE OUR RESEARCHERS ELIGIBLE TO BE PART OF THE CONSORTIUM IN THIS FOA?**

ANSWER: ARPA-E will not provide pre-submission assessments or determinations regarding an applicant's eligibility to apply to a FOA. Applicants must review the eligibility information provided in the FOA and independently determine whether they are eligible to apply for funding. Please see Section III.A ("Eligible Applicants") for the eligibility criteria for this FOA.

Q12. I AM LOOKING FOR A FILLABLE CONCEPT PAPER TEMPLATE THAT HAS BEEN DESCRIBED ON PAGE 37 OF DE-FOA-0001026 REBELS PROGRAM.

ANSWER: Applicants can access the Concept paper template from the "Required Application Documents" section of the Funding Opportunity Announcement on the ARPA-E Funding Opportunity Exchange web site (<http://ARPA-E-FOA.energy.gov>). Click on the link "View Template Application Documents" within the section of ARPA-E's page specific to the REBELS FOA.

Q13. *** IS A CURRENT RECIPIENT OF DOE FUNDING THROUGH THE DOE SECA PROGRAM. DOES THIS EXCLUDE ***** FROM SUBMITTING A CONCEPT PAPER TO THE REBELS FOA?**

ANSWER: In general, participation in an activity supported by a DOE office other than ARPA-E does not automatically exclude an entity from applying to ARPA-E's FOAs. However, Concept Papers that are not scientifically distinct from activities supported elsewhere, including within DOE, will be deemed nonresponsive and will not be reviewed or considered under this FOA. Please see Section I.F ("Applications Specifically Not of Interest") of the FOA.

III. Questions for week ending: DECEMBER 13, 2013

Q14. WOULD THE FOLLOWING BE CONSIDERED RESPONSIVE TO THE FOA?

ANSWER: Please see the answer for Question 8.

Q15.A. ARE FFRDCS ELIGIBLE TO SUBMIT A CONCEPT PAPER TO THE REBELS FOA?

ANSWER: Yes. FFRDCs are eligible to apply for funding as the lead organization for a Project Team or as a member of a Project Team, but not as a Standalone Applicant. Please see Section

III.A.2 (Eligibility Information – Domestic Entities) of the FOA for more information on which types of entities are eligible for this FOA.

Q15.B. SHOULD A FFRDC THAT INTENDS TO ESTABLISH A PROJECT TEAM IN ORDER TO MEET THE COST SHARING REQUIREMENTS FOR THE REBELS FOA, BUT HAS NOT FINALIZED ITS TEAMING ARRANGEMENTS YET, DISCLOSE THIS INFORMATION TO ARPA-E IN THE CONCEPT PAPER? IF SO, SHOULD TEAMING INFORMATION IN THE CONCEPT PAPER TEMPLATE BE LEFT BLANK AT THE TIME OF SUBMISSION, OR SHOULD IT BE POPULATED WITH AN INDICATOR THAT THE PROJECT TEAM STRUCTURE IS NOT FINAL SUCH AS 'TO BE DETERMINED' OR 'IN NEGOTIATION', ETC.?

ANSWER: Given the circumstances above, an applicant (FFRDC or otherwise) should disclose in the Concept Paper its intentions to establish a Project Team and any potential Project Team Members, and not leave the Concept Paper template blank. If the Concept Paper is encouraged by ARPA-E, the applicant may make modifications to its Project Team in its Full Application. Please carefully review Section III.A.2 (Eligibility Information – Domestic Entities) of the FOA which contains the eligibility requirements for FFRDCs and Section III.C.2 (Compliant Criteria) for the compliance criteria that ARPA-E will apply to each Concept Paper submission, which includes meeting the eligibility requirements of the FOA.

IV. Questions for week ending: DECEMBER 20, 2013

Q16. *** PLANS TO PROPOSE A SYSTEM WHICH WILL ***** . WOULD THIS BE AN ACCEPTABLE SUBMISSION TO THE REBELS FOA?**

ANSWER: Please see the answer to Question 8 above.

Q17.A ARE THE PERFORMANCE TARGETS FOR CATEGORY 1 “ITFCS FOR DG APPLICATIONS” (ON PAGE 16) FOR A STACK OR A SYSTEM?

ANSWER: As stated in the FOA, Category 1 projects should focus on two of the three subsystems in an overall fuel cell system: the fuel processor and the fuel cell stack. Thus, Category 1 technical performance targets apply to the system of a fuel processor and the stack. Please see Section I.D. (Technical Categories of Interest) of the FOA for more information on technical performance targets for Category 1 submissions.

Q17.B CAN THE TECHNICAL PERFORMANCE TARGETS INCLUDED IN OUR CONCEPT PAPER BE PROJECTIONS?

ANSWER: Yes. ARPA-E recognizes that an applicant may not have existing data for the performance targets; therefore, proposed targets submitted in a Concept Paper may be projections based on sound scientific principles.

Q18. IN THE SECTION OF “SUPPLEMENTAL EXPLANATION OF CATEGORY 3 PERFORMANCE TARGETS” (ON PAGE 22), THE FOA STATES THAT THE “MINIMUM CELL AREA FOR DEMONSTRATION OF LIQUID HYDROCARBON PRODUCTION MUST BE AT LEAST 100 CM² (ROUGHLY 4”X4”)”. DOES THIS MEAN THAT THE CELL IS RESTRICTED TO BE A PLANAR DESIGN? ARE OTHER CELL DESIGNS ALSO ACCEPTABLE, SUCH AS A TUBULAR CELL WITH AN EQUIVALENT ACTIVE AREA OF 100 CM²?

ANSWER: In Category 3, ARPA-E will consider all proposed configurations that meet the FOA’s technical performance targets and have an active cell area of at least 100 cm². Please see Section I.E (Technical Performance Targets – Category 3 ITFCs with Fuel Production Capability) of the FOA for more information on Category 3 technical performance targets and requirements.

V. Questions for week ending: JANUARY 3, 2014

Q19. CAN DOE TELL ME WHETHER MY IDEAS FOR CATEGORY 2 OF THE FOA ARE THE PROPER FOCUS OF A WHITE PAPER [CONCEPT PAPER]?

ANSWER: Please see the answer to Question 8 above.

Q20. DO WE NEED TO INCLUDE COMMITMENT LETTERS FROM OUR PARTNERS WITH OUR CONCEPT PAPER?

ANSWER: No. Applicants are not required to provide cost share commitment letters with Concept Paper submissions. However, during the Full Application stage of the REBELS FOA, Applicants will be required to provide written assurance of their cost share commitment in the Business Assurances Form as part of their Full Application. Please see Section IV.C (Content and Form of Concept Papers) of the FOA for more information on the Concept Paper submission requirements for this FOA.

VI. Questions for week ending: MARCH 21, 2014

Q21. IF SELECTED FOR AWARD, CAN ARPA-E MAKE AN AWARD ON A COMMERCIAL BASIS, SINCE WE DO NOT HAVE THE ABILITY TO ENSURE COMPLIANCE WITH COST ACCOUNTING STANDARDS (CAS) OR MODIFIED-CAS?

ANSWER: This FOA is soliciting applications for federal financial assistance, not federal contracts. Please see Section II.B (ARPA-E Funding Agreements) of the FOA for more information on the types of financial assistance agreements that may be used to make awards under this FOA.

Q22. ARE OTHER NON-U.S. NORTH AMERICAN COUNTRIES CONSIDERED AS FOREIGN?

ANSWER: Yes, any non-United States countries in the North American continent would be considered foreign. The United States includes the contiguous United States, Hawaii, Alaska, the District of Columbia, and all commonwealths, territories, and possessions of the United States.

Q23. CAN A U.S. SUBRECIPIENT PERFORM A PORTION OF ITS EFFORTS IN A FOREIGN LOCATION WITHOUT REQUESTING A WAIVER?

ANSWER: No. ARPA-E requires all work under ARPA-E funding agreements to be performed in the United States, including work performed by subrecipients. Applicants may seek a waiver of this requirement where their project would materially benefit from, or otherwise requires, certain work to be performed overseas. Please see Section IV.G.6 (Performance of Work in the United States) of the FOA for more information and see page 5 of the Business Assurances Form <https://arpa-e-foa.energy.gov/#Foald63d6bcce-92dc-4656-a650-1111825cfd42>, for the information that needs to be submitted in a foreign work waiver request.

Q24. IN MY FULL APPLICATION, CAN I MAKE CHANGES TO THE PROJECT TEAM THAT I PROPOSED IN MY CONCEPT PAPER (E.G., ADD A NEW SUBCONTRACTOR OR CHANGE SUBCONTRACTERS)?

ANSWER: Yes. Applicants may expand or otherwise modify the proposed Project Team for their Full Applications.

VII. Questions for week ending: APRIL 11, 2014

Q25. WE SUBMITTED A CONCEPT PAPER AS PART OF A PROJECT TEAM WITH ANOTHER ORGANIZATION. WHEN WE SUBMIT OUR FULL APPLICATION, CAN WE CHANGE THE ROLES OF BOTH ORGANIZATIONS IN THE PROJECT TEAM FROM WHAT WE ORIGINALLY PROPOSED IN THE CONCEPT PAPER (E.G., CHANGE WHICH ENTITY IS THE PRIME RECIPIENT AND WHICH ENTITY IS A SUBRECIPIENT)?

ANSWER: Yes. Applicants may expand or otherwise modify the proposed Project Team for their Full Applications.

Q26. I HAVE A QUICK QUESTION FOR SUBMISSION OF FULL PROPOSAL. I SUBMITTED A CONCEPT PAPER ON ** AS THE PI, ARPA-E CONTROL NUMBER ****, WHICH WAS INVITED FOR SUBMISSION OF A FULL PROPOSAL. AT THE SAME TIME, I AM ALSO INVOLVED IN ANOTHER CONCEPT PAPER ON **** AS THE CO-PI; ON A PROJECT LED BY ****, ARPA-E CONTROL NUMBER ****, WHICH WAS ALSO INVITED FOR SUBMISSION OF A FULL PROPOSAL. SINCE THE TWO CONCEPT PAPERS ARE COMPLEMENTARY, THE COMBINATION OF THE TWO WOULD MAKE A MUCH STRONGER FULL APPLICATION. ACCORDINGLY, CAN WE COMBINE THE TWO CONCEPT PAPERS INTO ONE FULL APPLICATION? IF SO, CAN WE INCREASE THE PROPOSED BUDGET ACCORDINGLY?**

ANSWER: ARPA-E will not provide pre-submission assessments or feedback on an Applicant's proposed teaming structure or contents of a proposed Full Application. However, it is permissible for Applicants to combine two encouraged Concept Paper submissions into one Full Application. If Applicants choose to combine two submissions into one Full Application, the Full Application must be submitted under only one Control Number [and any submissions relating to the second Control Number must be withdrawn in ARPA-E eXCHANGE]. In addition, it is the Applicant's responsibility to clearly state in the Full Application its intent combine two encouraged Concept Papers and identify which Concept Papers it is combining by Control Number.

Q27. PLEASE CLARIFY WHICH FORMS SUBRECIPIENTS ARE SUPPOSED TO SUBMIT WITH THE FULL APPLICATION: ARPA-E GUIDANCE STATES THAT SUBRECIPIENTS INCURRING GREATER THAN OR EQUAL TO 10% OF THE TOTAL PROJECT COST MUST COMPLETE A SF-424A. DOES THIS 10% RULE APPLY TO OTHER FORMS AS WELL (BUSINESS ASSURANCES FORM AND OTHER SOURCES OF FUNDING FORM)?

ANSWER: No. However, the Prime Recipient will be responsible for the accuracy of its completed forms that include information applicable to Subrecipients. Thus, the Prime Recipient may want to require its Subrecipients to complete and submit other forms.

Q28. IS IT POSSIBLE TO INCLUDE AN UNNAMED SUBCONTRACTOR IN THE BUDGET WITH A SPECIFIC DOLLAR AMOUNT? WE WOULDN'T BE ABLE TO PROVIDE ANY DOCUMENTS EXCEPT FOR THE DOLLAR AMOUNT OF THE SUBCONTRACTOR WHICH IS 1% OF THE ENTIRE BUDGET.

ANSWER: Yes. The subcontractor should be labeled as "To Be Determined."

Q29. I AM PREPARING A FULL APPLICATION FOR CATEGORY 2, AND MY INTERPRETATION OF SECTION I.C (PROGRAM OBJECTIVES) OF THE FOA IS THAT A COST TARGET DOES NOT APPLY TO CATEGORY 2 PROPOSALS. IS THAT CORRECT?

ANSWER: The cost targets set forth in Section I.C (Program Objectives) of the FOA apply equally to Full Applications submitted under each Technical Category of Interest described in Section I.D (Technical Categories of Interest) of the FOA. Therefore, the cost targets you reference apply to all Category 2 submissions.

Q30. HOW IS COST SHARE CALCULATED IN THE FOLLOWING EXAMPLE: IF THE BUDGET SUBMITTED BY THE PRIME IS \$1,000,000 AND THE REQUIRED COST SHARE IS 20%, IS IT CALCULATED AS AN ADDITIONAL 20% WHICH WILL MAKE THE TOTAL BUDGET \$1,200,000?

ANSWER: Cost share is calculated as a percentage of the Total Project Cost, which is the sum of the Prime Recipient share and the Federal Government share of total allowable costs. In your example, assuming the \$1,000,000 budget represents the Total Project Costs (Federal share + Prime Recipient share), and that the required cost share for this project is 20%, the Recipient's required cost share amount would be \$200,000 and included in the total budget of \$1,000,000.

Q31. IF A SUBAWARD IS MADE TO A SMALL BUSINESS, DOES ARPA-E REQUIRE SUBMISSION OF A SMALL/SMALL DISADVANTAGED BUSINESS SUBCONTRACTING PLAN?

ANSWER: No.

Q32. OUR UNDERSTANDING, PER THE INSTRUCTIONS ON PAGE 48 OF THE FOA, IS THAT THE PI AND ANY CO-PI(S) MUST DISCLOSE ALL FEDERAL FINANCIAL ASSISTANCE THEY RECEIVED IN THE LAST FIVE YEARS THROUGH THE PRESENT. PLEASE CONFIRM THIS IS THE CORRECT WAY TO COMPLETE THE DISCLOSURE REQUIRED IN SECTION 3 OF THE "OTHER SOURCES OF FUNDING DISCLOSURE FORM.

ANSWER: Section 3 of the Other Sources of Funding Form requires disclosure of all Federal funds currently being received, or that have been received within the last 5 years by the Prime Recipient, Subrecipients, PI, or any Co-PIs.

